

REGULATIONS FOR DISSERTATIONS BY PUBLICATION

A dissertation by publication may be published in one of the following ways:

- 1.) As journal articles
- 2.) Electronically via the State and University Library
- 3.) Electronically via digital platforms
- 4.) As a book through a publishing house
- 5.) Self-published as a book

ABOUT 1.) PUBLISHING A DISSERTATION AS JOURNAL ARTICLES

The contents of a dissertation by publication are made available to the public as journal articles. If **all articles** of the dissertation are published in journals within one year in accordance with doctoral degree regulations 2010 (PromO 2010) or within two years (PromO 2017) after completion of the doctoral studies (= day of oral defense), the dissertation is then deemed published. The doctoral candidate must provide the Graduate School with proof of the relevant publications.

Four paper (print) copies of the complete dissertation by publication must be deposited with the State and University Library and one copy with the Graduate School. The State and University Library catalogs the print copies and makes these available for viewing or loan.

Pursuant to Section 13 subsection 4 PromO 2017, the degree certificate can only be issued when proof of publication has been provided. In these cases—and in particular when the dissertation has been published electronically via the State and University Library or digital platforms—the degree certificate can be awarded in a timely manner.

ABOUT 2.) PUBLISHING ELECTRONICALLY VIA THE STATE AND UNIVERSITY LIBRARY

Dissertations can be published electronically via the State and University Library Hamburg. Dissertations published in this way will always be published as **complete works**. It is not possible to publish individual articles electronically. Bear in mind that many journal publishers will not publish papers that are already available online free of charge. This must be clarified with the respective publisher.

Doctoral candidates receive access to the dissertation server and can use either their library card login or request access from Theses and Dissertations Handling at the State and University Library. Once the dissertation has been uploaded and the publication agreement signed, the Library will publish the dissertation electronically.

In addition to uploading your dissertation, you are also required to deposit two paper copies of your dissertation with the State and University Library and two paper copies with the Graduate School. The State and University Library catalogs the print copies and makes these available for viewing or loan.

A **confidentiality clause** can be applied temporarily to dissertations published electronically via the State Library. This is advisable if the author would like to publish their dissertation as journal articles. The electronic version will then temporarily be withheld in the part of the State Library that is inaccessible. It will not be submitted to the German National Library or listed in the Common Union Catalogue. The two print copies will be cataloged and made available for use in the State Library. The dissertation is then given the status of published—even though it will initially only be cataloged in the State Library.

The confidentiality clause can be applied for a maximum of three years. If the dissertation is not published elsewhere (as journal articles) by the end of these three years, it will automatically be published electronically by the State and University Library. The doctoral candidate must provide proof to the Graduate School if the dissertation is published as journal articles or electronically via digital platforms. In these cases, the dissertation will not be published electronically by the State and University Library. Please note that the fees paid to the State and University Library will not be refunded even if the Library does not publish the dissertation electronically.

ABOUT 3.) PUBLISHING ELECTRONICALLY VIA DIGITAL PLATFORMS

If **not all of the dissertation articles** are published in journals within one (PromO 2010) or two years (PromO 2017) after completion of the doctoral studies (= day of oral defense), or if **none of the articles are published in journals**, it is possible to publish these articles via digital platforms.

The dissertation is then given the status of published when the article(s) that are not or have not yet been published in journals are published via a digital platform such as: SSRN Working Paper Series, EconStor, or the WiSo Faculty's Working Papers Series. Bear in mind that many journal publishers will not publish papers that are already available online free of charge. This must be clarified with the respective publisher. The doctoral candidate must provide the Graduate School with proof of the relevant publications.

Four paper copies (print copies) of the complete dissertation by publication must be deposited with the State and University Library and one copy with the Graduate School. The State and University Library catalogs the print copies and makes these available for viewing or loan.

ABOUT 4.) PUBLISHING AS A BOOK WITH A PUBLISHING HOUSE

A dissertation by publication can be published as a monograph with a publishing house.

The minimum number of copies of an edition is sixty-five. The State and University Library Hamburg is to receive five and the Graduate School two copies.

ABOUT 5.) SELF-PUBLISHING AS A BOOK

A dissertation by publication can also be self-published as a book. The doctoral candidate must clarify with potential journal publishers whether or not the articles of the dissertation can then be published in journals.

The minimum number of copies of an edition is sixty-seven. The State and University Library Hamburg is to receive sixty-five and the Graduate School two copies.

EXCERPT FROM PROMO 2017

Section 12

Publication and submission obligations

(1) The dissertation must be published within two years of completing the doctorate. If the dissertation cannot be published within the time frame fixed therefor, the doctoral committee chairperson may grant an extension upon submission of a well-grounded petition therefor. It is sufficient for a dissertation by publication when the individual papers or essays are published. The publication of the individual works may occur separately.

(2) The doctoral committee shall decide in accordance with State and University Library requirements on how many printed or reproduced copies of the dissertation must be submitted by the doctoral candidate. The committee shall also determine in what form printed copies may be substituted with other information media. The State and University Library shall issue a notice when the publication obligations have been discharged.

EXCERPT FROM PROMO 2010

Section 12

Publication and submission obligations

(1) The dissertation must be published within twelve months of completing the doctorate. If the dissertation cannot be published within the time frame fixed therefor, the doctoral committee chairperson may grant an extension upon submission of a well-grounded petition therefor.

(2) The doctoral committee shall decide in accordance with state and university library requirements on how many printed or reproduced copies of the dissertation must be submitted by the doctoral candidate. The committee shall also determine in what form printed copies may be substituted with other information media.

(3) If the deadlines and any extensions set forth in subsections 1 and 2 above have elapsed without publication of the dissertation, the State and University Library shall publish the dissertation via the Internet or for dissertations by publication it shall publish those portions of the dissertation via the Internet that have not yet been published.