University of Leeds
Guidance on ethesis preparation, copyright and publication
Revised September 2012

This document should be read and considered alongside the Thesis Format Regulations.

1. Introduction
2. Guidance for candidates
   2.1. Where to start?
   2.2. What is an ethesis?
3. Copyright and Intellectual Property Rights
   3.1. Including third party copyright material
   3.2. The University’s policy on intellectual property
   3.3. Registered trademarks
   3.4. Asserting moral right to be identified as the author
4. Preparing for examination
5. After successful examination
   5.1. Preparing your final thesis in hard copy
   5.2. Preparing your final thesis in digital (PDF) format (“ethesis”)
   5.3. ISBN numbers
6. Thesis deposit arrangements
   6.1. Thesis retention arrangements and deposit agreements
   6.2. Creative Commons licences
7. Take down policy
8. Index file

There is further Copyright advice and information on the Library website.
1. Introduction

The University aims to make as many successful doctoral theses available online as possible. Following award of the degree, electronic versions of the thesis can be accessed on White Rose Etheses Online (WREO) and the British Library’s EThOS service.

Any doctoral candidate whose research began before September 2009 has the option to submit an electronic version of their thesis as well as the hard copy to the University Library. Candidates whose research began in or after September 2009 must submit their successful thesis in both hard-bound and electronic form.

A thesis can be deposited in the Library in confidence (embargoed) if needed, either for commercial reasons or while the candidate negotiates its publication in peer-reviewed journals or as a monograph. This applies both to hard copies and electronic copies.

The University recognises that electronic theses can potentially contain digital material which it is not possible to include in a conventional paper copy. At present the University requires that theses should be submitted in the prescribed hard-copy format to ensure maximum accessibility.

2. Guidance for candidates

2.1. Where to start?

Before you begin, consider that your submitted thesis must be in a format and with contents suitable for electronic publication. You will, for example, need to pay special attention to any third party copyright material (see section 4 below) you wish to include. It is illegal to publish substantial extracts of previously published work (either hard copy or digital) without the copyright holder’s permission.

From the outset keep records of source, authors etc of all copyright material you may wish to incorporate in the thesis. If you find such material on the internet ensure you establish and take a record of, from the website on which it is published, the extent to which the copyright owners are prepared to allow the copying and reuse of the material.

Consult early with your supervisor(s) to determine the extent to which your thesis may contain commercially exploitable inventions/innovations/matter suitable for publication in refereed journals or as a monograph. Negotiations with commercial sponsors may need to take account of the fact that the University will not indefinitely embargo a thesis purely on commercial grounds.

Further information on getting permission to use copyright material.

2.2. What is an ethesis?

One way of storing theses and making them available to a wide audience is to deposit them in an appropriate digital format (the “ethesis”) in an open-access repository. This is becoming common practice both in the UK and internationally and ensures that the theses are appropriately described, safely housed and easy to obtain.
Benefits of etheses include:

- Students’ theses are likely to be read more widely
- Theses are immediately available and readily searchable
- UK HE postgraduate research is more visible worldwide
- Underused primary research is made available.
- The profile of the institution and of individual schools may be raised.

However, publication of an ethesis immediately after successful examination for a research degree may, in some disciplines, reduce the prospects of the publication of monographs or papers by leading academic publishers or referred journals. The advent of digital publication is affecting the approach taken by publishers. Seek the advice of your supervisor(s) – or the intended publisher of your monograph or paper – so you know whether to ask the University to embargo your ethesis from publication.

3. Copyright and Intellectual Property Rights

It is your responsibility to ensure any content you include in your thesis does not contravene copyright law. The Library website has [general guidance on UK copyright law](#).

3.1. Including third party copyright material

The main issues you need to consider are:

- The exemption under Copyright, Patent and Designs Act 1988 (as amended) which permits the inclusion of an unlimited amount of copyright material in a thesis presented for examination does not apply to published theses in any format including the creation of an ethesis.

- You can include insubstantial extracts of third-party copyright material under the provisions enabling “fair dealing”. Such extracts should appear with a proper citation/reference.

- You can include somewhat more substantial extracts provided this is solely for the purpose of criticism and review, and you must use the minimum needed to make your point.

Further information on fair dealing
Further information on moral rights

- Including images (photographs, diagrams, maps, charts etc) or media “clips” (videos, sounds, films etc) requires permission from the copyright or performance right holder, of which there may be more than one.

Further information on getting permission to use copyright material.
• If you have already had some of your papers published before submitting your thesis, ensure that your publication agreement with the journal concerned includes permission to use any elements you wish to include in your thesis.

• You also need the agreement of any co-authors in any of the published papers - including your own work - you wish to include in your thesis.

• Further information on the use of co-authors' work which has formed part of solely or jointly-authored publications, within a thesis submission, is published as Annex I to the Thesis Format Regulations.

If the thesis will be deposited as an ethesis, or if there is any prospect of publication, consider (prior to submission) including only limited extracts of third-party copyright material which comply with “fair dealing”.

The generally acceptable limit for inclusion is a 400-word extract from a book/journal - but the extent to which that holds true depends upon what a copyright holder considers “insubstantial”. This would need to be checked with the copyright holder.

– If you are using third-party copyright material published on the internet, consult the terms and conditions of use and any copyright statements that the publishers have specified. You may find that the material has no restriction on its re-use for educational or research purposes - or you may find that you have to write to the copyright holders explaining precisely what you want to do (including identifying the actual extracts you wish to “republish”) and asking for permission. You may or may not have to pay a fee depending on whether you want to use the quote for commercial or research purposes.

If the third-party material you need to include in your thesis exceeds what is acceptable under “fair dealing” you must further consider how this might be presented.

– If your reason for using very long extracts is to demonstrate their precise context to the examiners, consider submitting, solely for the examination, the extracts on a separate CD called “supplementary material”. You can then include the insubstantial “fair dealing” extracts within the thesis itself and cross-reference the longer extracts in the supplementary material. Cross-referencing should include the web addresses of where the extracts are originally published. See section 4 of the Thesis Format Regulations.

– The final version of the thesis (and the ethesis) can then be published after examination without the supplementary material and the cross-references to it. You should, however, retain the web addresses so that readers can find the material without you having infringed copyright law. For the convenience of future scholars and researchers you can retain, if you wish, the supplementary material as a separate file on the disc on which you submit your final ethesis – making it clear on the disc’s content index that this supplementary material is not for publication.
3.2. The University's policy on intellectual property

The University treats students and staff equally in relation to intellectual property rights. Intellectual property includes copyright, patents, trademarks and data protection. For further information see the University's IPR policy.

3.3. Registered trademarks

If your thesis will contain illustrations of registered trademark(s) (denoted by ®) you should obtain the permission of the holder(s) of the registration of the trademarks concerned. If you cannot get such permission, registered trademarks should be handled in the same way as substantial extracts of copyright material (see above) – bearing in mind that the registered holder is unlikely to consider an “extract” from a registered trademark as “insubstantial”.

3.4. Asserting moral right to be identified as the author

The University recommends that all its staff and students assert their moral rights under the provisions of the UK’s Copyright, Designs and Patents Act 1988 (CDPA 1988) over any works they author. Although a comparatively weak concept under UK law, assertion of moral rights affords a measure of protection to an author, particularly concerning international exposure of a thesis published in electronic form. In the UK these moral rights must be asserted by the author: they are not granted automatically under the CDPA 1988. The Regulations for the Format and Presentation of Theses for Research Degrees gives an appropriate form of words for inclusion on the second page of your thesis.

Moral rights are intended to protect the personality and reputation of the author. They:

- help to ensure that a work is not subsequently used or republished without the author being identified (even if the author has assigned the copyright elsewhere);
- enable the author to object to any derogatory treatment of his/her work which constitutes a distortion or mutilation or is otherwise prejudicial to his/her honour or reputation.

Further information on moral rights:
Intellectual Property Office website (includes guidance on where moral rights do not apply).

4. Preparing for examination

The Research Support Administration (RSA) website has information on entering for examination, preparing and submitting your thesis for examination, and preparing your final thesis after successful examination.

RSA also provides:

- Information on completing the Examination Entry Form
- Regulations for the Format and Presentation of Theses for Research Degrees.
5. After successful examination

5.1. Preparing your final thesis in hard copy

Regulations for presenting the hard-bound thesis are given in Regulations for the Format and Presentation of Theses for Research Degrees.

5.2. Preparing your final thesis in digital (PDF) format (“ethesis”)

Doctoral candidates commencing study in or after September 2009 are required to submit their successful thesis for retention by the Library in both hard-bound and electronic (PDF) form (ethesis). Any doctoral candidate commencing research before September 2009 has the option of also submitting their thesis in electronic form, in addition to the hard-bound copies. MPhil and Masters by Research candidates are not required to submit a digital copy of their thesis.

An ethesis should be in PDF format and should be submitted on CD, DVD or USB memory stick.

Help with preparing an ethesis:

- Create your final thesis
- Convert to PDF format
- Transfer your PDF to a CD
- Label your CD
- Prepare the index file

(i) Create your final thesis

ISS resources:
- Producing theses and dissertations
- Thesis template

The ethesis must be a single file exactly replicating the content of the final, corrected printed/bound copy of your thesis and must be supplied as a PDF. This is the format used by the etheses repository and the one used for dissemination. Theses produced using other packages (Word, LaTeX etc) should be converted to PDF for the final version. The single PDF file should include all appendices.

(ii) Advice on converting to PDF

If it has been created using Microsoft Word you can simply “Save As…” a PDF. Microsoft Word 2007 is available in all University student clusters. You can log in to a PC in a student cluster with your ISS username/password.

Another option is to use a PDF convertor tool such as Adobe Acrobat or Scansoft PDF Professional 4. The University has a site licence for Scansoft, so it may be possible for your school or faculty IT support to provide this tool on your desktop.
Alternatively, the University’s Print & Copy Bureau can create a PDF of your thesis – either as part of creating the print versions or, if you prefer, you can supply a Microsoft Word document for them to convert to PDF. The Print & Copy Bureau is on the ground floor (level 6) of the Roger Stevens Building, opposite the coffee bar.

On opening the digital file the first page accessed by the user should be the title page of the thesis. This must include all the information required in the University’s Format and Presentation Regulations: http://www.leeds.ac.uk/rds/thesissubmissionandexamination/students/submitting_the_thesis/regulations.html

(iii) Transfer your PDF to a CD
ISS provides guidance on how to copy your PDF version onto CD. Although CD is the preferred format for supply of the ethesis to the University, the PDF will also be accepted on a DVD or USB stick. The CD (or other media) file of the PDF ethesis should be given a standard filename which follows the format of the hard-copy thesis: Surname and initials, school, degree, year of submission. For example: Smith_ABC_Chemistry_PhD_2009.PDF.

(iv) Label your CD
The CD should be labelled externally and on its protective case to show the full name of the candidate, student ID and school.

(v) Prepare the index file (see Annex I)
If you are including additional original source files in other formats in your ethesis submission, you must include on the CD an index file (in Word, PDF or txt). This file should set out the contents information and list and label all the additional files on the CD. These additional files may be stored in the background of the repository for preservation and exposed for public use, as appropriate.

If some of the material you wish to include in your thesis cannot be converted to PDF you should discuss the options with your supervisor who, if no suitable solution to the problem can be identified, should raise the issue with Research Student Administration.

5.3. ISBN numbers
Attention has been given on how best to protect the copyright of theses, which is shared between the author and the University. Web publishing must be considered as the equivalent of traditional publishing. It is therefore appropriate for the University as publisher and joint copyright owner to assign an ISBN to each thesis. In this way the author’s and the University’s rights will have the best protection currently available.

RSA will allocate each candidate a unique ISBN for his/her thesis when the bound thesis, the CD containing the thesis in PDF form, and the fully completed Thesis Deposit Form are deposited at the RSA counter in the Marjorie and Arnold Ziff Student Services Centre.
6. Thesis deposit arrangements

6.1. Thesis retention arrangements and deposit agreements

You may need to restrict access to both your hard-bound thesis and the ethesis for a specified period of time. The main reasons for restricting access are where the thesis includes politically or commercially sensitive information or where a journal article, monograph or other publication from the thesis is pending. If you wish to embargo your thesis for any other reason you will be asked to indicate this on the Thesis Deposit Form.

Publication of an ethesis through the repository may be construed as "prior publication" and could potentially prejudice publication through other academic routes. Where a publication is likely to emerge from the thesis you should restrict access to your thesis for an appropriate period to allow your work to be published. If you publish your paper before the end of the restriction period, email etheses@whiterose.ac.uk to let them know that the restriction can be lifted.

You can restrict access to your thesis for one, two, three, five or twenty years (in the case of a patent pending). After the indicated period both the hard-bound copies and the ethesis will be released. It is your responsibility to contact the University Library before the end of the embargo period if you wish to extend the period of restriction.

It is not possible to separate access to the hard-bound thesis from access to the ethesis. Any restrictions on the ethesis will also apply to the hard-bound copy.

The print copy of your thesis must be the final, corrected, examined and awarded version. The ethesis must also be identical to the hard-bound copy. In the Thesis Deposit Agreement you will be asked to sign to confirm this is the case. The University will not accept an edited version of your thesis as the ethesis under any circumstances.

6.2. Creative Commons licences

The University recommends that you make your thesis available using a Creative Commons licence. This licence protects you as the author of the work and clarifies (and limits) the uses that others may make of your work without them needing to ask you for permission. Further information is available at: http://creativecommons.org/licenses/ .

You can specify the Creative Commons licence you decide is the most appropriate even if, after consultation with your supervisor, you have decided to embargo your thesis’s publication for commercial or other reasons. The recommended licence is Creative Commons Attribution Non-Commercial Share Alike, but you may apply an alternative licence via the Thesis Deposit Form.

7. Take down policy

Your thesis may be temporarily or permanently withdrawn from WREO and EThOS if the University receives a take-down request on the grounds of breach of copyright or other legislation. White Rose Take Down Policy
The ethesis should be a single PDF file exactly replicating the content of the final, printed and hard bound version of your thesis. In some cases it may be necessary/appropriate to provide additional files with the ethesis deposit please complete this form and save it onto the CD/DVD/USB under the filename index.doc (or .PDF or .txt where appropriate).

If it is appropriate to include any additional material please list the files in the index below and indicate whether they are examined content, supplementary or other material. Please also indicate below whether you want the files to be made available online or whether they should be hidden.

### Examined Content (E)

This includes all material included in the final, printed and hard bound version of your thesis. Appendices that formed part of the printed material submitted for examination (and considered essential reading for the examiners to reach a considered evaluation of the work) should be included here.

### Supplementary Material (S)

Supplementary material does not form part of the work which was considered by the examiners for examination and is not printed and bound into the final version of the thesis.

As outlined in section 3 of the Regulations for the Format and Presentation of Theses for Research Degrees some candidates may have included a CD of supplementary material within the thesis submission for examination, where it is considered important for examiners to have access to this material.

### Other Material (O)

In addition to the PDF file used for dissemination, the CD/DVD/USB may also include original source files in other formats. These files may be preserved in the repository and exposed for public use, as appropriate.

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Candidates must ensure they have read and followed the Regulations for the Format and Presentation of Theses for Research Degrees and the Guidance on Ethesis Preparation, Copyright and Publication.