



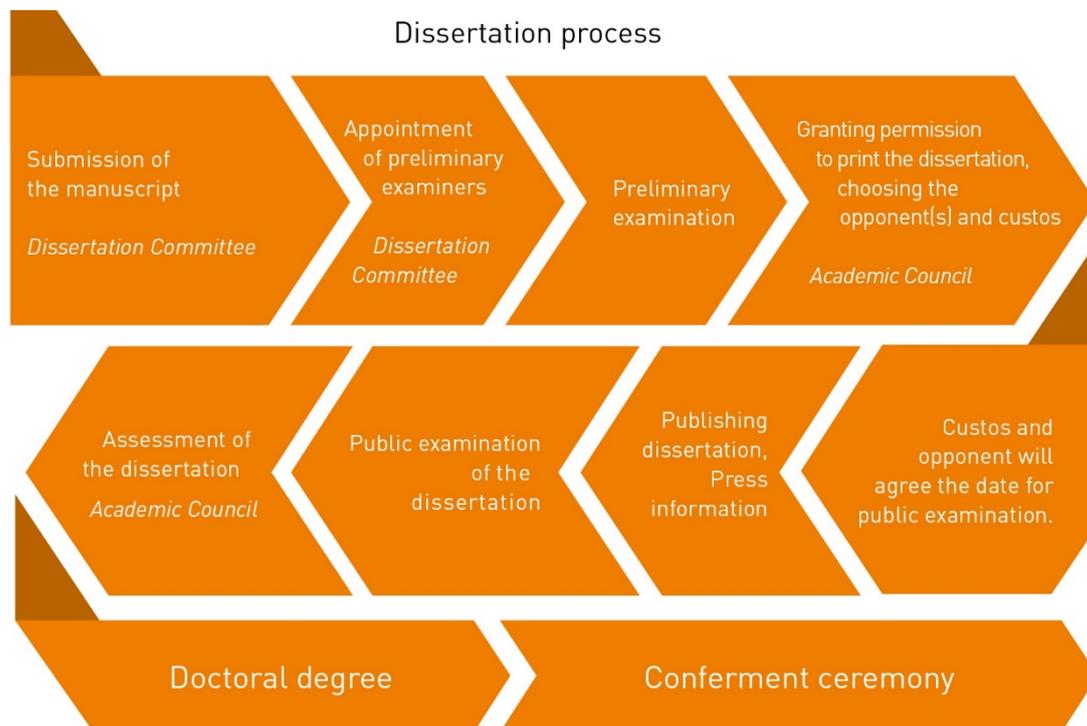
FROM MANUSCRIPT TO DISSERTATION

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Updated 9.11.2022

NOTE! Changes are possible. You can find the up-to-date instructions on the eLUT website.



This booklet combines instructions from LUT Doctoral School, LUT Academic Library and LUT University Press. It is designed to support the doctoral student in the dissertation process. Detailed instructions can be found on the eLUT website (elut.lut.fi) or the LUT intranet (intranet.lut.fi).

Questions regarding the

- ✓ dissertation process in general can be addressed to LUT Doctoral School (saara.merritt@lut.fi, sari.damsten-puustinen@lut.fi)
- ✓ publication agreements etc. can be addressed to LUT Academic Library (dissertations@lut.fi)
- ✓ printing and layout of the dissertation etc. can be addressed to LUT University Press (universitypress@lut.fi)
- ✓ room reservations can be addressed to the room reservation team (Lut.lukkaritiimi@lut.fi) or regional unit secretaries
- ✓ press information concerning dissertations can be addressed to LUT Communications team (media@lut.fi)
- ✓ practical arrangements of the public examination can be addressed to the school secretaries (LENS@lut.fi, LES@lut.fi, LBM@lut.fi, regional unit secretaries)
- ✓ remote connections and technical support for the public examination can be addressed to the digiteam (opetushelp@lut.fi)

GETTING READY FOR STARTING THE DISSERTATION PROCESS

Check the important dates already when you start planning your dissertation process (elut.lut.fi → Doctoral Studies → Dissertation Process).

You must be enrolled as attending for the semester in which you start the dissertation process, as well as for the semester in which you are going to graduate.

The studies for the doctoral degree have to be checked by LUT Doctoral School at the latest before the start of the dissertation process. Please note, that study attainments included in a doctoral degree may not date back more than seven years. Possible supplementary studies (extra studies required) have to be completed before the start of the preliminary examination. Supplementary studies will not expire.

Contact LUT Doctoral School for further instructions, regardless of whether you have completed all your studies or not. It is possible to start the dissertation process even if not all studies are completed yet. All studies must be completed and registered at the latest before the permission to print is granted.

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. When submitting the manuscript to LUT Doctoral School, give the name of the person/company who has done the proofreading.

- *LUT dissertation regulations* (elut.lut.fi → Doctoral Studies → Dissertation Process)

The 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.

- Enrol on the course *Turnitin check for doctoral students (year)* in Moodle (moodle.lut.fi).
- Contact the Digital Learning Team (opetushelp@lut.fi) in case of problems or if you want to add your supervisor on the same course.

Preparing for the dissertation process in a nutshell:

1. Check the important dates of the dissertation process
2. Remember to enroll as an attending student
3. Get your studies checked by LUT Doctoral School
4. Take care of the proofreading of the manuscript
5. Remember Turnitin
6. Prepare the clarification of joint articles (if applicable), see next page

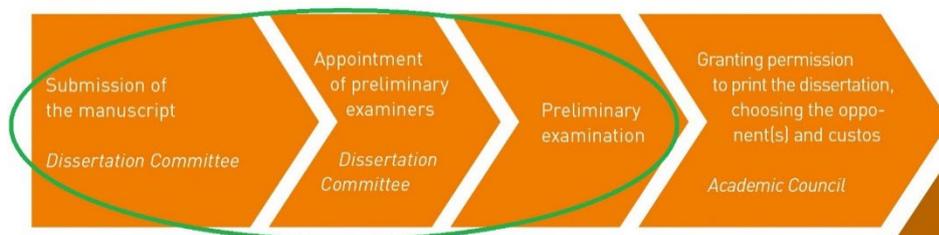
When starting the dissertation process, submit the following documents and information to LUT Doctoral School:

- the *Application for starting the dissertation process* (elut.lut.fi → Doctoral Studies → Dissertation Process → Dissertation Committee & Preliminary Examination) including signatures of all officially appointed supervisors
- your manuscript in electronic format (single PDF-document). In an article-based dissertation also all publications must be included
- information about whether your dissertation includes articles, which have been published in another scientific postgraduate degree thesis. If such articles are included, you should submit a clarification including the following information: which articles are in question, whose thesis have the articles been published in, where and when have they been published. In addition, it must be clearly specified what has been your own contribution to these articles as well as the contribution of the other authors, who have used the article in their thesis. Such authors must also give their permission to include the article in your dissertation.
- information about the proofreader

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

STARTING THE DISSERTATION PROCESS AND APPOINTING THE PRELIMINARY EXAMINERS

(Decision-making body: Dissertation Committee)



The Dissertation Committee makes the decision to initiate the dissertation process and appoints the preliminary examiners. The manuscript of your dissertation is presented to the Dissertation Committee by a named LUT professor, who represents your research field.

After the Dissertation Committee meeting LUT Doctoral School informs you, the appointed preliminary examiners and supervisors about the decision to start the dissertation process. LUT Doctoral School also sends the electronic manuscript of the dissertation to the examiners.

The recommended duration of the preliminary examination is 1-2 months after the preliminary examiners have received the manuscript of the dissertation.

The preliminary examiners can suggest changes or revisions to the work by contacting the coordinating supervisor and they will be made as agreed by you and your supervisor.

Once LUT Doctoral School gets the final preliminary examination statements, the dissertation process proceeds to the Academic Council. Possible changes to the manuscript must be made before it is sent to the press. It is not necessary to submit the final dissertation to the Academic Council.

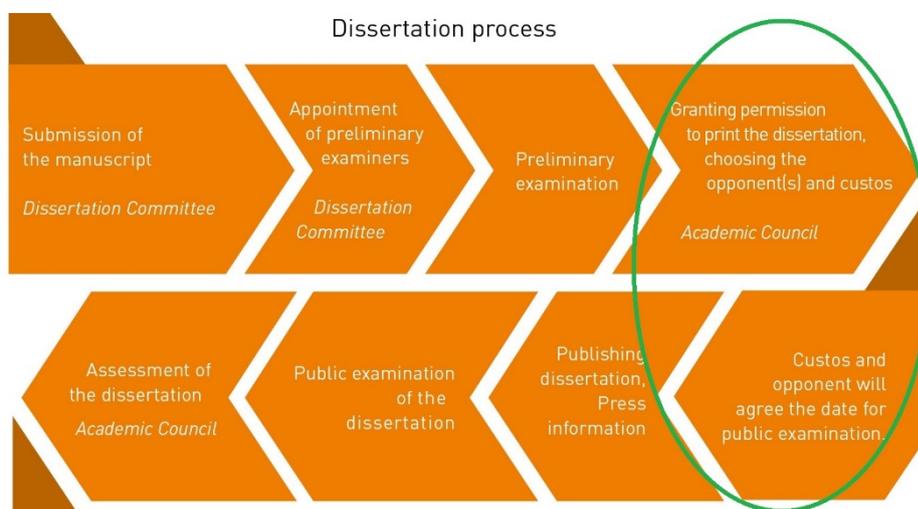
The supervisor submits a proposal for opponent(s) and custos to LUT Doctoral School as well as the date of the public examination, if known. When setting the date for the public examination it is important to take into account the time needed for the publication and printing process and the public display of the dissertation, the schedules of the opponent(s), candidate and supervisor(s) as well as the availability of suitable premises and/or technical assistance. In accordance with the established practice, the public examination is held at the university premises.

The permission to print the dissertation can only be granted when all your 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. The status of the articles will be checked before the meeting.

PERMISSION TO PRINT AND APPOINTING THE CUSTOS AND THE OPPONENT(S)

(Decision-making body: Academic Council)



On the basis of the preliminary examination statements, the **Academic Council** decides on the permission to print the dissertation and appoints the custos and the opponents (one or two) for the public examination.

After the Academic Council meeting LUT Doctoral School informs you, the opponent(s), supervisor(s) and preliminary examiners about the decision. After receiving the permission to print, you may start the publishing and printing process of the dissertation together with LUT Academic Library and LUT University Press, as well as the preparations for the public examination.

The publishing and printing process must be started at the latest 25 days before the public examination by contacting LUT Academic Library (see section *Publication procedure*). First read the following instructions on finalizing your dissertation for printing.

PUBLISHING AND PRINTING PROCESS

LUT ACADEMIC LIBRARY AND LUT UNIVERSITY PRESS INSTRUCTIONS FOR THE CANDIDATE

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 (DDD) or in joint supervision cases 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. Please note that dissertations cannot be confidential.

The language of the dissertation is usually English. If the dissertation is in Finnish, it must include an abstract in English.

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-Lahti University of Technology LUT. A publication agreement is made with the author.

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 publisher's website in the writer's guide. The license printed from the website is sufficient. If the license cannot be found on the website, you can request it 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 this, those articles will be left out from LUTPub and only the summary part 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.

If your dissertation contains parts that have already been published elsewhere (figures, tables, maps etc.), it is on your responsibility to obtain the copyright of those parts from the original publisher. The author is responsible for not including in the publication any material which is copyrighted by someone else.

If you wish to publish your dissertation later by some other publisher, you must request a permission from LUT to do that.

Layout and structure

It is on your responsibility to finalize the dissertation so that it is ready for printing, before you send it to LUT University Press. LUT University Press adds the front and back covers, as well as the text on the spine of the dissertation. The cover material is coated cardboard.

1) Front cover

Top of the page should include

- university seal

Middle of the page should include

- name of the author
- name of the dissertation

Bottom of the page should include

- name of the series and serial number

2) Title page

The title page should include the LUT logo (top of the page), author 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 (DDD) 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
- date of the public examination

Example:

Dissertation for the degree of Doctor of Science (Technology) to be presented with due permission for public examination and criticism in the Auditorium 1316 at Lappeenranta-Lahti University of Technology LUT, Lappeenranta, Finland, on the 25th of March, 2022, at noon.

Note! Remember to change the place and the date of the public examination as well as the degree title (if applicable)!

3) Back of the title page

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

Example:

<i>Supervisor</i>	<i>Professor N.N. LUT School of ... Lappeenranta-Lahti University of Technology LUT Finland</i>
<i>Reviewers</i>	<i>Professor N.N. Department University USA</i>
	<i>Professor N.N. Department University Japan</i>
<i>Opponent</i>	<i>Professor N.N. Department ... University Denmark</i>

The bottom of the page (centered) should include the ISBN, ISBN (PDF), ISSN-L and ISSN codes, the official name of the university, 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 pages

Acta Universitatis Lappeenrantaensis XXX

Diss. Lappeenranta-Lahti University of Technology LUT

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 the page should include:

- university seal

Lower part should include:

- LUT logo
- ISBN, ISBN (PDF), ISSN-L and ISSN codes
- place and year of publication

6) Spine of the publication

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

Instructions for layout

The 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 pages are numbered consecutively starting from the title page (page number 1), but the numbers are visible only after the table of contents. Page numbering is visible on possible

appendices as well. The page numbers should be located in the header, on even pages on the left side and on odd pages on the right side. The number of pages mentioned in the Abstract-page must not include publications or the ACTA-page, and these pages are not numbered. A list of publications that have been published earlier in the ACTA-series will be placed on a separate page after the main text and publications.

In an article-based dissertation you should clearly clarify your own contribution to the research 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.

You should use the dissertation templates (Word and LaTeX), maintained by LUT Academic Library. In the templates the layout and other specifications are already as they should be.

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 Primo 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 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 LUT Academic Library and LUT University Press dissertation instructions and documents early enough (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 **at least 25 calendar days before** the public examination. (Note! If your public examination is soon after the Academic Council meeting, you can send the documents already before the actual meeting has taken place):

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

The library personnel will send you

- 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
- a copy of the publishing agreement

Add the above-mentioned numbers to your dissertation. You don't need to attach the ACTA Appendix to the dissertation, it can be sent as a separate PDF file to LUT University Press.

Send the finalized manuscript and the ACTA Appendix to LUT University Press by email (universitypress@lut.fi) **at the latest 23 calendar days before** the public examination. Send the dissertation in PDF format, in one or multiple files.

LUT University Press adds the cover pages, scales the work into B5 size and prints a draft version of the dissertation. The library personnel checks the publication numbers, the ACTA Appendix and the formal issues, such as the layout. Please note that it is not the duty of the library to do the language checking of the dissertation.

Check the draft and make necessary corrections to it (only small changes are possible at this stage anymore). If you make changes to the dissertation and send a new version to LUT University Press, please let them know which pages have been changed. This speeds up the printing process considerably. Check also that the date and the place of the public examination are correct.

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

LUT University Press prints a fixed number of dissertations for LUT Academic Library and LUT Doctoral School. Agree on the number of copies printed for the public examination with LUT University Press. The schools are responsible for the printing costs.

- 30-40 copies are usually printed for the public examination. You can also hand out these copies freely, since it is your responsibility to deliver the final work to the people or societies, who have for example funded your dissertation. It is possible to ask LUT University Press to print more copies for the public examination, if needed, but the maximum number of printed dissertations for the public examination is 60. You may order more copies than that at your own cost.
- LUT Academic Library receives eight printed copies of the dissertation, out of which six are so called legal deposit copies and they will be sent to the National Library's collection. One copy stays in LUT Academic Library collection and it can be borrowed as usual. One copy is stored in the archive.
- Eight copies of the dissertation are delivered to 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.

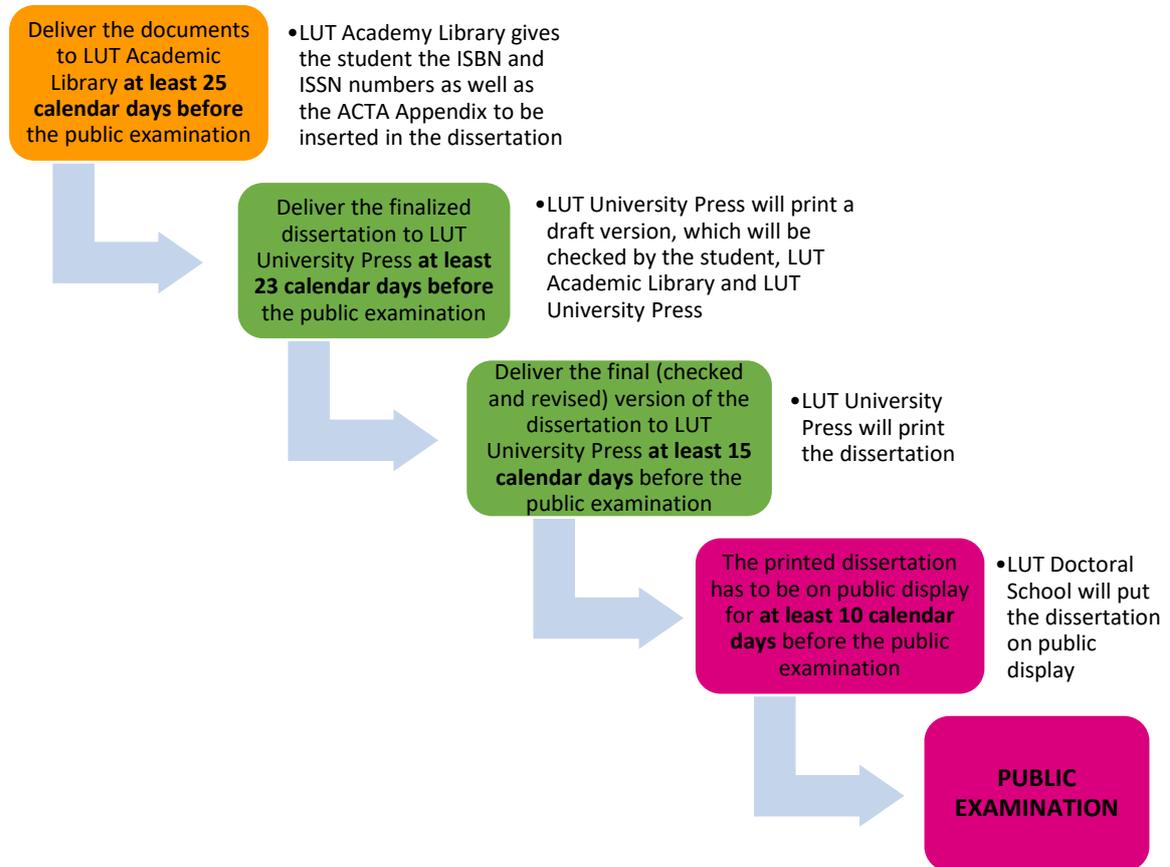
It is recommended that you send the final electronic version of the dissertation to the opponents as soon as it is available, so that they have access to the dissertation as early as possible.

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

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

You and LUT University Press should agree on how the printed dissertations are delivered to the auditorium. Usually LUT University Press orders the delivery from the university porters.

THE PUBLISHING AND PRINTING PROCESS IN A NUTSHELL



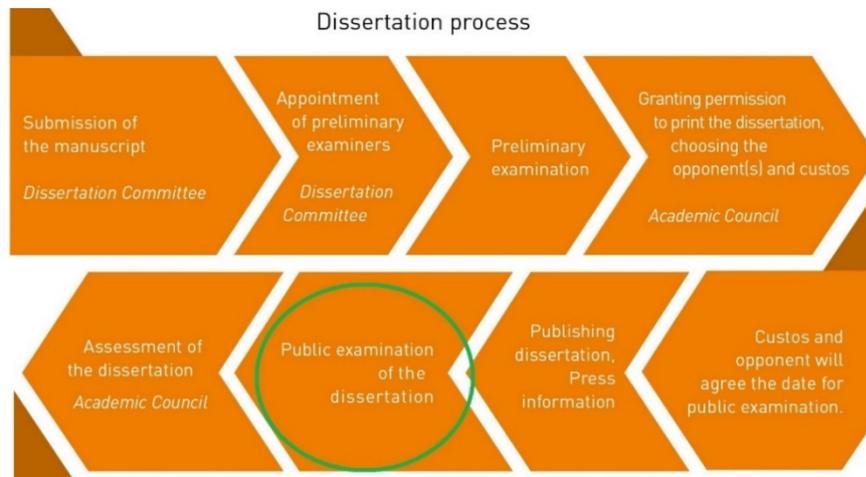
LUT UNIVERSITY PRESS CHECKLIST

Please check the following points before sending your dissertation in PDF-format to 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. The official name of the university "Lappeenranta-Lahti University of Technology LUT" should be used here.
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-Lahti University of Technology LUT
Finland
 - ISBN, ISBN (PDF), ISSN-L and ISSN numbers are correct.
 - Text underneath the numbers should be: "Lappeenranta-Lahti University of Technology LUT" and on the following line: "LUT University Press 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 LUT University Press (universitypress@lut.fi). In article-based dissertations remember to send the publications as well! **The finalized dissertation has to be sent to LUT University Press at least 23 calendar days before the public examination!**

PUBLIC EXAMINATION



Take care of the following practical arrangements of the public examination:

- Booking the auditorium (from the room reservation team or regional unit secretaries)
 - Make sure beforehand that everything works in the auditorium (the equipment etc.).
- Lunch and coffee related to the public examination, possible decorations of the room (from the secretaries)
- Securing technical support for remote connections, if necessary (from digiteam)
- Other practical arrangements (from university porters)

All doctoral candidates must be in touch with LUT Communications team as soon as the permission to print has been granted and the date of the public examination has been fixed. The information about the dissertation and public examination must be sent at the very latest 15 days before the public examination. You have to send LUT Communications team a short paragraph explaining the topic, results, significance of the dissertation as well as an answer to the question: how does the research and the results benefit the larger audience (e.g. society/industry etc.). This paragraph must be written in layman's terms, it cannot be scientific and it should avoid complicated terms. LUT Communications team takes care of press information on the LUT intranet and lut.fi website concerning public examinations. Press releases are not made of all public examinations, but based on the description from the candidate the LUT communication specialists will decide what is the best way to communicate about the research. Contact information and *Detailed instructions* can be found on the eLUT website (elut.lut.fi → Doctoral Studies → Dissertation Process → Media Announcement of the Public Examination).

You should prepare a so called *lectio praecursoria* for the public examination. It lasts approximately 20 minutes and it explains in a comprehensive manner the research project, the underlying problems, development trends etc. In the latter part of this presentation, you should summarize the crucial research problems of your work and the results. Use the official

LUT PowerPoint -template, which can be downloaded from the intranet (intranet.lut.fi → University services → Media services → Downloadable materials).

The custos, the doctoral candidate and the opponent(s) are dressed in academic attire, a tailcoat (black waistcoat) or a dark suit. You as a doctoral candidate suggest the dress code and agree on it in advance with the custos and opponent(s). A foreign academic attire is also acceptable. Ladies wear a dark dress with a closed neckline and long sleeves. The custos and the opponent(s) should bring their doctor's hats if they own one. When the custos and the opponent(s) 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 available in English (elut.lut.fi → Doctoral Studies → Public Examination of the Dissertation).

After the public examination there is usually a special occasion called "Karonkka", which the doctoral candidate arranges in honor of the opponent(s). There are no official LUT guidelines available for arranging it. You may order invitations, place cards etc. at your own cost from LUT University Press.

After the public examination, the opponent(s) or the supervisor delivers an assessment form and a written statement from the opponent(s) to LUT Doctoral School, where the case will be prepared for the Academic Council. LUT Doctoral School sends the opponent's statement to you and gives instructions for making the graduation application in Sisu.

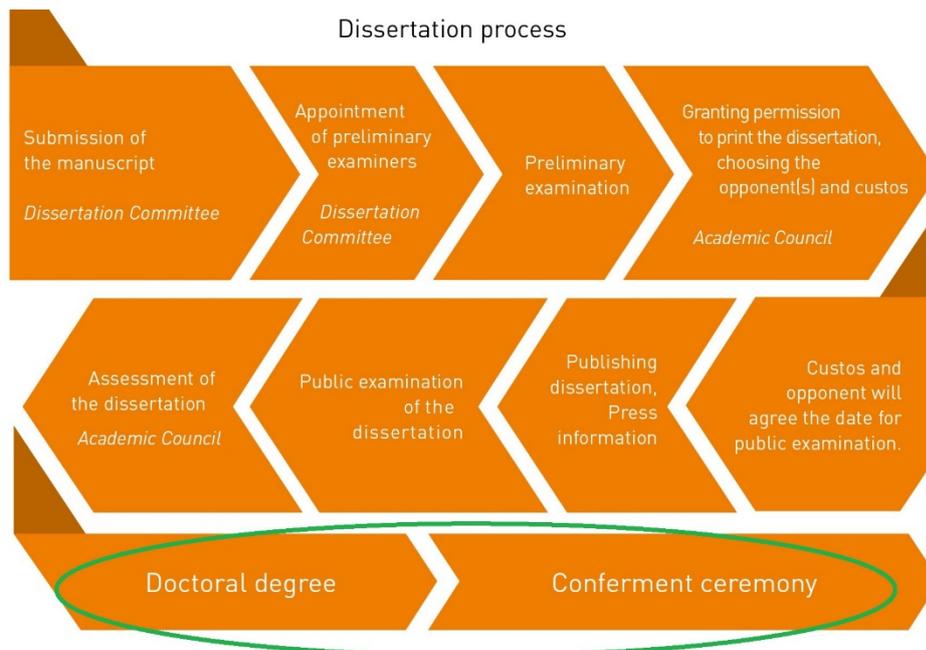
ASSESSMENT OF THE DISSERTATION

(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 meeting LUT Doctoral School informs you about the decision and sends you a link to a graduate survey. The graduation team will send you an invitation to participate in the graduation ceremony.

GRADUATION AND CONFERMENT CEREMONY



It is possible to graduate only after your dissertation has been accepted and assessed by the Academic Council. You can graduate on the next possible graduation day, which is usually the last Friday of the month.

After graduation you are eligible to apply for LUT Research Foundation Dissertation grant. More information <https://www.lut-tukisaatio.fi/english/postgraduate.php>.

Approximately every five years LUT arranges a conferment ceremony, where all doctors who have graduated after the previous ceremony are invited. In the conferment ceremony 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. More information on the LUT website (www.lut.fi/web/en/conferment). **Please note!** The right to use the insignia (a hat, a sword) can be acquired only by participating the conferment ceremony (attending). LUT gives specific instructions on acquiring a doctoral hat and a sword after the date for the next conferment ceremony is published. Graduates must not acquire them before that.



Lappeenranta 2022