

## Submission of Doctoral Theses: Checklist for Students and Supervisors

- When you submit your thesis to the Medical University of Graz, it will be screened, in your interest and in the interest of the university, for a number of issues related to Good Scientific Practice (GSP) including plagiarism.
- Considering this checklist will assure that your thesis will pass the screening process without delay and quickly enter the review process.
- By the time you submit your thesis, you will have published some of the data of your thesis in one or several papers. This checklist will help you in properly referencing your publication(s) without facing the risk of plagiarism.
- Please be aware that the principles of GSP include, among others, transparency, honesty and respect.<sup>1,2</sup>
- Carefully check the Guidelines for the Preparation of a Dissertation.<sup>3</sup>

### (1) Statutory Declaration and Disclosures

In the Statutory Declaration of the thesis you are requested to confirm that you “fully acknowledge the name all of individuals and organisations that have contributed to the research constituting the thesis, due acknowledgement is made to all other material and you have followed the “Standards of Good Scientific Practice and Ombuds Committee at the Medical University of Graz”.<sup>1,3</sup>

To bring this declaration to life, include a paragraph on **Disclosures** following the Statutory Declaration. The **Disclosures** should include the following information:

- a. Provide full reference(s) to your **publication(s)**, which may read as follows (*example*):  
“Part of this thesis has been published in Maier A, Müller B, Schmidt C. *The neurophysiological basis of fear during the public defence of a thesis. J Diss Res 2017;1:1-11.*”
- b. List additional publications in an analogous manner, if applicable.
- c. List all **co-authors** and their **institutions** who actively contributed to the results of the thesis and the publication(s) resulting from the thesis project.
- d. Confirm that all co-authors have explicitly agreed to the use of their data in your thesis. Written statements should be submitted together with the thesis.
- e. Confirm that you have obtained **permission** to reproduce figures and/or tables published in “...” (*quote reference*) from the respective copyright holders (*quote name*). Written permissions should be submitted together with the thesis.

### (2) Acknowledgements

In this section you need to acknowledge the PhD Program, Doctoral College (DK) or Doctoral School you have been affiliated with and any financial support you have received from the University or from external grants. The respective statements may read as follows (please note that funding agencies may request a particular wording of the acknowledgement).

- a. Doctoral College (DK): PhD student N. N. received funding from the Austrian Science Fund FWF (*give project number*) and the Medical University of Graz through the PhD Program “...” (*give name of doctoral college and acronym*).
- b. PhD Program, funding by the University: PhD student N. N. received funding from the Medical University of Graz through the PhD Program “...” (*give name of PhD program and acronym*).
- c. PhD Program, funding by external grant: PhD student N. N. received funding from the “...” (*give name of the funding agency and project number*) and the Medical University of Graz through the PhD Program “...” (*give name of PhD program and acronym*).

- d. Doctoral School, funding by the University (e.g. through salary, consumable costs, congress fees and/or publication fees): Doctoral student N. N. received funding from the Medical University of Graz through the Doctoral School “...” (*give name of Doctoral School and acronym, if applicable*).
- e. Doctoral School, funding by external grant: Doctoral student N. N. received funding from the “...” (*give name of the funding agency and project number*) and the Medical University of Graz through the Doctoral School “...” (*give name of Doctoral School and acronym, if applicable*).

### (3) Quotation of your own publication(s) in the thesis

- a. Apart from your statement in the **Disclosures**, you need to **quote the source** of all material (text, figures, photos, images, tables) that you re-use in the thesis.<sup>3</sup> Insert the appropriate reference in the text and legends, wherever applicable.
- b. Apart from quoting the source, you need to obtain **permission to reproduce figures/photos/images/tables** in the thesis. In open access journals you may be exempt from obtaining this permission, but you should always consult the publication agreement between publisher and authors and/or the publisher’s webpage regarding the re-use of material.
- c. In the legend of the reproduced figures/photos/images/tables you need to state **“Reproduced from (*give reference*) with permission of publisher (*give name*)”** or to follow specific instructions given by the copyright holder.
- d. In most cases it is easy to obtain permission to reproduce material via the RightsLink for Permissions - Copyright Clearance Center.<sup>4</sup> Publishers (e.g. Elsevier<sup>5</sup>) also provide guidance on obtaining permissions.
- e. You should **avoid as far as possible re-using the text of the publication(s)** in the thesis. In any case, the **source of text and content taken from the publication(s) need be quoted throughout the thesis**.

### (4) Quotation of other publications in the thesis

- a. The regulations relevant to re-using material from one’s own publications also apply to the re-use of material from others’ publications.
- b. In order to avoid plagiarism, you need to **quote the source if you are referring to text, figures, photos, images, tables, hypotheses, data, and interpretations** of other authors.
- c. If you are reproducing figures/photos/images/tables you need to obtain **permission to reproduce the material** from the copyright holders (e.g. via the RightsLink for Permissions - Copyright Clearance Center<sup>4</sup>).
- d. In the legend of the reproduced figures/photos/images/tables you need to state **“Reproduced from (*give reference*) with permission of publisher (*give name*)”** or to follow specific instructions given by the copyright holder.
- e. **Avoid modifying the figures or images that are being reproduced**. As copyright regulations also include particular author’s rights, you need to **obtain the author’s permission for any modification of material**.
- f. In the legend of the reproduced and modified figures/images you need to state **“Reproduced with modifications from (*give reference*) with permission of author (*give name*) and publisher (*give name*)”** or to follow specific instructions given by the copyright holder.
- g. Do NOT quote/reproduce figures/photos/images/text from internet sources that do not meet the criteria of peer-reviewed scientific content.

#### (5) Temporary delay of the release of the dissertation to the public (publishing embargo)

- a. Austrian law requires that **approved dissertations are made publicly available**.
- b. If intellectual property issues or other interests of the student or supervisor may require temporary protection, access to the dissertation may be blocked for a limited period of time.
- c. **It is a violation of GSP principles if the release of a dissertation to the public is blocked because thesis results have been published in a journal before approval of the dissertation or are intended to be published afterwards.** One exception to this rule is that certain highly visible journals request a publication embargo before the release of the journal article.
- d. GSP principles require that in any publication of thesis results, no matter whether it is published before or after approval of the thesis, it is stated that the results are part of a dissertation (give title, year of approval and approving university if available).
- e. **The parallel or sequential publication of thesis results in a dissertation and a scientific journal is an internationally accepted practice.**
- f. The American Association for the Advancement of Science states that "in general, publication of a thesis, including through an open nonprofit website, does not constitute prior publication".<sup>6</sup>
- g. **Policies of various publishers regarding graduate students' re-use of their previously published articles in their theses, and policies on accepting journal submissions that first appeared in an author's previously released thesis** can be found on the MIT webpage.<sup>6</sup>
- h. Certain publishers encourage the publication of thesis results in a scientific journal.<sup>7</sup>

#### (6) Citing styles

- a. The Guidelines for the Preparation of a Dissertation for Doctoral Degree Programs at the Medical University of Graz state that the citation of references should be in the Vancouver or Harvard style.<sup>3</sup>
- b. A useful guide to the **Vancouver citing style** is given by the U.S. National Library of Medicine<sup>8</sup> and the University of Leicester.<sup>9</sup>
- c. A useful guide to the **Harvard citing style** is given by the Anglia Ruskin University.<sup>10</sup>

#### References

<sup>1</sup> Standards of Good Scientific Practice and Ombuds Committee at the Medical University of Graz, [http://www.medunigraz.at/fileadmin/forschen/gsp/GSP\\_Standards\\_engl.pdf](http://www.medunigraz.at/fileadmin/forschen/gsp/GSP_Standards_engl.pdf) (05 May 2017)

<sup>2</sup> The European Code of Conduct for Research Integrity. Revised Edition, <http://www.allea.org/wp-content/uploads/2017/03/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017-1.pdf> (05 May 2017)

<sup>3</sup> Guidelines for the Preparation of a Dissertation for Doctoral Degree Programs at the Medical University of Graz, [http://www.medunigraz.at/fileadmin/studieren/service\\_information/pdf/dissertation\\_richtlinie\\_engl.pdf](http://www.medunigraz.at/fileadmin/studieren/service_information/pdf/dissertation_richtlinie_engl.pdf) (05 May 2017)

<sup>4</sup> RightsLink for Permissions - Copyright Clearance Center, <http://www.copyright.com/rightsholders/rightslink-permissions/> (05 May 2017)

<sup>5</sup> Elsevier: Permissions, <https://www.elsevier.com/about/our-business/policies/copyright/permissions> (05 May 2017)



<sup>6</sup> Publisher policies regarding graduate students' re-use of their previously published articles in their theses, and policies on accepting journal submissions that first appeared in an author's previously released thesis, <https://libraries.mit.edu/scholarly/publishing/theses-copyright/theses-and-article-publishing/> (05 May 2017)

<sup>7</sup> Wiley: How to turn your dissertation into journal articles, <https://hub.wiley.com/community/exchanges/discover/blog/2015/08/06/how-to-turn-your-dissertation-into-journal-articles> (05 May 2017)

<sup>8</sup> U.S. National Library of Medicine: Samples of Formatted References for Authors of Journal Articles, [https://www.nlm.nih.gov/bsd/uniform\\_requirements.html](https://www.nlm.nih.gov/bsd/uniform_requirements.html) (05 May 2017)

<sup>9</sup> University of Leicester: Vancouver (Numbered) System, <http://www2.le.ac.uk/library/help/referencing/vancouver-numbered-system> (05 May 2017)

<sup>10</sup> Anglia Ruskin University: Harvard System, <http://libweb.anglia.ac.uk/referencing/harvard.htm> (05 May 2017)

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