

eThesis submission: journal format thesis guide

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Access to your final thesis: important considerations

‘Self-archiving’ is where a researcher makes a piece of scholarly work available via a repository. The University’s Presentation of Theses policy requires that final Doctoral theses are ‘self-archived’ and made Open Access via the University’s systems within 12 months of submission, unless an exception to this policy is required.

All PGR students must select their preferred access level for their final thesis during eThesis submission, taking into account any copyright, data, co-author or supervisor requirements which may mean it’s not possible to make the thesis Open Access within 12 months, as required by the University’s Presentation of theses policy.

Seeking to publish your work in a journal or conference proceeding prior to completing your research degree is encouraged. However, if you plan to submit a Journal format thesis, you need to be aware of any copyright constraints your publisher may place on your work, as this may affect how you ‘self-archive’ your thesis, including restricting access for longer than the University’s standard 12 months from submission.

The structure of a journal format thesis – being comprised of a number of research papers submitted to or published in academic journals – means that you as the author need to take extra care when preparing your thesis for submission, and selecting your preferred access level for your final thesis. For each publisher you're working with, or plan to work with, you will need to establish what each allows and requires in terms of 'self-archiving' of work.

Can I share my Journal format thesis Open Access?

For each publisher that you plan to work with, you're aiming to understand:

- **Does my publisher allow me to share my work Open Access via a repository?** (p.3)

To be able to answer this question, and make an appropriate eThesis submission and access level selection, you need to understand the following points:

1. If my publisher allows me to share my work via a repository, what version of my work can I share? (p.4)
2. When can I share my work via a repository? (p.4)
3. When will my papers be published? (p.4)

Once you're clear on these questions for each publisher you're working with, you can use our **Journal format eThesis submission and access level guidance** (p.5) to work out:

- How to prepare your eThesis, i.e. what version of each paper to include in your eThesis file
- What access level option to select for your final thesis

Adhering to the strictest publisher policy

Selecting an access level for your final thesis which reflects the strictest self-archiving policy of the publishers you're working with will ensure that you're not infringing any of your publishers' self-archiving policies or breaking your copyright agreements. A strict self-archiving policy is likely to restrict:

- The version of your work you can share – likely restricted to an earlier version
- When you can share your work – likely requiring a longer embargo period

By ensuring your thesis access level reflects the strictest publisher's policy, you can be sure you're meeting the policies of your other publishers, if these are more permissive. See our **Journal format eThesis submission and access level guidance** (p.5) for help translating your publishers' self-archiving policies into appropriate decisions when completing your eThesis submission.

Negotiating with publishers on self-archiving policies

If you're not happy with the self-archiving policies of your publishers, and/or you're keen to share your thesis Open Access as soon as possible and one or more of your publishers does not allow self-archiving at all, or only with a long embargo, you may wish to try to negotiate with your publisher on self-archiving. See p. 5 of this document for **advice on requesting special permission to self-archive or make your work Open Access**.

Sharing papers for examination purposes only

UK copyright law contains a number of exceptions which allow limited use of copyright material in certain circumstances without the need to gain the permission of the rights holder. Certain exceptions only apply when the use of the work falls under 'fair dealing' guidelines. One of these

exceptions is 'Illustration for instruction,' which relates to work submitted for examination, as explained in the University of Manchester Library's Copyright Guide:

Illustration for instruction means that copyright in the work is not infringed by an individual teacher or a student as long as they are copying the work to give or receive instruction (or when preparing to give or receive instruction), and the copying is used to illustrate a point about the subject being taught. This includes material for examination purposes. The exception covers all works, including images, music and video as well as text-based material. The exception only applies if the copying is for non-commercial purposes, is properly attributed/acknowledged and the use is fair (see fair dealing).

- University of Manchester Library Copyright Guide:
<https://subjects.library.manchester.ac.uk/copyright/basics>

For Journal format theses, this means that it's possible to include any version of your submitted or published work in your eThesis submitted *for examination purposes only*.

This copyright exception does *not* cover subsequent Open Access sharing of your final thesis via the University's systems, as such use of your work is not for examination purposes.

You are therefore strongly encouraged to ascertain the **version of work that your publisher allows you to share via our institutional repository** (p.4), and ensure that you include this work in your eThesis file during submission, to ensure you're able to make your final thesis Open Access in line with your publisher's requirements following examination.

If your publisher stipulates only sharing a version of your work Open Access which you are unable to include in your eThesis for any reason, you will need to ensure that you request an exception to the University's Open Access policy for theses, and select the exceptional access level 'Indefinite closed access' when completing submission of your eThesis.

If your publisher does not permit sharing any version of your work Open Access via our institutional repository, you will need to request an exception to the University's Open Access policy for theses, and select the exceptional access level 'Indefinite closed access' when completing submission of your eThesis.

- Screenshots of the eThesis submission system:
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=32873>

Does my publisher allow me to share my work Open Access via a repository?

Many publishers will allow authors to share work via a repository, though they may specify only a certain version can be shared, and possibly after an embargo. Some publishers will make it clear that it's not possible to share work via a repository under any circumstances.

There are a couple of ways to work this out:

- Search for your chosen or preferred journal in Sherpa/RoMEO:
<http://sherpa.ac.uk/romeo/index.php>
- Search the website of your publisher or chosen/preferred journal. Information on self-archiving may be available within the 'Instructions for authors' section, or a section on Open Access

Once you've found information on your publisher's self-archiving or 'Green Open Access' policy, look out for answers to the following questions. You may wish to make notes using our Checklist or work through our Decision tree as you work to establish your publishers' self-archiving policies.

1. If my publisher allows me to share my work via a repository, what version can I share?

Publishers may allow one or more of the following versions of work to be shared:

- Accepted manuscript (sometimes called a 'post-print')
- Submitted manuscript (sometimes called a 'pre-print')
- Published manuscript (often referred to as the 'version of record')

You will need to ensure that your Journal format thesis file contains the appropriate version of each paper, as required by each publisher. For example, you would be violating a publisher's policy if your Journal format thesis is made Open Access when it contains a version of record, if the publisher only allows the accepted manuscript to be shared openly.

2. When can I share my work via a repository?

Publishers may allow immediate sharing, or may require you to place an 'embargo' on your work. In scholarly publishing, an embargo is a period of time where access to a work is restricted, usually to those who can access the published work via the publisher's website.

Common policies include:

- Publisher allows specified version to be shared via repository immediately upon publication (no embargo)
- Publisher allows specified version to be shared via repository after an embargo of 6/12/18/24/36 months, i.e. 6/12/18/24/36 months after publication of the paper online
- Publisher does not allow any version to be shared via a repository at any point. (In this case, it's still possible to self-archive your work via the University's systems, but you won't be able to make the work Open Access)

3. When will my papers be published?

If a publisher requires an embargo to be placed on papers before they're made openly available, you need to know when this embargo will begin and end. An embargo is applied from the date of (online) publication.

If you're submitting your Journal format thesis before some of the papers within it have been published, you may need to select an access level which will accommodate the time between submission of your thesis and publication of your work, to ensure that any embargoes do not expire until the designated date after publication of your work.

Example:

One of your publishers requires a 12 month embargo. Your paper with this publisher is not due to be published until September 2020. You will be completing submission of your Journal format thesis, containing this paper, in September 2019.

Therefore, you need to select a 2 year embargo for your thesis when you complete submission in September 2019. This will ensure the thesis does not become Open Access until September 2021, 1 year after publication of the paper in the journal.

We in the eThesis Support Service understand that publication timelines might change, so if you realise after submitting your thesis that you need to amend your selected access level, please just get in touch and we can help you.

You may wish to use our **checklist** (p.7) or **decision tree** (p.9) to record your findings as you work out each of your publishers' self-archiving policies, and then consult our **Journal format eThesis submission and access level guidance** (p.5) for help translating your publishers' self-archiving policies into appropriate decisions when completing your eThesis submission.

Can I request special permission to self-archive or make my work Open Access?

You can certainly ask your journal editor or publisher for special permission to share your work openly in your thesis via our institutional repository, if the publisher's standard policy does not support this. There's no guarantee the editor or publisher will agree to your request, but it's worth asking, especially if you're keen for your thesis to be openly available. If you'd like any help on phrasing your request, please **contact us** (see p.10).

Journal format eThesis submission and access level guidance

The University's Presentation of Theses policy requires you to make your final thesis Open Access no longer than 12 months after submission, unless this is inappropriate. There are a number of agreed reasons why this might be inappropriate, and where it may be necessary to apply a longer embargo, or even to never make your thesis Open Access.

- Presentation of Theses Policy:
<http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=7420>

Once you've established what each of your publishers permits in terms of self-archiving work via a repository, we recommend you **identify the strictest publisher policy** (p.2), and prepare your thesis and select an access level which reflect this requirement. This table translates common publisher self-archiving policies into a recommendation for:

- The version of papers to include in your thesis
- The access level to select when completing your eThesis submission

| Common publisher self-archiving policies | Version of paper to include in thesis | Recommended access level for your final eThesis |
|--|---------------------------------------|--|
| Publisher allows final version of record to be shared immediately upon publication, with no embargo | Final version of record | Immediate Open Access |
| Publisher allows accepted manuscript (post-print) to be shared immediately upon publication, with no embargo | Accepted manuscript (post-print) | Immediate Open Access |
| Publisher allows final version of record to be shared via repository, but only after an embargo | Final version of record | Open Access after 12 month embargo OR Open Access after 2 year embargo |

| | | |
|--|---|--|
| | | OR Open Access after 5 year embargo (depending on likely date of publication) |
| Publisher allows accepted manuscript (post-print) to be shared via repository, but only after an embargo | Accepted manuscript (post-print) | Open Access after 12 month embargo OR Open Access after 2 year embargo OR Open Access after 5 year embargo (depending on likely date of publication) |
| Publisher only allows submitted manuscript (pre-print) to be shared via a repository | Submitted manuscript (pre-print) | Immediate Open Access |
| Publisher does not permit making work Open Access via a repository at all | Latest version you have (as this will only be seen by examiners) | Indefinite closed access |

Completing eThesis submission

For reference, the table below explains the access level options for your final thesis from which you'll be able to select when completing examination submission of your eThesis:

| Scenario | Access level options |
|--|--|
| Thesis can comply with default policy | Immediate Open Access OR Open Access after 12 month embargo |
| Contractual restrictions imposed by sponsor | Open Access after 2 year embargo OR |
| IP / product protection / patent pending / potential commercialisation | Open Access after 5 year embargo |
| Thesis contains personally identifiable or ethically sensitive data | OR Indefinite closed access |
| Other* | |
| Thesis contains data likely to be included in future research by supervisor or collaborators | Open Access after 2 year embargo |
| Student is on blocked Programme/Plan combination (CRUK MI) | Open Access after 5 year embargo OR Indefinite closed access |

*** Your thesis will probably fall into this category if your publisher's self-archiving policy does not permit you to meet the University's Presentation of Theses policy requirement of sharing your Journal format thesis Open Access within 12 months of submission.**

If you're aware of issues related to publisher self-archiving policies, you should:

- Request an exception to the default Open Access policy for these
- Select the reason 'Other'
- Explain the issue in the free text box which will appear (see Examples below)
- Select your preferred access level (2 year embargo; 5 year embargo; indefinite closed access)

See Screenshots of the eThesis submission system:

- <http://documents.manchester.ac.uk/DocuInfo.aspx?DocID=32873>

Examples of 'Other' reason for exceptional access level

My journal format thesis includes a paper published by [Publisher]. This publisher only allows papers to be made Open Access via a repository 24 months after publication. I need to request a longer embargo for my thesis to ensure I adhere to my publisher's self-archiving policy.

My journal format thesis includes a paper which is due to be published by [Publisher] in [month, year]. This publisher also requires an embargo of [X months] to be placed on papers from the date of publication. I therefore need to request a longer embargo for my thesis to ensure that I meet the self-archiving policy of this publisher.

Resources

To help you work out what's possible in terms of sharing your Journal format thesis, we've provided a handy checklist and a decision tree. You may wish to use one or both of these, and if you're unsure on any part of this, the Library's eThesis Support Service can help you – just get in touch (see p.10).

Checklist

- Who are the publishers I'm working with/hoping to work with for all of the papers which will make up my Journal format thesis?

Note down your publishers so you're clear on what you need to find out:

- 1.
- 2.
- 3.
- 4.

- Does my publisher allow me to share my work via a repository?

You may wish to use Sherpa/RoMEO (<http://sherpa.ac.uk/romeo/index.php>) or consult the website of each publisher or specific journal to find information on self-archiving or Green Open Access.

For each publisher, note if unlimited sharing is permitted; OR if you can self-archive with some restrictions; OR if the publisher does not permit sharing via a repository at all:

- 1.
- 2.
- 3.
- 4.

If you're having trouble finding or interpreting any publisher information, please contact the eThesis Support Service (p.10) so we can help you.

- If my publisher allows me to share my work via a repository, what version of my work can I share? (see p.4)

For each publisher, note the version of a paper that can be shared via a repository:

- 1.
- 2.
- 3.
- 4.

- When can I share my work via a repository? (see p.4)

For each publisher, note if work can be shared immediately upon publication; after an embargo (and specify the embargo length; or if it's not possible to share work at all:

- 1.
- 2.
- 3.
- 4.

- You should hopefully now understand what each of your publishers allows in terms of self-archiving. Note down what you've ascertained for each publisher below. Here's an example:

Example findings:

Publisher 1: Allows accepted manuscript to be shared after 12 month embargo

Publisher 2: Final version of record can be shared immediately upon publication

Publisher 3: Allows accepted manuscript to be shared after 6 month embargo

Publisher 4: Allows accepted manuscript to be shared after 12 month embargo

Your notes on your publishers' self-archiving policies:

- 1.
- 2.
- 3.
- 4.

- Which policy is strictest?

Which publisher requires most restrictions on self-archiving of your work? By adhering to this, you can be sure that you're also adhering to the more permissive policies of your other publishers.

Example:

Publisher 1: Allows accepted manuscript to be shared after 12 month embargo

Publisher 2: Final version of record can be shared immediately upon publication

Publisher 3: Allows accepted manuscript to be shared after 6 month embargo

Publisher 4: Allows accepted manuscript to be shared after 12 month embargo

Example findings:

Publishers 1 and 4 have the strictest self-archiving policies. If I ensure my Journal format thesis contains only accepted manuscript version of each of my papers, and is only made Open Access 12 months after publication of these papers, I can be sure I'm adhering to the self-archiving policies of all my publishers.

Your notes on the strictest publisher self-archiving policy you need to adhere to:

- When will my papers be published? (see p.4)

It's important you consider the likely publication date of your papers, as this will inform any embargoes required, which in turn should inform your selection of a preferred access level for your final thesis. Some of your papers may already be published; you may have an agreed date for publication for others; and some may still be at the submission stage, meaning you don't have a clear idea of when the work will be published.

Note what you know about publication dates for each of your papers:

- 1.
- 2.
- 3.
- 4.

Now you've completed our checklist, you can use **our Journal format eThesis submission and access level guidance** (p.5) for help translating your publishers' self-archiving policies into appropriate decisions when completing your eThesis submission. Or, if you're unhappy with the self-archiving policy of your strictest publisher, you can **consider seeking to negotiate with your publisher on access to your thesis** (p.5)

Decision tree

This interactive guide aims to help you understand the checks you need to make regarding the self-archiving policies of the publishers you're working with, and to use this information to inform:

- The version of each article you include in your eThesis file
- The access level you select for your final eThesis

We recommend that you **identify the strictest publisher policy that you need to deal with** (see p.2), and use this policy when completing this decision tree.

- eThesis submission: Journal format theses:
<https://scholarlycomms1.typeform.com/to/bZAErZ>

If you prefer, here is a visual representation of the decision tree for quick reference:



Contact the eThesis Support Service

The Library's eThesis Support Service is here to help you as you prepare to submit your electronic thesis. We can help you identify and understand publisher self-archiving policies and what these mean in terms of the version of a paper you should include in your eThesis file, and the access level you should select for your final thesis. Please get in touch so we can assist you:

eThesis Support Service

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