



## **Doctoral thesis (PhD\*) at the Biology Department of the University of Konstanz**

The doctoral regulations for U KN are laid down in the “Promotionsordnung der Universität Konstanz from 22<sup>nd</sup> June 2015” that have been amended in Feb 2018 and January 2020 in (Appendix 9). These are the doctoral regulations for the whole university including the specifications of each department, i.e. the Biology Department does not have its own doctoral regulations as it is commonly found at other German universities. These regulations are therefore difficult to change since all U KN departments have to agree on potential changes – as you can easily imagine a process of months or even years. Consequently, IMPRS has to abide by the most current doctoral regulations.

\*at the point of graduation, successful doctoral candidates shall be awarded a *Doctor rerum naturalium* (Dr.rer.nat) or Doctorate of Natural Sciences, which is the equivalent to the known PhD.

There are four important steps in every doctoral process that are explained below:

- 1) your acceptance as a doctoral candidate of the Biology Department at U KN at the beginning,
- 2) the submission of the thesis,
- 3) the defense, and
- 4) the publication of the thesis at the end of this process.

The IMPRS office is happy to support you with all steps, just contact us! International doctoral students should contact the Welcome Center (Appendix 1: Addresses) who supports doctoral students from abroad - and as a family friendly University also their families - in all steps regarding planning, preparation and realization of their stay in Konstanz. Note that, to stay in the student housing (Seezeit), you need to be formally matriculated at the University.

### ***Step one: Getting accepted as Doctoral Candidate***

Getting accepted as a doctoral candidate at the Department of Biology at U KN is an obligatory step and should be done at the beginning of your doctorate. Before a doctoral candidate is accepted, it is necessary to conclude a doctoral supervision agreement with the supervisor (Appendix 2). This agreement from U KN will be supplemented by our IMPRS-specific agreement and regulations.

To get accepted as a doctoral candidate at the Department of Biology at U KN, you have to provide the administrator of the Biology Department (Dr Roland Kissmehl, see Appendix 1: Addresses) with:

- one signed copy of your doctoral supervision agreement (Appendix 2)
- certified copies of your MSc + BSc certificate and transcript in Biology or a related subject (instead of bringing officially certificated copies you also can bring the originals and a copy),
- a copy of your higher education entrance qualification (high school diploma),
- a signed CV (including date + place of birth),
- and the filled-out and signed application form ("Acceptance as a Doctoral Student", Appendix 3).

This form has also to be signed by someone with the right to act as first supervisor ("Prüfungsberechtigung"), usually a Professor, Junior-Professor or Privatdozent (PD) from U KN who is officially accepting and supervising you at U KN. This supervisor is also one of the two thesis referees and one of the three oral examiners at your defense. Besides this first supervisor, a secondary supervisor has to be named in the application form. This secondary supervisor has to be a Professor, Junior-Professor, Privatdozent or "equally qualified", but not necessarily be affiliated at U KN. In general, this second supervisor is also a thesis referee and an oral examiner during your defense. If necessary, you still can change your official reviewers before submitting your thesis (Step 2). For changing your first supervisor, you need an informal request signed by the three persons (the two current and the former supervisors).

If you are holding a MSc (or similar degree) from a non-German university, equivalency has to be approved by the Student Affairs at U KN (Appendix 1: Addresses). Send your degrees (certificates and transcripts) in time to the IMPRS coordination who will take care

of this first pre-approval. If your last degree is a BSc, it is very likely, that you will have to complete course work at U KN, before being able to be accepted as a doctoral student. The course work is decided on a case by case decision of the doctoral board "*Promotionsausschuss*".

- You further need to provide Roland Kissmehl with an acceptance letter from IMPRS. To get this from the IMPRS office, you need to provide the office with a copy of the IMPRS Agreement signed by you and your supervisor.

***Your supervisor is IMPRS faculty but not Professor at U KN – what do you have to do?***

1. If your supervisor is not a Professor, Junior -Professor or Privatdozent (PD) they have to send in a request to the Head of the Biology Department (Appendix 1: Addresses) for accepting them, to be qualified equally to an external Professor, Junior-Professor or Privatdozent (this needs to be done only once, not for every student).

If this step is necessary, your advisor should get in contact with the IMPRS office. The Department of Biology at U KN has assured us that it will favorably consider applications for the verification of equivalency from those IMPRS faculty members that are not Professor, Junior-Professor or Privatdozent (yet) but are head of a Max Planck Research Group or otherwise hold independent group leader positions.

2. Your supervisor and you have to find a U KN colleague, who is willing to act as your 1<sup>st</sup> advisor and sign the doctoral supervision agreement and doctoral student acceptance form. This person needs to hold a Professor or PD title within the department of Biology at U KN (see <https://www.biologie.uni-konstanz.de/en/departement/people/professors/> + <https://www.biologie.uni-konstanz.de/en/departement/people/junior-research-groups/>). Ideally the U KN colleague is also familiar with your doctoral topic. Your direct supervisor, is then named as second advisor, in the application form.
3. Your direct supervisor and your official supervisor from U KN will be the two referees that then grade your thesis.
4. The two supervisors will also be oral examiners at your defense, together with a further colleague from U KN, who will be head of the commission (Berichterstatter).

***Enrollment = Matriculation***

Following the amendments of the doctoral regulations for U KN of 2018, all doctoral candidates are legally obliged to be enrolled (= get matriculated), at the U KN for the duration of their doctoral studies. You can be exempted from mandatory enrolment only if your main employment is, or will be, with the university (i.e. at least a 50-% position and contract for at least 6 months, this does not include Max Planck contracts!).

Main advantage of being enrolled is the student card (for cheaper food at the Mensa + entrances to museums) and the so called "Study ticket", a six-month student transit pass for public transportation around Konstanz (see <https://www.uni-konstanz.de/en/study/study-essentials/accommodation-and-mobility/mobility/>).

For enrollment, please fill out part B. 'Application for enrolment as a doctoral candidate' of Appendix 2 and submit it together with the 'Application for acceptance as a doctoral candidate' (part A) to the administrator of the Biology Department (Roland Kissmehl, see Appendix 1: Addresses). After which, you shall be contacted by the **Division of Student Affairs and Teaching** (responsible person for German doctoral candidates is **Sascha Rademacher**, for **international candidates Ruth Bürger-Fiedler**, Appendix 1: Addresses) and asked to upload a passport Photo and to pay the fees (currently € 160 semester fees, see <https://www.uni-konstanz.de/en/study/study-essentials/finances/other-fees/general-overview/> + € 70,10 study ticket).

***Time between getting accepted as doctoral candidate and submitting your thesis***

Based on the doctoral guidelines (Art. 6, § 6 specifications of the Department of Biology), at least 3 months have to pass between getting accepted as doctoral candidate (Step1) and submitting your thesis (Step 2).

Please note, this statement can be a bit misleading, please make sure to get accepted as a doctoral student, at the start of your studies!

## ***Step two: Submitting your thesis***

### ***Format of your thesis***

A doctoral thesis at U KN has to fulfill certain formal standards. It usually is written as a publication-based cumulative thesis, but can also be a monograph (prior the agreement of the supervisor). The hard-copy of your thesis has to be DIN A4, binded (**no** spiral binding!) and with a CD containing the digital version (pdf) of your thesis in a CD-envelope glued inside each copy of your thesis.

To get a first overview about this specific standard, we would recommend that you browse the published theses of the last couple of years at the U KN library online's repository (KOPS). You will find a huge number of published theses from the Biology Department including some from Seewiesen and Radolfzell (<http://kops.ub.uni-konstanz.de/>: Fachbereich (=Department) – Biologie; Dokumenttyp (=type of document) – Dissertation (= doctoral thesis). You will see that many of the latest theses are not accessible yet – this is due to publication / copyright issues (e.g. if a chapter of your thesis isn't published yet in a journal, it is likely that you won't like to have it published openly on the internet either, as part of your thesis, if this is your case please see Step four).

### ***Components of your thesis***

- **Title page** see Appendix 4: Doctor of Natural Sciences, Faculty of Sciences, Department of Biology

Please leave an additional blank sheet after the title page.

Be aware that only your final thesis version which you will publish at the library (most conveniently via KOPS) after your defense contains the date of the oral examination and the names of your supervisors (Appendix 7)!

- **Table of contents** Complete list of your thesis' content. Each chapter needs to be listed with its sub chapters, e.g. for each publication with introduction, materials and methods, results etc.
- **Summary** A summary of your thesis.
- **Zusammenfassung** German translation of your summary.
- **General introduction** A general introduction to your research chapters.
- **Your publications / manuscripts as chapters** You need to have a minimum of three

manuscripts of which at least one has to be a first-author publication that is already accepted for publication by an international peer-reviewed journal. Your publications have to be in the same layout and structure as the whole text, i.e. you cannot include the PDF of your publication.

- **General discussion** A broad and combining discussion of all your research chapters.
- **References** A complete list of all cited sources and references (no reference lists per chapter (=manuscript) but one for the whole thesis).
- **Acknowledgments** Don't forget to mention your participation in the IMPRS for Organismal Biology!
- **Author contributions** A chapter-by-chapter list about yours' and potential co-authors' contributions.
- **CV and list of publications (optional)** A personal CV and/or list of your publications may be part of your thesis as well.

### ***Submitting***

You need to submit four\* hard-copies of your thesis, each with a CD containing a digital copy, together with the following documents at the university's central doctoral examination office (**Frau Matzner**; Appendix 1: Addresses):

- Form "Application for Commencement of the Doctoral Examination Procedure" (Appendix 5, **to be printed one-sided!**), which includes further documents to be filled out and signed:
  3. Declaration on prior or current applications for doctoral examination procedures, and, if applicable, an attested certificate regarding any doctorate already awarded.
  4. "Affirmation in Lieu of Oath" according to § 6 of the Doctoral Regulations of the University of Konstanz.
  5. Instruction on the significance and the penal consequences of the affirmation in lieu of oath.
  6. Declaration on the publication of personal data in uni'kon (journal of the University of Konstanz).
- a Copy of your MSc (or similar) degree,

- Copy of the letter “being accepted as a Doctoral student “from the Department of Biology (see step one),
- A signed CV (incl. date and place of birth),
- Copy of your acceptance letter from IMPRS,
- Request for the issuance of your examination documents in English (Appendix 6),
- A separate paper with the names and addresses (if they are not from U KN) of your two referees (see step one) and the head of the commission (your three examiners)!

\* If the average grade of your thesis is 0,5 or higher, or if the two grades given differ by more than a full grade, a third assessment has to be obtained requiring another hard copy of your thesis (summing up to a total of five hard copies) and an extra 3 months.

Please be aware, that the date of submitting of your thesis, needs to be booked in advance, as it requires a bit of scheduling (ca.8-10 weeks), contact your IMPRS office well in advanced, for support.

### ***Time between submitting and defending***

The reviewers have three months to evaluate your thesis. However, please keep in mind that the *Zentrales Prüfungsamt* (central examination office) cannot help it if the reviewers take more than the allocated time period. They can only proceed with the process after they have received the two written evaluations. You should clearly check in advance whether your reviewers have time to evaluate your thesis. Tell them in advance that they may expect this reviewing work and to reserve some time for it. The faster your reviewers are, the faster the whole process can be. It pretty much depends on your “reviewer-management”. If a third review has to be obtained (average grade of your thesis is 0,5 or higher, or if the two grades given differ by more than a full grade), Mrs Matzner will inform the head of the department who will name a third reviewer. You then have to provide the third reviewer with another hard-copy of your thesis and they get another 3 months period for their review.

Between the submission of both written evaluations, you need to calculate at least **5 weeks** until the possible date for your oral defense:

Your thesis will be openly displayed for inspection at U KN, by Mrs Matzner for **two whole weeks**, after she has received all reviews. Professors, Junior-Professors, university lecturers or lecturers (Privatdozent) as well as the doctoral candidate, may submit a detailed opinion in writing to the *Zentrales Prüfungsamt* central examination office with any concerns, within one week.

This is when you need to be active and find a date and room at the U KN for your defense. For room reservation contact the University's central room assignment office with the following information: date, time and duration of your defense (as they usually count in 90 min intervals, better ask directly for 3 hours), expected number of guests, building and if you have, your preferred room (Lehrraumvergabe; Appendix 1: Addresses). The IMPRS office is happy to help you with this part, but make sure to know when your exam is to take place.

Your oral thesis defense can take place within a period of no less than **two weeks** and no more than **eight weeks** following the end of the inspection period. You need to inform Mrs Matzner as soon as possible about date, time, and place of your defense (**at least two weeks in advance** since she has to officially publish date, time, and location of your defense).



### ***Step three: Your defense***

The defense committee is composed of three examiners. Two of the three examiners have to be members of U KN. One of the U KN members is examiner and the other is head of this commission; your supervisor cannot be head of commission. The other two examiners, the one U KN professor who accepted you officially and the second one you already named in step one, usually are also thesis referees, i.e. they do not only grade your defense and examine you thereafter but they also evaluate your thesis (see: Time between submitting and defending). It is also possible to have different referees for the thesis evaluation and for the oral defense!

You are expected to present your thesis in a talk of about 30min. The committee will question you thereafter about your thesis and about general issues of your subject (+/- 1h). The defense and the interview usually are public to students and scientists from U KN. After the interview you and all guests have to leave the room and the committee will discuss your performance and will decide about the grade of the defense. The final grade is the mean of the grade of the defense and two times the mean grade for your thesis (the thesis counts double). After they have decided about the grade, they will call you in and explain their decision.

### ***Step four: Publishing your thesis & getting the certificates***

You only receive your certificate after you have published your thesis, latest two years after your defense. The final thesis has to include all corrections and changes asked by your referees as well as the date of the defense and the names of your reviewers (see Appendix 7). The most convenient way to publish your thesis is in electronic form via the U KN library online repository KOPS, however, some publishers claim the exclusive rights of use and state this in the author contract. The SHERPA/RoMEO list gives an overview on publisher's copyright policies & self-archiving (<http://www.sherpa.ac.uk/romeo/index.php>).

You need to:

- give a copy of your thesis to each reviewer (check with them whether they want a PDF or a hard copy) and have them agree on the publication by signing the form "Publication of the Thesis" (Appendix 8),
- get this form "Publication of the Thesis" (Appendix 8) also signed by the Head of the Biology Department (Appendix 1: Addresses),
- upload a PDF of your final thesis version to the online repository KOPS (<http://kops.ub.uni-konstanz.de/> - "Publikation anmelden"). If you don't want your thesis to be directly available online, you have to send an informal request (by email) to your first supervisor (from U KN) asking for permission to block your thesis in order to protect your data until publication in a scientific journal (max. 24 months) and forward a copy of their answer to KOPS (Appendix 1: Addresses)!
- hand in four hard copies of your final thesis to KOPS (**Mrs Münch**; Appendix 1: Addresses),
- submit the form "Publication of the Thesis" (Appendix 8) signed by your reviewers and the head of the Biology Department to Mrs Matzner. She will be informed by the library that you have uploaded your thesis and will send your doctoral certificate to the address you provided in the form in step two.

### ***IMPRS Doctoral Certificate Supplement***

The IMPRS office will issue a doctoral certificate supplement mentioning all additional curricular elements you did during your doctorate. The only requirement for this is that you need to send a list with all courses (proof of these is necessary, when done outside of our IMPRS program), visited conferences, published papers, supervised students, organized symposia, etc to the IMPRS office.

### ***International certification of your degree (Apostille)***

Most foreign countries require an official certification of your degree: state parties of the Hague Convention of 5 October 1961 require a certification called Apostille, all other countries a legalization. To receive this international certification, you need to:

- ask the Student Service (at U KN) for a certified copy of your degree,
- send the document you want to be certified (either your original certificate and/or the certified copy) and the target country by registered mail (Einschreiben) to the Ministry of Science of Baden-Württemberg (Wissenschaftsministerium, Appendix 1: Addresses) requesting the Apostille. Each certification costs a bit of money.

## ***Appendix***

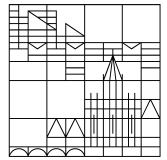
### **Appendix 1: Addresses**

- Formal requirements and steps to complete your doctorate at U KN (<https://www.uni-konstanz.de/en/study/before-you-study/application-and-enrolment/completing-a-doctorate/>)
- Doctoral studies at U KN: Current information and forms: <https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>
- Welcome Center (<https://www.uni-konstanz.de/en/welcome-center/>)  
welcome.center@uni-konstanz.de, 07531 88-4498, room A611 + A612.
- Department of Biology (<https://www.biologie.uni-konstanz.de/en/departement/people/contact/>):  
Administrator, Dr Roland Kissmehl, [fb-referent.bio@uni-konstanz.de](mailto:fb-referent.bio@uni-konstanz.de), 07531-882414, room M606, Mo+Tu 14-16, Thu 11-13.  
Head of the department: Prof. Dr. Mark van Kleunen, mark.vankleunen@uni-konstanz.de, 07531-882997, room M 803; Assistant: Christa Gommel, christa.gommel@uni-konstanz.de, 07531-882105, room M 802, Mo-Fr 8-12.
- Division of Student Affairs and Teaching:  
Enrollment of German students: Sascha Rademacher, [sascha.rademacher@uni.kn](mailto:sascha.rademacher@uni.kn), 07531-882486, room D416, Mo-Fr 9-12.  
Enrollment of International students: Ruth Bürger-Fiedler, [Ruth.Buerger-Fiedler@uni-konstanz.de](mailto:Ruth.Buerger-Fiedler@uni-konstanz.de), 07531-884017, room D439, Mo-Fr 10-12.
- Examination office, Edelgard Matzner, [edelgard.matzner@uni-konstanz.de](mailto:edelgard.matzner@uni-konstanz.de), 07531-883114, room C402, Mo-Fr 9-12.
- Room reservation, Larissa Laub + Franz Benz, [Lehrraumvergabe@uni-konstanz.de](mailto:Lehrraumvergabe@uni-konstanz.de), 07531-882693, room B604
- KOPS, kops.kim@uni-konstanz.de, Susanne Bohner, 07531-882822, room B806
- Ministerium für Wissenschaft, Forschung und Kunst Baden-Württemberg, Mrs Ines Bergert, Königstr. 46, 70173 Stuttgart, [ines.bergert@mwk.bwl.de](mailto:ines.bergert@mwk.bwl.de), Tel. 0711-279 3038

## ***Appendix 2***

### ***Doctoral Supervision Agreement U KN***

*(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: A)*



## Sample Doctoral Supervision Agreement

according to § 38 Sec. 5 LHG (state law on education) and § 1 Sec. 9 of the general Doctoral Regulations of the University of Konstanz

### Information

The new version of the *Landeshochschulgesetz LHG* (state law on education) of 09 April 2014 requires a doctoral supervision agreement<sup>1</sup> between the doctoral candidate and his/her supervisor. The aim is to increase the level of commitment for the supervision of doctoral candidates and introduce quality management and clear quality assurance criteria.

*Extract from § 38 LHG:*

*"(5)....The Doctoral Committee of the section decides on the acceptance of the doctoral candidate after the doctoral supervision agreement has been concluded; if the university accepts the candidate, the university will be obliged to provide scientific supervision. The written doctoral supervision agreement between the doctoral candidate and supervisor contains, but is not limited to:*

- 1. The doctoral thesis project and continually adapted schedules for regular supervision talks and progress reports*
- 2. Details about the individual programme of studies*
- 3. Mutual obligation to comply with the principles of good scientific practice*
- 4. Provisions for the settling of conflicts*
- 5. The evaluation period that will be determined upon handing in the doctoral thesis*

*Upon conclusion of the doctoral supervision agreement the data of the doctoral candidate's data have to be centrally stored".*

The required doctoral supervision agreement is integrated into the general provisions of the Doctoral Regulations of the University of Konstanz (§ 1 Sec. 9):

"(9) Before a doctoral candidate is accepted, he/she will conclude a doctoral supervision agreement with the supervisor. The contents of this agreement shall include, but not be limited to, the following:

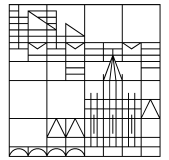
- the topic of the doctoral thesis (possibly a working title as well),
- details about the individual programme of studies if the doctoral candidate does not participate in a structured doctoral programme,
- the thesis project and continually adapted schedules for regular supervision talks and progress reports,
- the evaluation period that will be determined upon handing in the doctoral thesis,
- mutual obligation to comply with the principles of good scientific practice and
- provisions for the handling of conflicts" (Doctoral Regulations as of 22 June 2015)

On 10 June 2015, the Senate of the University of Konstanz recommended using this doctoral supervision agreement for all doctoral candidates. If applicable, it may be supplemented by department-specific or case-specific regulations. Our Academic Staff Development provides a hand-out for supplementary agreements (e.g. further supervision agreements, work conditions, compatibility of academic qualification and family responsibilities etc.). If both the doctoral candidate and the supervisor agree, the doctoral supervision agreement can be modified within the guidelines of the LHG.<sup>2</sup> The doctoral candidate and the supervisor jointly fill in three or more copies of the agreement, sign it and hand each party one copy.

Please attach one signed copy of your doctoral supervision agreement to the application for acceptance as a doctoral candidate.

<sup>1</sup> The doctoral supervision agreement is a public-law contract and legally binding.

<sup>2</sup> All changes of the agreement have to be documented in writing.



## Doctoral supervision agreement

Providing the relevant department accepts the doctoral candidate, the following doctoral agreement for the doctoral studies

subject of the doctoral thesis or working title	
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is concluded between the

prospective doctoral candidate	
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and

supervisor	
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if applicable, additional supervisor**	
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if applicable, additional supervisor*	
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### 1. Short description of the topic of the doctoral thesis project

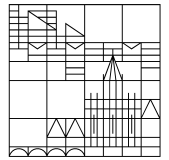
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**Please enter here:**

- A description of the planned topic of the doctoral thesis.
- The topic description can also be an attachment to this agreement.
- If the topic is modified, please also modify the doctoral supervision agreement.

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\* The second and third supervisors can be named after the doctoral supervision agreement is concluded (in this case, enter "N.N"). As soon as the second / third supervisors have been determined, their names have to be entered and they have to sign the modified agreement.



**2. Integration into a doctoral programme, a structured programme, a graduate school or a research training group?**

Yes ☐ Yes, planned ☐ No ☐ Not determined yet ☐

**If yes:**

The doctoral candidate is/will be integrated into the

☐ Doctoral Programme

The doctoral candidate must complete the required coursework and academic performance assessments and comply with the examination regulations, if he/she is enrolled in a doctoral programme.

☐ Structured Programme

☐ Graduate School

☐ Research Training Group

As a member of a graduate school, research training group or participant in a doctoral programme or structured programme, the doctoral candidate must complete the corresponding programme of studies and comply with the corresponding regulations.

**3. If applicable, details on an individual programme of studies (including conditions or further regulations)**

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**4. Details on the thesis project and continually adapted schedules for regular supervision talks and progress reports**

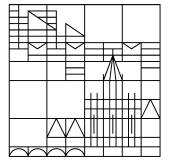
The candidate reports on his/her progress (frequency and intervals):

Supervision talks are planned (in case of two/three supervisors please list individually) (frequency and intervals):

**Please note:**

The doctoral candidate and the supervisor have to agree upon changes to the original schedule or additions to the agreement and document these changes in writing.





## 5. Evaluation period

The supervisors must observe the evaluation period after the doctoral thesis has been submitted. The evaluation period is **three months** from the time the referee was appointed to assess the doctoral thesis ( see § 8 para. 4 , general provisions of the Doctoral Regulations of the University of Konstanz).

## 6. Mutual obligation to comply with the principles of good scientific practice

We have taken notice of the "Guidelines to ensure good scientific practice" (see download area <http://www.ftt.uni-konstanz.de/regeln-gute-wiss-praxis>). We commit ourselves to comply with these guidelines.

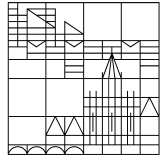
## 7. Provisions in case of obstacles or conflicts

If problems should arise in complying with this agreement or in case of conflicts, the parties involved will try to find a solution by discussing the matter. If needed be, the doctoral supervision agreement can then be amended correspondingly in writing - within the guidelines of the *LHG* and the Doctoral Regulations of the University of Konstanz.

If no solution is found, the parties involved shall contact the **ombudsperson for doctoral procedures** at the University of Konstanz. Each of the parties involved can contact the ombudsperson. The ombudsperson provides advice, support and conflict resolution regarding the supervision of doctoral candidates. Consultations are confidential. If the person seeking advice so wishes, the ombudsperson can intervene and try to resolve the conflict.

## 8. Changing the doctoral supervision agreement

If both parties agree, the doctoral supervision agreement can be amended in accordance with all applicable legal provisions.



## 9. Coming into effect

This agreement comes into effect once signed by the parties involved and after the corresponding department has accepted the candidate. It shall be valid until the end of the evaluation period, or in case the doctoral examination process ends prematurely, until that point of time. In case the supervisor changes, the quitting supervisor is relieved of his/her responsibilities. A modified agreement has to be concluded with the new supervisor, which will then replace the original agreement.

### Signatures:

Doctoral candidate      Supervisor

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Place, date      Place,

-----  
date

Additional supervisor      Additional

supervisor

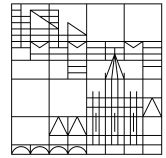
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Place, date      Place,

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date

### ***Appendix 3***

#### ***Application form "Acceptance as a Doctoral Student"***

*(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: B)*



## **Formal steps in the doctoral procedure**

Please send this application including sections A, B and, if applicable, C, via your department to the Division of Student Affairs and Teaching, 'Sachgebiet Bewerbung und Zulassung, Statistik' (post box 69)

### **A. Application for acceptance as a doctoral candidate**

Pages 1 to 9

### **B. Application for enrolment as a doctoral candidate**

Pages 10 and 11

### **C. *Optional*: Application for exemption from mandatory enrolment**

Page 12

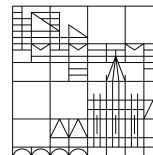
**Important note:**

As stated in the Landeshochschulgesetz LHG (state law on higher education), enrolment is mandatory for doctoral candidates.

An exception is only possible if:

1. Your main employment is, or will be, with the university (i.e. at least a 50-% position and contract for at least 6 months),
2. you will complete your doctorate not in the context of a doctoral study programme
3. and you apply for exemption from enrolment.

Universität  
Konstanz



**Please submit this application, including the doctoral supervision agreement and two copies of the notification of acceptance as a doctoral candidate, approved by the department, to the Division of Student Affairs and Teaching, Sachgebiet Bewerbung und Zulassung, Statistik (post box 69).**

To the  
Head of department  
please select

► please name your department

78457 Konstanz, GERMANY

Application received on:

► to be completed by the department

## A. Application for acceptance as a doctoral candidate

I hereby apply

► Name	► First name/s	► Title
► Post code, city		► Street, number
► Phone	► Email address	► Date of birth (dd.mm.yyyy)
► Place of birth		► Country of birth
► 1. Nationality		► 2nd nationality, if applicable

female ☐ male ☐ ► undetermined/prefer not to say ☐

► Gender

**for acceptance as a doctoral candidate.**

	<b>X</b>
► Place and date	► Signature of the applicant

**The following documents are enclosed:**

1. Certified copy of the degree certificate documenting successful completion of
  - a. a master's programme at a German university or
  - b. a study programme at a university, teacher training college or art academy with a standard period of study of at least four years or
  - c. a graduate study programme at a university, teacher training college or any other institution of higher education that has the right to award doctoral degrees
  - d. copy of your higher education entrance qualification (HZB)
  - e. curriculum vitae outlining personal and professional background and development
  - f. a copy of the doctoral supervision agreement, signed by the candidate and the academic supervisor(s)

~~▼ 2. Only for prospective doctoral students in the Department of Law:~~

- ~~2. A seminar paper graded "voll befriedigend" (fully satisfactory) by a professor.~~
- ~~3. Proposed topic of the doctoral thesis and choice of primary academic supervisor (see page 4).~~
- ~~4. Curriculum vitae outlining personal and professional background and development.~~
- ~~5. Declaration on past or ongoing applications for doctoral studies, and, if a doctoral degree has been awarded before, a certified copy of the degree certificate (see pages 4 and 5).~~
- ~~6. Declaration whether, and to what extent, as part of a past degree examination, the candidate has submitted a written paper or parts of a written paper on a topic identical to the proposed topic of the doctoral thesis or a variation thereof (see pages 4 and 5).~~

~~▼ 7. Only for international applicants who apply for a doctoral programme in the Department of Law:~~

- ~~7. Proof that you meet the university's language requirements, if your first language is not German and you did not graduate from a German secondary school.~~

**▼ 8. Only for candidates applying for a doctoral programme in the Departments of Chemistry or Biology:**

8. Proof of acceptance to a graduate research school (Department of Chemistry) or a graduate programme (Department of Biology)

~~▼ 9. Only for candidates applying for a doctoral programme in the Department of Politics + Public Administration:~~

- ~~9. Special regulations are in place for bachelor students seeking to pursue doctoral studies – so called "Fast Track". Please refer to the requirements set out in the discipline-specific doctoral regulations; link to the Doctoral Regulations:  
<https://www.uni-konstanz.de/en/study/while-you-study/examinations/examination-regulations/doctoral-regulations/>~~

**▼ 10. Only for** particularly qualified graduates with a bachelor's degree in chemistry, life science, molecular materials science or biological science from the University of Konstanz or a comparable study programme completed at another university who seek to pursue doctoral studies (so-called **"Fast Track"**). Please also refer to the requirements set out in the discipline-specific doctoral regulations. Link:

<https://www.uni-konstanz.de/en/study/while-you-study/examinations/examination-regulations/doctoral-regulations/>

10. Certified copy of the degree certificate documenting successful completion of
  - a. this bachelor's programme or a comparable study programme completed at another university,
  - b. Proof of enrolment in a master's programme in chemistry, life science, nano science or biological science at the University of Konstanz (enrolment certificate),
  - c. Proof of coursework and academic performance assessments completed as part of the current master's programme.

~~▼ 11 a. applies only to candidates applying for a doctoral programme in the Faculty of Humanities (philosophy, history, sociology, sports science, educational sciences and empirical education research as well as literature and linguistics)~~

- ~~11. a. A research proposal outlining your research project (5-10 pages)~~
- ~~b. Choice of secondary academic supervisor. You and your primary supervisor must agree on your choice (see page 6).~~
- ~~c. Special regulations are in place for bachelor students seeking to pursue doctoral studies – so called "Fast Track". Please refer to the requirements set out in the discipline-specific doctoral regulations; link to the Doctoral Regulations:  
<https://www.uni-konstanz.de/en/study/while-you-study/examinations/examination-regulations/doctoral-regulations/>~~



**I apply for admission to a doctoral study programme.**

Explanation: as of 01.10.2008, you must be enrolled in a doctoral study programme to earn a doctoral degree in the Faculty of Humanities at the University of Konstanz. This means that, according to para. 2 of the discipline-specific doctoral regulations for the humanities, only candidates who have applied for admission to a doctoral study pro-

programme can be accepted as doctoral candidates. Exemptions from mandatory enrolment in a doctoral study programme may be granted on the grounds of extraordinary circumstances that are likely to otherwise severely impede the candidate's ability to successfully complete a doctoral study programme. You must submit adequate proof of your inability to take part in a doctoral study programme (proof of employment etc.) and provide detailed reasons (on a separate sheet), both of which you must hand in with your application form; exemptions are granted by the Doctoral Committee. Even if you have been exempted from mandatory enrolment in a doctoral study programme, you are still required by general university law to enrol at the University of Konstanz.

➔ **Type of doctoral studies (to be filled in by the department!)** (▼ please select)

Doctoral studies at a university with the right to award doctoral degrees

- ☐ University of Konstanz
  - ☐ Universität Tübingen (Department of Economics)
  - ☐ Any other partnership agreement with a university that has the right to award doctoral degrees (▼ please name)
- 

Doctoral studies at a university that has the right to award doctoral degrees in cooperation with a university abroad

- ☐ Cotutelle process
  - ☐ Simon Fraser University Vancouver (Department of Economics)
  - ☐ University of St. Gallen (Department of Economics)
  - ☐ Aix-Marseille-Constance-Strasbourg Doctoral Programme (Department of Economics)
  - ☐ University of Singapore (Department of Biology or Chemistry)
  - ☐ Any other partnership agreement with a university abroad (▼ please name)
- 

Doctoral studies at a university that has the right to award doctoral degrees in cooperation with a Fachhochschule (university of applied sciences)

- ☐ Doctoral studies training group InViTe in cooperation with Albstadt-Sigmaringen University of Applied Sciences
  - ☐ Hochschule Konstanz University of Applied Sciences (HTWG)
  - ☐ Any other partnership agreement with a Fachhochschule (▼ please name)
- 

Doctoral studies at a university that has the right to award doctoral degrees in cooperation with an external research institution

- ☐ Leibniz Institute for Economic Research at the University of Munich (ifo)
  - ☐ Centre for European Economic Research (ZEW)
  - ☐ Max Planck Institute for Ornithology (Radolfzell/Seewiesen)
  - ☐ Any other partnership agreement with an external research institution (▼ please name)
- 

Doctoral studies at a university with the right to award doctoral degrees in cooperation with a business or any other institution

- ☐ Partnership agreement with a business or other institution (▼ please name)
-

➔ **On section 3 of this application form ("primary supervisor"):**

My signature confirms that I intend to assign to Mr/Ms

--	--

► First name(s)

► Last name

the following topic for the doctoral thesis:

--

► Topic of doctoral thesis

The topic falls under the following academic discipline:

--

► Discipline

and belongs to the area of

--

► Subject area

I declare that I am willing to supervise

--	--

► First name(s)

► Last name

	X
--	---

► Place and date

► Signature of the primary supervisor and official stamp

➔ **On sections 5 and 6 of the application:**

## **Declaration**

**I hereby declare that**

- prior to this application (▼ please select)

☐

I have not

☐

I have

submitted other applications for doctoral studies (if you have, you must include a separate declaration specifying the date and institution, the proposed topic, the outcome of your application and, if applicable, your doctoral certificate),

- at the time this application is made (▼ please select)

☐

no

☐

a

application for doctoral studies at another university was submitted by me  
(if you have submitted another application, you must include a separate declaration),

- I have submitted, as part of my final degree examination, (▼ please select)

☐

no

☐

a

written paper or parts of a written paper on a topic identical to the proposed topic of my doctoral thesis or a variation thereof.

☐

I have **no** objections to my thesis being made available electronically.

**I further confirm that the information I have provided is correct.**

	X
--	---

► Place and date

► Signature of the applicant



→ **on section 11b of this application form ("secondary supervisor"):**

**Only** for doctoral programmes in the **Faculty of Humanities and the Departments of Chemistry and Biology**:

I approve the suggestion by Mr/Ms

--	--

► First name(s) of the doctoral candidate

► Last name of the doctoral candidate

that Mr/Ms/Professor

--

act as secondary supervisor

► Name of the secondary supervisor

on this doctoral thesis.

	<b>X</b>
--	----------

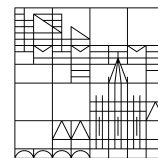
► Place and date

► Signature of the primary supervisor and official stamp



### Information

The following details for the university's doctoral candidates' statistics must be filled in by the applicant, the chair or department.



### → Higher education entrance qualification (HZB):

Date the first HZB was obtained (dd.mm.yyyy):

Type of first HZB:

- allgemeine Hochschulreife (aHR) (general higher education entrance qualification)
- fachgebundene Hochschulreife (fgHR) (subject-specific higher education entrance qualification)
- Fachhochschulreife (FHR) (qualification for study at a university of applied sciences)
- allgemeine Hochschulreife, im Ausland erworben (aHR) (general higher education entrance qualification earned abroad)

please select

Grade you completed the Abitur with (HZB grade)

Place of your first HZB:

- Bundesland (federal state, if awarded in Germany) and
- Landkreis (administrative district, if awarded in Germany)
- or country (if awarded abroad)

### → First enrolment (as a student):

University:

Country:

Semester

(e.g. winter semester 2018/19):

### → Details of your most recent university degree prior to the doctoral programme:

University:

Country:

Degree/academic title (e.g. Master of Arts):

Field(s) of study:

Graduation date (dd.mm.yyyy)

Overall grade:

### → Further degrees, if applicable:

University:

Country:

Degree/academic title (e.g. Bachelor):

Field(s) of study:

Graduation date (dd.mm.yyyy)

Overall grade:

→ **The final examination conferring the right to register for doctoral studies** (▼ please select)

☐ has not been taken yet ☐ has been taken and passed

► matriculation number (if the degree was awarded by the University of Konstanz; see UniCard or certificate of exmatriculation)

→ **Type of doctoral thesis:** (▼ please select)

☐ Monograph ☐ publication-based/cumulative doctoral thesis

"Fast Track": Yes ☐ No ☐

→ **Type of registration as a doctoral researcher** (▼ please select)

☐ First time registration (first application for acceptance as a doctoral researcher at a university)


☐ New registration (renewed application for acceptance, e.g. when changing universities)

(Please submit letter of acceptance issued by the other university)

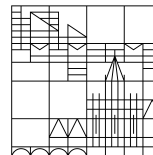
→ **Are you employed by the University of Konstanz?** (▼ please select)

☐ Yes ☐ No

► Staff ID No. (see staff ID card)


✕

**Information**  
The following details for the university's doctoral candidates' statistics must be filled in by the applicant, the chair or department.



**DFG-funded doctoral programmes:** (▼ please select)

Please tick only if you are a **regular** member. Associate members are NOT regular members of the relevant doctoral programme.

- ☐ GRK 1331: Research training group "Cell-based Characterisation of Disease Mechanisms in Tissue Destruction and Repair"
- ☐ GRK 1601: Research Training Group "The Problem of the Real in Modern Culture"
- ☐ GRK 227 2: Research training group "R3 Reaktionsmuster bei Veränderungen biotischer und abiotischer Bedingungen, Resilienz und Reversibilität von Seeökosystemen"
- ☐ Integrated Research Training Group within CRC 767 Controlled Nanosystems: Interaction and Interfacing to the Macroscale"
- ☐ Integrated Research Training Group within SFB 1214 "Anisotropic Particles as Building Blocks: Tailoring Shape, Interactions and Structures"
- ☐ Integrated research training group within TRR 161 "Quantitative Methods for Visual Computing"
- ☐ GSC 218: "Konstanz Research School Chemical Biology" (KoRS-CB)
- ☐ GSC 1019: "Graduate School of Decision Sciences"
- ☐ Ph.D. Programme "Europe in the Globalized World" within the Cluster of Excellence (EXC 16) "Cultural Foundations of Social Integration"
- ☐ Ph.D. Programme "Cultures of Time" within the Cluster of Excellence (EXC 16) "Cultural Foundations of Social Integration"

**Doctoral programmes and graduate schools of the departments:** (▼ please select)

- ☐ Doctoral study programme in Politics and Public Administration
- ☐ Doctoral study programme in Philosophy
- ☐ Doctoral study programme in History
- ☐ Doctoral study programme in Sociology
- ☐ Doctoral study programme in Literature (all subjects)
- ☐ Doctoral study programme in Linguistics
- ☐ Doctoral study programme in Clinical Psychology, Neuropsychology, and Psychotherapy
- ☐ Doctoral study programme in Anthropology

- ☐ Graduate School Chemistry (GCh)
- ☐ Graduate School Biological Sciences (GBS)
- ☐ Doctoral studies training group "Quantitative Economics and Finance"

**More externally funded doctoral programmes:** (▼ please select)

- ☐ International Max Planck Research School for Organismal Biology
- ☐ Marie Curie ITN "Algal Microbiome: Friends or Foes" (ALFF)
- ☐ Marie Curie ITN "Nano Scale Solid-State Spin Systems in Emerging Quantum Technologies" (Spin-NANO)
- ☐ Marie Curie ITN "Few Spin Solid-State Nano-systems" (S3NANO)
- ☐ Marie Curie ITN "Optomechanical Technologies" (OMT)
- ☐ Marie Curie ITN "QUantum Electronics Science and TECHnology training"
- ☐ Doctoral studies training group InViTe

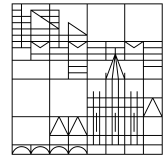
Research Training Group "Changing Frames. Art History and Art Technology in Exchange"

Marie Curie ITN "MAking pErovskiteS TRuly exploitable" (MAESTRO)

Marie Curie ITN "The Multilingual Mind" (MULTIMIND)

► Student ID number of the University of Konstanz

Universität  
Konstanz



## **B. Application for enrolment as a doctoral candidate**

(You do not need to fill in this application if you can be and want to be exempted from compulsory enrolment; see section C on page 12).

at the University of Konstanz for the

☐

winter semester 20 \_\_\_\_ / 20 \_\_\_\_

OR

☐

summer semester 20 \_\_\_\_

### → **Details on previous periods of study at German universities:**

Total number of semesters enrolled at a German university  
(Hochschulsemester)

Number of semesters you took leave of absence (Urlaubssemester)

Number of internship semesters (Praxissemester)

Number of semesters at a German "Studienkolleg"


It is **absolutely mandatory** that you attach a certificate of exmatriculation to this application, unless you acquired your degree qualifying you for doctoral studies at the University of Konstanz.

### → **Studies in the previous semester:**

The previous semester was the

☐

summer semester 20 \_\_\_\_

☐

winter semester 20 \_\_\_\_ / \_\_\_\_

Name of the university if located in  
Germany:

Name and country if located outside of  
Germany:

Planned final examination you were  
studying towards when you were last  
enrolled (e.g. Bachelor/Master):


1. Subject:

--

2. Subject:

--

3. Subject:

--

### → **Practical work experience before studying:**

Have you already completed an apprenticeship/vocational training?

☐

yes

☐

no

Have you completed an internship related to your study programme?

☐

yes

☐

no

### → **Student health insurance:**

Doctoral researchers are not subject to statutory student health insurance (§ 5 para. 1 No. 9 clause 1 SGB V).

## → Data protection:

### 1. Responsible authority

University of Konstanz  
represented by Rector  
Professor Dr Kerstin Kriegelstein  
Universitätsstr. 10  
78464 Konstanz, Germany  
Phone: +49 7531 88-0  
Email: [onlineredaktion@uni-konstanz.de](mailto:onlineredaktion@uni-konstanz.de)

### 2. Data protection officer

Heinz-Joachim Sommer  
Datenschutz-Sommer  
Sommertalweg 1  
88709 Meersburg  
Email: [datenschutzbeauftragter@uni-konstanz.de](mailto:datenschutzbeauftragter@uni-konstanz.de)

### 3. Legal basis

- Art. 6 para. 1 lit. e in connection with para. 3 of the EU's General Data Protection Regulation (GDPR) in connection with § 12 of the Landeshochschulgesetz LHG (state law on higher education) from 01.01.2005, whose Article 1 was last amended on 13.03.2018 (published in GBl. p. 85), and the Ministry of Science, Research and the Arts's legal regulation "Hochschul-Datenschutzverordnung" on the collection and processing of personal data of university applicants, students and examination candidates for administrative purposes of the institutions of higher education from 28.08.1992 (GBl. p. 667), whose Article 2 was last amended on 03.05.2012 (GBl. p. 276, 280),
- the "Hochschulstatistikgesetz" (law on university statistics) from 02.11.1990 (BGBl. I S. 2414), whose Article 3 was last amended on 07.12.2016 (BGBl. I p. 2826),
- the Landesdatenschutzgesetz (data protection act) from 12.06.2018 (GBl. p. 173) and
- § 4 of the "Studentenkrankenversicherungs-Meldeverordnung" (student health insurance registration provision) from 27.03.1996 (BGBl. I p. 568), whose Article 20 was last amended on 11.11.2016 (BGBl. I p. 2500).

### 4. Purpose and legal basis for data processing

It is mandatory that you fill in the form and provide the corresponding information for the acceptance as a doctoral researcher. Otherwise you **cannot** be accepted or enrolled!

### 5. Recipients

- The data will be forwarded to the following organizational units of the university:  
Division of Student Affairs and Teaching, staff unit Controlling and your department.
- Passing on data to third parties:  
Personal data may be passed on to third parties, particularly to other universities, public health insurances and offices for educational assistance if the legal requirements are fulfilled.

### 6. Storage duration

Basically, all data is saved until exmatriculation or the end of the examination procedure, then deleted. The following data is exempt from this regulation as it must be kept for 40 years after exmatriculation or the end of the examination procedures (§ 12 Hochschul-Datenschutzverordnung (university data protection regulation)):

- Last name, first name(s), birth name, date of birth, place of birth, gender,
- study programme, student ID number,
- internship semesters, leave of absence semesters, other interruptions,
- result and date of the preliminary (degree) examination,
- result and date of the final examination including the overall grade and the individual grades the overall grade is calculated from,
- date of enrolment and exmatriculation as well as the reason for exmatriculation.

### 7. Your rights

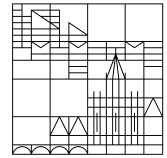
- In accordance with Article 15 GDPR, you have the right to request information from the University of Konstanz about any data it stores that is related to your person and/or to have incorrect data corrected as per Article 16 GDPR.
- You also have the right to demand that your data be deleted (Article 17 GDPR), that the processing and use thereof be restricted (Article 18 GDPR), as well as to object to the processing and use of your data (Article 21 GDPR), unless legal requirements stipulate otherwise.
- To better understand and exercise your rights, please contact our data protection officer by emailing [datenschutzbeauftragter@uni-konstanz.de](mailto:datenschutzbeauftragter@uni-konstanz.de).
- You also have the right to file a complaint with the regulating authority if you believe that the processing and use of your personal data is in violation of the law (Art. 77 GDPR).

The responsible contact person at the regulating authority is the Landesbeauftragter für den Datenschutz und die Informationsfreiheit Baden-Württemberg (state commissioner for data protection and the freedom of information Baden-Württemberg).

	X
--	---

► Place and date

► Signature of the applicant



## **C. Optionally: Application for exemption from mandatory enrolment**

### **Enrolment (important for all applicants)**

For the period of doctoral studies, **you are legally obliged to enrol** (see § 38 para. 5 sentence 1 clause 1 Landeshochschulgesetz LHG (state law on higher education)).

You can be **exempted from mandatory enrolment only** if your main employment is, or will be, with the university (i.e. at least a 50-% position and contract for at least 6 months), and you will complete your doctorate not in the context of a doctoral study programme.

**I apply for exemption from the legal obligation to enrol:** ☐

Please attach to this application a copy of your work contract, or proof that you will shortly conclude a work contract.

Please note that enrolled doctoral researchers nevertheless have to pay **fees** for enrolment or re-registration every semester. These fees **must be paid in due time** (currently for the summer semester: by 15 February, for the winter semester: by 15 August). The re-registration fee is composed of the administrative fee, Seezeit student services fee and the student body fee.

Doctoral researchers who are not enrolled have **no right** to discounts and special university or Seezeit offers for students. Moreover they cannot take part in elections as other enrolled doctoral researchers can.

	X
--	---

► Place and date

► Signature of the applicant



## ***Appendix 4***

### ***Title page of Dissertation for Submitting***

(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: D)

# **Title of the doctoral thesis**

**Doctoral thesis for obtaining the  
academic degree**

Doctor of Natural Sciences

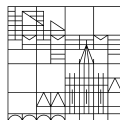
*Dr. rer. nat.*

submitted by

(family name, given name(s) of the doctoral student)

at the

Universität  
Konstanz



Faculty of Sciences

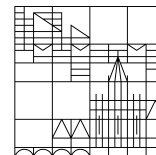
Department of Biology

Konstanz, year

## ***Appendix 5***

### ***Application for Commencement of the Doctoral Examination Procedure***

(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: C)



To  
University of Konstanz  
Division of Student Affairs  
- Central Examination Office -  
Universitätsstr. 10  
78464 Konstanz

receipt: \_\_\_\_\_

## Application for Commencement of the Doctoral Examination Procedure

name: \_\_\_\_\_ First name: \_\_\_\_\_  
born on: \_\_\_\_\_ in: \_\_\_\_\_  
nationality: \_\_\_\_\_ Student  
Place of residence ID number: \_\_\_\_\_  
(postcode) street: \_\_\_\_\_  
phone (office): \_\_\_\_\_ phone (private): \_\_\_\_\_  
fax: \_\_\_\_\_ e-mail: \_\_\_\_\_

Title of the thesis: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Targeted doctoral degree: ☐ Doctor of Natural Sciences (Dr.rer.nat.)  
☐ Doctor of Social Sciences (Dr.rer.soc.)  
☐ Doctor of Economics (Dr.rer.pol.)  
☐ Doctor of Law (Dr.jur.)  
☐ Doctor of Philosophy (Dr.phil.)  
☐ Doctor of Engineering Sciences (Dr.-Ing.)

(mark with a cross where applicable)

Faculty: \_\_\_\_\_

Department of: \_\_\_\_\_

Supervising professor, university or private lecturer: \_\_\_\_\_

As set out in § 6 Sec. 2 of the Doctoral Regulations, the following documents have been attached to this application:

**Please take note that additional stipulations and regulations stated in section B may apply to your department.**

<b>A.</b>	<u>All doctoral candidates must submit the following documents:</u>	
1.	a)	Copy of the successful completion of a master's programme at a German institute of higher education or a study programme at a university, teacher training college or art academy with an average number of semesters of at least four years, or a study programme that followed on a basic study programme at a university, teacher training college or other institution of higher education that has the right to award doctoral degrees.
	b)	Certificate (copy) by the department confirming the acceptance as a doctoral candidate at the University of Konstanz.
2.	Curriculum vitae outlining personal and professional background and development.	
3.	Declaration on prior or current applications for doctoral examination procedures, and, if applicable, an attested certificate regarding any doctorate already awarded (see attachment to no. 3).	
4.	"Affirmation in Lieu of Oath" according to § 6 of the Doctoral Regulations of the University of Konstanz (see attachment to no. 4).	
5.	Instruction on the significance and the penalty consequences of the affirmation in lieu of oath (see attachment to no. 5).	
6.	Declaration on the publication of personal data in uni'kon (journal of the University of Konstanz) (see attachment to no. 6).	
7.	<p>Four (or more) <u>bound</u> copies (paper format: DIN A4) of the thesis as well as an <u>electronic copy of the thesis</u> in the form of a PDF file, supplied on a <u>CD-ROM</u> (please put the CD-ROM in an envelope <b>in each copy</b> of the thesis).</p> <p>The thesis must include:</p> <ul style="list-style-type: none"> <li>a) A title page,</li> <li>b) A table of contents,</li> <li>c) A brief summary,</li> <li>d) A German-language summary if you submit a foreign-language version, as well as</li> <li>e) A detailed bibliography of the sources and references used. A previously published paper by the candidate may be submitted if no more than three years have elapsed since its publication.</li> <li>f) If the thesis consists of multiple contiguous papers (see § 8 Sec 3), a <u>separate declaration</u> has to be handed in that clearly delineates the candidate's work for separate evaluation.</li> </ul>	
8.	<p><u>Type of doctoral thesis</u> ( ▼ please select)</p> <p><input type="checkbox"/> monograph      <input type="checkbox"/> publication-based/cumulative doctoral thesis</p>	

<b>B.</b>	<u>Please submit the additional documents and/or information required by your department:</u>
<del><b>B.1</b></del>	<del><u>Department of Mathematics and Statistics</u></del>
	<del>— Please provide documentation of all required coursework or examinations completed during doctoral studies.</del>
	<del>— Please submit a completed and signed mathematics attachment, if your oral doctoral examination is to be performed as an extended colloquium on the doctoral thesis and special subjects according to § 14 of the doctoral regulations (see Mathematics Attachment).</del>
	<del>— The Department of Mathematics and Statistics requires documentary evidence of the given talk about the essential results of your thesis. Please attach to this application.</del>

<b>B.2</b>	<b><u>Department of Computer and Information Science</u></b>
	<p><del>Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p> <p><del>The Department of Computer and Information Science requires documentary evidence of a written exposé and a talk. Please attach to this application.</del></p>
<b>B.3</b>	<b><u>Department of Physics</u></b>
	<p><del>In addition to the extended colloquium on the doctoral thesis, please submit a list of the special subjects for the oral doctoral examination on the physics attachment according to § 14 of the doctoral regulations. Be sure that the completed supplement is signed by the examiners and yourself before turning it in (see Physics Attachment).</del></p>
<b>B.4</b>	<b><u>Department of Chemistry</u></b>
	<p><del>Documentary evidence of participation in the course programme of the Graduate School at the Department of Chemistry.</del></p> <p><del>The Department of Chemistry requires documentary evidence of the given talk or the publication in a scientific journal. Please attach to this application.</del></p> <p><del>Permission to write a cumulative doctoral thesis (see Chemistry Attachment).</del></p>
<b>B.5</b>	<b><u>Department of Biology</u></b>
	<p><del>Documentary evidence of participation in the course programme of the Graduate School at the Department of Biology.</del></p>
<b>B.6</b>	<b><u>Department of Psychology</u></b>
	<p><del>Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p> <p><del>For PhD candidates (<b>Doctor of Philosophy – Dr.phil.</b>), the oral doctoral examination may be either an extended colloquium on the doctoral thesis and one hypothesis, or a thesis defence, depending on the department. Please turn in one proposed hypothesis and an explanation according to § 13 of the doctoral regulations along with <b>five print copies</b> and one Word version on CD-Rom of the hypothesis to be discussed.</del></p>
<b>B.7</b>	<b><u>Department of Philosophy</u></b>
	<p><del>Please include documentation of sufficient German language skills along with your Application for Commencement of the Doctoral Examination Procedure, if German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad.</del></p> <p><del>Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p> <p><del>If oral doctoral examinations are performed as an extended colloquium on the doctoral thesis and two hypotheses (see § 13 of the doctoral regulations), please submit the two proposed hypotheses and an explanation to be discussed. Please submit <b>five print copies</b> and one Word version on CD-Rom of the hypotheses.</del></p>
<b>B.8</b>	<b><u>Department of History and Sociology</u></b>
	<p><del>In case you pursue the doctoral degree of Doctor of Philosophy (Dr.phil.), please include documentation of sufficient German language skills along with your Application for Commencement of the Doctoral Examination Procedure, if German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad.</del></p> <p><del>Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p> <p><del>If oral doctoral examinations are performed as an extended colloquium on the doctoral thesis and one hypothesis (see § 13 of the doctoral regulations), please submit the proposed hypothesis and an explanation to be discussed. Please submit <b>five print copies</b> and one Word version on CD-Rom of the hypothesis.</del></p>

<b>B.9</b>	<b><u>Department of Literature</u></b>
	<p><del>– Please include documentation of sufficient German language skills along with your Application for Commencement of the Doctoral Examination Procedure, if German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad.</del></p> <p><del>– Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p> <p><del>– In addition to the extended colloquium on the doctoral thesis, please turn in two proposed hypotheses and explanations according to § 13 of the doctoral regulations along with <b>five print copies</b> and one Word version on CD-ROM of the hypotheses to be discussed.</del></p>

<b>B.10</b>	<b><u>Department of Linguistics</u></b>
	<p><del>– Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p>

<b>B.11</b>	<b><u>Department of Law</u></b>
	<p><del>– If German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad, please include documentation of sufficient German language skills with your application, if you did not already do so when you began your doctoral studies.</del></p> <p><del>– If oral doctoral examinations are performed as an extended colloquium on the doctoral thesis and either one hypothesis or a special subject (see § 13 and § 14 of the doctoral regulations), please submit either one proposed hypothesis and an explanation or the title of one special subject to be discussed (see Law Studies Attachment). Please submit <b>five print copies</b> and one Word version on CD Rom of the hypothesis.</del></p>

<b>B.12</b>	<b><u>Department of Economics</u></b>
	<p><del>– Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p> <p><del>– If oral doctoral examinations are performed as an extended colloquium on the doctoral thesis and two hypotheses (see §13 of the doctoral regulations), please submit the two proposed hypotheses and an explanation to be discussed. Please submit <b>five print copies</b> and one Word version on CD Rom of the hypotheses.</del></p> <p><del>– The following requirements only apply to doctoral candidates taking a thesis examination: Documentation of at least two presentations in either seminars or colloquia in the Department of Economics.</del></p>

<b>B.13</b>	<b><u>Department of Politics and Management</u></b>
	<p><del>– Please provide documentation of all required coursework or examinations completed during doctoral studies.</del></p>

<b>C.</b>	<b><u>Final details</u></b> <b><u>Please complete the following information and turn in with your application:</u></b>
	<p>The following referees and/or oral examiners have been suggested, given the right of nomination according to § 6 Sec. 2 no. 11 of the doctoral regulations:  Professor Dr. /University lecturer Dr. / Privatdozent Dr.</p> <hr/> <p>I am aware of the provisions of the current version of the regulations of the University of Konstanz and implementing provisions etc.</p> <hr/> <p>Place and date _____ (signature of the applicant)</p> <p><b>Note:</b> Deciding on the commencement of the Doctoral Examination Procedure is only possible if <b>all</b> documents/statements have been attached to the application.</p>

D.	<p><b><u>Temporary research-related stays abroad that are relevant for your doctoral studies, e.g. research stays (experiments, inquiries, excursion/educational trip, conference), qualification programmes (summer school, course on methods, language course relevant for doctoral studies)</u></b>  <u>(if you have completed more than three study abroad stays, please include only the three longest stays):</u></p>
1.	<p><b>First research-related stay abroad</b></p> <p>1. Country where you stayed abroad: _____</p> <p>2. The stay abroad began on: _____  The stay abroad ended on: _____</p> <p>3. Type of mobility programme:</p> <p><input type="checkbox"/> EU programme (funded by the EU, e.g. Erasmus)</p> <p><input type="checkbox"/> Other publicly funded programme (e.g. institutional partnership, non-EU funded)</p> <p><input type="checkbox"/> Non-publicly funded programme</p> <p><input type="checkbox"/> No programme, self-organised</p>
2.	<p><b>Second research-related stay abroad</b></p> <p>1. Country where you stayed abroad: _____</p> <p>2. The stay abroad began on: _____  The stay abroad ended on: _____</p> <p>3. Type of mobility programme:</p> <p><input type="checkbox"/> EU programme (funded by the EU, e.g. Erasmus)</p> <p><input type="checkbox"/> Other publicly funded programme (e.g. institutional partnership, non-EU funded)</p> <p><input type="checkbox"/> Non-publicly funded programme</p> <p><input type="checkbox"/> No programme, self-organised</p>
3.	<p><b>Third research-related stay abroad</b></p> <p>1. Country where you stayed abroad: _____</p> <p>2. The stay abroad began on: _____  The stay abroad ended on: _____</p> <p>3. Type of mobility programme:</p> <p><input type="checkbox"/> EU programme (funded by the EU, e.g. Erasmus)</p> <p><input type="checkbox"/> Other publicly funded programme (e.g. institutional partnership, non-EU funded)</p> <p><input type="checkbox"/> Non-publicly funded programme</p> <p><input type="checkbox"/> No programme, self-organised</p>



name: \_\_\_\_\_ first name: \_\_\_\_\_ born on: \_\_\_\_\_  
place of residence: \_\_\_\_\_ street: \_\_\_\_\_

**Declaration  
to no. 3 of the application**

Concerning my application for commencement of the doctoral examination procedure at the University of Konstanz of \_\_\_\_\_ (date), I declare that this is my first / \_\_\_\_\_ application for admission to the doctoral examination at a German university.

Moreover, I declare that

- I have not simultaneously applied for admission to the doctoral examination at another German or foreign university,
- that I have not yet acquired the aspired doctorate,
- that I have not ultimately failed in a previous Doctoral Examination Procedure for the aspired doctorate and
- that I have no criminal record in the federal criminal records bureau.

\_\_\_\_\_ **place and date**

\_\_\_\_\_ **(signature)**

**Affirmation in lieu of oath according to § 6 of the  
Doctoral Regulations of the University of Konstanz  
to no. 4 of the application**

1. The doctoral thesis on the topic stated below is entirely my own work.
2. I have used only the sources and aids indicated, and have not received assistance from unauthorized third parties.  
In particular, texts or ideas that were obtained from other works have been identified as such.
3. The work or parts of the work have already been/have never been<sup>1</sup> submitted to an institute of higher education in Germany or abroad as part of an examination or qualification procedure.

Title of the work: \_\_\_\_\_

\_\_\_\_\_   
Institution of higher education; year:

Type of examination or qualifications procedure:

4. I hereby affirm that the above statements are true and correct.
5. I am aware of the significance of the affirmation in lieu of oath and the consequences under the penal code of giving an incorrect or incomplete affirmation in lieu of oath.

I hereby affirm that I have stated the truth to the best of my knowledge and have concealed nothing.

\_\_\_\_\_ **place and date**

\_\_\_\_\_ **(signature)**

<sup>1</sup> Delete as appropriate. If the work has already been submitted, complete the fields indicating the title of the submitted work, the institute of higher education, the year in which it was submitted, and the type of examination or qualification procedure

to no. 5 of the application

**Instruction on the significance and the penal consequences of  
the affirmation in lieu of oath**

**Affirmation in lieu of oath  
Legal Consequences**

The universities in Baden-Württemberg require an affirmation in lieu of oath regarding the originality of the work as a credible assurance that the doctoral candidate carried out the scientific accomplishment through his or her own efforts.

Because the legislative body attributes a special significance to the affirmation in lieu of oath, and because the affirmation can have considerable consequences, the making of a false affirmation is punishable by law. If the false affirmation is made deliberately (i.e. knowingly), the penalty may be imprisonment for up to three years or a fine.

A false affirmation made through negligence (i.e. the declarant should have known that the declaration was not in accordance with the facts), the penalty may be imprisonment for up to one year or a fine.

The relevant penal provisions are set out in § 156 (false affirmation in lieu of oath) and in § 161 (negligent false affirmation in lieu of oath) of the German Criminal Code ("StGB").

**§ 156 StGB: False Affirmation in Lieu of Oath**

Whosoever before a public authority competent to administer sworn affidavits, falsely makes such an affidavit or falsely testifies while referring to such an affidavit shall be liable to imprisonment not exceeding three years or a fine.

**§ 161 StGB: Negligent False Affirmation in Lieu of Oath:**

Sec. 1: If a person commits one of the offences listed in § 154 to § 156 negligently the penalty shall be imprisonment not exceeding one year or a fine.

Sec. 2: The offender shall be exempt from liability if he corrects his false testimony in time. The provisions of § 158 (2) and (3) shall apply accordingly.

---

place, date

---

signature

to no. 6 of the application

name:	first name:
place of residence:	street:

### **Declaration**

Hereby I agree / do not agree <sup>\*)</sup>, that upon successful completion of the doctoral examination a note is published in uni'kon (journal of the University of Konstanz) referring to my doctorate, including my first and last name, the title of the thesis and my doctoral title.

---

place, date

---

signature

<sup>\*)</sup> Delete as appropriate

## ***Appendix 6***

### ***Request for the issuance of examination documents in English***

(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: C)

---

name

first name

---

street

postcode, place or residence

**(please use the formular assistance of the Acrobat Writer)**

Universität Konstanz  
Studentische Abteilung  
Zentrales Prüfungsamt  
Promotion  
E-Mail: [promotion-zpa@uni-konstanz.de](mailto:promotion-zpa@uni-konstanz.de)

**Request for the issuance of examination documents in English  
(certificate of completion of the oral doctoral examination and certificate of doctor's degree)**

Dear Sir, dear Madam,

I hereby request the issuance of the documents mentioned above upon successful completion of my oral doctoral examination.

The thesis was written in English.

---

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---

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Sincerely

---

place, date

signature of the applicant

## ***Appendix 7***

### ***Title page of the Final Dissertation for Publication***

(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: D)

# **Title of the doctoral thesis**

**Doctoral thesis for obtaining the  
academic degree**

**Doctor of Natural Sciences**

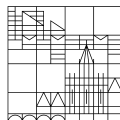
***Dr. rer. nat.***

submitted by

(family name, given name(s) of the doctoral student)

at the

Universität  
Konstanz



Faculty of Sciences

Department of Biology

Konstanz, year

Date of the oral examination:

1. Reviewer: please fill in name

2. Reviewer: please fill in name

3. Reviewer: please fill in name (in case of a third-party assessment)



## ***Appendix 8***

### ***Confirmation “Publication of the Thesis”***

(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/current-information-and-forms/doctoral-studies-current-information-and-forms/>: D)

PUBLICATION  
of the  
THESIS

Confirmation for Mr/ Ms .....  
(first name, last name)

.....  
(address)

Hereby I confirm that I agree to the version of the thesis intended to be published  
(compare § 17 Sec. 1 doctoral regulations).

The thesis will be published in the form of (please mark with a cross)

Book ☐

Image printing ☐

Microfiche ☐  
(not permitted in the field of chemistry)

Publication in a journal ☐  
(not permitted in the field of law)

Publication in electronic form on the internet ☐  
or other comparable network that is publicly available;  
(in the Departments of Chemistry and Biology this form of publication is  
permitted only with the consent of the Head of the Department)

(date/signature 1. referee)

(date/signature 2. referee)

.....

.....

If required, (date/signature 3. referee)

.....

Departments of Chemistry and Biology  
Consent of the Head of Department in case of  
publication of the thesis on the internet

.....

## ***Appendix 9***

### ***Promotion Guideline of the University of Konstanz as amended on June 2015, with specification for the Department of Biology in Sector V***

(<https://www.uni-konstanz.de/en/study/while-you-study/examinations/examination-regulations/doctoral-regulations/>)

# UNIVERSITY OF KONSTANZ

## General Provisions of Doctoral Regulations

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(as of 22 June 2015)

The German version of this document is the only *legally binding version*. This English translation is for your convenience only.

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- § 4 Preliminary Examination
- § 5 Acceptance as a Doctoral Candidate
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- § 9 General Rules for the Oral Examination
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#### **Note:**

**Please also note the department-specific regulations (in the German version)**

#### Appendices

- Appendix 1 to § 6 Gen. Prov. of Doctoral Regulations (Affirmation in Lieu of Oath)
- Appendix 2 to § 6 Gen. Prov. of Doctoral Regulations (Legal Consequences)

**A. General Provisions**

**§ 1 Objective and Duration of Doctoral Studies, Doctoral Degrees, Enrolment, Exmatriculation, Doctoral Supervision Agreement, Duty to Cooperate, Doctoral Students' Conventions**

- (1) The objective of doctoral studies is to establish the doctoral candidate's ability to carry out independent scientific work.
- (2) Upon proper completion of the doctoral programme, including a final examination according to the relevant department's regulations, the University of Konstanz shall award one of the following academic degrees:

Doctor of Natural Science:                      Doctor rerum naturalium (Dr.rer.nat.),

Doctor of Social Science:                      Doctor rerum socialium (Dr.rer.soc.),

Doctor of Economics:                      Doctor rerum politicarum (Dr.rer.pol.),

Doctor of Law:                      Doctor juris (Dr.jur.),

Doctor of Philosophy:                      Doctor philosophiae (Dr.phil.),

Doctor of Engineering Sciences (Dr.-Ing.)

or a "Doctor of Philosophy" (Ph.D.) (see attachment 8).

If the doctoral candidate has already earned an identical doctoral degree in the same doctoral subject at this or another institution of higher education, this title cannot be awarded anew. The Doctoral Committee decides about exceptions.

- (3) The University of Konstanz can award any of these degrees as an honorary degree (honoris causa; h.c.).
- (4) The provisions in these regulations apply likewise for transnational doctoral examination procedures. Special procedural rules according to international agreements, however, shall not be affected.
- (5) Candidates who have been accepted in a doctoral programme at the University of Konstanz will be enrolled at the University of Konstanz. Others who are writing a doctoral thesis and have been accepted as a doctoral candidate may apply for enrolment. In both cases they will remain enrolled for the duration of the doctoral studies.

- (6) The doctoral studies will be terminated, irrespective of the regulations in §§ 16 and 17, if one of the following applies:
1. Acceptance as a doctoral candidate is revoked (§ 5 para. 6 and 7)
  2. The application for acceptance is revoked (§ 5 para. 7 last sentence)
  3. The application for commencement of the doctoral examination process is revoked (§ 6 para. 3)
  4. The application for commencement of the doctoral examination process is rejected (§ 6 para. 4)
  5. The doctoral thesis is rejected (§ 8 para. 8 and 9)
  6. The oral examination has successfully been completed (§§ 9 ff. in conjunction with § 8 para. 8)
  7. The oral examination has finally been failed
- (7) Upon termination of the doctoral studies, enrolled doctoral students will be exmatriculated at the end of the current semester (§ 62 para. 3 No. 1 in conjunction with § 60 para 2 No. 9 *Landeshochschulgesetz* (state law on education) in conjunction with § 1 para. 5 and 6). The provisions of § 8 of the Admission and Enrolment Requirements of the University of Konstanz remain unaffected.
- (8) Department-specific provisions can specify that acceptance in a doctoral programme in the relevant university department is prerequisite for admission as a doctoral candidate. In such cases, the relevant examination regulations may stipulate that a "Doctor of Philosophy" (Ph.D.) be awarded rather than any of the other degrees listed in § 1 (2) above.
- ((9) Before a doctoral candidate is accepted, he/she will conclude a doctoral supervision agreement with the supervisor. The contents of this agreement shall include, but not be limited to, the following:
- the topic of the doctoral thesis (possibly a working title as well)
  - details about the individual programme of studies if the doctoral candidate does not participate in a structured doctoral programme
  - the thesis project and continually adapted schedules for supervision talks and progress reports
  - the evaluation period that will be determined upon handing in the doctoral thesis
  - mutual obligations based on the principles of good scientific practice,
  - provisions for the handling of conflicts and disputes.
- (10) Doctoral candidates are required to check the correctness of the data the university collected upon acceptance, once per year on request. Moreover they have to inform the university about any changes as well as confirm the continuation or termination of the planned doctorate.
- (11) Department-specific provisions specify an obligatory minimum time period between acceptance as a doctoral candidate and submission of an application for commencement of the doctoral examination process pursuant to § 6.

- (12) In each faculty the doctoral candidates accepted form a Doctoral Students' Convention.

## **§ 2 Doctoral Programme Coordinator; Doctoral Committee**

- (1) Unless stated otherwise, the head of the department in question, as doctoral programme coordinator for that department, shall handle the day-to-day business associated with the candidate's programme, using the services of the *Zentrales Prüfungsamt* (Central Examination Office) of the university. If appropriate, he or she can request a decision from the Doctoral Committee regarding particular matters. If electronic processing of personal data and documents is required for the candidate's doctoral examination process, this shall be permitted.
- (2) The Doctoral Committee is made up of the professors who are employed full-time at the University of Konstanz and the teachers and lecturers in the particular department. The head of department will act as chair of the Doctoral Committee. Notwithstanding the above, department-specific provisions can stipulate that the Doctoral Committee be comprised of a different combination of the persons named in the first sentence of this section.
- (3) Alternatively, the faculty council may choose, on application from multiple departments, to set up a joint Doctoral Committee. Such a joint committee would be chaired by a department head from one of the departments involved, and shall include at least four additional members. Each department council shall make an equal number of committee members available for the two-year period, from among the department's staff of full-time professors as well as university lecturers and *Privatdozenten* (lecturers).

## **§ 3 Admission Requirements**

- (1) Prerequisite for admission to the doctoral examination process is the successful completion of one of the following:
1. A master's programme at a German university, or
  2. A study programme at a university, a *Pädagogische Hochschule* (teacher training college) or art academy, with a standard period of study of at least four years or
  3. An advanced study programme that followed on an undergraduate programme at a university, *Pädagogische Hochschule* or other institution of higher education that has the right to award doctoral degrees.
- (2) Pursuant to § 38 Sec. 4, second sentence of the *Landeshochschulgesetz* (state law on education), department-specific provisions may stipulate the following additional admission requirements:
1. Certain examination results in the completed study programme;
  2. A subject-specific final examination;
  3. Admission to a doctoral programme;
  4. Admission to a graduate school.

- (3) Degrees earned at a state, or state-accredited, institution of higher education in another country shall be recognised provided that the skills thus acquired do not differ significantly from those of the study programmes or degrees for which they serve as a substitute. The Doctoral Committee decides whether the degree can be recognised, taking into account the recommendations of the Standing Conference of the Ministers of Education and Cultural Affairs of Germany. Further details may be stipulated in the department-specific provisions.
- (4) Particularly highly qualified holders of '*Diplom*'-degrees from a *Fachhochschule* (university of applied sciences) or a *Berufsakademie* (university of cooperative education), as well as graduates from the *Notarakademie* (Notarial Academy) of Baden-Württemberg, may be admitted to doctoral studies by the Doctoral Committee if they have shown, by means of an aptitude test, that they are capable of working in accordance with scientific methods in the intended thesis field to the same extent as degree holders as described above in Sec. 1, Nos. 1 to 3. Prerequisite for admission to the aptitude test process is that the candidate completed the final examination with outstanding results, and that admission is supported by a professor, university lecturer or *Privatdozent* (lecturer) in the relevant department at the University of Konstanz, who also agrees to supervise the candidate's doctoral studies. The form and duration of the aptitude test process are specified in the department-specific provisions. The aptitude test process shall in general not exceed two semesters in length.
- (5) Notwithstanding the provisions in Sec. 1 above, a particularly highly qualified holder of a degree from a 3-year bachelor's programme at a university, *Pädagogische Hochschule* (teacher training college) or art academy can, under certain conditions, be admitted to doctoral studies. Further details are stipulated in the department-specific provisions.

#### **§ 4 Preliminary Examination**

- (1) If the candidate does not meet the admission requirements set out in § 3 Sec. 1 through 4, he or she can be admitted only under exceptional circumstances. In this case, the candidate's level of knowledge must be determined in a preliminary examination that corresponds to the required final examination.
- (2) The preliminary examination consists of a colloquium of at least one hour and/or documented examination results from a relevant study programme at the University of Konstanz. At least two of the colloquium examiners must be professors. The provisions of § 10 and § 11 (below) shall apply accordingly. Details, in particular concerning the examination results to be produced, are specified in the department-specific provisions.
- (3) The Doctoral Committee decides about admission to the preliminary examination and appoints the examiners for the colloquium.



### § 5 Acceptance as a Doctoral Candidate

- (1) A prospective candidate who meets the admission requirements set out in § 3 and § 4 above shall apply to the head of the particular department for acceptance as a doctoral candidate.
- (2) The following must be submitted with the application:
  1. Documentation of meeting the admission requirements pursuant to Section 1;
  2. Statement of the proposed topic and of the desired supervisor;
  3. Curriculum vitae outlining personal and professional background and development;
  4. Declaration on prior or current applications for doctoral programmes. This declaration shall detail when, on what topic and in which department the doctoral programme was applied for, as well as the reason the programme was not completed, in addition to an attested certificate regarding any doctorate already awarded, (if applicable);
  5. Declaration of whether and to what extent the candidate has already submitted a written paper within the scope of an academic final examination (*Diplom*, *Magister*, master's, or state examination) of which the stated thesis topic, in the same or a similar form, was the subject in whole or part;
  6. The doctoral supervision agreement according to § 1 para. 9, signed by the candidate and the supervisor

If stipulated in the department-specific provisions,

  7. and if the candidate's first language is not German or he/she did not graduate from school in Germany: documentation of adequate German language skills.
- (3) Acceptance as a doctoral candidate must be denied in the following cases:
  - a) if the proposed topic is not within the competence of the particular department or if there is no professor, university lecturer or *Privatdozent* (lecturer) in the particular department qualified to judge a thesis on the proposed topic;
  - b) if no professor, university lecturer or *Privatdozent* involved thinks the proposed topic merits a doctoral thesis, or is appropriate to the candidate's educational background. If the rejected candidate remonstrates, the Doctoral Committee shall decide the matter;
  - c) if there is reason to believe that the contents of the proposed thesis have already been submitted as a doctoral thesis in another department.
- (4) The Doctoral Committee decides whether admission shall be granted; a circulation process can be used to make that decision. Moreover, the Committee may task the head of department to take acceptance decisions in simple cases. Only the Doctoral Committee can decide on rejections. Accepting a doctoral candidate is an expression of the department's willingness to assess the doctoral thesis on the proposed topic as a scientific dissertation and to support the candidate in his or her preparation of the thesis. The candidate is assigned at least one supervi-

sor with expert skills to provide adequate supervision of the doctoral thesis. The following can act as a supervisor: university teachers, *Privatdozent* (lecturer) or others entitled to hold examinations, as well as professors from a *Hochschule für angewandte Wissenschaften* (university of applied sciences) or a *Duale Hochschule Baden-Württemberg* (Cooperative State University). If the supervisor is not a member of the University of Konstanz, the doctoral candidate will be assigned an additional supervisor from among the persons entitled to hold examinations at the University of Konstanz. For the relationship of the doctoral candidate to the university, § 1 Sec. 5 and Sec. 9 apply.

- (5) In case of conflicts the parties involved can contact the ombudsperson for doctoral affairs.
- (6) The acceptance shall be rescinded if
  - 1. admission to a doctoral programme expires, or
  - 2. the candidate does not complete the coursework and academic performance assessments of the doctoral programme (except the doctoral thesis) within five years and the circumstances were within the candidate's control, or
  - 3. the membership in a graduate's programme at the University of Konstanz ends prematurely, because it has been determined (according to the current regulations) that continuing the doctoral project does not make sense, or
  - 4. any of the department-specific requirements (§ 6 Sec. 2 No. 13 or 15) on the commencement of the doctoral examination process are not met.
- (7) Additionally, the supervisor can, for good reason, request that acceptance be rescinded, particularly if the doctoral candidate has not performed his/her duties as set out in the doctoral supervision agreement. Said request, with statement of reason(s), shall be directed to the head of the department. The head of department shall decide on the outcome of this request. The provisions of § 2 Sec. 1, third sentence, shall remain unaffected. Under certain exceptional circumstances, the Doctoral Committee may revoke the acceptance on request of the head of department if sufficient reason exists. The doctoral candidate shall be notified in writing of the decision. The right of the prospective candidate to withdraw his or her application for acceptance as a doctoral candidate remains unaffected.

## **§ 6 Application for Commencement of the Doctoral Examination Process**

- (1) The application for commencement of the doctoral examination process is to be filed with the *Zentrales Prüfungsamt* (Central Examination Office); that office handles the subsequent administrative processes.
- (2) The application must include the following:
  - 1. Candidate's address, thesis title; doctoral degree sought, supervisory department and supervising professor, university lecturer or *Privatdozent* (lecturer);
  - 2. Documentation of meeting the admission requirements pursuant to § 3 and § 4,
  - 3. Documentation of the acceptance as a doctoral candidate

4. Curriculum vitae outlining personal and professional background and development;
5. Declaration on prior or current applications for doctoral studies, and, if applicable, an attested certificate regarding any doctorate already awarded;
6. Four bound copies (paper format: DIN A4) of the thesis (§ 8 Sec. 2); the *Zentrales Prüfungsamt* (Central Examination Office) may require additional copies.
7. An electronic copy of the thesis (PDF file), (§ 8 Sec. 2), the *Zentrales Prüfungsamt* determines the details;
8. An affirmation in lieu of oath (see Appendix 1, § 6);
9. A copy of the instructions provided by the university regarding the significance and the penal consequences of the affirmation in lieu of oath, signed by the candidate (see Appendix 2, § 6);
10. If applicable, the proposed topic (§ 13) or special areas (§ 14). If the department-specific provisions allow the doctoral candidate to choose the form of the oral examination (pursuant to § 9), an explanation which form is chosen, including the proposed topic or special areas if applicable.
11. Suggestions for appointment of examiners, of which at least one shall be nominated,

If stipulated in the department-specific provisions,

12. and, if the candidate's first language is not German or he/she did not graduate from school in Germany: documentation of adequate German language skills.
  13. Statement from the head of department regarding a talk given by the candidate to the relevant department about the significant results of his or her thesis.
  14. If the candidate attends a doctoral programme: documentation of the coursework and academic performance assessments required.
  15. Documentation of additional coursework.
- (3) The application can be withdrawn only once. Withdrawal is not permitted if a review has already been submitted or if a period of two weeks or more has elapsed since the appointment of the examination committee.
  - (4) Immediately after formally checking the application, the head of department decides on the commencement of the doctoral examination process. In particular, he or she shall check whether the proposed thesis lies within the competence of the specified department. In cases of doubt, the Doctoral Committee shall decide.

### **§ 7 Examination Committee**

- (1) An examination committee conducts the doctoral examination. The head of department appoints this committee when the decision is made regarding the commencement of the doctoral examination process. In cases of doubt, the Doctoral Committee shall decide.

- (2) The examination committee consist of at least three professors, university lecturers or *Privatdozenten* (lecturers), or junior professors. In certain special cases, the following may also be appointed: professors of a *Hochschule für angewandte Wissenschaften* (university of applied sciences) or a *Duale Hochschule Baden-Württemberg* (Cooperative State University) or other persons with a qualification equal to a junior professor. The Doctoral Committee decides on the equivalency of qualification regarding these committee members. The majority of examination committee members must be members of the University of Konstanz. For a colloquium on the doctoral thesis pursuant to § 12, the department-specific provisions can stipulate that an external member shall be appointed to the examination committee.
- (3) The head of department appoints a committee chairperson and at least two thesis referees, chosen from the committee members. The second referee should be named at as early a stage as possible. Furthermore, he or she shall name at least three examiners for the oral examination, who must represent at least two different scientific fields (cf. § 14 Sec. 1). If sufficient reason is shown for doing so, a committee member from outside the subject area can also be appointed as an oral examiner. The committee chairperson can simultaneously act as an oral examiner. If more than two referees are appointed, the majority of them must be University of Konstanz members.
- (4) The supervisor of the doctoral thesis should be appointed as a referee; he or she cannot act as committee chairperson.
- (5) Professors, university lecturers or a *Privatdozent* who have left the University of Konstanz remain equivalent to members of the University of Konstanz in this sense and for this purpose for a period of no more than two years; in exceptional cases, this period can be extended to a total of no more than three years, subject to the approval of the Doctoral Committee.

### **§ 8 Doctoral Thesis**

- (1) The doctoral thesis must be the candidate's own work. Furthermore, it must be an appropriately formulated and scientifically noteworthy contribution to scientific research. As a rule, the thesis must be written in German. Department-specific provisions can also permit submission of a thesis written in a modern foreign language. In such cases, a German-language summary must be submitted together with the foreign-language version. Further details are specified in the department-specific provisions.
- (2) The thesis must have a title page, a table of contents, a brief summary and a detailed bibliography of the sources and references used. A previously published paper by the candidate may be submitted if no more than three years have elapsed since its publication.
- (3) The department-specific provisions can specify that multiple contiguous papers by the candidate may be submitted as the thesis if the requirements set out in Sections 1 and 2 are met. In case the research was performed by more than one person, it must be possible to clearly delineate the work carried out by the candidate for separate evaluation. The department-specific provisions can determine

further requirements for a cumulative thesis. The provisions of § 6 Sec. 2 No. 6 shall remain unaffected.

- (4) Detailed reports giving reasons for the conclusions reached shall be written by the referees independently of one another and submitted to the *Zentrales Prüfungsamt* (Central Examination Office) no later than three months following the appointment as referee.
- (5) The reports must include the referees' approval or rejection of the thesis. The following evaluation standards shall be applied in the event of approval:

excellent =		0
very good	=	1
good	=	2
satisfactory	=	3

Half-marks may be given.

The "excellent" grade shall be awarded only if the candidate's work is of particularly high quality.

The grade for a rejected thesis is as follows: unsatisfactory = 4

A third assessment shall be obtained if the two grades given differ by more than a full grade.

Department-specific provisions can specify that a third report shall be obtained if the average grade is 0.5 or higher, as well as that the third report shall be prepared by a qualified referee from outside the University of Konstanz if the two referees appointed pursuant to § 7 Sec. 3 are both members of the University of Konstanz staff.

- (6) If the thesis is accepted, the *Zentrales Prüfungsamt* (Central Examination Office) shall inform the relevant department, indicating the referees' names, that the referees' reports and the thesis will be open to inspection at the *Zentrales Prüfungsamt* for a period of two weeks or, outside of the semester, for six weeks. This inspection period will extend beyond two weeks into the semester if it began outside the semester. In certain cases the department-specific provisions can determine a shorter inspection period. The doctoral candidate may submit a written request to shorten or eliminate the inspection period if sufficient reason is given; e.g., for the protection of intellectual property rights. This request has to be submitted to the *Zentrales Prüfungsamt* when applying for commencement of the doctoral examination process, and must be approved by the head of the relevant department. In this case, the head of department shall inform the *Zentrales Prüfungsamt*. Professors, junior professors, university lecturers or a *Privatdozent* (lecturer) as well as the doctoral candidate, if his or her oral examination includes a colloquium on the doctoral thesis, may inspect the thesis during this period. They can give notice, up to the end of the inspection period, of the intent to submit a detailed opinion in writing. The opinion shall be submitted to the *Zentrales Prüfungsamt* no later than one week after such notice has been given. If an opinion is submitted, the Doctoral Committee shall determine the subsequent procedure.

The Committee may

- a) ignore the submitted opinion, or
  - b) obtain a supplemental opinion from the thesis referees and appoint up to two additional referees to submit reports on the thesis. These referees may be appointed as oral examiners.
- (7) Whether to accept or reject the thesis shall be determined by the majority opinion among the referees. If there is no majority, the Doctoral Committee shall appoint an additional referee. His or her report pursuant to Sec. 4 and 5 shall be decisive.
- (8) The grade awarded to the accepted thesis is yielded by the arithmetic mean of the grades given by each of the referees. The final grade shall be calculated to two decimal places. Additional decimal places shall be discarded. The grades are as follows:

under	0.50		excellent
0.50	to	1.50	very good
1.51	to	2.50	good
2.51	to	3.50	satisfactory

In these cases the thesis is accepted.

from 3.51 on unsatisfactory

In this case the thesis is rejected.

- (9) If the thesis is rejected, the candidate's entire doctoral examination process is concluded. The committee decides whether the candidate shall be permitted to re-work and then re-submit the thesis with a new application for admission to the doctoral examination. The examination office shall inform the candidate in writing and provide the referees' reports. One copy of the rejected thesis shall remain on file.

## **§ 9 General Rules for the Oral Examination**

- (1) The oral examination is carried out in the form of a thesis defence or extended colloquium on the thesis and a maximum of three hypotheses or special areas (§ 12, § 13 and § 14). If not otherwise specified, it shall be carried out as an individual examination. The permissible form of examination is specified in the department-specific provisions.
- (2) The oral examination shall take place within a period of no less than two weeks and no more than eight weeks following the end of the inspection period. On application from the candidate, the oral examination can take place at an earlier point than specified above, provided all members of the examination committee agree to the scheduling. The oral examination lasts for a period from one to two hours. In case a department permits the extended colloquium on the doctoral thesis (according to Sec. 1), the examination time shall be evenly divided between the individual hypotheses or special areas. The department-specific provisions may determine another division of the examination time. Those provisions

can also specify that, if external examiners have been appointed, the oral thesis examination may be carried out with the aid of electronic communications media.

- (3) Members of the Doctoral Committee have the right to be present and ask questions during the oral examination. In proportion to the space available, others may be present; in particular doctoral candidates, students and academic staff members. If sufficient reason is given, the persons described above in the first and second sentences of this section may be excluded from the proceedings; those described in the second sentence may be excluded on application from the candidate. The right to be present and ask questions described in the first sentence can be denied by department-specific provisions. The right to discuss and determine the grades to be given and the examination result is reserved to the examination committee.
- (4) The committee chairperson shall lead the examination; he or she shall ensure that procedures are followed properly and that minutes of the examination are taken. After the conclusion of the oral examination and consultation on the overall result, he or she shall inform the candidate orally of the overall result.
- (5) The oral examination shall be carried out in the German language. In case the candidate has attended an English-language doctoral programme, the examination language shall be English. The candidate can submit a request to the chairperson and with the approval of all examination committee members, the doctoral committee can decide to hold the oral examination in a modern foreign language.

### **§ 10 Re-sitting the Oral Examination**

- (1) If the candidate fails the oral examination, the *Prüfungsamt* (Examination Office) shall issue written notice of this fact. The examination can be repeated once; no earlier than six months and no later than one year afterwards.
- (2) The candidate's entire doctoral examination process shall be ended without success if an application to re-sit the oral examination is not filed within one year or if the candidate fails the second oral examination.

### **§ 11 Default and Withdrawal**

- (1) If the candidate does not appear at the appointed time and place for the oral examination or if he or she withdraws from the examination before it begins, the examination shall be deemed to have been failed.
- (2) If the candidate can provide convincing reasons for withdrawing from or missing the examination, he or she must inform the chairperson of the examination committee of these reasons, and provide credible evidence of them, without delay. In the case of illness, the candidate must present a medical certificate to the committee chairperson.
- (3) If the committee chairperson accepts the reasons given, the oral examination shall be rescheduled. In this case, exam results acquired up to that point shall be credited to the candidate. If the reasons given by the candidate are not found to

be convincing, the examination shall be deemed to have been failed. The provisions of § 10 shall apply accordingly.

### **§ 12 Colloquium on the Doctoral Thesis**

- (1) The colloquium on the doctoral thesis shall be opened with a report from the candidate on the significant foundation, contents and results of the thesis. The presentation shall be directly followed by a discussion of issues that are connected with the thesis as regards their methods and content. The discussion can be expanded to include general questions relating to the field in which the thesis is based. The duration of the candidate's report should not exceed one-third of the total time allowed for oral examination.
- (2) Following the oral examination, each examiner shall award grades in accordance with § 8 Sec. 5. Afterwards, the arithmetic mean of all grades and of the overall grade for the oral examination shall be determined in accordance with § 8 Sec. 8. The oral examination is passed if the arithmetic mean of the overall grades is 3.50 or better.

### **§ 13 Extended colloquium on the thesis and hypotheses**

- (1) A hypothesis is a well-founded analysis or assertion of a particular issue in a given field. The candidate shall present brief written explanations on each hypothesis in which he or she shall state the position of the hypothesis within the scientific discourse, analyse the significance of the hypothesis, and outline the direction to be taken in justifying the hypothesis.
- (2) In his or her application for admission to the doctoral examination (§ 6 Sec. 2 No. 10) the candidate shall propose the hypotheses to be treated. They must provide a basis for a colloquium on at least two fields which are not closely related. Generally they should enable a scientific debate, with expert questions, that goes beyond the field of the thesis.
- (3) The examination committee can reject unsuitable hypotheses on application by one of its members. In this case, the examination office shall issue written notice including the reasons for rejection. The candidate must supply alternate hypotheses to replace rejected hypotheses within two weeks.
- (4) Each hypothesis can be briefly substantiated. The colloquium must be thematically oriented to the hypothesis.
- (5) Following the oral examination, each examiner shall award grades for the defence of each hypothesis in accordance with § 8 Sec. 5. Then the arithmetic means are calculated for each hypothesis and the overall grade is ascertained in accordance with § 8 Sec. 8. Then the grade for the thesis defence is calculated in accordance with § 12 Sec. 2, sentences 1 and 2. The oral examination is passed if the arithmetic mean of the overall grades for the thesis defence and for each hypothesis totals 3.50 or better. The department-specific provisions may specify a different way of determining the grades for the oral examination.



**§ 14 Extended colloquium on the thesis and special areas**

- (1) A "special area" as the term is used in these Doctoral Regulations means a part of a scientific field. A field is defined as part of a discipline that is represented in research and education at the University of Konstanz in the form of a department.
- (2) In his or her application for admission to the doctoral examination (§ 6 Sec. 2 No. 10) the candidate shall propose the special area(s) to be treated. At least one of the special areas proposed must come from a field other than the field in which the thesis is based. Department-specific provisions specify whether it may be defined as a special area for this purpose, how many special areas are required, and the areas or fields of which the special area can or must be a part.
- (3) The examination committee can reject some or all of the proposed special areas. In this case, the *Prüfungsamt* (Examination Office) shall issue written notice including the reasons for rejection. The candidate must propose a new special area/new special areas within two weeks.
- (4) Following the oral examination, each examiner awards grades for each special subject in accordance with § 8 Sec. 5; then the arithmetic means are calculated for each special subject and the overall grade is ascertained in accordance with § 8 Sec. 8. Then the grade for the thesis defence is determined according to § 12 Sec. 2, sentences 1 and 2. The oral examination is passed if the arithmetic mean of the overall grades for the thesis defence and the individual special areas totals 3.50 or better. The department-specific provisions may specify a different way of determining the grades for the oral examination.

**§ 15 Grade Awarded to the Doctorate**

- (1) Following the oral examination, the examination committee shall determine the overall result of the doctoral studies and award one of the following grades:

summa cum laude	(excellent)
magna cum laude	(very good)
cum laude	(good)
rite	(satisfactory)
- (2) The grade is yielded by the arithmetic mean of the following:
  - a) the overall grade for the doctoral thesis (§ 8 Sec. 8, and
  - b) the overall grade for the oral examination (§ 12 Sec. 2 or § 13 Sec. 5 or § 14 Sec. 4, each in connection with § 8 Sec. 8
- (3) The grade for the doctoral thesis carries twice the weight of the grade for the oral examination. The final grade shall be calculated to two decimal places. Additional decimal places shall be discarded.

(4) The grade is:

below 0.50	=	summa cum laude
0.50 to 1.50	=	magna cum laude
1.51 to 2.50	=	cum laude
2.51 to 3.50	=	rite

(5) If the candidate attended a doctoral programme, the department-specific provisions may permit the option of replacing, for calculation of the grade, the overall grade for the oral examination in whole or part with the overall grade for examination results earned in the doctoral programme.

### **§ 16 Acquisition of the Doctoral Degree**

- (1) The candidate is not permitted to append the title of "Dr" to his or her name until he or she has personally received the document certifying that the doctoral examinations have been successfully completed (hereinafter "the degree certificate"). Before that time, the candidate shall receive a certificate indicating that the examinations have been completed.
- (2) The degree certificate shows the grades received for the doctoral studies, the title of the thesis, the grade awarded to the thesis and the scientific fields addressed in the oral examination. If the candidate attended a doctoral programme, the department-specific regulations can determine that the scientific fields of academic performance assessments in the *Promotionskolleg* (graduate school) be listed instead of, or in addition to, the fields of the oral examination. The degree certificate shall bear the date on which the last examination was held, the university seal, and the signatures of the rector and the head of the relevant department. Special procedural rules according to international agreements, however, shall not be affected.
- (3) The head of department presents the degree certificate to the candidate only after the requirements for delivery of documents have been met (see § 17 Sec. 2). The presentation should be made in a fitting manner.
- (4) The head of department can translate or arrange the translation of the certificate of completion of doctoral examinations, or the degree certificate, into English. The signature of the head of the of the *Zentrales Prüfungsamt* (Central Examination Office) shall confirm the correctness of the translation.

### **§ 17 Publication and Submission of the Thesis**

- (1) The thesis must be published by the doctoral candidate, in the version approved by the referees, within two years following the oral examination (see Sec. 2). If the thesis is not published within this period, the candidate forfeits all rights attained through the examination. Upon prior application, the head of department can extend the time limit in justified cases. If one of the referees does not approve the version to be published because it does not match the version assessed, or deviates unacceptably, the Doctoral Committee shall make the final

decision. The presentation copies must be printed on non-aging paper (use of recycled paper or acidic paper is not permitted).

- (2) Presentation copies must be delivered to the university library free of charge upon publication. The following four options for publication are permissible and the following has to be observed when handing in the presentations copies:
1. If a commercial publisher assumes the task of distribution to book dealers and a minimum print run of 150 copies is proved, six copies of the book must be delivered to the university library. Delivery is deemed to have been made if the publisher makes a binding statement to the *Zentrals Prüfungsamt* (Central Examination Office) to the effect that both the printing of the thesis and the financing thereof are assured, and that the required copies will be sent to the thesis section of the university library immediately and without charge; and provided that all necessary approvals of the release for printing from the reviewer and the referees have been filed with the *Zentrales Prüfungsamt*.
  2. In case of reproduction by means of the customary methods (letter press, image printing or microfiche), the doctoral candidate must deliver 40 presentation copies to the university library. If the doctoral programme was in the field of chemistry, publication in the form of microfiche is not permitted.
  3. If the thesis is published in a scientific journal, six reprints from this journal as well as six copies of the complete thesis must be delivered to the university library. This form of publication, however, is not possible in the field of law.
  4. If the thesis is published in electronic form on the internet or other comparable network, it must be made available to the university library in electronic form as well. The formatting requirements set out by the library must be observed. The library shall promptly publish the thesis in the network. On request to the library and with the supervisor's consent, the thesis may be published at a later time. Another four copies of the entire thesis printed on paper using one of the customary methods named above must be delivered to the library as well. Department-specific provisions can specify further details.
- (3) If published in book form, the following information must be added to the title: Doctoral Thesis of the University of Konstanz; names of the referees and date of the oral examination. Alternatively, this note can be printed on the back of the title page or in a foreword; if published in a journal, this information can be provided in a footnote. Rather than adding this note, a special title page designed by the University of Konstanz can be used; this special title page is mandatory for other forms of publication.
- (4) The three thesis copies submitted with the application go to the university library and the first two referees. The candidate must furthermore provide each of the referees with copies of the published thesis, as described in Sec. 2 above.
- (5) In case of Sec. 2 No. 1 sentence 2 and No. 4 sentence 4 the publication duty is fulfilled if the thesis is published within two years after submission. Upon prior application, the head of department can extend the time limit in justified cases. Otherwise, the candidate forfeits all rights attained through the examination.

### **§ 18 Honorary Doctorate**

- (1) Honorary doctorates are awarded in recognition of outstanding scientific achievement.
- (2) The faculty council accepts recommendations and makes the final decision on the awarding of honorary degrees. Professors and those members who hold doctorates are entitled to vote. Prerequisite for the award is a detailed application supported by at least three professors, university lecturers or *Privatdozent (lecturer)*, or a ruling by one of the department councils of the corresponding faculty; two-thirds of all faculty council members who have votes must approve.
- (3) The awarding of an honorary doctorate must also be approved by the Senate of the University of Konstanz.
- (4) The honorary doctorate is awarded by presenting a specially prepared degree document which highlights the meritoriousness of the recipient. The degree certificate shall be signed and presented by the rector and the dean of the relevant faculty.

### **§ 19 Revocation and Attempt to Deceive**

- (1) If it is discovered before the degree certificate is presented that the candidate is guilty of deceit within the scope of the doctoral achievements, or that significant prerequisites for conferring the doctorate have been mistakenly assumed to be given, the doctorate shall be declared invalid. This decision is up to the Doctoral Committee.
- (2) Under certain conditions defined by law, the doctoral degree can be revoked. This decision is up to the Doctoral Committee.

### **§ 20 Protest and Inspection of Records**

- (1) The candidate's right to inspect records is defined in accordance with the relevant laws (cf. § 29 of the *LVwVfG* (state law on administrative procedures)).
- (2) Upon filing of an admissible protest by the candidate (§ 68 ff of the *VwGO* (German Code of Administrative Court Procedure)), the Doctoral Committee shall check whether statutory provisions have been violated. The responsibilities for subsequent decisions required within the scope of the candidate's doctoral programme remain intact. The Vice Rector of Study Programmes shall issue notice taking into account the decisions made.

### **§ 21 Effective Date and Interim Regulations**

- (1) This revised version of the Doctoral Regulations (hereinafter "new version") goes into effect on the day on which it is announced in the *Amtlichen Bekanntmachungen* (official bulletin-hereinafter: *Amtl. Bekm.*) of the University of Konstanz. The previously valid version of the Doctoral Regulations dated 07 August 2013 (*Amtl. Bekm.* no. 80/2013), as amended 16 March 2015 (*Amtl. Bekm.* no. 11/2015) expires with the exceptions listed below in Sections 2 to 4.

- (2) For doctoral candidates who were accepted as such before the new version went into effect, the following interim regulations shall apply:
1. § 5 Sec. 6 and 7 of the new version apply only on the condition that the maximum duration of the doctoral programme (cf. § 1 Sec. 5 of the previous version of 07 August 2013 (*Amtl. Bekm.* no. 80/2013), as amended 16 March 2015 (*Amtl. Bekm.* no. 11/2015), or the version of 16 August 2006 (*Amtl. Bekm.* no. 31/2006), as amended on 19 April 2013 (*Amtl. Bekm.* no. 43/2013) had already been exceeded at the time the new version came into effect. Otherwise, § 5 Sec. 1, third sentence, applies as specified in the version of 16 August 2006 (*Amtl. Bekm.* no. 31/2006), as amended on 19 April 2013 (*Amtl. Bekm.* Nr. 43/2013); deviating from this, § 5 Sec. 6 No. 2 of the new version does not apply.
  2. § 1 Sec. 9 and § 5 Sec. 2 No. 6 of the new version do not apply.
- (3) Doctoral candidates who applied for commencement of the doctoral examination process before the new version went into effect, can submit a request (by 31 March 2016 at the latest) to take the oral doctoral examination according to the previous regulations.
- (4) § 15 Sec. 3 does not apply for doctoral candidates who were accepted before 8 August 2013 (the date the doctoral regulations in the version of 7 August 2013 came into effect). Instead, § 15 Sec. 3 of the previous version of 16 August 2006 applies (*Amtl. Bekm.* no. 31/2006), as amended on 19 April 2013 (*Amtl. Bekm.* no. 43/2013), in connection with the corresponding department-specific regulations valid until 7 August 2013.
- (5) Deviating from Sec. 2 and 4, doctoral candidates accepted before the new version came into effect who have not yet applied for commencement of the doctoral examination process can continue, on request, their doctoral studies according to the regulations of this new version and also conclude a doctoral supervision agreement with their supervisor.

## **Appendices**

### **Note**

These regulations were published in the *Amtlichen Bekanntmachungen* (Official Bulletin) of the University of Konstanz No. 32/2015 of 22 June 2015..

The German version of this document is the only *legally binding version*. This English translation is for your convenience only.

**Appendix 1 to § 6 General Provisions of Doctoral Regulations (Affirmation in Lieu of Oath)**

The affirmation in lieu of oath shall generally be submitted in writing. The option of having an affirmation in lieu of oath recorded for transcription remains unaffected. The written affirmation shall be worded as follows:

Affirmation in lieu of oath

Pursuant to § 6 of the Doctoral Regulations of the University of Konstanz

1. The doctoral thesis submitted on the following topic:

.....  
is my own work.

2. I have used only the sources and aids indicated, and have not received assistance from unauthorised third parties. In particular, texts or ideas that were obtained from other works have been identified as such.

3. The work or parts of the work have already been/have<sup>1</sup> never been submitted to an institution of higher education in Germany or abroad as part of an examination or qualification procedure

Title of the work .....  
institution                      of                      higher                      education                      and  
year:.....  
type                                      of                                      examination                                      or  
qualification procedure.....

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4. I hereby affirm that the above statements are true and correct.

5. I am aware of the significance of the affirmation in lieu of oath and the consequences under the penal code of giving an incorrect or incomplete affirmation in lieu of oath.

I hereby affirm that I have stated the truth to the best of my knowledge and have concealed nothing.

Place and date .....

Signature .....

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<sup>1</sup> Delete as appropriate. If the work has already been submitted, complete the fields indicating the title of the submitted work, the college or university, the year in which it was submitted, and the type of examination or qualification procedure.

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## **Appendix 2 to § 6 General Provisions of Doctoral Regulations**

### **Affirmation in lieu of oath**

#### **Legal Consequences**

The universities in Baden-Württemberg require an affirmation in lieu of oath regarding the originality of the work as a credible assurance that the doctoral candidate carried out the scientific accomplishment through his or her own efforts.

Because the legislative body attributes a special significance to the affirmation in lieu of oath, and because the affirmation can have considerable consequences, the making of a false affirmation is punishable by law. If the false affirmation is made deliberately (i.e. knowingly), the penalty may be imprisonment for up to three years or a fine.

A false affirmation made through negligence (i.e. the declarant should have known that the declaration was not in accordance with the facts), the penalty may be imprisonment for up to one year or a fine.

The relevant penal provisions are set out in § 156 (false affirmation in lieu of oath) and in § 161 *StGB* (German Criminal Code) (negligent false affirmation in lieu of oath).

#### **§ 156 *StGB*: False Affirmation in Lieu of Oath**

Whosoever before a public authority competent to administer sworn affidavits, falsely makes such an affidavit or falsely testifies while referring to such an affidavit shall be liable to imprisonment not exceeding three years or a fine.

#### **§ 161 *StGB*: Negligent False Affirmation in Lieu of Oath**

Sec. 1: If a person commits one of the offences listed in § 154 to § 156 negligently, the penalty shall be imprisonment not exceeding one year or a fine.

Sec. 2: Offenders shall be exempt from liability if correct their false testimony in time. The provisions of § 158 (2) and (3) shall apply accordingly.

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**Place, date, signature**

**~~Art. 8: Veröffentlichung der Dissertation (zu § 17 Abs. 2 Allg. Reg.)~~**

~~Die Veröffentlichung der Dissertation in elektronischer Form in Internet oder einem öffentlich zugänglichen vergleichbaren Netz ist nur mit Zustimmung des Fachbereichssprechers/der Fachbereichssprecherin möglich.~~

**V. Fachspezifische Regelungen des Fachbereichs Biologie**

**Art. 1: Promotionsausschuss (zu § 2 Abs. 2 Allg. Reg.)**

Der Promotionsausschuss besteht aus den Professoren und Professorinnen sowie den Hochschul-, Privatdozenten und –dozentinnen des Fachbereichsrates sowie je einem professoralen Mitglied des Fachbereichs als Vertreter/in des entsprechenden Graduiertenprogramms.

**Art. 2: Weitere Zulassungsvoraussetzungen (zu § 3 Abs. 2 u. 5 Allg. Reg.)**

- (1) Weitere Zulassungsvoraussetzungen für den Erwerb des Grades eines Doktors der Naturwissenschaften (Dr.rer.nat.) sind die Aufnahme in ein Graduiertenprogramm sowie grundsätzlich mindestens die Gesamtnote "gut" in einem Master-, Diplom- oder Staatsexamensstudiengang im Fach Biologie oder in einem Fach, das unter Berücksichtigung der geplanten Dissertation in sinnvoller Beziehung mit einer im Fachbereich Biologie vertretenen Fachrichtung steht.
- (2) Bewerber und Bewerberinnen mit schlechterer Gesamtnote kann der Promotionsausschuss in begründeten Ausnahmefällen zulassen, wenn mindestens ein/e Professor/in, Hochschul- oder Privatdozent/in des Fachbereichs dies befürwortet und begründet.
- (3) Für das Eignungsfeststellungsverfahren für besonders qualifizierte Fachhochschulabsolventen und -absolventinnen (§ 3 Abs. 4 der Allg. Reg.) gilt Art. 3.
- (4) Absolventen und Absolventinnen der Bachelor-Studiengänge Biological Sciences und Life Science an der Universität Konstanz oder eines inhaltlich vergleichbaren Studiengangs an einer anderen Universität oder Pädagogischen Hochschule können zur Promotion zugelassen werden, wenn:
  1. der Bachelorabschluss mit der Mindestnote 1,8 oder ein vergleichbarer ausländischer Abschluss nachgewiesen wird, oder nachgewiesen wird, dass der erzielte Bachelorabschluss zu den besten 15 von Hundert des relevanten Bachelorstudiengangs im Jahrgang des Abschlusses gehört (Bezugsgröße: Gesamtnote),
  2. der Bewerber/die Bewerberin in einem Masterstudiengang des Fachbereichs Biologie zugelassen ist und alle erforderlichen Studien- und Prüfungsleistungen mit Ausnahme der Masterarbeit erbracht hat, und
  3. die Durchschnittsnote der im Master-Studiengang erbrachten Studien- und Prüfungsleistungen mindestens 1,3 beträgt.



**Art. 3: Eignungsfeststellungsverfahren (zu § 3 Abs. 4 Allg. Reg.)**

Im Eignungsfeststellungsverfahren hat der Fachhochschulabsolvent/die Fachhochschulabsolventin in der Regel innerhalb von zwei Semestern einen Kompaktkurs (Biochemie oder Physiologie der Pflanzen oder Physiologie der Mikroorganismen oder Physiologie der Tiere) und bis zu zwei Vertiefungskurse erfolgreich zu absolvieren. Die Kurse werden vom Betreuer/von der Betreuerin der Dissertation unter Berücksichtigung der an der Fachhochschule erbrachten Studien- und Prüfungsleistungen ausgewählt. In begründeten Fällen kann der Promotionsausschuss auf Vorschlag des Betreuers/der Betreuerin die Zahl der zu absolvierenden Kurse reduzieren.

**Art. 4: Vorprüfung (zu § 4 Abs. 2 Allg. Reg.)**

Die Vorprüfung besteht aus drei halb- bis einstündigen Kolloquien über je ein Spezialgebiet gem. Art. 7 Abs. 2, die der Bewerber/die Bewerberin auswählt; für jedes gewählte Prüfungsgebiet wird ein/e Prüfer/in bestellt.

**Art. 5: Dissertationskomitee und Prüfungskommission  
(zu § 5 Abs. 4 und § 7 Abs. 2 Allg. Reg.)**

Der Promotionsausschuss teilt dem Doktoranden/der Doktorandin mit der Annahme als Doktorand/in neben der Betreuerin/dem Betreuer der Arbeit (prüfungsberechtigtes Mitglied des Fachbereichs) eine weitere prüfungsberechtigte Person als Zweitbetreuer/in zu. Diese bilden zusammen das Dissertationskomitee (*thesis committee*).

**Art 6: Dissertation und Antrag auf Eröffnung des Promotionsverfahrens  
(zu § 1 Abs. 11, § 8 Abs. 1, Abs. 3 u. Abs. 5, § 6 Abs. 2 Nr. 15 Allg. Reg.)**

- (1) Als Dissertation können auch mindestens drei zusammenhängende Arbeiten des Bewerbers/der Bewerberin gem. § 8 Abs. 3 Allg. Reg. eingereicht werden. Mindestens eine der Arbeiten soll in einer international anerkannten und durch peer-review begutachteten wissenschaftlichen Zeitschrift mit dem Bewerber/der Bewerberin als Erstautor/in erschienen oder zur Veröffentlichung angenommen sein. Bei dieser Form der Dissertation ist eine abschließende Darstellung, in der die wichtigsten eigenständigen Forschungsergebnisse dargelegt und umfassend diskutiert werden, integraler Teil der Promotionsschrift. Ferner ist in einem separaten Abschnitt der Anteil zu spezifizieren, den die Kandidatin/ der Kandidat zu den einzelnen wissenschaftlichen Arbeiten beigetragen hat. Das Dissertationskomitee legt frühzeitig fest, ob eine ausführliche Darstellung der verwendeten Materialien und Methoden zu integrieren ist.
- (2) Die Dissertation kann in deutscher oder englischer Fassung angefertigt werden.
- (3) Ein drittes Gutachten ist einzuholen, wenn die gemittelte Note 0,5 oder kleiner als 0,5 ist.
- (4) Dem Dissertationskomitee ist in den ersten 6 Monaten nach der Annahme durch die Doktorandin/den Doktoranden ein Bericht vorzulegen, der die wesentlichen Ziele und das Arbeitsprogramm der Doktorarbeit enthält. Dieser sollte zehn Seiten nicht übersteigen und konzeptionell wie folgt aufgebaut sein: Thema und Zusammenfassung des Projekts, Stand der Forschung, eigene Vorarbeiten, Ziele

und Arbeitsprogramm der Doktorarbeit. Der Bericht wird mit dem Dissertationskomitee in einem Kolloquium diskutiert.

- (5) Die Teilnahme am Graduiertenprogramm ist für die Eröffnung des Promotionsverfahrens nachzuweisen.
- (6) Der Mindestzeitraum zwischen der Annahme als Doktorand/Doktorandin und dem Antrag auf Eröffnung des Promotionsverfahrens beträgt drei Monate.

**Art. 7: Auslagefrist der Dissertation (zu § 8 Abs. 6 Allg. Reg.)**

Auch in der vorlesungsfreien Zeit gilt eine zweiwöchige Auslagefrist.

**Art. 8: Mündliche Prüfung (zu § 9 Abs. 1, § 12 Allg. Reg.)**

Die mündliche Prüfung erfolgt als Kolloquium über die Dissertation gem. § 12 Allg. Reg. Das einleitende Referat über die wesentlichen Grundlagen, Inhalte und Ergebnisse der Dissertation hat eine Dauer von ca. 30 Minuten.

**Art. 9: Veröffentlichung der Dissertation (zu § 17 Abs. 2 Allg. Reg.)**

Die Veröffentlichung der Dissertation in elektronischer Form im Internet oder einem öffentlich zugänglichen vergleichbarem Netz ist nur mit Zustimmung des Fachbereichssprechers/der Fachbereichssprecherin möglich.

**~~VI. Fachspezifische Regelungen des Fachbereichs Psychologie~~**

**~~Art. 1: Promotionsausschuss (zu § 2 Abs. 2 Allg. Reg.)~~**

~~Der Promotionsausschuss besteht aus den Professorinnen und Professoren, Hochschul- und Privatdozentinnen und -dozenten des Fachbereichs.~~

**~~Art. 2: Weitere Zulassungsvoraussetzungen (zu § 3 Abs. 2, 4 u. 5 Allg. Reg.)~~**

- ~~(1) Weitere Zulassungsvoraussetzungen für den Erwerb des Grades eines Doktors der Naturwissenschaften (Dr.rer.nat.) oder der Sozialwissenschaften (Dr.rer.soc.) oder der Philosophie (Dr.phil.) ist für Absolventinnen und Absolventen von Diplom- und Masterstudiengängen grundsätzlich mindestens die Gesamtnote "gut" im fachspezifischen Abschlussexamen, sofern Bewerberinnen/Bewerber nicht Absolventinnen/Absolventen von Fachhochschulen oder eines dreijährigen Bachelor-Studiengangs sind. Absolventinnen und Absolventen eines vierjährigen Bachelorstudiengangs einer Universität oder Pädagogischen Hochschule können zur Promotion zugelassen werden, wenn ein fachspezifischer Bachelor-Abschluss mit der Mindestnote 1,2 erreicht wurde. Die Note der Bachelor Arbeit muss dabei 1,0 betragen – bei ausländischen Abschlüssen müssen äquivalente Noten vorliegen.~~