1. Position statement

The University of Pretoria supports free access to research literature for all researchers worldwide and takes responsibility for the dissemination of its own research outputs. Because theses and dissertations are not formally published it is even more important that the University itself should provide access to them.

2. Purpose

This policy provides directions for the archiving and dissemination of theses and dissertations resulting from postgraduate work done by University of Pretoria students.

The policy aims to ensure that

- any student, researcher or member of the public with a non-commercial need for the information has access to it;
- the University's Research Report is complemented with the full text of theses and dissertations;
- mechanisms exist for the long-term preservation of UP theses and dissertations.

3. Policy statement

3.1 Each student should submit paper and electronic copies of his/her thesis/dissertation to the Postgraduate Office of the relevant faculty (Yearbook General Regulation G57.4(i)). Alternatively students may self-submit their theses/dissertations to the UPeTD system (http://upetd.up.ac.za).

3.2 These copies should be accompanied by the submission form (available at http://upetd.up.ac.za/authors/publish/Engels.pdf), fully completed and signed by the student, the supervisor as well as the postgraduate officer of the faculty. Particular care should be taken by supervisors and students to indicate their preferences regarding access to documents.

3.3 When possible theses and dissertations should be opened worldwide. The following exceptions are permitted:
<table>
<thead>
<tr>
<th>Visibility</th>
<th>Permitted under the following circumstances</th>
<th>Action to be taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limited access</td>
<td>Files can only be opened within the UP domain and the paper copy can only be used inside one of the UP libraries</td>
<td>To limit access to the UP community for reasons agreed upon by the supervisor and student</td>
</tr>
</tbody>
</table>
| Restricted access| - Only the bibliographic details (author name, title, degree, department and name of supervisor) of the thesis/dissertation are available online in the UPeTD system  
- In the abstract field the following note will be added: Access to this [thesis/dissertation] is prohibited until [date]  
- The paper copy and CD containing the full text files are stored in a safe location for a designated period | - When the embargo period has expired the Library Service will contact the supervisor or head of department and the student with a request to allow open access for the material  
- If the supervisor deems it necessary to extend the embargo period this should then be negotiated with the Vice-principal: Research and Postgraduate Studies and a letter to this effect should be attached to the instructions to the UPeTD Office |
| Total embargo    | - Only the bibliographic details (author name, title, degree and name of supervisor) of the thesis/dissertation are available online in the UPeTD system  
- In the abstract field the following note will be added: Access to this [thesis/dissertation] is prohibited indefinitely  
- The paper copy and CD containing the full text files are stored in a safe location indefinitely | To prohibit access to confidential information - political, national security, conditions of a funder of the research, etc  
Written permission from the Vice-principal: Research and Postgraduate Education should be attached |

Please take note that in the case of Restricted access or Total embargo the bibliographic record is accessible via WorldCat, Google and other search engines which implies that the existence of the thesis/dissertation will be obvious although the contents will remain confidential. It will also be aligned with the information on the NRF’s Current and Completed Research database.

3.4 When certain parts (chapters, appendices) of a thesis/dissertation need to be restricted, the thesis/dissertation will be treated as though the entire document should be restricted.

3.5 The University of Pretoria is the copyright holder of all its theses and dissertations. A request for copyright to be ceded to the student can be made after graduation. A recommendation to this effect should be made to the registrar and should be with the consent of the supervisor, the head of the department and the dean of the faculty. The University retains the right to archive the electronic version of such a thesis or dissertation on the UPeTD system.
4. Scope
This policy applies to all postgraduate students of the University of Pretoria engaged in research degrees.

5. Definitions

Limited access
Limited access is provided when files can only be opened within the UP domain and the paper copy can only be used inside one of the UP libraries.

Restricted access
Restricted access implies that only the bibliographic details of the thesis/dissertation are available online in the UPeTD system and the paper copy is stored in a safe location for a designated period.

Total embargo
A total embargo implies that only the bibliographic details of the thesis/dissertation are available online in the UPeTD system and the paper copy is stored in a safe location indefinitely.

Self-archive / self-submit
The deposit or submission of a thesis or dissertation to the UPeTD system by the author.

UPeTD
UPeTD (University of Pretoria Electronic Theses and Dissertations) is the name of the University’s programme aimed at providing online access to theses and dissertations. The programme is managed by the Open Scholarship Office in the Merensky Library on the Hatfield Campus.

6. Action
Guidelines, forms and brochures will be provided to all postgraduate students and their supervisors, to explain the process and to assist them with submission.

7. Responsibility

- It is the responsibility of the student to provide the paper and electronic copies of his/her thesis/dissertation together with the completed submission form as indicated, and to pay the submission fee.
- It is the responsibility of the supervisor to ensure that the final corrected copy is submitted and that the content adheres to international copyright law. The supervisor should also inform the Open Scholarship Office, via the submission form, of the decision regarding access and should get the necessary letter(s) from the Vice-principal: Research and Postgraduate Studies when a restriction extension or a total embargo request is needed.
- It is the responsibility of the Faculty Postgraduate Office to collect all the relevant copies of theses/dissertations and submission forms and to pass these on to the Open Scholarship Office of the Department of Library Services.
- The Department of Library Services: Open Scholarship Office will assess all submissions to ensure that they are within the scope of the repository.
- The Department of Library Service: Open Scholarship Office will undertake the archiving of the final version of the thesis/dissertation and will see to the maintenance of declared standards. The authenticity of submissions is the responsibility of the students and supervisors.
- The Department of Library Services will supply information, guidance and support to students and supervisors.

Warning – Uncontrolled when printed! The current version of this document is kept on the UP website.
8. **Policy Base**

VN Rt 504/00  
PN 6.3  
DA 8 August, 2000  
BO INDIENING VAN PROEFSKRIFTE EN VERHANDELINGE IN ELEKTRONIESE FORMAAT  
(Par 6.3 van Rt 488/00: 8 Augustus 2000)  
BE Om die voorstelle vervat in Rt 493/00 goed te keur.  
SE 1  
Policy regarding copyright of theses and dissertations

9. **Associated Documents**

Rt 493/00  
UPeTD Submission form

10. **Implementation**

Policy amendment to be implemented immediately (24 February 2009).

11. **Contact person**

<table>
<thead>
<tr>
<th>Title / First Name / Surname</th>
<th>Mrs Monica Hammes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position</td>
<td>Assistant Director</td>
</tr>
<tr>
<td>Department</td>
<td>Library Services</td>
</tr>
<tr>
<td>Tel no</td>
<td>012 420 2845</td>
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12. **Document history table**

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<td>(S 4846/08)</td>
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<td>Mrs M Hammes</td>
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