

## **ELECTRONIC DOCTORAL DEGREE THESIS SUBMISSION POLICY**

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### **1. INTRODUCTION**

- 1.1 The London School of Hygiene & Tropical Medicine requires the electronic deposit of research degree theses into [LSHTM Research Online](#). This service underlines the School's support for open access to research.
- 1.2 E-thesis submission benefits the research student by:
- Making their research available within weeks of award of their degree
  - Making their research available on the internet to the widest possible audience
  - Placing their research alongside other research in the same discipline
  - Developing knowledge and skills in preparing research outputs for open access
- 1.3 E-thesis submission benefits the School by:
- Showcasing more of the School's publicly funded research on the internet
  - Demonstrating a commitment to open access principles and values
  - Facilitating access by future research degree students to previous research

### **2. SCOPE OF E-THESIS SUBMISSION**

- 2.1 This policy applies to both the thesis submitted for examination and the final, post-viva, corrected version of a thesis. However, only the latter version which will be made available in LSHTM Research Online.

### **3. LEVEL OF RESEARCH AWARD COVERED**

- 3.1 E-thesis submission will apply to the following research awards at LSHTM:
- MPhil
  - PhD
  - DrPH

### **4. FORMATS**

- 4.1 The electronic thesis, including ancillary material, should be submitted in an accessible format and laid out according to the existing specifications for print theses. The recommended file format for submission is Adobe Acrobat (**.pdf**), which is fully supported by software on the School's network. If you are working on your own computer and do not have PDF capabilities or cannot access the School network, you may alternatively submit your file in Rich Text Format (rtf), or as a Microsoft Word document (doc or docx).
- 4.2 All text in files must be electronically recognisable as text, i.e. highlight-able and copy-able in whatever package opened with, such as Adobe Reader for PDF files. If scanned material is included it should be done so that the file does not treat text as a 'picture' (other than for items such as graphs and charts where labels etc. may form part of a picture-object). Candidates are also required to check any requirements relating to open access research dataset archiving as part of

any sponsoring institution funding and to contact [researchdatamanagement@lshtm.ac.uk](mailto:researchdatamanagement@lshtm.ac.uk) for advice.

## 5. SUBMISSION MECHANISM

5.1 Candidates must submit electronic versions of their thesis at both the examination stage and final, post-viva, corrected stage. These must be submitted directly to the Assessments team in the Registry either on CD or by email to [rdexaminations@lshtm.ac.uk](mailto:rdexaminations@lshtm.ac.uk).

5.2 The electronic version should be submitted with a file name in the following format:

**Year\_Faculty\_Name of Award\_Surname\_Initial**

e.g. *2013\_ITD\_PhD\_Gray\_A*

5.3 Any appendices submitted separately should be named in the following way:

**Year\_Faculty\_Name of Award \_\_Surname\_Initial\_ Appendices**

e.g. *2013\_ITD\_PhD\_Gray\_A\_AppendixA\_*

## 6. ATTRIBUTION

6.1 The title page of the electronic thesis file is required to display the following information:

- Author's name
- Approved title of work
- Year of submission
- London School of Hygiene & Tropical Medicine, University of London
- Any departmental or research group affiliation essential for national research assessment purposes
- Details of any funding body, or confirmation that no funding was received, eg *Funding Details – No funding was received.*

## 7. COPYRIGHT & LICENCES

7.1 Copyright in the thesis (as distinct from other research outputs such as the dataset) rests with the student unless they transfer their copyright to another party. In such a case the student must seek permission from the new copyright holder to reuse any of the original material in their e-thesis.

7.2 LSHTM seeks a non-exclusive license to enable the thesis to be made available via LSHTM Research Online. Theses held in LSHTM Research Online will have the Creative Commons license [CC BY-NC-ND](https://creativecommons.org/licenses/by-nc-nd/4.0/), which allows reuse of material as long as it is credited and not used for commercial purposes. If candidates require a different license they need to specify this choice to Registry when submitting the e-thesis.

7.3 If you have any queries about copyright or licensing, please request support from [Service Desk](#).

## 8. THIRD PARTY MATERIAL

8.1 Under the fair dealing exception for criticism and review, students are allowed to include third party material in their e-thesis as long as it meets certain criteria. The source must be acknowledged, any item copied must be accompanied by a discussion or assessment of its value, significance or importance, and you only use the minimum amount necessary to fulfil the criteria. If you are including material that does not fit the fair dealing criteria for exception and review you need to request copyright clearance

8.2 Template emails to request clearance from the permissions holder are available [here](#). Where third party material has not been cleared then the student must also submit a redacted version of the final, post-viva corrected thesis. The redacted copy must be clearly identified in the file name. For guidance and help on this please email [rdexaminations@lshtm.ac.uk](mailto:rdexaminations@lshtm.ac.uk).

## 9. THESIS INCLUDING PUBLICATIONS

9.1 If the thesis includes material prepared for publication or already published, and the student has transferred their copyright to the publishers, then permission must be obtained from the publishers for the material to be deposited into LSHTM Research Online and made publicly available.

9.2 A template email/letter to the publishers is available on the School's Intranet. Where a publication is pending, an embargo can be requested to ensure smooth publication. Theses are generally regarded as unpublished works though some publishers may have differing views on this.

9.2 Where a publisher refuses to grant permission for the published material to be used in the online thesis, the material must either be 'redacted' or the author accepted manuscript used instead. In such cases please contact [researchonline@lshtm.ac.uk](mailto:researchonline@lshtm.ac.uk).

## 10. PERSONAL/SENSITIVE DATA

10.1 Any personal or sensitive data should be anonymised, removed or redacted from the thesis in accordance with rules of formal ethical approval and good research practice and GDPR principles including the Data Protection Act 2018 Principle 7 [What is personal data? | ICO](#)

## 11. PERMITTED EMBARGOES AND ACCESS RESTRICTIONS

11.1 The School expects that all research degree theses will be made available on open access via LSHTM Research Online.

11.2 Access to theses will only be restricted for the following exceptional circumstances:

- The thesis contains personal data that cannot be redacted
- The thesis contains material obtained under promise of confidentiality
- The thesis contains commercially sensitive information/has been commercially sponsored and I have signed an agreement that does not permit public access. Please provide evidence to support this.
- The thesis contains un-cleared copyrighted material, (a 'redacted' version will be supplied for deposit into LSHTM Research Online alongside the 'un-redacted' version, which will be held in the LSHTM archive)
- The thesis contains patents that cannot be made publically available online
- The thesis is a Research Paper Style Thesis and certain material cannot be published immediately due to publisher restrictions

11.3 In these cases access would be restricted via a time-limited embargo of up to two years, following approval by the Faculty Research Degrees Director.

11.4 When an embargo is granted, the thesis will still be submitted to LSHTM Research Online but will not be made publicly available for the period granted from the date of the award.

11.5 Requests for an embargo must be made using the [Restriction of Access Request Form](#).

11.6 Candidates wishing to extend an embargo beyond the agreed period will need to submit an

additional [Restriction of Access Request Form](#).

- 11.7 The metadata and abstract of embargoed theses will be publicly available in LSHTM Research Online.
- 11.8 Upon deposit of a thesis in LSHTM Research Online, the author will receive an email alerting them to its availability. If the candidate subsequently requires an embargo, they can begin the standard process for requesting one. Submission of this request will result in an immediate embargo for one calendar month, which will be extended on approval of the requested embargo.

## **12. TAKE-DOWN POLICY**

- 12.1 A take-down policy will apply to any disputed School e-theses in the public domain made available via LSHTM Research Online. This will be employed to minimise the School's litigation risk in relation to any theses that may be contravening copyright, data protection and libel laws.
- 12.2 Once a thesis is taken offline from LSHTM Research Online, an investigation process will be conducted to determine if any contraventions have occurred.
- 12.3 If no contraventions are identified, the thesis will be made publicly available again in LSHTM Research Online. However, if contraventions are discovered, the author will be contacted for further consultation.
- 12.4 All take-down requests will be actioned within two working days of receipt.

## **13. DISSEMINATION**

- 13.1 LSHTM e-theses will be disseminated through the internet via LSHTM Research Online, in order to ensure that they are indexed by Google Scholar, DART-Europe E-theses Portal, ETHoS.
- 13.2 Metadata will be transmitted to a third party, non-profit provider, DataCite, for the purpose of registering a Digital Object Identifier (DOI) for the thesis. Metadata about the thesis (but not the thesis itself, see 7.2) will be made available under a Creative Commons "No Rights Reserved" (CC0) license.

## **14. TRAINING AND GUIDANCE**

- 14.1 Training sessions will be provided by members of the Library & Archives Service staff to cover all areas of this policy including specific guidance on issues relating to copyright, the use of third-party material and producing a legally compliant thesis.
- 14.2 Further guidance can be found in the [E-Thesis Submission FAQs](#).

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