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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) require that you provide a digital version of your doctoral thesis to the University[1]. 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-DARE[2], the website on which the UvA presents its academic publications. Information about this service, including this brochure, can be found on the Library website[3].

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 should receive an abstract of your thesis and any possible supplementary documents (see Section 3).

If you do not submit your digital thesis and Licence Agreement on time, your doctorate may be postponed.

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 permanently, in exceptional cases). In case of an embargo, the Library makes a separate PDF file for each 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 (see Section 2).

The digital version of your doctoral thesis should meet the following conditions:

- It is absolutely identical to the printed thesis, including the title page, colophon, page numbers, layout, spelling and the (optional) ISBN[4].
- It is complete, i.e. it includes:
    - The cover page and acknowledgements section;
    - 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 separate files, without file protection. Optionally, an additional EPUB may be submitted. Alternatively, the cover page may be saved in BMP, GIF, JPEG, PNG or TIFF format.

If you wish to secure your digital thesis on UvA-DARE (e.g., to prevent the content from being copied), please inform the Library when you submit the Licence Agreement.

No later than four weeks prior to obtaining your doctorate, you should submit the digital version of your thesis to the dean of the faculty at which you are pursuing a doctorate (via the contact person for doctorate-related matters of your faculty, institute or department[5]) and your supervisor(s), or, at the Faculty of Medicine, via dissertaties@uva.nl, cc'ing promotiezaken@amc.uva.nl. You should send along

[1] The Doctorate Regulations can be found at uva.nl/en/research/phd/doctoral-programme.
[2] dare.uva.nl
[3] uba.uva.nl/en/support/research/publishing-your-doctoral-thesis
[4] You are not required to have an ISBN assigned to your doctoral thesis. The easiest way to have one assigned anyway, is to work with a printer's that offers this as a paid service. The University itself does not assign ISBNs.
[5] For a list of contact persons, see uva.nl/en/research/phd/contact-information/faculty-contacts.

an outline of any differences with the manuscript that was approved by the Doctorate Committee[6]. The dean and your supervisor(s) will check if the differences are permissible[7]. When the digital thesis has been submitted correctly, it will be forwarded on behalf of the dean of your faculty to the Library, so it can be archived and added to UvA-DARE.

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 at least six weeks before your doctoral defence date.

The Licence Agreement must be filled out and 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 your 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:

- If you plan to publish a section in a journal and do not want to publish the results online prior to this, for instance because some journals do not accept any material that is already available online.
- If you plan to publish your thesis as a commercial edition 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.

[6] The requirements this outline should meet are available from your contact person for doctorate-related matters.
[7] For an outline of permissible changes, see the procedure *From manuscript to doctoral thesis* on uva.nl/en/research/phd/documents-and-forms.
[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).

2.3 Copyright

Publication and reproduction of a work requires the consent of its copyright holders. You automatically have copyright over all 'works of literature, science or art' that you produce.

However, your thesis may include material of which you are not the (only) copyright holder, for instance:

- Images (including a cover illustration) or text produced by others of which hence the copyright does not belong to you.
- Material that you have produced in cooperation with others, who are thereby joint copyright holders with you.
- Material that you have produced 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, sometimes an embargo is required, for example in the following situations:

- If a section of your thesis has been 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 includes 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 text or images in your thesis produced by others, and the reuse falls outside the scope of the 'right to quote'[9], and you do not have permission (yet) from the copyright holders to publish this material on UvA-DARE.

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. After all, online publication and distribution in a small print run are two very different publication methods.

Please note that you may make your own journal articles publicly available, after a 'reasonable' period, provided the research was funded (partly) out of Dutch public funds[10].

In essence, the following general rule applies: If your doctoral thesis includes material of which you are not the (only) copyright holder, 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 several sources you can consult. These include the following:

- Agreements with third parties, established in email correspondence or a contract with a publisher.
- Publishers' websites, which often contain information about the rights of authors.
- Personal contact with a publisher or the party holding the rights to illustrations.
- The Sherpa Romeo[11] site, for information about the online publication of journal articles.

[9] For more information, see the Dutch Wikipedia entry (nl.wikipedia.org/wiki/Citaatrecht) or contact the Library.
[10] For more information, see https://www.ictrecht.nl/blog/open-access-nu-een-wettelijk-recht-voor-wetenschappelijke-auteurs (in Dutch) or contact the Library.
[11] sherpa.ac.uk/romeo

2.4.1 Sherpa Romeo

For a very large numbers of journals, the online database Sherpa Romeo lists the default policies governing online dissemination of articles by their authors.

Please note that journals often use different policies for different versions of an article. Sherpa Romeo uses the following terminology:

- Published version: The definitive journal article in the layout of the journal. Also known as: Version of record.
- Accepted version: The text of an article as accepted by the publisher in your own layout. Also known as: Author's accepted manuscript (AAM), final author version, post-print.
- Submitted version: The non-definitive text of an article in your own layout. Also known as: Pre-print.

In addition, journals often use different policies depending on the type of website on which an article would be made public. UvA-DARE is indicated by the term 'institutional repository' on Sherpa Romeo. Elsewhere, terms such as 'open-access repository' and 'e-print server' may be used to cover UvA-DARE.

Sherpa Romeo may note additional conditions for publishing material on UvA-DARE, such as adding a particular reference to the original journal article (e.g., using a DOI link or a set statement), or using a Creative Commons licence for the relevant section of your thesis. Please inform the Library of such conditions when you submit the Licence Agreement.

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 embargos of at most two years, Exception A applies. For longer embargos, a separate procedure is outlined in Exception B[12].

Always indicate clearly the sections of your doctoral thesis to which an embargo applies. For example, if a commercial edition of your thesis is published and the publisher wants to place the entire main text under embargo, please list which sections should be embargoed, instead of indicating that the embargo should apply to the 'entire thesis'. This will ensure that no embargo is placed unnecessarily on sections that may be of interest (table of contents, abstracts, etc.).

2.5.1 Exception A

Material that must remain under embargo for a maximum of two years after the doctoral defence date 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 the embargo should be extended beyond 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 material that may be made available on UvA-DARE only after more than two years have passed since the doctoral defence date, 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 as a Word or PDF file to dissertaties@uva.nl.

[12] A permanent embargo may be placed on an acknowledgements or CV section included in your doctoral thesis without further formalities, i.e. outside of the Licence Agreement. It is sufficient to inform the Library when you submit the Licence Agreement.

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, 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 Abstract and supplementary documents

In addition to the doctoral thesis and the Licence Agreement, the Library should receive the following documents:

1. A thesis abstract in the language in which the thesis is written. The text of the abstract will be displayed on the page for your thesis on UvA-DARE. For readability, it is advisable to use no more than 250 words. Technically, it is easier to add the text to UvA-DARE if you do NOT submit it as a PDF.
2. Optionally: Any supplementary documents that you would like to add to your thesis page as a download, such as a dataset.

You can submit these documents along with the Licence Agreement, as explained in Section 4.

4 Contact information

You can submit the Licence Agreement and the supplementary documents to the Library as follows:

- Email: dissertaties@uva.nl (up to 35 MB).
- Online via (e.g.) WeTransfer[13].

If you have any questions or comments, please send an email to dissertaties@uva.nl or call +31 (0)20 525 2368 (Mon-Thu)

[13] wetransfer.com

ANNEX: LICENCE AGREEMENT

In brief

- The Doctorate Regulations require that you 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 archives the digital version of your thesis and publishes it on UvA-DARE, the website on which the University presents its academic publications.
- Signing the Licence Agreement without making any exceptions to the Standard Provisions implies that you consent to the immediate online publication of your entire thesis.
- You may exclude sections of your thesis from immediate online 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 agreements you have made with a publisher.
- By applying Exception A, you can postpone the online publication of your thesis (or a section thereof) for a maximum of two years after the doctoral defence date.
- To postpone the online publication of your thesis (or a section thereof) for more than two years, you must submit a request in accordance with Exception B.
- You should submit the completed and signed Licence Agreement to the Library via dissertaties@uva.nl at least six weeks before your doctoral defence date.
- Along with the Agreement, you should submit an abstract (preferably 250 words or less and NOT as a PDF) and, optionally, any supplementary documents (such as a dataset).
- No later than four weeks prior to obtaining your doctorate, you should submit the digital version of your thesis to the dean of the faculty at which you are pursuing a doctorate (via your contact person for doctorate-related matters) and your supervisor(s), or, at the Faculty of Medicine, via dissertaties@uva.nl, cc'ing promotiezaken@amc.uva.nl. You should send along an outline of any differences with the manuscript that was approved by the Doctorate Committee. The dean and your supervisor(s) will check if the differences are permissible.
- A properly submitted digital thesis is saved in PDF format (as a single file or multiple separate files, without file protection), complete (including the cover page, the acknowledgements, any sections covered by an embargo, and any material appended separately to the printed version, such as a propositions sheet or annexes) and absolutely identical to the printed edition (including the title page, colophon, page numbers, layout, spelling and ISBN).
- When the digital thesis has been submitted correctly, it will be forwarded on behalf of the dean of your faculty to the Library, so it can be archived and added to UvA-DARE.
- For more information, see the preceding brochure or contact the Library via dissertaties@uva.nl or +31 (0)20 525 2368 (Mon-Thu).

UNIVERSITY OF AMSTERDAM

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 inclusion of your doctoral thesis in the academic archive of the University of Amsterdam and non-exclusive 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 includes 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, applicable (copyright) law, or otherwise; 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. Only if the entire doctoral thesis can be made available on UvA-DARE immediately, should you sign the Licence Agreement without making exceptions to the Standard Provisions. Not making sufficient exceptions may lead to a breach of third-party copyright or may complicate the subsequent publication of material included 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 2368 (Mon-Thu).

Exception A: Embargo of up to two years

The doctoral thesis includes material which must be placed under embargo by the Library of the University of Amsterdam for a maximum period of two years after the doctoral defence date. 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 include material that falls under Exception A and how long (calculated from the doctoral defence date) these sections must be placed under embargo.

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

Exception B: Embargo of more than two years

If the doctoral thesis includes material that the doctoral candidate wishes to place under embargo for a period of more than two years (calculated from the doctoral defence date), 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 determine, in all reasonableness, the duration of the embargo. The letter must be sent as a Word or PDF file to dissertaties@uva.nl.

Doctorate details

Doctoral defence date:

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: Dr. C.W.C. Reijnen, director of the Library of the University of Amsterdam

Place: Amsterdam

Date:

Signature: