

English version for informative use only. Only the German version has legal validity.

Guidelines for publication-based dissertations at the TUM School of Management

Preamble

Regulations for the Awarding of Doctoral Degrees at the Technical University of Munich dated 23 August 2021, as amended by the amendment statute dated 26 September 2024, §7 section (2):

„Regardless of its form, the dissertation must demonstrate the candidate's ability to carry out independent scientific work and to present its results clearly, and it must make a new, further-reaching and coherent scientific contribution of its own. “

Regulations for the Awarding of Doctoral Degrees at the Technical University of Munich dated 23 August 2021, as amended by the amendment statute dated 26 September 2024, §7 section (3):

„¹The publication-based dissertation must provide a description of the scientific problem, the approaches used to solve it, results and conclusions achieved and related literature, all of which are to be presented in such a way as to express the position and classification of the work in an overarching scientific context and its contribution to the scientific dialog beyond the articles on which the publication-based dissertation is based.

²For this purpose, the degree-awarding institutions adopt guidelines that define the scope of the written text and the number, type, requirements, and weighting of the publications and ensure that, in the case of joint publications, individual contributions are made transparent and that the relevant confirmations of co-authors are provided.

³Within the scope of their guidelines, degree-awarding institutions are required to ensure that at least two accepted publications are included, which have been prepared under the main authorship of the doctoral candidate (full paper, generally in English, in an internationally circulated, peer-reviewed medium), while respecting the legal positions protected by copyright.

⁴The papers accepted for publication and published in print or electronic journals must be enclosed with the dissertation as an appendix.“

In accordance with these requirements, the TUM School of Management issues the following binding guidelines for publication-based dissertations:

§ 1

Structure of the publication-based dissertation

- a. Summary in English and German (approximately 500-1500 words in total)
- b. Introduction, theory and methodology (should not be less than 5000 words)
- c. Results section with brief summaries, indicating the status of publications at the time of submission of the dissertation, bibliographical references and clarification of the individual contributions of the doctoral candidate.
- d. Cross-thematic discussion section with reflection on the existing literature and the objectives of the thesis (should not be less than 3000 words).
- e. Bibliography and references
- f. If applicable, list of tables and figures
- g. Appendix: Full-text versions of accepted or published publications pursuant to § 7 section (3) sentence 4 PromO and unpublished results pursuant to § 5 of these guidelines.

§ 2 Publications

The publication-based dissertation must include at least two accepted publications in English (full papers) that have been accepted for publication by an internationally distributed medium with a peer review process in accordance with § 3.

§ 3 Publication formats

- (1) The publications must have been accepted or published in an internationally distributed medium in the relevant discipline. The internationally distributed medium must meet at least one of the following criteria according to the current rating or ranking (at the time of submission of the dissertation or acceptance of the publication) (target level):
 - At least category B according to the partial rating of a relevant expert committee of the Verband der Hochschullehrerinnen und Hochschullehrer für Betriebswirtschaft e.V. (VHB)
 - at least Category A according to the Australian Business Deans Council (ABDC) Ranking
 - at least Category 3 according to the Association of Business Schools (ABS) Ranking
 - at least Q2 according to Clarivate Journal Citation Report (JCR).
- (2) If the target level from § 3 section (1) has been achieved, the reviewers of the examination board confirm this in their review.

§ 4 Lead authorship

- (1) At least one of the publications listed in § 2 must have been authored under the sole leadership of the doctoral candidate. Lead authorship means that the doctoral candidate must make the main contribution to the publication. "Sole leadership" means that the doctoral candidate has made the central contribution to the conception, implementation and evaluation of the research project and to the writing of the publication. It is a question of intellectual authorship and not just technical collaboration or formal supervision. The second of the publications mentioned in § 2 may also have been authored under shared leadership. In this case, the doctoral candidate must have taken the lead for a clearly definable and identifiable area. A maximum of three authors may share the leadership in this way.
- (2) In the case of publications pursuant to § 2 and unpublished results pursuant to § 5 that have been written with co-authors, the doctoral candidate's leadership and the individual contributions of the authors must be proven. Attachment A is to be used for this purpose.

§ 5 Unpublished results

- (1) Unpublished results can be included in the appendix of the dissertation as additions to be evaluated, clearly separated from the included publications.
- (2) These additions should be referenced in the results section with brief summaries that clearly demonstrate the doctoral candidate's individual contributions. Again, they

should be clearly separated from the summaries of the included publications. These additions can also be included in the introduction, theory, and methodology sections, as well as the cross-thematic discussion section.

- (3) It should be noted that only the manuscripts accepted for publication and published in print or electronic journals attached as an appendix in compliance with § 7 section (3) sentence 4 PromO are exempt from the obligation to publish (see § 21, sentence 2 PromO). Hence, all unpublished results must be included in the published dissertation.

Adopted on July 16, 2025 by the School Council of the TUM School of Management. Binding for doctoral candidates who applied for entry onto the doctoral candidacy list after July 16, 2025 or who have submitted an application for this guideline to apply.

Attachment A

Declaration regarding the lead authorship and the individual contribution of the doctoral candidate pursuant to § 4 section (2) of the Guidelines for publication-based dissertations at the TUM School of Management as well as confirmation of the co-authors pursuant to § 7 section (3) sentence 2 PromO

Surname, first name of the doctoral candidate:

Publication/working paper (title, names of all authors, information on rating or ranking, and bibliographic information, if available.):

I have authored the publication/working paper:

- ☐ in sole leadership
☐ in shared leadership with
☐ neither in sole nor in shared leadership.

Process step	Individual contribution (in %) and additional explanation

Place, date, signature of the doctoral candidate

Declaration by the co-authors:

As a co-author, I confirm the above declaration regarding the lead authorship and the individual contribution. I agree that the publication/working paper may be used in the above-mentioned doctoral procedure as part of a publication-based dissertation.

Name of co-author	Date and signature

Note: Instead of signing the original declaration, a scanned confirmation may be submitted as an alternative.