

Guidelines for Deposit of Final Thesis

Higher Degree by Research Students

These Guidelines should be considered in conjunction with Higher Degree by Research Policies and Procedures. These documents are available on the [Compliance, Legislation and Policy website](#).

1. RESEARCH THESIS OUTPUTS SUITABLE FOR DEPOSIT

1.2 A thesis from the following research courses is suitable for deposit in Curtin University's institutional repository (espace):

- a) Doctorate;
- b) Professional Doctorate; or
- c) Masters

Please note a thesis associated with Masters by Coursework is not suitable for deposit to espace.

2. OWNERSHIP OF COPYRIGHT IN THESIS

2.1 Students will own the copyright in their thesis unless the student and the University agree otherwise in writing. See clause 2.9.1 of [Intellectual Property Procedures](#).

3. UNIVERSITY REQUIREMENT TO DEPOSIT THESIS IN ESPACE

3.1 For a thesis to be classified as passed, a digital format copy of the final thesis must be submitted to the University Library for retention in Curtin University's institutional repository (espace). See Clause 2.7.1 of the [Higher Degree by Research \(HDR\) Thesis Examination Procedures](#).

3.2 A thesis will be publicly available in espace and can be found via the Curtin Library Catalogue and the National Library of Australia's [TROVE](#) repository.

4. PLACING A THESIS IN AN INSTITUTIONAL REPOSITORY

4.1 Curtin University maintains the Committee of Publication Ethics' (COPE) position that placing a thesis in an institutional repository does not constitute publication. For further information refer to the COPE [Discussion document on best practice for issues around theses publishing](#).

5. FINAL THESIS DEPOSIT REQUIREMENTS

5.2 Students are required to complete the [Deposit of Final Thesis](#) form and submit two (2) copies of the thesis to Curtin Library.

- a) A master archive version; and
- b) A public version

5.3 Both versions are required in portable document format (PDF). Print copies are not required by the Library.

6. PREPARATION OF MASTER ARCHIVE VERSION

6.1 The master archive version is the post-examination version of the thesis and appendices with all required amendments/revisions, as approved by your Thesis Chair.

6.2 The master archive version will be securely preserved by Curtin Library and not available via espace.

6.3 The master archive version must include the thesis title page (as generated at submission for examination) and a signed & dated [Declaration page](#).

6.4 Signed co-author acknowledgement and attribution statements are mandatory for publications included in the thesis and must be included in the master archive version.

7. PREPARATION OF PUBLIC VERSION

- 7.1 The public version of a thesis will be made openly available via espace, subject to any applicable embargo period.
- 7.2 The public version must be the same as the master archive version in all essential aspects, other than the removal of:
 - a) All author and co-author signatures;
 - b) Confidential or sensitive material; and
 - c) Third party copyright material for which permission to re-use has not been granted
- 7.3 All signatures must be redacted (obscured or removed). The public version of the thesis must include the same attribution statements as the master archive version, without signatures.
- 7.4 It is the student's responsibility to carefully review and correct any errors in spelling and formatting prior to deposit. Only under exceptional circumstances will students be able to replace the public version once submitted to the Library. Please note that once the public version is made available via espace, it may not be possible to remove all instances of the thesis from the internet.
- 7.5 It is the student's responsibility to ensure that the content in the thesis does not breach copyright legislation if made public.
For further guidance on preparation of thesis versions, contact espace@curtin.edu.au.

8. MEETING THESIS COPYRIGHT OBLIGATIONS

- 8.1 Third party copyright material is material which is not the student's own work, or material where the student has transferred their copyright to another party.
- 8.2 All third party works must be appropriately referenced and authorship correctly attributed.
- 8.3 Students are responsible for obtaining written permission from copyright owners for the use of third party material (quotations, images, diagrams, charts, maps) in their thesis, including permission to make the material publicly available in an institutional repository.
- 8.4 All copyright permissions are to be located in an appendix to the thesis.
For further guidance on copyright requirements, refer to [Copyright for HDR students](#) on the Copyright at Curtin website.

9. MANAGING THIRD PARTY MATERIAL NOT CLEARED FOR RE-USE BY COPYRIGHT HOLDER

- 9.1 Students are to **retain** all third party copyright material in the **master archive version** of their thesis. The Fair Dealing provision for research or study covers the reuse of a reasonable portion of copyright material during the thesis examination process.
- 9.2 Students are to **remove** all third party copyright material for which they have not obtained permission to re-use in the **public version** of their thesis.
- 9.3 Students are to replace all removed content in the public version of their thesis with the following statement directing readers to the authorised version:
The [insert full name and bibliographic information of publication/image] is unable to be reproduced here due to copyright restrictions. The content can instead be accessed via [insert URL, DOI or name of publication etc.].
- 9.4 Refer to [Redacting signatures and third party copyright content](#) for instructions on how to edit/remove content from a PDF document.

10. INCLUSION OF OWN PUBLISHED MATERIAL

- 10.1 If a student intends to include a substantial amount of material they have previously published in their thesis, they are responsible for reviewing the terms and conditions of their publisher agreement to determine:
 - a) The permitted version suitable for reproduction in a thesis and public access in an institutional repository;
 - b) Any embargo period applicable to the published content;
 - c) Journal specific citation details or acknowledgement of the published version
- 10.2 In circumstances where thesis content is subject to publisher imposed embargoes, a student may request a two (2) year embargo.

11. CONSIDERATIONS ASSOCIATED WITH FUTURE PUBLICATION OF RESEARCH CONTENT

- 11.1 Students considering publishing content from their original thesis in the future are strongly encouraged to contact the journal editor for guidance on what constitutes 'prior publication'.
- 11.2 Where a journal permits publication of research derived from a thesis, it is not necessary for a student to request an embargo. If a student is uncertain of the journal's policy, they may request a two (2) year embargo.

- 11.3 On submission to a journal, the thesis should be acknowledged as the source of the work, usually with a citation to the thesis.

12. CONSIDERATIONS ASSOCIATED WITH COMMERCIAL OR SENSITIVE MATERIAL

- 12.1 Students are to consider if their thesis contains any Intellectual Property that is subject to commercial obligations, claims or restrictions imposed by the external organisation(s)/partner(s)/source(s) of funding that supported their research. See clause 2.8.1 of the [Authorship, Peer Review and Publication of Research Outputs Policy](#).
- 12.2 Reasons for placing a thesis under a five (5) year or permanent embargo include:
- d) Commercialisation (in order to file a patent protecting the work)
 - e) Commercial partner/sponsor/funder wishes to protect confidential information
 - f) Other restrictions of a partner/sponsor/funder
 - g) Privacy
 - h) Security
- 12.3 Where possible, the student should present confidential information in an appendix, rather than in the body of the thesis. This allows the body of the thesis to be made publicly available, while the appendix is not.
- 12.4 In circumstances where the student's thesis contains sensitive or commercial content, all sensitive or commercial content is **retained** in the **master archive version** of the thesis. This version is securely archived by Curtin Library and not publicly available.
- 12.5 The student also **retains** all sensitive or commercial content in the **public version** and requests a five (5) year embargo.
- 12.6 A five (5) year embargo request is subject to approval by the Associate Deputy Vice-Chancellor, Research Excellence, and must be accompanied by a detailed description outlining why it is necessary to restrict public access to the thesis.
For further assistance regarding commercial or sensitive material contact commercialisation@curtin.edu.au.

13. THESIS EMBARGO REQUEST

- 13.1 Students may request one of the following embargo periods:
- a) Two (2) year embargo
 - b) Five (5) year embargo – Associate Deputy V-C, Research Excellence approval required
- 13.2 Upon expiry of an embargo period, the public version of the thesis will be made publicly available on espace in its entirety. It is not possible to embargo sections of a thesis.

14. DIGITAL FILE REQUIREMENTS

- 14.1 Clause 2.11 of the [Guidelines for Thesis Preparation and Submission](#) states the permanent record of creative-production theses should use technologies appropriate to the field of study and such material must be presented in a stable and commonly accepted format.
- 14.2 Digital files must not contain encryption or other access limitations (i.e. no password protection or digital signatures).
- 14.3 Students who wish to make the data from their research publicly available can do so [here](#).

15. COMPLETING DEPOSIT OF FINAL THESIS FORM

- 15.1 The [Deposit of Final Thesis](#) form is under the section Thesis Submission; Forms subheading.
- 15.2 To access the form the student must log in using their student credentials.
- 15.3 On submission, the form and accompanying thesis files are forwarded to the student's Supervisor, the Graduate Research School and espace for approval and processing.
- 15.4 Outcomes will be sent to the student via their Curtin email account.

RELATED DOCUMENTS/LINKS/FORMS

INTERNAL

[Higher Degree by Research \(HDR\) Thesis Examination Policy](#)
[Higher Degree by Research \(HDR\) Thesis Examination Procedures](#)
[Intellectual Property Procedures](#)
[Authorship, Peer Review and Publication of Research Outputs Policy](#)
[Guidelines for Thesis Preparation and Submission](#)
[Copyright for HDR students](#)
[Redacting signatures and third party copyright content](#)

EXTERNAL

COPE [Discussion document on best practice for issues around theses publishing](#)