

## Guidelines for electronic availability of theses and degree projects at Luleå University of Technology

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## 1 Introduction

The Swedish Government's objective for open science states that all publications resulting from public-funded research should be immediately and freely open access as from 2021<sup>1</sup>. Luleå University of Technology strives to uphold an open scientific community and the principle of open science, as specified in the University's publication policy<sup>2</sup>. Research conducted at the University should be made open access as far as possible, both to the benefit of the research community and the general public. The electronic publishing of doctoral and licentiate theses as well as degree projects is an important part of making the University's research findings and degree project results available and reusable.

### 1.1 Open-access publishing - visibility and dissemination

Publications registered and published in the publication database will be indexed and searchable in search engines such as Google. Theses and degree projects will also be searchable in the Swedish research database SwePub, the academic database BASE and WorldCat, the largest library catalog in the world. In addition, theses will be searchable in the thesis database DART-Europe. Search results are redirected to the description registered and displayed in DiVA.

Open-access publishing of theses and degree projects entail the following:

- Availability increases, allowing more individuals to access the degree project results or the research findings.
- Increased availability leads to more people building upon the findings.
- The rate of research development can improve.
- Increased availability can also reduce unnecessary repetition of research.
- Increased availability enables more citations earlier in the process.
- Greater visibility can support professional careers.

### 1.2 The purpose of the document

The guidelines aim to clarify the process of making the theses and degree projects that are produced at the University electronically available. This is to make University's research findings open access to the greatest extent possible. The document describes electronic registration, publishing and archiving, and highlights limitations and restrictions that must be considered in view of copyright claims and confidentiality reasons.

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<sup>1</sup> Government bill no. 2020/21:60 *Forskning, frihet, framtid – kunskap och innovation för Sverige* (in Swedish). Stockholm: The Ministry of Education and Science

<sup>2</sup> *Publication Policy for Luleå University of Technology* (registration number LTU-368-2022).

These guidelines replace governing documents previously in force at Luleå University of Technology regarding electronic publishing in the University's publication database<sup>3</sup>.

### 1.3 Delimitations

The works referred to in these guidelines are publications, in particular theses and degree projects, that constitute the basis for assessments within third-cycle as well as first- and second-cycle studies, where Luleå University of Technology is the publisher.

The works are made electronically available in the University's publication database (DiVA).

## 2 Making theses and degree projects produced at Luleå University of Technology electronically available

Making theses and degree projects electronically available in the publication database comprises the three features below:

- Registration of the work in DiVA where the title, author(s), keywords and abstract are specified.
- Storage of a deposit copy.
- Publishing of the work.

### 2.1 Registration of the work

All theses and degree projects are documents that are drawn up at or received by the University. As such, they must be registered prior to archiving. The documents are registered in the University's publication database DiVA. The registration involves describing the work based on certain details, known as metadata. The registration of metadata must include information about the title, author, keywords and abstract. Metadata about a work registered in the publication database is normally searchable and fully available.

The doctoral student/licentiate/undergraduate student, hereinafter referred to as the author, must consider confidentiality, personal data and other necessary aspects when formulating the abstract to ensure that the registration, including metadata, can be made fully available in the publication database.

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<sup>3</sup> *Guidelines for electronic publishing of theses, essays and degree projects at Luleå University of Technology* (registration number LTU-1324-04).

### 2.1.1 Degree projects

If the registration of metadata itself should not be made available, the registration is to be handled by an education administrator according to procedures in section 3.2, upon a separate request from the student.

## 2.2 Electronic archiving and obligation to release documents

Luleå University of Technology is subject to the principle of public access to official records as regulated in the Freedom of the Press Act (chapter 2, section 1), granting the public the right to have access to official documents. A thesis produced at the University and a degree project delivered to it are official documents drawn up at or received by the University, respectively. These documents must be registered and archived. This also means that the University has an obligation to release the document in its entirety upon a request from the public after a confidentiality assessment and, where appropriate, after masking parts covered by confidentiality.

The works referred to here are to be archived in accordance with the Archives Act (SFS 1990:782) and established procedures. The University's publication database serves as the electronic archive for publications. Therefore, theses and degree projects in full text must be uploaded and archived there.

## 2.3 Publishing of the work

The main rule is that degree projects and theses should be published in a way that immediately makes them available, based on the principle of open access. The author holds the copyright to the work and therefore has the right to refrain from publishing the work based on certain exemptions. This section describes how the publishing of theses and degree projects should be carried out and which exemptions apply.

### 2.3.1 Theses

Theses (monograph and compilation theses) should normally be published open access. This is to enable a satisfactory review of the thesis prior to the defence of the doctoral thesis/the licentiate seminar so as to increase visibility and to make obtained research findings available. The version of the thesis to be published must be the same as the version submitted for assessment.

#### 2.3.1.1 Limited publishing and embargo period

The author decides to what extent the work should be published. If the thesis contains unpublished manuscripts, or if the author has entered/shortly intends to enter into a publishing agreement for an article, then the introductory chapter of the compilation thesis (Swe: kappa) may be published instead. In such cases, Luleå University of Technology applies an embargo period for full-text publishing, which means that the thesis will be

published in its entirety at a later specified time. The standard embargo period is set at 18 months. For a longer embargo period, the doctoral student/licentiate must notify the University library. The author has the right to refrain from publishing the introductory chapter of the thesis and/or the full-text thesis in DiVA if any of the exemptions specified in section 2.3.3 apply.

### 2.3.2 Degree projects

The main rule for degree projects at Luleå University of Technology is that they should be published in full text and open access for everyone. The version of the degree project to be uploaded must be the one that the examiner has approved. The author has the right to refrain from open publishing in DiVA if any of the exemptions described in section 2.3.3 apply.

### 2.3.3 Exemptions from open-access publishing

Exemptions from open-access publishing of a thesis, of a part thereof, or of a degree project are possible for the circumstances below.

- If the author invokes their right to refrain from publishing based on copyright principles (see section 2.3.3.1).
- When works involve fully or partially confidential information or when research has been conducted at an external organisation or in collaboration with an external party, and the organisation or party has imposed confidentiality requirements. This must be clearly documented and registered. The author has an obligation to disclose the existence of confidential works to the University.
- In other situations, for example:
  - When the author has a protected identity or protected personal data in other forms.
  - Where companies or individuals can be identified or exposed in an improper way or in violation of how personal data should be processed under the General Data Protection Regulation (GDPR)<sup>4</sup>.

#### 2.3.3.1 The rights and obligations of the author

The Copyright Act (SFS 1960:729) grants the author the right to decide about the use and distribution of the work. Consequently, the author has exclusive rights over their work and decides whether the work should be published in its entirety, in part, or not at all in the publication database.

When publishing in DiVA, the publishing conditions that are set by DiVA apply and regulate the rights and obligations of the University and the author, respectively. This also includes the author's obligation to inform themselves about the conditions and their responsibility regarding the rights to publish the work, as well as the University's

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<sup>4</sup> Regulation (EU) 2016/679 of the European Parliament and of the Council (General Data Protection Regulation)

obligation to remove a work that violates the publication conditions. Upon the publishing of the work, the author makes a decision on the publishing conditions and thereby on how the work should be made public.

Furthermore, the author is responsible for correctly citing sources and other material used in the work. External authors whose material is used in a work are to be acknowledged for their part. With the exception of the right of quotation, the external author's permission is required as regards the use of the author's copyright-protected material, both in writing and in the form of visual, film and music material.

### 3 Administrative procedures

During the registration, archiving and publishing of theses and degree projects in the publication database, the University library and the education administrators assist doctoral students/licentiates/undergraduate students in various parts of the process.

#### 3.1 Theses

Theses must be available no later than three semester weeks before the defence of the doctoral thesis/the licentiate seminar according to the *Guidelines for third-cycle (doctoral) courses and programmes at Luleå University of Technology*<sup>5</sup>.

The theses are made available as described below.

The doctoral student/licentiate must register a basis for a metadata record describing the thesis in the University's publication database no later than eight semester weeks before the date of the defence of the doctoral thesis/licentiate seminar. When the record is registered, the University library assigns ISBNs to the thesis.

The thesis must be published no later than three semester weeks before the date of the defence of the doctoral thesis/licentiate seminar. The doctoral student/licentiate is responsible for making the thesis available in time, for deciding on the publishing conditions, and for informing the University library about how the thesis should be electronically published. The University library is responsible for archiving and publishing the thesis. The contracted printing company is responsible for printing and delivery. The only mandatory step to make theses available occurs electronically in the publication database. In Swedish, this is known as "e-spikning".

In addition, doctoral theses (not licentiate theses) can be made available in printed form, which is optional and decided by the doctoral students themselves. In Swedish, this

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<sup>5</sup> *Guidelines for third-cycle (doctoral) courses and programmes at Luleå University of Technology* (Reg.no. LTU-4085-2021)

ceremony is known as “spikning”. The Spikning Ceremony is booked and performed in various ways at the different university campuses. More details are available on the Luleå University of Technology website.

### 3.2 Degree projects

The degree project must be completed and approved by the examiner when the student registers it in DiVA.

The student registers the publication and either approves the conditions for full-text publishing or archives the full-text version. Education administrators assist the student with registration and verify the registration before it is made available. If the student wishes to invoke an exemption from the registration being fully available, they should contact the education administrators regarding the handling under separate arrangements.