

1. What is a publication-based dissertation?

A publication-based (cumulative) dissertation is one in which the results of the research work are presented not as a monograph, but as a collection of scientific papers. The papers must have been submitted to recognized scientific journals or editors of peer-reviewed volumes.

The publication-based dissertation must, in its entirety, be equivalent to a monograph in terms of scope, quality, and scientific contribution.

Minimum requirements:

- At least three scientific papers
- Of these, at least one paper must be authored solely by the doctoral candidate

2. Components of a publication-based dissertation

2.1 Title page

The dissertation must be explicitly labeled as a “publication-based dissertation” on the title page. It must be submitted in bound form with continuous page numbering.

2.2 Framework document and overview

For a publication-based dissertation, a framework document must be prepared. This framework document includes an introduction, the placement of the research question in the scientific context, a description of the methodological approach, and a detailed account of the data used. It must explain which overarching research question connects the individual papers and which specific aspects each paper addresses.

Additionally, an overview must be provided listing the number, titles, publication medium, and submission status of the papers, as well as a complete list of all co-authors.

2.3 Collaborative publications

Co-authorship of papers, including by supervisors, is generally permitted.

However, co-authorship is only allowed if a genuine and significant scientific contribution has been made.

For jointly authored papers, a co-author statement must be included in the dissertation. This statement must be signed by all co-authors. It must describe the individual contribution of each participating person in detail. The faculty-provided template must be used for this purpose.

3. Evaluation

According to §7 of the doctoral regulations dated 10 July 2013, the doctoral committee usually appoints two reviewers. In justified cases, the doctoral committee may commission a third review.

Special regulations for publication-based dissertations (decisions of the doctoral committee):

Co-authors who contributed to more than half of the papers included in the dissertation cannot be appointed as reviewers. If co-authors contributed to exactly half of the papers, an additional (third) review will be commissioned.

The doctoral committee may also request a third opinion in other cases.

Reviewers who are co-authors of individual papers may not review the papers they co-authored.