

Preparing Your Thesis for submission to SOAS Research Online: Requirements and Options

<p>Requirements</p>	<ul style="list-style-type: none"> ● SOAS doctoral researchers are required by the School’s regulations to submit a digital copy of their thesis for deposit in SOAS Research Online <ul style="list-style-type: none"> ○ Candidates are required to make their PhD thesis Open Access either immediately or after 3 years. This is selected via their Electronic Thesis Agreement Form ○ Candidates funded by UKRI must make their thesis Open Access no later than 12 months after award. This can be selected via a dedicated RCUK Thesis Electronic Agreement Form. See our full guidance of the RCUK requirements for Open Access ● Doctoral researchers can provide a second digital copy of their thesis with some elements removed (see further guidance below) ● There may be exceptional circumstances when your thesis cannot be made available via SOAS Research Online (see below on Requesting a Full Embargo)
<p>Choosing Open Access for your PhD thesis</p>	<ul style="list-style-type: none"> ● Making your PhD thesis Open Access in SOAS Research Online has several benefits: <ul style="list-style-type: none"> ○ it will be more easily find through search tools such as Google and Google Scholar ○ it can be read by any researcher around the world ○ it can help to develop your professional reputation as you become more widely recognised as an expert in your area of research ● SOAS PhD theses are one of the most accessed collections in SOAS Research Online <ul style="list-style-type: none"> ○ Our collection of over 3,000 digital theses have been downloaded almost 3,000,000 times ○ The most downloaded PhD thesis has nearly 102,000 downloads ● Doctoral researchers may wish to delay Open Access to their thesis for 3 years whilst they consider options for publishing. The thesis will be added to SOAS Research Online on restricted access until 3 years from the date on your Electronic Thesis Agreement Form ● The following considerations may be important in relation to delaying Open Access for publication: <ul style="list-style-type: none"> ○ the publishing process, from peer review to final publication, can take considerable time. If you want your research to be available quickly, you can do this by making your thesis Open Access immediately ○ the book, chapter or articles which may stem from your PhD thesis may be significantly different from your final PhD thesis meaning publishers may not have any issue with your thesis being Open Access ○ the usage of your Open Access thesis in SOAS Research Online can be used to promote your research to potential book publishers. Watch one of our PhD graduates speak about how they were able to do this after making their thesis available in SOAS Research Online ○ If you are already thinking of publishers or journals for your PhD thesis you can check their policies on prior availability of original work to see if your chances of publication will be harmed

Preparing Copyrighted Material in Your Thesis

- Doctoral researchers are expected to follow copyright legislation when preparing their thesis for submission to SOAS Research Online, as authors or publishers can take legal action against those who infringe their rights
- If you have just included brief passages from other works and you have fully referenced them there should be no risk
- If you have quoted large sections or a significant part of a work - a whole poem, photographs, diagrams from books etc. - in your PhD thesis you will most likely need to get permission to make it available online
- Read our full-guidance on [using copyrighted material in your PhD thesis](#) to find out more about copyright for different types of material and when you will need to seek permission and how
- It is a good idea to check copyright permissions as you do your research
 - Our [template permissions text](#) can be used and adapted to write to artists, publishers etc.
- If you plan to publish your thesis it is a good idea to get permission in your original request now as it will save you time later. Publishers will often expect you to provide some evidence you have got permission for commercial publication
- A verbal agreement of permission to use copyright material is not considered sufficient evidence but an email from the copyright holder would be fine
- If you have been unable to get permission to reproduce some material in your thesis, you will need to do the following to make it available online
 - submit 2 digital versions of your PhD thesis, clearly named (one with the copyrighted material removed and one complete version)
 - if you have a large amount of material which you cannot include, e.g. a collection of images, you should place all the material in an appendix at the end of your thesis when you submit it. The thesis can then simply be added to SOAS Research Online without the appendix

Handling Personal Data in Your Thesis

- All personal data must be handled in line with [data protection legislation](#) for final submission to SOAS Research Online
- [The SOAS Code of Practice for Use of Personal Data](#) is an essential document for anybody working with personal data in their research
- Our [Research Data Management](#) webpages give practical advice about collecting and storing personal data you use in your research
- You should consider issues around personal data as early as possible in your project with advice from your supervisor
- Personal data which identifies living individuals can only be used in your PhD thesis when you have documented informed consent from your research participants.
- Wherever possible you should:
 - avoid including personal data in your thesis
 - consider whether you can make your arguments using anonymised data
 - obtain and document informed consent from your research participants if you do need to include personal data in your thesis
- Unless you have specific consent from your research participants, and you are confident that disclosing their identity won't cause them any harm, you will need to anonymize your data before submitting your thesis to SOAS Research Online and when publishing.
- You will need to select an appropriate method of anonymization for your project and your research participants in consultation with your supervisor and in accordance with disciplinary norms
- Anonymization involves removing, replacing or reducing the precision of information which might lead to a person being identified e.g. names, age, addresses, pictures, occupation
- Pseudonymization can be used to replace information which could disclose somebody's identity e.g. Shanghai could become 'Major Chinese metropolitan' area or Helen could become 'Elizabeth'. You could replace a name with a code.
- You may reduce the specificity of information e.g. giving year of birth and not date of birth or changing age 34 to 'under 50'
- Techniques include the use of pseudonyms, replacement terms, codes, vaguer descriptions e.g. year of birth not date of birth
- When you have changed original information you should include the replacement term in [square brackets]
- Keep an anonymization log to record what you have anonymized
- Be aware that if your research is undertaken in a small community it may

	<p>still be possible to identify an individual after anonymisation. Or simply using pseudonyms could also lead to identification and therefore the data must still be considered personal data</p> <ul style="list-style-type: none"> ● Refer to the The UK Data Archive's advice on Anonymization for further help ● If you are asked by your supervisor or examiners to provide additional raw data for the purposes of your examination or viva you should keep this in a separate document to your final submitted thesis if it is not necessary to include it in your PhD thesis ● if you cannot fully anonymise the personal data and do not have permission from research participants to include their personal data you will need to seek advice about placing a full embargo on your thesis
<p>Reasons to request a full embargo on your PhD thesis</p>	<p>The following reasons may require you to fully restrict access to your PhD thesis:</p> <ul style="list-style-type: none"> ● if you cannot fully anonymise the personal data and do not have permission from research participants to include their personal data ● your thesis includes material that is commercially sensitive and the release of which could prejudice the commercial interests of a person or an external company ● your thesis includes material that is obtained under a promise of confidentiality ● your thesis includes information which might endanger the physical or mental health or safety of an individual ● your thesis includes material which could cause you or third parties you mention to be open to legal challenge or racial, ethnic, political or other persecution <p>PLEASE NOTE: Inclusion of copyrighted material is not a reason to request a full embargo, the printed thesis can be made available without breaking copyright. You may however need to submit two versions of your digital thesis (see above)</p>
<p>Requesting a Full Embargo for your PhD thesis</p>	<ul style="list-style-type: none"> ● If you think that your PhD thesis may need to be fully restricted you should speak to your supervisor as early as possible e.g. at the point of upgrade and ethical review, during your annual review meeting, before you begin your continuation for writing up so that you can take every measure possible to make your thesis available in SOAS Research Online ● If you wish to submit a formal request for a full embargo on your thesis you should do so via the Full Embargo Request and get this signed by your supervisor who will take the request forward to Research Ethics Panel if necessary ● Indicate on the form which parts of your thesis are affected, what harm disclosure could cause and when the material will cease to be sensitive ● Full embargos are only agreed in exceptional circumstances by the School's Research Ethics Panel ● The Research Ethics Panel may: <ul style="list-style-type: none"> ○ recommend that a full embargo is placed for a defined length of

	<p>time e.g. 10 or 30 years</p> <ul style="list-style-type: none"> ○ disallow the request and refer doctoral researchers to the usual thesis submission process ○ recommend that parts of the thesis e.g. the chapter which contains sensitive material is redacted but the rest of the thesis is made available in SOAS Research Online <ul style="list-style-type: none"> ● Decisions on your embargo request will be recorded on your Embargo request form and passed back to the Doctoral School and yourself ● You should retain the copy of the form so you can quote the Embargo Reference number when you make the final submission of your PhD thesis ● Please note that even if an embargo has been approved, you must still submit a digital copy of the final version of your thesis, which will be stored securely until the restriction period ends
<p>Requesting a Change to Access of your PhD thesis</p>	<ul style="list-style-type: none"> ● If you have previously made your thesis available via SOAS Research Online and have good reason that it needs to be taken down please email outputs@soas.ac.uk in the first instance so your request can be considered ● If you have asked for a temporary restriction to the digital copy for publishing purposes and need to extend the restriction please email outputs@soas.ac.uk with supporting evidence e.g. a letter from your publisher or link to the publisher's terms and conditions
<p>Finding Out More and Getting Support</p>	<ul style="list-style-type: none"> ● For advice about SOAS Research Online, Open Access and funder and publisher policies contact outputs@soas.ac.uk ● For advice about data protection or copyright legislation contact Information Compliance dataprotection@soas.ac.uk ● For advice about the thesis submission and embargo process contact doctoralschool@soas.ac.uk ● For advice about ethical concerns about your research contact your supervisor in the first instance