

Acta Universitatis  
Lappeenrantaensis



FROM MANUSCRIPT TO DISSERTATION

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Updated 1.3.2018

NOTE! Changes are possible. You can find the up-to-date instructions in the student portal Uni.

Questions regarding the

- ✓ dissertation process in general can be addressed to the LUT Doctoral School (saara.merritt@lut.fi)
- ✓ publication agreements etc. can be addressed to the Lappeenranta Academic Library (dissertations@lut.fi)
- ✓ printing and layout of the dissertation etc. can be addressed to the LUT University Press (universitypress@lut.fi)
- ✓ university facilities etc. can be addressed to the Facility Services (tilavaraukset@lut.fi)
- ✓ press information concerning dissertations can be addressed to the Media Services (paavo.ihalainen@lut.fi)

This booklet combines instructions from the LUT Doctoral School, Lappeenranta Academic Library and the LUT University Press. It is designed to support the doctoral student in the dissertation process. All instructions can be found in the student portal Uni ([uni.lut.fi](http://uni.lut.fi)) or the LUT intranet ([intranet.lut.fi](http://intranet.lut.fi)).

## GETTING READY FOR STARTING THE DISSERTATION PROCESS

The doctoral student must be enrolled as attending for the semester in which he/she starts the dissertation process, as well as for the semester in which he/she is going to graduate.

The final proposal for studies to be included in the doctoral degree should be checked by the LUT Doctoral School before the manuscript of the dissertation is submitted for the preliminary examination.

- Fill in the form *Approval of doctoral studies for graduation* ([uni.lut.fi](http://uni.lut.fi) -> Doctoral Studies -> Studies and Enrolment for the Academic Year), get your supervisor's approval for it and send it to Ms. Sari Damstén ([sari.damsten@lut.fi](mailto:sari.damsten@lut.fi)) at the LUT Doctoral School.

The content and the layout of the manuscript should be in its final form before submitting the manuscript for the preliminary examination. The manuscript is to be proofread and the initial layout must present the figures and tables in their actual places.

- *LUT dissertation regulations* ([uni.lut.fi](http://uni.lut.fi) -> Doctoral Studies -> Dissertation Committee and Preliminary Examination)

Check the important dates already when you start planning your dissertation process ([uni.lut.fi](http://uni.lut.fi) -> Doctoral Studies -> Dissertation Committee and Preliminary Examination).

Turnitin-originality check of the manuscript as well as the interpretation of the originality report by the supervisor should be done early enough before the beginning of the preliminary examination process.

- Contact the Digital Learning Team ([opetushelp@lut.fi](mailto:opetushelp@lut.fi)) at least one month before starting the dissertation process and ask for a permission to access the Moodle course *Turnitin-check for doctoral students*.

Possible supplementary studies (extra studies required) have to be completed before the start of the preliminary examination.

When starting the dissertation process the student submits to the LUT Doctoral School

- the application for starting the dissertation process (uni.lut.fi -> Doctoral Studies -> Forms, Study Tips and Instructions (Summary))-> *Application for doctoral studies at LUT* and
- one printed copy of the manuscript (A4, can be printed on both sides of the paper or one-sided and it needs to be in a folder or stapled) and the manuscript in an electronic format (single PDF-document).

The supervisor delivers a proposal for preliminary examiners to the LUT Doctoral School. LUT principles on the choice of preliminary examiners and opponents as well as other instructions for supervisors can be found on the intranet (intranet.lut.fi -> Scientific research -> Dissertation Committee and preliminary examination)

## **1. STARTING THE DISSERTATION PROCESS AND APPOINTING THE PRELIMINARY EXAMINERS**

Decision-making body: Dissertation Committee

After the Dissertation Committee meeting, the LUT Doctoral School delivers the appointed preliminary examiners, student and supervisors the announcement of the decision to start the dissertation process and the electronic manuscript of the dissertation.

The recommended duration of the preliminary examination is two months after the preliminary examiners have received the manuscript of the dissertation.

The preliminary examiner can suggest changes or revisions to the work and they will be made as agreed together with the supervisor.

Once the LUT Doctoral School gets the final preliminary examination statements (either directly from the examiners or the supervisor), the dissertation process proceeds to the Academic Council.

The supervisor submits a proposal for opponent(s) and custos to the LUT Doctoral School as well as the date of the public examination, if known.

The permission to print the dissertation can only be granted when all studies are approved and completed.

Articles at the “submitted”-phase in the manuscript should be accepted for publication at the latest before the permission to print is granted at the Academic Council.

## **2. PERMISSION TO PRINT AND APPOINTING THE CUSTOS AND THE OPPONENT(S) FOR THE PUBLIC EXAMINATION**

Decision-making body: Academic Council

After the Academic Council meeting, the LUT Doctoral School informs the student, opponent(s), supervisor(s) and preliminary examiners about the permission to print and appointing the opponent(s) and the custos.

### **LAPPEENRANTA ACADEMIC LIBRARY INSTRUCTIONS**

LUT dissertations are published in printed form in ACTA Universitatis Lappeenrantaensis series and in electronic form in LUTPub University Repository. Publishing in another series (e.g. VTT) is also possible. The dissertations in the double degree program can be published in the series of either one university. Parallel publishing in LUTPub is recommended also if the dissertation is published in a series of another university. Dissertations cannot be confidential. Dissertations are usually written in English. If the dissertation is written in Finnish, it should include an abstract in English.

In an article-based dissertation, it is the author's responsibility to ask permissions from publishers to include the previously published articles in the dissertation, both in printed and electronic form. Permissions are often found on the publishers' website in the writer's guide. The license printed from the website is sufficient. If the license cannot be found on the website, it can be requested by email. Contact information can be found on the publishers' websites.

An article-based dissertation can be entirely published in LUTPub when the author has permissions from publishers to include the articles in the electronic form dissertation. If the publisher does not allow to include the articles in the electronic form dissertation, those articles will be left out from LUTPub and only the author's own text and the permitted articles are included. LUTPub has also an automatic embargo-function, which allows the articles to be published only after the embargo period defined by the publisher has passed. It is also possible to add all or some of the articles later.

### **Copyright**

When the author offers a manuscript to the ACTA Series, he/she guarantees that the manuscript has not been published earlier. After the manuscript has been accepted for publication, the copyright of the material is transferred to Lappeenranta University of Technology. A publication agreement is made with the author.

If the dissertation contains parts that have already been published elsewhere, it is the author's responsibility to obtain the copyright of those parts from the original author, for

example in the article-based dissertation. The author is responsible for not including in the publication any material (figures, tables, maps etc.) which is copyrighted by someone else.

The author of the dissertation must request a permission from LUT if he/she wishes to publish the dissertation later by some other publisher.

## Layout

The author sends the manuscript, ready for printing, to the LUT University Press.

The cover material is coated cardboard. The LUT University Press will add the logos and university seals to the covers.

### 1) Front cover

The front cover should include the following:

- name of the series and serial number
- copy of the university seal
- name of the author
- name of the publication

### 2) Title page

The title page should include the LUT logo (top of the page), author(s) and the name of the dissertation (middle of the page) and the name of the series including the serial number aligning left (bottom of the page). Double doctoral degree and joint supervision dissertations may include the logo of the partner university as well as information about the agreement.

Information about the dissertation is in the middle of the title page

- name of the author
- name of the dissertation
- name of the degree
- place of the public examination of the doctoral dissertation
- date of the public examination of the doctoral dissertation

Example:

Thesis for the degree of Doctor of Science (Technology) to be presented with due permission for public examination and criticism in the Auditorium of the Student Union House at Lappeenranta University of Technology, Lappeenranta, Finland, on the 19th of May, 2017, at noon.

### 3) Back of the title page

The names and workplaces of the supervisor(s), reviewers (ie. preliminary examiners) and opponent(s) are printed on the overleaf of the title page.

Example:

Supervisor	Professor N.N. LUT School of ... Lappeenranta University of Technology Finland
Reviewers	Professor N.N. Department .... University ..... USA
	Professor N.N. Department .... University .... Japan
Opponent	Professor N.N. Department ... University .... Denmark

The bottom of the page (centered) should include the ISBN, ISBN (PDF), ISSN-L and ISSN codes, the name of the printing house and the publishing year.

### 4) Abstract

Bibliographical information is inserted in the abstract before the text part. Keywords are inserted after the text part.

Example:

ABSTRACT

Name of author

Name of publication

Lappeenranta YEAR

XX p.

Acta Universitatis Lappeenrantaensis XXX

Diss. Lappeenranta University of Technology  
ISBN XXX-XXX-XXX-XXX-X, ISBN XXX-XXX-XXX-XXX-X (PDF)  
ISSN-L 1456-4491, ISSN 1456-4491

The text part of the abstract

Keywords:

#### 5) Back cover

Top of page should include:

- name of the series and serial number
- copy of the university seal

Lower part should include:

- LUT logo and the name of the university
- the ISBN, ISBN (PDF), ISSN-L and ISSN codes
- place and year of publishing

#### 6) Spine of the publication

- serial number, the name of the publication and the name of the author

### **Instructions for layout**

The recommended margins at the top and bottom of the A4 size page are 3 cm, and at both sides of the page 2.5 cm. Also images and appendices must comply with the margins and all pages must be in portrait position. The number of pages mentioned in the Abstract-page must not include publications or the ACTA-page, and these pages are not numbered.

The pages are numbered consecutively starting from the title page (page number 1), but the numbers are visible only after the table of contents. The page numbers should be located in the header, on even pages on the left side and on odd pages on the right side. A list of publications that have been published earlier in the same series will be placed on a separate page after the main text and publications.

In article-based dissertations the author of the dissertation should clearly clarify his/her share of the work for those publications which are authored by several persons. The clarification will be added to the list of publications.

The dissertation is printed double-sided. The abstract, acknowledgements, table of contents and other starting pages as well as the main text must all start on the right-hand page.

It is recommendable to use a font which is readable when the page size is reduced to B5. The most common font is Times New Roman and size 12 points.

The standards and instructions mentioned in the section *Supplementary reading* should be followed.

There are unofficial dissertation templates (Word and LaTeX) available for authors. They can be found on the library's website ([www.lut.fi/library](http://www.lut.fi/library) -> Dissertations) and on the intranet (<https://intranet.lut.fi> -> University Services -> Kirjasto -> Väittelijälle).

## References and bibliography

It is recommended to consistently use the Harvard referencing system or practice that is established in the author's branch of science. In Finna search service you can find a RefWorks reference management software.

## Supplementary reading

ISO 690:2010. Information and documentation -- Guidelines for bibliographic references and citations to information resources.

The standard is available at the library.

## Publication procedure

The final, printed version of the dissertation must be on public display in the university **for at least 10 calendar days before** the public examination.

Familiarize yourself with the Academic Library dissertation instructions and documents early enough ([www.lut.fi/library](http://www.lut.fi/library) -> Dissertations).

After the Academic Council has granted the permission to print the dissertation, send the following documents to [dissertations@lut.fi](mailto:dissertations@lut.fi) or bring paper copies to the library **at least 25 calendar days before** the public examination (Note! If your public examination is soon after the Academic Council meeting, you should be in touch with the library well in advance so that you can agree on sending the documents before the actual meeting has taken place):

- ACTA application form
- signed publishing agreement (two copies)
- manuscript of the dissertation, including the articles
- publishers' permissions to include the articles in the dissertation, both printed and electronic form

The library personnel will send the student

- ACTA series number
- ISBN number for printed and electronic dissertation
- ISSN and ISSN-L numbers

- ACTA Appendix (list of previous dissertations) to be inserted to the last two pages of the dissertation

Add the above-mentioned numbers and the ACTA Appendix to your dissertation.

The library personnel will send the student a copy of the publishing agreement. Please note that it is not the duty of the library to do the language checking of the dissertation.

## THE LUT UNIVERSITY PRESS INSTRUCTIONS

Send the finalized manuscript of the dissertation to the LUT University Press **at least 23 calendar days before** the public examination.

The LUT University Press adds the cover pages, scales the work into B5 size and prints a draft version of the dissertation. Check the draft and make necessary corrections to it (only small changes are possible at this stage anymore). Check also that the date and the place of the public examination are correct.

The library personnel checks the publication numbers, the ACTA Appendix and the formal issues, such as the layout.

The final (checked and finalized) version of the dissertation should be sent to the LUT University Press **at least 15 calendar days** before the public examination.

The maximum number of printed dissertations is 80 pieces and the schools are responsible for the printing costs.

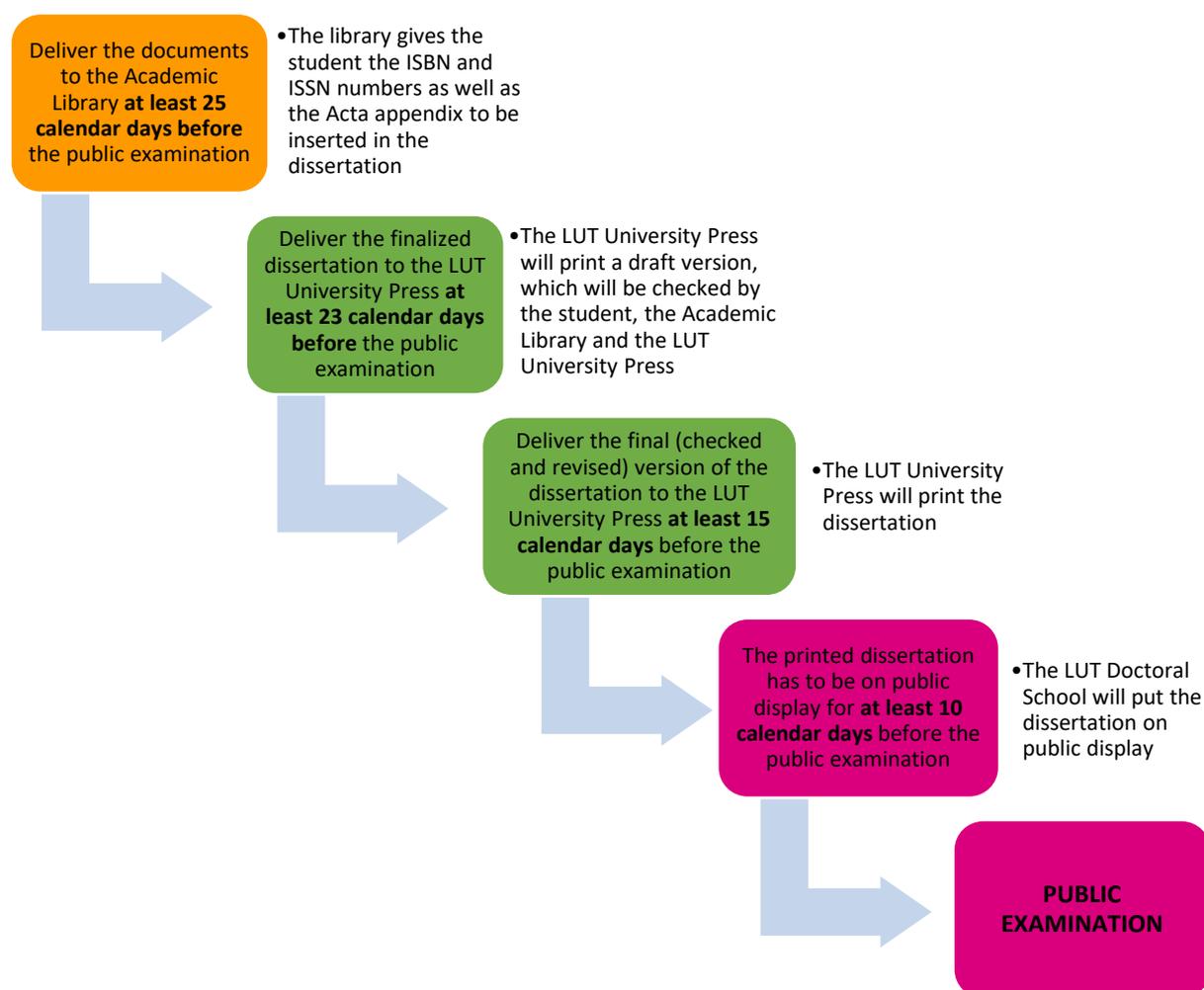
- 60 copies are printed for the public examination. The doctoral candidate can hand out these copies freely, since it is his/her responsibility to deliver the final work to the people or societies, who have for example funded the dissertation.
- The Academic Library receives 10 printed copies of the dissertation, out of which eight are so called legal deposit copies and they will be sent to the National Library's collection. The remaining two copies stay in the Academic Library collection and they can be borrowed as usual.
- Two copies of the dissertation are sold in the Aalef bookstore or through LUTShop (<https://lutshop.lut.fi>).
- Eight copies of the dissertation are delivered to the LUT Doctoral School, which:
  - takes care of the public display of the dissertation at least 10 calendar days before the public examination
  - delivers the rest of the copies to the opponent(s), preliminary examiners, supervisor(s) and the school's office.

The doctoral candidate may send the electronic version of the dissertation to the opponent(s), if he/she wishes them to receive the work as soon as possible.

If some minor mistakes (e.g. spelling, punctuation) are noticed after printing they can be listed with corrections in an errata-list. The LUT University Press prints the errata and the doctoral candidate is responsible for adding the errata to the printed dissertations. The LUT University Press also sends the errata to the library where it will be attached as a separate PDF file to the electronic version.

The LUT University Press will send the final PDF-version of the dissertation to the Academic Library, where it will be uploaded to the LUTPub. The dissertation will become public in the LUTPub 10 calendar days before the public examination.

### THE STEPS OF THE PRINTING PROCESS



## THE LUT UNIVERSITY PRESS CHECKLIST

Please check the following points before sending your dissertation in PDF-format to the LUT University Press for printing. These are the most common problems, which we face in the press. The years of studying are finally culminating in the shape of a dissertation, but if you can still spare a minute to double check these technical issues, we can make sure that we reach the goal quicker and easier.

1. Page 1 (title page)
  - The date and the place of the public examination are correct.
2. Page 2 (back of the title page)
  - If there is more than one supervisor, reviewer or opponent, remember to use plural in the heading (Supervisors, Reviewers, Opponents).
  - The details of LUT personnel are written as follows:  
LUT School of Business and Management / Energy Systems / Engineering Science  
Lappeenranta University of Technology  
Finland
  - ISBN, ISBN (PDF), ISSN-L and ISSN numbers are correct.
  - Text underneath the numbers should be: "Lappeenranta teknillinen yliopisto" and on the following line: "LUT Yliopistopaino 20xx" (check the year). DO NOT use Digipaino!
3. Page 3 (abstract)
  - The first line after the heading Abstract should include the name of the doctoral student, in bold.
  - The following line should include the name of the dissertation in bold (written in the same format as on the title page).
  - Check the total number of pages mentioned in the abstract! The last page included in the total number is the last appendix page after the references (in article-based dissertations the page before the first publication).
  - ISBN, ISBN (PDF), ISSN-L and ISSN numbers are correct.
4. (Green) cover pages for publications in article-based dissertations
  - The headings of the publications are correct.
  - The permission to publish each publication has been mentioned (e.g. "Reprinted with permission from...").
  - Remember to include the actual publications in the dissertation!
5. ACTA-Appendix
  - The ACTA-Appendix must fit into two pages.
  - The appendix has no page number nor text "Appendix".
6. Other things to check
  - The page numbering is consecutive starting from the title page (page 1), but the numbers are visible only after the table of contents. Note that the pages will be printed double sided when choosing the location of the page number.
  - New main chapters and the other starting pages, such as Abstract, Acknowledgements, Contents, Chapter 1, Chapter 2, etc. always start on the odd page (the right hand page).
  - All pages must be in portrait position, also in the publications.
  - The margins are the same on each page.
  - Pictures, tables and appendices must fit inside the same margins as the body text, also in the publications!

If all the above issues have been checked, send your dissertation in one or several PDF-files into the LUT University Press ([universitypress@lut.fi](mailto:universitypress@lut.fi)). In article-based dissertations remember to send the publications as well!

**The finalized dissertation has to be sent to the LUT University Press at least 23 calendar days before the public examination!**

## PREPARING FOR THE PUBLIC EXAMINATION

Find out about the customs of your own school from the school's secretary regarding the following:

- Travel and accommodation arrangements, possible other related programme for the opponent(s)
- Booking the auditorium (from the university porter)
  - Make sure beforehand that everything works in the auditorium (the equipment etc.).
- Possible decorations of the room and other practical arrangements
  - The doctoral candidate and the LUT University Press agree on how the printed dissertations are delivered to the auditorium. Usually the LUT University Press orders the delivery from the university porter.
- Lunch and coffee related to the public examination

LUT Media Services takes care of press information concerning dissertations. LUT press officer will decide what the best way is to communicate about the dissertations: a press release to the media or a short announcement for the university's website. Press releases are not made of all dissertations. All doctoral candidates should be in touch with the Media Services 1.5 weeks before the public examination, and submit information about the dissertation according to the instructions. Contact information and *Detailed instructions* can be found in Uni (uni.lut.fi -> Doctoral Studies -> Permission to Print, Public Examination and Graduation -> Press information and Press Release).

The doctoral candidate delivers his/her lectio praecursoria, which lasts approximately 20 minutes and in which he/she explains the research project, the underlying problems, development trends etc. In the latter part of this presentation, the doctoral candidate summarizes the crucial research problems of his/her work and the results. The official LUT PowerPoint -template can be downloaded from the intranet (intranet.lut.fi – University services – Viestintä – Ladattavat materiaalit).

The chairperson of the public examination (custos), the doctoral candidate and the opponent(s) are dressed in academic attire, a tailcoat (black waistcoat) or a dark suit. The custos, the doctoral candidate and the opponent(s) agree on the dress code in advance. A foreign academic attire is also acceptable. Ladies wear a dark dress with a closed neckline and long sleeves. The custos and the opponent should bring their doctor's hats. When the custos and the opponent enter and leave the ceremony venue, they carry their doctor's hats in their hands; during the public examination the hats are on the table.

A video presenting a typical public examination at LUT is also available in English (uni.lut.fi -> Doctoral Studies -> Permission to Print, Public Examination and Graduation -> a video presenting a typical public examination at LUT).

## **PUBLIC EXAMINATION**



After the public examination there is usually a special occasion called “Karonkka”. It is a festivity arranged to honor the opponent(s). There are no official LUT guidelines available for arranging it.

After the public examination, the opponent(s) or the supervisor deliver an assessment form and a written statement from the opponent(s) to the LUT Doctoral School, where the case will be prepared for the Academic Council.

The LUT Doctoral School sends the opponent’s statement to the doctoral candidate and asks him/her to confirm that he/she is satisfied with the grade of the dissertation.

## **3. ASSESSMENT OF THE DISSERTATION**

Decision-making body: Academic Council

The Academic Council decides whether the doctoral dissertation can be approved and gives it a grade based on the opponent’s statement.

After the Academic Council meeting, the LUT Doctoral School sends the doctoral candidate an invitation to participate in the graduation ceremony as well as a link to a graduate survey.

It is possible to graduate only after the dissertation has been accepted and assessed by the Academic Council.

## **GRADUATION CEREMONY**



## **CONFERMENT CEREMONY**

At regular intervals LUT arranges a conferment ceremony at which the doctoral hat is officially presented to the graduate. In addition, the doctoral sword is given to those with a doctorate in business administration or philosophy. Doctors purchase their own hat / sword.

**NOTES**

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University of Technology

Lappeenranta 2018

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