Explanation of Section 10 (3) FPromO Tech – Handout for cumulative theses

(3) 1Actively publishing partial results while the thesis is being written is encouraged and therefore not damaging for publication of the thesis (Section 10 (2) RPromO).
2If publications with several authors are included in monographs or cumulative doctoral theses (see (4)), it must be clearly indicated which content originates directly from the doctoral candidate¹.

(4) 1If the supervisor agrees², a cumulative thesis can be submitted in place of a monograph.
2This consists of

1. At least three³ essays⁴ published⁵ or accepted for publication⁶ in a recognised publication medium with independent reviewers which the candidate can be proven to have written as a lead author⁷, and
2. a previously unpublished exposition⁸ of at least 40 pages in length which illustrates the contextual links between the published articles and relates their content to broader knowledge of the subject.

3The candidate and co-authors shall provide written confirmation of the authorship of individual contributions if jointly published articles are used⁹. 4 The declaration pursuant to sentence 3 can be waived in the event of a publication with an author contribution statement which clearly indicates the contribution made by each of the authors.

(5) The Doctoral Affairs Committee may also request evidence pursuant to paragraph 4 sentences 3 and 4 for monographs if they include cumulative aspects¹⁰.

¹This information should be included at a suitable place in the doctoral thesis.
²The supervisor’s consent has to be submitted at the same time as the application for initiation of the doctoral procedure.
³The publications ought to be recognisable as such and follow the format of the original publication.
⁴An essay traditionally refers to a paper, article or conference contribution, possibly also a letter, communication or review article, but not an abstract, commentary or note to the editor.
⁵Section 15 (4) sentence 2 RPromO stipulates that the obligation to publish does not apply to individual articles which have been accepted for publication and are currently in print and those which have already been published in electronic journals. The doctoral candidate is liable for complying with copyright for the publications included in the doctoral thesis. This is of greater importance when publishing the thesis rather than during the evaluation of the thesis.
⁶A publication shall be considered accepted if it has at least the status ‘accepted’. This does not include any publications which have been accepted subject to certain conditions or requirements (irrespective of whether major or minor).
⁷Lead authorship is defined as follows: the author has contributed a greater share to the work than all other authors individually.
⁸This section should not be taken from previous publications. It should act as a link between the various publications and bring them together in a context which makes sense from a scientific point of view.
⁹Please refer to the form ‘Confirmation of contribution made by co-authors in publications (Section 10 (3) sentence 2 FPromO Tech)’. This form should be completed for each publication used by the doctoral candidate.
¹⁰This is in particular the case when significant sections of a monograph have been taken from previously published works.