Thesis Deposit Form

Under the terms of your registration as a doctoral researcher at the University of Reading, you are required to deposit the final version of your thesis with the University in digital format (as a PDF file). A metadata record will be created in the University's Institutional Repository (CentAUR) and details held in the University Library catalogue. Unless there is a specific reason to restrict access, an electronic copy will be made available online in CentAUR and supplied to the British Library, to be made available via its Electronic Theses Online Service (EThOS).

You must complete this form in full (including all necessary signatures) and submit it using the online deposition system, as instructed by the Doctoral Examinations Officer, with the final, corrected copy of your thesis in digital format. Please do not attempt to modify the text of statements and declarations provided on this form. If you have any questions, please contact your Supervisor in the first instance.

Please fill in this form using BLOCK CAPITALS

SECTION A: PERSONAL INFORMATION

We might need to contact you if clarification is required regarding online access to your electronic thesis.

<table>
<thead>
<tr>
<th>Personal title:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Family name:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Given name(s):</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Student number:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Degree:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>School:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Title of thesis:</th>
<th></th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Non-Reading contact email address:</th>
<th></th>
</tr>
</thead>
</table>

SECTION B: SOURCES OF FUNDING

For postgraduate research funded by UK Research Councils, UK Research and Innovation (UKRI) guidelines stipulate that a full-text version of the PhD thesis must be made publicly accessible within a maximum of 12 months following award, unless exceptional circumstances necessitate a delay.

If you have received postgraduate funding from any of the following Research Councils, please indicate your funder(s) below:

- Arts and Humanities Research Council (AHRC)
- Biotechnology and Biological Sciences Research Council (BBSRC)
- Engineering and Physical Sciences Research Council (EPSRC)
- Economic and Social Research Council (ESRC)
- Medical Research Council (MRC)
- Natural Environment Research Council (NERC)
- Science and Technology Facilities Council (STFC)

SECTION C: RESTRICTED ACCESS

Occasionally legal, ethical or commercial sensitivities may necessitate restricting access to all copies of a thesis, either for a fixed embargo period or indefinitely. However, it is usually possible and preferable to anonymise or redact sensitive information rather than restrict access to your thesis altogether, which is only ever a last resort.
**SECTION C: RESTRICTED ACCESS (CONTINUED)**

You can specify restrictions applying to online availability specifically (i.e. not restricting consultation of any copies held offline) in Section D. If you require access restrictions to apply to all copies1 please indicate the reason(s) below and select the duration of restriction where applicable:

- a: The thesis includes material that is the subject of a pending patent or for which a decision whether to file a patent is pending. The thesis must be restricted for **two years**.2

- b: The thesis includes material that, if disclosed, would constitute an actionable breach of confidence. This applies for the **following embargo period**:
  - Two years
  - Five years
  - Indefinitely

- c: The thesis includes material that, if disclosed, would be likely to prejudice the commercial interests of a person or an organisation (i.e. a trade secret). This applies for the **following embargo period**:
  - Two years
  - Five years
  - Indefinitely

- d: The thesis contains third party personal information relating to identifiable individuals, which may include sensitive personal data (e.g. information relating to race, ethnic origins, political opinions, religious beliefs, health, trade unions, sexual life, offences and alleged offences), disclosure of which would contravene the data protection principles.3 The thesis must be restricted **indefinitely**.

- e: The thesis contains sensitive information that, if disclosed, would be likely to endanger the physical or mental health or safety of any individual. As this threat is so great, for the period of the restriction, I would also like my thesis title and abstract omitted from the Library catalogue, plus the metadata record excluded from the institutional repository. The thesis must be restricted **indefinitely**.

- f: Other (please provide as much detail as possible using the Annex to this form).

I understand that, except under restriction (e) above, it is not normal practice to restrict access to abstracts of restricted theses.

---

1 The University is subject to the Freedom of Information Act 2000 (FOIA) which means it has an obligation to provide copies of any information held, including that within dissertations and theses, to any requestor for any purposes, subject to any exemptions (grounds for withholding) that apply, as listed within FOIA legislation. Where embargos are placed upon submissions, it is therefore vital that any sensitivities or reasons for limiting access (including options a-e above) are clearly identified, in order that they can be assessed against any applicable exemptions. Where embargos are requested by third party contributors, this should be clearly explained and relevant contact information detailed in the Annex provided. The final decision on any disclosure must remain with the University as required under FOIA.

2 If your thesis requires an extended restriction period please provide a detailed written explanation in the Annex to this form.

3 See: http://www.reading.ac.uk/internal/imps/DataProtection/imps-d-p-glossary.aspx#DPprinciples or contact imps@reading.ac.uk for advice.

**SECTION D: ONLINE ACCESS**

If you intend to publish your thesis commercially — or your thesis contains third-party copyright-protected content or your own previously published works — it may be necessary in some circumstances to restrict online access, or to redact some parts of the electronic copy of your thesis made available online.

**Intention to Publish**

Please note that many publishers do not regard the online availability of a thesis as prior publication. Please identify the policies of any prospective publishers and the conventional practice in your field.

- The thesis includes material intended for future publication (e.g. as a series of articles) and my prospective publisher(s) view online availability as ‘prior publication’. The electronic copy of my thesis must not be made publicly accessible for **two years**.

**Third Party Content**

Under UK copyright law, reasonable reuse of copyright-protected material (with appropriate attribution) is permissible for the purposes of assessment. If your thesis is subsequently made available online, third party copyright material may be retained if your use constitutes ‘fair dealing’ for the purposes of criticism, review or quotation (or otherwise if you have received permission from the rights holder(s) – for example, under the terms of a licence). For further information on ‘fair dealing’ and retaining copyright material in your electronic thesis online, please consult the Library guidance here: https://libguides.reading.ac.uk/copyright/theses.

If your use of third party copyright-protected material would not be ‘fair dealing’ for the purposes of criticism, review or quotation under UK copyright law (e.g. use of material not previously made available to the public), permission from the rights holder(s) will be required (whether under general terms of use, or by specific, written authorisation) before such material can be made publicly available via CentAUR within your electronic thesis.

If you have obtained specific, written permission to retain third party material within your electronic thesis online, please identify that material in the table provided in the Annex to this form.
Previously Published Works

If your thesis includes any of your own previously published material (such as a journal article) – or you are completing a PhD by Published Works – you must check the terms and conditions of your publishing agreement(s) to determine whether you are permitted to retain such material in an electronic copy of your thesis made available online. If you have agreed to an assignment (copyright transfer) or exclusive licence to publish, you will need to obtain specific, written permission from your publisher before such material can be made available online (and this permission should be recorded in the Annex provided), unless the material has been published under a Creative Commons (CC) licence.

Redaction or Restriction

If you cannot obtain the necessary permissions and access to your thesis will not be restricted indefinitely for another reason, you can either:

- Deposit two digital versions of your thesis, one being the full version with all third party copyright material retained, and a second, edited version, with material for which the necessary permissions have not been obtained either redacted or removed. The edited electronic version will be made publicly available; the full version will not.

- Or: deposit only the full version with third party copyright material retained in cases where removal would compromise the thesis. The full version will not be made publicly available.

Please indicate which situation applies to your thesis (tick one box only):

- I am depositing a single electronic copy of my thesis that is the same in all respects as the final version (after amendments) of the examined thesis. There are no copyright reasons for restricting online access to it.

- I am depositing a single electronic copy of my thesis that is the same in all respects as the final version (after amendments) of the examined thesis. Due to third party copyright restrictions, online access to it is restricted.

- I am depositing two electronic copies of my thesis: one that is the same in all respects as the final version (after amendments) of the examined thesis but cannot be made available online due to third party copyright restrictions; and one version with third party copyright-protected material (for which the necessary permission cannot be obtained) redacted or removed, which can be made available online.

Note that your publisher will automatically own the copyright in the typographical arrangement of their published edition of your work (as opposed to the author manuscript) – even if you have retained copyright in your article text.
SECTION G: NON-EXCLUSIVE RIGHTS

Rights granted to the University of Reading through this agreement are entirely non-exclusive. I am free to publish the thesis in its present version or future versions elsewhere. I agree that the University of Reading or any third party with whom the University of Reading has an agreement to do so may, without changing content, convert the thesis to any medium or format for the purpose of future preservation and accessibility.

SECTION H: UNIVERSITY OF READING
SUPERVISOR’S SIGNATURE

This is required for all submissions.

Signature:

Print Name:

Date:

SECTION I: AUTHOR’S DECLARATION

I declare that:

I have the authority as the author of the thesis to make this agreement and hereby grant the University of Reading the right to make the thesis available in the ways described herein.

I understand that, subject to any restrictions specified in Section C, my thesis may be accessible for consultation immediately in the University Library and/or my School, and may be copied for the purposes of non-commercial research or private study and/or made available on request.

Unless specified otherwise in Section C and/or Section D, I permit my thesis to be made publicly available online via the University’s institutional repository and the British Library for consultation and preservation purposes.

If my research has been sponsored or part sponsored, there are no conditions in that agreement which prevent me from publishing this thesis.

I have exercised reasonable care to ensure that the thesis is original, lawful and does not infringe any Intellectual Property Right.

If my thesis includes any material owned by third-party copyright holders, unless indicated otherwise in Section D, I have obtained all necessary permission(s) to include it in any version of my thesis made publicly available in digital format and such permission encompasses the rights that I have granted to the University of Reading and to the British Library.

I understand that the University of Reading does not hold any obligation to take legal action on my behalf, nor on behalf of other rights holders, in the event of breach of intellectual property rights, or any other right, in the material.

I understand that, notwithstanding any declaration I have signed, the University may be obliged to disclose the contents of my thesis under UK legislation relating to access to information.

I have named my file(s) in accordance with the University’s established naming conventions for electronic theses in the format: StudentNumber_FamilyName_Thesis, e.g. 12345678_Bloggs_Thesis.pdf.

I declare that the electronic copy of my thesis submitted online is the same as the final approved version of the examined thesis.5

Author’s signature:

Print Name:

Date:

5 This is required even if you are also submitting a second, edited version, with material for which necessary permissions have not been obtained either redacted or removed, as described in Section D above.
If you need to give additional detail in response to questions requiring further information, please provide this below. If it is necessary to continue on a separate sheet, please attach this securely to your submitted form.

Please use the table below to provide details of any specific, written permission (e.g. an email communication or licence agreement) you have received to retain copyright-protected material within your electronic thesis (Section D). If it is necessary to continue on a separate sheet, please attach this securely to your submitted form.

<table>
<thead>
<tr>
<th>Page #</th>
<th>Item and Source</th>
<th>Please detail how (and from whom) permission has been obtained:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>