

Cumulative Dissertation

Cumulative dissertation designates a kind of written doctoral achievement that does not consist of producing a single scholarly work but in which multiple scholarly works are recognized as a dissertation.

(1) In which schools is a cumulative dissertation possible?

Doctoral degree regulations of the following schools at Osnabrück University allow cumulative dissertations (the sections indicated in parentheses refer to the doctoral degree regulations of the respective school):

School of Cultural Studies and Social Sciences, but only for the subjects of geography, social sciences, and textile design (Section 10 III 1)

School of Physics (Section 9 III 2) School of Biology/Chemistry (Section 9 III 2)

School of Mathematics/Computer Science (Section 9 III 2)

School of Human Sciences Cognitive Science (Section 10 II 1)

School of Human Sciences Health Sciences (Section 9 III 1)

School of Humanities Philosophy (Section 10 III 1)

School of Human Sciences Psychology (Section 10 III 1)

School of Business Administration and Economics (Section 1 II 2)

(2) To whom and in what version must a cumulative dissertation be presented?

Essentially the same rules apply for cumulative dissertations as for conventional dissertations. This means, in particular, that a cumulative dissertation must first be presented to a dissertation committee or the responsible authority according to the relevant doctoral degree regulations. The committee or responsible authority then presents the dissertation to reviewers or expert referees for assessment.

After the work has been assessed and an oral examination or thesis defense has been passed, the dissertation must be made publicly available to the scientific community, meaning it must be published.

In addition, the dissertation must be presented to the University Library to be archived.

(3) Publication of a cumulative dissertation

All of the doctoral degree regulations named above require that the dissertation be made “publicly available to the scientific community,” meaning that it be published. This can occur by

1. Delivering

- a. An electronic document in accordance with the specifications of the “Preliminary Rules of Procedure” for the electronic publication of a dissertation in the latest relevant version.
 - b. A microfiche and additional copies (NOT in the School of Cultural Studies and Social Sciences, the School of Human Sciences, Cognitive Science, and in the School of Business Administration and Economics)
 - c. Additional print or photo reproductions, respectively.
2. Proof of publication in a journal. PLEASE NOTE:
- In the School of Human Sciences, Philosophy, Psychology, and Health Sciences, only publication in peer-reviewed journals can be considered; in the School of Human Sciences Philosophy it is sufficient for central parts of the dissertation to be published under a peer-review procedure (Section 18 III d).
 - In the School of Business Administration and Economics, the publication must have occurred in a refereed publication (Section 11 II d).
 - In the School of Human Sciences Health Sciences, a work counts as being published when it has been accepted for publication but has not yet appeared (Section 17 III d).
 - In the School of Human Sciences Health Sciences, Philosophy, and Psychology, proof of publication for a cumulative dissertation can also be provided by publishing the introduction, conclusion, and an abridged version of the works recognized as a cumulative dissertation that were approved by at least one reviewer (Health Sciences Section 17, VII, Philosophy and Psychology, both Section 18 IV).
3. Proof of dissemination via book trade by a commercial publisher with a certain minimum circulation.

The number copies/workpieces to be submitted depends on the respective doctoral degree regulations.

Since a cumulative dissertation consists of multiple parts, publication could happen in various ways. For example, some parts could appear in journals and other parts as e-dissertations. In this case, it suffices for the e-dissertation to refer by means of bibliographic references to the parts that were published in journals.

In choosing the publication medium, you should consider the fact that the doctoral certificate—without which it is not allowed to use the doctoral title—is not presented to the candidate until the dissertation has been published in full. There are exceptions for cumulative dissertations in the School of Human Sciences Health Sciences, Philosophy, and Psychology (see above). In the School of Business Administration and Economics, the right to use the doctoral title can be granted

if it can be proven that the dissertation will be published within one year or the dissertation has been accepted for publication in refereed publications.

(a) Rights of use

When a dissertation is published in a journal or a book, editors or publishers require authors in some cases to grant a right of use to the text being published. This can happen in several ways. For example, the author of a text can grant an exclusive or simple right of use to a publisher; the right to use can be limited in terms of time or place; or it can be granted only in relation to certain kinds of publication. For this reason, generally valid, binding statements cannot be made here about the consequences of granting rights of use. A separate decision on this issue must be made in each individual case.

However, it should be noted that granting an exclusive right of use generally means authors no longer have any control over their work, even if granting rights of use has no consequences for the doctoral procedure as such. If publication is delayed, this means that the doctoral certificate cannot be presented—and consequently, that the title of doctor may not be used.

In cases of doubt, you should thus consult with the respective publisher before publishing an article that has already been accepted for publication as an e-dissertation in a planned issue of a journal. You can find more information at the Sherpa/Romeo website (<http://www.sherpa.ac.uk/romeo/>).

(b) Changes in the published version

When a dissertation is published in a journal or a book, it must often be changed to follow recommendations of editors or publishers. The question thus arises of the degree to which the assessed dissertation may be changed in the published version.

According to all of the doctoral degree regulations named above, even substantial changes are generally allowed. However, in these cases approval must be obtained. The persons or bodies whose approval is required is indicated by the relevant doctoral degree regulations (see below in point [c]).

Editorial changes—for example, the correction of mistakes in spelling or grammar—are always possible without the need for approval. This is also the case if figures that were in color in the assessed version are to appear in the published version in black and white. Nevertheless, you should make sure that the claims being represented by the figure are also clearly recognizable in black and white. In cases of doubt, you should thus consult with the relevant bodies before making changes.

(c) List of persons/bodies who must approve substantial changes to an assessed dissertation for its publication:

School of Cultural Studies and Social Sciences (Section 15 VII)

If the published dissertation differs substantially from the refereed and assessed dissertation independent of paragraph 6, then written approval must be obtained from the first advisor and the chair of the dissertation committee before it is published. This is the case especially for publication according to point (d) (cumulative dissertation).

School of Physics (Section 17 VI 1)

If the publication differs substantially according to points (1) 2 and 3, at least one member of the committee and the dean must approve the change in writing before publication. The change is to be indicated in the publication.

School of Biology/Chemistry (Section 17 VI 1)

If the publication differs substantially according to points (1) 2 and 3, at least one member of the committee and the dean must approve the change in writing before publication. The change is to be indicated in the publication.

School of Mathematics/Computer Science (Section 17 VI 1)

If the publication differs substantially according to points (1) 2 and 3, at least one member of the committee and the dean must approve the change in writing before publication. The change is to be indicated in the publication.

School of Human Sciences, Cognitive Science (Section 18 VII 1)

If the publication differs substantially according to points (1) 2 and 3, the chair of the dissertation committee must approve the change in writing before publication. The change is to be indicated in the publication.

School of Human Sciences, Health Sciences (Section 12 II 3)

The publication of an abridged or revised version is allowed by decision of the dissertation committee following an application from the candidate.

School of Human Sciences, Philosophy (Section 18 VII 1)

If the publication differs substantially according to points (1) 2 and 3, one reviewer and the chair of the dissertation committee must approve the change in writing before publication. The change is to be indicated in the publication.

School of Human Sciences, Psychology (Section 18 VI 1)

If the publication differs substantially according to points (1) 2 and 3, one reviewer and the chair of the dissertation committee must approve the change in writing before publication. The change is to be indicated in the publication.

School of Business Administration and Economics (Section 11 I)

The dissertation must be published within one year of the successful defense of the thesis in a version that is approved by the reviewers. If one of the reviewers does not approve, the dissertation committee decides whether approval will be granted. In justified cases, the dean can extend the publication deadline in response to an application submitted before the deadline is reached.

(3) Archiving

In addition to the obligation to publish the dissertation (as a part of the scholarly achievement to be attained), there is also an obligation to provide copies of the dissertation to the University Library free of charge for archiving (and in the School of Business Administration and Economics, also to the Dean's Office). All doctoral degree regulations require these "archival copies" to be printed on archival-quality, wood-free and acid-free paper and to have a permanent binding.

The archival copies make it possible for the university to loan all dissertations for which it has granted a doctoral title to other libraries or users if necessary. At the same time, the University Library is obligated to send two copies of the dissertation, respectively, to the German National Library (for its sites in Frankfurt and Leipzig), as well as one copy to the Lower Saxony State Library.

The purpose of archiving and delivering copies of the dissertation is not met if the archived dissertations are not complete or, in the case of cumulative dissertations, if they only contain bibliographic references about where to find the published parts of the dissertation. For this reason, the copies of the dissertation that will be archived must contain all contributions. For articles that have already been published, a reference should also be given to where the work originally appeared.

Whether the publisher's version or pdf can be used or not depends on the respective publisher. Some publishers in fact require the use of their version or pdf. You should clarify details in the regard directly with the publisher. You can find more information at the Sherpa/Romeo website (<http://www.sherpa.ac.uk/romeo/>).

Exceptions from this obligation to include all previously published articles in the copies that will be archived and delivered to other institutions are possible only if a publisher has explicitly excluded or prohibited any further use. The doctoral candidate must prove this is the case. In this case, a precise indication of the source or a digital object identifier (DOI) of the previously published contribution should be included. Whether and under what conditions a publisher allows a second publication should be clarified with the respective publisher. You can find more information at the Sherpa/Romeo website (<http://www.sherpa.ac.uk/romeo/>).