



## Information about publishing a dissertation

Version: July 2023

Please follow these guidelines when submitting your dissertation for publication.

If you have any questions about publishing your doctoral dissertation, please do not hesitate to contact the Service Point Publication Management (Service Point PM) at kiz:

E-mail: [kiz.publikationsmanagement@uni-ulm.de](mailto:kiz.publikationsmanagement@uni-ulm.de)

Phone: 0731/50-31428

Current information can be found at <http://www.uni-ulm.de/index.php?id=1774>.

### Submission Options

At Ulm university, the online publication of dissertations takes place on the institutional repository OPARU, print orders for archive copies are usually created via eKladde. In both cases, the Service Point PM checks the PDFs with regard to copyright and data protection before release/approval.

There are different options for complying with your publication obligation:

#### **Publishing on OPARU – the standard case**

For the online publication of your dissertation upload the PDF to OPARU (<https://oparu.uni-ulm.de/>), order 1 printed copy for the kiz archive in the Central Library (see below: Printing and Binding), and submit your signed [dissertation declaration form](#) (Forms & instructions).

You can send this form by e-mail, post or fax to the Service Point PM.

Once your dissertation has been published on OPARU, it cannot be deleted or exchanged.

#### **Publishing with a publishing house**

Submit 3 publisher's monographs together with the publisher's confirmation of a minimum print run of 150 copies to the Service Point PM.

Information has to be included in the impressum that the work has been submitted as dissertation at Ulm University. If you are planning to publish with a publisher, please contact the Service Point PM as early as possible.

#### **Cumulative dissertations**

A cumulative dissertation contains your own articles, if possible in the publisher's layout, and is usually published on OPARU. If there are legal reasons against publishing on OPARU, a publication in print (5 printed copies) is possible. If you have any questions, please contact the Service Point PM.

### **Exception: submission of 15 printed copies**

A publication in print of monographic dissertations is possible only in exceptional cases (e.g. because of licensing rights). Please clarify in advance with the Service Point PM.

## **Printing and binding**

Printing and binding in required quality should be done via kiz.

Please use the eKladde order form on the University services portal: <https://portal.uni-ulm.de/eKladdeNG/index.html>

No kiz account is necessary for this.

For a cost estimate before your printed copies are produced, please contact the Service Point Print directly (Tel.: 0731-50 22444, e-mail via contact form at <http://www.uni-ulm.de/index.php?id=85777>

Payment can be made with a university chip card, via a cost centre or via invoice. Current information is available at the Service Point Print: <http://www.uni-ulm.de/index.php?id=28499>

The Service Point Print will contact you after your dissertation has been printed.

**Please have your dissertation copyright-checked by the Service Point PM before printing,** if you are planning to print your dissertation externally.

### **Binding type:**

Adhesive binding is necessary, a soft cover is sufficient.

Binding types with strips, spirals, clamps or clear folders are not accepted.

### **Paper type:**

White wood-free and acid-free 100g paper.

### **Cover and title page:**

Colour and design of the cover do not matter. The cover must be followed by a title page on white paper. The information "Acting Dean" etc. must be written either on the back of the title page or on a separate sheet of paper.

## Dissertation submission to kiz

PDFs of print orders in eKladde will be checked regarding copyright before printing. The printed copies are then forwarded directly to the Service Point PM if printing and binding is done at kiz.

If you are planning to publish your dissertation with a publisher or to have it printed externally, **please submit your dissertation for a copyright check to the Service Point PM beforehand.**

Afterwards, please submit your printed copies to the Service Point PM.

## Confirmation of submission

After the submitted documents (OPARU upload, print order, dissertation declaration form) have been checked by the Service Point PM, the submission will be confirmed to the responsible doctoral studies office. Please leave us your e-mail address to receive a copy of this confirmation.

Afterwards, please contact your doctoral studies office to clarify the receipt of the certificate.

Allow time for the thesis to be checked by the Service Point PM. You can find information on the current processing time on our webpage "University publications": <https://www.uni-ulm.de/index.php?id=1774>.

## Data privacy protection

For privacy reasons, we recommend an academic CV. Personal information (address, name and occupation of parents, marital status, nationality, religion, children, etc.) should not be listed in the academic curriculum vitae. We recommend the following:

*First name, last name (and optionally your title)*

*Year and place of birth*

*Education*

*Compulsory community service / military service*

*University studies and degree*

*Professional and / or academic career and work experience*

*PhD / habilitation*

*Prizes and awards*

If you publish your work on OPARU, the OPARU document and the printed document must be identical (except for the CV / the dedication / acknowledgements). If, for example, your CV is only part of the printed version, then make sure that the pagination and table of contents of both documents match. If necessary, insert blank pages, and add a comment that the contents of the pages have been removed for data privacy protection reasons (e.g.: "CV was removed for data privacy protection reasons.").

## Copyright rules

Please publish your dissertation with a title that has not been used before, e.g. as the title of an essay or another book.

### **Re-use of your own publications:**

If you have already published parts of your dissertation in research articles, cite those passages as accurately as possible. Already published figures/graphs are to be marked with the source reference. Please include an overview page, e.g. as 3rd page, with the heading "Parts of this dissertation have already been published in the following articles:", then list your articles with the complete bibliographic information and, if applicable, a copyright notice.

Via "Copyright Clearance Center" you can obtain standard rights for the subsequent use of your article or individual figures. Go to the article page at the respective publisher and follow the instructions under the link "Request Permission". You will receive a licence, usually free of charge. Take this licence for your records.

In your monographic dissertation, please insert the copyright notice directly under the corresponding figures or, if applicable, in the body text. If you write a cumulative dissertation, insert an extra page in front of each article with the complete bibliographic information and the copyright notice.

Pay attention to the regulations in your author's contract. Your contract may already allow you to reuse your article.

### **Figures:**

For modifications of figures, you need a special permission from the rights holder (usually the publisher). A standard licence is usually not sufficient. This also applies to your own figures if they have already been published.

You do not need a special permission if you take over figures unchanged. In this case, you must 1) not use too many figures per article and 2) deal with them in greater depth in the text. If the figures/graphs are used in a merely illustrative way, you always need a special permission.

If you publish parts of your dissertation later on in an article, you must cite your dissertation according to the usual standards.

## Further Information

You can find further information about dissertation publication at

<http://www.uni-ulm.de/index.php?id=1774>

Service Point Publication Management:

kiz/Kommunikations- und Informationszentrum  
Bibliotheks-Zentrale  
Service Point Publikationsmanagement, room no. 2.403  
Albert-Einstein-Allee 37  
89081 Ulm  
Tel. +49 731 / 50 – 31428  
Fax +49 731 / 50 – 12 - 31428

E-Mail: [kiz.publikationsmanagement@uni-ulm.de](mailto:kiz.publikationsmanagement@uni-ulm.de)

You can contact the Service Point PM at:

Mon – Fri 9 a.m. – 12 p.m.  
and in the afternoon by appointment.

## Checklist – Publishing a Dissertation

**This checklist should help you to prepare your materials for the publication process. Please also note the specific regulations of your faculty. Further information is available at your doctoral studies office.**

- Oral examination has been passed, the version handed in to kiz has been approved for publication by the doctoral committee.
- Names of institutes, clinics or other facilities on the title page are correct.
- "2nd page": Names of the acting dean, the reviewers/supervisors and the date of the doctorate are correct.
- The title of the dissertation has not been used elsewhere, e.g. as title of an essay or another book.
- PDF document is not password protected, allows printing, has no other technical restrictions.
- PDF document (full texts and figures) is easy to read.
- Copyright has been checked: all text citations are marked, all figures and graphs not created by the author have a reference, necessary licences have been obtained and corresponding copyright notices are listed in the text.

### **Option 1 – the standard case: Publishing on OPARU and submitting 1 printed copy**

- PDF documents for OPARU and print order are identical. Deviations are only allowed for CV, acknowledgements and dedication (see dissertation declaration form). Replace these elements with blank pages if necessary and with a note that the contents of the page have been removed for data protection reasons. Table of contents and page count must match!
- If parts of the dissertation have been published in research articles before: Author contract / (Creative Commons) licences allow reprint of parts of the article (text/figures) or rights have been obtained.

### **Start publication:**

- Print order has been placed via eKladde.
- PDF document has been uploaded to OPARU.
- Personally signed dissertation declaration form has been sent to the Service Point PM.

**Option 2 – in case of publishing with a publishing house:  
Submission of 3 monographs**

- The publication contains an indication that it is a dissertation fulfilled at Ulm University. Confirmation of conformity has been obtained from the first supervisor beforehand.
- If parts of the dissertation have been published in research articles before: Author contract / (Creative Commons) licences allow reprint of parts of the article (text/figures) or rights have been obtained.
- 3 publisher's monographs and a confirmation by the publisher of a minimum print run of 150 copies have been sent to the Service Point PM.

**Option 3 – for cumulative dissertations only:  
Submission of 5 printed copies**

- Rights to reprint the research articles: Author contract / (Creative Commons) licences allow reprinting of articles or rights have been obtained.
- Print order has been placed via eKladde.