

**Guidelines for obtaining the doctoral degree
(*Promotionsleitfaden*)
of the Faculty of Biology
at the University of Duisburg-Essen
Doctoral Committee
Universitätsstr. 5 45141 Essen**

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- (D) Doctoral Proceedings (*Promotionsverfahren*)

Scope:

These Guidelines for Doctoral Degrees apply to all doctoral procedures for which an Application for Admission to the Doctoral Examination has been submitted or will be submitted after 05.08.2013. The German version of these guidelines is the relevant one in case of any uncertainty or apparent conflict of rule.

Organisational Matters:

Information concerning the doctoral degree “*Dr. rer. nat.*” at the Faculty of Biology (Admission to the Doctoral Proceedings, Application for Admission to the Doctoral Examination, Doctoral Proceedings) can be obtained under the telephone numbers mentioned below. Correspondence should be addressed to:

Chair of the Doctoral Committee:

Univ.-Prof. Dr. Markus Kaiser
University of Duisburg-Essen, Faculty of Biology
Tel.: 0201 – 183 4980; E-Mail: markus.kaiser@uni-due.de

Secretariat for Doctoral Matters:

Dean's Office Faculty of Biology
Ms. Heike Koch
S05 R03 H10 (Service hours: Mo – Fr from 11 a.m. to 2 p.m.) Tel.: 0201 – 183 2830
E-Mail: dekanat-biologie@uni-due.de

For all PhD candidates carrying out their thesis in a lab of the University Hospital Essen (or doing this outside of Essen, but with their supervisor belonging to the Medical Faculty of the University of Duisburg-Essen), this is the contact and location for submission of the documents:

Univ.-Prof. Dr. Ralf Küppers
Institute for Cell Biology (Cancer Research)
Medical Faculty, University of Duisburg-Essen
Virchowstrasse 173, 45122 Essen
Tel.: 0201 – 723 3384, Fax: 0201 – 723 3386, E-Mail: ralf.kueppers@uk-essen.de

Secretariat at the Institute for Cell Biology:

Ms. Andrea Faude-Sydow Tel.: 0201 - 723 3385

The Application for Admission to the Doctoral Proceedings (A), and the Application for Admission to the Doctoral Examination (C) as well as all the required documents must be submitted latest 1 week before the next date of the Doctoral Committee (*Promotions-ausschuss*) meeting.

Mandatory immatriculation:

Beginning October 2021, it is mandatory that all PhD candidates who newly apply for submission to the Doctoral Proceedings also register as PhD students at the University of Duisburg-Essen for the duration of their PhD. Details are provided on the following page.

Enrolment for doctoral studies

We are delighted to welcome you as a doctoral candidate at our University and would like to provide you with some brief instructions on the enrolment process.

A confirmation from the Doctoral Degree Board is required for enrolment. Please attach this confirmation to your application. Please enter the [programme](#) in which you wish to pursue doctoral studies in the application form. You can also find more information on the Student Affairs Office website:

https://www.uni-due.de/welcome-centre/en/imm_en.php

Once you are enrolled, the current stipulations of the Enrolment Regulations regarding reregistration, temporary withdrawal, etc. apply. Thus, all doctoral students are to re-register for every subsequent semester by paying the semester fee within the relevant re-registration period. Enrolment for doctoral studies is limited to ten semesters. For every semester beyond this period, a confirmation of continuation of the doctoral project from the Doctoral Degree Board must be submitted.

- Prospective doctoral students who have not previously been enrolled with us and who hold German or European citizenship and/or meet the admission requirements for doctoral studies in Germany or the EU must submit their application for enrolment in the doctoral program via the HISinOne portal:
(<https://campus.uni-due.de/cm/pages/cs/sys/portal/hisinoneStartPage.faces?chco=y>).
- The enrolment of applicants with citizenship and educational credentials from outside the EU will continue to be reviewed and processed by the International Office. Applicants from third countries with a doctoral admission qualification (PZB) from outside the EU will - if they use the wrong portal - be redirected via a corresponding link to the appropriate authority.
- Students re-enrolling should continue to use the previous enrolment application form, as manual data consolidation is required here. Consolidating duplicate records via HISinOne occasionally proves problematic in practice, which is why the workflow is not (yet) available online.
- Students who are already enrolled (=transfer students) and wish to switch to a doctoral program should continue to submit the application for a change of program via email. Technical developments are planned that will allow this change to be processed digitally as well. We ask for your patience.
- The standard enrolment deadlines remain in effect. Depending on when you submit your application, you may be able to submit a retroactive application for the current semester or an application effective for the next semester.

We wish you every success at our University.

Qualifying Phase (§ 6a):

(1) A scientific qualification and supplementary interdisciplinary academic credits are integral parts of the doctoral degree.

(2) During the qualifying phase, the perspective doctoral candidate is to attain academic credits equal to at least 18 credit points (CP) related to the ability to conduct scientific research independently. The necessary credit points can be obtained by:

- attending courses to obtain supplementary interdisciplinary qualifications
- completing modules of the Master's degree programmes offered by the Faculty specifically as preparation for the doctoral degree (e.g. 2 SWS ≈ 3 CP)
- teaching classes or leading study groups
- supervision of bachelor or master projects
- presenting one's own paper at conferences (e.g. 2 CP)
- other comparable academic credits.
- or: attending for 3 years an accredited graduate programme (e.g. BIOME graduate school)

(3) General provisions concerning the credit points are specified in an Annex to the Regulations Governing the Doctoral Proceedings. The doctoral supervisor shall make suggestions to the Doctoral Committee regarding the scope of and updates on the credits to be earned and these shall be documented in the Doctoral Agreement.

Please note: A cumulative dissertation (a dissertation composed of a general introduction and discussion as well as a number of original papers already published or accepted for publication) is possible in accordance with § 9 (para. 2) of the Regulations Governing the Doctoral Proceedings dated 05.08.2013. Please also refer to the section on "Cumulative Dissertations" on p. 5, subsection 11 of this document.

(A) Admission to the Doctoral Proceedings

Important note: According to §5 (2) of the official regulations for the PhD procedure of the Faculty of Biology, it is essential for admission to the doctoral proceedings that both the mark for the master or diploma study and the mark for the final project thesis (e.g. *Masterarbeit*) is not worse than "good" in the German system (2.5 or better). The PhD committee can allow justified exceptions.

An **Application for Admission to the Doctoral Proceedings** should be submitted to the Doctoral Committee by every doctoral candidate at the start of their doctoral studies, and the following documents should be enclosed with the application:

1. A cover letter to the Doctoral Committee containing the following information (see template in annex):
 - Institution where the dissertation is being conducted
 - Statement that you apply for admission to the doctoral proceedings for Dr. rer. nat. at the Faculty of Biology of the University of Duisburg-Essen
 - Date of start
 - Names of the first and - if applicable - second supervisor/s
 - Topic of the thesis.
 - Contact details of the candidate

2. Certified copy* of the school-leaving certificate (or the certificate entitling the applicant to enrol in an undergraduate course of study).
3. Certified copies* of undergraduate transcripts and degrees (Bachelor, Master, or Diploma) or any other qualification which meets the requirements of § 5 of the Regulations Governing the Doctoral Proceedings.
4. A signed curriculum vitae in tabular form.
5. List of scientific publications (if any).
6. A declaration by the foreseen supervisor in accordance with § 6 (para. 2, clause g) of the Regulations Governing the Doctoral Proceedings (see Annex).
7. A declaration by the applicant in accordance with § 6 (para. 2, clause e) that no previous attempts to attain a doctoral degree have been undertaken (see Annex).
8. A declaration by the applicant that the doctoral proceedings have not been initiated via the commercial procurement of a doctoral supervisor or any other form of assistance provided by third parties, either gratis or for a fee, which is prohibited by the basic regulations for conducting examinations and not in accordance with good scientific practice. A model declaration is attached as an annex.
9. An Agreement of Supervision (*Betreuungsvereinbarung*) according to § 4 (para. 3, clause e) of the Regulations Governing the Doctoral Proceedings (see Annex) which includes the supervisor's suggestions concerning the supplementary interdisciplinary academic credits to be earned during the qualifying phase as an annex.
10. A two-page maximum description of the doctoral goals and the experimental approaches that will be used to achieve them.
11. If animal experiments are planned, a copy of the relevant permit.
12. If the last academic qualification was pursued abroad, formal approval from the University of Duisburg-Essen's International Office (*Akademisches Auslandsamt*) must be submitted to verify that the doctoral candidate is eligible to do a doctorate at the University of Duisburg-Essen. This statement also needs to specify the German equivalent of the final master or diploma degree (note that access to the doctoral procedure requires that the final mark is 2.5 or better in the German system).

*If both the original document and an uncertified copy can be shown at the submission appointment, then the copy can be certified directly on site.

The Students Office (Studierendensekretariat) requests for enrolment as PhD student a letter from the PhD committee, which confirms that the candidate has been accepted as PhD student. This letter will be sent to the PhD candidates shortly after the acceptance of their application to be accepted as PhD student (Promotionsbegehren).

The PhD committee informs about the rule that PhD students should enrol as PhD students of the University according to §2 (4) of the enrolment regulations (Einschreibungsordnung). If a PhD student is enrolled at the University and needs more than 10 semesters for his/her PhD, enrolment for a longer time needs to be applied for by the PhD committee, and the acceptance of this needs to be shown at the Students Office for each additional semester for which an enrolment is needed.

(B) Writing your doctoral dissertation

The following recommendations are intended to guide you when writing your doctoral dissertation in order to avoid unnecessary time-consuming formal revision. They comply with the generally accepted scientific standards. **A very high print quality for the purpose of reproduction (especially for figures) is a basic requirement.**

1. Title page and necessary information for the examination

Refer to example in Annex

2. Table of Contents

The table of contents is a part of the thesis and shows how the topic was approached and handled. It should reflect the thesis's logical structure and give a first impression of the dissertation's content. A coherent and conclusive line of thought is reflected in its rational and faultless structure with corresponding sections and sub-sections. Same-level sub-sections should refer to a common parent problem, and each sub-section should be ideally of equal weight. Each section should have at least two sub-sections.

The table of contents should offer a complete overview of all the chapter headings with the corresponding page references. Usually a doctoral dissertation should have the following main chapters:

- Introduction (background to current stage of research)
- Aims and scope of the work (scientific problems, hypotheses)
- Methodology
- Results
- Discussion
- Perspective
- Summary (in German and English)

3. List of Abbreviations

In the text common (dictionary-listed) abbreviations may be used (examples: etc., e.g., cf., i.e.). Any other abbreviations should be explained in alphabetical order in the list of abbreviations.

4. List of Figures

All figures should be captioned and consecutively numbered. If a figure is referred to in the text, then it should be easily and clearly located via its number (and possibly also a page reference).

Figure captions should always appear below the figure. Source citations should be given if the figure is derived from a primary source.

5. List of Tables

Tables in the text should be consecutively numbered, possibly also chapter by chapter using a decimal classification system. If a table is referred to in the text, then it should be easy to find by number and page reference.

Captions for tables should always appear above the table. Source citations should be given if the table is derived from a primary source.

6. Text

DIN A4 paper should be used for the entire thesis, printed double-sided (NEW rule!). The text format should support easy legibility. Conventional recommended formats are:

Font size: 12 pt

Font: Arial or Times New Roman

Line spacing: 1.5

Margin: upper and lower 2 cm, right and left 2.5 cm.

While the numbering starts with the title page, the page numbers only start appearing in the actual text. The pages should be consecutively numbered using arabic numerals, and the numbers should be consistently centered or right-aligned either in the header or footer.

Footnotes

Footnotes in scientific publications usually contain information that would distract from the direct context e.g. source citations, references to supplementary sources, references to other parts of the manuscript, divergences from the main line of argument. For reasons of legibility, it is recommended to avoid the extensive use of footnotes, and to use them mainly for source references. Longer explanations for textual fringe issues should be avoided.

The footnotes should be consecutively numbered. The reference location in the text should be indicated with a superscript arabic numeral. The footnote's text should appear at the foot of the same page.

Formulae

Symbols used in mathematical formulae should be clearly defined when first used in the text. A uniform formula notation is recommended for the entire text. Consecutive numbering of the formulae facilitates the reference in the text.

7. References

The references should be tabulated alphabetically according to the authors' surnames, and chronologically when more than one work by a particular author is cited. The bibliographic information should conform to the rules of the respective scientific discipline.

Citations

Every citation in the text should be verifiable. Thus, any sources such as text passages, tables, graphics etc. that have been adopted directly or indirectly should be acknowledged as such. A breach of these rules can result in the doctoral thesis being revoked (due to plagiarism). (Furthermore, information that has not been taken from the literature but stems from e.g. personal interviews should be referenced.)

Verbatim quotes should be enclosed in double quotation marks. They should be quoted word-for-word from the original. The omission of a word should be indicated by two dots, more words by three dots. Any deviations from the original should be made distinguishable (e.g. by bracketed additions with the comment 'A/N').

Generally, a verbatim quote should not be more than two or three sentences in length. If longer quotes are unavoidable, then they should be optically identifiable in that they appear as indented, single-spaced text passages.

In principle, the original text should be cited. Only if the original work is not accessible, may the secondary source be quoted. In this case, the reference is acknowledged as follows: "as cited in ...".

Similarly, indirect quotations should be acknowledged in their entirety and be verifiable and precisely referenced in the same manner as direct citations.

8. Annex (if applicable)

9. Statutory declarations

(See model declarations in Annex)

10. Avoidance of self-plagiarism

The publication of parts of the dissertation in the form of articles in scientific journals is explicitly allowed (Regulations Governing the Doctoral Proceedings § 9 (para. 1)). To ensure transparency, it is necessary to refer to these publications, e.g. with a reference to pre-publication:

“In the context of this doctoral work, the following articles were published: (*bibliographical data with date*)”

“In the context of this doctoral work, the following articles have been accepted for publication: (*bibliographical data with date*)”

“In the context of this doctoral work, the following articles have been submitted: (*bibliographical data with date*)”.

Furthermore, all publications should be cited in the relevant sections of the dissertation and be listed in the list of references.

11. Cumulative Dissertations

In accordance with §9 (para. 2) of the Regulations Governing the Doctoral Proceedings dated 05.08.2013, a cumulative dissertation is also possible. The following rules apply:

- 1) A cumulative dissertation should comprise of several (i.e. at least two) of the doctoral student's original papers already published or accepted for publication.
- 2) At least one of the papers must be a peer-reviewed (co-) first author original work of the doctoral student. Original work means that reviews and readers' letters cannot be considered.
- 3) In the case of works accepted for publication, proof of acceptance of the work must be included in the dissertation.
- 4) In addition to the at least two papers published or accepted for publication, submitted manuscripts and complete manuscripts in preparation may be included in the cumulative dissertation.
- 5) The publications should be preceded by an overall summary and introduction; an overarching discussion should follow the publications.
- 6) In the case of publications with several authors, the extent of the doctoral candidate's contribution to the conception, execution and drafting of each publication must be clearly demarcated and assessed. This presentation must be confirmed by the academic supervisor and should be preceded by the respective original work. A model declaration can be found on p. 18.
- 7) The doctoral candidate must confirm that the inclusion of the publications in the dissertation does not infringe on any copyrights. With regard to cumulative dissertations, a reference is also made in Section D of this guideline.

(C) Application for Admission to the Doctoral Examination

Upon completion of the thesis the doctoral candidate must submit an application for admission to the doctoral examination by either to:

Contact for Essen Main Campus candidates:
Secretariat (Department of Biologie),
Ms. Heike Koch,
E-Mail: dekanat-biologie@uni-due.de
Tel.: 0201 – 183 2830

Contact for Medical Campus candidates:
Secretariat (Institute for Cell Biology/
Cancer Research)
Ms. Andrea Faude-Sydow
E-Mail: andrea.faude-sydow@uk-essen.de
Tel.: 0201- 723 3385

together with the following documents:

1. A cover letter for the application for admission with the following information (see template in annex):
 - PhD committee of the Faculty of Biology as recipient of the letter
 - Institution where the dissertation was conducted
 - Statement that you apply for admission to the doctoral examination for Dr. rer. nat. at the Faculty of Biology of the University of Duisburg-Essen
 - Name of your supervisor
 - Title of the thesis

- You may propose a second referee, but in this case, you should ask that person beforehand whether he/she is willing to serve as examiner for your thesis.
 - Your contact details
2. Certified copy* of the school-leaving certificate.
 3. Certified copies* of undergraduate transcripts and degrees (Bachelor, Master) or any other qualification which meets the requirements of § 5 of the Regulations Governing the Doctoral Proceedings.
 4. A signed curriculum vitae in tabular form (also within the dissertation on the penultimate page).**
 5. A written declaration stating that the candidate conducted the work independently using only the materials listed in accordance with § 7 (para. 2, clause d and f) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology. **
 6. A declaration about current or previous attempts to attain a doctoral degree in accordance with § 7 (para. 2, clause e and g) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology. **
 7. A declaration about the usage of artificial intelligence.**
 8. A declaration (advocacy of the dissertation) by a member of the University of Duisburg-Essen in accordance with § 6 (para. 2, clause g) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology. **
 9. Three bound copies of the dissertation and one copy in electronic form (e.g. a CD or USB stick) (the dissertation may be written in German or English at the discretion of the doctoral candidate).
 10. A brief summary of the thesis in German and English (within the bound thesis and as separate documents).
 11. Evidence of the credits earned during the qualifying phase in accordance with § 6a.
 12. A copy of each of your scientific publications (the title of your thesis should differ significantly to those of the publications).
 13. Declaration regarding the form of publication of the thesis (see template)

* Not necessary if these were submitted with the Application for Admission to the Doctoral Proceedings.

** In addition, the mandatory declarations mentioned in points 5-8 must be bound as the last pages of the thesis! The CV and the explanations listed under items 5–8 should be removed from the final version, which is to be submitted to the library after the defense.

(D) Doctoral Proceedings / Dissertation Defence (Viva Voce)

The dissertation defence (lecture) should:

1. Be 30 minutes long.
2. **Not** be a summary of the contents of the dissertation, but focus for the most part on the results and the significance of these results for the field in which the dissertation was written.
3. Be presented fluently, freely and interestingly (use of media).

These criteria are an important basis for the examiners' evaluation. The lecture is followed by **a discussion lasting at least 30 minutes**. With the consent of the doctoral candidate questions can also be asked subsequently by the public.

After completing the dissertation defence, the doctoral candidate must publish the dissertation in order to receive the doctoral certificate.

The publication requirement can be satisfied by the doctoral candidate providing one of the following at his or her expense:

- (a) **40 copies** (publication by the author without distribution by the book trade) **or**
- (b) **3 copies** (publication in a scholarly journal or series of publications or as a monograph distributed by the book trade) **or**
- (c) **3 copies** if the dissertation is distributed by a commercial publisher and a minimum circulation of 150 copies is proven (see § 12, para. 1, clause c of the Regulations Governing the Doctoral Proceedings), **or**

(d) in electronic form (please clarify data format and electronic medium with the library) as well as **2 printed copies** (at the university library) **(the usual way!)**

- (e) **6 bound copies** for **cumulative** dissertations. Two of these bound copies will be forwarded to the archives of the German National Library.

The doctoral certificate can be issued in English upon request. However, only one version of the certificate – either in English or German – may be issued. This should be conveyed in writing to the Dean's Office either when submitting the dissertation or directly after the dissertation defence.

Please Note: As a rule, the publication must take place within one year, and justified exceptions are decided on by the Doctoral Committee. Should the electronic publication (see option d) be initially restricted for patent or copyright reasons (e.g. planned publication in a peer-reviewed journal, etc.), an appropriate embargo form must be enclosed when submitting the work to the library (see model declaration in Annex – Dissertation Embargo/*Sperrung einer Dissertation*). Since the electronic publication via the German National Library usually takes place without delay, a later withdrawal of the electronic file is hardly or no longer possible! If in exceptional cases further patent or copyright reasons preclude publication, an extension of the restriction period may be applied for after approval by the Doctoral Committee (see §12 (para. 2) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology/Chemistry). The application for extension must be submitted to the University Library before the expiry of the first restriction period, otherwise the dissertation will be released after expiry of the initial embargo deadline. It should also be noted that this extension must be confirmed by the doctoral candidate as well as his/her supervisor by signature in the original copy. If it is foreseeable that the above-mentioned publication embargo shall last much longer than one year, an alternative option to submitting an electronic version is preferable (see option a or e).

Template for the cover letter for the application to be admitted to the Dr. rer. nat procedure

Name doctoral candidate:in
Street
Zip code Place of residence

Work e-mail:
E-mail private:
Mobile phone no:

University of Duisburg-Essen
Faculty of Biology
To the chairman of the doctoral committee
Prof. Dr. Markus Kaiser
Universitätstraße 5
45141 Essen

Essen, *date*

Admission to the doctoral examination procedure (doctoral application) in the Faculty of Biology

Dear Professor Kaiser,

since XX.XX.XXXX I, *name*, work in the Department/Institute XXX of the University of Duisburg-Essen/University Hospital Essen as a scientific staff member, with the possibility to do a doctorate, and hereby request admission to the doctoral procedure (doctoral application) of the Faculty of Biology with the topic:

"XXX".

This work is supervised by Prof. Dr. XXX, working group/institute XXX.

With kind regards,

Signature of doctoral candidate

Enclosures:

- Certificate of general university entrance qualification (certified copy)
- Bachelor's degree certificate and report card (certified copies)
- Master's degree certificate and report card (certified copies)
- curriculum vitae (signed)
- Declaration according to doctoral regulations § 6 Abs. 2, e
- Declaration according to doctoral regulations § 6 Abs. 2, f
- Declaration of the supervisor according to the doctoral regulations § 6 Abs. 2, g
- Supervision agreement and statement of the planned achievements of the qualification phase
- Description of the objectives of the thesis
- *if applicable, list of scientific publications*
- *if applicable, approval of animal experiments*
- *if applicable, confirmation of the International Office*

Annex:

**Declarations required for the Application of Admission to the Doctoral Proceedings
(Promotionsbegehren)**

Declaration:

In accordance with § 6 (para. 2, clause g) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology for awarding the doctoral degree Dr. rer. nat., I hereby declare that I represent the field to which the topic "*Title of the dissertation*" is assigned in research and teaching and that I support the application of (*name of the doctoral candidate*).

Essen, date _____

Name of the scientific supervisor/member of the University of Duisburg-Essen

Signature of the supervisor/member of the University of Duisburg-Essen

Declaration regarding previous attempts to attain a doctoral degree:

I hereby declare that in accordance with the Regulations Governing the Doctoral Proceedings of the Faculty of Biology § 6 (para. 2, clause e) I have undertaken no previous attempts to attain a doctoral degree.

Name in block letters: _____

Essen, date: _____

(Signature of the doctoral candidate)

Declaration regarding the commercial procurement of a doctoral supervisor

(§ 6, para. 2, clause f)

I hereby declare the following:

The present doctoral proceedings were not initiated via commercial procurement. In particular, no organisation has been engaged by me that, for a fee, has procured a doctoral supervisor nor has fulfilled all or part of my obligations with regard to examinations. Any third party help used up to now or will continue to be used has been/is only to a scientifically justifiable extent and in keeping with the laws on examinations.

I am aware that any falsehoods regarding the above statement could exclude me from the admission to the doctoral proceedings or later lead to the termination of the proceedings or to the withdrawal of the doctoral title.

Name in block letters: _____

Essen, date: _____

(Signature of the doctoral candidate)

Agreement of Supervision between the doctoral candidate

(Name)

and the doctoral supervisor

(Name)

and the University of Duisburg-Essen

The University of Duisburg-Essen feels an obligation to establish a partnership with its doctoral candidates in which each party is expected to act conscientiously to carry out its respective responsibility for the success of the scholarly work. The expectations placed in the doctoral candidates, and the resulting obligations, are set down in this Agreement of Supervision. The University and the university teachers shall meet their obligations and live up to their responsibilities to the fullest extent.

The objectives of this Agreement of Supervision are to ensure that the relations between the above parties are characterized by professionalism and to establish rules for avoiding and resolving conflicts. Together with a structured organization of the doctoral proceedings, the Agreement will make it possible to attain a doctoral degree within three years.

Rights of the doctoral candidate

The doctoral candidate can expect to receive scholarly, personal and subject-related support in his or her doctoral project. The University will grant the doctoral candidate appropriate access to the necessary materials and will help him or her gain access to sources and materials at other locations if necessary.

The doctoral candidate can expect that the subject of the dissertation will be defined in cooperation with the doctoral supervisor at the beginning of the doctoral proceedings. Milestones, expected time frames and expectations of the supervisor and the doctoral candidate shall be defined and set down at this time.

The doctoral candidate has a right to an annual progress meeting with his or her doctoral supervisor. This meeting shall provide the doctoral candidate with orientation on the progress of the doctoral project so far, his or her prospects for completing the doctorate successfully, and further action to be taken. If the dissertation topic has to be changed, this shall be agreed upon. A short transcript shall be made of this meeting.

If a doctoral candidate perceives difficulties or problems, it is in everyone's interest to resolve these as quickly as possible. Obstacles should be removed by informal action whenever possible. Should the problems prove to be insoluble, the doctoral candidate is entitled to lodge a formal complaint. The faculty shall appoint an additional supervisor and/or ombudsman for this purpose. The latter individual, as a person not involved in the subject matter of the doctorate, should be able to resolve conflicts and ensure the progress of the scholarly work. Conflicts that do not yield to mediation shall be resolved by the Doctoral Committee. The doctoral candidate is entitled to be kept constantly informed on the handling of his/her complaint.

The doctoral candidate can expect that his or her supervisor will be available to an appropriate degree for scholarly discussion of the research work. He or she can also expect the supervisor to help him or her make contacts in the academic community.

The doctoral candidate can expect the University to assist him or her to develop the necessary ability to carry out independent scholarly work. The faculty shall organize courses suitable for attaining this end.

The University is obliged to help the doctoral candidate gain his or her bearings regarding his or her future career.

The doctoral candidate can expect to receive assistance from his or her supervisor when applying for scholarships or similar grants. The supervisor shall also assist the doctoral candidate by calling his or her attention to possibilities for obtaining financial support and sponsoring, e.g. scholarships, projects, grants, academic prizes, etc.

The doctoral candidate has the right to expect that all persons involved in the doctoral proceedings will make efforts to ensure that the evaluation and examination procedures are carried out speedily.

The doctoral candidate can expect the faculty to make provisions to ensure that he or she will be able to complete his or her doctorate even if his or her supervisor can no longer comply with his or her obligations for unavoidable reasons, e.g. moving to a different location, illness, death, etc.

The doctoral candidate should be allowed to attend other general academic training events, workshops and lectures offered by either the faculty or the university (graduate school programmes, soft skills etc.) during his or her doctoral training. The consensual minimum participatory requirements for these additional educational activities should be met and respected.

Rights of the University and the supervisor

The University and the supervisor can expect the doctoral candidate to be committed to his or her research project. When carrying out the research project, the doctoral candidate will thus be expected to show the necessary commitment and invest the amount of work agreed upon.

The University expects the doctoral candidate to use equipment, facilities and resources efficiently and responsibly.

The doctoral supervisor can expect the doctoral candidate to keep him or her informed on the progress of the dissertation. In particular, the supervisor can expect that all difficulties and problems encountered during this work will be reported to him or her without delay.

The supervisor can expect the doctoral candidate to take an active part in presenting scholarly results at conferences, meetings, etc. and in publications. This includes particularly the writing of manuscripts for journals, giving oral or poster presentations of scientific data and the drafting of reports for cooperation or funding partners.

The supervisor can expect the doctoral candidate to follow the guidelines for good academic practice published by the German Research Foundation (DFG). In particular, the doctoral candidate must do his or her part to comply with the rules on documentation.

The supervisor can expect the doctoral candidate to play an active role in a working group or in a team headed by a professor in the faculty.

The University strives for economic utilization of scholarly results. For this reason agreements concerning confidentiality, non-disclosure and intellectual property shall be observed by all parties. The utilization of results in the form of patents, utility

models, trademarks, etc. shall be carried out by the University. Such utilization may not constitute an inappropriate impediment to the doctoral proceedings or to the publication of scholarly results.

General rules

The University has the legal responsibility to safeguard the safety and health of all persons working at the University. To comply with this responsibility, it shall take action to ensure that the work environment conforms to health and safety regulations. Every doctoral candidate is obliged to work safely and meticulously and to contribute to the observance of these regulations.

The University strives to create an environment for studying and research that is free of discrimination. It shall therefore not tolerate any discrimination on the grounds of gender, nationality, race, sexual orientation or physical disability. The efforts of all members of the University are required in order to reach this goal. The University shall establish formal rules for dealing with complaints of discrimination or harassment.

The University expects that all of its members and all doctoral candidates shall treat each other with fairness and respect.

The doctoral supervisor

(Name)

and the doctoral candidate

(Name).....

both agree to adhere to this Agreement of Supervision.

Essen, (date)

Supervisor's signature:

Doctoral candidate's signature:

Regulations for the acceptance of qualification points according to § 6a of the PhD regulations of the Faculty of Biology of the University of Duisburg-Essen from August 5, 2013 (Verkündungsblatt Jg. 11, 2013 S. 955 / Nr. 121)

Credits can be earned by (see PhD regulations § 6a):	Requirements for the Qualification Phase	Credit points (CP)
– Participation in events designed to help students acquire interdisciplinary skills	E.g., in the following areas: - academic writing, publishing, foreign languages, etc. - statistical methods, software and hardware applications, etc. - presentation techniques, rhetoric, time management and self-management, job application training, etc.	1 CP per proof of participation or 2 SWS = 2 CP
– Participation in specific modules of the faculty's master's programs designed to prepare students for their doctoral research	Successful completion of a module in one of the master's programs offered by the Department of Biology	see module book
– Teaching courses or leading working groups	Conducting university courses	2 SWS = 3 CP
	Conducting educational and professional development events, workshops, etc. outside university instruction	1 CP per event; 2 SWS = 3 CP
	Supervising and guiding research projects as part of bachelor's and master's theses, exam projects, etc.	1 CP per theoretical project; 3 CP per practical project
– Participation in conferences with a presentation of one's own	Participation in a conference or symposium with an original contribution, such as a poster presentation, lecture, panel discussion, etc.	2 CP per activity
– Other comparable qualifications	Thesis-related publication accepted for publication in a scholarly journal, anthology, etc., with scientific quality assurance	3 CP per publication as (co-) first author; 1 CP per publication as co-author
	Thesis-related publication with practical applications	2 CP per publication
	Presentation and discussion of doctoral research findings within research networks, e.g., in graduate schools, research groups, and working groups	1 CP per presentation
	Participation in specialized scientific training courses related to the doctoral program, e.g., animal science course, genetic engineering course	2 SWS = 2 CP
	Research stay in other research groups	at least 2 weeks = 2 CP
	Subject-related professional work undertaken during the doctoral program	2 SWS = 3 CP

SWS: Semesterwochenstunden (hours per week per semester), typically 14 hours

The qualification points according to § 6a of the PhD regulations of the Faculty of Biology of the University of Duisburg-Essen from August 5, 2013, can also be obtained through a 3-years participation in a structured PhD program that has been accepted by the PhD committee:

1. **BIOME** (Graduate School for Biomedical Science): interdisciplinary graduate school of the University of Duisburg-Essen for PhD students in biology and medicine
2. **DFG-Graduiertenkolleg** (GRK 1739): Molecular determinants of the cellular radiation response and their potential for response modulation
3. **DFG-Graduiertenkolleg** (GRK 1949): Immune Response in Infectious Diseases
4. **SFB-Graduiertenkolleg (Chemie)** (GRK 1093): Supramolecular Chemistry on Proteins
5. **Max-Planck-Institut (IMPRS CMB)**: International Max Planck Research School on Chemical and Molecular Biology
6. **DFG-Graduiertenkolleg** (GRK 2098): Biomedizin des sauren Sphingomyelinase / sauren Ceramidasesystems
7. **Transregio 296**: Local control of thyroid hormone action (LocoTact)
8. **SFB-Graduiertenkolleg (CRC 1430)**: iRTG Molecular and Chemical Cell Biology
9. **SFB-Graduiertenkolleg** (CRC 1430): iRTG Molecular and Chemical Cell Biology
10. **DFG-Graduiertenkolleg** (GRK 2762): Heterogeneity, plasticity and dynamics in cancer cell, tumor and normal tissue responses to cancer radiotherapy
11. **iRTG SFB Resist**
12. **Water Graduate School (WGS)**
13. **DFG-Graduiertenkolleg** (GRK 2989): Targeting Cellular Interfaces in Reperfused Acute Myocardial Infarction (TCI repAMI)
14. **DFG-Graduiertenkolleg** (3043): AMTEC-PRO - Advanced methods and technologies for proton therapy

Annex to the Agreement of Supervision

Documentation of accreditation to be achieved during the qualifying phase in accordance with § 6a of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology of the University of Duisburg-Essen dated 05.08.2013 (Gazette Year 11, 2013 p. 955./No. 121).

Credit points may be attained by (c.f. Doctoral Proceedings § 6a):	Accreditation attained during the qualifying phase	Credit points (CP)
– Participation in courses for the acquisition of interdisciplinary qualifications (soft skills)		
– Participation in specific modules of the Faculty's Masters programme as doctoral project preparation		
– Conduction of teaching courses or leading study groups		
– Participation at conferences with presentation of own work		
– Other comparable achievements		

Alternatively, the accreditation during the qualifying phase is to be achieved within the framework of the following structured doctoral programme:

The accreditation to be achieved during the qualifying phase has been agreed by:

(Name) **(Name).....**
Doctoral Candidate **Doctoral Supervisor**

Essen, date:

.....
Signature of the Doctoral Candidate

.....
Signature of the Doctoral Supervisor

Title of the Doctoral Thesis

Dissertation
for
the doctoral degree of
Dr. rer. nat.

from the Faculty of Biology
University of Duisburg-Essen
Germany

Submitted by

First name/s and surname/s

Born in (place of birth)

Date of submission (month and year)

The experiments underlying the present work were conducted at the Institute of XYZ or at the Department of XYZ at the University of Duisburg-Essen or at another equivalent facility.

1. Examiner: *

2. Examiner: *

3. Examiner: *

Chair of the Board of Examiners: *

Date of the oral examination: *

* Should not be filled in by the doctoral candidate

Template for the cover letter for the application to be admitted to the Dr. rer. examination

Name doctoral candidate:in
Street
Zip code Place of residence

Work e-mail:
E-mail private:
Mobile no:

University of Duisburg-Essen
Faculty of Biology
To the chairman of the doctoral committee
Prof. Dr. Markus Kaiser
Universitätsstraße 5
45141 Essen

Essen, *date*

Application for admission to the doctoral examination in the Faculty of Biology of Mr./Ms.

Dear Professor Kaiser,

I am seeking a doctorate (Dr. rer. nat.) at the Faculty of Biology of the University of Duisburg-Essen.
Herewith I would like to apply for admission to the doctoral examination.

The title of my dissertation is "XXX."

The work on this was done under the guidance of Prof. Dr. XXX in the AG/at the Institute XXX.

Optional:

I would like to propose as second referee for my dissertation:

Name, address, e-mail

I intend to give my disputation presentation in German/English.

Yours sincerely

Signature PhD student

Enclosures:

- Curriculum Vitae (signed)
- Declaration according to doctoral regulations § 7 Abs. 2, d + f
- Declaration according to doctoral regulations § 7 Abs. 2, e + g
- Declaration on the usage of artificial intelligence
- Declaration of the supervisor according to doctoral regulations § 6 Abs. 2, g
- Documentation of the achievements of the qualification phase
- List of scientific publications and copy of the first page of the publications
- Summary of the dissertation (German and English)
- Declaration of publication of the dissertation
- 3 copies of the dissertation and an electronic version
- *in case of cumulative dissertation: form participation in publications*
- *if necessary, form for blocking the dissertation*

Declarations required for the submission of the thesis

Declaration:

In accordance with § 6 (para. 2, clause g) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology for awarding the doctoral degree Dr. rer. nat., I hereby declare that I represent the field to which the topic "*Title of the dissertation*" is assigned in research and teaching and that I support the application of (*name of the doctoral candidate*).

Essen, date _____

Name of the scientific supervisor/member of the University of Duisburg-Essen

Signature of the supervisor/member of the University of Duisburg-Essen

Declaration:

In accordance with § 7 (para. 2, clause d and f) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology for awarding the doctoral degree Dr. rer. nat., I hereby declare that I have written the herewith submitted dissertation independently using only the materials listed, and have cited all sources taken over verbatim or in content as such.

Essen, date _____

Signature of the
doctoral candidate

Declaration:

In accordance with § 7 (para. 2, clause e and g) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology for awarding the doctoral degree Dr. rer. nat., I hereby declare that I have undertaken no previous attempts to attain a doctoral degree, that the current work has not been rejected by any other faculty, and that I am submitting the dissertation only in this procedure.

Essen, date _____

Signature of the
doctoral candidate

Declaration regarding the usage of artificial intelligence

I hereby declare that in preparing the text of this thesis, I used artificial intelligence exclusively for linguistic revision in terms of AI-assisted proofreading. The AI software employed served solely to correct spelling and grammar, to refine style and readability. Generative AI was not used for the creation, development, or elaboration of any text passages. This explicitly also applies to the literature references cited in this work, which were independently researched, reviewed, and selected by me based on their relevance to the content. The figures included in this work were either created by me or, where indicated in the figure captions and accompanied by full literature references, adapted from previously published illustrations in accordance with the principles of good scientific practice and copyright regulations.

The AI proofreading software used was/were [XXX, including version number].

Essen, date _____

Signature of the doctoral
candidate

Declaration if no AI tools were used

Hereby, I declare that the text of the present written work was prepared entirely without the use of AI-based software, including AI-assisted proofreading tools.

Essen, date _____

Signature of the doctoral
candidate

Annex to the Application for Admission to the Doctoral Examination
Documentation of accreditation achieved during the qualifying phase in accordance with § 6a of
the Regulations Governing the Doctoral Proceedings of the Faculty of Biology of the University
of Duisburg-Essen dated 05.08.2013 (Gazette Year 11, 2013 p. 955/No. 121).

Credit points may be attained by (c.f. Doctoral Proceedings § 6a):	Accreditation attained during the qualifying phase	Credit points (CP)
– Participation in courses for the acquisition of interdisciplinary qualifications (soft skills)		
– Participation in specific modules of the Faculty's Masters programme as doctoral project preparation		
– Conduction of teaching courses or leading study groups		
– Participation at conferences with presentation of own work		
– Other comparable achievements		

Alternatively, the accreditation during the qualifying phase has been achieved within the
framework of the following structured doctoral programme (certification attached):

The accreditation of 18 credit points during the qualifying phase has been achieved:

(Name) (Name).....
Doctoral Candidate **Doctoral Supervisor**

Essen, date:

.....
Signature of the Doctoral Candidate **Signature of the Doctoral Supervisor**

Declaration regarding the form of publication of the thesis

The publication has to take place by the free submission of:

- a) **40 copies** in case of own organized printing without distribution through bookstores ☐
- b) **3 specimen copies** in case of publication in a scientific journal, series or as a monograph with distribution via book trade ☐
- c) **3 copies** with a minimum print run of 150 copies via commercial publishers ☐
- d) **2 bound copies** and an electronic version of the dissertation*. ☐
- e) **6 bound copies** in case of a cumulative dissertation without publication in digital form ☐

*In case of submission option d):

- The electronic version of the thesis may be published directly online. ☐
- Publication of the thesis should be delayed by one year. ☐

A blocking form with justification is enclosed.

Note: If it is foreseeable that patent or protection law reasons will last considerably longer than 1 year, an alternative submission option without submission of an electronic version is preferable (see submission option a or e).

Date, _____
Name of doctoral candidate Signature of doctoral candidate

Date, _____
Name of supervisor Signature of supervisor

Dissertation Embargo (*Sperrung einer Dissertation*)



Dissertation Embargo

Title of the Dissertation	
Author	
Faculty	
Doctoral Supervisor	
Date of the Dissertation Defence (Viva Voce)	

We request the Library of the University of Duisburg-Essen that all required copies - including the electronic version of the work – should be restricted from open access publication until the specified date.

Reason:	
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After the expiry of the below-mentioned embargo period - and at the latest after one year post submission – the dissertation will be published according to the usual procedure and passed on to third institutions for the purpose of long-term archiving. The same applies for the agreements of electronic dissertations, covered by the signed "Form for the submission of electronic dissertations".

If in exceptional cases further patent or copyright reasons preclude publication, an extension of the restriction period may be applied for after approval by the Doctoral Committee (see §12 (para. 2) of the Regulations Governing the Doctoral Proceedings of the Faculty of Biology/Chemistry). The application for extension must be submitted to the University Library before the expiry of the first restriction period, otherwise the dissertation will be released after expiry of the initial embargo deadline.

Expiry date of the embargo: _____

Place, date

Doctoral Supervisor

Place, date

Doctoral Candidate

Place, date

Chair of the Doctoral Committee

Please Note: This document can be downloaded in electronic form as a PDF file and should only be used in this form.

Cumulative Thesis/Extent of Contribution

Cumulative Thesis/Extent of Contribution

Cumulative thesis of Mr./Ms.

Author contributions

Title of the publication

Authors

Contributions:

- Conception - %: Specification
- Conduction of experimental work - %: Specification
- Data analysis - %: Specification
- Species identification - %: Specification
- Statistical analysis - %: Specification
- Writing the manuscript - %: Specification
- Revision of the manuscript - %: Specification

Signature of the Doctoral Candidate

Signature of the Doctoral Supervisor