



## Guidance notes 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 FORM FOR LSE THESES ONLINE**

### Context

LSE is committed to the principle of free availability of research degree theses through LSE Library via [LSE Theses Online](#), as well as the British Library through the [EThOS Service](#).

Making PhD theses open access ensures a worldwide audience for your work, leading to wider dissemination and increased visibility. It is also of great benefit to current and future LSE students and researchers to be able access the high-quality research undertaken by LSE PhD students.

Nevertheless, LSE is aware that there may be some circumstances (for instance, where there are safety or confidentiality concerns for either the candidate or research subjects) that require adjustments to this principle. This guidance is produced to give advice to candidates and academic colleagues.

### Requirements for All MPhil and PhD Candidates.

- All candidates who successfully complete examination must submit an electronic copy of the examination version of their thesis to LSE Library 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 Submission Form](#).**
- Candidates must submit their PhD thesis via the [PhD Thesis Submission Form](#), answering **all** questions and uploading their examination copy as a PDF or PDF/A 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 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

## 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, they can apply to the PhD Academy
- 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 on these grounds.
- The thesis will be automatically released and made publicly available at the end of the 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 a 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 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 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 PhD academy it should be submitted via the [Redacted Thesis Submission Form](#)

- The School will retain an examination copy on closed access and the redacted version will be made publicly 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](#).

## Guidance for preparing your thesis for submission

### 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.

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](#).

### 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 and numbers 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 LSE theses 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 or not 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 need to remove third party copyrighted content or confidential or sensitive information from your thesis, please do the following:

- 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.
- For guidance on submitting your redacted thesis, see [above](#)

## Publishing from your thesis and deposit in LSE Theses Online

### Publishing from your thesis AFTER submission

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 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.

Publishing from your thesis BEFORE submission

If you have published articles based on your thesis chapters before you submit your thesis for examination, you will need to check with the journal if they require the thesis to be embargoed **before** we upload it to LSE Theses Online. The thesis can be embargoed for up to two years on request. 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.

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