

Publishing a Dissertation

Prerequisites

The publication of your PhD thesis is the very last step in the dissertation procedure *after* you have successfully defended your PhD thesis and *after* you incorporated all changes requested by the Dissertation Committee (if any).

You must publish your PhD thesis within one year after the successful defense. In justified, exceptional cases the publication deadline may be extended by the Dean of Graduate & Executive Education.

Failure to publish your PhD thesis within the given deadline will lead to the termination of your PhD procedure. The submission of your PhD thesis as well as the oral defense as partial fulfillments for the award of the PhD degree will become invalid.

Publishing options

There are 3 possibilities of publishing your PhD thesis:

1. Publish the digital version on the World Wide Web through the IRC (see → page 2), i.e.
 - a. publish your complete thesis through the IRC, or
 - b. publish only those parts through the IRC that you have not yet published elsewhere.
2. Publish the printed version through a scientific or commercial publishing house, see → page 3.
3. Publish through a partner university if the agreement governing a double or joint degree allows this:
 - hand in a proof of publication, e.g. a link to an online publication, and
 - hand in 4 printed copies of the final version, see → page 3.

Regardless of how you publish your PhD thesis, you have to hand in 4 printed copies of the final version of your PhD thesis as it has been authorized for publication by your Dissertation Committee.

Conferral of the degree

Upon publication of a PhD thesis and the fulfillment of all other requirements for graduation, you will be conferred the PhD degree. The PhD certificate will be dated according to the date of publication of the thesis. The Student Records Office will issue the certificate about two weeks after publication.

Avoiding Copyright Infringements

If you publish via the IRC and the thesis contains material protected by third parties' copyright:

You have to check whether the respective copyright owners—typically publishing houses—allow an additional online publication of the material as part of your thesis and request the necessary permissions from them.

Unfortunately, publishers grant permissions very differently: some publishers have no objections against an additional online publication as part of a thesis on a university's publication server. Others have a number of obligations e.g. the publisher's post-reviewed version has to be used, the publisher's version must not be used but a link to the publisher's site has to be included, or similar. Some are extremely restrictive and forbid the publication of any part of an article except the abstract.

Most publishers have information about their policies in the contract you have signed or on their webpage. A good place to start is also the SHERPA/RoMEO database where publishers' standard copyright policies are collected: <https://v2.sherpa.ac.uk/romeo/>

For already published material the easiest way is often to locate the article on the publisher's website: most publishers these days offer a link for requesting permissions—often named "request permission" or "get permissions". You normally have to fill in a form and will then receive the conditions for the requested use.

If your thesis cannot be published online without violating rights of third parties, please consider the option to only publish those parts of your thesis through the IRC that you have not yet published elsewhere (see → page 2).

Option 1: Publishing on the World Wide Web through the IRC

Preliminary notes

- The IRC will publish the PDF version of your thesis; a printed copy will be on display.
- When publishing through the IRC you retain the right to subsequently publish the same work elsewhere.
- The 4 printed copies that you are required to hand in will be distributed by the IRC as follows: 2 copies are kept in the library, 1 copy is sent to your advisor, and 1 copy is sent to the Student Records Office.

Before you start printing and binding:

- Make sure that you have successfully defended your PhD thesis and incorporated all changes requested by your Dissertation Committee (if any).
- Format your thesis according to the → “Formatting guidelines” on pages 3-4 and send the PDF version of your thesis to irc-dissertation@constructor.university. Declare whether you want to publish through the IRC your complete thesis or only those parts that you have not yet published elsewhere. If you choose the latter, please prepare the PDF as described in the following paragraph.

If you publish through the IRC only those parts of your thesis that you have not yet published elsewhere:

- The digital and the printed version of your thesis will only contain those parts that you will publish through the IRC.
- Where there is a gap in the digital and in the printed version, include full bibliographic details of the publication of the omitted part. If possible, add a hyperlink and make it clickable in the digital version.
- Hand in the form **Statement on Contribution** itemizing *all* parts of your thesis and their respective publishers, i.e. the IRC and other publishers.

Upon the IRC's confirmation:

- Prepare 4 printed copies of the final version of your thesis, of which 1 copy has to contain the form **Authorization for Publication** as the first page before the title page. See → “Preparing the Printed Copies of the Final Version of your Thesis” on page 3.
- Let the Chair of your Dissertation Committee sign the form **Signature Sheet for the Conferral of the Degree**, and the form **Authorization for Publication**, which at this point is part of 1 printed copy. Both documents have to be submitted with **original signatures – no scan copies allowed!**
- Sign the form **Declaration on Publication**. You will have to hand in the *original* (not bound in).
- Upload the final PDF version of your thesis at <https://opus.constructor.university/publish>.
- Make an appointment with the IRC Publications Officer to submit the printed copies and the paperwork by sending an email to irc-dissertation@constructor.university.

If the thesis published through the IRC contains material protected by third parties' copyright:

- Hand in the permissions of the respective copyright owners—typically publishing houses—that must allow your use of the material. The permissions are accepted as forwarded email, PDF or hard copy. See also section → “Avoiding Copyright Infringements” on page 1.

If the thesis published through the IRC has co-authors:

- Hand in the form **Declaration of Consent** from all of your co-authors, resp. of the corresponding and/or first author - signed by each co-author, accepted as scanned copy.

All forms are available at <https://constructor.university/student-life/student-services/registrar-services/phd-students>.

Option 2: Publish through a Scientific / Commercial Publishing House

Preliminary notes

- The IRC distinguishes between two types of printed copies: the *final version*—as it has been authorized for publication by your Dissertation Committee—printed and bound by yourself, and the *publisher's edition*—printed and bound by the publishing house.

Before you start:

- Make sure you have successfully defended your PhD thesis and incorporated all changes requested by your Dissertation Committee (if any).
- Contact irc-dissertation@constructor.university and declare that you want to publish your complete thesis through a scientific or commercial publishing house.

Upon the IRC's confirmation:

- Prepare 4 printed copies of the final version of your thesis, of which 1 copy has to contain the form **Authorization for Publication** as the first page before the title page. See → “Preparing the Printed Copies of the Final Version of your Thesis” on page 3.
- Let the Chair of your Dissertation Committee sign the form **Signature Sheet for the Conferral of the Degree**, and the form **Authorization for Publication**, which at this point is part of 1 printed copy. Both documents have to be submitted with **original signatures – no scan copies allowed!**
- Make a copy of your contract with the publishing house.
- Obtain a proof from the publisher that the print-run will be 150 copies or higher.
- Obtain 2 copies of the publisher's edition.
- Make an appointment with the IRC Publications Officer to submit the printed copies of the final version and the publisher's edition as well as all required forms, by sending an email to irc-dissertation@constructor.university.

Preparing the Printed Copies of the Final Version of your Thesis

Regardless of how you publish your PhD thesis, you have to hand in 4 printed copies of the final version of your PhD thesis as it has been authorized for publication by your Dissertation Committee.

- All 4 printed copies have to contain the **Declaration on Authorship** after the title page - signed by you. You may want to align the formatting of that form with that of your thesis.
- 1 of the 4 printed copies has to contain the original **Authorization for Publication** as the first page before the title page - signed by the Chair of your Dissertation Committee.
- Use non-aging, acid-free paper, following the German Standard DIN ISO 9706.
- DIN A4 format is recommended, DIN A5 is also accepted.
- Perfect binding with cover is required - no spiral, coil binding or stapling.
- Printing double-sided is recommended.
- If your thesis contains additional non-text files (program files, multimedia files etc.) prepare CD-ROMs with all additional material and attach these to the bound copies. You should include a plain text file with a brief description of the files on the CD-ROM.

Formatting guidelines:

- Format the title page as shown on → page 4.
- Include a header that contains the name of the current chapter, centered or aligned to the outside margin; include a footer with the current page number, centered or aligned to the outside margin.

All forms are available at <https://constructor.university/student-life/student-services/registrar-services/phd-students>.

<Logo of partner university in case of
double PhD degrees>

Sample Title Page



<Title of Thesis>

by

<Author>

A thesis submitted in partial fulfilment
of the requirements for the degree of

Doctor of Philosophy

in <Degree>

Approved Dissertation Committee

<Name, title and affiliation of chair>

<Name, title and affiliation of committee member>

<Name, title and affiliation of committee member>

Date of Defense: <date>

<Name of School>