

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

- (3) 1 Actively publishing partial results while the thesis is being written is encouraged and therefore not damaging for publication of the thesis (Section 10 (2) RPromO).  
2 If 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 candidate<sup>1</sup>.
- (4) 1 If the supervisor agrees<sup>2</sup>, a cumulative thesis can be submitted in place of a monograph<sup>3</sup>.  
2 This consists of
1. At least three<sup>4</sup> essays<sup>5</sup> published<sup>6</sup> or accepted<sup>7</sup> for publication in a recognised publication medium with independent reviewers which the candidate can be proven to have written as a lead author<sup>8</sup>, and
  2. a previously unpublished exposition<sup>9</sup> 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.
- 3 The candidate and co-authors shall provide written confirmation of the authorship of individual contributions if jointly published articles are used<sup>10</sup>. 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<sup>11</sup>.
- (5) The Doctoral Affairs Committee may also request evidence pursuant to paragraph 4 sentences 3 and 4 for monographs if they include cumulative aspects<sup>12</sup>.

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<sup>1</sup> This information should be included at a suitable place in the doctoral thesis.

<sup>2</sup> The supervisor's consent has to be submitted at the same time as the application for initiation of the doctoral procedure.

<sup>3</sup> A cumulative dissertation can only be published in digital form via Open FAU (in accordance with Section 15 (4) No. 3 RPromO).

<sup>4</sup> The publications ought to be recognisable as such and follow the formatting of the original publication.

<sup>5</sup> An essay traditionally refers to a paper, article or conference contribution (published in proceedings), possibly also a letter, communication or review article, but not an abstract, commentary or note to the editor.

<sup>6</sup> Section 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.

<sup>7</sup> The submission of the thesis requires publications to be finally (not preliminarily) accepted. For the final version of the dissertation, the publications must be published and at least the corresponding citations including DOI must be listed in the appendix of the dissertation. For the sake of completeness, however, it is recommended to include the published or preprint versions (initial or accepted ones) in the appendix in accordance with the regulations of the publisher.

<sup>8</sup> Lead authorship is defined as follows: the author has contributed a greater share to the work than all other authors individually.

<sup>9</sup> This section should not be taken from previous publications. It should serve as a link between the various publications and embed them in a scientifically reasonable and understandable context. The added value that the cumulative dissertation contributes to the scientific field must be clearly visible. This section including the literature etc. should be located at the beginning of the dissertation, followed by the publications in original form.

<sup>10</sup> Please 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. The signed documents have to be submitted in original form and shall not be included in the dissertation.

<sup>11</sup> The lead authorship of the doctoral candidate should be apparent from the individual contributions of the authors.

<sup>12</sup> This is in particular the case when significant sections of a monograph have been taken from previously published works.

## Best practice example

A best practice example for structuring a cumulative dissertation is given below (subchapters have been omitted for simplicity):

Chapter 1	Introduction
Chapter 2	State of the Art
Chapter 3	Aim of the Thesis
Chapter 4	Applied Strategy and Used Methods
Chapter 5	Results and Discussion
Chapter 6	Conclusions and Prospect
Chapter 7	References
Appendix	Publications