

The present English translation of the official document „Richtlinie zur publikationsbasierten Dissertation gemäß § 9 Abs. 3 der Promotionsordnung des Promotionszentrums NITRO der Hochschulen TH Augsburg, TH Deggendorf und HaW Landshut“ is not legally binding and serves for information purposes only.

**Guidelines for publication-based dissertations
according to section 9 para. 3 of the doctoral regulations (PromO) of the doctoral center NITRO
of the universities TH Augsburg, TH Deggendorf and HaW Landshut**

from December 6, 2024

1) Active publication of partial results during the development of the dissertation by the doctoral candidate is desired and therefore not detrimental to the dissertation (§ 13 para. 1 PromO).

2) With the consent of the supervisor, a publication-based dissertation may also be submitted instead of a monograph section 9 para. 1 PromO). This approval must be submitted together with the application for the opening of the doctorate proceedings.

3) A publication-based dissertation following in accordance with section 9 para. 3 PromO consists of the following:

- a. at least three written papers already published or accepted for publication in scientifically recognized publication media with independent peer review, which the doctoral candidate has demonstrably written as the main author,
- b. an unpublished outline, which sets out the thematic context of the published papers and places the issue dealt with in a wider academic context. In particular, the following aspects must be included
 - Research topic
 - Motivation
 - Research question
 - Research contributions
 - Synopsis of the results
 - Reflection and overall conclusion

Research contributions do not necessarily consist of just one published or forthcoming paper. Several written papers can also be summarized under one research contribution. The following aspects must be explained for each research contribution:

- Research sub-question and how it relates to the central research question
- Research methods
- Core results
- Research discussion

Any breaks in the conceptualization and notation of the papers must be explicitly discussed and highlighted in the framework paper.

- c. Optional: Other written papers that are incorporated in the overall work. This also includes papers that are still in "under review" status. These papers must be identified as such.

4) If one of the three papers according to 3) a. is still in "under review" status at the time the doctoral proceedings are opened, the reviewers will decide whether the paper can be included in the doctorate as a publication according to 3) a. This vote must be unanimous.

- 5) If written papers with multiple authors are included in publication-based dissertations, it must be clearly stated what content of the written paper originates from the doctoral candidate. For the written papers defined in 3) a., the doctoral candidate must also state in the framework paper that they are the main author. Main authorship is defined as follows: The author has made a significantly higher contribution than all other authors and has provided the decisive contribution to the content and writing of the respective paper. As a rule, the main authorship is recognised by being the first author of a paper or by the fact that a contribution of at least 50% has been made.
- 6) A written paper cannot be submitted as a publication according to 3) a. in main authorship if it has already been submitted by a co-author in main authorship in another doctoral proceeding.
- 7) Written papers are traditionally considered to be: a paper, article or conference contribution (full conference paper) published in a conference volume (conference proceedings). In individual cases, letters, communications or review articles may also be regarded as papers. However, they do not include: abstracts/extended abstracts, commentaries or notes to the editor.
- 8) As a rule, recognised academic publication media are those that are characterised by a high citation frequency and academic regard. These include, for example, publication media listed in the SCImago Journal & Country Rank (SJR), the Web of Sciences, the VHB JOURQUAL (usually at least C ranking) or Scopus and/or international conference papers with full-paper peer review and/or other equivalent publications compatible with the academic culture in the respective scientific area. In consultation with the supervisor, other publication media that are considered to be equivalent in academic terms may be used, provided they have undergone at least one peer review process.
- 9) The dissertation to be submitted for assessment, which includes both the framework paper and the published papers, must contain all texts and data relevant for the understanding of the dissertation, if necessary appended as an appendix.
- 10) When submitting the publication-based dissertation for review, the written papers must be attached as an appendix in the final accepted versions. These must be recognisable as written papers and should retain the formatting of the original publication. For papers that have not yet been published, it is recommended that at least one preprint of the papers ("initial" or "accepted") be included in the appendix in accordance with the relevant regulations of the publisher.
- 11) The framework paper can be written in German or English. It should be in the language of the published papers on which it is based.
- 12) The doctoral candidate should summarise the publications in such a way that a common thread is recognisable from the sequence of the contributions and the framework in which they are embedded.
- 13) For the final version of the dissertation to be published, the papers must have been published and at least the reference thereto (DOI, etc.) must be included in the appendix of the dissertation. Papers that have been accepted for publication and have appeared in print or in electronic journals are exempt from the publication requirement.
- 14) The reviewers of the dissertation are responsible for assessing the quality of the underlying published papers. If reviewers have been involved in previous peer review processes, this must be disclosed (bias).

15) When setting up the Doctoral Examination Board, in addition to respecting the rules of the Doctorate Regulations, it must be ensured that at least one reviewer has not been involved as an author in any of the submitted papers.