



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 four hard-copies of your thesis have to be DIN A4, bound covers (no spiral binding!) and with a CD containing the digital version (PDF format) of your thesis safely stored, in a CD-envelope glued, inside each copy at the end of thesis. Normally, printing costs fall upon the doctoral candidate, IMPRS does not cover these.

Components of your thesis:

- **Title page*** Doctor of Natural Sciences, Faculty of Sciences, Department of Biology + (*Dr. rer. nat*) on the line below.

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.

- **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 and **make sure to add your Authors contributions also to this list**, 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 or published 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.

Is it time for the submission of your thesis?

All appointments need to be funneled through the IMPRS office, please make these well in advance 8-10 weeks before wanting to submit. Two appointments are scheduled, **1st**

Checkpoint and **2nd Submitting date**.

For the 1st Checkpoint, only a digital version of the below list is required in a **single PDF**, in the exact following order:

Wherever you need to give a date in the form, please add the **submission date** to the forms or close to it, but not the checkpoint date! Please send in the forms + documents, as listed below, at least a week in advance to the check date.

- Forms “*Application for Commencement of the Doctoral Examination Procedure*” **A-C*** to be printed one-sided!), which includes further documents to be filled out and signed: Postal codes in Germany have a name and number, e.g Konstanz, 78457 - please also add these whenever Postal Codes are requested.
Address on the forms: make sure to add the correct address to where you would like to have your certificate sent to, this might be different to your current one, as it will take up to 6 months before you receive your certificate. If you are unsure or are moving in between the time of submitting and receiving your certificate, make sure to inform the examination officer of the change in address asap: promotion-zpa@uni-konstanz.de. The University will not send doctoral certificate abroad, for this please make arrangements with Francisca. IMPRS will be happy to organize Fed-EX postage service on your behalf.
- Title page: If you want to make changes to your title page (add pictures or drawings of any sort) keep in mind that you should refrain from changing the title page too much. Do not move the logo of the University of Konstanz, make sure to use the same title page that you submit during your check appointment. Then we know it will be approved by the examination office on the day of submission.
- Table of contents completed to the best of your ability by check point.
- 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),
- Confirmation letter from IMPRS of achieved curriculum. Make sure you request this from IMPRS office in due time, you might need to send in proof that you completed the IMPRS program, including TAC forms.
- **A signature on the first page of CV (incl. date and place of birth)**
- **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). Make sure to cross out the “I agree/ do not agree” section.
- Request for the issuance of your examination documents in English (**Error! Reference source not found.***).

Examination committee to be submitted as a separate PDF or word document than above, please stipulate, who these should be by adding their names, titles (Prof.; Associate Prof.; Dr. (only direct supervisors) or PD) and postal addresses including **email** (especially, if they are not from U KN) of your two referees (see step one) and the head of the commission (your third oral examiner).

If you have an external reviewer (not from MPI or U KN, then this person will need to be pre-approved by the head of the Biology department, please make this clear to the coordinators at the start of the procedure to allow for enough time to receive that approval. In the same document or a separate one (up to you) until further notice due to Covid-19 situation:

- **Statement agreeing to have your results displayed online**, e.g. “ I declare that I (full name) agree to have my reviewers results displayed online”.
- And if you are planning to have an **online exam**, please also get the approval of the three reviewers, via email is accepted. And fill in the “Form oral Online examination conditional on-site operation”, as another separate PDF.

For 2nd hand in appointment (submission date):

Due to Covid-19, things are slightly modified: Mrs Matzner is no longer accepting thesis copies personally, they have to be sent to her PO box.

Her PO Box (Fach 70) at the University is: *Abteilung Studium und Lehrer Zentrales Prüfungsamt, Frau Matzner, Fach 70, Universitätstrasse 10, 78464 Konstanz.*

Four hard-copies of your thesis, each with a CD containing a digital copy, need to be submitted together with a printout of the following documents at the university's central doctoral examination office (Frau Matzner; above address). Note that the internal post office at the University, where you have to submit your thesis and forms from the first check, printed on single pages, closes for lunch between 12:00-13:00.

In house post office opening times:

Monday bis Thursday: 09.00 bis 12.00 Uhr, 13.00 bis 15.30 Uhr

Friday: 09.00 bis 12.00 Uhr, 13.00 bis 14.30 Uhr

University [printing facilities at UniKN](#) are available to MPI-AB fellows and Uni KN, however should be discussed prior with Dago (dolalere@ab.mpg.de) to see if an arrangement can be made in terms of invoicing, as the UniKN doesn't accepted external payment methods.

Another external option that many have used: <http://copy-service-konstanz.de/>

Payment of the thesis printing is entirely at the personal cost of the fellows, unless otherwise stated by your supervisor.

On the same submission date, you need to send your final version of the thesis (PDF) to Francisca, who has then to submit this to Mrs Matzner jointly with the final version of your forms, reviewer list and online oral exam form. Or you could do it yourself, and just CC imprs@uni-konstanz.de into the email-communication.

If you are not able to make it personally to the U KN to hand in your thesis, make sure to arrange an alternative, whether it be with the coordinators support or not, keep in mind it all needs to arrive by the morning of the hand in date.

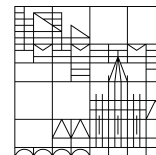
Note that, if the average grade of your thesis is 0,5 or higher, or if the two grades given differ by more than a full grade, a third assessment has to be obtained requiring another hard copy of your thesis (summing up to a total of five hard copies) and an extra 3 months.

*(appendixes are extracted from Doctorate at the Biology department of the University of Konstanz) with additional highlighted points.

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(s): _____
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.

| | | | | | |
|-----------|---|----|--|----|---|
| A. | <u>All doctoral candidates must submit the following documents:</u> | | | | |
| 1. | <table border="1"> <tr> <td>a)</td> <td>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.</td> </tr> <tr> <td>b)</td> <td>Certificate (copy) by the department confirming the acceptance as a doctoral candidate at the University of Konstanz.</td> </tr> </table> | 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. |
| 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 penalties 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 in each copy of the thesis).</p> <p>The thesis must include:</p> <ul style="list-style-type: none"> a) A title page, b) A table of contents, c) A brief summary, d) A German-language summary if you submit a foreign-language version, as well as 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. 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. | | | | |
| 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. | <u>Please submit the additional documents and/or information required by your department:</u> |
| B.1 | <u>Department of Mathematics and Statistics</u> |
| | — Please provide documentation of all required coursework or examinations completed during doctoral studies. |
| | — 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). |
| | — 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. |

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| B.2 | <u>Department of Computer and Information Science</u> |
| | <p>Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <p>The Department of Computer and Information Science requires documentary evidence of a written exposé and a talk. Please attach to this application.</p> |
| B.3 | <u>Department of Physics</u> |
| | <p>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).</p> |
| B.4 | <u>Department of Chemistry</u> |
| | <p>Documentary evidence of participation in the course programme of the Graduate School at the Department of Chemistry.</p> <p>The Department of Chemistry requires documentary evidence of the given talk or the publication in a scientific journal. Please attach to this application.</p> <p>Permission to write a cumulative doctoral thesis (see Chemistry Attachment).</p> |
| B.5 | <u>Department of Biology</u> |
| | <p>Documentary evidence of participation in the course programme of the Graduate School at the Department of Biology.</p> |
| B.6 | <u>Department of Psychology</u> |
| | <p>Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <p>For PhD candidates (Doctor of Philosophy – Dr.phil.), 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 five print copies and one Word version on CD-Rom of the hypothesis to be discussed.</p> |
| B.7 | <u>Department of Philosophy</u> |
| | <p>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.</p> <p>Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <p>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 five print copies and one Word version on CD-Rom of the hypotheses.</p> |
| B.8 | <u>Department of History and Sociology</u> |
| | <p>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.</p> <p>Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <p>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 five print copies and one Word version on CD-Rom of the hypothesis.</p> |

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| B.9 | <u>Department of Literature</u> |
| | <p>– 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.</p> <p>– Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <p>– 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 five print copies and one Word version on CD-ROM of the hypotheses to be discussed.</p> |

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

| | |
|-------------|---|
| B.11 | <u>Department of Law</u> |
| | <p>– 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.</p> <p>– 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 five print copies and one Word version on CD Rom of the hypothesis.</p> |

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| B.12 | <u>Department of Economics</u> |
| | <p>– Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <p>– 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 five print copies and one Word version on CD Rom of the hypotheses.</p> <p>– 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.</p> |

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

| | |
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| C. | <u>Final details</u> <u>Please complete the following information and turn in with your application:</u> |
| | <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>Note: Deciding on the commencement of the Doctoral Examination Procedure is only possible if all _____ documents/statements have been attached to the application.</p> |

Title of the doctoral thesis

**Doctoral thesis for obtaining the
academic degree**

Doctor of Natural Sciences

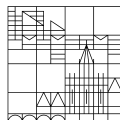
(Dr. rer. nat.)

submitted by

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

at the

Universität
Konstanz



Faculty of Sciences

Department of Biology

Konstanz, year

name: _____ first name(s): _____ 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 been¹ 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)

¹ 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(s): |
| place of residence: | street: |

Declaration

Hereby I agree / do not agree ^{*)}, 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

^{*)} Delete as appropriate

name

first name(s)

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

**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.

Sincerely

place, date

signature of the applicant

Appendix 7-after your examination

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**

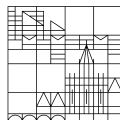
**Doctor of Natural Sciences
(*Dr. rer. nat.*)**

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-only after your examination

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(s), 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

.....