



## Information on copyright & subsequent use of journal articles in your own dissertation

Who does this information apply to?

- You are planning a cumulative dissertation
- You are writing your dissertation and hand in an article in a journal about the same topic at the same time
- You want to use figures or longer text passages from your journal article in your dissertation

*Note: This information is for advice only and does not constitute legal guidance. For further legal questions, please contact Department I.*

### 1.) You have written a journal article and want to publish your dissertation at the same time

#### a.) „Article in preparation“ (*before submission of the article*)

- At best, complete your dissertation first.
- Check the conditions of the intended journal and, if necessary, contact the publisher. Clarify whether the article will still be accepted by the publisher after publication in the dissertation.
- If the article has to be submitted to the publisher first: Make sure that you retain non-exclusive reprinting rights for your dissertation.

In case a.) the rights are still with the author.

#### b.) „Article submitted“ (*if you have already submitted an article that you want to use in your dissertation*)

- Are you allowed to use parts of the article or the whole article in your own dissertation?  
→ Check the author's rights / copyright agreement / "Permissions" section of the website of the journal. If you don't find any regulations, please contact the publisher.
- How should the source be indicated? → Contact the publisher, if you don't find regulations.
- Background: As a rule, publishers are granted exclusive usage rights unless you publish Open Access. The actual transfer of rights takes place with "accepted", but from "submitted" the rights are no longer yours.



c.) „**Article accepted**“ (if you have already received a confirmation to publish your article after peer review)

- Are you allowed to use parts of the article or the whole article in your own dissertation?  
→ Check the author's rights / copyright agreement / "Permissions" section of the website of the journal. If you don't find any regulations, please contact the publisher.
- How should the source be indicated? → Contact the publisher, if you don't find regulations.
- May the dissertation be published before the article is published? → Contact the publisher.

d.) „**Article published**“ (if you want to re-use content from your own article and have not retained any rights to your content)

- Obtain a license from the publisher, usually via the Copyright Clearance Center.

**In cases b.) - d.), the exclusive usage rights normally lie with the publisher. Check the conditions of the journal for the (re-)use of the contents in your dissertation.**

e.) **The dissertation is published prior to the journal article.**

- If you publish your dissertation via the kiz, you keep all options for further use of your content. Even if your dissertation is published electronically on the institutional repository of Ulm University, as only non-exclusive usage rights are transferred to the kiz.
- Quote the dissertation in your journal article. Adhere to good scientific practice.

## 2.) Cumulative Dissertations

The doctoral regulations of your faculty specify how many articles in what stage must be part of your dissertation. As of your oral examination (day of the doctorate), you usually have **1 year** to publish your dissertation.

**Please note:** In case of doubt, the dissertation can - depending on the conditions of the selected journals - only be published **after the articles have been published** and/or an embargo period has expired.

## 3.) Use of larger parts of your own journal article in your dissertation

Insert a "3rd page" or an extra page at the end with the following wording:

"Parts of this dissertation have already been published in the following articles: ...".

Basically the following applies:

a.) If individual, „short“ parts of the article are cited, the source is sufficient.

b.) If a longer passage or the entire article is re-used add the source **and** a copyright notice (e.g. „Reprinted with permission from ...“).

Please check the license agreement for the wording of the copyright notice.



c.) For articles licensed under a CC-License the copyright notice consists at least of the reference to the original (source, DOI) and the license name with version number (e.g. CC-BY 4.0) including the link to the respective license text (e.g. <https://creativecommons.org/licenses/by/4.0>).

ATTENTION: The "3rd page" is not a carte blanche for all quotations from the article. In addition, you have to refer to the article every time you cite it. The 3rd page only offers the possibility to place a copyright notice.

#### **4.) Figures/Images (Image citation / reprinting license / modification license)**

- a.) If the figure is reproduced without changes and discussed in the text, a reference to the source is sufficient (In this case it is a citation.).
- b.) If the figure is reproduced without changes, but the content is NOT discussed in the text, a reprinting license must be acquired, e.g. via Copyright Clearance Center. After the citation of the source a copyright notice, which is in general verbalized by the publisher, must be stated, e.g. "Reprinted with permission of [copyright holder, usually publisher]".
- c.) If a "generally valid" figure, e.g. "The Cell", is adopted unchanged, a reprinting license must be purchased, as well. Here, too, the copyright notice is mandatory.
- d.) In case of a modification, modification rights must be acquired. These must be obtained directly from the rights holder. After the citation of the source, a copyright notice is also inserted here, e.g. "Modified with permission from [copyright holder, mostly publisher]".
- e.) In case of a new creation, in contrast to a modification, the presentation differs considerably from the original figure. No rights need to be obtained. The source is indicated with "according to [source]".

If you use the Copyright Clearance Center to obtain rights, please check the license agreement to see whether it contains modification rights and, if in doubt, contact the publisher. Some standard contracts allow modifications, others do not. The publisher may refer you to the authors for permission. Plan enough time for 4.d.).

#### **5.) Blocking notices:**

- A blocking notice can only be set in the case of industrial co-operations, service contracts and services that currently prevent publication.
- Blocking notices are not provided for any other reason, e.g. in connection with a journal publication.
- The confirmation from the kiz to the doctoral studies office (Promotionssekretariat) is always sent after publication, i.e. after the revocation of the blocking notice. Only then will you receive your certificate and be allowed to hold your doctorate. Please note the one-year deadline for the publication of your dissertation.