

Guidelines for the Submission of Digital Theses

Higher Degree by Research Students

The information below should be considered in conjunction with the *Submission of Digital Theses of Higher Degree by Research Students* form. The form is completed by you, the student, with signatures obtained from your Supervisor and the Chair of your Thesis Committee. An electronic copy of the form is available online at <http://research.curtin.edu.au/postgraduate-research/current-research-students/student-forms/>.

Higher Degree by Research (HDR) students at Curtin are required to submit their finished thesis for inclusion in the National Library of Australia's TROVE repository. At Curtin this means that a digital version of the thesis is placed in the Curtin Institutional Repository, espace@curtin, which is managed by the Curtin Library. When lodged in espace@curtin the thesis becomes publicly available online.

The electronic version* of your thesis lodged with the Digital Thesis Team in the Library must be the same as the original thesis in all essential respects, except if it is necessary to remove any material because of copyright or other Intellectual Property (IP) restrictions. The original version of your thesis will include any changes recommended by examiners, and is the version that has been approved by your Supervisor and accepted as passed by the University Graduate Studies Committee (UGSC).

If any material has been removed because of copyright or other IP restrictions (see below), you will need to insert an appropriate notification to indicate this.

* *The electronic version of the thesis must be in portable document format (pdf).*

Part 1

To be completed by Student

Section A: Student and Course Details

Please supply personal information and course details as requested.
Indicate whether or not you would like your email address displayed to the public with your thesis.

Section B: Copyright Clearance

You must confirm that the electronic version of your thesis lodged with the Curtin Library does not infringe the copyright of any other party, and that you have obtained any necessary permissions to include copyright-protected material in your thesis.

As a general rule students themselves own the copyright in their thesis as detailed in Section 5.4.2 of the *Ownership of Intellectual Property Policy*: "Students shall own the Copyright in their theses, unless the Student agrees otherwise in writing".

Copyright issues may arise if the thesis contains a substantial or significant portion of material in which somebody else owns the copyright. In these circumstances the student would need to get permission in advance from the copyright owner to include the material in the thesis. You might need to get permission, for instance, if you want to include a long questionnaire, numerous illustrations, a company report, etc. obtained from other sources.

It is not an infringement of copyright, nor is it necessary to obtain permission, to include in your thesis short quotations, assorted diagrams, etc. from other sources as long as these are properly acknowledged and full reference details are provided.

Some theses consist partly or entirely of journal articles, conference papers, etc. written by the student which have been accepted or submitted for publication. This is the case, for example, with a **Thesis by Publication**, or a thesis which includes some published papers (or extracts from those papers) as well as unpublished material. In these cases students will need to check the terms and conditions of their publishing agreement to see what rights they have been granted to re-publish their article/paper.

If the student has retained the copyright in their article/paper then he/she will generally be free to re-use the material in the thesis. In this case the student can verify in this Section that the thesis is not subject to any copyright restrictions.

However, when submitting papers or reports for publication in scholarly journals students are often required to assign the copyright in their paper to the journal publisher or conference organiser. If the student then wishes to include their paper (or a substantial part of it) in the text of their thesis they would need to obtain permission from the publisher to re-use their own material in the thesis.

In their standard publishing agreement some journal publishers routinely grant authors the right to re-use their material for their own non-commercial purposes, including placement in an institutional repository such as espace@Curtin. Other publishers, however, are less generous and will either not allow the material to be re-published, or impose a time constraint (e.g. 12 months after initial publication in the journal) before authors are permitted to re-use their material or place it in an institutional repository.

If you cannot obtain permission from a publisher or other copyright holder to reproduce the copyright material in your thesis, then you will need to request either:

- a permanent exemption, so that the copyright material is not made available at any time in the ARO (see Section D below); or
- a time embargo, so that the copyright material is only made available after a specified time interval (see Section E below).

Section C: Intellectual Property Clearance and Research Partners' Interests

You must confirm that your thesis is not subject to any other Intellectual Property (IP) constraints and that you have obtained any necessary IP clearance for your work from third parties. Before completing this Intellectual Property clearance/declaration students are advised to read in full the University's *Ownership of Intellectual Property Policy*, which can be found at <http://www.policies.curtin.edu.au/policies/research.cfm>. Relevant Sections 5.4.1 and 5.4.3 of the Policy have been reproduced below.

Section 5.4.1 of the *Ownership of Intellectual Property Policy* states that a student who is the Originator of any Intellectual Property (IP) during their course of studies at the University...shall, generally, own that IP unless the University claims that property. However, any IP arising from participation by the student in a University Project will be owned by the University and the student will be required to enter into an agreement with the University in respect of the IP that is so generated, and any IP arising from the work of the student undertaken with a Specific Contribution by the University will be owned by the University.

Section 5.4.3 of the *Ownership of Intellectual Property Policy* states that for a Student whose research program is supported in whole or part by a third party funding body the ownership of any Intellectual Property developed by the Student shall be determined by any agreement between the Student, the University and the third party funding body.

Generally speaking, students themselves will own any IP developed in the course of their research. However, there are exceptions to this general rule. For example, if your research was done as part of a special project funded by Curtin or by an external organisation, then Curtin or the other party may claim ownership of some or all of the IP that is generated. Similarly if the research was supported in other ways by an external organisation (e.g., in the provision of data, or specialist facilities or equipment), then the external organisation may claim ownership of the IP. In most cases of this sort, the student will already have signed an agreement regarding ownership of the IP before commencing the research project.

In situations where an external organisation or other third party has funded or supported your research, your thesis may be subject to other Intellectual Property restrictions (apart from the Copyright issues noted in Section B above) which prevent you from publishing it via the ARO straightaway, or perhaps even on a permanent basis. Such restrictions may arise, for instance, if you have entered into a confidentiality agreement, if you are prohibited from disclosing certain information for patent or proprietary reasons, or if you have accepted constraints on publishing the research findings.

If you are not entitled to publish some or all of your thesis because it is subject to Intellectual Property restrictions of the sort described, then you will need to request either:

- a permanent exemption, so that the restricted material is not made available at any time in the ARO (see Section D below); or
- a time embargo, so that the restricted material is only made available after a specified time interval (see Section E below).

Section D: Request for Permanent Exemption

If your submitted thesis includes material which you do not have the right to publish at any time because of copyright or other Intellectual Property restrictions, then you will need to request a permanent exemption, and indicate what material is to be exempted. The processing of this exemption will prevent the published material from being made available publicly online at any time via the ARO.

Section E: Request for Time Period Embargo

If some or all of your thesis is subject to copyright or other Intellectual Property restrictions for a specified time period, then you will need to request an embargo for the required time period, and also indicate the material that is affected by the embargo restrictions.

An embargo will run for the designated period, at the end of which the thesis will be placed in the ARO and become publicly available.

For example:

A student contemplating publication of all or part of his/her thesis selects a one year embargo that will revert to full public access at the end of this period. The student submits a version of the thesis with the embargoed parts removed so that the Library can publish as much of the thesis as possible in espace@Curtin immediately. The student should identify which parts of the thesis have been removed by inserting the following bold text into this version to replace and refer to removed embargoed material.

The [insert full name and bibliographic information of publication/image] is unable to be reproduced here due to [copyright restrictions; proprietary reasons; etc].

The [insert full name of publication/image] can instead be accessed via [insert URL, DOI* or name of book etc].

** A Digital Object Identifier (DOI) is a unique string of characters which identifies a particular object (such as a journal article) in the digital environment. E.g. DOI: 10.2217/14796694.1.6.771*

The student also submits a complete version of the thesis, including the embargoed material, to the Digital Thesis Team and the Library would not make this copy available until end of the embargo period. At the end of the nominated embargo period the complete version including the embargoed material will be publicly available at espace@Curtin.

An extension to the embargo period can subsequently be requested in writing. This request should be addressed to the Associate Deputy Vice-Chancellor, Research Training in the Office of Research and Development. The Thesis Examination Officer, on behalf of the Associate Deputy Vice-Chancellor, Research Training, will advise the Digital Thesis Team of the request and whether the extension has been approved.

For example:

Six months later, having selected the one year embargo, the student then becomes aware that a longer embargo period is required. A written request for an additional three year extension to the embargo is submitted. Full text access in this example is therefore blocked for a total of four years.

Section F: Right to make thesis available online

Unless you have requested a permanent exemption or a time period embargo for parts or all of the thesis, you must grant Curtin University the right to archive the thesis and make it publicly available online as part of TROVE.

Student Signature

You must complete a **signed declaration** confirming that

- (i) the electronic version of the thesis submitted to the Library is the same as the original in all essential respects, except in so far as material subject to copyright or other IP restrictions has been removed and appropriate notification of the removal has been inserted (see *introductory note on page 1*),

- (ii) the electronic version of the thesis is in a digital format with any security deactivated to ensure successful lodgement and management of the thesis;
- (iii) you grant Curtin University the right to archive and to make available all or part of your thesis, not covered by extension or embargo, in the University's Libraries in all formats; and
- (iv) all your statements on the form are true and correct.

Part 2 To be completed by the Supervisor

The Supervisor must complete a **signed declaration** confirming that the student's statements are true and correct and agreeing with the requested permanent exemption or time period embargo, if required.

Note: It is the Student's responsibility to ensure that signature of the Supervisor has been obtained before the form is uploaded.

Part 3 To be completed by the Chair of the Thesis Committee

The Chair of the Thesis Committee must complete a **signed declaration** confirming that the student's statements are true and correct and endorsing the requested permanent exemption or time period embargo, if required.

Note: It is the Student's responsibility to ensure that signature of the Chairperson has been obtained before the form is uploaded.

Part 4 To be completed by the Associate Deputy Vice-Chancellor, Research Training

The Associate Deputy Vice-Chancellor, Research Training shall consider the student's request for a permanent exemption.

Note: It is the Student's responsibility to ensure that signature of the Associate Deputy Vice-Chancellor, Research Training has been obtained before the form is uploaded.

Once all Parts are completed, **upload the digital copy of your thesis and the completed form to the Library's Thesis Submission webpage at: <http://thesesupload.library.curtin.edu.au/>**

The student will be notified by the Digital Thesis Team when the digital lodgement of the thesis has been finalised.