



## **Influencing the Deposit of Electronic Theses in UK HE**

### **Appendix:**

**Full text responses from a sector-wide survey  
into thesis deposit and open access**

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# Full text responses from a sector-wide survey into thesis deposit and open access

In June 2010 UCL conducted a sector-wide survey into thesis deposit and open access in UK universities and HEIs. A rich body of data was provided by respondents describing how they approach the issues surrounding open access deposit of electronic theses. This appendix presents the complete survey results, fully anonymised except for URLs and the list of respondents.

**Note:** The survey made extensive use of “skip-logic” to enable responses about e-theses to be isolated, and to ensure that respondents were only presented with questions relevant to them or where they had omitted responses earlier. The skip-logic is explained in a commentary throughout this document.

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# Participation

## 1. HEIs represented

What is the name of your institution?	
Answer Options	Response Count
	144
<i>answered question</i>	<b>137</b>
<i>skipped question</i>	<b>8</b>

This was an optional question. Some respondents preferred not to give their names.

Aberystwyth University	Loughborough University
Anglia Ruskin University	Manchester Metropolitan University
Aston University	Middlesex University
Bangor University	Newcastle University
Birkbeck, University of London	Newman University College
Birmingham City University	Northumbria University
Bournemouth University	Norwich University College of the Arts
Brunel University	Nottingham Trent University
BSU	Oxford Brookes University
Buckinghamshire New University	Queen Mary, University of London
Canterbury Christ Church University	Roehampton University
Cardiff University	Rose Bruford College of Theatre & Performance
Cranfield University	Royal Agricultural College
De Montfort University	Royal College of Art
Durham University	Royal College of Music
Edge Hill University	Royal Holloway, University of London
Edinburgh College of Art	Royal Northern College of Music
Glasgow School of Art	Royal Scottish Academy of Music and Drama
Glyndwr University	Royal Veterinary College
Goldsmiths, University of London	School of Advanced Study, University of London
Guildhall School of Music and Drama	Scottish Agricultural College
Harper Adams University College	Sheffield Hallam University
Heriot-Watt University	SOAS
Heythrop College, University of London	Southampton Solent University
Imperial College London	St George's, University of London
Institute of Cancer Research	Swansea Metropolitan University
Keele University	Swansea University
King's College London	Teesside University
Kingston University	Thames Valley University
Lancaster University	The Arts University College at Bournemouth
Leeds College of Music	The Courtauld Institute of Art
Leeds Metropolitan University	The Open University
London Business School	The Robert Gordon University
London Contemporary Dance School	The School of Pharmacy
London Metropolitan University	The University of Edinburgh
London school of Economics and Political Science	The University of Manchester
London School of Hygiene and Tropical Medicine	The University of Northampton
London South Bank University	Trinity Laban

Trinity University College	University of Leicester
UCL	University of Lincoln
UHI Millennium Institute	University of Liverpool
University College Plymouth St Mark & St John	University of Nottingham
University for the Creative Arts	University of Oxford
University of Aberdeen	University of Plymouth
University of Abertay Dundee	University of Portsmouth
University of Bath	University of Reading
University of Bedfordshire	University of Salford
University of Birmingham	University of Sheffield
University of Bolton	University of Southampton
University of Bradford	University of St Andrews
University of Bristol	University of Stirling
University of Buckingham	University of Strathclyde
University of Cambridge	University of Sunderland
University of Central Lancashire - UCLAN	University of Sussex
University of Chester	University of the Arts London
University of Chichester	University of the West of England (UWE)
University of Dundee	University of the West of Scotland
University of East Anglia, Norwich	University of Wales
University of East London	University of Wales Institute, Cardiff
University of Exeter	University of Wales, Newport
University of Glamorgan	University of Warwick
University of Glasgow	University of Westminster
University of Gloucestershire	University of Winchester
University of Greenwich	University of Wolverhampton
University of Hertfordshire	University of Worcester
University of Huddersfield	University of York
University of Hull	Writtle College
University of Kent	York St John University
University of Leeds	

## 2. Number of doctoral students

Roughly how many postgraduate research students do you have in your institution?		
Answer Options	Response Percent	Response Count
None specified	2.1%	3
Fewer than 1,000	70.1%	101
1,000 to 3,000	19.4%	28
3,000 to 5,000	5.6%	8
Over 5,000	2.8%	4
<i>answered question</i>		<b>144</b>
<i>skipped question</i>		<b>0</b>

## 3. University groupings

The only groups offered were Russell Group, 1994 group, Million+ and University Alliance. Where multiple respondents said "other" and named the same group, they have been added to the table.

What group does your institution belong to?		
Answer Options	Response Percent	Response Count
1994 Group	12%	17
Million+	16%	23
Russell Group	13%	19
University Alliance	15%	21
None, we are unaffiliated	12%	17
Don't know	11%	16
GuildHE	9%	13
Conservatoire	5%	7
University of London / Bloomsbury Consortium	4%	6
Cathedrals group	1%	2
Other (see below)	2%	3
<i>answered question</i>		<b>144</b>
<i>skipped question</i>		<b>0</b>

- Higher education institute which has just applied for University status
- Post 1992 HE institution
- SCURL

#### 4. Respondents' roles

What is your role in the institution?	
Answer Options	Response Count
	144
<i>answered question</i>	<b>144</b>
<i>skipped question</i>	<b>0</b>

[Repository]/Research Manager	Campus Librarian
[Subject Librarian] and [repository] Manager	Cataloguing Manager/[Repository] Manager
[Subject] Librarian	Central Services Librarian
[Subject] Librarian - also responsible for institutional repository	Chief Librarian
Academic Development Manager : Research and Resources	Collections Manager
Academic Liaison librarian	Collections Manager, Library
Academic Liaison librarian	College Librarian
Academic Liaison librarian (Subject Librarian)	Customer Services Manager, University Library
Acquisitions / Electronic Resources Librarians	Customer Services Manager, University Library
Acting University Librarian	Deputy Director, Library and Information Services
Assistant Director (Collections & Resources)	Deputy Librarian
Assistant Head (Library Services)	Deputy librarian
Assistant Librarian (Special Resources)	Digital Archive, Web and System Support Librarian
Bibliographic Data Services Manager and Repository Manager	Digital Developments & Projects Librarian. Also responsible for the Institutional Repository.

Digital Library Manager	Learning Resources Manager,
Digital Library Officer	[Institution] Library
Digital Resources & Institutional	Librarian
Repository Coordinator	Librarian
Director of [Research]	Librarian
Director of Learning Resources	Librarian
Director of Library and Information	Librarian
Services	Librarian
Director of Library and Information	Librarian
Services	Librarian
Director of Library and Learning Support	Librarian
Director of the [Centre for Learning	Librarian
Support] (incl. University Librarian)	Librarian
Document Delivery Supervisor	Librarian
Document Supply & Repository	Librarian
Manager, Library	Librarian (Systems and User Education)
Electronic Resources Coordinator	Libraries Manager - Previously Head of
Electronic Resources Librarian	Library Services
Electronic Services Librarian	Library & Information Officer
E-Repositories Manager	Library assistant
eResources Librarian	Library Division Electronic Resources
eScholarship Manager (institutional	Manager
repository manager)	Library Manager
E-Services Manager	Library Manager
Head Librarian	Library Manager
Head LIS	Library Team Leader: Natural Sciences
Head of Academic Liaison	Manager of [Institutional repository]
Head of Collection & Access	Manager of the institutional repository
Management (within converged	Manager of the institutional repository
Information Services Dept)	Manager, institutional repository;
Head of Information Management	Assistant Librarian
Head of information services	Member of Library staff
Head of Information Systems (Library)	Metadata Librarian
Head of Learning & Information Services	Periodicals Librarian
Head of Learning Information Services	Postgraduate Studies Coordinator
Head of Libraries	Publications Officer
Head of Library & Data Protection &	repository administrator
Freedom of Information Officer	Repository Administrator
Head of Library & Information Services	Repository Adviser
Head of Library & Learning Resources	Repository Development Officer
Head of Library Services	Repository Manager
Head of Library Services	Repository Manager
Head of Library Services	Repository Manager
Higher education in the creative arts	Repository Manager
Hybrid Collections Coordinator, Learning	Repository Manager
and Information Services	Repository manager
ILS Head of Learning & Research	Repository Manager
Support	Repository Manager / Information
Information Consultant (includes	Specialist
managing the repository)	Repository Officer
Information Resources Manager	Repository Officer
Information Specialist	Repository Officer
Institutional Repository Co-ordinator	Repository Officer
Institutional Repository Manager	Repository Officer/Manager
Institutional Repository Manager	Repository Services Development
Institutional Repository manager	Manager
Institutional Repository Librarian	Research data manager

Research Publications Librarian  
 Research Student - retired Professor  
 Research Support Librarian & Repository  
 Manager  
 Research Support Specialist  
 Resource Discovery Team Manager  
 Science Librarian  
 Senior Academic Services E-Librarian  
 Senior Assistant Librarian  
 Senior Assistant Librarian  
 Senior Information Manager - Library  
 Senior Information Specialist, Research  
 Support  
 Senior Project Officer, Research &  
 Business Office

Service Manager Library and Learning  
 Services  
 Site Librarian  
 Special Collections and Archives  
 Administrator  
 Support for PGR students  
 Systems Librarian  
 Team Leader for Academic Services  
 Team Leader, Electronic Services  
 (Library)  
 Technical Development in the Library  
 Technical Services Manager, University  
 Library

## Policies

### 5. Thesis deposit

How does your institution accept deposit of theses?		
Answer Options	Response Percent	Response Count
Print only	37.5%	54
Both print and/or electronic	56.9%	82
Electronic only	5.6%	8
<i>answered question</i>		<b>144</b>
<i>skipped question</i>		<b>0</b>

Further questions in the survey were targeted according to responses to this question. Respondents receiving theses in print format only (54) were questioned separately from those (90) accepting electronic or mixed deposit.

### 6. Electronic thesis deposit policy

This question was asked of those 90 respondents accepting electronic/mixed deposit.

Does your institution have a mandate (or equivalent policy) requiring thesis deposit in electronic format?		
Answer Options	Response Percent	Response Count
Yes	77.8%	70
No	22.2%	20
<i>answered question</i>		<b>90</b>
<i>skipped question</i>		<b>54</b>

## 7. Extent of electronic thesis deposit policy

This question was asked of those 70 respondents who have a mandate requiring electronic deposit.

What is the extent of the e-thesis mandate in your institution?		
Answer Options	Response Percent	Response Count
Departmental	1.5%	1
Institution-wide	98.5%	65
<i>answered question</i>		<b>66</b>
<i>skipped question</i>		<b>78</b>

## 8. Open Access thesis deposit policy

This question was asked of those 70 respondents mandating electronic deposit.

Which of the following options best describes your electronic deposit policy?		
Answer Options	Response Percent	Response Count
Opt-in (voluntary open access deposit)	9.7%	6
Opt-out (open access unless student requests an exception)	90.3%	56
<i>answered question</i>		<b>62</b>
<i>skipped question</i>		<b>82</b>

## 9. Plans for electronic deposit

This table represents those who already accept electronic deposit but do not yet have a mandate requiring it.

Are there any plans within your institution to begin requiring electronic deposit of theses?		
Answer Options	Response Percent	Response Count
We have no plans to require electronic deposit in the foreseeable future	36.4%	8
One department (or more) plans to require electronic deposit in future	18.2%	4
The whole institution plans to require electronic deposit in future	45.5%	10
<i>answered question</i>		<b>22</b>
<i>skipped question</i>		<b>122</b>

This table represents the respondents with print only deposit.

Are there any plans within your institution to begin requiring electronic deposit of theses?		
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Answer Options	Response Percent	Response Count
We have no plans to require electronic deposit in the foreseeable future	33.3%	17
One department (or more) plans to require electronic deposit in future	7.8%	4
The whole institution plans to require electronic deposit in future	58.8%	30
<i>answered question</i>		<b>51</b>
<i>skipped question</i>		<b>93</b>

## 10. Timescale for planned electronic deposit

This table represents respondents with electronic deposit who indicated in Q9 that they plan to implement a mandate in future.

What timescale is foreseen before implementation of the mandate?		
Answer Options	Response Percent	Response Count
Next academic year	21.4%	3
within 2-3 years	57.1%	8
Within 4-5 years	0.0%	0
Not sure	21.4%	3
<i>answered question</i>		<b>14</b>
<i>skipped question</i>		<b>130</b>

This table represents the print-only respondents who indicated in Q9 that they plan to implement electronic deposit in future.

What timescale is foreseen before implementation of the policy?		
Answer Options	Response Percent	Response Count
Next academic year	42.9%	15
within 2-3 years	34.3%	12
Within 4-5 years	5.7%	2
Not sure	17.1%	6
<i>answered question</i>		<b>35</b>
<i>skipped question</i>		<b>109</b>

Additional information:

- The Director of Postgraduate Programmes has agreed to provide the library with an electronic copy and metadata of post-doctoral e-theses from the new academic year.
- The timescale is still under discussion
- Submission of an electronic copy will be optional (and additional to print)
- Head of Research is very, as are some departments, but it will take time to get through the appropriate boards etc. and be adopted throughout the entire university.
- We're still in very early discussions regarding electronic deposit, and those discussions are not yet faculty-driven.
- We are trying to promote and support a mandate at the moment but our influence and role in Information Services centres more around providing the final solutions and

services needed.

- It's possible this might slip until the year after next
- [Institution] is part of [Consortium name]
- I have proposed participating in the ETHOS scheme.
- Will hopefully passed by the University Research Degree Committee, a [Sub-Committee] on 17th June 2010
- I am currently lobbying for this (eventual institution wide mandate).I am not currently sure how long it will take to implement...
- Probable timescale - not known for definite.
- Please note the Library is the department which is keen to move this forward & there is support from individual members of the academic community
- The Board of Graduate Studies has expressed an interest in making the e-thesis deposit scheme mandatory. This requires changes to the University's Statutes and Ordinances and will have to be approved by the Exam committee and the General Board. It is not clear where the proposal sits at the moment.
- The mandate is coming from the LRC (i.e. from myself) and is seen as something desirable that I am working to convince Senior Management is the way forward.
- This is an area we are investigating, so my answers are what I believe to be true but may not necessarily be a reflection of [institution] policy in this regard. Currently there are no theses in the repository.
- eTheses mandatory deposit being proposed at meeting in Autumn for 2011

## 11. Access to Theses

Responses from the 90 respondents with electronic/mixed deposit:

How do you normally make your theses accessible? (Please select all that apply.)			
Answer Options	Available to staff and students only	Available to anyone	Response Count
Metadata is available in the library catalogue	5	74	79
Hard copies on open shelves	2	16	18
Hard copies closed access, available on request	23	48	71
Full text via our website	0	6	6
Full text via a VLE	0	1	1
Full text in an institutional repository	3	56	59
Metadata only in a institutional repository	3	17	20
Other (please specify):			24
	<i>answered question</i>		<b>87</b>
	<i>skipped question</i>		<b>57</b>

- Hard copies stored off campus due to lack of space in Library - available on request. We do not loan hard copies via inter-library loan. Restricted or closed access theses are metadata only in the repository until the moratorium period is over.
- Theses submitted after 1970 are searchable in the [library] catalogue. Hard copies are available to everyone with reader's tickets: more detail [institutional web address]
- From September Full text and metadata will be available on the repository (unless there is a reason for it not to be)
- We have a couple of full text theses in the repository and expect more in the near future - available to anyone
- We don't have an institutional electronic repository. Recently the rule became that 2 copies were to be submitted: one hard copy and one cd copy. This is stored in the Research department.
- if the student does not want their thesis made available in full - with good reasons given

as detailed below - then I would still put in the contents page, abstract, introduction and bibliography

- Please note that the new submission (last January) and it applies to new theses (only one so far!)
- Ethos for select number of Theses
- We are trying to make available on our repository all theses in full text that do not have embargoes on them. Failing that we try and at least have the metadata.
- At present we only have Senior projects available on closed access, and not yet catalogued. With the start of two MA programs this Fall I would envisage electronic deposit, and cataloguing of postgraduate work. One of the other MA courses is taught jointly with [another institution] and it may be the case that work is deposited with them as I have seen no evidence of it here.
- Full text via our Library Catalogue and via Ethos
- Requirement for e-deposit only in place since Sept 09 so no submissions yet
- Full text available in a proto-repository, we are working on developing a fully-fledged IR
- Depends on the individual thesis - metadata with embargo expiry date will be made available to all in most cases where there is an embargo. The policy has not kicked in yet so e-deposit will only be compulsory once those who registered for a degree in Sept/Oct 2009 come to the end of their doctorate. Until then, submission is voluntary.
- We are investigating the possibility for depositing theses from post graduate students into our repository in a digital form.
- The above doesn't explain exactly what we do. All students MUST deposit electronic thesis. However, IP/Copyright policy of University means student can own IP of thesis hence University CANNOT force open access. Instead we must get permission from student for electronic and print to be made open access. Electronic is available to staff for examination and other internal administrative purposes.
- note that we have only just begun mandating deposit of theses in our repository - as yet none have been uploaded
- Up to now hard copies have been kept. From this year thesis must be submitted electronically and will be available in institutional repository.
- Some theses are made available in full text in the repository, but the policy varies between the ten constituent institutes.
- Mix and match at the moment. Moving towards full text in institutional repository, different access internally and externally
- We are just in process of developing an institutional repository, and theses were only required to be submitted in electronic format in the college from last year, so we are at an early stage of making our theses available electronically.
- Plan to make theses available open access via IR, but mandated only for research students starting Jan 2008 so none there yet
- will be on IR when set up
- We do not have many electronic theses yet, so most theses are in print in the store requiring collection by staff. We are hoping that one etheses deposit has become mandatory that they will be added to our repository as well as to EThOS. We do not anticipate putting up all of our old digitised theses onto the repository due to potential copyright issues and not being able to check with authors but will be keen to put up those where we have permission and are being digitised by EThOS. Some of our old print theses have metadata on the library catalogue but many do not as this has not been prioritised.

Responses from the 54 respondents with print only deposit:

How do you normally make your theses accessible? (Please select all that apply.)			
Answer Options	Available to staff and students only	Available to anyone	Response Count
Metadata is available in the library catalogue	2	36	38
Hard copies on open shelves	5	14	19

Hard copies closed access, available on request	6	23	29
Other (please specify):			9
		<b>answered question</b>	<b>47</b>
		<b>skipped question</b>	<b>97</b>

- Hard copies available for Library use only
- We provide a very small, purely online library to students studying courses validated by the [awarding body]. Owing to our size, we do not have a library management system or catalogue and do not keep hard copies of theses at the university, other than for administrative purposes in the short term. A copy is usually kept at the institution at which the student studied at (institution name).
- Have belonged to EThOS (OA Sponsors) since inception.
- Older theses are kept in Library stores and retrieved on request
- EThOS
- some digitised 'test' copies available via the institutional repository and library catalogue to [institution] staff and students only
- available on request to externals
- With consultation forms which have to be signed when items are used
- Hard copy also avl via Inter Library Loans, or full text digitised on demand by EThOS Metadata (incl thesis abstract) available on theses.com as well as [institution] Library cat and BL cat

## 12. Author Imposed Restrictions to Theses

Respondents with electronic or mixed deposit:

Do you allow authors of theses to impose restrictions on access to their work?		
Answer Options	Response Percent	Response Count
No	11.9%	10
Yes : Please give details of acceptable restrictions (below).	88.1%	74
	<b>answered question</b>	<b>84</b>
	<b>skipped question</b>	<b>60</b>

- Inclusion of uncleared third party material, sensitive or confidential data, corporate IPR on data, embargo periods to allow publishing
- I'm not actually sure about this.
- can request time embargo or permanent restricted access if sensitive information
- We have the same embargos as we did for print theses. Student must go through formal channels.
- Only if approved by their supervisor / department. Print and electronic theses must have the same status, eg. if the electronic copy is Restricted Access for two years, then the print copy must be too. Acceptable reasons include commercial sensitivity and forthcoming publication as a book.
- Exemptions under Freedom of Information (Scotland) Act 2002.
- Material due for publication, release of the material would substantially prejudice the commercial interests of the University or any person, the material includes information that was obtained under a promise of confidentiality and disclosure would constitute an actionable breach of confidence, the material contains personal information about you or a third party for which disclosure would breach the Data Protection Act or otherwise endanger the health and safety of the author or a third party.
- 2 year embargo, only if deemed reasonable and supported by Dean of School. Restriction may be extended at request of author to a maximum of 5 years

commencing from the date of conferment.

Listed reasons authors might give to request restriction of access to thesis:

- 1) The thesis contains information provided in confidence
- 2) Releasing the thesis would cause substantial prejudice to commercial interests
- 3) The thesis contains information about research in progress where there is an intention to publish at a later date

In one case a restriction has also been agreed where an author feared his life might be in danger!

- Theses restricted by the Board of Graduate Studies (BGS), Theses where 3rd party copyright material is included, Theses where sponsors requires restrictions (will generally be covered by BGS restriction), Theses where the text will be published by a commercial publisher and the publisher does not allow immediate release, Theses containing sensitive materials
- Restrictions need to be agreed on with the Department and/or Supervisor and/or sponsor/industry partner.
- Students, with the agreement of their supervisor, can request an embargo of normally no more than 3 years for the following reasons:
  - # Commercial Contract
  - # Patent Pending
  - # Ethical Confidentiality
  - # Publication Pending
  - # Third Party Copyright
- Up to 5 years restriction for hard copy. Needs authorisation from Head of Department.
- They may protect their copyright, but we urge them to allow reproduction with appropriate acknowledgement
- unresolved 3rd party copyright, data protection, patent pending, contractual, etc etc
- Restrictions are acceptable if the thesis contains confidential or sensitive material. Generally, the reasons are the same as the exemptions to the Freedom of Information Act .
- Some have specified that they want only the abstract to be available via the IR
- embargo due to planned publication - time limit of up to 5 years
- I don't know if we do.
- Author may request 2 year confidentiality restriction
- If publication is sought. If confidentiality is breached. Sensitive or commercial interest. Too much 3rd party copyright.
- Limited embargo
- Dealt with on a case by case basis
- Embargo for specified period, usually up to 3 years following formal application to Graduate School.
- Request made on case-by-case basis to Postgraduate Studies Committee which has authority to approve or not, and to specify time limit of restriction. Library is not made aware of the reason, only of the decision. Examples would include commercial/confidentiality requirements of sponsor of research
- Commercial sensitivity
- Metadata only if publication follows
- Up to 3 year moratorium delay at request of submitting author (e-only, print copy accessible on request)
- 2 years if seeking publication, 10 years if commercially sensitive and indefinite if there are data protection issues
- Can be subject to an embargo either permanent or time limited
- We are in the process of moving toward mandatory submission of theses from the forthcoming academic year. The policies are still being finalised but we shall probably have allowable opt-out or embargo for sensitive or commercial reasons.
- By agreement with the University. e.g. commercial or political sensitivity; patent pending
- A student's principal supervisor can request for a thesis to be embargoed, eg where there is a patent or book publication pending.
- Embargo periods of up to 2 years may be imposed before thesis becomes open access.

- If there has to be embargoes on it. Also if the student really wants it kept off the repository we are considering allowing that for 1 year.
- Pre-publication, third party copyright, commercial moratoria.
- embargo for commercial confidentiality
- For sensitive content, copyright reasons or reasons of pre-publication
- Embargo on full text for a period of up to 5 years for reasons of commercial sensitivity, prejudicial to future publication, data sensitivity issues. Embargo can be on print and/or electronic. Exceptionally we allow permanent embargos. All embargo requests go to Faculty Business committees and are formally approved/discussed. Renewals can be allowed but have to be formally applied for.
- Only a one year restriction can be requested, longer periods need to be approved by the Board of Studies.
- If the thesis contains sensitive information, e.g., the information could identify research participants
- Students can opt-out, so their thesis is not available online at all or request an embargo period (the length of which is of their choosing.)
- One year after deposit or three years after deposit
- Formal embargoes (for commercial sensitivity, DPA etc) can be requested through formal committee channels - formally embargoed items do not get submitted to the repository or made available in the library. Students can also request an informal embargo during submission to the repository if they are planning to publish from their thesis - in this case, the metadata is freely available and a copy of the thesis can be requested from the author via the repository's "Request a copy" functionality
- We are looking at this - but patent pending would always be an issue
- This has not yet occurred but we would consider requests for restrictions or withdrawals
- 3rd party copyright or commercially sensitive information
- Commercial in confidence, politically sensitive, patent pending
- We only have a few thesis and so far have only experienced time embargos
- Sensitive or personal data
- Various embargo options up to 5 year maximum. 20 years can be requested in exceptional circumstances. There will be a small number of sensitive theses that can never be made openly available.
- Authors can request that theses be embargoed due to commercial or political sensitivity  
We have also permitted one author to embargo his thesis while seeking publication
- As we have none deposited as yet it is difficult to answer this question, and it would be a result of [institution] policy.
- Time embargo
- Commercial or personal sensitivity (generally a maximum of five years)
- Indefinite and fixed term embargoes.
- the same allowances apply as applied to hard copies, i.e. where the thesis contains commercially sensitive data or some personal data
- Usually 3 year restriction
- Embargos on publication or confidentiality basis.
- They may use any of the Creative Commons licences
- Student is able to request restrictions for reasons of confidentiality.
- Embargo allowed for up to 2 years before full text made available.
- Commercial confidentiality; pending publication.
- limit due to commercial sensitivity, IP, copyright etc
- 2 year embargo maximum - student decides
- Delayed publication embargo (temporary embargo)  
Commercially sensitive data or other non-public realm data (permanent embargo)
- embargoes if thesis contains sensitive or commercially valuable data
- Embargoes can be applied for a specified period of time, often because of a publishing deal.
- Possible embargoes due to patent applications.

- Restrictions may be for reasons of confidentiality, data protection, commercial sensitivity etc
- Confidentiality required by sponsor
- commercial sensitivity; confidentiality agreement
- Currently very limited, mainly due to possible publication. This is authorised at quite a high level. This may be reviewed when the form is designed that they sign for their degree, though it will probably not be the library who designs this. We will be feeding in some advice on this though next year.
- This has not been requested as we have only just agreed our mandate. Any requests for restrictions would be considered by the Research Degrees Committee
- Yes can ask to restrict for up to max 2 years - students decision

Respondents with print only deposit:

Do you allow authors of theses to impose restrictions on access to their work?		
Answer Options	Response Percent	Response Count
No	40.0%	18
Yes : Please give details of acceptable restrictions (below).	60.0%	27
<i>answered question</i>		<b>45</b>
<i>skipped question</i>		<b>99</b>

- Confidential or commercially sensitive in which case they would not be publicly available until after the embargo period
- Can opt out on not having theses digitized in the future
- We will place older theses by current members of the teaching staff on closed access if they feel that their earlier research is not in keeping with their current [performing arts] practice
- mainly related to commercial sponsorship issues
- Restriction on loan depending if there are particular commercial sensitivities.
- Embargoes can be requested
- Theses may be embargoed from any public consultation; periods of more than three years require ongoing permission from the Faculty Research Committee
- Commercial sensitivity; Impending publication deal
- I'm not sure of the specific details, but I would imagine any reasonable request to restrict access would be upheld.
- Embargoes
- potential publication  
potential commercial exploitation
- Commercial or ethical sensitivities
- commercial exploitation, patenting or if the thesis contains material that is of significance for national security
- Restrictions can be for up to five years and can include not providing the thesis on ILL or to EThOS, not allowing photocopying, not allowing access to the hard copy. In exceptional circumstances we may allow an author's request to have the thesis suppressed from the public catalogue and/or restricted for longer than five years. We have a restricted access form which the author fills in, which must also be counter-signed by the supervisor.
- Common to most other places: commercial sensitivity, patent application pending, privacy of individual/organisation, prior publication . 2 year embargo (discretionary - can be extended).
- Embargo if commercial subject
- The answer is I don't know
- I'm not sure about this, though I think probably not.
- commercially sensitive information, 3rd party imposed restrictions

- No photocopying (under review); no use of material for publication without permission of author.
- We accept periods of embargo, generally for up to 3 years after completion
- They can request that theses are not made available, either at all (not encouraged) or for a specified length of time e.g. to enable publication or parts/all
- Although no restrictions currently apply we would be willing to consider any requests
- This is an 'in principal' Yes - the issue has not arisen so far
- Seeking to publish; sensitive data; co-sponsored (commercial)
- Restrictions can be imposed if the release of the material might prejudice commercial interests of any person or if the thesis includes information that was obtained under a promise of confidentiality.
- Did not allow library to hold thesis for a couple of years

### 13. *Institution Imposed Restrictions to Theses*

Respondents with electronic or mixed deposit:

Does your institution impose access restrictions to e-theses?		
Answer Options	Response Percent	Response Count
No	50.0%	42
Yes : Please give examples of restrictions that might apply (below).	50.0%	42
<i>answered question</i>		<b>84</b>
<i>skipped question</i>		<b>60</b>

- Confidential or commercially sensitive in which case they would not be publicly available until after the embargo period
- Can opt out on not having theses digitized in the future
- We will place older theses by current members of the teaching staff on closed access if they feel that their earlier research is not in keeping with their current [performing arts] practice
- mainly related to commercial sponsorship issues
- Restriction on loan depending if there are particular commercial sensitivities.
- Embargoes can be requested
- Theses may be embargoed from any public consultation; periods of more than three years require ongoing permission from the Faculty Research Committee
- Commercial sensitivity; Impending publication deal
- I'm not sure of the specific details, but I would imagine any reasonable request to restrict access would be upheld.
- Embargoes
- potential publication
- potential commercial exploitation
- Commercial or ethical sensitivities
- commercial exploitation, patenting or if the thesis contains material that is of significance for national security
- Restrictions can be for up to five years and can include not providing the thesis on ILL or to EThOS, not allowing photocopying, not allowing access to the hard copy. In exceptional circumstances we may allow an author's request to have the thesis suppressed from the public catalogue and/or restricted for longer than five years. We have a restricted access form which the author fills in, which must also be counter-signed by the supervisor.

- Common to most other places: commercial sensitivity, patent application pending, privacy of individual/organisation, prior publication . 2 year embargo (discretionary - can be extended).
- Embargo if commercial subject
- The answer is I don't know
- I'm not sure about this, though I think probably not.
- commercially sensitive information, 3rd party imposed restrictions
- No photocopying (under review); no use of material for publication without permission of author.
- We accept periods of embargo, generally for up to 3 years after completion
- They can request that theses are not made available, either at all (not encouraged) or for a specified length of time e.g. to enable publication or parts/all
- Although no restrictions currently apply we would be willing to consider any requests
- This is an 'in principal' Yes - the issue has not arisen so far
- Seeking to publish; sensitive data; co-sponsored (commercial)  
Restrictions can be imposed if the release of the material might prejudice commercial interests of any person or if the thesis includes information that was obtained under a promise of confidentiality.
- Did not allow library to hold thesis for a couple of years

Does your institution impose access restrictions to theses?		
Answer Options	Response Percent	Response Count
No	51.1%	23
Yes : Please give examples of restrictions that might apply (below).	48.9%	22
<i>answered question</i>		<b>45</b>
<i>skipped question</i>		<b>99</b>

- Departments can impose embargo
- Possibly on theses on security issues
- They are only accessible to our students and staff. Post-doctoral theses must be requested via Ethos as we are Level 2 members.
- They are often confined to the Library and may only be consulted there.
- Only copying of contents list and or references permitted
- Can deny access to theses that may have confidential information
- We don't lend ours via ILL
- Reference only - can only be removed from open shelves area to be used elsewhere in the library on production of a student id card.
- As above
- Some theses (PhD) will have embargoes placed on them but this only applies to the full-text.
- We have not had the occasion to apply restrictions to hard copy theses, but we might were the thesis considered sensitive (for whatever reason) by its author or supervising academics.
- Hard copies only available for use within the library and also available for inter-library loan
- We do not provide access to theses at the [awarding body]. Copies may be kept at the [institution] at which the student studied.
- Again, I'm not entirely sure, but I would imagine we have in the past, if there is good reason to do so.
- Embargoes as required
- Only inasmuch that we do not always receive a library copy of all PhD theses by staff.

- From June 2010 newly registered students will hopefully be mandated to deposit an e-version of their marked/awarded work and we will join EThOS (subject to 17th June 2010 meeting of the [senior committee]) . There are issues over non-text (called 'supplementary material') as we have a lot of non-text work with an emphasis on the creative industries, arts, design, music, architecture, engineering and the arts. Directors of Research would like non-text material available online also. Also issues over plagiarism detection. All future theses will be on open access via institutional repository and EThOS, subject to same print based embargo rules.
- available to [institution] staff and students only
- not available for loan
- No photocopying; cannot be taken out of library building.
- Theses are reference only are not on the open shelves. These cannot be photocopied or scanned and require readers to sign a copyright declaration form agreeing to these conditions
- Not allowed to be taken from the library  
Reference/photocopying (within copyright guidelines only)

## 14. *Third Party Copyright Policy*

Respondents with electronic or mixed deposit:

Do you have a stated policy on 3rd party copyright material?		
Answer Options	Response Percent	Response Count
No	26.3%	21
Yes	73.8%	59
Please add more information if you wish to clarify (below).		46
	<i>answered question</i>	<b>80</b>
	<i>skipped question</i>	<b>64</b>

- See [institutional web address]
- EThOS wording used in letter/licence - responsibility lies with author of thesis
- Supervisors are encouraged to brief students. Declaration form and student handbook asks student to ensure third party is handled properly
- We place the onus on the person wishing to make any copies of 3rd party material to clear copyright themselves.
- See document [number] at [institutional web address]
- Student signs to say they have permission to use third party material
- Unsure; as our e-theses service is quite new (founded in October 2009), policies and procedures are being put in place as different situations arise.
- We strongly suggest that students clear all third party copyright which does not obviously fall under fair dealing exceptions but we don't have a set policy on third party copyright and we do not ourselves check theses once the student and supervisor have signed the 'permission to deposit' form which declares that the thesis doesn't knowingly infringe anyone's copyright.
- Reproduction only allowed with permission and all references to be acknowledged.
- its up to the Author to take responsibility but we give lots of advice and check anyway
- The student should attempt to seek permissions to include material that could be challenged by a 3rd party rights holder, or may supply a redacted version of the thesis for access, with the infringing material removed.
- I don't know the answer to this.
- I agree as follows:
  1. That I am the author or have the authority of the author/s to make this agreement and do hereby give [Institution name] University the right to make the

Work available in the way described above.

2. That I have exercised reasonable care to ensure that the Work is original, and to the best of my knowledge, does not breach any laws including those relating to defamation, libel and copyright.

3. That I have, in instances where the intellectual property of other authors or copyright holders is included in the Work, gained explicit permission for the inclusion of that material in the Work, and in the electronic form of the Work as accessed through the open access digital repository, or that I have identified that material for which adequate permission has not been obtained and which will be inaccessible via the digital repository.

4. That [Institution name] University does not hold any obligation to take legal action on behalf of the Depositor, or other rights holders, in the event of a breach of intellectual property rights, or any other right, in the material deposited.

5. That if, as a result of my having knowingly or recklessly given a false statement at points 1, 2 or 3 above, the University suffers loss, I will make good that loss and indemnify [Institution name] University for all action, suits, proceedings, claims, demands and costs occasioned by the University in consequence of my false statement.

- No stated policy, though it is emphasised that this requires attention and students have to sign a disclaimer indicating they are not breaching anyone's copyright
- Not aware
- The student has to declare it and we remove it. We still check before uploading.
- Students have to show they have cleared 3rd party copyright to the Research Office in advance of deposition of e-theses
- Author affirms at submission "That I have exercised reasonable care to ensure that the Thesis is original, and does not to the best of my knowledge break any UK law or infringe any third party's copyright or other Intellectual Property Right"
- Students must seek 3rd party copyright permission prior to submission, or, where permission is not granted, remove the relevant material.
- We will advise researchers on how and when to obtain permission for them to include third party materials and allow for edited versions to be made available where permissions cannot be granted. We shall also ask researchers to sign an agreement, stating there is no third-party infringement upon submission.
- [Institutional web address]
- Students are required to agree:  
I understand that before my thesis is made available for public reference and copying, the following statement will have been included at the beginning of my thesis:  
The copyright of this thesis rests with the author and no quotation from it or information derived from it may be published without the prior written consent of the author.  
I warrant that this authorisation does not, to the best of my belief, infringe the rights of any third party.
- Those issues are all currently being looked at
- Not sure what you're asking. We encourage students to obtain permission before releasing it on the Internet.
- Yes in the sense that we talk re. 3rd party material in our documentation. Plus the deposit licence which the pgs sign up to requires copyright compliance with 3rd party material. We also do specific training sessions in schools to raise awareness of this. I do joint sessions with the university copyright officer
- Students must agree that they are the owner of the copyright in a thesis and have received permission to include 3rd party copyrighted material when submitting the thesis.
- Copyright policy is in the process of being reviewed and updated - at the moment any 3rd party copyright material is removed from the open access version
- Guidelines for students submitting rather than a formal policy (see next question for url)
- Our repository eTheses policy has a section on Copyright which outlines the author's responsibilities and ends with the statement: "Upon submission to the Repository, by agreeing to the Deposit Agreement, the submitter takes upon themselves the responsibility of ensuring suitable copyright compliance."
- But these are things that we would be working on in preparation for the first deposit of MA work.

- Not that I am aware of.
- Will not allow it to be accessed
- If the submission contains material for which you do not hold copyright, you represent that you have obtained the unrestricted permission of the copyright owner to grant [Institution] University the rights required by this license, and that such third-party owned material is clearly identified and acknowledged within the text or content of the submission.
- Advice and guidance is available online but the onus is on the student to clear copyright and indicate this in their thesis. Under the current policy, [Institution] does not offer an option to edit the thesis to remove elements where copyright has not been cleared.
- We only have a stated policy to the extent that all successful students receive a letter inviting them to submit their thesis electronically, which alerts them to their responsibilities regarding third party copyright
- There are guidelines and a deposit agreement regarding copyright clearance and that it is the responsibility of the depositor.
- Candidates are expected to remove third party copyright material from the publicly accessible version of their thesis
- Students should not infringe third-party copyright if they wish to make their thesis open access. They are advised to seek the permission of any owners of third party material before they include this into their theses. We provide advice on how to do this.
- Make it clear that students should do best to clear if possible. If not, can restrict.
- Students must clear third party content and advise us if any third party content is included in the work.
- Author is deemed to have requested clearance from copyright holders
- Good practice in this regard is dealt with in thesis regulations and in research training programmes.
- It is made plain to students in documentation and instruction sessions that they are responsible for avoiding copyright infringement
- Our copyright pages are currently under review as responsibility for copyright is moving to the Library - our pages currently point to [consortium partner]'s policy (with their permission) and we will be using the same
- We have policies to write in relation to this in the future.
- Included in the Self Archiving and Research Repository Policy

Respondents with print deposit:

Do you have a stated policy on 3rd party copyright material?		
Answer Options	Response Percent	Response Count
No	69.8%	30
Yes	30.2%	13
Please add more information if you wish to clarify (below).		13
	<b><i>answered question</i></b>	<b>43</b>
	<b><i>skipped question</i></b>	<b>101</b>

- Don't think so, although have discussed
- Covered by our institutional repository policy at [institutional web address] and our information and communication policies at [institutional web address] . Our general copyright guidelines are at [institutional web address] . These are not specific to theses.
- Unsure at the moment
- But this applies only to the electronic version and not to the print copy submitted for examination purposes
- under development
- Guidelines are being produced in connection with the move to electronic deposition.

- Everything requested by EThOS is checked by our Rights Department. However, going forward, when we begin accepting the deposit of eTheses in our repository, the onus will be on the depositor, with guidance provided.
- Not as yet- when electronic submission occurs, we will have a 3rd party copyright statement.
- In my role as Repository Manager I have limited experience of policies are place for our printed theses, but I believe that the Student is required to include a signed statement on copyright etc. at the front of each theses. We are still considering these policies for electronic submissions in future.
- [institutional web address]
- We will have in the new proposals to amend existing research degree regulations, procedures and training. Onus will be on the student to identify 3rd party material, location in the theses (page numbers/headings etc) and state if permission has been granted for repository access and publication on the Internet. This will be through a special etheses submission form.
- But we will when we move to electronic deposit.
- Current guidance provided by Graduate School (Postgraduate Code of Practice). New guidance, policy and procedures will need to be introduced with e-thesis submission. The code of practice for research degrees indicates that students must exercise reasonable care to ensure that the work is original, does not break any UK law or infringe any third party copyright or other IPR.

## 15. *Third Party Copyright Policy*

Respondents with electronic or mixed deposit:

Do you have a stated policy for dealing with copyright complaints? (eg a take-down policy)		
Answer Options	Response Percent	Response Count
No	21.5%	17
Yes	78.5%	62
Please add more information if you wish to clarify (below).		43
<i>answered question</i>		<b>79</b>
<i>skipped question</i>		<b>65</b>

- Take down immediately pending investigation
- rapid take-down policy
- We have a policy of sorts (still quite new), though don't publicise it. More or less involves taking it down and investigating on a case by case basis.
- [Institutional web address of take down policy]
- Thesis taken down, issue investigated. Thesis either put back or left out depending on result of investigation
- See above: I don't think there is a stated policy as yet for our e-theses service. However, we do have a take down policy for our institutional research repository, [Institutional repository name], so this may be something that is considered for e-theses in the future.
- [Institutional repository name] (the repository) has a generic 'take-down' policy
- [Institutional web address of repository policies]
- We have had 1 instance of the author informing us her thesis had been plagiarised. This e-thesis had been added via EThOS. We took the e-version down from [Institution] Theses Service and also requested an EThOS takedown, which was dealt with promptly
- [Institutional repository name] has a clear take-down policy for works that are challenged:

[Institutional web address of take down policy]

- We will take down and investigate any complaint.
- immediate take-down policy
- Take down policy based on the polices generation tool at SHERPA available through the repository interface
- Not aware
- Immediate take down, then will assess
- Current policy is take down on challenge, investigate legality, discuss with all stakeholders and make final decision. Tombstone record remains at all times.
- Take down policy while complaints are investigated
- Immediate take down whilst the complaint is investigated for the whole of the institutional repository.
- Current implicit take-down policy; but will probably introduce stated policy shortly
- [Repository] - Rapid take down policy  
[Repository] aims to make the work of researchers and academics at [Institution] publicly available to all via the web. Its content is preserved long term and remains in its open archive indefinitely. Should you have a legitimate reason (e.g. infringement of copyright) to request the removal of a publication from [Repository], please follow the recommendations below:  
Please supply the following information to: [email address]  
Your details:  
Name:  
Organisation:  
Email address:  
Telephone number:  
Reason for requesting withdrawal:  
Publication details:  
Title of the publication:  
[Repository] item URL: (e.g. nnn.example.net/10044/1/XXXX)  
Action on receipt of a withdrawal request
  1. The library will review the request. If considered reasonable the material will be immediately withdrawn from public view.
  2. The requester will receive an email of the action taken, within one day.
  3. If the action was to withdraw the publication, the request will be reviewed by the [Institution].  
This may take up to 10 working days.
  4. The outcome of the review will be communicated to both the requester and the [Institution] author(s) of the publication.
  5. If the withdrawal is agreed then the publication will be permanently withdrawn from [Repository].

N.B. Metadata for withdrawn publications will remain in the repository but will not be harvested.
- Those issues are all currently being looked at
- Take-down policy and complaint form/procedure
- We talk about it in training but we don't specifically have this written down or highlighted on web pages. This is deliberate in a sense. to keep the issue low key, but to reassure students that we can act quickly on take down if we need to.
- This is part of the repository policies
- As above, currently under review
- Same policy as for other repository items: [Institutional web address of repository policies]
- Not that I am aware of.
- Take down policy
- Any items which are later found to be unlawful or subject to question will immediately be removed from public view and removed entirely if proved to infringe the law whether under UK or international law.
- It's very basic. We have received two take down requests (both from authors and not copyright related) which have been dealt with quickly.
- We have a statement on our repository which states we will take down material if

copyright holders notify us

- Deposits are taken-down following a third-party complaint. The creator/owner of the work is contacted and informed of the complaint (where possible). Working with the creator/owner and complainant we attempt to resolve the issue and ONLY make the work open access again once this has been achieved.
- The e-thesis will be immediately taken down and the complaint will be investigated.
- Or at least we will have it stated in the next few weeks.
- See above - immediate takedown pending outcome of investigation
- or rather there is one that will be in place when the repository is running fully.
- The Examinations Office is responsible for loading and taking down theses.
- We are in the process of developing a policy before our institutional repository goes live.
- See [Institutional web address of repository]
- IR will have take-down policy. There is a legal services procedure
- This is on our ePrints repository
- Included in the Self Archiving and Research Repository Policy
- [Consortium repository] policy - authors can ask to have thesis taken down

Respondents with print only deposit:

Do you have a stated policy for dealing with copyright complaints? (eg a take-down policy)		
Answer Options	Response Percent	Response Count
No	59.1%	26
Yes	40.9%	18
Please add more information if you wish to clarify.		15
<b>answered question</b>		<b>44</b>
<b>skipped question</b>		<b>100</b>

- Take down policy for any copyright complaint - only electronic access is EThOS though
- A take-down policy is included in our institutional repository where the theses will be uploaded.
- I don't think so as our theses are only held in print in the Library at the moment
- We are clear about what we accept - the take-down policy is not made explicit, though we do if this is the solution
- We do have a policy for the institutional repository which as this would be the place for electronic deposit of theses would probably form the policy for electronic theses too.
- For theses in the digital archive, we do. For hard copy theses, there is no explicitly stated policy and complaints would be dealt with via normal library channels.
- A take-down policy.
- See above
- We will have a policy for the University repository
- Not really applicable in a print-only environment?
- Similar to the EThOS and [another] University one.
- We have a take-down policy re: EThOS
- But we will when we move to electronic deposit.
- But we do have an IPR committee and a take-down policy for web pages, so could react in a timely fashion if necessary
- May be guidance provided by Graduate School. Again, new guidance, policy and procedures will need to be introduced with e-thesis submission.  
It has not been made explicit but we would use a take-down policy if a complaint was received.

## 16. Publicly Available Policies

Respondents with electronic or mixed deposit:

Are any of your policies relating to e-theses available online?		
Answer Options	Response Percent	Response Count
No, not available	37.3%	22
Yes, openly available on the internet (URL below)	62.7%	37
<i>answered question</i>		<b>59</b>
<i>skipped question</i>		<b>85</b>

Respondents with print only deposit:

Are any of your policies relating to theses available online?		
Answer Options	Response Percent	Response Count
No, not available	66.7%	8
Yes, openly available on the internet (URL below)	33.3%	4
<i>answered question</i>		<b>12</b>
<i>skipped question</i>		<b>132</b>

URLs from all respondents have been collated and are not anonymised.

- (Guidelines for students submitting e-theses)  
<http://www2.warwick.ac.uk/services/library/main/research/instrep/erepositories/theses/>
- A review of these has just reported, and so they will be available in the next few weeks.
- available when the individual is depositing and on the publication agreement form signed by students (under review)
- <http://bradscholars.brad.ac.uk>
- <http://clouk.uclan.ac.uk/policies> They are still in the process of being written and posted
- <http://dspace1.isd.glam.ac.uk/dspace/>
- <http://eprints.hud.ac.uk/policies.html>
- <http://etheses.nottingham.ac.uk/policies.html>
- <http://repository.uwic.ac.uk/dspace/faq/faq.jsp>
- <http://research-archive.liv.ac.uk/policies/e-theses.html>
- <http://theses.gla.ac.uk/>
- <http://workspace.imperial.ac.uk/registry/public/Procedures%20and%20Regulations/Regulations/Academic%20Regulations%202009-10/MPhil%20and%20PhD.pdf>
- <http://www.abertay.ac.uk/media/Self-Archiving-and-Research-Repository-PolicyV1-1.pdf>
- <http://www.bath.ac.uk/library/services/etheses/>
- [http://www.bodleian.ox.ac.uk/ora/ora\\_documents2](http://www.bodleian.ox.ac.uk/ora/ora_documents2)
- [http://www.bournemouth.ac.uk/research/graduate\\_school/Postgraduate\\_Researchers/rdprocess.html](http://www.bournemouth.ac.uk/research/graduate_school/Postgraduate_Researchers/rdprocess.html)
- <http://www.brunel.ac.uk/life/study/library/researcher/thesis/archiving.aspx>
- [http://www.bucks.ac.uk/library\\_services/bucks\\_knowledge\\_archive.aspx](http://www.bucks.ac.uk/library_services/bucks_knowledge_archive.aspx)
- <http://www.gre.ac.uk/offices/ils/ls/policies/thesesretention>

- <http://www.is.stir.ac.uk/research/repository/policy.php>
- <http://www.keele.ac.uk/gradschool/prospective/researchdegree.htm>
- <http://www.lboro.ac.uk/admin/ar/templateshop/> - documents 4.1a to 4.1e
- <http://www.leeds.ac.uk/rds/thesissubmissionandexamination/students/ethesis/ethesis.html#project>
- <http://www.lib.cam.ac.uk/repository/theses/>
- <http://www.lib.strath.ac.uk/theses/digitaltheses.htm>
- <http://www.manchester.ac.uk/escholar>
- <http://www.northumbria.ac.uk/researchandconsultancy/graduateschool/currentpgrs/pgrdocumentation/>
- <http://www.reading.ac.uk/library/finding-info/copyright/lib-copyright-theses.aspx>
- <http://www.st-andrews.ac.uk/library/Collections/Theses/> <http://www.st-andrews.ac.uk/media/Code%20of%20Practice%20for%20Supervisors%20and%20Students%20in%20Research%20Postgraduate%20Programmes%202009-2010.pdf>
- <http://www.st-andrews.ac.uk/media/Electronic%20deposit%20and%20Electronic%20publication%20of%20MPhil%20and%20PhD%20theses%20letter%20Mar%202008rev.doc>
- <http://www.ucl.ac.uk/Library/e-theses/>
- [http://www1.lsbu.ac.uk/rbdo/students/researchdegrees/research\\_academic\\_reg.shtml](http://www1.lsbu.ac.uk/rbdo/students/researchdegrees/research_academic_reg.shtml)
- <http://www2.le.ac.uk/departments/gradschool/resources/thesis/what-next/final-submission>
- <https://theses.ncl.ac.uk/dspace/>
- More guidance than policy:  
<http://as.exeter.ac.uk/library/resources/thesesexeter/ethesisfaq/>
- Not yet available as this is an area under investigation.
- Not yet but will be soon via our JAWS document library at <http://www.bcu.ac.uk/jaws>
- Policies relating to IR which would include theses but not e-theses alone:  
<http://libweb.anglia.ac.uk/academic/files/ARROguide.pdf>
- Some info is available at <http://etheses.bham.ac.uk/deposit.html>
- student degrees handbook available at:  
<http://www.herts.ac.uk/fms/documents/research/research-degrees-handbook-2009-version.pdf>
- University regulations but still refer mainly to print version as only just changed  
<http://www.york.ac.uk/admin/aso/ordreg/r2-8.htm>; otherwise WRRO

**If your policy is not available online, please provide a brief summary of its main terms and conditions.**

Answer Options	Response Count
	4
<i>answered question</i>	<b>4</b>
<i>skipped question</i>	<b>140</b>

- 3rd party copyright clearance must have been obtained by the author
- Just that any reasonable request from a third party for an item to be removed from the repository will be upheld.
- Framework Document containing:
  - Policy and procedure for submission and e-submission (amendments to existing university regulations 2 x hard copies and 1 x e-copy)
  - Plagiarism Detection procedure
  - Forms (e-submission permission, 3rd party copyright declaration etc)
  - Notices (e.g. Notice & Take Down ; Comments & Complaints)
  - How it works (process/workflow) charts (various for repository staff, student, supervisor etc)
  - Guide for research supervisors
  - Guide for research students

- Further information , advice or complaints
- general copyright and IPR law interpretation

## Practices

### 17. Storage of Hard Copy Theses

Respondents with electronic or mixed deposit:

How do you store your hard-copy theses? For example, in an off-site store, in a secure area within the library, on open shelves.	
Answer Options	Response Count
	80
<i>answered question</i>	80
<i>skipped question</i>	64

- Off-site store.
- Printed theses stored in closed access stack. Retrievable via request form.
- We store old theses (pre 2010) in a closed access store in the basement.
- Secure area within Book Library
- In an off-site store
- Open shelves
- In an off site store. If a user requests a thesis for consultation, this is collected by Library staff and stored securely behind the Library service desk. However, new theses (since the start of the e-theses service in October 2009) are only available to users in electronic format.
- In a secure area within the library
- In Special Collections Room in Library, restricted access.
- Secure area within the library.
- The majority are stored in an off site store available by request. Others are stored securely available for consultation only with consent from the author.
- A secure area within the library.
- Theses stored in secure area in Special Collections
- Secure area in library
- Off-site store - the etheses process is in pilot 2010-2011 and after that we may stop accepting hard copy in the library - copies may still be held in the Schools
- In a secure store within the Library
- In a secure archive within the library
- Closed store in library
- In library but not open access.
- Hard copy in secure area within the library
- Secure area within the library
- in a secure area within the library
- In Library basement, with some in shortloan collection as required or requested by lecturers
- Secure area in library
- In secure area within Library
- Haphazardly in Departments. Not aware of library practice.
- Hard-copy theses are stored in a closed-access area within the library

- Off-site store
- Pre 2007 theses are available in print on the open shelves
- Locked library stacks.
- In an off-site store (within University campus)
- Restricted areas of libraries, only available on request or reference only. Storage may soon be changing with changes to the structures of our four libraries. May be held on one site in future, rather than the site where the subject is taught, as at present.
- secure area (lockable glass cabinets) within the library
- Open shelves
- Hard copies are stored in the Central Library in closed access stacks. They are available on request for reference only use in the library.
- Secure area within library. Access by request
- Currently they are validated by [awarding body] therefore [awarding body] holds a hard copy and the [named institution] partner library holds a copy. Dependant on the funding of the thesis this will determine if it is available for public view
- Secure area within the library
- Secure area within the library
- Closed access store
- Secure storage in our Special Collections stacks. Restricted public access. Have to be requested for use in the Library.
- In a secure area within the library building
- In a secure area of the Library, can be consulted on request
- In our [archives/special collections of institution], where they are available for consultation on request.
- Secure area within library, accessible only to library staff
- Secure area in library
- Secure area within the Library.
- Secure areas within the libraries
- Closed collection in Library. Users must request items.
- Open shelves in library
- secure area in the library
- In library office at main site and in library at site library
- Closed store in Research Directorate and selected items in secure area within the Library
- Closed area in the library - access on request.
- We no longer receive hard copy theses, but the existing ones are kept in secure areas in the library (except in one Learning Centre where they are on open shelves).
- Secure area within the library. It is intended to have electronic copies in the repository.
- On the open Shelves
- In an on-campus store
- On open shelves as reference only material
- One copy is available for reference use from Special Libraries & Archives. If a second copy is available it is kept in the theses store and made available for loan (subject to any conditions imposed by the author) on request.
- secure area within library
- Library, public (open access theses) and private (closed access theses) shelves
- Secure area
- Off-site store
- Theses that submitted before e-theses-only submission are submitted in printed bound format. They are stored in a secure area in the library.
- Stored in reference only section of the Library.
- Locked cupboards
- I believe that these are kept on-site but not on open shelves.
- Mainly in off-site closed-access store; one library has its own closed-access store.
- On site moveable shelving, closed access.
- In an off-site store

- Currently in an off-site store (up to now, stored in a secure store within the library, but moved because of building works)
- Off-site store
- Locked cabinet in library
- On-campus store
- on open shelves in library
- Off-site store
- Open shelves in library
- N/A
- Secure store in the Library

Respondents with print deposit only:

How do you store your hard-copy theses? For example, in an off-site store, in a secure area within the library, on open shelves.	
Answer Options	Response Count
	44
<i>answered question</i>	<b>44</b>
<i>skipped question</i>	<b>100</b>

- In Library on shelves
- Secure area with in the Library
- In secure area within the Library
- In a secure area behind the library counter at two of our sites. Our third site currently houses some theses in an off-site store but will be lost as the area will be used for development.
- Usually in a secure area within the library, though sometimes on open shelves
- With the Key Text Collection: open access but with an additional security barrier
- In our Short Term Loan room
- Open reference shelves
- closed access in library
- Open shelves adjacent to issue desk.
- In library on open shelves
- On open shelves
- Closed access in an on-site library store.
- Cupboard in main library that is only accessible on request by library staff.
- In the library stack, which is accessible only by library staff. Students, academics and members of the public can request access to theses by placing a hold on the item.
- Secure area of library
- We only keep them in the short-term for administrative purposes in on-site storage
- In a depository building located on our campus.
- Open shelves, I think.
- Secure area in the Library.
- Most recent are stored in a secure area within the Libraries for Reference use only. Due to space limitations older theses are stored in an off-site store
- Closed access store within Library
- Secure area within the library
- On open shelves within the Library
- In a closed access area within the library
- Secure closed access, currently the basement of the Main Library building but we have plans to send older theses to remote storage
- On open library shelves.
- Open shelves

- Secure reference areas (usually closed access staff stacks etc) within libraries serving their respective campus Faculties and Departments.
- On open shelves - master level only
- in a secure area within the library
- secure compact shelving
- secure area within library
- Open shelves in short-loan area.
- Secure area within Library.
- Secure library stores
- On open shelves in [individual named] library. None received by [individual named] library.
- The theses are catalogued and kept behind the library desk.
- In a secure area of the Library - items have to be requested and collected by Library staff
- on open shelves
- In a closed access area of the Library
- In the library on open shelves within our reference collection
- On site, in a secure store.
- On open shelves in library

## 18. Thesis Deposit Workflow

Respondents with electronic or mixed deposit:

After assessment, how are theses processed in your institution? Please describe the workflow briefly. eg.	
1. Thesis received by with Registry 2. Print copy sent to the academic department of the author 3. Electronic copy sent to Library for cataloguing 4. Full text placed in Repository	
Answer Options	Response Count
	80
<i>answered question</i>	80
<i>skipped question</i>	64

- 1. Theses received by Student Records (MPhil or PhD) or the Examination Office (EngD, DClInPsy etc)
- 2. Print and digital (where included) MPhil/ PhD theses sent to [institutional repository] for processing.
- 3. Theses records created in [institutional repository], including full text where permitted.
- 4. Check permissions as and when required.
- 5. Send theses to Cataloguing team for adding to the main library catalogue.
- 6. Theses sent to Stores in [storage facility name].
- Research Office deals with submission of theses. Member of staff in RO deposits electronic version in repository. Repository administrator creates link from OPAC. Hard copy sent to LRC for storage.
- The example given is exactly what we do:
  1. Thesis (1 print, 1 PDF/electronic) received by Registry
  2. Print copy sent to the academic department of the author
  3. Electronic copy sent to Library (along with metadata details) for cataloguing
  4. Full text placed in Repository by Library cataloguing staff.
- MAs:

1. Print copy received with Registry and bound
  2. Print copy sent to Book Library for cataloguing
- PhDs (from 2010)
1. Electronic copy received with Registry
  2. Electronic copy transferred to Book Library closed access repository
- 1. Print copies received by Research Student Office (RSO), along with Thesis Deposit Agreement form
  - 2. Student submits electronic copy via the online submission form (an automatic email notifies RSO - thesis is stored in the repository at this point, but not visible online)
  - 3. Thesis approved by Senate and Faculty
  - 4. RSO send a print copy to the Library to be catalogued and the electronic version is made visible online in the repository (if the status is "Open")
  - 1. Thesis received by School
  - 2. Third copy sent over to Library (this is the 1st ed of print, and e-copy on CD/DVD). Library checks that thesis formatting is OK (print only)
  - 3. Final corrected copy & CD brought over by student or School to replace 1st edition
  - 2.[alternative trial - School manages corrections and only 'final' corrected copies of print and 'e' brought over. Supervisor will check that formatting is OK]
  - 4. Thesis sent for binding (internal binders)
  - 5. Bound thesis catalogued (currently metadata on both LMS and Repository, IR includes full-text) , [soon to be catalogued only on Repository and metadata copied across to catalogue - with repository handle]
  - 6. Thesis shelved
  - Author submits copy of hard bound thesis to the Graduate School.  
Author submits soft copy of thesis to the e-theses repository.  
The thesis title is verified and deposit checked by the Research Office.  
The electronic copy of the thesis is catalogued by the Library.  
Full text goes live in Repository.
  - When a thesis is submitted for examination the Board of Graduate Studies (BGS) notifies the repository team who provides access to deposit thesis in [institutional repository] An email is sent to the PhD candidate about the voluntary deposit scheme and the students are offered to deposit their e-thesis after the viva  
After the viva the print copy is sent from BGS to the University Library where the Manuscript department staff catalogues it and verifies that any deposited electronic versions can be released in the repository. Electronic copies are not catalogued separately but records contain a URL to the digital copy.
  - 1. School sends viva outcome & official documentation to Graduate School
  - 2. Graduate School sends Completion Memo to Subject Librarian
  - 3. Candidate submits to Research Administrator a printed copy for School (if required)
  - 4. Candidate submits the following to Subject Librarian:
    - Printed copy of thesis;
    - Electronic copy of thesis;
    - Deposit of and Access to Thesis Form (including details of restriction if relevant)
  - 5. Subject Librarian checks the integrity & completeness of submitted thesis and:
    - passes thesis to Senior Library Cataloguer (adds metadata to Library Catalogue, deposits thesis in repository, sends metadata to BL)
    - inform Graduate School (original signed copy of Deposit of and Access to Thesis Form)
  - 6 Graduate School review all documentation and:
    - recommend conferment of award to Senate (via memo to Registrar);
    - inform Graduation Officer for Graduation arrangements;
    - send award letter to candidate.
  - 1, 2, 3 and then 4.
  - 1. Student submits print copy and Access Form detailing any embargo requests (plus e-version on CD-ROM/memory stick if an embargo has been requested) to Faculty Graduate School.
  - 2. Student registers with the [Institution] Theses Service, submitting metadata for the thesis and uploads an e-version in PDF format (uploads if no embargo issues apply).
  - 3. Library confirms registration with both Faculty and student. Library requests the print copy of the thesis and Access Form (as well as the e-version if an embargo has been requested).

4. Once Access Form has been received Library makes the thesis record available publicly via the [Institution] Theses Service site.
  5. If an embargo has been requested Library files the CD/memory stick and backs up the e-version on an external drive.
  6. Once the print copy has been received Library catalogues both the print and e-versions linking the repository record with the catalogue record.
- 1. Print and e-thesis plus forms including Permission to Deposit form submitted to School Office
  - 2. School Office send print copy to library for cataloguing
  - 3. School Office retain Permission to deposit form in central folder (not in student record)
  - 4. School Office upload e-thesis into Repository
  - 1. Final submission - one hard copy plus electronic copy on CD handed into College Office.
  - 2. College Office periodically sends batches to Library for cataloguing
  - 3. CD copy is archived in Institutional Repository
  - 4. Hard copy currently catalogued for inclusion in OPAC
  - 5. Work is ongoing to merge steps 3 and 4
  - Thesis received by Registry, then forwarded to Library for cataloguing. Full text placed in Library repository. (In fact, this is our first year of electronic submission and it is being trialled in one department only [subject].
  - 1 Theses emailed with forms, Copyright forms and statements and permissions (if any) to Graduate research office by students
  - 2 Graduate Research Office perform checks re eligibility
  - 3 Graduate Research Office upload eThesis
  - 4 IR staff perform checks re metadata and copyright
  - 5 IR staff release the item
  - 1. Print copy of thesis received by Registry
  - 2. Electronic copy received by Library. Metadata and full text uploaded to repository. Some few students self-deposit in the repository. (We are working on streamlining this stage)
  - 3. After Graduation, e-copy full-text "released" in repository (unless restricted)
  - 4. Print copy sent to the Library, catalogued (re-using metadata from repository where possible) and shelved in the store.
  - 4. Full text placed in Repository
  - Thesis received from student (library organises binding so one copy is kept before sending to student/faculty)
  - Print copy kept in discrete collection
  - or full text placed in Repository
  - Print thesis and version on CD received by Graduate School together with necessary paperwork
  - Graduate School contacts me and I collect print thesis and CD and paperwork
  - Print thesis catalogued and placed in library closed store
  - Electronic version placed in repository
  - 1. Thesis received by Research department.2
  - 2. Hard copy sent to library for cataloguing.
  - 3. Electronic (cd) copy kept in Research department.
  - 4. We have no electronic repository.
  - Hard copy and PDF of Thesis received by Graduate School and full text loaded onto Institutional Repository. Fully bound hard copy is currently provided to the Library, this will subsequently move to e-theses only in the future.
  - 1. Thesis received by with Registry
  - 2. Print copy sent to the academic department of the author
  - 3. Electronic or print copy sent to Library for cataloguing
  - 4. Full text placed in Repository
  - 1. Hard copy handed in to department.
  - 2. e-copy sent to repository, hard copy to Academic Office.
  - 3. Hard copy sent to library, catalogued and shelved
  - 1. Two print copies supplied to Graduate School with electronic (PDF on CD-ROM) copy

- 2. All copies forwarded onto Library
- 3. Print copies sent for binding, then one kept in Library and one sent to department
- 4. Electronic copy added to repository and then stored in Library
- 5. Catalogue record created and link added to repository full-text
- 1. Thesis received in print and electronic copies by the Registry
- 2. Deposit form sent to library with print and electronic copy
- 3. Print copy catalogued by library on catalogue, catalogue record sent to BL for Index to Theses
- 4. Electronic copy catalogued and deposited in repository by library
- 5. EThOS harvests electronic copy
- 1 Thesis received by Registry
- 2 Print & electronic copy sent to Library for cataloguing
- 3 Full text placed in Repository; hard copy stored in Library
- 1. Thesis received by Registry
- 2. Print copy sent to the academic department of the author
- 3. Electronic copy sent to Library for cataloguing
- 1. Thesis received by Innovation & Research Office
- 2. Print copy sent to the academic department of the author
- 3. Print copy sent to Library for cataloguing.
- 4. Print copy stored in closed-access section of library.
- 1. Theses received by admin team in dept with signed forms for repository and ethos
- 2. etheses sent to repository officer in library
- 3. 2 hard copy (1st sent to library for archival purposes and 2nd kept by department)
- 4. Hard copy in catalogue, ecopy uploaded on repository
- 1. Research Office add theses to Repository
- 2. Repository staff check and approve
- Currently
- 1. Print copies (2) submitted to Graduate School
- 2. Electronic copy submitted to Repository Team\*
- 3. E-Copies archived (assuming no restriction on immediate deposit, otherwise metadata only record added).
- 4. Ethos informed of deposit.
- 5. Print copies sent to Library for archival storage
- 6. Catalogue record created + link to repository version
- 7. Print copies archived
- Currently not all students remember this step and so the Library repository team have to chase the authors, which is not ideal. Clarifying with Graduate School responsibilities for ensuring e-deposits.
- Currently received from the Graduate Research School both in print and electronic. Print copy catalogued, electronic copy placed in Repository. This process currently under review.
- Thesis received by registry. print and electronic copies sent to Collections management in the library for cataloguing and soon adding to institutional repository.
- 1. Thesis received by the Registry
- 2. Print and electronic copy (disk) sent to the Library
- 3. Hard copy catalogued and placed on restricted access
- 4. Electronic copy submitted to Repository
- 1. Thesis received by with Registry.
- 2. Print copy sent to the Library for cataloguing.
- 3. Electronic copy sent to Library for cataloguing (currently investigating automatic uploading).
- 4. Full text placed in Repository (subject to any embargo periods).
- 1. E-Thesis received by Graduate Office
- 2. Print copy sent to library
- 3. E-thesis forwarded to library
- 4. e-theses checked, turned into PDF and metadata created
- 5. full text placed on repository
- Thesis received by research office and [Institution name] University. Hard copy sent to library Full text placed in repository

- 1. Thesis received by Registry
- 2. Print copy sent to Library with electronic copy on cd
- 3. Catalogued in Library on [named] Library Management System
- 4. Harvested to DigiTool IR with electronic full-text
- 1. Thesis received by with Faculty
- 2. Print copy sent to the academic department of the author
- 3. Prints copy sent to library for cataloguing
- 4. Full text placed in repository (on an informal basis but no essential)
- Print deposited with Examination Schools. Sent to library for cataloguing. Student deposits electronic copy by completing online form and attaching file(s). Deposit reviewed by library staff before making open (or closed) access
- Print and electronic copy (on cd) receipted by Registry.  
All paperwork for embargoes completed by Registry.  
Print and electronic copies sent to Library with any embargo paperwork  
Student registers on repository and does deposit of metadata, abstract  
Repository staff administer registration, check metadata and add real full text as appropriate (depending on embargo) Some mediated deposit of metadata happens too, if student not easily contactable. Metadata enhanced with subject info. and record also created for Library catalogue.  
Embargo checked by Repository manager to ensure proper compliance and no release of embargoed material in IR.  
Theses loaded into live repository  
We have more workflow re. releases of embargoed theses, and request to authors and supervisors to make these open access. Plus a renewal of embargo procedure.
- This varies between departments, but generally the print copy is deposited with the department, another with the supervisor, and a third copy plus electronic copy (ie. cd) delivered to the library. The print and electronic copies are processed with a metadata entry going into the catalogue, and the full text loaded to our repository.
- 1. Print copy of thesis submitted to Postgraduate Administration Office
- 2. After award agreed electronic version must be submitted to the IR, [name of repository] (otherwise degree will be withheld)
- 3. Postgraduate Administration Office checks details and authorises publication in [named repository]
- 4. Metadata team automatically alerted through [named repository], metadata and link to thesis in [named repository] added to library catalogue
- 5. Hard copy submitted to school, if required, and Library
- 1. Thesis received by the Graduate School, 2. Print and e-version sent to Data Services at the Library, checked for 2xsigned declaration forms and e-version, 3. Print versions sent for Binding, 4. Print versions received by Data Services who catalogue both print and e-versions into the LMS and Institutional Repository, 5. When both records are complete the repository record and full text, if applicable, are made live.
- 1. Thesis received by academic Department
- 2. Print copy sent to Library for cataloguing
- 1. Electronic copy submitted to repository
- 2. Electronic copy validated by Library staff and acceptance authorised by Registry
- 3. eTheses committed to repository and eTheses record added to catalogue by library staff
- 4. Once electronic copy accepted, hard copy submitted to Registry
- 5. Registry supply hard copy to library
- 6. hard copy added to catalogue record
- At present a hardcopy of senior students work is deposited within the library. I would like to see us moving towards an electronic copy being deposited within the library, and even work on creating a Repository.
- PG Research e-thesis are kept in the academic office - in a repository  
Aim to expand and use e-prints to give open access soon
- Thesis Received by Registry  
Print and electronic sent to Library  
Print added to closed collection in Library and PDF added to Library catalogue  
PDF forwarded to Ethos
- Thesis received by research office, e-copy sent to library, deposited in repository

- 1 Copy submitted to [Research Office]
- 2 [Research Office] send one non-returnable copy of the abstract and the title page of the PhD thesis to the British Library; and lodge one copy of the thesis in the library of the University.
- 3 lodge one electronic copy of the thesis in PDF format for the library of the University
- 1. Thesis received by with Registry
- 2. Print and unbound copy sent to the library
- 3. Author has to sign licence agreement and submit electronic copy to Library for cataloguing
- 4. Full text placed in Repository
- 1. " print copies and one digital copy of Thesis received by with Research Directorate. Selected print/digital copy sent to library
- 1. Print and electronic copy (CD etc.) submitted to Research Student Administration office with documentation.
- 2. Preliminary check of e-copy then e-copy sent to repository staff for cataloguing and addition to repository.
- 3. Print copy sent to cataloguing staff in the library; library catalogue record includes URL of ethesis in repository.
- 4. Print and electronic copies made available, sometimes post embargo.
- When thesis is accepted, the student is sent a letter notifying them of its acceptance and asking them to provide an electronic copy to the Graduate School office within 2 weeks. Theses can be sent on CD, memory stick or by email, and students are asked to fill in a 'cataloguing information form' at the same time (asks them to suggest keywords, for example).  
When received, the Graduate School forward the thesis and cataloguing form to the cataloguing team in Learning and Information Services.  
The cataloguing team then create the metadata record in our repository and upload the full text.
- I believe the thesis is sent to the Research Office and this is then sent to [awarding body] as this is the University which confers/validates our degrees.  
A hard copy is sent to the library for cataloguing.
- Thesis received by the Academic School  
Print copy sent to the Library for storage and cataloguing  
Metadata entered on the Repository
- Thesis received by Quality Assurance  
Print copy sent to the Library  
Electronic copy sent to Library (if appropriate)  
Full-text placed in repository
- 1. Thesis received by with Registry
- 2. Print copy sent to Library
- 3. Electronic copy sent to Library
- 4. Full text and metadata added to the Repository
- 5. Print copy added to Library print collection and details added to the catalogue
- 1. Electronic and print copies of thesis received by Registry
- 2. Electronic and print copies of thesis passed to Library & Historic Collections
- 3. Print copy catalogued and passed to Special Libraries & Archives for archiving
- 4. Electronic copy uploaded to repository
- 5. Print copy metadata harvested to create repository metadata
- 1. electronic copy of thesis received by [Research office] on CD
- 2. checked by [Research Office] staff member for compatibility etc.
- 3. sent to Library for placing in repository
- 4. full text placed in repository
- 1. Students submit electronic (PDF + metadata) and soft-bound for examination
- 2. Students are examined and then submit a second electronic and hard-bound copies
- 3. Submissions (examination and final versions) are checked and acknowledged electronically by postgraduate administrative offices
- 4. Where student declaration indicates PG administrative office makes electronic submission to be 'sent to the library'
- 5. Librarians double check metadata, make entry in library catalogue and mark electronic submission as open access.

- School sends print and (if given) electronic to library  
Print version stored and e-version uploaded if permitted  
e version uploaded to repository
- 1. Electronic copy sent to Library for cataloguing.  
2. Author receive e-mail confirmation of electronic deposit.  
3. Author takes print-out of electronic deposit acceptance with print copy of thesis to Registry.  
4. Electronic copy metadata edited by Library staff.  
5. Full text placed in repository.  
6. Registry send hard copy to Library.  
7. Hard copy catalogued and processed by Library staff, and added to reserve stock
- Student completes a Thesis Access Declaration form with the Intention to Submit form  
Thesis is deposited in the Research Archive by student  
Student Admissions and Support approve the deposit of the thesis  
Thesis is processed by Research Archive team
- 1. Thesis received by Registry, copy sent to institutional Research Office 2. Print copy sent to the Library for cataloguing.3.Electronic copies will be made available to the Library.4. Separate copies sent to research degree validating organisation.
- Don't know
- I can only speak to the process for those theses that are selected by institutes for inclusion in the repository. These are:
  1. Received by registry
  2. Forward to repository manager with signed licence form
  3. Rep manager creates PDF and deposits it.
 I have no involvement with the printed copies.
- 1. Student deposits e-version at same time (theoretically) as sending bound print copy to registry  
2. Registry forwards print copy to Library  
3. Cataloguers are prompted by receipt of print copy to check repository to see if an e-version is present; both are catalogued (copy of record for print is adapted for e-version, and both appear in OPAC).  
4. Cataloguers check/correct author-supplied metadata in repository and approve the deposit of e-version, which then becomes publicly available.  
5. Occasional check of repository to see whether any theses have been deposited outside the above process - it is possible for students to deposit long after the print version has reached the Library and been catalogued.
- being worked on at the moment. Will involve registry, Library staff, Copyright staff, technical and admin staff
- 1. Thesis received by academic department  
2. Electronic copy sent to Library for cataloguing  
3. Full text placed in Repository
- 1. Thesis received by with Registry  
2. Print copy sent to the Library for cataloguing and storage  
3. Access given to E-Services Librarian to electronic copy held in Registry files for cataloguing and uploading full text to institutional repository.
- 1 thesis received by registry, 1 copy sent to library for cataloguing  
2 students upload full-text of final version  
3 PDFs checked for copyright compliance  
4 full-text made available once degree awarded
- Library will work with Graduate School to ensure that electronic copy is catalogued and posted to IR, at the moment only printed copies have come through.
- 1. Thesis uploaded to repository by student  
2. Upload 'confirmed' by Graduate School  
3. Automated notification to Library
- Print copy sent to library to catalogue and shelve. If there is an e-copy we will add it to the IR once it is set up, possibly subject to checks
- New procedure to be set up as we are moving from print to print and 'e'
- Registry receives print copy accompanied by electronic copy. These are forwarded to library so that electronic copy may be submitted to the repository and print copy made available in the library.

- 1. Thesis received by Registry  
2. Electronic copy submitted to repository
- 1. Thesis received by Examinations Office  
2. Print thesis sent to Library  
3. E-thesis uploaded to repository

A couple of URLs were also supplied:

- <http://www.admin.cam.ac.uk/offices/gradstud/current/submitting/phd/library.html>
- <http://www.brunel.ac.uk/life/study/library/researcher/thesis/archiving.bsp>

Respondents with print only deposit:

After assessment, how are theses processed in your institution? Please describe the workflow briefly. eg.	
1. Two hard copies received by with Registry 2. One copy sent to the academic department of the author 3. Second copy sent to Library for cataloguing 4. Library copy sent for off-site storage	
Answer Options	Response Count
	41
<i>answered question</i>	41
<i>skipped question</i>	103

- After thesis has been passed (system not yet up and running) :
  1. Student submits hard copy and electronic copy to library
  2. Thesis catalogued
  3. Electronic copy added to repository
  5. Hard copy archived on [Institution] library shelves
- Two hard copies received by Registry  
One copy sent to the Library for cataloguing  
Library copy placed in secure area  
(the procedure has recently changed and it is not clear if the second copy will also come to the Library.. One copy used to be deposited with the [awarding body] library)
- 1-3 as above, then stored within the Library in secure area, and available for 2 hour loan only within the Library.
- I think a hard copy goes to the academic department of the author and a copy provided to the library for addition to stock.
- Please see [URL]
- One copy retained in the Library  
One copy retained in the Department  
One copy returned to author
- 1. Two copies received by Registry.  
2. One sent to the Departmental Office of the author  
3. Second copy sent to Library for cataloguing  
4. Library copy available on open reference shelves
- Library receives one hard copy for cataloguing and storage
- Not sure - we don't have research degree awarding powers. This is done largely by [awarding body] but we do get a copy for deposit in our library.
- 1 copy to library  
1 copy at [Research Centre]
- 1. Two hard copies received by the Education Office  
2. One copy sent to the academic department of the author  
3. Second copy sent to Library for cataloguing  
4. Library copy retained on-site

- Two copies received by Registry, both sent to the library for cataloguing and storage on site.
- 1. Two hard copies received by submission office.  
2. One copy sent to the department.  
3. One copy to the library. Note that the library does not receive all these that are produced!  
4. library copy held in storage within main Library.
- I'm not sure of the process before the thesis arrives in the library, but once we have it, it is catalogued and placed in the library stack.
- Two hard copies handed into the department - one is sent to the external reviewer and one is used by the internal reviewer. When final copies are received following the viva, one is sent to the library for cataloguing and the other is sent to the [national library]
- One copy sent to the [awarding body] and one copy kept at the [institution] at which the student studied.
- 1. Two hard copies received by with Registry  
2. One copy sent to the academic department of the author  
3. Second copy sent to Library for cataloguing  
4. Library copy sent for off-site storage - yes, your framework is exact.
- Sorry, I'm not entirely sure, but two copies are sent to the Library.
- 1. Two hard copies received by Registry  
2. One copy sent to the academic department of the author  
3. Second copy sent to Library for cataloguing  
4. Catalogued copy kept in closed access, available by making a fetch request.
- The Library copy usually comes from the School (sometimes via the site library). The Library copy is sent to the Cataloguing team for cataloguing and processing. The Library copy is stored and made available via the relevant site library. Not sure what happens prior to this.
- 1. One copy sent to the academic department of the author  
2. Second copy sent to Library for cataloguing  
3. Second copy retained by Library for storage and access
- One hard copy sent to Library for cataloguing
- Two hard copies received within Registry
- Two hard copies received by with Registry, both copies forwarded onto the Library for cataloguing and storage.
- 1. Two hard copies received by Exams Office after acceptance at Senate  
2. One copy sent to the academic department of the author  
3. Second copy sent to Library for cataloguing  
4. Documentation sent to BLDSC  
5. Library copy shelved in secure closed access (in the Main Library building)
- Two hard copies produced, one of which comes to the Library.
- 3
- Steps 1 to 3 of example above are more or less the current process for post-award/viva submitted theses.  
Future procedure will basically mean a few amendments to 1 to 3 as follows:
  1. Two hard copies and 1 x e-copy signed with forms and received by Academic Registry
  2. One copy sent to the academic department of the author
  3. Second copy and e-Copy sent to Library for cataloguing and processing/uploading to Digital Repository and EThOS.
 Current repository we have is not OAI compliant with an interface for ready harvesting of metadata or PDFs so repository team will have to use a slow and 'dirty' method of supplying content updates to EThOS.
- 1. One copy handed in to graduate school after assessment  
2. This copy is then sent to Library for cataloguing  
3. Stored in a secure area within the library
- Second copy sent to Library for cataloguing
- 1. Bound copy sent to library  
2. Library copy catalogued  
3. Copy stored in closed access area in library

- 1. Two hard copies received by Academic Registry
- 2. One copy sent to the academic department of the author
- 3. Second copy sent to Library for cataloguing
- Two copies to Graduate School, one of which is subsequently sent to the Library.
- two copies sent to Library for cataloguing and storage
- Don't know.
- Two copies received one for the department and one for the library.
- One copy received by the Library and some departments will also keep their own copies, although this is not standard across all depts
- Currently 2 copies
  - 1 copy for library
  - 1 copy for subject department
- For clarification, we do not have Research Degree awarding powers. We have a collection development strategy that permits, rather than mandates, holding of research theses which will all have been submitted to another institution. Our validating partner for research degrees is the [awarding University]. All our 'own' research students (ie. those based on campus here and supervised by [our] staff) are, nonetheless, registered as [awarding University] students, and their theses will be handled according to [awarding University] regulations. I am considering taking a paper to Research Committee to look further at how or whether we should mandate deposit in our own Library, but at present this is not the case. Most of our 'dissertation' procedures relate to undergraduate dissertations, which are added in print form. This is why copies are available on the open shelves with minimum restrictions. Masters dissertations are largely not-retained, although one copy may be retained by the relevant academic department.
- 1. Two hard copies received by the Graduate School
- 2. One copy sent to the academic department of the author
- 3. Second copy sent to Library for cataloguing
- 4. Title pages and abstracts of doctoral theses sent to EThOS
- 1 hard copy sent to Research Administrator. Electronic copy is also provided but can only be accessed by Research Administrator and Library Manager - this is future proofing for when we provide electronic access. Hard copy is then send to library and added to stock.

## 19. Digitisation

This question was asked of the respondents with print only deposit:

Do you digitise *current* theses on request?		
Answer Options	Response Percent	Response Count
Yes	29.2%	14
No	70.8%	34
<i>answered question</i>		<b>48</b>
<i>skipped question</i>		<b>96</b>

Those who said "Yes" were then asked this question:

**How are your theses digitised?**

Answer Options	Response Percent	Response Count
We digitise theses within the institution	23.1%	3
We outsource the work to a digitisation service	76.9%	10
Which service providers do you use for thesis digitisation? (below)		12
	<i>answered question</i>	<b>13</b>
	<i>skipped question</i>	<b>131</b>

- EThOS
- EThOS
- British Library (EThOS)
- EThOS on request
- BL
- The "yes" to the previous question is theoretical; it has never actually been asked of us but we would if requested! I expect as a one-off we would do the digitisation in-house, outsourcing if the need became greater.
- EThOS
- One of few universities with our own digitisation suites and service, this is part of the repository team known as [name] (although it does not include the commercial online databases/Athens stuff etc). We also offer external digitisation services with our special book scanners (the late HEDS were one of our clients).
- British Library?
- EThOS
- EThOS at the British Library
- EThOS

## 20. Storage of Electronic Theses

This question was asked of respondents who have electronic theses, whether by deposit or by digitising print theses. Respondents were able to tick several options.

How do you store your electronic theses?		
Answer Options	Response Percent	Response Count
On a shared network drive	11.1%	9
Offline on a CD or DVD	18.5%	15
In an Institutional Repository	88.9%	72
Other (below):		23
	<i>answered question</i>	<b>81</b>
	<i>skipped question</i>	<b>63</b>

- On an external SSD
- IR is hosted externally, so this is ideal for digital preservation purposes - one copy off-site, one on-site.
- e-Theses with embargo/copyright issues are archived on an external drive
- At present, but we shall need to review this.
- Some highly-restricted theses are stored on a network drive that is accessible only to a small number of Library staff
- Note: Shared drive is only for theses currently under embargo/moratorium
- As part of the [Institution] DAMS (Digital Asset Management System)
- We do not have any at present. Would store them on a shared network, but work on

creating a repository.

- Our catalogue links to recent thesis and will soon link to older ones when the digitised ones are received from the BL
- As the service beds in, we will keep the CDs - but we envisage this will phase out.
- The CDs are kept as a back up to the institutional repository
- Not known
- In development
- being built now
- Copy is stored in the Registry on a network drive.
- ... but not yet!
- Don't store electronic theses yet
- We have only just developed the institutional repository and we are consulting with Ethos about how to harvest our theses from Ethos to our repository.
- Electronic theses are held only on EThOS but we intend to add them to our institutional repository
- stored by EThOS
- [Web address of closed access Institutional Repository] - currently closed access but hoping to move to a public area of [named IR software] working with the newly created [Research] department.
- No local storage, held by EThOS
- EThOS. Some test downloads to [institutional] repository, but well over 100 more on EThOS still to be added to our repository

**If your institution does not currently use a repository to store electronic theses, are there any plans do so in the foreseeable future?**

Answer Options	Response Count
	27
<i>answered question</i>	<b>27</b>
<i>skipped question</i>	<b>117</b>

- Yes
- Yes
- Yes!
- Yes
- at planning stage
- Yes
- Yes
- This is being investigated at present
- Yes
- Yes
- No, for cost reasons
- Not yet, but we will be considering it
- No plans within the institution due to lack of staff resources but after possible merger with large neighbouring University I assume there will be a repository.
- The university is currently discussing the creation of a repository
- We are putting this in place over the summer.
- N/A
- No
- n\
- No plans as such, but it is something that I would like to see initiated here.
- Yes, ASAP (within the next year)
- see above
- Yes within the next 12 months

- Yes
- Yes
- Yes
- Yes
- IR to be set up within 2010

## 21. Collaboration with Electronic Theses

This question was asked of all respondents.

We are looking to build a picture of collaboration and co-operation with e-theses. Does your institution have formal involvement with any external e-theses initiatives (eg. EThOS, DART-Europe or a consortium)?	
Answer Options	Response Count
	124
<i>answered question</i>	124
<i>skipped question</i>	20

- EThOS, DART-Europe and London LEAP
- we are EThOS sponsors
- We are a member of ETHOS, and hope to work with them in the future to ensure theses added to our repository are automatically added to ETHOS via OAI-PMH
- No
- EThOS
- EThOS - Open access sponsor
- We have recently set up an agreement with EThOS.
- Not currently but we hope to make theses searchable from EThOS and DART-Europe.
- Working with EThOS to ensure that all metadata is received, gaps are filled and as many theses are scanned as possible, based on full funding. Would be keen for EThOS to mine [named] (IR) for future theses, but the feedback I have received so far suggested that BL were less interested in mining the IRs of 'smaller' HEIs. We hope that is not the case! Hope to link with DART-Europe shortly.
- Yes. with EThOS
- EThOS
- EThOS
- EThOS
- Not yet, but we would like to do so.
- EThOS
- We are sponsors of EThOS
- We are involved in the Ethos project as associate members (level 1)
- EThOS - level 3 member
- EThOS.
- EThOS
- No
- EThOS
- Our e-theses are harvested by EThOS
- EThOS Open access sponsor
- EThOS
- EThOS

- [Institution] has Associate Membership Level 1 of Ethos.
- EThOS, and I am not sure about others but I think maybe.
- We are members of EThOS
- Yes, Ethos until Sept 2011. Not that we've been that satisfied with the project.
- EThOS
- We submit out theses to EThOS
- Welsh Repository Network
- EThOS
- Lead institution in EThOS.
- EThOS
- No
- EThOS
- Signed up to EThOS  
Institutional Repository is harvested by DART-Europe
- Not yet signed up for Ethos. Member of DART-Europe
- Full open access sponsor in EThOS.  
Currently setting up inclusion of our content in the DART portal
- EThOS
- EThOS
- Yes, EThOS
- None
- EThOS, DART Europe
- No (or not yet).
- EThOS
- Ethos.
- EThOS
- EThOS
- We are looking into EThOS
- EThOS
- EThOS  
DART  
White Rose Consortium (shared ethesis repository)  
A couple of JISC digitisation projects (Digi-Islam; CRL Project)
- We are participants in EThOS (offering open access to our theses).
- I believe we have formal involvement with EThOS as [partner institution] upload our theses onto this database.
- We are members of the Welsh Repository Network
- No, however we are working collaboratively within Wales - i.e Welsh Repositories Network and with the National Library of Wales to consider the harvesting of e-theses.
- We are involved with the Welsh Repositories Network which is linking us to the National Library of Wales for e-thesis management
- EThOS
- no
- EThOS
- Ethos
- EThOS member (Associate member Level 2)
- ETHOS
- In development
- EThOS
- Not sure, but I suspect not: I have seen no sign of [our institution] theses in Ethos so far.
- DART-Europe; EThOS
- Ethos, Welsh Repository Network.
- EThOS
- EThOS
- EThOS

- EThOS
- EThOS
- Ethos
- EThOS. We invest around £4k annually in EThOS but would like to send more material that has not yet been requested that we have permission to digitise
- EThOS
- EThOS
- We were Open Access members of EThOS but spent up so quickly that we are currently Associate Level 2 and will be reconsidering whether or not to subscribe
- Non-subscribing members of EThOS
- No
- EThOS
- We have Level 2 membership of Ethos, meaning that our theses are only digitised by Ethos when requested by external users. The first external user or their institution has to bear the cost of digitisation.
- EThOS
- Yes, we are an open access member of EThOS so we send theses for digitisation on request provided we get permission from the author and also that there are no clear potential risks in reuse of third party copyright materials (i.e. author gives permission but there are substantial unacknowledged materials)
- No
- No
- Theses have been deposited through EThOS
- No.
- members of EThOS
- No
- We are in the process of joining EThOS.
- We are associate members of EThOS.
- No, no involvement as yet.
- Ethos, NLW
- The [institution] is a member of the Welsh Repository Network (WRN). The WRN is currently undertaking an initiative with the National Library of Wales and EThOS "to establish a full service electronic thesis harvesting system taking theses from the university repositories and ingesting them into both the National Library of Wales archival system and a central, public facing open access" repository.
- [Institution name] has been an Open Access Sponsor in EThOS since its inception.
- EThOS
- We supply theses to EThOS on demand.
- We participate in EThOS (Open Access Sponsor Level)  
We have just set up links to a theses harvesting service with the National Library of Wales
- EThOS
- We are an EThOS sponsor at present
- Not yet had any formal involvement with EThOS
- EThOS
- EThOS
- No
- EThOS
- EThOS we are hoping to join post 17th June 2010. Will possibly look at Dart. We are hoping to treble research degree student numbers in next few years as we are not a large player historically. There is a new research strategy and vigour to change this within the university.
- EThOS
- EThOS
- no
- We participate in EThOS

- We are joining EThOS.
- No, but we plan to.
- EThOS
- Not to my knowledge.
- No
- We are a member of the EThOS service
- EThOS
- No
- No
- EThOS
- No

## 22. Metrics

This question was asked of all respondents.

What metrics does your institution keep?					
Answer Options	Yes	We plan to in future	No	Don't know	Response Count
Number of theses added	59	16	7	10	92
Views of thesis collection as a whole	20	31	26	13	88
Views of individual theses	26	37	14	10	87
Downloads of individual theses	25	40	11	11	87
<i>answered question</i>					<b>92</b>
<i>skipped question</i>					<b>52</b>

44 respondents also offered contact details for follow-up on usage metrics.

## Barriers

All questions on the barriers to electronic open access deposit were asked of all respondents.

## 23. Impact on Future Publication

Are you aware of this being a concern in your institution, to your knowledge?		
Answer Options	Response Percent	Response Count
No	44.6%	58
Yes	55.4%	72
<i>answered question</i>		<b>130</b>
<i>skipped question</i>		<b>14</b>

Who has raised this as a concern?		
Answer Options	Response Percent	Response Count
Students	73.9%	51
Supervisors	58.0%	40
Administrators	23.2%	16
<i>answered question</i>		<b>69</b>
<i>skipped question</i>		<b>75</b>

In the last academic year, please rank the frequency that this concern was raised.		
Answer Options	Response Percent	Response Count
Only once	28.6%	18
Occasionally	55.6%	35
Often	9.5%	6
Very often; our top concern	6.3%	4
<i>answered question</i>		<b>63</b>
<i>skipped question</i>		<b>81</b>

59 respondents gave examples of concerns raised:

- Person raised issue as wished to publish
- vague brief comments when discussing the idea
- students/supervisors won't be able to publish articles or books based on thesis
- This issue has been raised with regard to the possibility of [Institution] accepting theses in an electronic format
- - Arts and humanities scholars wishing to publish with academic publishers
- - We recently had one submitted theses removed as the student had not thought of checking IR deposit with their commercial publisher. When the repository staff queried the fact that she had listed the publisher name as publisher (as opposed to dept.) we raised this issue with the student. The publisher on request made it clear that deposit in the IR was not acceptable according to their publishing agreement.
- Heads of research at departments have questioned the campus policy on electronic deposit in view of future publication.
- Our standard embargo period is 3 years. This is sometimes requested to be extended. Most other concerns are covered by the 3 year period.
- I'm not sure of who, or how many times concerns have been raised, but I know that they are one of the reasons behind the Restricting Access to Your Thesis form.
- Up to 10 requests a year to restrict a thesis as it is being published as a monograph
- Every time this was raised it was from the School of Humanities, mainly students but also academics.
- Raised when setting up policy
- Mostly this was a theoretical question
- We considered the question as part of the planning process
- Certain publishers, particularly monograph publishers in the Humanities and Social Sciences, request exclusive distribution rights and/or no prior release of findings. The monograph is still viewed as an important step for a career researcher in certain disciplines.
- raised in meetings discussing electronic deposit
- Researcher about to publish - concerned that work would be freely available, also intending to change work slightly for publication.
- raised at postgraduate research students meeting
- Humanities have concerns about ability to publish material if thesis is available electronically

- that online dissemination was akin to publication.
- Was raised during the consultation process leading to changing the Regulations to require electronic deposit
- It was part of the discussion when I propose new policy
- Some students have sought to clarify our position
- "My publisher will probably not like this", "I want my students to be able to publish in journals and this is prior publication"
- We have a handful of theses in our institutional repository; a recent PhD author wanted his included too. His supervisor, despite the student having supplied us with a PDF version and his permission, is currently doing his best to try to put him off on the grounds that he may want it/some of it published in future.
- At present thesis deposit to our repository and EThOS is optional. Two authors have requested we do not include it as they are publishing books from their thesis.
- Our University Press has been approached about open access publishing and expressed the concern in a hypothetical context.
- Students and staff in different departments objected to the e-theses policy as it would jeopardise their chances of finding a commercial publisher for books based on their theses.
- Concern that very recent theses are available OA when research papers are still in preparation.
- Possibility that a publisher might reject a manuscript because it's already available on the web as an e-thesis
- A student who has recently finished PhD, who is looking to publish their research as a book, is concerned that publishers may be less likely to publish their work as their thesis is available online.
- The student was also concerned about people stealing her research findings before she got to publish
- Pre-publication of theses in IR on OA affect on future publication opportunities.
- This concern was raised in a recent focus group exercise with PhD students.
- Questions raised over whether a thesis is a published item.
- Publishing the thesis as a monograph (mainly humanities)
- Author has requested a thesis to be removed from EThOS.  
As Repository Manager and Administrators we are aware of need for embargoes as a result of possible future publication
- This is the main reason that embargoes are granted, especially in Arts subjects  
Students in these subjects still view monographs as their break into academia and they often base their first monograph on their thesis
- Thesis online could be considered prior publication.
- As above
- As I have recently taken up this post at [Institution] it is difficult for me to give specific examples relating to the next few sections I can only say that the awareness/concern exists - sorry I can't be more helpful at the moment
- Most requests for theses to be taken down from EThOS and the repository were of this type, all indicated that 'they had heard' that publishers may not want to publish their work if their thesis was available online. This has caused us some issues because this also covers students who had signed the deposit form indicating the thesis could be made available, something we had not expected to have to deal with.
- Students wishing to publish papers based on their thesis, or re-work the thesis into a book, contact us prior to submission because they are aware that making their thesis freely available in the repository may hamper their opportunities to publish
- Publishing in education - why bother when you have a repository at work?
- Mainly through feedback from our own survey of research directors and supervisors and the [senior committee]. Common to most universities but perhaps unusually we have concerns over non-text materials. We have a conservatoire (music faculty), Art & Design etc. Practical concerns over who, how and to what standard are non-text PhD work recorded and converted to readily accessible on line formats. EThOS is pretty useless at explaining this. Purely at institutions discretion, keep to common formats etc. But what happens for say a fashion show or art exhibition? Do you make the student record the event/work in a certain format (still images/video etc). What about

the quality? Most faculties here would like a unit to be able to do this. Some parts of IT and the [repository team] can help but there are resourcing implications if staff and equipment has to be available for student project/PhD work across all Faculties etc. This is sometimes not realised or appreciated, especially in the current economic climate!

- It was raised as a hypothetical scenario.
- We have been asked to remove a thesis which the student hopes to publish as a book. Concerns about prejudicing book publication tend to come from arts disciplines (not surprising) - they're worried the thesis will no longer be of interest to a publisher.
- A student asked that their thesis be removed from our repository while they sought publication
- Concern as stated, that publishers will not publish a book based on a Theses that is already accessible.
- Concerns are not expressed by we see a significant number of theses in subject areas where there is no commercial or personal sensitivity (e.g. theology) with requests for embargos
- Discussed as a theoretical concern at a University research committee.
- Most students and supervisors don't understand these areas and are confused/worried. Normally when there has been an opportunity to explain the worries fade.
- Well, just that a publisher might be reluctant to publish material available through Open Access.
- Simply that publishers may not accept PhDs loaded on a repository.
- How will I be able to publish my findings if I must make them freely available in the repository?
- Publication in book form may be jeopardised (Arts) ; supervisors wish to publish papers on the work of the research group to which the student belonged (Science)
- That the existence of an open-access copy of a thesis is detrimental to the prospect of commercial or academic publication
- At research student training (during their induction when we first talk about open access to theses)
- Some students seeking to publish prefer to place a temporary restriction on access
- This concern was expressed when the university regulations were changed to specify e-submission of theses. I don't know whether any further concern has been expressed

What mitigating actions do you take to reduce the concern?	
Answer Options	Response Count
	58
<i>answered question</i>	<b>58</b>
<i>skipped question</i>	<b>86</b>

- We give advice on checking with their intended publisher prior to giving permission to add Ft to the repository. In some cases we also remind them of the embargo option.
- unlikely that would want to produce exact copy of thesis as book. Can request time embargo.
- N.A.
- We raise awareness (although this may inhibit deposits) and ask students to clarify publisher policies and perhaps select publisher with "friendly" policies.
- we have left it with the depts to decide on particular theses to be embargoed.
- Answering queries via a dedicated mail box explaining our embargo procedures. Pre-emptive information is available via the website in an effort to reassure them
- Depositing users can request to restrict access to their theses; this is a reason the University sees as a valid reason for restricting online access.
- Restrict access to the online version, metadata still available online
- Open meetings with the students, attendance at faculty graduate school board also the University-wide Graduate School Network, meetings with the deputy head of school

research and various other academics to explain the embargo procedure. We also have redrafted the 'permission to deposit' form to include more fulsome guidance on embargos as many students and academics do not bother to look up the same information on the Institutional website.

- Advocacy
- Suggest that making a thesis available may actually bring it to the attention of publishers
- looked at the experience of others (i.e. [named] consortium) and found that concern could be relieved by anecdotal reports of Publishers attracted to work through Open Access Archiving - we are using this possibility in FAQs and waiting to see if the concern is raised by supervisors/students
- Option for the author to restrict access to the e-copy. Information about open access (pointing out that the e-thesis is likely to reach a wider audience) to help authors weigh up their options.
- refer to EThOS guidance and consider what's happening in other universities
- Just show the abstract
- Graduate School examining proposals for automatic embargo for limited time period; students currently need to request embargo
- Allow an embargo
- our university lawyers have come up with no definite ruling on this. we also have students who published theses and were given permission by their publishers to deposit e-theses.
- Student can deny consent for deposit of full text. We are planning to contact older students through the Alumni association, but we are under staffed, so it will not happen in the near future.
- Repository staff explain about the 2 year embargo, this sometimes leads students to lift the embargo earlier
- Noting that publishers very strictly define publication as the peer review process, advocating moratorium delays, training and awareness sessions targeted at PhD students
- I am trying to explain that it is extremely unlikely that any of the theses would be published exactly as written and submitted for examination - I speak from personal experience. I am also going to reiterate the take-down policy.
- At present they can opt out altogether. In future they may be able to apply for an embargo period.
- We are at the very early stages of the process and have not had feedback from our [partner institutions] or students yet.
- The embargo procedure has been made very flexible, with no limit on the maximum permissible time, and judgement left in the hands of the Faculty Research Committees which should understand the situations.
- Knowledge and use of embargo periods.
- A student's principal supervisor can request for a thesis to be embargoed
- Show student the list of universities who are involved with EThOS
- We never put her thesis on the repository
- Short-term embargos for Chemistry and others on written request.
- Agree an embargo period between the student, their publisher and ourselves.
- Default embargo for 3 years
- We aim to cover these concerns with a clear policy on embargoes
- We emphasise that students should discuss these issues closely with supervisors who should have experience of publishers in their particular discipline. we also suggest that students seek further information from publishers on their policies. eg if something is very much rewritten, would a publisher accept the thesis already being available open access. In the end if there is any question of a risk to future publication then we have to recommend embargo as the safest course of action. But Faculty committees do sometimes reduce the lengths of embargos, probably because of realism re. publication chances or knowledge of viable timescales in a particular discipline. We do sometimes offer retrospective take down of an unembargoed thesis to satisfy publisher requirements but this is not our preferred option and is stressful for the students!

- The Research Committee has approved a one year restriction for the electronic copy, which can be requested by the student without consent from the Board of Studies, precisely for the purpose of allaying concerns about prior publication issues.
- We place an embargo for up to maximum of 5 years.
- Spoke with each student to try to find out which publisher was causing the concern to better inform other students. In the case of the EThOS theses our standing policy is to remove them if any request is made, in the case of the theses who had forms agreeing to make the thesis available, a negotiation was entered to try to give the thesis an appropriate embargo rather than removing access entirely, with some success.
- None
- We provide an informal embargo facility - students can request an embargo period to allow for publication during submission
- These are concerns and we are developing a system with policies to answer or accommodate such issues.
- We will review new policies and procedures regularly and report to the [senior committee]. Theses and eTheses will form part of a new working group looking at a 'proper' research repository being developed by a non-library dep't [research department] RIES but with Digital Library participation for the PUBLIC section of the intended service (it will use Dspace as opposed to the current [URL to] CMS system). A submission to the [senior committee] last year proposing mandated e-submission raised the usual understandable concerns. These have been addressed through a [senior committee] Working Group consisting of Academic Registry, Digital Library and a smaller group of Research Directors who are [senior committee] members. An inclusive approach working 'on the inside and with them' rather than it seeming this is another 'imposed central' scheme. This has by accident taken longer than expected but a revised set of proposals for mandated e-submission will be submitted to the [senior committee] at their next meeting on [date]. If passed we are in business!  
 One of the issues we found regarded plagiarism detection. [Name] mentioned it in a visit by [Name] from Sherpa and he said no one had thought about this. We believe the BL are working with Turnitin to open up all digitised eTheses and allow Turnitin to migrate e-copies to their own server in Texas. If Turnitin users check their own work against the gamut of internet and publisher sources, including EThOS PhDs. What happens if a user identifies in relevancy results there exists significant illicit 3rd party content in an e-thesis - clearly copied from another publication/source that also comes up in the results. If this happens regularly to PhDs from a particular university say, and a conscientious user reports on this, it could lead to a bit of a scandal for the institution. With already awarded degrees been shown to contain a lot of 3rd party content and endangering the reputation of a particular institution I just wondered why no one else had thought about this?  
 Partly due to the need to reduce or mitigate against this risk we want to incorporate a mandated use of this software to check for plagiarism prior to final award submission. This will hopefully become enshrined in amended university regs post [date] [senior committee] meeting.
- 1. Refer to library intellectual property & copyright web page  
 2. Discuss "Licence to Publish" agreements  
 3. Discuss alternative model license agreements that have been developed by JISC and SURF Foundation.
- We present anecdotal evidence that publishers may be less concerned than academics/students think however we could do with something more concrete to allay this concern. Also, in some cases it is a legitimate concern so we shouldn't reduce it unrealistically.
- As it was a single student (also a lecturer at the institution) we agreed to embargo his thesis temporarily to allay his concerns. We will not do this on a regular basis though, so would need to have a proper policy on it if we received more requests.
- Embargo
- We have recently re-written our submission forms and guides to include a request for the supervisors' approval for any embargo
- We don't know, yet.
- Run training/communication sessions. Link submission process into online support materials. Offer telephone/email support.

Having two submissions (one for examination and the final version) gives an opportunity for the student to learn, think about and discuss these issues with supervisors etc and then make informed decisions prior to final submission. Students can request indefinite and time-limited embargo period.

- Submitters will be able to request an embargo period.
- That this doesn't seem to be being borne out - publishers who are genuinely interested will still consider PhDs to publish.  
PhDs being published by reputable companies require lots of editing.
- Offer time-controlled embargo periods.
- Students may embargo their thesis for this reason.
- In conversation, I suggest that I am aware of few cases where this has proved a genuine barrier.
- Allow embargo period
- Open access policy to thesis publication is a given; students may be reassured by the awareness that the data and text of a thesis may need to undergo considerable review prior to publication
- Offer them an embargo period. Advise them to check with prospective publisher first (or find a more OA friendly publisher)
- Allow restrictions - commonly 12 months, but can be up to 5 years. Usually on both hard copy and electronic availability.
- We spelt out the positive benefits of making the theses available and in fact some research suggests that publishers are more likely to publish theses if they are being well accessed online

In the last academic year, roughly how many times have you been aware of publication being refused because of an open access e-thesis?	
Answer Options	Response Count
	61
<i>answered question</i>	<b>61</b>
<i>skipped question</i>	<b>83</b>

- 0
- none
- N.A.
- I haven't heard of publication being refused because of an open copy.
- Not aware.
- None
- None (or for the previous 6 years we have been putting e-theses online)
- None.
- Never
- None
- N/A
- None, however our e-thesis mandate has only been in place for 1 year so far.
- none
- None
- 0
- Not aware of any
- 0
- None
- The new policy applies for new theses (i.e. not re-submissions) since January. Only one has been submitted under new regulations and it is now online. I am not involved with the process of pre- January theses, but I think the departments would inform the library of embargoed theses and these would be withheld from the catalogue. Not sure about numbers though.
- 0

- Zero
- None.
- None
- None
- None, but we have very few as yet, and no requirement for them.
- 0
- Don't know. I personally have no involvement in embargo system.
- none
- None
- None
- n/a
- Never
- None
- Never
- I heard of one case indirectly re. a monograph publication but not the precise details and don't really know the accuracy of the story. On the whole the embargo system does prevent this situation.
- 0
- None
- None, that I am aware of.
- no clear evidence as authors who are concerned of this issue would have instructed the Library not to digitise their theses
- none
- NONE
- None
- n/a
- None - but we don't have many theses online.
- None
- 0
- nil
- 0
- Nil.
- 0
- None
- None
- 0
- None
- don't know details
- None
- None
- None
- None
- None, but I probably wouldn't be made aware.
- N/A

## 24. *Third Party Copyright*

Are you aware of this being a concern in your institution, to your knowledge?		
Answer Options	Response Percent	Response Count
No	30.5%	39
Yes	69.5%	89

<i>answered question</i>	128
<i>skipped question</i>	16

Who has raised this as a concern?		
Answer Options	Response Percent	Response Count
Students	30.1%	25
Supervisors	28.9%	24
Administrators	79.5%	66
<i>answered question</i>		83
<i>skipped question</i>		61

In the last academic year, please rank the frequency that this concern was raised.		
Answer Options	Response Percent	Response Count
Only once	14.7%	11
Occasionally	56.0%	42
Often	16.0%	12
Very often; our top concern	13.3%	10
<i>answered question</i>		75
<i>skipped question</i>		69

72 respondents gave examples of concerns raised:

- Reproduction of copyrighted images
- Librarians discussing the issue
- does any permission obtained for use in thesis cover electronic open access?
- All art history theses are awash with images, most of which need copyright clearance
- I raised it in relation to e-theses supplied to EThOS /BL
- Uncertainty of what third party copyright material requires permission.
- Copyright concerns have been mentioned with regard to the possibility of [Institution] accepting theses in an electronic format
- This is an issue that has come up among repository team within the institution as well as within the UK repository/etheses community.
- There's been strong concerns about 3rd party copyright issues in particular at all levels of the institution (also including the Board of Graduate Studies and Legal services). We were not able to launch the voluntary e-thesis scheme until October 2009 because of this issue.
- Copyright law does not define 'a short quotation' so students occasionally have concerns about exactly what they must seek permission for.
- Copyright owners have contacted us requesting removal of thesis appendices which have included material which permissions were not given to disseminate
- Who has raised this as a concern? Answer: Librarians...
- Concerns were not normally raised until mentioned by the Library at various training events. Since then we have had queries from students, and sometimes supervisors, asking if clearance is needed, giving specific examples of material, and also how to obtain clearance.
- It is library staff who are most concerned about this issue: authors are usually unaware
- I am the Copyright Lead. I lie awake at night thinking about it
- The use of illustrations, especially in the study of the History of Art, Cultural/Media studies and similar subjects.  
The use of maps in many subject areas.  
Some research sponsored by industry results in processes/patents partly owned by the

sponsor.

- Music copyright issues
- Currently our theses very frequently contain third party copyright material
- 3rd party copyright material in thesis
- What happens when visual material is used in a thesis?
- When introducing the use of the repository, concerns were discussed re: 3rd party content in historical theses
- Simply that with theses available electronically any copyright infringement is more easily visible
- The concern is a management one, based on our lack of resource to check that the student disclaimer holds out
- Quotes from contemporary authors. ownership regarding future publication
- Concern by students that if they remove 3rd party images for which they do not have permission, this will be detrimental to their thesis.
- This topic was discussed by librarians, but not to my knowledge by others
- It was part of the discussion when I propose new policy
- Repository staff clarifying this with staff who wish to add their pre 2007 thesis, also checks on theses requested by EThOS
- General low awareness from most students - leading to questions on deposit, uncertainty of what constitutes fair use, criticism and review, assumptions that on the internet means copyright free.
- For Arts theses particularly, where pictures of works are often used to illustrate the text.
- In laying out the policies and procedures for our new thesis mandate we have been asked by our Research Committee and have included guidance on how third party material may be used, and how an edited version of a thesis may be deposited if necessary. Big problem in relation to PhD by publication.
- Theses in arts subjects including lengthy quotations from authors under study; theses in science subjects including diagrams, plans and maps.
- Sections in an e-thesis might contain third party material
- General discussion at Graduate Schools presentation.
- When we signed up to EThOS and currently as we try to decide how to handle eTheses for our institutional repository.
- That 3rd party material that infringes copyright may be included
- Just usual checking of copyright before we include in repository
- We are aware that this might be a problem with a live service; however the type of thesis produced by [Institution] PhDs (generally social scientific) means that this is unlikely to be a major concern.
- whether authors of theses have copyright permission to reuse material in their theses
- Raised mainly by repository staff trying to educate students. Legal Services and insurers concerned about this matter
- Need to draw up a legally sound author declaration form.  
Difficulties in covering this for retrospective theses where we can no longer get a declaration form from the author to cover copyright concerns.  
Too time consuming to check this and take on this responsibility in the absence of an author declaration.
- Students using unpublished material. Photographs which are expressly not permitted to be made publicly available. Material from difficult publishers eg Faber.
- This concern has been raised by library staff and administrators, rather than supervisors or students.
- Related to the publication concern, the student was concerned because of the rights he had signed away to the publisher.
- Photo image without consent from people appeared in the image.
- Concerns are generally abstract "what if" type questions from those around the repository, rather than direct enquiries from staff or students
- Only in general terms as a topic for consideration
- Supervisors and students don't really care much about 3rd party copyright. It is always the administrators ([repository] Team!). This was not really a [senior committee] concern at all, other than by having to exclude 3rd party material, including music, it

can unreasonably affect the integrity, cohesiveness or plain logic of the awarded theses if 3rd party material has to be blanked out of an online version.

- as before
- Will change the nature of the thesis as material cannot be included.  
Can we reproduce tables and figures from elsewhere.  
Copyright in images, music etc which may form part of the thesis.
- Our University copyright coordinator raised this a number of times, and it has been asked once by a member of staff via their subject librarian
- Failure to comply with copyright law
- The issue of having to contact people to obtain copyright is seen as onerous and unfair to expect this work to be performed by the student.
- Library & Historic Collections staff appear to be the only ones with any awareness or concern about this.
- no specific examples, but the question has been raised
- a thesis where copyright material was owned by [an oil company], which would not respond to requests to clarify the situation
- Discussed as a theoretical concern at a University research committee.
- Copyright and IP are big issues. Individuals don't understand or appreciate copyright/IP. They don't know about or understand IP policy of University.
- Students don't have time to gather 3rd party permissions  
May reduce/slow down submissions.
- concern when request from EThOS for a thesis about possibly 3rd party material
- I have images within my thesis - am I infringing copyright if my thesis is freely available in the repository?
- It is clear that not all students are fully aware of best practice in this area.
- Concerns re images, screen shots etc.
- Item was raised by Research supervisors at the Library Committee when it was discussed that the College was to begin accepting theses electronically instead of traditional hard copies
- Reproduction of 3rd party material without acknowledgement
- Concerns about the extent of permitted re-use of third party content in other new contexts
- No concrete examples.
- May want to use excerpts of text or images in thesis
- that owners of 3rd party copyright may sue us
- Library staff identified 3rd party material which could not be made available
- Library admin staff responsible for sending theses to EThOS for digitising are concerned about third party copyright material. Not sure that students and supervisors are aware of the implications of including third party copyright material in what is essentially a published work.
- This is a concern of mine since I am Copyright Officer at [Institution]

What mitigating actions do you take to reduce the concern?	
Answer Options	Response Count
	75
<i>answered question</i>	75
<i>skipped question</i>	69

- None as yet but we will be checking theses before adding them to the repository
- Suggesting to Doctoral School that they encourage supervisors to educate DPhil students
- Authors of theses are asked to sign letter/licence saying 3rd party permission obtained.  
Rapid take-down policy on repository home page.
- We don't make them available electronically
- We have tried to contact the authors of these theses in case they have concerns re

- third party copyright (mainly unsuccessfully as have no contact, not in our alumni)
- The University had a guidance document and we have a University Copyright Officer for students to approach for advice. The RSO and training courses stress the importance of third party copyright clearance. If myself or my line manager are approached regarding e-thesis submission we always make sure they are aware of this issue.
  - N.A.
  - Takedown policies and training to PhD candidates.
  - - We raise awareness by giving talks and providing extensive information about rights management on the repository support web site.
  - - We collaborate with the Legal services department who have provided us with guidance notes etc.
  - - We implemented a notice and takedown policy
  - Information is available via the website, including a permission seeking template, to make it as easy as possible for authors to obtain permission. We also let students know that they will in no way be penalised if they are unable to obtain permissions, or if it's too onerous to do so
  - This again is a reason that might be accepted to restrict access to a thesis.
  - Removal of thesis, or the copyright infringing section (if easily identifiable)
  - Subject Librarians check theses for level of third party copyright
  - Training sessions including asking for concerns beforehand so there can be written answers given out at the session.
  - Training and awareness on copyright issues
  - Exhaustive education and training, thorough checking, tight policies and a rigorous Take Down policy
  - Option to restrict access to the thesis, or to supply a redacted version of the thesis for access.  
Provide information and support on copyright.  
Repository administrators make a quick check of thesis contents before uploading to the repository and will query any obvious infringements.
  - We would not make this available digitally
  - developing procedures to deal with third party copyright material in future electronic submission
  - sample letter available to ask holders of 3rd party copyright for permission to reproduce advice available
  - You would need to speak to the Research department administrator. The library just stores the hard copies so I am sorry I can't answer many of your questions.
  - Students are required to sign declaration that thesis is their own work. Some Schools have introduced compulsory use of Turnitin software to check for plagiarism and encourage good writing practice. For current students, 3rd party copyright regulations are referred to in institutional repository guidelines
  - Take-down policy;  
Copyright training for students
  - Occasional sample checking of theses
  - teach good practice re: quotes and 3rd party copyright inclusion. the ownership of the thesis remains with the student unless or until they sign copyright to a publisher.  
generally, make students aware of issues.
  - Support reasonable and informed risk.
  - Students are required to certify that all rights have been granted
  - removal of third party material
  - We seek assurance that there are no 3rd party copyright issues
  - Training for students, awareness for supervisors, allowing for edited versions of theses (with offending sections left out) to be deposited, advisory service for students seeking permissions
  - We suggest that the student seeks permission to use the copyrighted picture in the context of a digital repository. If permission is not forthcoming, we would decide what to do to manage the risk on a case by case basis.
  - When we implement electronic submission, students will be given guidance on 3rd

party copyright

- As above.
- Guidance on copyright to students. Take down policy and process in place
- Copyright guidelines are being prepared and advice on copyright will be included in training for new research postgraduates. One off advice will always be available. Some excerpts may have to be removed from online theses.
- Students receive instructions to omit third party material, eg copyright training, web pages.
- All theses requested by EThOS are checked by our Rights Department. For the repository, however, we plan to provide guidance for the depositor to do this.
- check all copyright
- Indefinitely embargo a thesis with such material present, or take steps to excise it from the version made available.
- Take down policy in place in case of copyright breaches
- Checking where possible. Advice to students. Restricting access.
- We are putting together an Electronic Thesis and Dissertation Declaration Form to be submitted and stored with the digitised thesis in our repositories in future
- We do a lot of training. I do joint training sessions with the university copyright officer. We offer info. re. copyright law, exemptions, fair dealing etc. We offer pro forma letters to request permissions from rights holders. We strongly suggest that a good copyright habit is a good academic skill and goes beyond theses. We offer take down if needed. We offer all sorts of hints on how to edit a thesis so that it can be made publicly available minus uncleared material. We suggest that this is a relatively low risk educational environment but not to be complacent. So encourage good habits but don't want to scare them!
- Training by library staff for PhD students on 3rd party copyright, information provided on getting permissions, option to suppress copyrighted material in the repository, and signed confirmation on delivery of the e-thesis from the student to confirm they have the appropriate permissions.
- As mentioned earlier, copyright policy is being reviewed. I am working with the Postgraduate Research Office to look at some of the issues that have been most problematic, including 3rd party copyright, sensitive material, etc.
- As this was an EThOS thesis it was immediately removed from both the IR and EThOS
- Produce a separate digital edition with removal of controversial images.
- We have a strict take down policy - if any copyright concerns are raised, we will immediately withdraw the item from public view and investigate
- None at the moment
- The form students will submit to academic registry with their e and hard copies. Plus checking by the Digital Library Team i.e. more workload for my team! Plus clear notice and take down policy and statement on a pop up and PDF first page directed at any possible 3rd party rights holders where material hasn't been blanked out.
- as before
- remove orphan copyright sections on publicly available repository access
- Guidance notes.  
University copyright officer meeting with Graduate Board and research supervisors. (Still comes up all the time though).
- When letters are sent to successful students asking them to submit electronic copies of their thesis, there is a paragraph flagging their responsibility to ensure any third party content has been cleared with the owners. We also have a take down policy stated in the repository home page.
- We inform students they can contact us for help in this process and we also have a template letter which students only have to make small amends to in order for it to be appropriate to be sent to the copyright owner of any 3rd party material.
- We embargo theses which appear to contain third party copyright material unless the candidate has signed a declaration stating they've received permission
- the same as was done for hard copy theses: the student is allowed to embargo access to their thesis
- suspend digitisation of item until matter resolved

- We don't know, yet.
- Training sessions and online help.
- Plan to check and remove/link to original/request permission, as resources allow.
- Hard - unknown area. Try to make reassuring noises that we have to educate students to take charge of their copyright material.  
Perhaps unlikely that anyone would pursued aggressively?
- quick visual check of thesis before sending
- Explain copyright situation regarding 3rd party material; have robust take-down policy in place should any problems occur.
- Students are advised through training about third party rights and the need to clear rights
- We have research training at the beginning of the process, and a takedown policy at the end. We are not able to inspect each thesis to ensure compliance.
- Clear guidance
- We have said provide information to the students about obtaining copyright clearance and would a adopt a 'take-down' policy if there were any objections raised
- In flagrant cases we don't make the e-thesis publicly available
- Specialist advice from [Library's] Copyright Advisor
- We have a copyright expert in the Library team and would seek advice in case of doubt or concern.
- Seek publisher permission as you go along - don't leave until end
- do not put online on Ethos
- Redaction or do not make full text available
- We thoroughly check each thesis for quotations and illustrations which might be in copyright and refuse to supply or flag sections for exclusion, where it does not render research meaningless.

**In the last academic year, roughly how many times have you been asked to take down an e-thesis?**

Answer Options	Response Count
	77
<i>answered question</i>	<b>77</b>
<i>skipped question</i>	<b>67</b>

- None
- NA
- Twice - but not due to copyright concerns!
- N/A
- 0
- 0
- N.A.
- 0
- As we only launched the voluntary scheme in October this hasn't happened yet apart from the case mentioned before. This was caught in the e-thesis workflow though so it was never made public.
- 1 (an older thesis uploaded via EThOS. The author discovered it had been plagiarised. It was taken down from the [Institution] Theses Service and EThOS)
- None
- 2-3 times
- Never
- None.
- Twice
- N/A
- None
- N/A

- about 50 to be taken down from EThOS, 4 author requests, the rest we asked for them to be taken down for third party copyright reasons
- 0
- none
- None
- None so far
- 3
- 0
- None
- I am not involved with the process of pre- January theses, but I do not think it has occurred (not sure)
- 0
- 3
- 0
- 0
- None
- None
- None
- 0 (for this reason)
- I haven't.
- none
- 0
- n/a.
- None
- Never
- Never - but we have none in our repository at the moment
- None for copyright. A couple for future publications, where publisher has requested this.
- 0
- Don't know yet
- About 15 or so.
- once
- None
- NIL
- N/A - not really started this process formally. Hence why our existing mighty 22 PhDs online actually simply consist of the PDF'd title and abstract pages only!
- n/a
- 0
- Twice - but not for copyright.
- None
- We only have metadata as yet
- None
- 12
- none - no theses have yet been uploaded
- None
- Nil.
- 0
- None, but we haven't put any up yet.
- None
- never
- 0
- None
- Not yet encountered as only now loading up e-thesis.
- None
- None

- N/A - we are just implementing the introduction of e-theses
- 2
- 1-2
- We've only started to upload theses into our repository recently, so have had no experience of this so far.
- None (because we have none up there)
- No IR yet
- None
- Not aware that any [Institution] thesis has had to be taken down from EThOS

## 25. Plagiarism

Are you aware of this being a concern in your institution, to your knowledge?		
Answer Options	Response Percent	Response Count
No	40.6%	52
Yes	59.4%	76
<i>answered question</i>		<b>128</b>
<i>skipped question</i>		<b>16</b>

Who has raised this as a concern?		
Answer Options	Response Percent	Response Count
Students	62.5%	45
Supervisors	55.6%	40
Administrators	26.4%	19
<i>answered question</i>		<b>72</b>
<i>skipped question</i>		<b>72</b>

In the last academic year, please rank the frequency that this concern was raised.		
Answer Options	Response Percent	Response Count
Only once	25.4%	17
Occasionally	67.2%	45
Often	7.5%	5
Very often; our top concern	0.0%	0
<i>answered question</i>		<b>67</b>
<i>skipped question</i>		<b>77</b>

54 respondents gave examples of concerns raised.

- Former student said she found her work being copied in a document by another student.
- makes plagiarism easier
- Specifically with theses on security and intelligence issues
- WE have regular Roles and Responsibilities Days for our intake of research students and this was mentioned in that context.
- As before. I am unaware of supervisors having such concerns, though I imagine they might well have.

- The issue has really only come up (as far as I know) within the repository community in the UK.
- This is typically a concern when talking to departmental staff - they are worried that more plagiarism take place.
- Some students have expressed concern that their work could be copied without their permission
- Apart from an isolated case of academic stalking, students have occasionally been concerned about others polarising their work.
- Software as part of media thesis - commercial concerns
- Extracts will be incorporated into student essays (also a risk in the print environment)
- Research may be ongoing, so there is anxiety of plagiarism
- "Open Access encourages plagiarism"
- Risk of plagiarism
- issue raised in meetings concerning electronic submission
- Generally students are concerned - there are no individual examples
- theses could be discovered to have been plagiarised
- Raised at Graduate Degrees Committee during implementation as a general concern
- it was the other way around. a student had plagiarised and the academic demanded the e-thesis be taken down pending an investigation (ongoing)
- Discussed during the consultation period leading to changing the Regulation
- PGR students concerned about unauthorised use
- General fears that open access means free for all on student's IPR
- General questions about avoiding plagiarism.
- That online theses make plagiarism easier.
- By making theses available openly work may be copied more easily.
- Anxiety about re-use of unpublished thesis material without attribution
- Plagiarism of text within an e-thesis
- Concern over visibility of copyright statements.
- That their PhD may be plagiarised
- Again, in focus groups, this is an issue that has come up. Our line is that making theses available electronically is actually likely to reduce instances of plagiarism, since any given thesis will be more easy to track down, more exposed to anti-plagiarism tools etc.
- That authors aren't acknowledged for their work
- Plagiarism
- Often but I think decreasing as students gain confidence in the value of the open access IR and also have the knowledge that managed embargoes can be used when really needed (though not just for concerns re. copying) They want to know who specifically might be using their work. I think they feel threatened in their ownership because of worldwide web access.
- Plagiarism
- Again, I can't give specific examples but I am aware that this is a general concern from discussions with colleagues
- Researcher had already been plagiarised in her home country and wanted her thesis removed.
- Again, no specific cases, just general, abstract questions and concerns
- It has not happened, but has been raised as a concern as we plan for what to do in the future.
- Usual really. Some students are sponsored by companies and worried about patents for their own ideas etc. Reassure them that the existing embargo options remain the same for e version as the print version (i.e. 2 years before sending to library for access/cataloguing and proposed e-version upload etc).
- as before
- What's to stop someone stealing my/my student's thesis. Can we "lock" thesis files to prevent cut and paste.
- A couple of thesis authors have been concerned about their theses being open to everyone, saying that they did not know or expect this to happen. One author

complained because it was possible to cut and paste from their thesis PDF, which they didn't think should be possible.

- Unrestricted access may result in plagiarism
- That since the work was openly accessible in an electronic format that it would be easier for others to copy.
- As for publishing
- no concrete examples, but raised as a potential concern
- Discussed as a theoretical concern at a University research committee.
- Concerns mostly from supervisors who wish to publish the work and don't want it exposed on the web prior to submitting to a publisher.
- "My work is now susceptible to plagiarism"
- Concerns about student plagiarism being made easier
- No concrete examples
- Part of bigger question over making work available electronically via repositories. Aimed more at Independent Studies, but also cited around theses.
- Occasional questions about electronic availability
- Again this was expressed when the university regulations were changed

What mitigating actions do you take to reduce the concern?	
Answer Options	Response Count
	62
<i>answered question</i>	<b>62</b>
<i>skipped question</i>	<b>82</b>

- Apply take down policy. Future OA information may highlight fact that making work available on OA basis can help detect use without permission
- explain that open access can make plagiarism easier to spot
- Assure students that their work, although stored electronically, will not be any more accessible than a print copy
- They would not be made available electronically
- None as yet because our repository doesn't yet include theses.
- N.A.
- Clearly state the end-user license terms and conditions of use.
- We explain how this is also taking place in a print context ([Institution] has concrete examples) and is difficult to avoid entirely  
We explain how making searchable full text available will contribute to plagiarism discovery - e.g. by the University or longer term by EThOS using plagiarism discovery sw.
- We add a cover sheet to e-theses (begun in Feb 2010 with a rolling program to cover older e-theses in progress) setting out fair use and theses author IP rights.  
We encourage students and supervisors to use the embargo procedure to protect eg. material due for publication; results not yet published etc.
- Cite openness makes plagiarism easier to detect through electronic checking
- Face to face training, explaining how Google and other search engines, including anti-plagiarism sites, will pick up the thesis making plagiarism more detectible than if the original work were only in a physical format.
- Embargoed theses
- Explain that making a thesis available electronically makes plagiarism easier to detect
- Restrict any copying, but not access or brief quotations
- FAQ - gentle pointing out that its easier to detect if work has been copied from an online source than from a hard copy hidden in a basement
- Point out that plagiarism is likely to be detected more easily. The problem is no different from any other e-journal articles or other e-publications the author may produce.

Mention that EThOS is working with JISC-iPAS/iParadigms to include theses in the corpus against which suspected plagiarism can be checked.

- Refer to EThOS guidance
- If the student raises a concern, the abstract only is shown
- Theses now run through Turnitin
- Use of Turnitin software makes it easier to identify plagiarism
- Emphasised the ability to identify plagiarism more easily if the thesis is available online
- that plagiarism is far easier to find WHEN theses are available online
- Explain policy and refer to Research Office in needed
- Training and awareness of plagiarism services, noting that open access drives down plagiarism by increasing detection rates
- I have explained that this is an extra facet to making students aware of plagiarism and should be treated accordingly. Also, items in the repository can, in theory, be run through Turnitin, although this does not do anything to reduce the copying of formulae.
- That online theses also make plagiarism easier to catch - we advertise such services as TurnItIn and do not shy away from fact that copying is a real risk.
- By pointing out that presently people may copy theses anyway, and if they are more widely available it will be easier to spot any plagiarism.
- Point out that suspicions of plagiarism can much more readily be checked if the theses are available online, and deposition serves to "date-stamp" the author's claim to priority.
- All our theses are checked against Turnitin before being added to the institutional repository. This policy is advertised to students. It's assumed that the availability of plagiarism software will deter others from plagiarising our students' work.
- Reviewed regulations.
- Explain that as thesis is freely available to view, that plagiarism will be easier to spot.
- Never put the thesis on repository. Will put it on in a year's time
- Use the above argument for anyone raising this concern; if it remains an issue, remove the thesis.
- Advise the OA makes it easier to check
- Refer to Turnitin and other sources that illustrate how much easier it is to detect plagiarism in electronic versions of theses
- We do training on the authors' copyright rights and how the IR emphasises their copyright ownership. Plus date stamps on the deposit which prove a timeline of when the work was first made available. Easier plagiarism checks online. Often ask the question "Have you used online theses yourself? Benefits to you? Why don't you want other people to see your work and make it easily available to them? Quite often this makes the point.
- Library staff have explained that registration is necessary to use EThOS. Also there is anti-plagiarism software available to help the University detect plagiarism.
- A negotiation was entered and a 24 month embargo was put in place.
- Explain putting theses in public domain especially on the internet would actually help to identify any misuse of their material
- I explain that making an item more widely available increases the chances that plagiarism will be detected (as more people will be familiar with the work, and inclusion in automatic plagiarism detection services)
- Wording within the copyright/notice and take down statements online. Policy that authors can request their PhD be taken down if they have sufficient cause to believe their work is being copied /used by another party. Reassurance that there are security settings on each PDF requiring special software to try and unlock it. Also, the trend and momentum is overwhelmingly pro-open access to reduce likelihood of illegal copying/use as the e-version is there for all to witness it is their work. As opposed to sneaky photocopying of hard copies in a noir style library! Not that this applies to our libraries of course!
- as before
- Guidance notes.  
Some training sessions for students (need to be more systematic).
- Our repository does have a set of policies which cover permissible re-use and

acknowledgement.

If we are sent Word files to convert to PDF, we 'lock' the PDFs to make them harder to edit, copy and paste etc (although if the author sends a PDF, we assume that they are happy for it to be unlocked if that is what they sent).

- Our university uses the Turnitin system so newer thesis will be in the database and supervisors will be able to check against this for duplication/collusion. Older thesis however will not have been submitted through Turnitin in so this remains a concern. We monitor who accesses each thesis (only [our] staff and students may currently have access)
- Copyright policy is displayed in the Library and on our web pages.
- Registry run all theses through Turnitin plagiarism software before sending the e-copy onto the library for deposit.
- As for publishing
- none
- Permission to digitise on EThOS not granted by author
- We don't know, yet.
- Same as before
- Open Access actually makes plagiarism easier to track, not harder.
- We apply Creative Commons licensing to the work. Advise that it is easier to detect plagiarism when the document in electronic form
- In conversation and advocacy, one stresses the ease with which any plagiarism can be detected and proven with a date-stamped online publication
- None. It's not our responsibility; the nature of public access to e-theses is explained in a statement which students are required to agree with (by tick-box) when depositing.
- Pointing out that the facility to copy already exists in print format; use of TurnItIn plagiarism detection software
- Still under discussion
- Suggest that it is more at risk of plagiarism if only available in print. Refer to TurnItIn.
- No action, just discussion around the issues.
- Explaining reduces concerns. Most students are eager to participate as they see the advantage to researchers.
- It was felt by the relevant committee that the benefits far outweighed the concerns

In the last academic year, roughly how many cases of plagiarism have been reported?	
Answer Options	Response Count
	67
<i>answered question</i>	<b>67</b>
<i>skipped question</i>	<b>77</b>

- 1
- none - that I know
- N/A
- Don't know, but there have been cases, guess about 10
- I don't know
- N.A.
- 0
- None, but as mentioned we've only been running since October.
- 1
- Unknown
- None.
- None
- None
- None
- None
- From the IR - NA. generally across the University - lots.

- None
- not known
- Not sure
- 0
- none
- 2
- None known
- 1
- None
- 0
- 0
- Only aware of one instance with a piece of undergraduate work.
- 0
- 0
- None
- None
- None that I'm aware of.
- none
- None
- n/a.
- Not sure
- None
- Unknown
- None that I am aware of
- Not known to us.
- Just the one.
- none
- None
- None
- None
- as before
- None to my knowledge.
- None
- I'm not aware of any cases with regard to the print these held in the Library.
- 1
- None, from repository material
- 0
- none: no theses have yet been uploaded
- None
- Nil.
- 0
- None
- none
- None
- None
- N/A
- None to my knowledge
- The library service would not directly be informed of this
- Not known
- None
- [Institution's] [Governance] will have details of cases of plagiarism at [Institution]
- There are only 20 theses newly added to [institutional repository] so nothing so far; no feedback about theses on EThOS that I am aware of but it wouldn't really come to me any way

## 26. Sensitive Content

Are you aware of this being a concern in your institution, to your knowledge?		
Answer Options	Response Percent	Response Count
No	41.4%	53
Yes	58.6%	75
<i>answered question</i>		<b>128</b>
<i>skipped question</i>		<b>16</b>

Who has raised this as a concern?		
Answer Options	Response Percent	Response Count
Students	52.2%	35
Supervisors	53.7%	36
Administrators	50.7%	34
<i>answered question</i>		<b>67</b>
<i>skipped question</i>		<b>77</b>

In the last academic year, please rank the frequency that this concern was raised.		
Answer Options	Response Percent	Response Count
Only once	17.7%	11
Occasionally	77.4%	48
Often	3.2%	2
Very often; our top concern	1.6%	1
<i>answered question</i>		<b>62</b>
<i>skipped question</i>		<b>82</b>

57 respondents gave examples of concerns raised:

- Material is being embargoed before we receive it and so we don't know how this embargo process works
- Theses have contained data that is a) relevant to court case, b) contains animal experimentation, or c) contains information on child welfare cases that could be identified in the field, even though anonymised.
- Sensitive information about individuals
- sensitive information on people used in surveys/ case studies - particularly in social & medical cases
- Intelligence and security theses currently being written
- Some theses contain work which needs to be kept restricted or confidential.
- This has been raised by an academics concerned about other people commercially exploiting findings from his work. His thesis was not sent to Ethos but he was happy for us to send his Master thesis to the requester instead.
- As before
- - concerns can relate to social science research or medical research gathering information about individuals
- - concerns have also been raised about research where animals has been involved in experiments

- Students inform us that participants in (eg. case study) theses often only agree to be interviewed if confidentiality is guaranteed.  
Commercial confidentiality is another factor for students to take into account. Including personal information (in one case where the student is also a church minister) can also be a concern
- Industrial partners giving sensitive data
- 1) Interview material about 'sensitive' subject where author agreed to anonymise.  
2) Author considered life would be at risk due to sensitive nature of thesis
- Confidential government statistics for which permission had not been sought for inclusion in an e-version,  
Non-anonymised interviews with participants in the partition of India for which permission had not been sought for inclusion in an e-version (when the research was carried out the e-thesis mandate was not in place);  
lack of sufficient anonymisation in educational studies
- Health theses contain patient information
- Clinical studies, research undertaken with children, commercially-sponsored research, sensitive political/religious subjects.
- issues raised in meetings about electronic submission. Some of our theses appear to contain confidential information
- Concerns over commercially sensitive information being published
- Don't have specific examples
- Patentable knowledge has been made accessible preventing it from being patented in the past, and commercial information has influenced embargoes on theses on one or two occasions
- Confidential case studies used, which are difficult to anonymise effectively due to involvement of author
- This was discussed during the consultation process before the Regulation was changed
- Survey respondents' anonymity
- Potential access to commercially sensitive data, new technologies or processes etc.
- It was part of the discussion when I propose new policy
- Data "owned" by depts/funders in theses, identifiable individuals/populations/groups in theses research data.
- Academics have raised general concerns about this in particular, identifying people that have taken part in surveys.
- For Counselling, Psychology and Health theses particularly, where work with real subjects on sensitive topics may take place.
- The Ethics committee already allows embargoes on printed theses where they may include such information, and a panel is convened to allow for suitable embargoes.
- History thesis which included names of supporters of Fascist organisations  
Clinical psychology theses from which patients might potentially be identified  
Biological Sciences theses giving details of animal experiments  
Agreements negotiated by [Research and Enterprise] Dept for use of commercial company data normally require a minimum of ten years guaranteed confidentiality
- Sections in an e-thesis might contain confidential/sensitive material
- Just routinely check for embargoes etc from funders
- Commercially sensitive information.
- Again, this is something that we in planning a live thesis repository have been aware of. Also, in focus groups, one student raised the concern of their work (an anthropological study of guest workers in [middle eastern country] being used to identify and target vulnerable communities and people, because of its wide dissemination.
- That commercially sensitive information is being made available when it shouldn't be
- Personal, commercial or other sensitive information
- Who takes responsibility for this?
- Sensitive research areas. Personal data used in surveys. Anonymisation difficult.
- Politically sensitive material. Commercially sensitive material. Privacy rights of individuals.

- Formal concerns are dealt with by our committees - a formally embargoed thesis will never reach the repository or the library. We did have a thesis that contained sensitive material concerning holocaust survivors that was not formally embargoed
- only raised as a matter for consideration
- Usual. We do cite the Freedom of Info Act and schema which we obviously have in place.
- Personal data
- Access to private, personal archives for research purposes may become more difficult if the work must be made openly available.  
Changes nature of relationship between researcher and subject.
- There have been two cases where students have alerted us to sensitive information in their thesis.
- Material was of a personal nature
- Sensitive personal data was included in a thesis and the student wished to anonymise the data before it was submitted
- We recently had an example where an international student claimed that our making his thesis available make it impossible to return to his home country
- no concrete examples
- Discussed as a theoretical concern at a University research committee.
- Sensitive material can be MOD funded stuff, content subject to the data protection act or some other confidentiality agreements e.g. medical records, personal interviews, historical records of living individuals
- [Doctorates] in Counselling use real examples
- Commercially sensitive information is contained in my thesis - I don't want it to be freely available.
- Use of interview evidence with persons living
- Sensitive medical information, photos etc.
- Typically raised whenever the issue of open access to theses is discussed.
- threats of legal action against uni or author
- No issues raised yet by students. This has however been discussed during development of the repository policy and it was agreed that only in exceptional circumstances would thesis not be made open access. This is covered in the 'Exceptions' section of our Self Archiving and Research Repository Policy.

What mitigating actions do you take to reduce the concern?	
Answer Options	Response Count
	63
<i>answered question</i>	<b>63</b>
<i>skipped question</i>	<b>81</b>

- In situation a) agree to embargo until the end of the case, b) and c) agree to permanent embargo to protect individuals concerned
- Try and encourage supervisors to ensure students do not include such material.
- vols containing such info retained by research office. Would not be deposited in repository.
- Would not be available as an e-theses
- These can be Restricted or Confidential for specified amount of time (specified by author and supervisor). If anyone wished to consult these they would need special permission by letter from the Head of the Department that the thesis originated from.
- Thesis is generally restricted
- N.A.
- - we offer embargo solutions where content can be restricted from access
- Confidentiality issues are covered by the embargo procedures. Before any embargo is taken off and the e-theses uploaded we look at the reasons for embargo and engage with the Graduate School to see if they want an extension on the time period

- Again, this is covered by the restricting access to your thesis form.
- Restrict access to online theses
- 1) Discluded interview data
- 2) Did not add to IR, thesis retained only in school (although that would differ under our new processes - we are able to store on a secure place in the Library)
- Training for new students to make them aware of what permissions they need to request.  
Training for existing students and supervisors about the use of embargoes for either the whole thesis or removing sensitive material to an appendix and embargoing that separately so that the main body of research is still available publicly (as has been done in the case of an [automotive] engineering thesis)
- Explained that we will not make material of this kind open access
- We are discussing anonymisation of data (different version on the IR??) meanwhile we are embargoing theses where the students declare issues
- Option to restrict access to the thesis, or to supply a redacted copy with the sensitive material removed.
- developing procedures for electronic submission
- Students may request a 2 year confidentiality agreement - we will not publish any thesis covered by this on the institutional repository
- Not yet arisen
- Respect embargo requests and encourage discussion between student and supervisor on potential patenting prior to submission
- Graduate School runs a formal procedure to request embargo on access to thesis
- Respondents identified in thesis alphabetically. Supervisor confirms that he has validated these as genuine respondents.
- Restrict access to thesis.
- Student opt out or imposes embargo
- Edited theses deposited, discussions with depts and individuals over the validity of their concerns, Embargos in worst case scenarios
- Emphasise that there may be a case for producing a version of the thesis for open access, i.e. one that has such material excluded but that can be provided on request.
- We advise that students should notify their subjects that the output from their study may be placed in a digital archive, which is available globally. We leave the decision on whether or not to include individual theses in the public archive with the faculty. In addition, theses of this nature will have been anonymised by the student.
- Electronic theses will also allow for such embargoes.
- For new theses, we rely on the embargo period. Where past theses are requested by EThOS, we write to the graduate pointing out these possibilities as factors to consider.
- Students receive instructions regarding omission of confidential/sensitive material
- Explain that theses are checked to make sure that there is no sensitive material included before it is made live.
- Would with hold entry into repository for embargo period
- Moratorium (3 years restriction)
- Redact such information where possible.
- Embargo the thesis (Print and Electronic)
- Advise students and supervisors, take-down policy
- Robust embargo procedure. Partial embargo to remove really sensitive information. Standard ethical declaration form and referral to university ethics committee when required. Advice available to students re. best approach to including sensitive information.  
Some suggestions that research inappropriate if none of it can be made publicly available or not available at all. But would try to control access as appropriate if some access could be given to selected researchers.
- Place embargo.
- Place an extended embargo on the thesis. Again, a clearer policy is under development.
- A permanent embargo was placed on the item in the repository so it is only available by a direct request to the author

- Same as before really - embargo option is available or blanking out sensitive information. This is the judgement of student and supervisor whether h/c or e-copy. A special text reference can replace sections of the PhD that are confidential etc.
- Removed it
- Guidance notes.  
Emphasis that students should be following good practice in these areas in any case (regardless of electronic access).  
Embargo options.
- In one case, the student was granted an embargo by the university research committee (after following the university's normal process for requesting confidentiality). In the other case, the student complained after their thesis was put in the repository. The Dean of the Graduate School refuses her request it be taken down, on the grounds that she did not apply for confidentiality at the correct stage of the PhD process.
- Embargo on release
- We agreed to remove any references to particular people and to not include several appendices.
- Candidates are given the opportunity to embargo their theses in consultation with their supervisors
- the same as for hard-copy theses: viewing of the thesis can be embargoed
- We don't know, yet.
- We keep ALL examination version closed access (but available to internal examiners and plagiarism detection). Where such materials exist and permission to make the material open access can not be got, then the final version remains closed access, but the student has the opportunity to produce a redacted version.
- We can restrict any e version in same way as print if this is a concern.
- check to ensure information is anonymous
- Offer embargo solution.
- Students have the right to embargo their thesis for this reason. Risk management process in operation
- Robust research training and a clear takedown policy.
- Advice and guidance within dissertation preparation
- Allow embargo
- don't make available
- Redaction of material before publication
- If any of the above applied then we would not upload the thesis.
- do not put it on ethos
- Takedown policy, redaction, embargo. These mitigations may be subject to approval by Research Degrees Committee or Research &
- The Graduate School gives guidance on inclusion of sensitive data etc - anonymising, restricted access

**In the last academic year, roughly what number of your theses have been redacted or embargoed to protect sensitive information?**

Answer Options	Response Count
	63
<i>answered question</i>	<b>63</b>
<i>skipped question</i>	<b>81</b>

- 4
- less than 10
- 0
- 35?
- d/k
- N.A.
- None, most likely because people who have faced encountered this as a problem has

chosen not to deposit an electronic version of their thesis.

- Roughly 300
- 20
- 3
- That information is not readily available centrally due to our devolved record keeping. However we should be able to run a report on [named repository software] to see how many embargoed theses are marked as ethical, commercial or patent pending. Unfortunately we're in the middle of a uni-wide REF exercise at present so it won't happen immediately as the programmers are horrendously busy. Please contact me again for the results in a few weeks [date]: [email address]
- None
- N/A
- About 5%
- not known
- 3
- Don't know
- Unknown
- 2
- Unknown - the Library does not receive reasons for restriction of theses, only that there is a restriction and for how long it is to remain in place.
- Don't know
- None so far.
- Not sure, see previous answers
- 1
- Not sure.
- 0
- I don't know in relation to print theses, which is all we have at present.
- Eight
- None
- twice
- none
- 1
- n/a
- Not sure
- A significant number
- Unknown
- Less than 5
- 02/03/2010
- 1
- NIL
- None. I think just a couple in the last few years.
- Don't know as process is pre-library
- None but we haven't added many yet.
- one
- once
- 1
- 1
- none: no theses have yet been uploaded
- Nil.
- Would need to check.
- Two
- none
- 0
- None
- Responsibility for ensuring that material is not confidential etc. has been placed with

the author. Not yet encountered as only now starting to load e-thesis

- 2
- None this year
- 2 or 3
- Not known
- None
- about 30 + others in process
- None
- 3

## 27. Practical Barriers

In addition to concerns raised, some institutions may have experienced practical barriers to deposit and open access of e-theses. Please indicate which have been a barrier in your institution.

Answer Options	Not a barrier	Minor barrier	Major barrier	Our biggest barrier	Response Count
Insufficient staffing to handle e-theses	36	37	19	14	106
Insufficient staff skills	50	44	8	2	104
Lack of policy making	40	36	21	9	106
Technical infrastructure	49	36	14	6	105
Resistance by departments	49	40	14	2	105
Resistance by management	70	27	4	3	104
Low priority	36	38	24	9	107
Insufficient financial resources	36	42	20	7	105
<i>answered question</i>					<b>111</b>
<i>skipped question</i>					<b>33</b>

## 28. Other Concerns

Respondents were invited to describe in their own words any other concerns they have encountered. 23 responses were given.

What was the concern?	Who raised it?	How often has it been raised?	What action was taken to address the concern?
Varying submission procedures between Student Records and Examination Office	We have raised it, but it came to light via a supervisor of an [engineering] thesis	Once	We are still trying to address this issue
No staff to check 3rd party copyright issues in theses	Librarian	Once	Up to the author of theses to check 3rd party copyright issues

Length of time it takes for the print copy and authorisation to release the electronic copy to be received by the Library - this can take months

Library Support Services Manager

Occasionally

Research Student Office will try to send these more quickly (short staffed)

Lack of will to introduce a 'real' e-submission system where e-thesis is uploaded

Library

Fairly regularly - annually

Meetings continue. Library is keen to move this forward as metadata would be created by student and metadata and e-copy could be moved about seamlessly

The concern was that since only 1 print copy was being produced, the departments would no longer have a copy

One academic in Engineering

Once

It was pointed out that the Faculty could keep an e-version if they wished

The concern related to collaborative projects where publishing an individual's PhD would

Departmental staff

Not often

Embargo solutions as described earlier would allow for research to be published elsewhere initially thereby mitigating the problem.

Access to datasets created and used within theses being freely available to be exploited by others

Supervisors

Occasionally (~10 times a year)

Restrict access to theses

Data missing from EThOS has been major driver for research ambitious university

Formats - some Arts Theses are delivered in odd physical manifestations. Also award by publication.

Supervisors and GRO

twice

We agreed to investigate any odd issues and are looking at example files - all very straightforward so far

Need for streamlined deposit process joining up separate IT systems	Library staff	Annually	Project proposal drawn up to use metadata from Student Records, to enable students to self-deposit and certify their e-thesis
poor quality of some theses, possible plagiarism by our students	meetings discussing e-theses		use of Turnitin once electronic submission is in place
risk that theses may contain plagiarised materials (plagiarised by authors) and that placing them full-text into a freely available repository would allow this to be discovered	Dean of Research (who heard it from another university)	once	thesis now run through Turnitin
Whether to retain the best Master's dissertations because of their potential as a unique source of information, particularly those by international students about their home countries	I did	A couple of times	None. The Library staff are too ignorant of the needs of researchers to understand the significance of this issue.
Lack of policy enforcement by senior university admin sections	Repository staff	A number of time over the past year	Attempting to refine workflows, identify dependencies and clear lines of responsibilities for all involved ion thesis process - students, supervisors, repo staff and graduate school

Relationship of supervisor to thesis. Although the student is the copyright owner, supervisors have vested interests in publication from theses too, and often in negotiating commercial sponsorship

Supervisors

Relatively infrequently now etheses policy well established but an issue earlier on.

Supervisors have input into embargoes and into embargo releases, to cover their publication, commercial sponsorship links. Interesting to us to see how these interests can be very strong in particular disciplines eg chemistry

We are at too early a stage to answer the above questions!

Staff cuts and developing a stable unit to funnel work

Academic office / Library Service

Annually

Developing a doc' management system and e-print repository in 2010

Retro digitisation. Probably costs and retro permission from authors etc and 3rd party inspection. Too much work even though we have our own digitisation bureau. Cost at least £8k. Have raised it for 17 June 2010 [senior committee] meeting but it is likely money is too tight to even pay for the BL to do our retro digitisation and include a notice and take down policy.

[senior committee] members (research directors)

Not sure about hard copy theses. Raised mandated e-submission back in 2001 and it has taken until 2009 to get it back on the table. Slow process.

See above - we have hopefully got there in the end but may not bother with retro conversion of past dissertations unless requested to do so via EThOS (again when we join EThOS!). Still staff concerns over resourcing mandated e-submission in practice. However, the number of PhDs is low compared to many other HEIs at the moment so we will monitor this and see. It will be NB, especially working across the university and the [research] dep't to ensure there are clear policies and a clear practical workflow and feedback / notice and take down mechanisms.

Examined and electronic thesis must be identical.

Graduate Board.

Often.

We've had to reflect it in our policy.

Difficulty in handling unusual file types supplied with a thesis (music files in this case)	Cataloguing team	Once	Has not yet been resolved
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Getting all the relevant procedures across the institution joined up.	Library	Occasionally	Built stronger communications with the appropriate teams
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Actually e-these are in the bigger picture far less important than published output by staff	Pro Vice Chancellor, Senior Staff - others disagree on this point		Discussion - quite interesting...
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Very few concerns so far apart from two people requesting embargos			It look quite some time to resolve as the process to follow was unclear and in the end, it was not our decision, but someone senior in College made this decision. A clearer policy and procedure needs to be agreed on many of these related matters.
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Finally, 80 respondents offered contact details for follow up.