

SCU Theses Collection Thesis Deposit and Verification Form

Introduction

- This form is to be used by a PhD, Professional Doctorate or Masters by Thesis candidate when lodging the final copies of their thesis to the HDR Officer in the Graduate School ('the Thesis'). All candidates are required to provide a number of hard copies and a digital copy.

The purposes of this form are for the candidate:

- to verify that the lodged copies are the same (in terms of both style and content) as the thesis approved by the Dean, Graduate Studies
- to supply relevant Keyword search terms for the Thesis
- to provide the Abstract of the Thesis (which must be less than 400 words)
- to confirm copyright ownership in the Thesis
- to indicate whether a confidentiality agreement applies to the Thesis
- to affirm that the Thesis does not infringe the copyright of any third party
- to indemnify SCU against any loss or liability in the event he/she has infringed the copyright of a third party
- to acknowledge that while he/she retains the intellectual property rights in the Thesis, University rules provide SCU with a licence to include copies of the Thesis in the Library (including the Archive) and to publish the Thesis online
- if applicable, to use this form as the basis of seeking an exemption from the application of the SCU licence to publish the Thesis online.

Further information about intellectual property and how it applies to a research thesis is detailed at Appendix 1. All lodging candidates must familiarise themselves with this information.

General Information about Lodgement of a Research Thesis at SCU

Lodgement of all required copies of a research thesis is a pre-requisite for graduation.

While a candidate retains the intellectual property in the Thesis, pursuant to University policy and rules, lodging a research thesis with SCU means:

- i. one unbound copy for distribution to the University Library
- ii. one digital copy which will be made available on open online access unless an application to restrict access is made and decided in accordance with clause (48). Some third party copyright material contained in the thesis may need to be removed to provide online access. This will be on the advice of the University Copyright Officer.

If necessary, a candidate may apply to have various restrictions on access placed on this copy and the unbound Archive copy (please refer to the submission rules if you seek such restrictions). The requirements pertaining to the lodgement of the hardcopies of a thesis are detailed on the University Website: [Thesis Submission and Availability](#).

The online copy means that this copy is available at any time to any person in any place.

As detailed elsewhere in this form (including **Appendix 1**), a candidate may seek various exemptions from the requirements related to these copies (both hard and digital).

Additional Requirements Pertaining to Lodgement of a Digital Copy of a Research Thesis

The lodgement of a digital copy of a thesis includes additional and particular intellectual property considerations and formatting/presentation requirements.

Intellectual Property considerations

As the institutional repository holder of all online SCU theses, the University must obtain clear undertakings and warranties from the author.

If a candidate's thesis includes copyright material (e.g.: pictures, graphs, tables, substantial amounts of text) that does not belong to the candidate, then he/she must obtain permission to include that material in the online digital version or Library Staff may omit it from that version.

A number of questions in this form address these considerations.

Formatting/presentation requirements for the digital copy

To ensure a thesis is able to be retrieved and rendered with consistent and predictable results, theses must be submitted in accordance with the following requirements:

- **Formats**

The digital copy must be an exact copy of the lodged hardcopies (which, in turn, must be an exact copy of the thesis approved by the Dean, Graduate Studies).

This exact digital copy will be converted to PDF, before inclusion in the repository. Acceptable file formats are:

- MS word files for PC or Macintosh; or
- portable document format ('PDF'). Security settings must NOT be activated in PDF documents.

- **Other Formats**

If a thesis includes any other formats that accompany the text, then a candidate must generate a PDF version of those formats for deposit. Several free services are available on the web for this purpose (see <https://www.acrobat.com/created/en/home.html> including for Microsoft Excel, SPSS, image files, html).

- **File Naming**

A file must be named in the following way:

- Family Name / Initials / Year Awarded / Award Type (PhD or Professional Doctorate or Masters by Thesis)

- **Formatting**

- Single file only which contains all chapters and appendices
- International size A4 paper (297 mm x 210 mm)
- 1.5 or above line spacing
- Line weight 0.75 or above (ie: this is a minimum requirement)
- Margins 11 mm or above (ie: this is a minimum requirement)
- Font size (including text, figures and tables) 10 point or above (ie: this is a minimum requirement)

- **Copyright Permissions**

- These must be recorded on the Third Party Copyright Materials Table provided at Appendix 2.

- **Thesis Abstract**

- Two versions of a Thesis Abstract are required for four different purposes. They are:
- that which is included in the Thesis itself and to accompany the online version of the Thesis (one version, two purposes);
- for the Australian Higher Education Graduation Statement ('the AHEGS' federal government requirement) and for the SCU Graduation Program (one version, two purposes).

- **Note:**

- The first version must be less than 400 words; and
- The second version must be 100 words or less.
- Both versions must be submitted at lodgement.

Submission of this form

- To lodge the Thesis, submit this completed form with all required copies of the Thesis to the HDR Officer in the Graduate School.

Confirmation from University Library and continuing email address

- You will be contacted by staff of the University Library when the Thesis has been processed and/or if further information is required.
- In order that you can receive monthly download statistics for the Thesis, please ensure the email address you provide is a continuing address.

Assistance/Further Information

- For assistance with respect to thesis lodgement, please contact the HDR Officer in the Graduate School at hdrexamination@scu.edu.au
- For assistance with respect to copyright, please contact the SCU Copyright Office: copyright@scu.edu.au or telephone +61 2 6626 9408

Candidate and Course Details

Candidate

Family name

Given Names

Student ID

Email (If leaving SCU please provide a continuing email)

Telephone

I have read and understood the **Introduction** section on the preceding pages and the Information with respect to intellectual property detailed at **Appendix 1**.

Course

Course Title

Completion Year

School/Centre

Principal Supervisor's Name

Thesis Title (please provide the exact title. You may attach a copy of the title page)

Verification of Lodged Copies

I declare that all of the lodged copies of my Thesis (both hard and digital) are, in terms of both style and content, the same as the thesis recommended by the Dean, Graduate Studies for the award of degree

I declare the following information is to be included in the Thesis Deposit Record:

Abstract

The Abstract lodged for the Library online repository purpose is identical to the Abstract of my recommended Thesis.

Keywords

Please nominate at least four keywords for the purposes of cataloguing and indexing. Note: these may be supplemented by University Library staff.

Intellectual Property Conditions Applicable to the Thesis

Copyright

I own the Copyright in my Thesis.

OR

My Thesis was produced with funding/scholarship monies and, on the basis of that funding agreement, I do not own the copyright in my Thesis. If 'YES', please state the name of your funding body/scholarship provider:

Yes No

Confidential Information

My Thesis contains some confidential Information

My Thesis is subject to a Confidentiality Agreement which specifies that the research cannot be made publicly available for a specified period of time (this is more likely to apply if you have an agreement with a funding/scholarship provider). If 'YES', please state the period for which the confidentiality requirement applies:

Yes No

Third Party Access (hardcopies only)

I understand and confirm, subject to request to restrict access (see below), that a bound hardcopy of my Thesis will be deposited in the University Library and will be accessible for third party use.

I understand and confirm that an unbound hard copy of my Thesis will be deposited in the University Library Archive.

I hereby notify that I will apply to the Dean Graduate Studies, Graduate School, to request restricted third party access to the hardcopies of my Thesis (if applicable, see lodgement rules).

Online Access (digital copy)

For Theses not including a (formally) Creative Component

Yes No

My Thesis is research based and does not include a (formally) Creative Component. If no, see Theses including a (formally) Creative Component.

I confirm the following third party online access for my Thesis:

Release the work in accordance with the information provided in the Introduction section of this document for Online Worldwide Access.

OR

Restrict Access to the entire work for a period of _____ months.

For Theses including a (formally) Creative Component

Yes No

My work includes an Exegesis, an Abstract and a (formally) Creative Component.

If above field is Yes, I confirm the following third party online access for my Thesis:

Release the Exegesis, the Abstract and the Creative Component in accordance with the information provided in the Introduction section of this document for Online Worldwide Access.

OR

Release the Exegesis and the Abstract in accordance with the information provided in the Introduction section of this document for Online Worldwide Access AND Restrict Access to the Creative Component for a period of _____ months.

* Request for Restricted Online Access

If you seek Restricted Access to the online version of your thesis, then you are requesting the University not to exercise its right to a licence to online publication of your thesis. If this is the case, then you must attach a letter of request which details the period for which you seek restriction and the reasons for the restriction. The letter must be addressed to: Dean Graduate Studies, Graduate School.

If your request is approved then Citation, Abstract and Keyword details only will be included in the thesis record in the Institutional Repository.

Intellectual Property (digital copy only)

Copyright Warranty

Yes No

- i. My Thesis is original work and does not contain any third party copyright material.
- ii. My Thesis includes images, graphs, tables, pictures and/or a substantial amount of copyright material belonging to a third party and I have obtained ALL RELEVANT PERMISSIONS for this use and have listed both the third party copyright material and the permissions in the Third Party Copyright Materials Table provided at Appendix 2;
OR
- iii. My Thesis includes images, graphs, tables and/or a substantial amount of copyright material belonging to a third party and I have obtained ONLY SOME or NONE of the permissions, I acknowledge University Library Staff may remove the relevant material from the online version of my thesis.
- iv. I understand that, notwithstanding my responses to the above copyright questions, in the event:
 - I was unaware I ought to have obtained copyright permission for a given use of third party copyright material; or
 - permission ought to have been obtained but, for whatever reason, was not; or
 - I used third party copyright material but not included it in the Table provided at **Appendix 2** to indicate permission has been obtained,and such an omission comes to the attention of University Library staff, then the University may remove the relevant material and replace it with a notice indicating the third party copyright material has been removed.

Intellectual Property Clearance

I have read the above statements and the information detailed at **Appendix 1** and confirm that:

The lodgement of my Thesis does not infringe the intellectual property rights (including copyright) of any third party.

All persons/organisations having a claim to intellectual property developed during the course of my studies, which intellectual property is described in my Thesis have agreed to the lodgement of my Thesis with the University Library – including the digital version for inclusion in the online Institutional Repository in accordance with the terms of this form (including, as applicable, request for restricted access for purposes which include confidential information).

Candidate Declaration

I have read the above statements and the information detailed at **Appendix 1** and confirm that:

I confirm that the responses to the statements above are true and correct and I agree to indemnify Southern Cross University should this not be the case.

I hereby grant to Southern Cross University and/or its duly authorised agents the right to archive and to make available my Thesis, at the level of access indicated with respect to both hardcopy and online worldwide online access above, in whole or in part in all forms of media, now or hereafter known.

Candidate signature

Date:

Principal Supervisor Declaration

I confirm that the assigned access level with respect to both hardcopy and online worldwide online access has been approved and the Candidate's verification statement is true and correct.

Supervisor's name

Supervisor's signature

Date:

Graduate School

Restricted access request:

Not applicable

Approved for entire work. Duration of restriction

Approved for (formally) Creative Component only. Duration of restriction

Not approved. Reasons:

Dean Graduate Studies name:

Signature

Date:

Office use only:

Graduate School Staff

Thesis received. Date

Copyright clearance section completed

Signature of student

Signature of supervisor

Signature of Chairperson

Letter to restrict access attached (if required)

Restriction of access approved by Dean, Graduate Studies

Appendix 1 populated if applicable

Library Staff

Copyright check of thesis completed

Copyright material removed and thesis annotated (if required)

IR record checked

Cover page and PDF checked

Thesis author contacted

Link added to catalogue record

Signed off (Library Staff):

Name:

Signature:

Date:

Thesis Submission: Information with Respect to Intellectual Property

Intellectual Property is an area of law that includes a range of legal rights. It includes patents, trademarks, confidential information and copyright.

In the context of a candidate's research thesis, the most relevant of these rights is copyright. For a few students, confidential information may also be an issue.

Copyright

Copyright attaches to the first author of a work. It protects the expression or form of ideas (as opposed to the ideas themselves). Copyright itself includes several separable rights (e.g. right to copy, right to prevent infringement, assignment, right to license). These rights apply differentially and may be affected by other relevant factors – for example, a contract of enrolment.

Copyright is important for research students for two main reasons. One is to avoid infringing the copyright of others when citing or using other material in their own work. The other is to understand their own rights and any applicable limits.

In terms of the first reason, and as detailed above, a number of key purposes of this form are to direct a student's attention to his/her use of third party copyright material and to assist in the process of systematically addressing permission issues.

With respect to the second reason, and consistently with sector practice throughout Australia, SCU policy and enrolment rules provide the University with a right (or licence) to include a bound hardcopy of a student's thesis in the University Library collection, an unbound copy in the University Library Archive and to upload a copy to its online Institutional repository.

The policy impetus for this sector practice is that Australian universities receive considerable public funding and are therefore publicly accountable for the research projects conducted within the auspices of their institutional resources. One avenue of accountability is to disseminate research findings and the learnings of research projects in the public domain unless there are relevant reasons for a particular exception to apply.

Importantly, SCU's licence to deposit a student thesis in its online institutional repository does not grant any ownership rights to the University – its rights are restricted to those related to the purpose of this specific licence. It also includes the obligation to identify the author and the title of the work (this is consistent with the obligation to moral rights).

This means the copyright owner retains the ownership rights in his/her thesis rights – which means he/she retains the right to make use of other current and any future versions of the work.

Confidential Information

Confidential information is information that is not generally known and it has the potential to bestow an economic benefit and thus efforts are undertaken to protect its confidentiality.

A research thesis may contain confidential information which a student wishes to withhold from the public domain for a period of time (including if a patent is being contemplated). This situation often (but not always) arises when the student has a relationship with a particular funding body or scholarship provider.

Students who seek to restrict the release of their research information to the public domain for a period of time may use this form to apply for that permission. Please note University rules provide the considerations that will be applied by the Graduate School in its determination of that application.

Copyright Compliance Table for Higher Degree by Research Candidates

Please click on the button below to open Appendix 2. You must have an active Internet connection.