

# Guidelines

## To publishing a dissertation on BORIS Theses and e-Diss

The University Library of Bern offers PhD candidates the option to publish their dissertations electronically on BORIS Theses according to the following guidelines:

### 1 Introduction

These guidelines are only applicable to dissertations that are in their entirety or partially (“introductory section” or “umbrella” – see below 2.2) published in open access. These guidelines have no bearing on dissertations that are not made openly accessible (see below 2.3 and publications the external publishing platform of a publishing house).

### 2 Form of Publication

#### 2.1 BORIS Theses: Primary publication of full texts in open access

The University Library offers the option to publish doctoral theses on BORIS Theses, so that doctoral students can fulfil their obligation to publish their dissertation. All works published on BORIS Theses are fully open access. If the student's faculty/deanery agrees, the dissertation or parts thereof can be published on BORIS Theses with an embargo period, which begins on the day the record (i.e. metadata) of the thesis becomes available on BORIS Theses. The maximum length of the embargo is 24 months and cannot be extended. Take this into consideration if you intend to publish your thesis or parts thereof with a commercial publisher, particularly when you negotiate your publishing contract. The embargo period is independent of publishing deadlines made by your faculty or deanery.

BORIS Theses is a service intended to support doctoral students in fulfilling their publishing obligation; it is not an archive. Dissertations received after the publishing obligations have already been fulfilled elsewhere (particularly theses that were already published by publishing houses) are usually not re-published on BORIS Theses. However, they can be published via e-diss (see below 2.2).

#### 2.2 e-Diss: publishing parts of a dissertation or secondary publishing in open access

If, for legal reasons, you are unable to publish the full text of your dissertation in open access, you can make parts of it accessible on e-Diss. The following conditions must be met:

- Check ahead of time, whether your faculty or deanery accepts this way of publishing your thesis as fulfilling your publishing obligation.
- In the case of article (or cumulative) theses the submitted introductory section (or umbrella – ger. “Mantelpapier”) must contain all parts of the dissertation that can be published in open access and provide links to those parts, that cannot be published in open access. This ensures that the complete dissertation can be found online.
- If a dissertation contains images or other third-party materials (e.g. video, audio, illustrations) that, due to copyright issues, cannot be published in open access, links to those materials have to be inserted into the manuscript wherever possible. If the excluded material is not available online, enter a reference that leads to the source.

Examples:

Introductory sections, umbrella:

[https://biblio.unibe.ch/download/eldiss/19brandenberger\\_l.pdf](https://biblio.unibe.ch/download/eldiss/19brandenberger_l.pdf) (Page 23ff: the respective first page of the article features a link)

[https://biblio.unibe.ch/download/eldiss/18bodmer\\_ak.pdf](https://biblio.unibe.ch/download/eldiss/18bodmer_ak.pdf) (Page 4 inserted with links to the missing articles)

[https://biblio.unibe.ch/download/eldiss/16kaltenrieder\\_p.pdf](https://biblio.unibe.ch/download/eldiss/16kaltenrieder_p.pdf) (very short)

[https://biblio.unibe.ch/download/eldiss/18koch\\_a.pdf](https://biblio.unibe.ch/download/eldiss/18koch_a.pdf) (Page 36 inserted with links to the missing articles)

Image rights:

[https://biblio.unibe.ch/download/eldiss/17vonmoellendorff\\_nj.pdf](https://biblio.unibe.ch/download/eldiss/17vonmoellendorff_nj.pdf) (See links on page XI in vol. 2; page 372 in the PDF.)

In addition, e-Diss is available for full text publication of dissertations that have already been published elsewhere (secondary publication of publisher publications), or for which the publication obligation has already been fulfilled elsewhere.

Unless stated otherwise, the conditions formulated in the *Guidelines* and the *Declaration of Consent* apply to dissertations published one-Diss as well as those published on BORIS Theses.

## 2.3 Entering a dissertation on BORIS Portal without open access

As mentioned in the introduction, this document (*Guidelines*) does not apply to dissertations entered on BORIS Portal without a complete OA publication of the full text. For more information about the procedure regarding entering a record on BORIS, please contact [boris@unibe.ch](mailto:boris@unibe.ch).

# 3 Rights clearance for an open access publication on BORIS Theses and e-Diss

We recommend starting as early as possible to clear all copyright and privacy-right issues concerning your dissertation. This can save you a lot of effort later on, for example, when you decide where to submit an article or what media content to use for your dissertation. Particularly when using images, it is helpful to clear all legal questions early on and secure the necessary rights for the desired usage of such content; ideally, you will initiate this process already during the writing process.

It is also necessary to state at this point, that you are solely responsible for clearing all legal issues concerning the content of your dissertation.

## 3.1 Licensing

Dissertations that are published electronically in open access must be issued with a copyright licence. We highly recommend using an internationally acknowledged Creative Commons License which allows you to determine the kind of usage of your work (e.g. commercial or not). You can freely choose the license and can pick the one most suitable to your work at <https://creativecommons.org/licenses/>. Please insert your chosen license on one of the cover pages of your dissertation.

The University of Bern recommends using a license that is as open as possible, ideally the CC-BY license, e.g. according to the following template:



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<https://creativecommons.org/licenses/by/4.0/>

This license allows readers to reproduce, disseminate and reuse your work independently of format, medium or purpose, as long as they provide the appropriate copyright and legal information and indicate whether any changes were made.

If parts of your dissertation are already published and contain copyright licenses that deviate from your main license, the relevant information needs to be included in two places:

First, the main license information governing the overall dissertation has to reflect if there are parts of the dissertation that contain different licenses (e.g. "this license does not apply to Chapter 3 and 4" or "images 4, 12 and 27 fall under the license mentioned in the image captions").

Second, any parts with a different license must feature the applicable copyright information. If it is another Creative Commons License, it must be listed along the guidelines of the main license. If they fall under other copyright conditions, the requirements of the rights-holders must be followed. If the deviating parts already feature their license information (e.g. if the publisher version of an article is used), no further information needs to be added.

## 3.2 Third Party Rights

You must clear all legal questions before you apply a licence to your work. Otherwise, your dissertation cannot be made openly accessible in accordance with your chosen license. If the dissertation (or parts thereof) originally appeared in print, make sure that all rights clearances are also valid for an online open-access version.

You must clear legal questions if your dissertation contains material that is subject to copyright or privacy-right issues. This applies, for example, to images, media content or book-chapter/journal articles that are under contract with a publisher.

Media content: you need to consider the privacy rights of depicted or recorded persons.

Copyright: Images taken from publications, downloaded from the internet, or obtained from image agencies, museums, private collections etc. can be subject to copyright; they can require exact quotation standards and their usage usually entails a fee. The same applies to audio- or video-recordings. We therefore recommend using open access materials (with CC-0 or CC-BY licenses) wherever possible. This can save you a lot of work and time. If in doubt, we recommend a thorough legal check to avoid litigation after publication. Using parts of copyrighted material counts as a modification to the original work and requires the consent of the copyright holder. If you make inquiries to clear the copyright of a work but you do not receive any replies, we recommend not using the medium.

Full-texts: If the dissertation contains full texts which have already been or are intended to be published elsewhere, you need to clarify whether publishing the material in the desired format is permitted (see 3.3 below)

If you need help with these issues, contact your dissertation advisor.

## 3.3. Preprints and Postprints of journal articles in article (cumulative) dissertations

Many publishers allow for "preprints" (submitted manuscripts that have not yet been peer-reviewed and rewritten; also called "submitted") and/or the "post-print" (the author's peer-reviewed, accepted version of the manuscript) to be made open access. However, only few allow open access to the published version, i.e. in the publisher's layout ("Version of Record"). Make sure to clarify which version (possibly after what length of embargo) you are allowed to make available in open access and what citation requirements the publisher stipulates.

Some publishers explicitly allow the publication of submitted articles as part of the author's dissertation even before the publisher/journal itself publishes the work. Without such permission, however, you will most likely have to wait until the article is published – even if it will appear in open access.

You can find helpful information about the open access policies of journals on the website [Open Policy Finder](#).

A helpful overview of the dissertation policies of various publishers can be found here:  
<https://github.com/tuub/theses-publisher-policies/blob/master/policies.md>

Please note: these webpages do not replace your own clearance work but are merely intended to help you with the task.

### **3.4. Further information**

- Articles or media content that were published under a Creative Commons License, can be used in a dissertation. Make sure that you take into consideration the exact stipulations of the used license.
- By accepting the disclaimer on BORIS Theses or signing the declaration of consent for publication on E-Diss, you confirm that you have clarified any rights issues relating to the use of third-party content. In the event of a legal dispute, responsibility lies solely with the authors. The University of Bern accepts no liability.
- Also note that you have to inform your co-authors about your planned publication
- Any permission you obtain for the open access publication on BORIS Theses must also allow for the harvesting of the dissertation by the Swiss National Library and of national as well as international dissertation portals to be made publically accessible in accordance with the used Creative-Commons-License.

## **4 File formats**

Discuss any questions about layout requirements to your thesis with your dissertation advisor, deanery or faculty. Our file-format requirements assure that your dissertation remains readable for as long as possible; they do not have any bearing on your dissertation's layout.

### **4.1 PDF-file of the dissertation**

Create a PDF, the content of which is identical with the printed version of the obligatory copy for your deanery. For data-privacy reasons you should not include your CV or other personal information. We accept formal modifications in connection with the electronic publication of the work, for example adding the Creative Commons License, adjustments according to 2.2 (see above) or fulfilling publishing requirements of a publisher, as long as the content remains the same. Please note that you can replace a Version of Record with a textually identical version without the publisher's layout.

Should you only be able to publish the introductory section/umbrella, we need the version accepted by your faculty as well as the complete version.

We recommend PDF/A as a format because it is better for long-term archiving. Whenever possible, we will publish the complete dissertation with all appendices in one PDF.

### **4.2 PFD file of the abstract for E-Diss**

For publication on E-Diss, create a second PDF containing the abstract of the dissertation (if you wish in multiple languages)

### **4.1 Other file formats**

Should your dissertation contains media-files (e.g. audio or video files, they need to be in a widely accepted format to ensure their long-term availability. Please get in touch with us if you have questions at [boristheses@unibe.ch](mailto:boristheses@unibe.ch).

### **4.2 Security**

You may apply PDF protection as long as this is compatible with the chosen license. However, printing the dissertation must always be possible.

## 5 Handing in your documents for E-Diss

For publication on E-Diss, fill out the form “Declaration of consent to the publication of the dissertation on BORIS Theses and e-Diss”.

Send an original of the signed declaration of consent by mail to the address below (scanned declarations are not legally valid) and the PDF files to [boristheses@unibe.ch](mailto:boristheses@unibe.ch).

***EXCEPTION – PhD candidates in the WISO, Law, Vetsuisse, and Phil-Hum faculties:*** please submit all files and documents to your deanery.

## 6 Long-term archiving

The Swiss National Library automatically harvests all Dissertations available on BORIS Theses and e-diss. The National Library is responsible for the long-term archiving of these dissertations.

## 7 File management and cataloguing

For the purposes of archiving, the University Library saves all files on its servers.

We create a record in our library catalogue, which contains a link to your dissertation and the abstract.

## 8 Further questions and contact

All further questions can be sent to [boristheses@unibe.ch](mailto:boristheses@unibe.ch).

**Postal address:** Universität Bern, Universitätsbibliothek Bern, E-Library, Hochschulstrasse 6, 3012 Bern