



# Finalization handbook

Guidance for thesis preparation, submission, defense and graduation



CIH<sup>LMU</sup> Center for International Health,  
Ludwig-Maximilians-Universität München  
Division of Infectious Diseases and Tropical Medicine

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## Preface

This handbook summarizes the set of rules and regulations for the tasks to be completed to graduate from the CIH<sup>LMU</sup> Ph.D. Program Medical Research – International Health at Ludwig-Maximilians-Universität (LMU) München, effective as of August 2021. Based on the examination and study regulations as well as the procedural requirements of the CIH<sup>LMU</sup> Ph.D. Program Coordination and the Munich Medical Research School (MMRS), you will find here all necessary information for submitting your dissertation, defending your Ph.D. thesis (disputation) and handing in your statutory copies to the LMU library.

In general, it is strongly recommended to stay in close contact with all supervisors of your Supervisory Committee during your entire graduation process. In this way, you will achieve the best results and avoid time-consuming requests for adjustments after submitting your dissertation to the Ph.D. Program Coordination. Please be aware that your LMU supervisors are usually also members of your Examination Committee.

If you have any remaining questions, please contact the CIH<sup>LMU</sup> Ph.D. Program Coordination by emailing to [cih.phd@lrz.uni-muenchen.de](mailto:cih.phd@lrz.uni-muenchen.de).

## Terminology

Based on the degree program and examination regulations of the LMU Munich for the doctoral program 'Medical Research', dated 29 July 2011, amended on 22 December 2017, the essential examination bodies and committees are:

### Doctoral Committee

- a) Responsible for the implementation of the doctoral procedure
- b) Appointed by the Medical Faculty of LMU Munich for a period of two years
- c) Consists of
  - Chairperson
  - Deputy chairperson
  - 5 further committee members from the group of university professors of the LMU Munich Medical Faculty

### Supervisory Committee

- a) Responsible for the supervision and academic support of the Ph.D. candidate
- b) Appointed by the Doctoral Committee for the entire Ph.D. period
- c) Consists of
  - Habilitated LMU supervisor (1st supervisor)
  - Direct LMU supervisor (2nd supervisor)
  - Local supervisor
  - 3rd LMU supervisor (only if accepted as such by the Ph.D. Program Coordination based on a written supervision agreement)

### Examination Committee

- a) Responsible for the evaluation of the dissertation and the oral defense (disputation)
- b) Appointed by the Doctoral Committee
- c) Consists of
  - 1st and 2nd reviewer (in most cases your 1st and 2nd LMU supervisor)
  - 3rd and 4th member as appointed by the Doctoral Committee

## Thesis preparation

You will usually begin preparing and writing your Ph.D. thesis at the beginning of your second or third year of study. There are two ways to write your thesis, either monographic or cumulative. Any Ph.D. thesis, whether written as a monographic or cumulative thesis comprising several peer-reviewed papers, is being examined based on its scientific merits. There is no difference in scientific quality per se between these two formats.

Ideally, you will write your dissertation in close consultation with your Supervisory Committee. The length of the writing process will depend on the needs and agreements between you and your respective supervisors. The Ph.D. Program Coordination does not influence the length of your writing process and will not affect this period.

### Monographic thesis

This is the traditional form of a doctoral thesis. It can be considered as a research report with a comprehensive record of the research conducted during your Ph.D. studies and its results. A doctoral thesis written as a monograph is structured into several chapters with an introduction and conclusion, and you as the Ph.D. candidate are the sole author. The first chapters usually contain an extensive literature review, which serves as the basis for the problem you were working on and that is analyzed in subsequent chapters. A concluding chapter at the end summarizes your Ph.D. work and explores its broader significance.

We have prepared a style template for monographic dissertations that can be found on our [website](#). Although the template is only a suggestion by the Ph.D. Program Coordination and can be modified by its users, the title page (incl. the second page) is the officially accepted CIH<sup>LMU</sup> template and should not be changed. The Ph.D. Program Coordination will not accept other title pages. Please fill in the *Title Page* by adding the title of your dissertation, the department of your habilitated LMU supervisor, and your personal details (name, place of birth and the date the thesis was submitted (mm-yyyy)). On page 2, please fill in the title and names of your supervisors (LMU and local). The names of your reviewers and the date of your oral defense should be left blank and will be filled in after your disputation. We recommend that you read through the style template at least once, as it also contains a number of useful recommendations and contents for the respective chapters.

Your thesis file, submitted to the Ph.D. Program Coordination, must contain the following documents:

- a signed **affidavit**,
- a signed **confirmation of congruency**,
- your **tabular curriculum vitae (CV)**,
- a **complete list of all your publications**, and
- a **statement of contribution**.

A word count of approx. 25,000 to 37,500 should not be exceeded (excluding references, appendices, figures and tables). Your thesis must be compiled in a single document and submitted as a single PDF file to the Ph.D. Program Coordination.

Please note that CIH<sup>LMU</sup> requires you to work on accompanying scientific articles during your doctoral studies. Therefore, Ph.D. candidates are required to have at least **one article** based on their Ph.D. project **accepted** by a peer-reviewed journal before submitting their dissertation to the Program Coordination and being admitted to the defense. For this article, it is sufficient to

be recognized at least as co-author. Only original work (no reviews or case studies) published or accepted for publication in a peer-reviewed journal will be accepted. A scan or copy of the electronic acceptance confirmation is sufficient as proof of acceptance of the article. Ph.D. candidates are required to forward this confirmation from the journal or its editor to the Ph.D. Program Coordination along with the manuscript itself as submitted to the journal (both as separate PDF files).

Please note that there is a high risk of self-plagiarism if parts of your Ph.D. thesis have already been published in a journal. To avoid self-plagiarism, please follow these rules:

- Already published results can be included in the results section of your thesis if they are marked accordingly. However, the doctoral student should write the results section independently. Copy and paste from the publication will not be accepted.
- Results from co-authors may be shown in your dissertation, but must be clearly identifiable as the contributions of others. Only your own performance will be evaluated for the dissertation.
- Translations must be free and not literal.
- Introduction and discussion must be rewritten independently.
- The methods section must be detailed and clearly go beyond your already published manuscript.
- In the case of text similarities of more than 30%, the supervisor must justify in a written statement why he/she does not suspect self-plagiarism.
- When using unchanged or only slightly changed figures and tables from publications, the permission of the copyright holder (usually the original publisher) must be obtained, both for use in the printed and in the electronic/online version of the dissertation. Please include a copy of the permission when submitting your thesis.

A detailed explanation on how to handle your own, already published data can be found in the [citation guide](#) of the Faculty of Medicine.

## Cumulative thesis

Cumulative theses are a collection of articles published or accepted for publication in recognized scientific peer-reviewed journals. They can be submitted as an alternative to a monographic thesis. All papers must be related to the overarching topic of your Ph.D.. Careful selection of manuscripts and convincing, concise introductory and concluding chapters are required to show readers how the articles relate to each other and contribute to the central topic of your thesis. In the introductory chapter, you should identify and discuss the common theme or problem of your Ph.D. thesis. In the concluding chapter, which should discuss the theme or problem in light of the information contained in the manuscripts, you will have the chance to explore the broader implications of your own work.

The following regulations were set up by the MMRS as guidelines for all doctoral cumulative dissertations in Medical Research. You do not need to apply for submitting a cumulative dissertation. However, you have to fulfill a number of criteria:

- 1) Only **original work** published in the **top 80% of the subject-related journals** will be accepted for cumulative dissertations (see an explanation of how to determine the rank of a journal can be found in the annex of this handbook).
- 2) A minimum of **two articles** must be accepted or published in peer-reviewed, international journals. At least one of these articles must be published as first author.

A **shared first-author** is possible and will be accepted as a regular first-author publication. The Ph.D. candidate's contribution must be shown in great detail. Further, you must submit an explanation as to how a shared first-authorship came to be in that case.

- 3) The following publication forms are not allowed or can only be used in certain cases for a cumulative dissertation (please check beforehand with the MMRS):
  - a) **Short Report**: if it corresponds to a publication on original work in form and content, then it can be used. Subject to decision on a case-by-case basis by the Doctoral Committee.
  - b) **Letter**: if it is published in a journal with a double-digit impact factor and the data presented is equivalent to that of original work, then it can be used. Subject to decision on a case-by-case basis by the Doctoral Committee.
  - c) **Methodological Publications**: Subject to decision on a case-by-case basis by the Doctoral Committee.
  - d) **Meta-Analysis**: you can submit a maximum of one meta-analysis for your cumulative dissertation, but the second publication must be based on original work.
  - e) The following publication forms may not be used: **review-articles, case studies**.
- 4) Unpublished manuscripts, review-articles and case studies as well as short reports, letters and methodological publications, which have been declared insufficient after case-by-case evaluation by the Doctoral Committee, can be added in a cumulative dissertation but have to be clearly labeled as additional contributions. Such additional contributions cannot replace the two main articles required under any circumstances. Additional contributions can only help to provide better scientific context and a more complete picture about the candidate's scientific work.

The cumulative dissertation is preceded by an **introductory summary** explaining the significance of the work for the respective field of study and, in the case of articles with several authors, outlining the doctoral student's contribution to the content and scope. The minimum length of

the introductory summary should be 5 pages, and the maximum length of 10 pages (excluding title page, affidavit, table of content, references, listed publications) should not be exceeded.

Please be aware that the foundation on which a cumulative dissertation is graded are not the papers themselves, but your contribution to these publications! Therefore, **it is crucial that you explain your contribution to the papers in detail**. This is best done in a separate chapter, for each paper separately if there was more than one author. Furthermore, this means that the statement of your contribution is also required for papers where you are the first author.

We have prepared a style template for cumulative dissertations that can be found on our [website](#). Although the template is only a suggestion by the Ph.D. Program Coordination and can be modified by its users, the title page (incl. the second page) is the officially accepted CIH<sup>LMU</sup> template and should not be changed. The Ph.D. Program Coordination will not accept other title pages. Please fill in the *Title Page* by adding the title of your dissertation, the department of your habilitated LMU supervisor, and your personal details (name, place of birth and the date the thesis was submitted (mm-yyyy)). On page 2, please fill in the title and names of your supervisors (LMU and local). The names of your reviewers and the date of your oral defense should be left blank and will be filled in after your disputation. We recommend that you read through the style template at least once, as it also contains a number of useful recommendations and contents for the respective chapters.

Your thesis file, submitted to the Ph.D. Program Coordination, must contain the following documents:

- a signed **affidavit**,
- a signed **confirmation of congruency**,
- your **tabular curriculum vitae (CV)**,
- a **complete list of all your publications**, and
- a **statement of contribution**.

Combine the title page, introductory summary, your articles and all other required documents (CV, statement of contribution, affidavit etc.) into one PDF file and submit it to the Ph.D. Program Coordination.



## Thesis submission

The thesis submission deadlines are set twice a year:

- **30 April** for scheduled defense in autumn
- **30 September** for scheduled defense in spring of the subsequent year

Please be aware that you can submit your Ph.D. thesis throughout the year. However, the above deadlines serve as a guarantee that you will be able to defend your dissertation within the defense weeks (November, May) and attend the MMRS graduation ceremony. Although the Ph.D. Program Coordination and the MMRS will try to meet these defense deadlines, please note that the date for the disputation may be set up to 12 months after you submit your thesis.

Your thesis and all required documents should be submitted to the Ph.D. Program Coordination by emailing to [cih.phd@lrz.uni-muenchen.de](mailto:cih.phd@lrz.uni-muenchen.de). After compiling all documents and checking the formal thesis requirements, the Ph.D. Program Coordination will forward your thesis to the MMRS Doctoral Office. From this point on, the MMRS handles the entire evaluation process. The Doctoral Committee appoints the Examination Committee, on which your habilitated and your direct supervisor (or 1st and 2nd supervisor) will often be the 1st and 2nd reviewers. The 3rd and 4th members of the Examination Committee are appointed according to their respective areas of expertise.

## Application for admission

The Ph.D. candidate must compile all documents listed in this section, including all required signatures. The documents have to be submitted to the Ph.D. Program Coordination along with the dissertation. By this time, all supervisors must have agreed with the Ph.D. student on the final version of the thesis and its submission. In addition, all ECTS credit points related to the Ph.D. MR - IH curriculum (Module Block I and II, and Research Period I and II) must have been earned by this time. The Ph.D. Program Coordination will then forward all required documents to the MMRS Doctoral Office. Please name all digital documents according to the following example: *[your name]\_authorship form* and submit them in PDF file format only (no MS Word or image files). You may consider digital signatures (e.g. Adobe Digital Signature) for all documents requiring signatures; alternatively, you may print, sign and scan the respective documents. Please note that only PDF files of good quality can be accepted; this applies in particular to the quality of scanned documents.

## Plagiarism check

To ensure good scientific practice at the LMU Munich Medical Faculty, the Faculty Board decided in 2016 to give all supervisors of doctoral theses the opportunity to verify the originality of the Ph.D. theses before they are officially submitted to the MMRS Office.

The Faculty of Medicine obliges all supervisors to check the dissertations of their doctoral students with the plagiarism recognition software 'iThenticate' before submission. In practice, this means that the respective supervisors receive access to the online software 'iThenticate' after applying for it at the MMRS office. For a short description of the procedure, please follow the link: <https://www.en.mmrs.med.uni-muenchen.de/plagiarism-check/index.html>.

The iThenticate report will mark text passages that can be found in other publications. You will need to carefully read the test result and your thesis to judge whether the marked passages contain plagiarized text fragments. As this plagiarism check takes place **before** the thesis is submitted to the CIH<sup>LMU</sup> Ph.D. Program Coordination and MMRS, and thus before the review

process is initiated, Ph.D. candidates are given a one-time chance to revise suspicious text passages. Please discuss with your supervisor if and which text passages need to be revised. After the revision, your Ph.D. thesis needs to be uploaded again to the iThenticate software for a final plagiarism check. Thereafter, no more changes to your Ph.D. thesis are allowed.

For the final thesis submission to the Ph.D. Program Coordination, you must also submit the supervisor's statement on the originality of your dissertation. This statement should be emailed to [cih.phd@lrz.uni-muenchen.de](mailto:cih.phd@lrz.uni-muenchen.de) directly by your LMU supervisor. Ph.D. candidates are advised to allow sufficient time for the plagiarism check by their LMU supervisor prior to final submission, as the submission deadlines set by the Ph.D. Program Coordination and the MMRS remain unaffected.

For further information about the plagiarism check and a guide with detailed instructions on how to use iThenticate, please follow the link: [www.en.mmrs.med.uni-muenchen.de/plagiarism-check/index.html](http://www.en.mmrs.med.uni-muenchen.de/plagiarism-check/index.html).

## Documents that you need to submit

You can find all forms and templates with the respective links on LMU Moodle in the respective administrative section or on our CIH<sup>LMU</sup> Ph.D. MR – IH program [website](#).

### *Ethical Clearance*

All biomedical and clinical studies require a positive ethical vote by the LMU Ethics Commission **before** they can be conducted. Please note that you are not officially allowed to perform any sensitive work until you have received final clearance by the LMU Ethics Commission. In addition, be aware that the LMU Ethical Committee **does not issue positive votes retrospectively** and the medical faculty may not accept your dissertation (monographic or cumulative), if you do not have the required paperwork.

It is therefore extremely important, that you apply for ethical clearance right at the beginning of your doctoral studies. You can apply for the ethical clearance through the [online ethics platform](#). Please find more information and a guide with detailed instructions on how to apply for ethical clearance on LMU Moodle. If you have further questions, please contact your LMU supervisors or the Ph.D. Program Coordination.

### *Application for Admission to the Ph.D. Examination*

Please fill in and sign the form 'Application for Admission to the Ph.D. Examination'. The 'Supervisor Declaration for Admission to the Oral Defense', which is part of the 'Application for Admission to the Ph.D. Examination' form should be filled in and signed by the habilitated LMU supervisor. Please submit the form to the Ph.D. Program Coordination along with your dissertation by email.

### *Supervisor Consent Form*

After you have agreed with all your official supervisors (LMU and local) that you are ready to submit and defend your thesis, the supervisors will be asked for their written consent. The 'Supervisor Consent' Form must be filled in by the Ph.D. student (name, title of research project) and sent to all supervisors (LMU and local). Your supervisors must sign the consent form and forward it to the Ph.D. Program Coordination via email. It is your responsibility to facilitate communication between your local and LMU supervisors and to ensure that signed consent forms are sent. The Ph.D. Program Coordination should receive a total of three or four filled in and signed 'Supervisor Consent' Forms.

### *iThenticate Statement Form*

As of October 2016, all theses must be checked for potential plagiarism before being submitted to the MMRS (please see the section **Plagiarism check**). Your thesis can be checked twice, however, the version last reviewed must match the submitted thesis version. If the iThenticate verification report gives no reason to expect plagiarism, the supervisor needs to submit the filled and signed iThenticate Statement Form directly to the Ph.D. program coordination.

For more information on the plagiarism software and the procedure, please follow the link: <https://www.en.mmrs.med.uni-muenchen.de/plagiarism-check/index.html>. Furthermore, to assist in the preparation of a dissertation and to prevent plagiarism, the Faculty of Medicine provides a [citation guide](#).

### *Form for the „Münchener Universitätsgesellschaft“*

The Münchener Universitätsgesellschaft e.V. ([www.unigesellschaft.de](http://www.unigesellschaft.de)) would like to win further friends and sponsors for the Ludwig-Maximilians-Universität München. To support this, the Doctoral Committee intends to forward your address to the Münchener Universitätsgesellschaft after successful completion of your Ph.D.. With this form, you indicate whether you agree with the forwarding of your contact details to the Münchener Universitätsgesellschaft e.V..

### *Affidavit*

With the affidavit, you confirm that the Ph.D. thesis you have submitted to the MMRS Doctoral Office is the result of your own work. You declare that you have indicated all sources, cited correctly and that you have not made unauthorized use of any third-party services. The affidavit must be part of the bound version of your thesis and signed by you.

### *Confirmation of congruency*

A signed 'Confirmation of congruency' must be submitted to the MMRS Doctoral Office to declare that the digital and printed copies of the dissertation are identical in content. As the Ph.D. Program Coordination will submit your Ph.D. thesis to the MMRS on your behalf, you must fill in and submit the 'Confirmation of congruency' when you email your dissertation to the Ph.D. Program Coordination. The confirmation of congruency must be part of the bound version of your thesis and signed by you.

### *List of all your scientific publications*

A list of all your scientific publications should be included in the appendix of your Ph.D. thesis.

### *Proof of article acceptance*

#### Monographic thesis

Upon acceptance of your articles, you will receive a notification from the journal or its editor. This notification serves as proof of article acceptance. Please forward this confirmation from the journal or its editor to the Ph.D. Program Coordination along with the manuscript itself as submitted to the journal (both as separate PDF files).

#### Cumulative thesis

If your articles are accepted, you will receive a notification from the journal or its editor. This notification serves as proof of article acceptance. If your two manuscripts have not yet been published, please combine the proofs into a single PDF file and submit it as a separate PDF file together with your thesis.

### *Confirmation of all co-authors*

This form is only required if you are submitting a cumulative Ph.D. thesis. Please fill in one confirmation form per article. Please note that it is important to describe the contributions of the co-authors in detail in order to evaluate your own contribution to the manuscript. Forward the document to all co-authors and ask them to sign, scan and return the document to you. Then merge the documents into one single PDF file and send it to the Ph.D. Program Coordination when you submit your thesis.

### Documents added by the Ph.D. Program Coordination

The following documents will be added by the Ph.D. Program Coordination when submitting your thesis to the MMRS Doctoral Office:

- Supervision Agreement
- Target Agreement
- Target Amendment I (and II, if applicable)
- Proof of Enrolment
- Transcript of Records

### Printing

After submitting your thesis to the Ph.D. Program Coordination, the Ph.D. Program Coordination will print two bound paper copies of your thesis and submit them together with the digital PDF file to the Doctoral Office on your behalf. The printing and binding costs will initially be covered by the Ph.D. Program Coordination. However, please note that full reimbursement of the printing costs to CIH<sup>LMU</sup> is mandatory prior to the defense of your dissertation. If you prefer to print your thesis yourself and submit it to the Doctoral Office along with all required documents, you may do so, but all exceptions must be discussed in advance with the Ph.D. Program Coordination.

**Please note that no changes can be made once your thesis has been submitted to the Doctoral Office!**

The address of the Doctoral Office at the Medical Faculty is:

Dekanat der Medizinischen Fakultät – Promotionsbüro/ Munich Medical Research School  
Bavariaring 19, 80336 München

Room 003, ground floor (see <https://goo.gl/maps/7ZFPK>)

Office hours: Tuesday 9-12 am, Wednesday 1-4 pm.

Please adhere to the office hours for the submission of your thesis! Please note that office hours are subject to change, and check the [website](#) of the Doctoral Office beforehand.

## Thesis evaluation and revision

Once the application for admission to the doctoral examination has been submitted with all required documents, the MMRS forwards the dissertation to the first two reviewers. Upon submission of their expert opinions, the dissertation and reviews are then forwarded to the other two members of the Examination Committee, who also evaluate and comment on the dissertation. The whole evaluation process can usually take up to 6 months. Please see here a summary of the evaluation process:



The reviewers may request adjustments or changes to your submitted thesis. If you have been asked by your reviewers to make **minor revisions**, you are required to incorporate the suggestions in order for your dissertation to be accepted. During this process, we recommend that you confer the revision closely with your Supervisory Committee. Please note that you are allowed to revise your thesis only once! After editing, you must submit a revised copy of your thesis (standard print with adhesive binding) to the Doctoral Office with your signature in the affidavit and the signatures of those reviewers who recommended revisions next to their names on page 2. With their signatures, both supervisors certify that they have approved the revisions made, that the revised thesis submitted is the final version and that you fulfilled all their requirements for the defense. If you, your supervisors, or both are absent, you may include digital signatures. In that case, please forward any correspondence between your respective supervisor and you as proof.

Please note that even for revised dissertations, the submission date is always the date of the initial submission of your thesis to the Doctoral Office! You have to arrange for the printing of the final copy yourself and also deliver it directly to the Doctoral Office (see address above). The Doctoral Office must receive your revised thesis within the deadline set by the MMRS, but no later than the day before your oral defense. In addition, you must submit a PDF file of your dissertation and an additional current confirmation of congruency. If the Doctoral Office does not receive your revised thesis, you will not be admitted to your scheduled doctoral defense.

In case of **major revisions**, the thesis is returned to you. You are required to follow the given recommendations and **resubmit the thesis within 12 months** after being officially notified. Upon resubmission, the Examination Committee will evaluate the revised thesis, and the thesis evaluation process (see above) will be repeated. If the revised thesis is rejected again, there will be no further opportunity for revision and you will have irrevocably failed your Ph.D..

The thesis is passed if the evaluations and opinions of the Examination Committee and Doctoral Committee members recommend the grade “sufficient” (4.0) or better. Detailed information on grading can be found in the [Examination and Study Regulations](#) for the Doctoral Program in Medical Research. The document is available for download on the website of the MMRS. However, please note that only the official version of the Examination and Study Regulations published in German is legally binding. The translation into English is only a service offered for better understanding, but it is not legally binding.

Subsequently, the Ph.D. Program Coordination together with your Examination Committee and the Doctoral Committee will schedule the date for your oral defense. You will be notified at least two weeks before the date. By regulation, the allowable timeframe for the Doctoral Committee to schedule your disputation is up to 12 months after your thesis submission. If submitted on time, the Ph.D. Program Coordination will provide the best possible support to the MMRS so that you can defend your dissertation within the deadlines mentioned above.

Ph.D. candidates who have not been asked for revisions do not have to hand in another copy to the Doctoral Office.

## Oral defense

The next stage after successfully submitting and passing of your thesis is the oral defense (disputation).

All disputations take place in Munich. You will have to arrange and cover the costs for the visit yourself. Please plan at least **ten days** for your stay in Munich and contact the Ph.D. Program Coordination before making travel arrangements and bookings. Unfortunately, our student dorm rooms at Stiftsbogen are generally not available for Ph.D. candidates coming to Munich for their oral defense, unless stated otherwise. Although the Ph.D. Program Coordination does not provide other accommodations, we may be able to help you find a hotel for your short-time stay.

The disputation consists of your **presentation** and the subsequent **oral examination**. Both take place in front of the Examination Committee and are open to the public. The purpose of your defense is to demonstrate that you are able to present and defend your research to a potentially critical audience. Be prepared to present your Ph.D. project and your findings. Generally, your oral defense will not exceed two hours. You will have 45 minutes to present your Ph.D. thesis. Please stick to the given timeframe: speak no longer than 45 minutes and not shorter than 40 minutes. The subsequent oral examination will last for 30-60 minutes.

Most likely, you will defend your Ph.D. thesis only once. So consider this your one-time opportunity to convince the Examination Committee that you are able to summarize your work in a limited amount of time, focusing on the important points. In your presentation, you might address the following points:

- What were the topics/aims/hypotheses/questions addressed in your thesis?
- What is the importance of your research?
- What is the current state of scientific knowledge?
- Which methods did you use?
- What are your results?
- What are the policy-relevant effects?

After your presentation and the subsequent discussion, the Examination Committee will retire and deliberate on the grading of your oral defense. In case of failure, the oral defense can be repeated once within 12 months.

After a successful disputation, you will receive a copy of the final version of your thesis with handwritten entries regarding the title and names of your reviewers as well as the date of your defense. These entries must be transferred to the second page of the statutory copies of your Ph.D. thesis, which you must submit to the LMU University Library.



## Delivery of the statutory copies to the LMU library

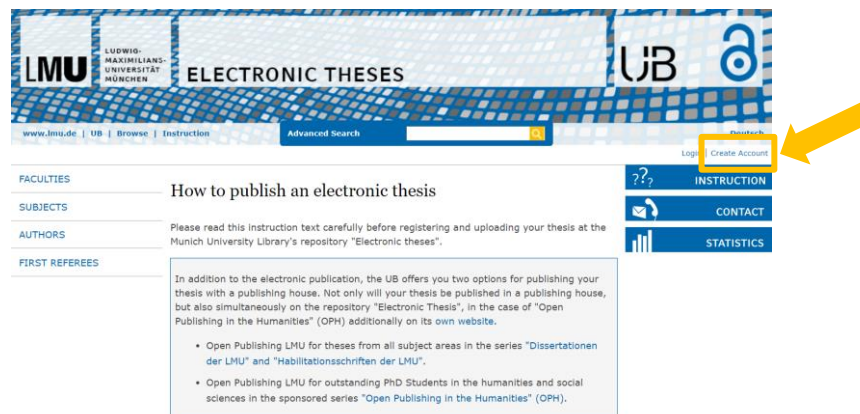
Ph.D. candidates who have successfully defended their dissertation will receive a preliminary certificate from the CIH<sup>LMU</sup>, either during the official graduation ceremony or individually. This document does not entitle you to use the title 'Ph.D.'. Within 12 months after your disputation, you have to deliver **two bound statutory copies and one digital copy** of your thesis, together with the required documents, to the LMU University Library's Dissertationsstelle (Publication Services Theses). If these statutory copies are not delivered on time (within this one year), all rights acquired with the successful completion of the examination procedure will expire. Only after submitting the statutory copies of your dissertation to the LMU University Library will you receive the final Ph.D. certificates and transcripts with which you may officially use the title 'Ph.D.'.

Please note that all important information about the publication of your electronic theses and bound copies of your dissertation, as well as about all necessary documents that need to be submitted, can be found here: <https://edoc.ub.uni-muenchen.de/help/index.html>

## Registration

Please register to be able to upload your dissertation to the theses server.

1. To do so, please use the function '[Create Account](#)' in the main menu.



2. After you have filled in your email address and have chosen a password and a username, an activation code will be sent to your email address, which will be valid for one week. Please make sure that you access the link provided in the email within this time.
3. After your successful registration, you can log in with your username and password. Please use the function '[Login](#)' in the main menu. Before you can upload your thesis, you will be asked to provide some more personal information.





## Submitting your thesis to the LMU University Library

Upload your electronic dissertation to the theses server of the LMU University Library. Currently, you can only upload your thesis as a single PDF document. If the publication of your thesis is to be deferred until a patent application has been completed, you are asked to deliver your dissertation as PDF file on a compact disc, instead of uploading it. After uploading and/or submitting your thesis to the LMU University Library, you will not be able to make any further changes to your dissertation.

Subsequently, you must submit two printed and bound copies of your thesis to the Publication Services Theses either personally or by mail (please find the contact details below). Your printed copies must have a durable and permanent binding. Ring or spiral bindings are not allowed, an adhesive binding is recommended. Please inform the printing shop that the copies are intended for submission to the LMU University Library to ensure the use of the required long-lasting materials (printing on wood- and acid-free long-lasting paper). Please find a detailed explanation on how to prepare the statutory copies of your dissertation for the submission to the LMU University library in the annex of this handbook. Please adhere to these specifications.

The two paper copies must carry your **original signature** on the affidavit and the confirmation of congruency. Please note that digital signatures will not be accepted by the LMU University library! The affidavit in the electronic version of your thesis (PDF document) does not need to be signed. **The statutory copies and the electronic version of your dissertation do not need to contain your CV**, as they will be publicly available. Furthermore, your supervisors do not need to sign the statutory copies.

Please note that you have to **organize and cover the costs for printing and delivery of your statutory copies** yourself!

### Submission form for electronic theses

To publish your Ph.D. thesis on the repository a legally binding permission is necessary. You are therefore required to confirm that you permit the LMU University Library to publish, store and, if necessary, convert your thesis. Therefore you have to hand in the official "Submission form for electronic theses" signed and in duplicate together with the printed statutory copies of your thesis. This does not affect your rights under copyright law.

The 'Submission form for electronic theses' can be downloaded here: <https://edoc.ub.uni-muenchen.de/help/> (paragraph 5, 'Submission form for electronic theses')

### Blocking note due to a patent application

If your thesis is associated with a patent application, you can request the LMU University Library to defer the publication of your electronic and printed copies. In this case, upload the electronic version of your dissertation to the theses server and submit your printed copies together with the 'Submission form for electronic theses' (in duplicate) as well as a 'Blocking Note due to a patent application' (in duplicate) to the Publication Services Thesis. You may block publication of your thesis for up to two years. Issuing a blocking note might prolong the duration until you receive your final Ph.D. certificate. Please note that both of your LMU supervisors need to confirm the issuance of a blocking note by signing the respective form. Occasionally, you may be asked to provide additional documents.

The blocking note can be downloaded here: <https://edoc.ub.uni-muenchen.de/help/> (paragraph 9, 'Blocking note due a patent application')

## Blocking note due to publishing in a journal

If you want to publish your thesis in a journal and the journal requires an embargo period, you can request the LMU University Library to defer the publication of the electronic and printed statutory copies. The doctorate regulations of your faculty must allow the delayed publication of your thesis in case of a publication in a journal.

In this case, upload the electronic version of your thesis to the theses server and submit your printed copies together with the 'Submission form for electronic theses' (in duplicate) as well as a 'Blocking note due to publishing in a journal' (in duplicate) to the Publication Services Thesis.

The blocking note can be downloaded here: <https://edoc.ub.uni-muenchen.de/help/> (paragraph 10, 'Blocking note due to publishing in a journal')

## Contacting the Department of Dissertations

Postal address:

Universitätsbibliothek der LMU München  
Publikationsdienste Dissertationen  
Leopoldstraße 13  
80802 München

Address for personal delivery of the statutory copies of your thesis:

Universitätsbibliothek der LMU München  
Publikationsdienste Dissertationen  
Room 1108 (House 1 / 1<sup>st</sup> Floor)  
Leopoldstrasse 13  
80802 München

If you have questions about the submission of your thesis, please contact:

Tel: +49-(0)89-2180-3589 (Anja Soujon) or -9486 (Claudia Höhn)

Email: [dissertationen@ub.uni-muenchen.de](mailto:dissertationen@ub.uni-muenchen.de)

Opening hours of Publication Services Theses: Monday - Friday: 9-12 am

## Issuing of the Ph.D. certificate

The MMRS Doctoral Office issues all documents. The **doctoral degree** is issued upon successful disputation and submission of the statutory copies to the LMU University library and bears the date of your oral defense. Together with it, you will receive the **doctoral certificate**, which contains the

- date of the doctoral degree,
- the topic of the dissertation,
- the grade of the academically supervised doctoral thesis and
- the final grade achieved.

The final grade is the arithmetically weighted mean of the grade of your dissertation (factor 1.5) and your disputation (factor 1). You will also be issued a final Transcript of Records.

Please note that you are not allowed to use the title 'Ph.D.' until you have received your doctoral degree and your doctoral certificate. Only after receiving these documents, you may officially use the doctoral title.

The doctoral degree and all related documents can be delivered no earlier than four weeks after the delivery of the statutory copies to the LMU university library. All documents will be sent to you by secure messenger service organized by the Ph.D. Program Coordination. Please be sure to provide the Ph.D. Program Coordination with your current mailing address (no P.O. Box!) and telephone number!

Before you receive your final Ph.D. certificate, you will be asked to complete a final evaluation questionnaire issued by the CIH<sup>LMU</sup> Center for International Health, which will be given to you after your oral defense. At the same time, open claims, such as pending documents, payments and returns to the CIH<sup>LMU</sup> library must be settled.

## Procedure in case of prolonged studies

Supervisors are required to evaluate the possibility of a successful finalization of your Ph.D. project at the end of Research Period II. Candidates who do not complete their research project within the regular three-year study period or did not submit a manuscript to a peer-reviewed journal will be given an additional year to finalize their projects. However, a new Target Amendment (Target Amendment II) corresponding to the 4th year of Ph.D. study must be submitted to the Ph.D. Program Coordination **by the end of the last month of Research Period II (30 April)**. The new Target Amendment should adequately outline the project plan until the finalization of the Ph.D. project and must again be signed by the student and his/her supervisors. Please use the template provided, which can be found on our website. Please note that you must also continue to submit bi-monthly research progress reports during the extension.

If, after evaluating the progress of the Ph.D. project, the supervisors propose to extend the study period for another year, the Ph.D. candidate must submit another Target Amendment (Target Amendment III) to the Ph.D. Program Coordination. The deadline for submitting the Target Amendment III is the **end of the last month of Research Period III (30 April)**. Please use the respective template found on our website. Please note that you must continue to submit bi-monthly research progress reports during the extension.

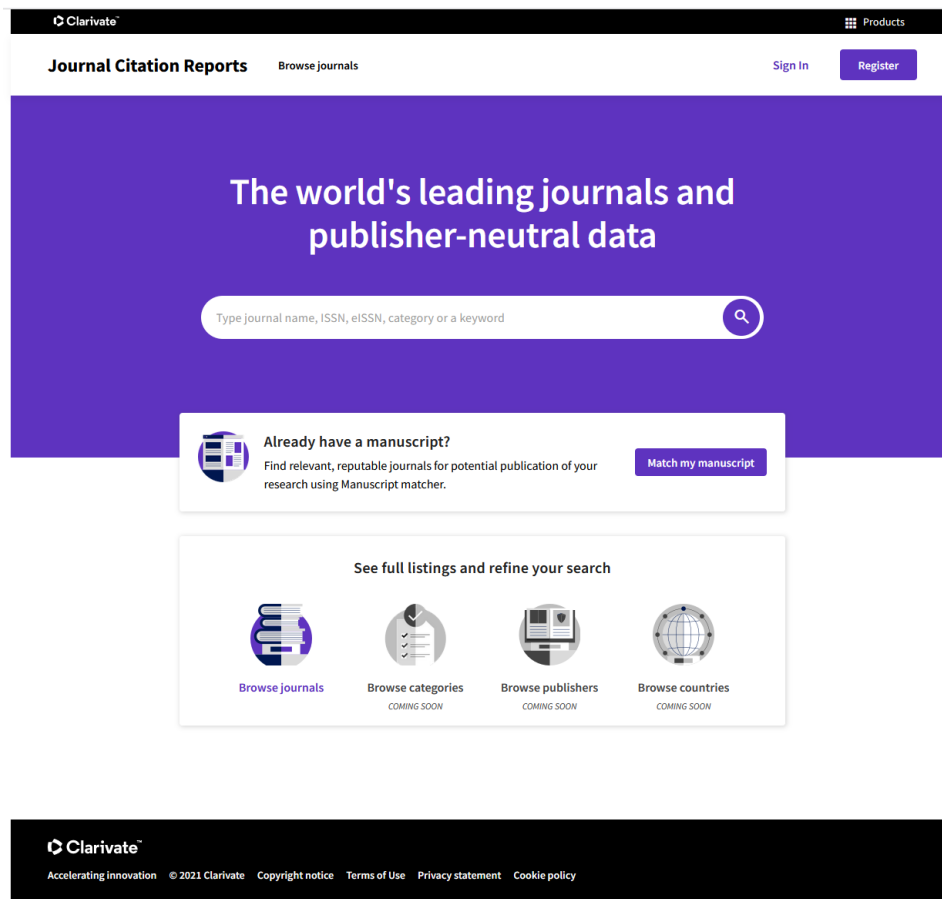
The maximum duration of your Ph.D. studies within the Ph.D. MR – IH program is five years. **Thus, the last possibility to submit your thesis is 30 April in your fifth regular year of study!**

## Annex

### Determining the rank of a journal in the Journal Citation Reports

In order for a paper to be used for a cumulative dissertation, it must be published in a journal that is among the top 80% in its field. Here we explain how to determine the ranking of a journal.

1. Log into [Journal Citation Reports](#) via the university library. Use your campus ID. The site that opens should look like this:



2. Enter the name of your journal into the search field. Select the journal you are searching for (→).

*Example: We are searching for the journal "Lancet".*

Clarivate Journal Citation Reports

Products

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**Lancet**

JOURNAL NAME	ISSN/EISSN
<b>LANCET</b>	0140-6736 / 1474-547X
Lancet HIV	2352-3018 / 2352-3018
Lancet Microbe	2666-5247 / 2666-5247
LANCET ONCOLOGY	1470-2045 / 1474-5488
LANCET NEUROLOGY	1474-4422 / 1474-4465

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3. Select the most recent year available (→).

*Example: The most recent year for which the impact factor is available is 2020.*

Clarivate Journal Citation Reports

Products

Sign In Register

Home > Journal profile

JCR YEAR

2020

# LANCET

ISSN  
0140-6736

EISSN  
1474-547X

JCR ABBREVIATION  
LANCET

ISO ABBREVIATION  
Lancet

**Journal information**

EDITION  
Science Citation Index Expanded (SCIE)

CATEGORY  
MEDICINE, GENERAL & INTERNAL - SCIE

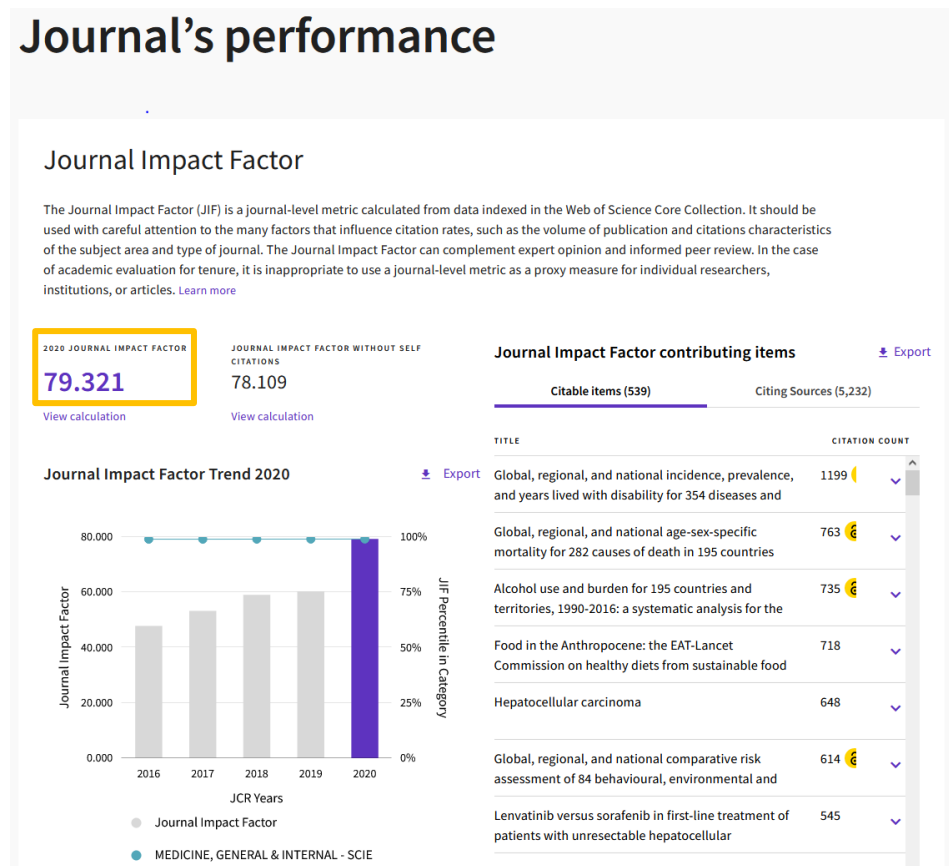
LANGUAGES	REGION	1ST ELECTRONIC JCR YEAR
English	ENGLAND	1997

**Publisher information**

PUBLISHER	ADDRESS	PUBLICATION FREQUENCY
ELSEVIER SCIENCE INC	STE 800, 230 PARK AVE, NEW YORK, NY 10169	52 issues/year

- Scroll down to search for the impact factor of the journal.

*Example: The journal "Lancet" had an impact factor of 79.321 in 2020.*



- Look for the "category" of the journal.

*Example: The journal "Lancet" belongs to the category "Medicine, General & Internal – Scie".*

Clarivate Products

**Journal Citation Reports** [Browse journals](#) [Sign In](#) [Register](#)

Home > Journal profile

JCR YEAR: 2020

# LANCET

ISSN: 0140-6736

EISSN: 1474-547X

JCR ABBREVIATION: LANCET

ISO ABBREVIATION: Lancet

### Journal information

EDITION: Science Citation Index Expanded (SCIE)

CATEGORY: **MEDICINE, GENERAL & INTERNAL - SCIE**

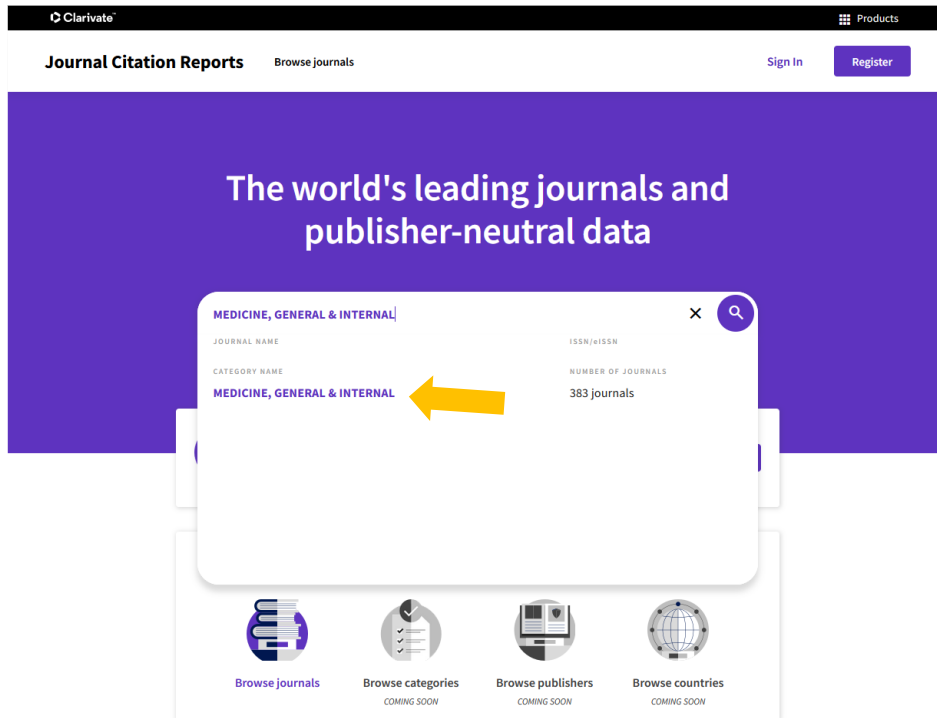
LANGUAGES: English    REGION: ENGLAND    1ST ELECTRONIC JCR YEAR: 1997

### Publisher information

PUBLISHER: ELSEVIER SCIENCE INC    ADDRESS: STE 800, 230 PARK AVE, NEW YORK, NY 10169    PUBLICATION FREQUENCY: 52 issues/year

- Go back to the initial [Journal Citation Reports](#) website.
- Enter the category into the search field to determine how many journals are part of the same category as the one you are interested in. Click on the category (→).

*Example: The journal "Lancet" belongs to the category "Medicine, General & Internal – Scie", so please enter "Medicine, General & Internal" into the search field. By clicking on the category, you will be forwarded to the website with all journals of the same category. The category "Medicine, General & Internal" has 318 journals.*



The screenshot shows the search results page for the category 'MEDICINE, GENERAL & INTERNAL'. The search bar contains '318 journals'. Below the search bar is a table of journals. The table has columns for Journal name, ISSN, eISSN, Category, Total Citations, 2020 JIF, JIF Quartile, 2020 JCI, and % of G. The table lists several journals, including New England Journal of Medicine, Lancet, JAMA, Nature Reviews Disease Primers, BMJ, Annals of Internal Medicine, and Lancet Digital Health.

Journal name	ISSN	eISSN	Category	Total Citations	2020 JIF	JIF Quartile	2020 JCI	% of G
NEW ENGLAND JOURNAL OF MEDICINE	0028-4793	1533-4406	MEDICINE, GENERAL & INTERNAL - SCIE	464,351	91.245	Q1	26.14	C
LANCET	0140-6736	1474-547X	MEDICINE, GENERAL & INTERNAL - SCIE	369,601	79.321	Q1	20.05	2.
JAMA-JOURNAL OF THE AMERICAN MEDICAL ASSOCIATION	0098-7484	1538-3598	MEDICINE, GENERAL & INTERNAL - SCIE	224,147	56.272	Q1	11.48	C
Nature Reviews Disease Primers	2056-676X	2056-676X	MEDICINE, GENERAL & INTERNAL - SCIE	14,221	52.329	Q1	16.63	4
BMJ-British Medical Journal	1756-1833	1756-1833	MEDICINE, GENERAL & INTERNAL - SCIE	158,747	39.890	Q1	6.27	8.
ANNALS OF INTERNAL MEDICINE	0003-4819	1539-3704	MEDICINE, GENERAL & INTERNAL - SCIE	72,588	25.391	Q1	6.28	C
Lancet Digital Health	N/A	2589-7500	MEDICINE, GENERAL & INTERNAL - SCIE	1,260	24.519	Q1	3.41	1C

- Multiply the total number of journals in your category by 0.8 ( $\cong$  80%) to determine the rank of the journal at the bottom of the top 80%.

*Example: 318 journals multiplied by 0.8 = 254.4 -> All journals including the one on rank 254 are within the top 80% of the category "Medicine, General & Internal - Scie".*

- Sort all journals in the category by their impact factor from big to small ( $\rightarrow$ ). Determine if the journal you are interested in is among the top 80% in its field.

*Example: The journal of your interest is among the top 80% if it is among the first 254 journals listed. The journal "Lancet" is on rank 2, meaning that if you publish a paper in Lancet it fulfills the requirements for a cumulative thesis.*

The screenshot shows a table of journals sorted by impact factor. A yellow arrow points to the '2020 JIF' column. The table includes columns for Journal name, ISSN, eISSN, Category, Total Citations, 2020 JIF, 2020 JCI, and % + G.

Journal name	ISSN	eISSN	Category	Total Citations	2020 JIF	2020 JCI	% + G
NEW ENGLAND JOURNAL OF MEDICINE	0028-4793	1533-4406	MEDICINE, GENERAL & INTERNAL - SCIE	464,351	91.245	Q1	26.14
LANCET	0140-6736	1474-547X	MEDICINE, GENERAL & INTERNAL - SCIE	369,601	79.321	Q1	20.05
JAMA- JOURNAL OF THE AMERICAN MEDICAL ASSOCIATION	0098-7484	1538-3598	MEDICINE, GENERAL & INTERNAL - SCIE	224,147	56.272	Q1	11.48
Nature Reviews Disease Primers	2056-676X	2056-676X	MEDICINE, GENERAL & INTERNAL - SCIE	14,221	52.329	Q1	16.63
BMJ-British Medical Journal	1756-1833	1756-1833	MEDICINE, GENERAL & INTERNAL - SCIE	158,747	39.890	Q1	6.27
ANNALS OF INTERNAL MEDICINE	0003-4819	1539-3704	MEDICINE, GENERAL & INTERNAL - SCIE	72,588	25.391	Q1	6.28
Lancet Digital Health	N/A	2589-7500	MEDICINE, GENERAL & INTERNAL - SCIE	1,260	24.519	Q1	3.41
JAMA Internal Medicine	2168-6106	2168-6114	MEDICINE, GENERAL & INTERNAL - SCIE	25,002	21.873	Q1	5.21

- Tip: If you do not want to count the rank of all journals to see on which rank the journal of your interest is, scroll down to the bottom of the page and use the "items per page" function.

*Example: Select "200 items per page" and search for the journal of interest by using the STRG + F function. If you find your journal of interest on page 1, it means it is still among the top 80%.*



## Information for Ph.D. candidates for publishing the Ph.D. thesis to the LMU library after successful oral defense

After the oral examination, each Ph.D. dissertation must be published within one year. The obligation to publish can be fulfilled by uploading one electronic version to the publication server "Electronic Theses of LMU Munich" and submitting two printed copies (= a total of 3 mandatory copies) and 2 forms „Submission form for electronic theses“. If the statutory copies are not submitted within the year, all rights obtained by the successful completion of the thesis and the oral defense are invalid.

All information about publishing your Ph.D. thesis can also be found [here](#). This document serves only as a guideline to facilitate the publication process. Although we regularly check if there are any changes in the publication procedure, please always check the LMU library [website](#) yourself. Before uploading your electronic thesis, please check if you have completed all the necessary steps written down on the LMU library [website](#).

The doctoral certificate is only issued after the successful submission of all documents to the LMU library and can be received four weeks following the submission at the earliest. It is only allowed to hold the doctorate after receiving the doctoral certificate.

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To publish your Ph.D. thesis on the repository a legally binding permission is necessary. You are therefore required to confirm that you permit the LMU University Library to publish, store and, if necessary, convert your thesis. Therefore you have to hand in the official "Submission form for electronic theses" signed and in duplicate together with the printed depository copies of your thesis. The "Submission form for electronic theses" can be downloaded [here](#) (paragraph 5).

What you need to enter:

**Doctoral degree you hope to attain:**

Ph.D. Medical Research – International Health

**Name of referee:**

your habilitated LMU supervisor, your direct LMU supervisor

Please note: Both names should be readable. If the provided space is not enough, please remove the titles of your supervisors and only write down their names.

### *Blocking Note*

If you want to publish your thesis in a journal and the journal requires an embargo period, you can request the LMU University Library to hold back the publication of electronic and printed depository copies. The doctorate regulations of your faculty must allow the delayed publication of your thesis in case of a publication in a journal.

The blocking note can be downloaded [here](#) (paragraph 10). This form needs to be signed by you and your supervisor.

The following steps are necessary for publication via the university library:

### Submission of the electronic version

1. Please make sure that the page format is DIN A4
2. Title page:
  - Should not contain page numbering. Remove the page number „1“ if you have used it here.
  - Make sure the title page contains your Ph.D. project title.
3. Page 2:
  - Remove the 3rd LMU supervisor.
  - Add the title and name of your 1st reviewer (your habilitated LMU supervisor) and your 2nd reviewer (your direct supervisor).
  - Add the date of your oral defense.
4. Remove your CV
5. Affidavit:
  - Remove your private address and either leave it blank or enter your work address.
  - Do not sign the Affidavit but enter your name in the signature field.
  - Do not forget to update the place and date.
6. Confirmation of congruency:
  - Remove your private address and either leave it blank or enter your work address.
  - Do not sign the confirmation of congruency but enter your name in the signature field.
  - Do not forget to update the place and date.
7. Update the Table of Contents
8. Change the file name to *YourLastName\_Your FirstName*  
Please note that only documents with the correct file name will be accepted by the Publication Services Theses.
9. Adjust the document properties.  
A description of the requirements can be found [here](#) (paragraph 8). Only documents with the correct document properties will be accepted by the Publication Services Theses.
10. Upload the electronic version of your Ph.D. thesis as a PDF document to the LMU library publication server. You can find all information about how the registration and upload procedure [here](#).
11. The LMU library will inform you by E-Mail if the submission of your electronic Ph.D. thesis was successful. Once you received this notification, you can proceed with the printing of your two statutory copies. Please also check your Spam folder if you have not received the notification E-Mail within 1-2 days.

## Submission of the two printed and bound copies

(to be done when you are still in Munich after your oral defense)

1. Please make sure that the page format is DIN A4
2. Title page:
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  - Make sure the title page contains your Ph.D. project title.
3. Page 2:
  - Remove the 3rd LMU supervisor.
  - Add the title and name of your 1st reviewer (your habilitated LMU supervisor) and your 2nd reviewer (your direct supervisor).
  - Add the date of your oral defense.
4. Remove your CV
5. Affidavit:
  - Remove your private address and either leave it blank or enter your work address.
  - Do not forget to update the place and date.
  - The affidavit must be **signed by hand** after printing. No digital signatures are allowed.
6. Confirmation of congruency:
  - Remove your private address and either leave it blank or enter your work address.
  - Do not forget to update the place and date.
  - The confirmation of congruency must be **signed by hand** after printing. No digital signatures are allowed.
7. Print your Ph.D. thesis twice.
8. The two printed copies must be bound with a permanent/glued binding. A soft cover is sufficient. The title page of your thesis should be printed on the cover.
9. After printing and binding, sign the affidavit and the confirmation of congruency.
10. Discuss with your supervisor if you need a blocking note. If yes, your supervisor and you need to sign the blocking note. Only original signatures are allowed, no digital signatures.
11. Hand in two printed copies of your dissertation together with the "Submission form for electronic theses" and the blocking note (if necessary) in duplicate during the opening hours of the "Publication Services Theses" (address: Leopoldstrasse 13, room 1108).

## Submission of the two printed copies (during COVID-19 times)

1. Please make sure that the page format is DIN A4
  2. Title page:
    - Should not contain page numbering. Remove the page number „1“ if you have used it here.
    - Make sure the title page contains your Ph.D. project title.
  3. Page 2:
    - Remove the 3rd LMU supervisor.
    - Add the title and name of your 1st reviewer (your habilitated LMU supervisor) and your 2nd reviewer (your direct supervisor).
    - Add the date of your oral defense.
  4. Remove your CV
  5. Affidavit:
    - Remove your private address and either leave it blank or enter your work address.
    - Do not forget to update the place and date.
    - **Print two copies and sign them.** No digital signatures are allowed.
  6. Confirmation of congruency:
    - Remove your private address and either leave it blank or enter your work address.
    - Do not forget to update the place and date.
    - **Print two copies and sign them.** No digital signatures are allowed
  7. **Print and sign two copies** of the „Submission Form for electronic theses“
  8. Discuss with your supervisor if you need a blocking note. If yes, your supervisor and you need to sign the blocking note. Only original signatures are allowed, no digital signatures.
  9. Send the electronic version of your Ph.D. thesis as one PDF file to the CIH<sup>LMU</sup> Ph.D. program coordination via E-Mail ([cih.phd@lrz.uni-muenchen.de](mailto:cih.phd@lrz.uni-muenchen.de)).
  10. Send two copies of your affidavit, two copies of the confirmation of congruency and two copies of the blocking note (if necessary) to the following postal address:

CIH<sup>LMU</sup> at the Division of Infectious Diseases and Tropical Medicine  
University Hospital, LMU Munich  
Dr. Sarah Scholze  
Leopoldstr. 5  
80802 München, Germany
- Please note, all 4 pages (6 if you need the blocking note) need to be originally signed.
11. The CIH<sup>LMU</sup> Ph.D. program coordination will print two copies of your Ph.D. thesis, add your originally signed affidavit and the confirmation of congruency to each copy and hand it in for you to the LMU library together with your signed submission forms.