

[REDACTED]
[REDACTED]

14 January 2020

Dear [REDACTED]

FREEDOM OF INFORMATION ACT 2000 – REQUEST 1984

Thank you for your request for information, which we received on 13 December 2019. The questions you asked us related to the Ph.D. thesis entitled “*Unfair trade practices and safeguard actions*” by Ing-Wen Tsai and our response is below:

- Please send me copies of all internal and external communications, correspondences, meeting minutes, emails, notes, recordings of telephone conversations and CCTV recordings, and all other records within the British Library and between the British Library and the London School of Economics and Political Science (LSE) and/or University of London.***

The following documents are being provided as the only records held regarding this thesis:

- Extracted Email Enquiry RE Change of Date.pdf
- Metadata Creation.pdf
- Email Extract RE US DOC Commerce Research Library.pdf
- Emails between LSE and BL.pdf
- Emails between LSE and BL(1).pdf
- Thesis Enquiry.pdf
- Thesis Enquiry(1).pdf
- FOI 1936 Request.pdf
- 190718 Response 1936.pdf
- 190814 Response.pdf

For all of these items, either as redactions or direct removal from extractions, personal data belonging to requestors has been removed (names and email addresses). Sections 40(2) and 40(3)(a) of the Freedom of Information Act 2000 provide that information is exempt from disclosure if it is personal data and its disclosure would contravene any of the data protection principles. The Library believes that disclosure of the names and contact details of members of the public contacting the Library with queries would breach their normal expectations of privacy, and by extension be in breach of the ‘fairness’ principle set out in Article 5(1)(a) of the General Data Protection Regulation 2016.

As Section 40 is an absolute exemption we are not required to consider any further public interest in disclosure, and this letter acts as a refusal under section 17(1) in relation to this part of your request.

James Courthold

Information Compliance Manager

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2. Please send me copies of all records showing how all information related to this thesis, provided by LSE and/or University of London, and shown on EThOS was verified by the EThOS Admin Team to ensure “accuracy” before the information was made available at EThOS, including but not limited to the authenticity of the thesis.

The relationship between EThOS and each institution, in this case LSE, is governed by a Memorandum of Understanding (MOU) ([attached as Q2. Ethos MOU LSE.pdf](#)). This document sets out the requirements of institutions submitting to the platform. There are no other records held by the Library regarding the ‘verification’ of the thesis as this is not done by the EThOS Team.

The EThOS Team have also provided the following information regarding this particular thesis:

- The full thesis is now available for download from LSE repository at <http://etheses.lse.ac.uk/3976/>. This was added in late 2019 after the author provided a copy to LSE with permission to make it public. LSE metadata states “A digital copy of Ing-wen Tsai’s personal copy of the original thesis presented to the Library in 2019”. There is a note added by the author to the front matter of the thesis itself “I have recently authorized Taiwan’s National Central Library to make my thesis available to the public to read and download. As the thesis I submitted upon graduation from the LSE is missing from the Library, I am also providing the LSE with a copy, and likewise authorize LSE to make it available to the public to read and download.”
- Regarding Date of Award. The thesis was completed in 1983 while the formal award of degree took place in 1984; it is a common occurrence to have the thesis completed (and dated) in one year but the formal award the following year. The original EThOS record had a date of award of 1984; following a harvest of the metadata from LSE repository in November 2019, the EThOS date was updated to match the LSE repository date which says 1983. This is normal EThOS practice as we take the HEI data as version of record, considering EThOS is simply an aggregation of HEI data.

3. Is it EThOS’s responsibility to ensure all doctoral theses available at EThOS are doctoral theses examined and awarded by UK Higher Education institutions?

It is the responsibility of individual HEIs (and not EThOS) to ensure that all theses and thesis data they make available for listing in EThOS have been awarded and are valid theses. EThOS does not check the validity, awarded status or copyright status of any theses added to EThOS. The responsibilities of each HEI and the British Library are set out in the MOU.

4. What will the British Library do if a Ph.D. thesis is provided by a UK higher education institution but the institution is unable to prove the thesis is the thesis examined and awarded?

If we receive an enquiry from an external user of EThOS that we cannot answer because it relates to the status of the thesis or other arrangements relating to the thesis or award process, we would refer the enquiry to our contact at the relevant university. We have a named contact for EThOS enquiries at each participating university. We would normally temporarily remove a full thesis if we hold it (a "takedown request"), but leave the metadata in place, while we wait for further instruction from the university. We always defer decisions on removing the full metadata of a thesis from EThOS, to the relevant university.

If you are unhappy with our response to your request and wish to make a complaint or request a review of our decision, you should write to:

The Chief Executive
The British Library
96 Euston Road
London
NW1 2DB

Please note, complaints and requests for internal review received more than two months after the initial decision will not be handled.

If you are not content with the outcome of the internal review, you may appeal directly to the Information Commissioner at the address given below. You should do this within two months of our final decision. There is no charge for making an appeal.

Further information on the Freedom of Information Act 2000 is available from the Information Commissioner's Office:

Wycliffe House
Water Lane
Wilmslow
SK9 5AF

Telephone 0303 123 1113 or 01625 54 57 45

Website <https://ico.org.uk/>

Yours sincerely

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