



UNIVERSITY OF AMSTERDAM

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YOUR DOCTORAL THESIS ONLINE

BROCHURE AND LICENCE AGREEMENT

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The Doctorate Regulations of the University of Amsterdam (UvA) state that you are required to provide a digital version of your doctoral thesis to the University¹. The Library of the UvA stores your thesis in the academic archive maintained by the University and, if permissible (under copyright law), publishes it on UvA-DARE², the website on which the UvA presents its academic publications. Information about this service, including this brochure, can be found on the Library website³.

The Library archives your doctoral thesis and makes it available online using the digital version itself (see Section 1) and the so-called 'Licence Agreement', which you will find at the end of this brochure. By means of this Licence Agreement, you grant permission to the University to publish your thesis on UvA-DARE (see Section 2). Additionally, the Library kindly requests that you submit an abstract of your thesis and any other relevant material (see Section 3).

The procedure to be followed for submitting your digital doctoral thesis and the Licence Agreement depends on the Doctorate Regulations applicable to your doctorate, which may be either the Doctorate Regulations 2010 or the Doctorate Regulations 2014⁴. In either case, your doctorate may be postponed if you do not submit them on time.

1 Doctoral thesis

The Library gives each doctoral thesis its own page on the UvA-DARE website, with a URL that will remain valid permanently. Your thesis is made available to the public on this page as a downloadable PDF file. It is possible to place parts of your thesis under embargo, i.e. to exclude them from online publication temporarily or, in exceptional cases, permanently. In that case, the Library makes a separate PDF file for every section of the thesis, so that any sections not under embargo can be made available without delay. Sections with an embargo will be automatically published on the day when the embargo ends. The file for the entire thesis will be made available once the longest embargo has expired. You may request an embargo via the Licence Agreement.

The digital version of the doctoral thesis must meet the following submission conditions:

- It is identical to the printed thesis, including the title page, colophon, page numbers, layout and spelling.
- It is complete, i.e. it includes:
 - the cover page;
 - any sections covered by an embargo, even in case of a permanent embargo;
 - any material appended separately to the printed thesis (for instance, a propositions sheet or supplementary annexes).
- It is saved in PDF or PDF/A format, as a single file or multiple files. Optionally, an additional EPUB may be submitted. The cover page may also be saved in BMP, GIF, JPEG, PNG or TIFF format.

To facilitate the further processing of the submitted files, these must be editable; do not submit any protected files. If you wish to protect the downloads accompanying your doctoral thesis on UvA-DARE (e.g. to prevent the content from being copied), please contact the Library. Contact details can be found in Section 4 of this brochure.

¹ The Doctorate Regulations 2014 can be found at www.uva.nl/en/research/phd/doctoral-programme.

² <http://dare.uva.nl>

³ <http://uba.uva.nl/en/services/citing-and-publishing/publishing-a-doctoral-thesis>

⁴ Information on which of the Regulations apply to your doctorate can be found at www.uva.nl/en/research/phd/contact-information/faq.

DOCTORATE REGULATIONS 2014

If your doctorate is subject to the Doctorate Regulations 2014, you must submit the digital version of the thesis to the dean of the faculty at which you are pursuing a doctorate (via the faculty contact person for doctorate-related matters)⁵ and your supervisor, no later than four weeks prior to obtaining your doctorate. You should send along an outline of any differences with the manuscript that was approved by the Doctorate Committee⁶. The dean and your supervisor will check if the differences between the manuscript and the digital thesis are permissible⁷. If so, the dean shall forward the thesis to the Library.

DOCTORATE REGULATIONS 2010

If your doctorate is subject to the Doctorate Regulations 2010, you must submit the digital version of the thesis directly to the Library, no later than four weeks prior to obtaining your doctorate (Article 27a, paragraph 1 of the Regulations). [Section 4](#) of this brochure explains how to submit the files to the Library.

2 Licence Agreement

You can use the Licence Agreement at the end of this brochure to grant permission to the University to publish your doctoral thesis on UvA-DARE, in accordance with the requirement in the Doctorate Regulations. You are personally responsible for submitting the Agreement to the Library. Depending on the applicable Doctorate Regulations, the Library must receive the Agreement no later than six weeks (Doctorate Regulations 2014, Article 30) or four weeks (Doctorate Regulations 2010, Article 27a, paragraph 2) before the date of the doctoral defence.

The Licence Agreement must be signed on page L-3. [Section 4](#) of this brochure explains how to submit the signed Licence Agreement to the Library.

If the Agreement and the digital version of the doctoral thesis have been received in good order, the Library shall arrange for the Agreement to be co-signed on page L-3 on behalf of the Executive Board of the University. You will receive a copy for your records.

2.1 Standard Provisions

The Licence Agreement contains certain Standard Provisions and two optional exceptions thereto. If you sign the Agreement without making any exceptions to the Standard Provisions, this will imply that you consent to the immediate publication of the entire doctoral thesis on UvA-DARE. The permission granted by you to the University shall not imply any transfer of rights. In other words, the copyright is not ceded to the University. Moreover, the permission granted is non-exclusive; you may also make your digital thesis available on sites other than UvA-DARE.⁸

2.2 Exceptions to the Standard Provisions

If a section of your doctoral thesis is not meant to be published immediately on UvA-DARE (or, in exceptional cases, not published on UvA-DARE at all), you may place an embargo on it by applying one of the two exceptions to the Standard Provisions.

This may be desirable if your doctoral thesis contains material that you wish to publish later in another form, for example in the following situations:

⁵ For a list of contact persons per faculty, see www.uva.nl/en/research/phd/contact-information/faculty-contacts.

⁶ The requirements this outline should meet are available from your faculty contact person.

⁷ For an outline of permissible changes, see the procedure 'From manuscript to doctoral thesis' on www.uva.nl/en/research/phd/doctoral-programme/completion.

⁸ Please note that for any website where you wish to publish your thesis, including sites such as issuu.com and publication-online.com, you will have to determine if there are copyright restrictions forbidding this (see [Section 2.3](#) of this brochure for more information).

- If you plan to publish a section in a journal at a later date and hence do not want to publish the results online prior to this, as some magazines do not accept any material that is already available on the internet.
- If you plan to publish your thesis as a commercial edition at a later date and have not yet made any agreements with a publisher regarding publication on UvA-DARE.

In addition, there may be copyright restrictions that make an embargo necessary.

2.3 Copyright

You automatically have copyright over all ‘works of literature, science or art’ that you produce. Copyright holders may decide regarding the publication and reproduction of such a work.

However, your thesis may contain material that you are not free to use. This could include:

- Images (including a cover illustration) or text (other than brief quotations) produced by others of which hence the copyright does not belong to you.
- Material that you have written in cooperation with others, who are thereby joint copyright holders with you.
- Material that you have written yourself and for which you have made an agreement with a publisher to waive your rights partially or in whole. When publishing in scientific journals, for instance, sometimes the copyright is transferred to the publisher.

In such cases, there is sometimes a need for an embargo, for example in the following situations:

- If a section is accepted as a journal article and the publisher allows its publication on UvA-DARE only after the article has been published.
- If your doctoral thesis contains a journal article and the original publisher of the article does not permit its publication on UvA-DARE either immediately or at any time thereafter.
- If the thesis is published as a commercial edition and the publisher does not permit its publication on UvA-DARE either immediately or at any time thereafter.
- If you have included images in your thesis of which you do not own the copyright and you are still waiting for permission from the copyright holders to publish the images on UvA-DARE.
- If you have included reproductions of works of art in your thesis and the parties holding the rights to such content do not permit publication on UvA-DARE or only permit this upon payment of a substantial sum.

Even if you have permission to include such material in your printed doctoral thesis, it may still be necessary to apply an embargo on UvA-DARE, as online publication is very different from distribution in a small print run.

Please note that you may make publically available your own journal articles, after a ‘reasonable’ period of time, provided the research was funded (partly) out of Dutch public funds.⁹

In essence, the following general rule applies: If your doctoral thesis contains material which you are not free to use, you should make sure whether there is a requirement to place the relevant sections of your thesis under embargo.

2.4 Information sources

If you want to verify whether an embargo is necessary, there are a number of useful sources you can consult. These include the following:

⁹ For more information, see <http://ictrecht.nl/2015/07/10/open-access-nu-een-wettelijk-recht-voor-wetenschappelijke-auteurs> (in Dutch) or contact the Library (see Section 4 of this brochure for contact details).

- Agreements with third parties, for example established in email correspondence or a contract with a publisher.
- Publishers' websites, which often contain information about the rights of authors.
- Personal contact with e.g. a publisher or the party holding the rights to illustrations.
- The [SHERPA/RoMEO](#)¹⁰ site, for information about the online publication of journal articles.

2.4.1 SHERPA/RoMEO

You can consult this online database if you are not sure about the conditions that apply when you wish to make an article available online. It includes the conditions set by a very large numbers of journals.

Please note that journals often follow different policies for the following types of publication:

- Pre-print: the non-definitive text of an article in your own layout.
- Post-print: the text of an article as accepted by the publisher in your own layout.
- Publisher's version: the definitive journal article in the layout of the journal.

In addition, journals often follow different policies depending on the type of website on which an article would be made public. In RoMEO, UvA-DARE is indicated by such terms as 'institutional repository', 'open-access repository' and 'e-print server'.

Make sure that you always carefully read through all the information on the RoMEO page related to a journal, especially the 'General Conditions' section and, if included, the 'Restrictions' section.

2.5 Using the exceptions

You can place an embargo on a section of your doctoral thesis by applying one of the two exceptions in the Licence Agreement. For embargoes of at most two years, Exception A applies. For longer embargoes, a separate procedure is outlined in Exception B¹¹.

Always indicate clearly the sections of your doctoral thesis to which an embargo applies. For example, if a commercial edition of your thesis is being published and the publisher wants to place the entire main text section under embargo, do not indicate that the embargo must apply to 'the entire thesis'. After all, the preliminary and final parts of the thesis (table of contents, abstracts, etc.) can be published on UvA-DARE without restrictions.

2.5.1 Exception A

Material that must remain under embargo for a maximum of two years after the date of the doctoral defence must be included in the Licence Agreement under Exception A. If, later on, it proves necessary to extend the embargo period, you should contact the Library, or, in case of an embargo lasting until after two years after your doctoral defence date, you should follow the procedure for Exception B, below.

2.5.2 Exception B

Exception B applies to the following: material that may be made available on UvA-DARE only after more than two years have passed since the date of the doctoral defence and material that may not be made available at any time.

If Exception B applies, you are required to submit a brief request letter to explain which sections of your doctoral thesis should be embargoed, the embargo period that you want to apply and why you think this is necessary. This letter should be sent to:

¹⁰ www.sherpa.ac.uk/romeo

¹¹ A permanent embargo may be placed on the acknowledgements section and the CV included in your doctoral thesis without further formalities, i.e. outside of the Licence Agreement. It is sufficient to express this wish to the Library, e.g. in the email in which you submit the Licence Agreement (see [Section 4](#) of this brochure for contact details).

UvA Doctorate Board
Attn: Director of the Library of the UvA
c/o Department of Metadata Services/Dissertations
PO Box 19185
1000 GD Amsterdam

On behalf of the Doctorate Board, the Director of the Library shall then determine the duration of the embargo, of which you will be informed. If, later on, you wish to extend the embargo, please submit a new request to the Doctorate Board.

Please note: If Exception B applies to material in your doctoral thesis, in most cases it will still be necessary to submit the Licence Agreement to the Library. The Agreement may be omitted only if the entire thesis, i.e. from cover to cover, is placed under a permanent embargo.

3 Supplementary documents

In addition to the doctoral thesis and the Licence Agreement, the Library kindly requests that you submit the following documents:

1. A thesis abstract (250 words or fewer) in the language in which the thesis is written, saved as a Word file or as plain text, for display on your thesis page on the UvA-DARE website.
2. Any other relevant material, such as a dataset, that you would like to add to your thesis page as a download.

You can submit these documents along with the Licence Agreement, as explained in [Section 4](#).

4 Contact information

You can submit the Licence Agreement, the supplementary documents and, if your doctorate is subject to the Doctorate Regulations 2010, the digital version of your doctoral thesis, as follows:

- Email: dissertaties@uva.nl (up to 15 MB).
- Online via (e.g.) [WeTransfer](#)¹².
- Post: Library of the UvA
Department of Metadata Services/Dissertations
PO Box 19185
1000 GD Amsterdam
- Submission in person: Main information desk, University Library, Singel 425, Amsterdam.

The Library prefers to receive the signed Licence Agreement digitally, for example in the form of a scan submitted by email.

If you have any questions or comments, please send an email to dissertaties@uva.nl or call the Library staff involved with doctoral theses.

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¹² <http://wetransfer.com>

ANNEX: LICENCE AGREEMENT

In brief

- In accordance with the Doctorate Regulations, you are required to provide a digital version of your doctoral thesis to the University and grant permission, via the Licence Agreement, to publish the thesis online.
- The Library of the UvA publishes the digital version of your thesis on UvA-DARE, the website on which the University presents its academic publications.
- A properly submitted thesis is saved in PDF format (as a single file or multiple files), complete (including the cover page and any material appended separately to the printed version, such as a propositions sheet or supplementary annexes) and identical to the printed edition (including the title page, colophon, page numbers, layout and spelling).
- Signing the Licence Agreement without making any exceptions to the Standard Provisions implies that you consent to the immediate publication of the entire thesis.
- You may exclude sections of your thesis from immediate publication by applying Exceptions A and B in the Agreement, e.g. if you wish to publish your thesis (or a section thereof) elsewhere or based on specific agreements you have made with a publisher.
- By applying Exception A, you can postpone the publication of your thesis (or a section thereof) for a maximum of two years after the date of the doctoral defence.
- To postpone the publication of your thesis (or a section thereof) for more than two years, you must submit a written request in accordance with Exception B.
- If your doctorate is subject to the Doctorate Regulations 2014, you should submit the Licence Agreement to the Library, no later than six weeks prior to obtaining your doctorate. You should submit the digital thesis to the dean of the faculty at which you are pursuing a doctorate (via the faculty contact person for doctorate-related matters) and your supervisor, no later than four weeks prior to obtaining your doctorate. Along with the thesis, you should submit an outline of any differences with the manuscript that was approved by the Doctorate Committee. Barring any irregularities, the dean shall forward the thesis to the Library.
- If your doctorate is subject to the Doctorate Regulations 2010, you are personally responsible for submitting both the digital version of your thesis as well as the Licence Agreement to the Library no later than four weeks prior to obtaining your doctorate.
- You may email the signed Licence Agreement (e.g. as a scan) to dissertaties@uva.nl or send it to: Library of the UvA, Department of Metadata Services/Dissertations, PO Box 19185, 1000 GD Amsterdam.
- You may also submit the digital version of your thesis to this address, if your doctorate is subject to the Doctorate Regulations 2010. Optionally, you may use a site such as [WeTransfer.com](https://www.wetransfer.com).
- Along with the Agreement, please submit an abstract (250 words or fewer) and any other relevant material (such as a dataset) that you would like to add to your DARE thesis page.
- For more information, see the preceding brochure or contact the Library via dissertaties@uva.nl or +31 (0)20 525 2985 / 5385.



DISCLAIMER: This translation is provided for information purposes only. In the event of a difference of interpretation, the original Dutch version of this document is binding.

Licence Agreement

for the non-exclusive publication of your doctoral thesis in the academic archive of the University of Amsterdam and publication on UvA-DARE.

Taking into account the Doctorate Regulations of the University of Amsterdam.

Standard Provisions

THE DOCTORAL STUDENT:

- Agrees to his or her doctoral thesis being made available worldwide in digital form; such availability shall be non-exclusive.
- Declares that he or she owns the intellectual property rights and copyright for the entire doctoral thesis and that, insofar as the doctoral thesis contains material for which the doctoral candidate does not, or not wholly, own the intellectual property rights and/or copyright, he or she is authorised to grant this licence to the University of Amsterdam based on the full permission of the party holding the rights to this material; the text or content of these sections shall clearly indicate the material being referred to and its source.
- Declares that the digital version is identical to the printed edition and that it also includes all the components excluded from the printed edition owing to technical and/or logistic reasons (CDs, videos, etc.).
- Declares that his or her doctoral thesis does not, to the best of his or her knowledge, infringe upon the intellectual property rights of others.
- Declares that, in case of a transfer of his or her intellectual property rights to the doctoral thesis to a third party, he or she shall stipulate that this third party must uphold the licence and take over this Agreement.
- Grants the present licence for an indefinite period.
- Agrees to waive the right to terminate this licence through cancellation or annulment.
- Declares that, for all contributions based on work sponsored or subsidised by an institution or organisation other than the University of Amsterdam, he or she has complied with all the publication-related obligations imposed by this sponsor, institution or organisation.
- Declares that he or she is entitled to grant permission as specified in this licence, subject to the exceptions mentioned or added in response to the exceptions listed under point B on the next page.

THE UNIVERSITY OF AMSTERDAM:

- Declares that it shall not transfer the licence to a third party.
- Acknowledges having received the digital version of the doctoral thesis.
- Shall convert the doctoral thesis into other file formats or other media with the purpose of ensuring future digital access, without affecting the content in any way.
- Shall make one or more backup copies of this doctoral thesis and store these with a view to the security and preservation of the files.
- Shall, if the publisher objects to the expiration of the embargo referred to on the following page, indemnify the doctoral candidate against claims from the publisher in this regard.

Exceptions

You are personally responsible for the correct application of the exceptions; it is not standard procedure for the Library of the University of Amsterdam to verify this. You should sign the Licence Agreement without making exceptions to the Standard Provisions only if the entire doctoral thesis is suitable for immediate publication on UvA-DARE. An incorrect interpretation may lead to a breach of third-party copyright or may complicate the subsequent publication of the material contained in the thesis in, for example, a journal or a commercial edition. For more information, see [Section 2](#) of the brochure.

Questions? Please contact the Library via dissertaties@uva.nl or +31 (0)20 525 2985 / 5385.

Exception A: Embargo of up to two years

The doctoral thesis contains material which must be placed under embargo by the Library of the University of Amsterdam for a maximum period of two years after the date of the doctoral defence. Unless the doctoral candidate makes further agreements with the Library hereto, the Library shall make the material available after the agreed embargo period.

Please indicate below which sections of the doctoral thesis contain material that falls under Exception A and the period during which these sections must be placed under embargo (calculated from the date of the doctoral defence).

Section(s)	Embargo period (up to two years)

Exception B: Embargo of more than two years

If the doctoral thesis contains material that the doctoral candidate wishes to place under embargo for a period of more than two years (calculated from the date of the doctoral defence), the doctoral candidate must explain, via a brief request letter, which sections of the thesis should be embargoed, the desired embargo period and why this would be necessary. On behalf of the Doctorate Board of the University of Amsterdam, the Director of the Library of the University of Amsterdam shall then specify, in all reasonableness, the duration of the embargo. The letter must be sent to: UvA Doctorate Board, Attn: Director of the Library of the UvA, c/o Department of Metadata Services/Dissertations, PO Box 19185, 1000 GD Amsterdam.

Doctorate details

Date of the doctoral defence:

Faculty at which you are pursuing a doctorate:

Thesis title:

.....

.....

Contact details

Personal email address (where you may be contacted, if necessary, after having obtained the doctorate):

Signature

DOCTORAL STUDENT

Name:

Place:

Date:

Signature:

CO-SIGNED ON BEHALF OF THE EXECUTIVE BOARD OF THE UNIVERSITY OF AMSTERDAM UPON RECEIPT OF THE DOCTORAL THESIS AND LICENCE AGREEMENT

Name: M.A.M. Heijne MA, Director of the Library of the University of Amsterdam

Place: Amsterdam

Date:

Signature: