Guidance on submission of final copy of thesis to LSE Theses Online for degree award (MPhil/PhD)

ALL CANDIDATES MUST READ THIS GUIDANCE IN FULL BEFORE COMPLETING THE *PHD THESIS SUBMISSION TO LSE THESES ONLINE* **FORM**

Context

LSE is committed making research degree theses openly accessible through LSE Library via LSE Theses Online, and through the British Library by way of their EThOS Service.

Making your PhD thesis open access increases the visibility and impact of your work, helping it reach a global audience. It also provides a valuable resource for current and future LSE students and academics, showcasing the high-quality research undertaken by LSE PhD students.

Nevertheless, LSE recognises that there may be circumstances (for instance, where there are safety or confidentiality concerns for either the candidate or research subjects) that require exceptions to this principle. This guidance is intended to support candidates and academic colleagues in navigating the research degree requirements and thesis submission process.

Requirements for All MPhil and PhD Candidates.

- All candidates who successfully complete examination must submit an <u>electronic copy of the examination version of their thesis to LSE Library</u> to complete the degree requirements and receive their award.
- **It is the candidate's responsibility to address any ethical, safety or confidentiality issues that arise in their PhD thesis as per the School's Research Ethics Procedures. Candidates will be required to confirm that they have addressed any such issues on the PhD Thesis Submission Form.**
- Candidates must submit their PhD thesis via the **PhD Thesis Submission Form**, answering **all** questions and uploading their final examined version as a PDF or PDFA file via the form.
    - The examination copy is held by the School as a record of the research assessed and upon which the degree was awarded by the examiners

- The examination copy is uploaded to LSE Theses Online and made publicly available (unless there are exceptional circumstances such as described below)
- Candidates must select an access option for their thesis on the **PhD Thesis Submission Form**. It is expected that most candidates will select:
  - Immediate access
  - Access after 12 months or 24 months (to allow, for example, for the resolution of publication plans or outstanding safety or confidentiality issues, after which the thesis can be made publicly available at end of the embargo period)
- In exceptional circumstances candidates may apply for:
  - A longer-term embargo OR
  - Submission of a redacted version of their examination copy.

Additional requirements for UKRI funded PhD candidates

The terms and conditions (TGC 11.5) of the UKRI training grant require PhD candidates to make the full text of their thesis openly available within 12 months following award. If you are the recipient of a UKRI training grant (ESRC or AHRC) from LSE, you will need to indicate this on the **PhD Thesis Submission Form** and the maximum embargo you can request is 12 months unless there are exceptional circumstances.

You should also acknowledge your funding in the examination version of your thesis. If you have any questions about complying with UKRI requirements, contact the Library.

Embargos

Short-term embargo for publication purposes

- Candidates can select a maximum embargo of 24 months for publication purposes.
- In exceptional circumstances, if publication is delayed and the candidate/their publisher requires an extension to the embargo, candidates can request an extension.
- Candidates will need to apply to the PhD Academy (copying in the Library) **before the end of the initial embargo period** to make an application for an extension on these grounds.
- The thesis will be automatically released and made publicly available at the end of the initial embargo date unless candidates have applied for an extension.

Short-term embargo for ethical, safety or confidentiality concerns

- It is normally expected that ethical, safety or confidentiality issues are addressed early in the research project and that consideration is given throughout the project to ensuring the research can be made publicly available.
- In instances where this cannot be addressed prior to the examination and submission of the thesis but can be resolved within 12 or 24 months, the candidate should apply for the 12 or 24 month embargo.
- During the embargo period the candidate has responsibility for addressing and resolving any issues prior to the thesis being made available.

- In exceptional circumstances, where it is not possible to resolve these issues within the initial embargo period requested, the candidate should apply to the PhD Academy for either a longer-term embargo or request to submit a redacted version of their thesis to be made available in LSE Theses Online.
- Candidates will need to apply via the PhD Academy (copying in the Library) **before the end of the initial embargo period** to make an application on these grounds.

Long-term embargo for ethical, safety or confidentiality concerns

- Candidates who wish to apply for a long-term embargo via the **PhD Thesis Submission Form** will be asked to provide a brief outline of the reasons why a long-term embargo is required, and the timeframe being sought.
- Requests will be considered by the Research Ethics Committee, Research Degrees Sub Committee and the PhD Academy
- The Research Ethics Committee may request further information/details and may also consult the thesis supervisor(s).
- The PhD Academy will notify the Library and the candidate of further actions/decisions.

Submission of a redacted thesis in addition to examined thesis

- Candidates who wish to provide a redacted thesis for deposit in LSE Theses Online must first provide their original examined thesis and submit a request to provide a redacted version of their thesis for LSE Theses Online via the **PhD Thesis Submission Form**
- Requests will be considered by the Research Ethics Committee, Research Degrees Sub Committee and the PhD Academy
- The Research Ethics Committee may request further information/details and may also consult the thesis supervisor(s).
- When a candidate has redacted a thesis as agreed by the Research Ethics Committee, Research Degrees Sub Committee and the PhD academy, it should be submitted via the Redacted Thesis Submission Form
- The School will retain the examination copy on closed access and the redacted version will be made openly available in LSE Theses Online in place of the examination copy.
- It is expected that you will submit the redacted thesis by the date agreed with the Research Ethics Committee, Research Degrees Sub Committee and the PhD Academy.
- Guidance on redacting your thesis can be found below.

Preparing your thesis for open access in LSE Theses Online

Handling third party copyright in your thesis

When a thesis is made available in LSE Theses Online, this counts as publication. For all extracts, images, data, figures, etc., included in a thesis, where the author is not the copyright holder, they need to ensure that their use falls within what is permitted under copyright law.

Should you include 3rd party copyrighted work without ensuring that its use falls under one of the points outlined below, this may lead to a claim of infringement from the copyright holder.

If upheld, this is likely to result in a financial penalty and the requirement to remove the infringing material.

Copyrighted material can be included if:

- Use is covered by one of the permitted acts within the Copyright, Designs and Patents Act 1988. These are also known as exceptions. The most commonly relied upon exception is that of quotation, criticism & review (s.30)
- The material is made available via a licence that allows re-use. The third party work must be attributed accurately (some data providers, as well as Creative Commons licences, require that copyrighted works are cited in a particular way).
- The author has applied for and been given permission for re-use by the copyright holder. The source must be credited as specified by the holder.
- If material is out of copyright (otherwise known as in the Public Domain) then there are no restrictions on its reuse. This usually applies to older published material.

If a publisher requires you to pay a fee to reproduce their content, and you do not wish to pay it, or if they refuse permission, you must not include the work in your thesis. Guidance on how to redact your thesis can be found below.

It may be helpful to keep a document recording any permissions requests for third party content you use in your thesis, a permissions log may be useful for this purpose. Contact the LSE's Copyright Officer, Wendy Lynwood, for more advice on collecting permissions and creating a log.

If you are unsure whether the use of a particular work within their thesis is permitted, you should discuss this with LSE's Copyright Officer, Wendy Lynwood.

For further guidance relating to copyright, please visit the Library's Copyright Hub.

Handling personal data in your thesis

Personal data is defined as 'information that relates to an identifiable or identified individual'. This can include obvious identifiers such as names but can also include less obvious identifiers such as location, job title, nicknames, etc.

Some common examples of personal data that might be included in a PhD thesis include:

- Photos that clearly show an individual's face
- Images of personal signatures on letters, official forms, etc.
- Job titles, particularly in small organisations or organisations that can be identified by other descriptors elsewhere in the thesis.
- In some cases, in depth personal stories e.g. family histories, unique personal experiences, etc.

It is important that you check your thesis for any potentially identifying personal data **before** you submit to LSE Theses Online to ensure that it contains no sensitive, confidential or personal information, and take steps to anonymise/ pseudonymise research participants to protect their identities if you haven't done so already.

You may find it helpful to refer back to your data management plan to determine whether your thesis contains any identifiable data. If you did not complete a data management plan or would like to discuss any issues around personal data in your thesis, please contact Rachael Maguire, Data Protection Officer and copy in the Data Library.

Redacting content from your thesis

If you have third party copyrighted content or confidential or sensitive information in your thesis that you need to redact before sending to LSE Theses Online, please follow the instructions below.

Microsoft Word

- Ideally you should remove the content from the Word document of your thesis **before** you convert it to a PDF.
- Once you have identified the content that needs to be removed, replace with a text box roughly the same size as the original content.
- Inside the text box, write an explanation of what was removed and why.
- For copyright purposes, you should also reference the original creator, e.g. *Image from magazine removed for copyright reasons*. *Copyright owner NAME* and you can include a link to the original if appropriate.
- For sensitivity/confidentiality, e.g. *REDACTION: details of research participants personal data, removed for confidentiality reasons.*
- Once the redactions are complete, check the page numbers of the redacted thesis match the page numbers of the original.
- Save the file and convert to PDF

Adobe Pro

- If you are trying to redact content from a PDF, you will need to use Adobe Pro to do this properly, making use of the Redact tool.
- Open the document in Adobe Acrobat Pro and go to Tools > Redact.
- Click Set Properties on the left-hand side to configure the redaction style. Set the fill color to light grey, enable overlay text, set the font colour to black, and enter your explanation in the custom text field, e.g.
    - *Image from magazine removed for copyright reasons*. *Copyright owner NAME*
    - *REDACTION: details of research participants personal data, removed for confidentiality reasons.*
- Use your cursor to select the content to be redacted. You can double-click to select a word or image, or click and drag to highlight a block of content.
- To redact full pages, use the Redact Pages option and select the appropriate page range.
- If you need to remove a specific word or phrase throughout the document, uncheck the overlay text option, then use Find Text & Redact to search and remove the term.
- Always manually review the title page and skim through the document to ensure all necessary redactions have been made.
- Once all redactions are marked, click Apply in the toolbar. In the dialog box, enable Sanitize and Remove Hidden Information, then hit Continue to the redactions.

If you are struggling to redact your thesis, please contact the Library for assistance.

For guidance on submitting your redacted thesis, see above

Publishing from your thesis and deposit in LSE Theses Online

Many PhD candidates worry that making their thesis available in LSE Theses Online counts as "prior publication", meaning they will struggle to find a publisher if they want to turn their thesis into a monograph.

Candidates retain the copyright to their thesis after deposit, and retain the right to publish and distribute it, however book publishers have different policies on publishing monographs based on theses that have been made openly available online.

If you plan to publish your thesis as a monograph, check with potential publishers what their policies are. If they consider the availability of the thesis in LSE Theses Online as "prior publication", you can apply for an embargo of up to 24 months ([see above](#)).

Generally, journals will publish articles based on chapters or parts of your thesis. It is a good idea to let your editor know the article's provenance, and the publisher may ask you to include a citation to the published article in your thesis.

Please remember that publishers will expect you to clear permissions to use any [third party copyrighted material in publications](#) that arise from your thesis.

If the papers your chapters were based on are co-authored, you will need to ensure your co-authors are aware that the thesis will be made open access in LSE Theses Online.

Any books, chapters or articles that are published during your time at LSE will be covered by our [Open Access Policy,](#) which allows you to retain copyright of your publications. For articles, please send the accepted manuscript to lseresearchonline@lse.ac.uk and the team will deposit in [LSE Research Online](#) with a Creative Commons Attribution Licence. The policy allows you to make your books and chapters open access in LSE Research Online, but you can discuss this with the team before taking any action.

Contact the [Publishing Advice Service](#) if you have any questions about publishing from your thesis.