

UNIVERSITÄT LUZERN

Publishing dissertations electronically on LORY: Cumulative dissertations

Guidelines for doctoral students at the University of Lucerne

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1. CHECKLIST (SUMMARY)

A cumulative dissertation consists of an as yet unpublished introduction ("framework publication") and already published articles (depending on the regulations of the Faculty, these articles may still be in the review process or considered suitable for publication by the reviewers of the dissertation). The publication obligation is fulfilled when the entire cumulative dissertation has been received by the ZHB in digital form and the introduction/framework publication at least has been published on LORY.

Procedure:

- Submit your dissertation to the responsible Dean's Office of your Faculty in two digital versions:
 - (1) Introduction ("framework publication") and articles as **one** PDF document
 - (2) Introduction ("framework publication") and articles as **separate** PDF documents
- After passing the examination procedure, order a DOI from the relevant Dean's Office. Complete the DOI and the year of publication on the frontpage of your dissertation.
- Check the legal situation for articles that have already been published: Are they Open Access and under a [Creative Commons license](#)? Or do you have a permission from the publisher for secondary publication on LORY?
- For articles that are not under a Creative Commons license or for which the publisher has not given permission, ask the publisher directly for permission ([Template in German and English](#)).
- Complete the [consent form](#) for publication of your dissertation on LORY.
- Please send the completed declaration of consent, permissions from the publishers for a secondary publication on LORY and the framework publication with DOI and year of publication added to the title page to the relevant Dean's Office.
- The Dean's Office sends the documents electronically to the ZHB (a copy is sent to you).
- You will be notified by the ZHB as soon as the publication (i.e. at least the framework publication/introduction) is online (duration: approx. 2 weeks).
- Articles that are still "under review" at this time or have yet to be submitted to the publisher will be documented / stored in a suitable form at the ZHB.
- It is the responsibility of the doctoral student to inform the ZHB about the later publication of the articles "under review" so that they can be linked to the framework publication.

2. INTRODUCTION

There are different ways to fulfill the publication obligation of the dissertation:

- (1) Monographic dissertation: First publication via LORY, Open Access
- (2) Monographic dissertation: First publication via publishing house (printed and/or electronic), Closed or Open Access
- (3) Cumulative dissertation: First publication of the framework publication (introduction) via LORY, Open Access
- (4) Cumulative dissertation: Fulfillment of publication obligation by submitting 4 physical copies to the Dean's Office (Faculty of Economics and Management only)

These guidelines regulate point 3, Cumulative dissertation: First publication of the framework publication (introduction) via LORY, Open Access

The University of Lucerne promotes Open Access and encourages doctoral students from all Faculties to make their dissertations freely accessible via the University of Lucerne's Open Repository LORY¹. Open Access-published dissertations on LORY are not only visible worldwide, but also meet the requirements of research funding bodies such as the Swiss National Science Foundation SNSF.

3. LEGAL MATTERS

A cumulative dissertation consists of a framework publication/introduction and published articles. While the framework publication has not yet been published and therefore the rights are held by the authors, the rights to the already published articles may have been assigned to publishers and must be clarified for a (second) publication on LORY:

- Doctoral students are responsible for obtaining the necessary rights from the publisher. Rights clearance is usually necessary if the already published articles are not Open Access under a Creative Commons license.
- Templates for letters to publishers can be found on the [ZHB Website](#) (in German and English).
- By publishing on LORY, the authors retain the rights: They merely grant the ZHB the non-exclusive right to publish on LORY.

¹ See Open Science Policy of the University of Lucerne:
<https://www.unilu.ch/en/research/open-science/introduction/>

4. PUBLISHING PROCESS

After passing the examination procedure, you order a DOI from the relevant Dean's Office, which you insert - together with the year of publication - on the frontpage of your dissertation.

5. CONSENT FORM

Complete the consent form for the publication of a dissertation on the LORY repository in full and sign the document:

[Consent form](#)

With the declaration of consent, you also confirm the general conditions of use and cooperation with LORY.

[General conditions of use and cooperation with LORY](#)

6. TRANSMISSION AND PUBLICATION

Send the publishers' permissions (if necessary), your signed consent form (digital) and the "framework publication" (introduction) with DOI and year of publication added to the frontpage to the relevant Dean's Office. The Dean's Office forwards all documents to the ZHB.

As soon as all documents have been received by the ZHB, the dissertation will be published on LORY by the ZHB:

- The framework publication/introduction is always published in full text via LORY
- Articles whose publication is legally permissible are also published in full text
- Articles whose publication is not legally possible are linked to the text on the publisher's website via the DOI.
- Articles that are still "under review" at this time or have yet to be submitted to the publisher are documented / stored in a suitable form at the ZHB. Die ZHB benachrichtigt nach der Publikation das Dekanat sowie die Promovierenden.

It is the responsibility of the doctoral candidates to inform the ZHB about the subsequent publication of the articles "under review" so that they can be linked to the framework publication.

7. APPENDIX 1: LICENCES

For electronic publication on LORY, it is necessary to regulate the terms of use in accordance usually with a Creative Commons license. While a publisher's publication usually provides for the complete transfer of the explicit rights of use and distribution to a publisher, in the case of an Open Access publication you can assign these rights yourself in a differentiated manner. The ZHB Lucerne recommends the Creative Commons License CC-BY for dissertations that are first published via LORY: You retain all rights to your work, but allow users to use, copy, print, modify (e.g. translate) and distribute your work free of charge if you are explicitly named as the author and rights holder.

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8. APPENDIX 2: PROCESS AT THE FACULTY OF HEALTH SCIENCES AND MEDICINE



