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TECHNISCHE UNIVERSITÄT
BERGAKADEMIE FREIBERG

Die Ressourcenuniversität. Seit 1765.

Faculty of Geoscience, Geoengineering and Mining,

Faculty Board

Instructions for preparing a publication-based (cumulative) dissertation – Information sheet

The thesis is a scientific work authored by the doctoral candidate himself/herself, in the intended field of science of the doctorate. In addition to the classic monograph, the Faculty of Geosciences, Geoengineering and Mining of the TU Bergakademie Freiberg offers the possibility of submitting a publication-based (cumulative) dissertation. The basic procedure of the doctoral project (Rigorousum or structured doctoral studies, assessment of the dissertation) is unaffected by the chosen form of the dissertation.

According to the regulations for the award of doctorates, however, the publication of the results of the dissertation before the doctoral procedure is opened requires the agreement of the supervisor. The planned publications are to be discussed with the supervisor in good time.

The elements of the procedure that ensure the minimum standards of the doctorate for the case of the publication-based dissertation are listed below.

- 1. Definition.** The publication-based (cumulative) dissertation is an independent scientific work authored by the doctoral candidate himself/herself and that is written as a compilation of individual publications. In addition to the individual, already published (or at least accepted) scientific articles, independently written, comprehensive explanations and presentations of the scientific context of the individual publications to the overarching research question must be added. These explanations are intended to serve as a parenthesis and contains further explanations beyond the publications. In this way, a “common thread” should connect all the individual publications in a logical and comprehensible way and lead to an overarching conclusion. Thus, the sum of the individual publications with the added parts (introduction, bridge sections or chapters as well as summary) can be regarded and evaluated as a self-contained scientific work.
- 2. Publications.** The number of publications on which a cumulative dissertation thesis is based is generally set at three. Although the chosen publication media are basically free, manuscripts should have appeared or at least been accepted in established journals that are recognised as being of high quality in the scientific community. Non-renowned journals (predatory journals, bogus journals) are not acceptable. The worthiness of the doctoral thesis and its content is assessed by the peer review and the doctoral committee, which decides to the best of its knowledge and belief. Accordingly, the dissertation is worthy of a doctorate if proof of independent research has been provided, a new and original contribution to the field of knowledge has been made and the work is methodologically flawless. The responsibility of the scientific work to be assessed with regard to the quality of the content of the publications cannot be passed on to the peer reviews that have already taken place in the publication process. Publications that the doctoral candidate had already submitted to a journal for publication before graduating with a Master’s/Diploma degree (see admission requirements for doctoral studies in the regulations for the award of doctorates) cannot be considered.

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3. **Co-authorships.** The doctoral candidate must have made the outstanding and concise main contribution to the publication. Consequently, a publication can only be used by one doctoral candidate for a cumulative procedure. Furthermore, only a maximum of one of the persons appointed by the Faculty Board for the review may at the same time hold a co-authorship of the publications relevant to the dissertation.
4. **Proof of performance.** If the doctoral candidate does not have sole authorship of the publications on which the dissertation is based, the scientific contribution of the doctoral candidate must be clearly stated in a suitable form and the personal contribution must be determined and quantified. For each publication, a declaration to this effect by the co-authors, which must be confirmed by the supervisor, must be attached to the application for the opening of the doctoral procedure. This declaration must also include the agreement for use in the dissertation (see annex 1).
5. **Control.** The Faculty Council examines whether the aforementioned requirements for a publication-based dissertation have been met on the basis of the submitted declarations as part of the opening procedure.

Issued on the basis of the decisions of the Faculty Board on 03.11.2020.

Freiberg, 16th of November 2020

Prof. Dr. Matthias Reich
Dean

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Annex 1

"Title of the publication"¹

Published in: *"Source reference"*

This publication is to be used in a publication-based dissertation as part of the doctoral procedure of Mr/Mrs *"Title First name Last name 1"*. The scientific parts are as follows.

Authors	Percentage amount of the contribution	Contribution in detail	Signature
<i>"Title First name Last name 1"</i> .		<i>"e.g. idea, sample production, set-up of the measuring system, data acquisition, data evaluation, preparation / revision / collaboration of the manuscript / figures"</i>	
<i>"Title First name Last name 2"</i>		<i>"e.g. idea, sample production, set-up of the measuring system, data acquisition, data evaluation, preparation / revision / collaboration of the manuscript / figures"</i>	
<i>"Title First name Last name 3"</i>		<i>"e.g. idea, sample production, set-up of the measuring system, data acquisition, data evaluation, preparation / revision / collaboration of the manuscript / figures"</i>	

The above-mentioned publication is not part of another scientific qualification thesis.

The above-mentioned publication is part of another scientific qualification thesis:

Name of the co-author 1:

Title of the scientific qualification thesis:

Level of the qualification:

Signature of the co-author 1

¹ Please complete what is written in italics