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**POLICY AND PROCEDURE ON THE  
FINAL DEPOSIT OF RESEARCH  
DEGREE THESES**

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### **Alignment with the Expectations and Core practices of the revised UK Quality Code for Higher Education**

This policy and procedure aligns with the following relevant Expectations and Core practices of the UK Quality Code for Higher Education:

<b>Expectations for standards</b>	<b>Expectations for quality</b>
	From admission through to completion, all students are provided with the support that they need to succeed in and benefit from higher education.
<b>Core practices for standards</b>	<b>Core practices for quality</b>
	Where the provider offers research degrees, it delivers these in appropriate and supportive research environments.

	The provider supports all students to achieve successful academic and professional outcomes.
<b>Common practices for standards</b>	<b>Common practices for quality</b>
The provider reviews its core practices for standards regularly and uses the outcomes to drive improvement and enhancement.	The provider reviews its core practices for quality regularly and uses the outcomes to drive improvement and enhancement.
	The provider engages students individually and collectively in the development, assurance and enhancement of the quality of their educational experience.

# Policy and Procedure on the Final Deposit of Research Degree Theses<sup>1</sup>

## 1. General Statements

- 1.1 This policy and procedure applies to all research degree candidates who are registered on a programme of study leading to an award of a Cardiff University. It should be read in conjunction with the Policy on the Submission and Presentation of Research Degree Theses.
- 1.2 In line with the University's Open Access Publications Policy, all successful research degree theses must be deposited in the University's digital repository (ORCA) and freely available, subject to the expiry of any approved Bar on Access.
- 1.3 Unless you are granted permission to lodge a hard copy of your thesis in a University library in place of an electronic version (e.g. due to copyright restrictions), or library deposit is permitted under the University's regulations due to the practice-led nature of your programme, your degree will not be awarded until your thesis has been successfully deposited in the repository.<sup>2</sup>
- 1.4 It is your responsibility to ensure that your thesis is presented in a format suitable for open access. Guidance on making the thesis available on-line is available from the student intranet and advice on copyright implications may be sought from [copyright@cardiff.ac.uk](mailto:copyright@cardiff.ac.uk).<sup>3</sup>

## 2. Inclusion of Material Published or Prepared for Publication

- 2.1 In the version of the thesis that you submit for examination, you are permitted to include in the appendix materials such as papers and book chapters (published or otherwise) that you have authored or co-authored as supplementary material that will not be assessed by your examiners. It would not be appropriate, however, for such materials that have been published or prepared for publication to be included in the thesis deposited in the repository, and to do so may be in breach of any publishing agreement.
- 2.2 Any materials that were included in the examination version of the thesis should be removed and replaced with a web link to the publisher's page or other suitable location.

## 3. Third Party Copyright

- 3.1 Including third-party material in your thesis for the purpose of examination, provided it is fully referenced, is generally permitted by copyright legislation.

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<sup>1</sup> This Policy and Procedure was previously titled 'Policy and Procedure on the Deposit of Electronic Theses (E-Theses)'.

<sup>2</sup> Where a thesis includes a creative or performing arts component and deposit in the digital repository would compromise commercial publication of the work, the critical commentary part of the thesis alone may be uploaded, unless it is integrated with the creative work.

<sup>3</sup> <https://intranet.cardiff.ac.uk/students/study/postgraduate-research-support/thesis-and-examinations/submitting-your-thesis/uploading-your-thesis-to-orca>

You may, however, need permission to include this material in the final repository version of the thesis.

- 3.2 If a copyright holder grants permission, you should indicate this at the appropriate point in your thesis by including a clear statement (e.g. 'permission to reproduce this [image etc.] has been granted by...') You should retain copies of any correspondence that you received from the rights holder.
- 3.3 If permission cannot be sought or it is too expensive to gain permission, you should remove any content that is covered by copyright by redacting the repository version of your thesis accordingly. You should liaise with your School to submit both a redacted and complete (un-redacted) version, as described in section 6 below. Both versions will be retained by the University, but only the redacted version will be made publicly available.

#### **4. Confidential or Other Sensitive Information**

- 4.1 If your thesis contains confidential or other sensitive information, due consideration should be given to the appropriate format and presentation of this material within the thesis at the writing stage, such that it may be possible for the thesis to be later redacted without disrupting the narrative or general flow (i.e. by including the material in a discreet section or separate appendix).
- 4.2 If the material is so intrinsic to the thesis or so widely dispersed that its removal will affect the clarity and coherence of the work, you should consider a temporary bar on access or a library deposit (which may be temporarily or permanently restricted, as appropriate).
- 4.3 For the purposes of security, you should not include any person's signature, including your own, in the version of the thesis to be placed in the University's digital repository. Any signatures should be redacted from the published version.
- 4.4 If the thesis presented for examination included information or personal data that was appended as context for your examiners, such as correspondence concerning ethical approval or potential publication, this must also be removed from the repository version of your thesis.

### **Procedure**

#### **5. Submission of Your Thesis**

- 5.1 After your examination is completed and any necessary corrections to your thesis have been approved by your Examiners, you will need to provide a copy of the final thesis to your School for deposit in ORCA.

- 5.2 You should submit the thesis as a single file, ideally in pdf format, following the required file naming conventions.<sup>4</sup> It should be accompanied by a completed Cardiff University Electronic Theses and Dissertations Publication Form.
- 5.3 If your thesis includes supplementary material, you should make every effort to compile these into one document. Where this is not possible, you should discuss the option of providing separate files with repository staff (orca@cardiff.ac.uk).
- 5.4 If you are required to redact your thesis for copyright or other reasons, you will need to provide both a final redacted and complete (un-redacted) version of your thesis to your School. It is your responsibility to ensure that the different versions can be clearly identified (e.g. by including the word 'redacted' in the title of the file).
- 5.5 A copy of the complete (un-redacted) version will be submitted to the ORCA Team, who will arrange for the secure storage of the thesis on behalf of the University Library Service.
6. **Redaction of Material**
- 6.1 Any restricted material should be removed from the repository version of the thesis and replaced with a clear statement indicating the redaction (e.g. 'This image has been removed by the author of this thesis for copyright reasons'). Do not try to conceal the material, as it may still be viewable by readers.
- 6.2 All references to the redacted material in the thesis should remain.
- 6.3 If you need to remove images or large sections of text, you may need to format the document to ensure that pagination remains the same in both the redacted and complete (un-redacted) versions of the thesis.

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<sup>4</sup> Guidance is available at: <http://orca.cf.ac.uk/deposit-thesis.html>