

## **Regulations for publication-based dissertations**

### **Doctorate to the degree of Dr. sc. hum.**

#### **Faculty of Medicine Heidelberg**

##### **§ 1 Requirements for the submission of a publication-based cumulative dissertation.**

(1) A dissertation is, usually, a concluded individual work ("monograph") written by the doctoral candidate. Collaborative research publications reporting original scientific research may be accepted as publication-based cumulative dissertations in exceptional cases, if ( i ) the doctoral candidate's own contribution is clearly indicated, distinguishable and assessable; ( ii ) the doctoral committee agrees that the doctoral candidate's cumulative contribution is sufficient to be submitted as a publication-based cumulative dissertation (Doctoral Regulations Dr. sc. hum., § 7 (3), version of January 18, 2022).

(2) The doctoral candidate must be the first author of at least two peer-reviewed publications in leading international journals in the top third of the field that are related to the doctoral project. The doctoral committee decides on the recognition of the journal. In the case of a shared first authorship, written justification must be provided as to why the publication is considered equivalent to a single first authorship. Likewise, last authorships may also be considered equivalent to first authorships if this can be justified to the Doctoral Committee.

(3) All publications used for the dissertation must have a proven substantial own contribution by the doctoral candidate.

(4) Only original papers with a scientific appraisal procedure ("peer review") will be considered for a publication-based dissertation. Reviews and extended abstracts can only be submitted as additional publications.

(5) The decision whether to write a monograph or a publication-based dissertation must be made in consultation with the doctoral supervisor.

##### **§ 2 Application procedure for the submission of a publication-based cumulative dissertation.**

(1) Before writing the dissertation, the doctoral candidate must submit an application to the doctoral committee for approval concerning the submission of a cumulative dissertation. The application must contain the following information using the form provided for this purpose ("Darstellung der Eigenleistung der Doktorandinnen/Doktoranden"):

(i) List of publications that will be used in the dissertation, including the impact factor of the publications, and whether the publications have already been published or accepted ("accepted" status).

(ii) A detailed description of the personal contribution to the publications must be given. This statement must describe the individual contribution of the doctoral student - if applicable - in particular to the conception of the project, to ethics proposal, animal experiment proposal, literature search, data collection, analysis and interpretation of the data, and manuscript preparation.

(iii) If the cumulative dissertation depends on a publication with shared first authorship, an explanation of why the publication should be considered equivalent to sole first authorship must be provided. The same applies to last authorships.

The completed form must be signed by both the doctoral candidate and the doctoral supervisor.

(2) Doctoral candidates who have been accepted as doctoral candidates under the conditions of the doctoral regulations in the version of 2016 and who would like to submit a cumulative dissertation must submit a written justified request for a cumulative dissertation to the doctoral committee.

(3) The doctoral committee examines whether the quantity and quality of the proposed publications in connection with the stated contribution of the doctoral candidate are sufficient to satisfy the requirements for a cumulative dissertation. The doctoral committee's decision, the reasons for the decision made, and possible conditions that must be fulfilled for the acceptance of a cumulative dissertation are communicated to the doctoral candidate in written form. In case of a positive decision, the doctoral candidate will prepare a cumulative dissertation according to the guidelines below (§ 3) and submit it to the doctoral office together with an updated form "Darstellung der eigenen Arbeit" (see § 2 (1)), which again will be signed by the doctoral candidate and the doctoral supervisor.

### **§ 3 Format for publication-based cumulative dissertations**

(1) The publications used must be listed in a prologue, indicating the corresponding chapter of the dissertation. The dissertation must also include a detailed description of the personal contribution to each of the publications used, s. Composition Guidelines, chapter 7: "Personal Contribution to Data Acquisition / Assessment and Personal Publications".

(2) The publications must be surrounded by a text of approximately 30 pages. The dissertation text is to be written according to the Composition Guidelines of the faculty and should specifically contain at least the following parts:

- a detailed, overarching introduction to the theoretical, methodological and empirical foundations of the research work:  
The introduction must refer to the whole publication and clarify which main research question underlies the single publications; a contextualization of the single publications within the research question should also be provided; if necessary, reconciliations and connections between the single publications should be provided;
- the publications themselves;
- an overall discussion: this integrated discussion, in relation to the research question of the dissertation thesis, brings together the individual results of all publications. It includes a discussion of all publications. The contributions of the publications made to answer the research question formulated in the introduction must be presented;
- a summary in English and German.