

REGULATION FOR THE SUBMISSION OF DOCTORAL THESIS OF THE IMT SCHOOL FOR ADVANCED STUDIES LUCCA

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Art. 1 - Purpose and goals

1. These Regulations (hereinafter, "Regulations") govern the procedures and criteria to be adopted for the submission, access, and conservation of the doctoral theses of the IMT School for Advanced Studies Lucca (hereinafter, "School"), discussed according to the procedures established by the School regulations and in compliance with current legislation concerning doctorates.
2. The School promotes open access to its doctoral theses, in line with the Berlin Declaration on open access to scientific literature, undersigned with the Director's Decree no. 03327(264).VI.1.10.11.11. For this purpose, the School has an open-access institutional archive for doctoral theses, called E-theses (hereinafter, "E-theses").

Art. 2 – Thesis submission and filing

1. All doctoral theses must be submitted to the School in both electronic and paper format.
2. It is the student's responsibility to submit the final version of the thesis in electronic format to the School. It is the responsibility of the School Library (hereinafter, "Library") to file the thesis on E-theses and fulfill the obligation to legally file the thesis at the National Central Libraries of Rome and Florence, in the manner prescribed by law.
3. The student is responsible for submitting one (1) paper copy of the thesis, written in the format required by the designated guidelines, to the School.

Art. 3 – Procedure

1. At least seven (7) days before the thesis defense date, the student must submit the final version of the doctoral thesis in digital PDF/A format and the appropriate thesis submission forms to the PhD and Higher Education Office (hereinafter, "PhD Office"). The student must deliver one (1) paper copy of the thesis to the PhD Office by the defense date.
2. The student must complete and sign the appropriate thesis submission forms indicating which access level they intend to provide to their thesis among those available (open access or embargo). Restricted access to the thesis (embargo) is allowed only in specific cases and for a limited time, under the provisions of Articles 4, 5, and 6 of these Regulations. The embargo for public safety reasons is an exception, for which current legislation applies.
3. Within 30 days from the defense date, the Library file the doctoral thesis in electronic format on E-theses. The thesis paper copy is listed and made available for consultation at the Library under art. 4 of this Regulation.
4. A unique and permanent URL identifies each PhD thesis filed on E-theses. Each PhD thesis filed on E-theses is assigned a Digital Object Identifier (DOI) and a National Bibliography Number (NBN).

Art. 4 - Access levels

1. Each doctoral thesis is filed on E-theses according to one of the following access levels, based on the student request through the appropriate thesis submission forms:

- Open access: the full-text of the thesis is immediately made available in open access on E-theses, with a Creative Commons license. One (1) paper copy of the thesis is made available for consultation at the Library;
- Embargo: the full-text of the thesis is temporarily made not accessible on E-theses. Only the metadata necessary to identify the thesis is made available on E-theses. At the end of the embargo period, the full-text of the thesis is made available in open access on E-theses with a Creative Commons license, and one (1) hard copy of the thesis is made available for consultation at the Library.

Art. 5 - Embargo

1. Each doctoral thesis can be placed under embargo for up to a maximum of 36 months. A possible extension of the embargo may be requested under art. 6 of this Regulation.

2. The embargo must be requested by the student within seven (7) days preceding the defense and may be requested for one (or more) of the following reasons:

a) the thesis or part of it has been submitted for publication to an editor, who does not allow to release the thesis in open access before publication;

b) the thesis is part of a project funded by third parties, public or private, and is subject to constraints relating to the dissemination of research results;

c) patent pending: the student or the project funder has filed a patent registration application relating to the contents of the thesis.

3. In the appropriate thesis submission forms, the student, who intends to request an embargo for their thesis, must:

- indicate the duration of the embargo, up to a maximum of 36 months;
- select one or more reasons for the embargo, exclusively among those provided;
- obtain a statement from their Advisor on the validity of these reasons.

Without even one of these requirements, the embargo request will not be valid, and the thesis will be issued in open access.

4. In the event of submitting the thesis to an editor, the embargo may be requested if the thesis is submitted to the editor before the thesis defense and only if the arrangements made prevent making the full-text available in open access before the publication of the thesis by the publisher.

5. If an application for patent registration based on the contents of the thesis is filed, the embargo can be requested only if the application for patent registration is filed before the thesis defense and for the time strictly necessary to obtain patent protection.

Art. 6 - Extension of the embargo

1. The embargo can be extended up to a maximum of 12 months regarding the duration indicated by the student on the appropriate thesis submission forms. The maximum duration of the embargo, including its extension, cannot, in any case, exceed four (4) years.

2. Alumni may request an extension of the existing embargo in the period between 12 and 3 months preceding the expiration of the embargo.

3. Alumni can request an extension of the embargo only if the reason (or at least one of them, in case of multiple motivations) indicated on the specific thesis submission forms presented before the defense is still valid and conforms to points a) or b) of paragraph 2 of art. 5 of these Regulations. Different or new reasons are not allowed.

4. The alumnus/a must send an embargo extension request to the PhD Office, attaching the documentation certifying the validity of their request. Acceptable documentation includes:

- in cases such as those listed at point a) of paragraph 2, art. 5 of these Regulations, documentation certifying the delays in the doctoral thesis publication and confirming the submission of the thesis to the publisher and/or agreements signed before the defense;

- in cases such as those listed at point b) of the same paragraph, documentation certifying the agreement signed with third parties in the context of research projects and related restrictions.

5. Each request for extension will be submitted for evaluation to the Scientific Board competent in the relevant disciplinary sector.

6. At the end of the embargo extension period, the full-text of the thesis is made available in open access on E-theses with a Creative Commons license, and one (1) hard copy of the doctoral thesis is made available for consultation at the Library.

Art. 7 - Legal registration

1. Each doctoral thesis filed on E-theses is collected through harvesting by the Central National Libraries of Rome and Florence, in compliance with current legislation on the legal registration of documents of cultural interest intended for public use (Law 106/04, Presidential Decree 252/06).

Art. 8 - Transitional and final provisions

1. For anything not expressly provided for in these Regulations, please refer to the current legislation on the subject.

Art. 9 - Entry into force

1. These Regulations enter into force the day after publication in the School's Official Online Register.