

## Guidelines for the Submission of a Dissertation at the GSLS

### 1. General Guidelines for Writing and Submitting a Dissertation at the GSLS

Before you start the process please see

[http://www.graduateschools.uni-wuerzburg.de/life\\_sciences/for\\_doctoral\\_students/thesis\\_submission/](http://www.graduateschools.uni-wuerzburg.de/life_sciences/for_doctoral_students/thesis_submission/) for a general overview.

### 2. Preparing a Dissertation Based on Several Published Manuscripts

The GSLS agreed at the General Assembly on September 17<sup>th</sup>, 2009 to consider the submission of a “**Dissertation Based on Several Published Manuscripts**” on a case-by-case basis. Drawing on the experience obtained with the procedures outlined below, the case by case approach should lead to a general regulation in the GSLS Graduation Regulations.

#### 2.1 Consulting Meeting

If a candidate plans to submit a dissertation based on several published manuscripts, he or she **must contact** the GSLS Office at least 4 weeks before starting to write the thesis. This period is necessary to provide sufficient time for the student to take care of the points listed below. The primary supervisor is welcome to participate in this consultation.

#### 2.2 Publication Record

One first-author publication in a peer-reviewed international journal is generally a prerequisite for graduation from the GSLS. Apart from this, no fixed regulations exist regarding the number of papers to be included or position of the doctoral researcher within the list of authors. However, it should be pointed out that at least two accepted first author or shared first author manuscripts must exist. Manuscripts which are still in the review process or which are about to be submitted may be included. The Thesis Committee and the GSLS Section Speakers have to certify (see form: [Approval of a “Dissertation Based on Several Published Manuscripts”](#)) that the publication record of the candidate is significantly above average. The candidate must have written most of each included manuscript themselves and must have played a decisive role with respect to the scientific content (planning and execution of experiments, data analysis, and interpretation of results). This must be documented in a particular form, which must be included in the dissertation (see form: [Statement on individual author contributions and on legal second publication rights](#)).

#### 2.3 Copyright

Prior to the publication of the dissertation and thus prior to receiving the doctoral degree, the University Library demands that the candidate signs an “Author Contract” ([www.opus-bayern.de/uni-wuerzburg/uni/Autorenvertrag\\_OPUS\\_de.pdf](http://www.opus-bayern.de/uni-wuerzburg/uni/Autorenvertrag_OPUS_de.pdf)). This document certifies that the candidate is indeed legally entitled to publish the manuscripts within the dissertation. Issues to be considered in this respect:

- **Co-Authors**

Copyright law requires that *any* publication be approved by *all* co-authors. Therefore, the candidate must inform all co-authors about the intended (secondary) publication of a manuscript in the context of the dissertation and obtain permission to do so (e-mail suffices).

- **Publishers**

The candidate must clarify with the journal publishers the publishing rights for each manuscript to be included in the dissertation\*. The respective rules and regulations of most publishing companies can be found at „SherpaRomeo“ ([www.sherpa.ac.uk/romeo](http://www.sherpa.ac.uk/romeo)). However, the information obtained on this web page is not legally binding. If in doubt, it is necessary to check the publisher’s homepage (for an example see: [bloodjournal.hematologylibrary.org/misc/rights.dtl](http://bloodjournal.hematologylibrary.org/misc/rights.dtl)) or to directly ask the publisher for permission. Many publishers allow a secondary publication of an already-published manuscript within a dissertation. However, restrictions often apply in case of manuscripts which are still in the review process (“Pre-Print”). Please note that this is also true for manuscripts which are not yet submitted. In other cases it is not allowed to use the layout of the journal, or there may be an embargo period. If the latter is the case, the candidate may still immediately submit the dissertation to the University Library, asking for a publication deferment until the embargo period is over. This fulfills the requirement to submit the dissertation to the library and the doctoral diploma can be awarded without delay. If a publisher completely refuses the right to secondary publication, the following option exists (provided that the supervisors agree): A page with the full reference to the published paper including the paper abstract may replace the manuscript in the electronic version of the dissertation to be published on the library’s OPUS publication server.

\*Remark: This requirement cannot be circumvented by submitting to the library printed copies or microfiche only. Even then, consent of the publisher is required.

Please consider that all the issues raised above may apply also for manuscripts that have not yet been submitted.

#### **2.4 Elements of the Dissertation**

The manuscripts can be incorporated either in the original journal layout (publisher's permission provided) or in a different layout. They may also be included as individual chapters in a continuous text. In addition, the dissertation must include the following:

- A "**Declaration of Authorship**" (see form: Statement on individual author contributions and on legal second publication rights)
- A one page "**Summary**" of the dissertation, in German and English
- A comprehensive "**Introduction**", explaining the scientific topics and questions underlying the thesis work.
- A comprehensive section **Materials and Methods**, listing in particular "supplementary materials" that were not included in the original papers (Dissertations are documents of reference for further projects in the lab)
- A section "**Discussion**", summarizing the results and discussions of the individual manuscripts included in the dissertation.
- A continuous "**List of Publications**", comprising the references from all manuscripts included in the dissertation.
- A signed CV
- Affidavit / Eidesstattliche Erklärung

#### **3. Consulting Meeting before Submitting the Dissertation for Review**

The candidate is advised to contact the GSLS staff again **before** the 8 copies of the dissertation necessary for the evaluation process are printed. This serves to avoid formal mistakes and thus unnecessary cost and delays.