



Information about publishing a dissertation

Last modified: September 2016

Please follow these guidelines when submitting your dissertation for publication.

If you have any questions about publishing and submitting your doctoral dissertation, please do not hesitate to contact the kiz service point Publication Management:

E-mail: kiz.publikationsmanagement@uni-ulm.de

Phone: 0731/50-31428

You will find further information at <http://www.uni-ulm.de/index.php?id=1774>.

Submission Options

There are several options available to fulfill submission requirements (subject to change due to a pending revision of doctoral degree regulations):

Upload your work as a PDF-file to OPARU (<https://oparu.uni-ulm.de/>) and, in addition, submit 1 hard-bound copy and the completed and signed [declaration form](#) via (<http://www.uni-ulm.de/index.php?id=1774>).

or

In case of a cumulative dissertation: Submit 5 printed copies of the dissertation (2 hard-bound and 3 soft-bound copies) including reprints of the original articles (bound together with the dissertation). If the cumulative dissertation contains only open access articles or if the commercial publishers allow digital publishing, you should publish the dissertation on OPARU (please see above).

or

If you have published your dissertation with a commercial publisher: Submit 3 published monographs and a confirmation by the publisher about a minimum print run of 150 copies. The published monographs must contain a note pointing out that the work is a dissertation completed at the University of Ulm.

or

Submit 15 printed copies: 2 hard-bound and 13 soft-bound copies
(This option is not available for the following degrees: Dr. med., Dr. med. dent. and Dr. biol. hum.)

In certain rare and duly justified cases (e.g. for copyright reasons) we can offer individual submission options. This however must be clarified with our service point Publication Management before you submit your work.

The number of copies as mentioned above in your submission options do NOT include potentially compulsory copies for your doctoral studies office.

Publishing on OPARU

If you have chosen to publish on OPARU, you will find all the necessary information at <https://oparu.uni-ulm.de/>.

Please note that your file on the server normally will not be deleted or replaced in order to protect the integrity of the repository.

In addition to the upload of your dissertation as a PDF-file, you are required to order a professionally bound hard-bound copy via the eKladde (please see below).

Furthermore, you must submit the signed dissertation declaration form. You can submit it to the service point Publication Management by mail, telefax or as a scan via e-mail. By submitting this [declaration form](#), you equally accept the publishing contract.

Printing and binding

To meet mandatory quality standards, your work should be printed and bound by kiz. Therefore, please use our eKladde Printing and Binding Form at the Higher Education Services Portal: <https://portal.uni-ulm.de/eKladdeNG/index.html>
You do not need a kiz account.

If you have your dissertation printed by an external service provider, please adhere to the following requirements:

The hard-bound copies should be bound by a bookbinder and meet high quality standards. The color and layout of the cover is irrelevant.

Kind of binding:

The hard-bound copies must be expertly bound (adhesive binding).

Soft-bound copies can have a flexible cover but must be adhesive bound.

Ornamental borders, spiral binding or transparent folders will not be accepted.

Kind of paper:

White, wood and acid-free 100g paper.

Title page:

The first page after the cover (title page) must be on white paper. The name of the acting dean and the two correspondents as well as the correct date of promotion must be written either on the back of the title page or on another separate sheet.

If you wish to have a cost estimate prior to printing, please make direct contact with our service point Order Acceptance Printing & Media Services (Tel: 0731-50 22 444, e-mail: kiz.auftrag@uni-ulm.de).

Payment can be made by University chipcard, department billing account or invoice. Medical dissertations (only Dr. med./ Dr. med. dent.) may be eligible for reimbursement from students proposed budget. Current information is available at our service point Order Acceptance Printing & Media Services:

<http://www.uni-ulm.de/index.php?id=2430>

Printing Services will contact you, when your print is finished. If you already have printed unbound copies of your work, you can hand them in to kiz for binding. To do this, please directly contact Printing Services: <http://www.uni-ulm.de/index.php?id=37205>

Dissertation submission to kiz

If printing and binding are done by kiz, the mandatory copies are forwarded directly to our service point Publication Management.

In other cases, you may submit the copies (either in person or by surrogate) to our service point Publication Management. Outside the opening hours of the service point Publication Management, you may hand in your dissertation at our service point Information and Reference in the central library up until 6 p.m. After 6 p.m., you may hand in your dissertation at our service point Circulation.

Shipment by mail or delivery service is also possible. Please include a letter with your address and your e-mail-address with your shipment.

The address and opening hours of our service point Publication Management are listed below.

Confirmation of submission

Upon receipt of your order and review of the submitted work by our service point Publication Management, we will send a confirmation e-mail directly to the appropriate doctoral studies office. If we have your e-mail address, you will receive a copy of this confirmation.

If your work is to be published on OPARU, it is also necessary that we have your signed declaration form and that your work has already been uploaded to OPARU. Please remember to submit your work early and in the prescribed form so that the confirmation will not arrive too late at your doctoral studies office.

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)

Date 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 in 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

If you have already published any parts of your dissertation in a scientific journal, then these have to be clearly indicated by citations (including self-citations) or reformulated. Your graphics must be identified by the following addition: "First published in: *citation*". Additionally, you should also add an extra page to the beginning or end of your dissertation with approximately the following wording: "Parts of this dissertation have already been published in the following journal articles:" Then list these journal articles in the usual style.

Some publishers offer the „Copyright Clearance Center“. Please access your articles on the publishers' website and click on „Request Permission“. You now will be forwarded to the „Copyright Clearance Center“. Afterwards please choose „Reuse in a dissertation/thesis“. Then you normally will get a license free of charge to include the article into your dissertation. Please read these licenses carefully and store them at home. Most often you must include a copyright notice in your dissertation. Please note that you must comply with the stipulations of your author's contract with the publisher.

If you change figures taken from an article, please note that you need a special licence that permits modifications (even for your own articles, if they have already been published). Please check the regulations of the respective publishing house. Images may only be used and cited if you handle them as part of the content of discussion in your dissertation. The use of images for illustrative purposes is only permitted if you have obtained the necessary rights from the respective publisher!

If you intend to publish parts of your dissertation at a later date (e.g. after publication) in a scientific journal, you should cite your dissertation according to the usual rules. If rights were, or will be transferred to a publisher, this copyright transfer agreement may not contravene OPARU's publishing license.

Further Information

You will find all information about dissertation submission and publication at <http://www.uni-ulm.de/index.php?id=1774>

Address of our 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

You can contact our service point Publication Management at:

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

Dissertation Submission Checklist

This checklist should help you prepare your materials for submission and publication. Please be sure to review the regulations for doctoral studies. Further information is available at your doctoral studies office.

- You have passed your oral examination and successfully finished your studies. Any changes made in the examination copy have been incorporated into the final version intended for publication. The intended final version of the dissertation for publication (published copy) is available.
- The dissertation includes the correct name of the acting dean and the two correspondents as well as the correct date of promotion at the beginning on a separate page (or on the back of the title page).
- Names of institutions, clinics or other facilities that are listed on the cover are in accordance with the official form.
- The PDF document is not password protected, allows printing and contains no other technical limitations.
- The PDF document is legible. Due to the global availability, please check the readability of the dissertation by using a standard Windows PC with Acrobat Reader. If you have problems with the conversion from LaTeX documents, please contact us.
- Copyright rules have been followed: all text citations are clearly indicated. All the images and graphics from other sources have been cited.
- The confirmation of the supervisor about the congruence of content of the examination copy and the publication copy has been obtained.

Option 1: Publishing on OPARU and submitting 1 hard-bound copy

- The PDF file for OPARU and the PDF file for the printing order are identical. If they are not identical: CV/ dedication/acknowledgements were replaced by empty pages including a comment stating, that the content has been removed for data privacy protection reasons. The table of contents and pagination in both versions must match.
- If you have published parts of your dissertation in a scientific journal: are you permitted to reprint parts (text/pictures) of these articles in your dissertation? Check your author's contract. Get in touch with your publishers. Please note that regulations can differ between traditional and digital publishing. Please contact us if there are any legal ambiguities.

Start the publication process:

- The PDF file has been submitted as a print order via eKladde or has been printed by an external service provider. The dissertation is in accordance with kiz regulations. The print copy has been submitted to the service point Publication Management.
- Additionally, the PDF file has been uploaded to OPARU.
 - Keywords (usually up to 10) are inserted.

- An abstract is inserted. Please do not copy any abstract from a commercial publisher.
- The signed dissertation declaration form has been submitted to the service point Publication Management.

**Option 2:
Submission of 5 printed copies (for cumulative dissertations only)**

- The PDF file has been submitted as a print order via eKladde or has been printed by an external service provider. The dissertation is in accordance with kiz regulations. The printed copies have been submitted to the service point Publication Management.

**Option 3:
Submission of 3 monographs (only if they have been published by a commercial publisher)**

- The published monographs have been submitted in the right quantity and with the right layout. Every monograph includes a note stating that it's a dissertation, which has been published at the Ulm University.
- A confirmation by the publishing house about a minimum print run of 150 copies has been submitted to the service point Publication Management.

**Option 4:
Submission of 15 printed copies (not possible for the following degrees: Dr. med., Dr. med. dent., and Dr. biol. hum.)**

- The PDF file has been submitted as a print order via eKladde or has been printed by an external service provider. The dissertation is in accordance with kiz regulations. The printed copies have been submitted to the service point Publication Management.