UNIVERSITÄT ZU KÖLN

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CUMULATIVE DOCTORAL STUDIES – YES OR NO?

Information for doctoral candidates

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Overview:

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- **Dissertation formats**
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Requirements of the doctoral regulations:

Doctoral regulations of the Faculty of Human Sciences dated September 10, 2024 (Official Announcements 82/2024):

https://am.uni-koeln.de/e45267/data/records50493/AM_2024-82_PromO_HF_2024_ger.pdf

Requirements of the doctoral regulations:

For doctoral candidates:

1. Academic independence

   Section 1 (1) of the doctoral regulations of the Faculty of Human Sciences dated September 10, 2024:
   "[...] the ability to conduct **independent** scientific work beyond the general study objective pursuant to § 58 (1) HG [...].

2. Scientific quality and originality

   Section 1 (2) of the doctoral regulations of the Faculty of Human Sciences dated September 10, 2024:
   The Faculty of Human Sciences awards the degree of Doctor of Philosophy (Dr. phil.) – or, upon request, Doctor of Philosophy (Dr.*in phil.) – on the basis of a **scientifically noteworthy** written thesis (dissertation) and a public defense."

Requirements of the doctoral regulations:

Requirements for the dissertation in accordance with § 10 (1) PromO 2024:

1. Relevance
2. Scientifically significant results
3. Proof of the ability to conduct independent research and clearly present one's own findings

Dissertation formats:

1. Monograph
2. Publication-based dissertation (cumulative dissertation)
3. Monograph-based dissertation with partial publication

Monograph:

Monograph = coherent individual work: usually a dissertation in book form

Section 10 (2) (a):
"The monographic dissertation should not be published in its entirety."

This means that a monographic dissertation must remain **unpublished in its entirety** until the doctoral procedure has been successfully completed.

Even parts of the dissertation may NOT be published before completion of the doctoral procedure!

Monograph:

Pros:

Progress of the dissertation/doctorate can be largely controlled independently

Independence from the usual publication processes for academic journals (submission requirements, review procedures, etc.)

No publication costs, or costs incurred later

Cons

Long time until recognition by the scientific community

Parts of the manuscript that were conceived or written some time ago may need to be updated or revised

Cumulative dissertation:

Lat. cumulus, i *m:* pile, towering mass, quantity

BUT:

§ 10 (2) (c):
"The cumulative dissertation includes a presentation of the current state of research with special consideration given to the author's own research work.
The cumulative dissertation consists of

- **several individual research projects** and
- a **cover text that places the research work in a thematically and methodologically coherent context**."

Cumulative dissertation:

Pros:

- Early recognition by the scientific community
- Work process can be "divided up" in some cases
- Publication costs can be "divided into portions"
- Standard practice in some subjects

Cons

- Dependence on external factors: review processes, collaboration with potential co-authors, internal publishing processes
- Publication costs may be very high, usually not fully covered by USB subsidies
- Copyright and usage rights provisions of journal publishers:
  You yourself must strategically prevent conflicts with examination regulations in the context of your doctorate (publication of your dissertation)!

Cumulative dissertation:

Formal minimum requirements (Section 10 (2) (c)):

- Two individual studies
- With the doctoral candidate as first author
- Publication generally in recognized peer-reviewed journals
- Publication status: at least accepted for publication
- If applicable, if individual studies were written in joint authorship:
  Separate section in the main text of the dissertation describing the doctoral candidate's own contribution

Additional articles may be included and will then also be subject to review.
However, the minimum requirements do not necessarily apply to these articles, i.e., additional articles in manuscript form or articles in which the doctoral candidate is only a co-author or which have not undergone a peer review process may also be included.

Cumulative dissertation:

IMPORTANT:

Formal minimum requirements for the entire HF according to § 10

BUT

For specific individual cases, subject-specific, possibly additional quality criteria, therefore:

Consult with your supervisors about the specific requirements your dissertation must meet in terms of:

- Suitable journals for publication
- The optimal number of individual studies
- Possible collaboration with co-authors (conflict between authors' interests and doctoral thesis requirements possible)

Cumulative dissertation:

Practical information:

- Keep the **time factor** in mind!
  Review, revision, and publication processes can take up an unexpected amount of time and thus prolong the original schedule for your doctorate (fixed-term doctoral positions or scholarships).
- Please note the **publication requirement in accordance with the doctoral regulations**!
  All parts of a cumulative dissertation that have not yet been published elsewhere (previously unpublished articles AND main text) must be published **before you can receive your doctoral certificate and use the title of doctor** (§ 18 PromO of September 10, 2024).
  If articles from the dissertation have not yet been published but have already been submitted to or accepted by a journal, this may delay the awarding of the certificate.
  Therefore: Secure the right to publish preprints with your publishers!
  The final publication requirement in accordance with the doctoral regulations can then be fulfilled via the preprint publication, if necessary.

Monograph with partial publication(s):

Combination of elements from the monograph with elements from the cumulative dissertation:

- Publication(s) of parts of the dissertation possible during the doctoral program
- No formal requirements for individual articles (number, first authorship, peer review)
- No formal requirements for the subsequent design of the final dissertation: The dissertation can be completed according to either the monograph model or the cumulative dissertation model:

  a) Book from which certain contents have already been published in advance as an essay, contribution to an anthology, or similar.

  b) Collection of individual studies that are systematically placed in a larger thematic context.

Monograph with partial publication(s):

- … if an unplanned opportunity for early publication arises before a monograph is completed
- … if a cumulative dissertation is taking an unreasonable amount of time and early completion of the doctorate is necessary for other reasons

IMPORTANT:

Although the form of the dissertation must be chosen at the beginning of the doctoral program, **you can** change it **yourself at any time before submission in your Docfile file**; no application/approval is required for this. When submitting the dissertation, you must specify the form of the dissertation you have chosen for the last time (and then it can no longer be changed).

After completion of the doctorate, it is not immediately apparent to outsiders whether the form has been changed.

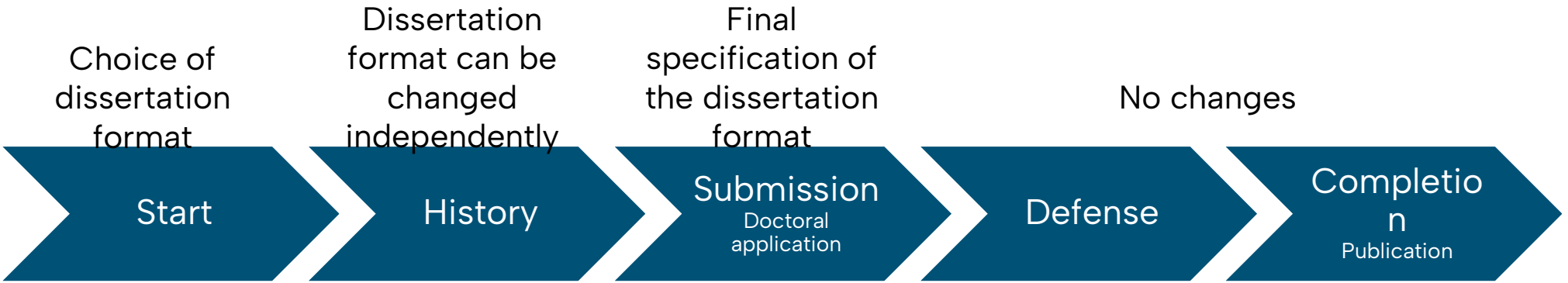
Cover text

- Theoretical introduction
- 1. Paper
- 2. Paper
- ..
- General discussion

- Introduction and overview ("review") of own work
- Appendix
- 1st paper
- 2. Paper
- ..

Dissertation formats – Doctoral process:

Monograph, cumulative dissertation, or monograph with partial publication:



Doctoral process

Dissertation formats – Doctoral process:

Status change of individual studies, e.g.:

- Article that had the status "submitted" at the time of submission is now accepted
- Articles that were submitted as "accepted" are now published

No impact on the progress of the doctoral procedure up to and including the defense

Dissertation formats – Doctoral process:

Publishers:
No binding deadlines; delays in the publication process are possible

Towards publishers and potential co-authors:
Right to pre-publication of submitted articles reserved!!!

If you have any further questions, please do not hesitate to contact the
HF Doctoral Office will be happy to assist you:

https://hf-promotionen.uni-koeln.de/promotionsbuero