

Information and Sample Pages for Submitting and Publishing Theses Completed at the Faculty of Humanities and Social Sciences (KSF) at the University of Lucerne

Preliminary Remark: Please take notice that with regards to formal aspects there exist considerable differences between the “review copies” handed in for the supervisors, described in section 1 (highlighted in **yellow**), and the deposit copies described in section 2 (highlighted in **green**). When submitting the depository copies, it is therefore imperative that you do not simply resubmit the copies as handed in for the reviewers, but that you remodel the depository copies in accordance with the information described in point 2).

(1) “Review Copies”: Submission of thesis to the GSL Board (to the GSL office, FAO the Chairperson of the Board)

Monographs and cumulative theses

To begin the doctoral examination process in accordance with section 7 of the Doctoral Regulations, the following documents must be submitted.

1. Three copies of the dissertation (printed out and bound). These must be prefaced by a title page in accordance with **Appendix 1** (monographs) or **Appendix 2** (cumulative theses).

The following documents must not be inserted into the three copies of the dissertation, but handed in separately.

2. Summary of the dissertation, three printed out copies (aim, scope, results – 2-4 pages long)
3. A declaration by the candidate stating that the dissertation is entirely his/her own work, that only the specified resources were used in writing the dissertation and that any direct quotes or content drawn from another source is referenced accordingly.
4. A declaration as to whether the dissertation has previously been submitted to any faculty, either in its present form or another version
5. Proof of enrolment for the duration of the doctoral study programme (available from the Student Administration Office)
6. Request letter for initiation of the graduation process directed at the head of the GSL board.

7. Cumulative theses must be submitted with a form in which the first supervisor confirms that the subject-specific regulations in accordance with section 6 or 8, respectively, of the Doctoral Regulations guidelines¹ have been adhered to (**Appendix 3**).

With cumulative theses we strongly advise against including so-called “pre-print” versions (i.e. manuscripts as they were originally submitted to journals) of already published articles in the review copies. Instead, published versions should be included wherever possible. In view of the later publication – also see section 2 – matters regarding copyrights should best be clarified before the inclusion in the review copies.

In addition, cumulative theses have to feature a so-called “double pagination,” i.e. the original pagination of the included original articles needs to be featured alongside a continuous pagination of the handed in manuscript.²

(2) Publication and **Deposit Copies**

Monographs

Publication with a Publishing House (print or e-book [incl. open access publication])

If a monograph gets published by a publishing house, the following details need to be mentioned at a suitable place:

- Doctoral degree obtained in the year xy (year in which the successful defense took place, NOT the year in which the dissertation was submitted) at the Faculty of Humanities and Social Sciences of the University of Lucerne.
- Name of the first and second supervisor and their institutional affiliation

In case the publishing house objects to the inclusion of the above-mentioned details, a separate sheet stating these details needs to be glued into the deposit copies. A total of at least six deposit copies must be submitted at the dean's office.

If an e-book is published by a publisher (regardless of whether it is available for paid download or open access), a link (DOI=Digital Object Identifier or another persistent link) to the publisher's website with the official download must be communicated to the KSF Dean's Office. In the case of a publication by an e-book publisher

¹ Section 6 = Studies beginning between SS 2010 and SS 2012: Guidelines to the doctoral regulations for the Faculty II of Humanities and Social Sciences at the University of Lucerne and examination regulations of the Graduate School of Humanities and Social Sciences at the University of Lucerne, dated 9 December 2009, including an amendment dated 20 December 2010.

Section 8 = Studies beginning from FS 2012: Guidelines to the doctoral regulations for the Faculty II of Humanities and Social Sciences at the University of Lucerne and examination regulations of the Graduate School of Humanities and Social Sciences at the University of Lucerne, dated 9 December 2009, including amendments dated 20 December 2010 and 27 March 2012.

² Best suited for handling PDFs are versions of the Adobe PDF Writer. Alternatives to Adobe that are free of charge can be accessed on the following websites:

http://www.ilovepdf.com/add_pdf_page_number

<http://pdfjoiner.com>

who does not provide an open access version, 6 deposit copies (printed, bound paper versions) must likewise be submitted to the dean's office.

Dissertation Directly³ Published Digitally (open access; mandatorily via the institutional repository of the University of Lucerne LORY [Lucerne Open Repository])

In the case of a dissertation published online via LORY serving as a deposit copy, the dissertation must be preceded by a title page containing all the information listed in the template in **Appendix 4**. In addition, a declaration concerning copyright clarification (**Appendix 6**) must be submitted. Information about a publication on LORY can be found on the ZHB website.⁴

Digitally Published Dissertations (mandatorily via LORY [Zentral- und Hochschulbibliothek])

In the case of a dissertation published online that will serve as a deposit copy, the dissertation must be preceded by a title page containing all the information listed in the template of **Appendix 4**.

In addition, **Appendix 6** must be used as a template to confirm that copyright situation of all included articles has been sorted in order that nothing stands in the way of the ZHB making the deposit copies publicly available.

Two deposit copies – in form of two printed out (and not bound) copies of the publication manuscript – need to be handed in to the ZHB (contact: lor@zhbluzern.ch) and once the publication via Lory has taken place, the DOI needs to be communicated to the KSF dean's office.

Cumulative theses (paper version and direct open access publication via LORY)

The publication in a journal of all articles included in a cumulative thesis must be completed at the time of submitting the deposit copies (see doctoral regulation guidelines).

Irrespective of the form of publication, all three additional documents listed below must be submitted in the case of a cumulative dissertation.

- 1) The deposit copies must be prefaced by a title page according to **Appendix 5**.
- 2) A declaration by you must be enclosed (not glued / bound into the deposit copy!) in which you confirm that the copyright situation of all included articles has been sorted in order that nothing stands in the way of the ZHB making the deposit copies publicly available. Note: also the act of archiving the deposit

³ "Directly" refers to the fact that the dissertation manuscript hasn't been published elsewhere before submitting the deposit copies.

⁴ For further information: <https://www.zhbluzern.ch/index.php?id=7371> (then click on "E-Dissertation and Mater Thesis")

copy as done by the ZHB equals a publication, i.e. copyright matters need to be clarified. For this declaration, use **Appendix 6** as a template.⁵

- 3) A declaration by the first supervisor must be enclosed (not glued / bound into the deposit copy!) in which he or she confirms that all included articles have been published (if necessary in the form of quotable pre-prints). You find a template for this declaration in **appendix 7**.

If no direct publication via LORY takes place (see below), a total of six deposit copies in paper form (bound) must be submitted to the dean's office, containing all articles and the framework paper. The handed in deposit copies must feature a so-called "double pagination", i.e. the original pagination of the included original articles needs to be featured alongside a continuous pagination of the handed in manuscript.⁶

If the cumulative dissertation is published directly via LORY as an open access file, the same procedure applies as for the publication of a "monograph dissertation" via LORY as described above.

Since the rights of articles already published must be clarified, it is recommended that you contact the Open Access Team at the ZHB in advance (lory@zhbluzern.ch)

⁵ If, in addition, a – voluntary – online placement on LORY is envisaged, the copyrights should also be clarified with regard to this. For the different types of copyrights, see: <https://creativecommons.org/share-your-work/licensing-types-examples/>

⁶ Best suited for handling PDFs are versions of the Adobe PDF Writer. Alternatives to Adobe that are free of charge can be accessed on the following websites:
http://www.ilovepdf.com/add_pdf_page_number
<http://pdfjoiner.com>

APPENDIX 1

MONOGRAPH THESES, "Review Copy"

SAMPLE THESIS TITLE PAGE

FOR THE VERSION SUBMITTED TO THE GSL BOARD ("Review Copy")

(TITLE)

Thesis
submitted for the degree of Doctor of Philosophy at the
Faculty of Humanities and Social Sciences of the
University of Lucerne

presented by
(first and last name)
(matriculation number)

Submitted on:

First reviewer:

Second reviewer:

Co-Promoter (if relevant):

APPENDIX 2

CUMULATIVE THESES, "Review Copy"

SAMPLE THESIS TITLE PAGE

FOR THE VERSION SUBMITTED TO THE GSL BOARD ("Review Copy")

(TITLE)

Cumulative thesis
submitted for the degree of Doctor of Philosophy at the
Faculty of Humanities and Social Sciences of the
University of Lucerne

(List of all articles used with precise bibliographic information)

presented by
(first and last name)
(matriculation number)

Submitted on:

First reviewer:

Second reviewer:

Co-Promoter (if relevant):

APPENDIX 3

CUMULATIVE THESES ("Review Copy")

FORM CONFIRMING ADHERENCE TO SUBJECT-SPECIFIC REGULATIONS FOR CUMULATIVE THESES IN ACCORDANCE WITH SECTION 6 OR 8 OF THE DOCTORAL REGULATION GUIDELINES

 **Note: Do not include this sheet into the copy of the dissertation, but submit separately as an enclosed document**

Confirmation

As the first supervisor of the cumulative thesis submitted by (*name*), I hereby confirm that the subject-specific regulations for cumulative theses in accordance with section 6 or 8 of the doctoral regulation guidelines have been adhered to⁷.

(Place)

(Date)

(Name)

(Signature)

⁷ Section 6 = Studies beginning between SS 2010 and SS 2012: Guidelines to the doctoral regulations for the Faculty II of Humanities and Social Sciences at the University of Lucerne and examination regulations of the Graduate School of Humanities and Social Sciences at the University of Lucerne, dated 9 December 2009, including an amendment dated 20 December 2010.

Section 8 = Studies beginning from FS 2012: Guidelines to the doctoral regulations for the Faculty II of Humanities and Social Sciences at the University of Lucerne and examination regulations of the Graduate School of Humanities and Social Sciences at the University of Lucerne, dated 9 December 2009, including amendments dated 20 December 2010 and 27 March 2012.

APPENDIX 4

"Deposit Copy" – e-dissertation / dissertations directly published via Lory

SAMPLE THESIS TITLE PAGE

[TITLE]
Dissertation
of the Faculty of Humanities and Social Sciences of the University of Lucerne

handed in by
[First and Last Name]

Accepted on dd.mm.yyyy⁸ on request by
Prof. Dr. [first and last name], First Supervisor
Prof. Dr. [first and last name], Second Supervisor
{If relevant: co-promoter [title first and last name]}

[Lucerne, Year of Publication⁹]

DOI: Lucerne Open Repository [LORY] or other repository):
[Specifications regarding copyright matters regarding this document]¹⁰

⁸ Date / year in which the defense successfully took place.

⁹ Year of publication = year in which the dissertation has been published.

¹⁰ Regarding different kinds of copy rights: <https://creativecommons.org/share-your-work/licensing-types-examples/>

APPENDIX 5

"Deposit Copy" – cumulative dissertations

SAMPLE THESIS TITLE PAGE

[TITLE]
Cumulative Dissertation
of the Faculty of Humanities and Social Sciences of the University of Lucerne

presented by
(*first and last name*)

Accepted on dd.mm.yyyy¹¹ on request by
Prof. Dr. [first and last name], First Supervisor
Prof. Dr. [first and last name], Second Supervisor
{If relevant: co-promoter [title first and last name]}

[Lucerne, Year of Publication¹²]

[Should an online posting be envisioned:]

DOI: Lucerne Open Repository [LORY] or other repository):

[Specifications regarding copyright matters regarding this document]¹³

¹¹ Date / year in which the defense successfully took place.

¹² Year of publication = year in which the dissertation has been published.

¹³ Regarding different kinds of copy rights: <https://creativecommons.org/share-your-work/licensing-types-examples/>

APPENDIX 6

Cumulative Theses/ E-Dissertation via LORY

SUPPLEMENT SHEET CONFIRMING THAT COPYRIGHTS HAVE BEEN CLARIFIED

 **Note:** Do not include this sheet in the deposit copy, but submit it as a supplement to the dean's office when submitting the deposit copies.

Declaration on copyrights

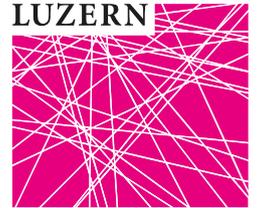
I declare and affirm that the doctoral thesis I have written with the title ... does not infringe the rights of third parties and that I am entitled to the rights necessary for publication via the University Library. I grant the ZHB Luzern the right to place the dissertation in the university library and to include it with all bibliographic data in the catalogue.

(Place)

(Date)

(Name)

(Signature)



APPENDIX 7

Deposit copy (cumulative dissertation)

Form to confirm the fulfilment of the publication obligation by the first supervisor.

☞ **Note:** Do not include this sheet in the deposit copy, but submit it as a supplement to the dean's office when submitting the deposit copies.

Confirmation

As first supervisor of the dissertation of (Name), I hereby confirm that the publication obligation of all parts of the dissertation has been fulfilled in accordance with § 10 of the Guide to the Regulations for Doctoral Studies.¹⁴

(Place)

(Date)

(Name)

(Signature)

¹⁴ The publication regulations were first regulated in detail in the Guidelines for the PhD Regulations of the Faculty II of Humanities and Social Sciences at the University of Lucerne and the Examination Regulations for the Graduate School of Humanities and Social Sciences at the University of Lucerne, dated 9 December 2009 including amendments dated 20 December 2010 and 27 March 2012. In earlier versions of the Guide there is no corresponding provision. Therefore, these provisions apply analogously to doctoral students under earlier versions of the Guidelines.