

March 23<sup>rd</sup>, 2021

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## 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 note that with regards to formalities there exist considerable differences between “review copies” handed in for supervisors, described in section 1 (highlighted in yellow), and the deposit copies described in section 2 (highlighted in green). When submitting depository copies, it is therefore imperative that you do not simply resubmit the copies as handed in for reviewers, but that you reformat 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. A declaration of the AI-supported tools used (see template for the declaration of AI-supported tools, see **appendix 3**; see below for recommendations on the handling of tools)
6. Proof of enrolment for the duration of the doctoral study program (available from the Student Administration Office)
7. Request letter for initiation of the graduation process directed at the head of the GSL board.
8. 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 guidelines<sup>1</sup> have been adhered to (**appendix 4**).

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<sup>1</sup> 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

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 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.<sup>2</sup>

### **General Remarks:**

#### Handling AI-supported tools

For doctoral students enrolled from HS 2024 onwards, the declaration of AI-supported tools used is mandatory (see **appendix 3** for a template). For doctoral students enrolled before HS 2024, declaration is emphatically recommended. In addition to a declaration of the tools used, the GSL recommends following the “Empfehlungen der Kultur- und Sozialwissenschaftlichen Fakultät zum Umgang mit künstlicher Intelligenz (in German only, translates to Recommendations on the use of artificial intelligence by the Faculty of Humanities and Social Sciences)” when using such tools. In addition of these recommendations, the GSL encourages the responsible use of AI-supported tools regarding the high environmental impact (e.g. CO2 footprint, water for cooling data centers) and the use of low-wage labor for the development, maintenance, and monitoring of such tools.

#### Layout/ Binding:

The University of Lucerne does not have any official guidelines regarding how to layout a dissertation manuscript. The GSL recommends a font with [serifs](#) (e.g. Times New Roman), minimum size of 11 with 1.5 line spacing. Page margins on the left should be set to at least 2.5 cm (due to binding on the left).

Regarding binding, there are no guidelines ([here](#) is a website in German giving an overview on most common types of binding) – we advise you to ask your first supervisor about their preferences. In case of front and back printing we recommend that you select paper with a thickness of 100g/m<sup>2</sup>, as with regular paper (80g/m<sup>2</sup>) the printing on the back often shines through. Attention: Some types of binding cannot be used for extra thick manuscripts – so best ask your copy shop beforehand.

#### Shipment of Paper Copies of Dissertations:

The GSL Office ships the paper versions of your dissertation (i.e. review) copies to your first and second supervisors (now in their role as reviewers). The reason for this is that the shipment contains an official letter by the GSL regarding the reviews. The Dean’s Office likewise receives its paper copy through the GSL Office. Hence please contact the head of the GSL Office well in advance for organizing your submission of paper copies and accompanying documents.

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Sciences at the University of Lucerne, dated 9 December 2009, including amendments dated 20 December 2010 and 27 March 2012.

<sup>2</sup> It is best if a paid PDF writer (e.g. Adobe PDF Writer) is used. If you don’t have access to such a program/ app, you find free access to online providers (check the handling of data you upload on any websites).

**(2) Publication and Deposit Copies****Monographs**Publication with a Publishing House (print or e-book [incl. open access publication])

If a monograph is 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 to 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 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 Directly<sup>3</sup> 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 5**. In addition, a declaration concerning copyright clarification (**Appendix 7**) must be submitted. Information about a publication on LORY can be found on the ZHB website.<sup>4</sup>

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: [lory@zhbluzern.ch](mailto:lory@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). The handed in deposit copies must feature 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.<sup>5</sup>

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

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

<sup>4</sup> For further information: [Publishing a Dissertation - Publishing Open Access - Open Science - English pages - Zentral- und Hochschulbibliothek Luzern \(zhbluzern.ch\)](#)

<sup>5</sup> It is best if a paid PDF writer (e.g. Adobe PDF Writer) is used. If you don't have access to such a program/ app, you find free access to online providers (check the handling of data you upload on any websites).

1. The deposit copies must be prefaced by a title page according to **Appendix 6**.
2. A declaration by you must be enclosed (not glued / bound into the deposit copy!) in which you confirm that the copyright conditions of all included articles has been resolved so that there are no barriers to the ZHB making the deposit copies publicly available. Note: the ZHB archiving the deposit copy constitutes a publication, i.e. copyright conditions need to be agreed upon. For this declaration, use **Appendix 7** as a template.<sup>6</sup>
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 8**.

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.

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](mailto:lory@zhbluzern.ch)).

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<sup>6</sup> 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/about/clicenses/>

**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**

**All dissertation types “review copy”**

**Template for the declaration of AI-supported tools used.**

**Note: Do not include this declaration in the review copy, but submit it as an enclosure**

AI-supported tools	Area of Application	Extend	Specification

Example of a filled-in table:

AI-supported tool	Area of Application	Extend	Specification
<b>DeepL</b>	Translation of text passages	Entire Thesis	From Greek into English
<b>Microsoft Copilot</b>	Clarification of the concept and background information on watershed management	Chapter 5	
<b>DALL-E3</b>	Visualization	Fig. 5, Page 13 Fig. 7, Page 17	Prompts in Appendix 1
<b>ChatGPT-4.0</b>	Phrasing the research question Code generation for data visualization	Chapter 3, P. 8 Chapter 5	Chat history in appendix 2 Python
<b>Grammarly</b>	Correcting grammatical and stylistic errors	Entire Thesis	Premium package with Microsoft Word integration

**APPENDIX 4**

**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 to.<sup>7</sup>

(Place)

(Date)

(Name)

(Signature)

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<sup>7</sup> 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.

§ 8 = for students enrolled from HS 2012 onwards, see the guidelines to the doctoral regulations of the Faculty II of Humanities and Social Sciences of the University of Lucerne and the regulations of the Graduate School of Humanities and Social Sciences at the University of Lucerne valid at the time of enrolment on the GSL website (→ Doctoral studies → Doctoral regulations, guidelines, information sheets, forms).



**APPENDIX 5**

**“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.yyyy<sup>8</sup> 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 Publication]<sup>9</sup>

DOI: Lucerne Open Repository [LORY] or other repository:  
[Specifications regarding copyright matters regarding this document]<sup>10</sup>

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

<sup>9</sup> Year of publication = year in which the dissertation has been published.

<sup>10</sup> Regarding different kinds of copy rights: htt <https://creativecommons.org/about/cclicenses/>

**APPENDIX 6**

**“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.yyyy<sup>11</sup> 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 Publication]<sup>12</sup>

*[Should an online posting be envisioned:]*

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

[Specifications regarding copyright matters regarding this document]<sup>13</sup>

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

<sup>12</sup> Year of publication = year in which the dissertation has been published.

<sup>13</sup> Regarding different kinds of copy rights: <https://creativecommons.org/about/cclicenses/>

**APPENDIX 7**  
**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 sub-mitting 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 8**

**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 sub-mitting 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.<sup>14</sup>

(Place)

(Date)

(Name)

(Signature)

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<sup>14</sup> 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.