

## **List of documents to be submitted when applying for doctoral procedures to be opened**

1. Application for the opening of the doctoral procedure
  - The form can be downloaded on the Doctoral Office website ([link](#), see Step 2)
  - The form also needs to be signed by the supervisor(s), indicating that the doctoral candidate informed them about the submission of the doctoral thesis.
2. Reviewer proposals as supplement to the application for the opening of the doctoral examination procedure
  - The form can be downloaded on the Doctoral Office website
  - Please list suggested reviewers (full postal work address, incl. email address)
  - List potential replacement reviewers
  - Doctoral committee members can be suggested (optional, separate form on the Doctoral Office website)
3. Four printed and bound copies of the dissertation, each including an electronic version (PDF document on CD-ROM or SD card)
  - The thesis must include the declaration (see doctoral regulations, section 5) with an **original signature** of the candidate
  - It must also include a brief CV with information on scientific education and training
  - Note: Please do not include the names of the suggested reviewers in the dissertation (as Faculty Council decides on who will be invited as reviewers after submission of the thesis).
  - If applicable, see also comments under #14.
4. A separate printout of the declaration (see doctoral regulations, section 5) with **original signature**. In this declaration, the candidates
  - i. confirm that they are familiar with the valid doctoral examination regulations
  - ii. confirm that they produced the doctoral thesis themselves (statement of authorship), they neither used any text passages from third parties nor their own previous final theses without citing those; in addition, they also confirm they cited the tools, personal information, and sources having been used
  - iii. provide names of the persons who assisted the applicant in selecting and analyzing materials, and supported them in writing the manuscript
  - iv. confirm that they did not receive any assistance from specialized consultants and that any third party did not receive either direct or indirect financial benefits from the applicants for the work connected to the doctoral thesis submitted
  - v. confirm that they have not already submitted the doctoral thesis project as their final thesis for a state examination or other scientific examination
  - vi. confirm that they did not submit the same, a substantially similar, or another scientific paper to any other institution of higher education or to any other faculty and, if they did it, which mark they might have achieved
5. 1 copy of a thesis paper (printed or PDF; with name of candidate and dissertation title)
  - Contrary to the requirements in the doctoral regulations, only one copy of the thesis paper is required.
  - The thesis paper contains 3 - 10 statements ("theses") on the main findings of the dissertation. These key findings serve as a basis for the critical discussion during the thesis defense. The key statements should be listed as numbered simple statements and printed on one A4 page
6. A separate printout of the candidate's scientific CV, with date and **original signature**
7. A printed list of the candidate's scientific publications and presentations
8. The signed form on animal protection, genetic engineering, protection of species and of biotopes
  - The form can be downloaded on the Doctoral Office website ([link](#), see Step 2)
9. An official certificate of good conduct
  - A certificate of good conduct ("Privatführungszeugnis") is required. It will be sent directly to you by the issuing authority. The certificate of good conduct must not be older than 3 months. Please submit it together with the other documents to the doctoral and habilitation office.
  - Alternatively, a proof of current civil service affiliation (copy of employment contract, must not have expired for more than 3 months on the date of submission) can be provided.
10. The proof of payment of the submission fee for a doctorate; the fee is determined by the valid version of the General Fees Regulations of the University

11. Copy of passport (identity card)

- Data not required for identification, in particular printed access and serial numbers, should be blacked out on the copy of the passport (identity card)

12. If applicable: Proof that any additional requirements listed in the admission letter (as defined in doctoral regulations, section 3, subsections 3 and 4) have been met.

**The following additional documents need to be submitted if the thesis is of the cumulative variety (“publication-based”):**

13. Confirmation by supervisor(s) of compliance with the guidelines for publication-based dissertations

14. If publications included in the thesis have several authors, the doctoral candidate's own contribution is of importance for the evaluation of the dissertation. In such cases, the doctoral candidate's share of the work must therefore be listed for each manuscript. According to the Faculty's Implementing regulations (*Durchführungsbestimmungen*), this information must be included in the thesis in two ways:

- a. as a summary page in front of each of the manuscripts included in the dissertation using Form 1 (see attachment, a word document is available for download on the Doctoral Office website: [link](#)), and
- b. in the appendix detailing the doctoral candidate's contributions to each Figure with experimental data in original papers EITHER using Form 2 (see attachment, a word document is available for download on the Doctoral Office website) OR as free text.

A separate printout of each of the forms (or the free text information) described above under (a) and (b) with **original signatures** by the candidate and the supervisor (member of the Faculty of Biological Sciences).

For publication-based dissertations, please be sure to follow the instructions on the formal structure of the dissertation in the Faculty's Implementing regulations. It is often forgotten to include an overview of all manuscripts in the dissertation!

**The following documents need to be on file and usually have been supplied when applying for admission as a doctoral student.** If you are unsure with respect to these documents having been provided by you when applying for admission, get in contact with the Doctoral Studies and Habilitation Office.

15. Certified copy of transcript and of university degree certificate for Bachelor's degree (or equivalent)

16. Certified copy of transcript and of university degree certificate for Master's degree (or equivalent)

Finally, yet importantly, please make sure that your personal and contact details provided on the doc-in site are correct and up-to-date. It is this information that the Faculty will use to contact you and to issue official documents.

**FORM 1<sup>1</sup>**

**Manuscript No.** (sequence number in the dissertation)

**Manuscript title:**

**Authors:**

**Bibliographic information** (if published or accepted for publication: Citation):

**The candidate is** (Please tick the appropriate box.)

First author,  Co-first author,  Corresponding author,  Co-author.

**Status** (if not published; "submitted for publication", "in preparation"):

**Authors' shares (in %) to the given categories of the publication**

Author	Conceptual	Data analysis	Experimental	Writing the manuscript	Provision of material
<i>Others</i>					
<b>Total:</b>	100%	100%	100%	100%	100%

\_\_\_\_\_  
Signature candidate

\_\_\_\_\_  
Signature supervisor (member of the Faculty)

<sup>1</sup> The signatures must be original only in the completed form to be submitted separately to the Dean's Office. The signatures and signature fields are not necessarily required in the version included in the dissertation.

**Instructions on how to fill in the table are provided in Appendix 2 of the Implementing regulations.**

**FORM 2<sup>2</sup>**

**Manuscript No.** (sequence number in the dissertation)

**Short reference** [e.g.: Müller et al (2020), J. Biol. Chem.]

**Contribution of the doctoral candidate**

Contribution of the doctoral candidate to figures reflecting experimental data (only for original articles):

<b>Figure(s) # ___*</b>	<input type="checkbox"/> 100% (the data presented in this figure come entirely from experimental work carried out by the candidate)
	<input type="checkbox"/> 0% (the data presented in this figure are based exclusively on the work of other co-authors)
	<input type="checkbox"/> Approximate contribution of the doctoral candidate to the figure: _____ % Brief description of the contribution: (e.g. "Figure parts a, d and f" or "Evaluation of the data" etc.)

\* Can refer to more than one fig. if the answer is the same

(Add more table boxes depending on the number of figures)

\_\_\_\_\_  
Signature candidate

\_\_\_\_\_  
Signature supervisor (member of the Faculty)

<sup>2</sup> The signatures must be original only in the completed form to be submitted separately to the Dean's Office. The signatures and signature fields are not necessarily required in the version included in the dissertation.