

Guidelines for dissertation based on a collection of articles

Approved by the Doctoral Committee of Ecology and Environmental Science of the KU Institute of Marine Research (Minutes of Committee meeting of June 8, 2020, Nr. 2019/2020-08)

Doctoral dissertation could be submitted as a collection of scientific articles (cumulative theses). In this case, the dissertation consists of a **review (synthesis) of at least 40 000 characters** (including spaces), a **summary** in Lithuanian (no more than 10 000 characters including spaces) and **copies of the scientific publications** on the topic of the dissertation. The most important research results must be published in at least four articles (of which at least two as a first author), which have been published in international scientific journals with a citation index in the Clarivate Analytics Web of Science (CA WoS) database.

Dissertation must contain the **aim of the work, tasks to be solved**, indicate the **novelty** of the research, **literature review** of scientific research on the dissertation topic, presentation of **research methods, discussion** on research results, their reliability and relationship with the findings of other researchers, **conclusions** and other aspects that the candidate considers important. The dissertation shall include the list of scientific conferences at which the results of the dissertation research have been presented.

(Regulation of Doctoral Studies in the Field of Ecology and Environmental Science of Klaipėda University, Approved by the Senate of Klaipėda University, 1 June 2017, Resolution No. 11-58).

Review (synthesis) - is written by systematizing interrelated published articles. The articles aim to present the results as concisely as possible, while in the theses review you can provide more details about the methodology, the results of the research, develop the discussion, adding your own thoughts and interpretations.

Citation of your articles should follow the same principles as citation of other authors. It is possible to indicate at the beginning of the dissertation (footnotes) how your articles (text, pictures) will be cited consistently over the entire manuscript. Text of your article, included in review (synthesis) without reference to the publication, can be considered as self-plagiarism.

Copies of the scientific publications (LIST OF ORIGINAL PUBLICATIONS) – the collection should not exceed 8 articles. If necessary, a list of additional articles can be provided in a separate list: *Additional publications by the author of these theses*, but they will not be included in the theses. Two articles in which the PhD candidate is the first author cannot be published earlier than 7 years before the defense date (excluding the period for the maternity/paternity leave and documented sick leave).

The collection of dissertation articles could include:

1. Published articles with the permission of the copyright holder of the article, indicating the Digital Object Identifier (DOI) according to the following bibliographic description example: Zilius, M., Giordani, G., Petkuvienė, J., Lubiene, I., Ruginis, T., Bartoli, M., 2015. Phosphorus mobility under short-term anoxic conditions in two shallow eutrophic coastal systems (Curonian and Sacca di Goro lagoons). *Estuarine, Coastal and Shelf Science*, 164, 134-146. doi: 10.1016 / j.ecss.2015.07.004;

2. Articles accepted for publication, with the permission of the copyright holder of the article, indicating the date of the letter of acceptance and the journal (e.g., accepted in Biogeochemistry, April 14, 2020);

3. Manuscripts of publishable quality, indicating the date of submission to the journal (Submitted to the Journal of Freshwater Ecology, April 14, 2020). The inclusion of this type of manuscript is possible when there are 4 published / accepted publications in the collection, in order to reveal the whole topic and the work done by the author in more detail. The quality of the manuscript is evaluated by the doctoral committee. The permission of the journal should be obtained if journal request the transfer of copyright before peer review and editorial processing, i.e., upon the act of submission.

Contribution to articles (AUTHOR'S CONTRIBUTIONS) – the author's intellectual contribution to each publication in the dissertation is described individually according to the following criteria: (a) research idea or design; (b) data collection and processing; (c) data analysis and interpretation; (d) writing or critical rewriting / improvement of individual parts / chapters (synthesis of literature review or part of research results): E.g. *Contributions to the papers: (I, II); major part in experimental design and execution, responsible for all analysis calculations and writing; (III); participated in experimental design and work and contributed in writing; (IV);* An asterisk can be used if the contributions of the first two authors are equal: **Equal contributions.*

Before including an article in cumulative theses, the consent of all co-authors must be confirmed in the **Co-authors declaration**. This declaration provides information on the contributions of all co-authors. Review paper articles in which the PhD candidate is not the first author and the total number of authors is more than 10 are not recommended to be included in the set of four main articles of the dissertation. They can be included as a fifth or next paper with the consent of all co-authors.

It is necessary to make sure that the article in the collection was not / is not planned to be included in other dissertations. Collaboration between doctoral students shall be encouraged, however, integration of a mutual PhD paper, as chapter in two theses, requires a clear distinction and justification for each author's contribution. In the case of a joint article / joint chapter in dissertations (mutual PhD paper) both students sign the **Co-authors declaration** indicating in which dissertations the article will be included, describe and evaluate the percentage contribution of each doctoral student's input. The adequacy of the contribution for each student and sufficiency for the joint theses chapter is assessed by the doctoral committee.

The restriction applies to doctoral students entering doctoral studies from 2020 and later: After defending a dissertation on the basis of a collection of scientific articles, these articles may not be used to defend other dissertations (*Minister of Education and Sports of the Republic of Lithuania No. V-739 of 18 May 2020*).

The international practice of publishing research papers is developed by the Committee on Publication Ethics (COPE), www.publicationethics.org) and other associations (e.g. the International Committee of Medical Journal Editors, CMJE, www.icmje.org).

It is important to note that although the good international practice described above has not yet been integrated into the provisions of national legislation governing the organization of doctoral studies, it is the responsibility of each member of the academic community to recognize and uphold the principles of academic ethics in scientific work, publish it, taking all possible measures to ensure the implementation of the principle of academic integrity.

Office of Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania

Academic integrity. The term ORIGINAL PUBLICATIONS obliges to include in the collection only authentic publications written by candidate in accordance with the *Code of Academic Integrity of Klaipeda University (APPROVED by KU Senate on June 19, 2015)* and principles of publication ethics (Tauginienė L. Guidelines on Publication Ethics, 2019). Unethical publications cannot be included in the collection. This summary information is provided and confirmed by the candidate in the **Co-author declaration** and the **Declaration of academic integrity**.

How to avoid plagiarism and self-plagiarism in the dissertation review? (Comment of Office of Ombudsperson for Academic Ethics and Procedures of the Republic of Lithuania) ‘When quoting your own publication (self-citation), the same principles should be followed as when quoting publications by other authors. Both the verbatim transfer of the publication text (citation) and the paraphrasing of the publication text in the review must be clearly marked (references in the text, footnotes, appropriate punctuation, bibliography) (according to the chosen / established citation method in the institution) so that it is easy to understand that a specific part of the text is a literal transfer or paraphrasing of the text of the publication. If the introduction to the dissertation only contains the titles of publications and other bibliographic information, but does not indicate that they are verbatim cited or paraphrased indicating from which publication the relevant text part is transferred, this is not considered as a clear notation. The method of reference to the sources may be determined in the documents regulating studies (for example, in the regulation of doctoral studies of an institution, in the rules of preparation of written works, etc.). Self-citation, referring to one's scientific publication, could not be avoided, but must be conservative (to the extent necessary in scientific publication being prepared, in this case a dissertation). In order to avoid self-plagiarism - repetitive forms of publication, when "the author

repeats parts of his own work without indicating (quoting) his previously published work" (Tauginienė et al., Glossary for Academic Integrity) it is necessary to follow the above-mentioned principles of self-citation.'

Publishing theses. Contact the publisher (journal) copyright holder, clarifying conditions under which the article or its separate parts (figures, tables) can be used for the dissertation, which will be published in Klaipėda University Publishing House. The printing of the dissertation usually does not exceed 20 copies, unless there is a separate agreement with the PhD candidate. The terms of the journals may differ, so copies of all articles should be submitted to the KU Publishing House together with the written agreements of the journal representative office. An e-mail from a publisher is equivalent to a document unless the publisher provides consent in another format.

Klaipėda University Publishing House may be asking to sign a separate agreement with the theses author regarding the restriction of open access to the dissertation content for a certain period after the defense of the dissertation.

References

1. Tauginienė, L., Gaižauskaitė, I., Glendinning, I., Kravjar, J., Ojsteršek, M., Ribeiro, L., Odiņeca, T., Marino, F., Cosentino, M., Sivasubramaniam, S. Glossary for Academic Integrity. ENAI Report 3G [online].
2. Tauginienė, L., Cibulskienė, J., Berkmanas, T., Janutėnienė, J., Braziulienė, A., Kazlauskaitė, R., Kližentis, V., Toleikienė, R., Zamokas, G., Sipavičienė, S., Vaičaitis, V. ir Marozas, V. 2019. Publikavimo etika: gairės. Vilnius: Lietuvos universitetų rektorių konferencija.
https://lurk.lt/wpcontent/uploads/2019/07/5_publikavimo_etikos_gaires_2019_su_nuorodomis.doc
3. Klaipėdos universiteto akademinės etikos kodeksas, PATVIRTINTA KU Senato 2015 m. birželio 19 d. Nutarimu Nr. 11-55 Nauja redakcija patvirtinta KU Senato 2019 m. spalio 3 d. Nutarimu Nr. 11-2.
<https://www.ku.lt/wp-content/uploads/2019/10/Priedas.-KU-Akademin%C4%97s-etikos-kodekso-nauja-redakcija.pdf>

Declaration of Academic Integrity

I hereby confirm that the presented theses on
..... is my original work. I am familiar with the
Klaipeda University Code of Academic Integrity (Rectified 2015 m. 19th of June) and take an
adequate responsibility for the research and scientific cooperation ethics, data accuracy and
plagiarism. I acknowledge and cite all information sources. I declare that this thesis has not been
submitted for the defense at any other research and education institution.

Name, Date

Signature

Co-author declaration (form in case of mutual PhD paper)

This declaration describes the independent research contributions of the two PhD candidates and all individual co- authors for each paper constituting the thesiscompiled by **Jonas Jonaitis**, candidate for the PhD in Ecology and Environmental Sciences at Klaipėda University and thesiscompiled by **Emma Schneider**, candidate for the PhD in Ecology and Environmental Sciences at Klaipėda University.

Paper title, bibliographic details, DOI

Criteria of co-authorship					
Concept/ Design	Data collection	Data analysis	Manuscript preparation	Approval of the version to be published	Responsibility for study accuracy and academic integrity
JJ, JS,ES	JJ,JS,AA	JJ	JJ,JS,AA,ES	JJ,JS,AA,ES	JJ,JS,AA,ES

JJ – Jonas Jonaitis, JS – Dr. John Smith, AA – Prof. dr. Astrid Andersson, ES – Emma Schneider

Respective contributions of PhD candidates:

Jonas Jonaitis contributed to the development of the concept, building a model and is responsible for theoretical justification of the experiments, writing manuscript. His total contribution to paper equals **25%**.

Emma Schneider contributed by development and coordination of experimental work, sample collection and analysis, statistical data analysis and writing. Her total contribution to paper equals **55%**.

I have read the declaration from the other co-authors, and agree with the statement on cooperation. It is in accordance with the co-authors statement declared for the publisher of publication.

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