

CHECK LIST (Date 21. September 2020)

Including important information concerning the procedure of gaining a Doctoral Degree and the associated Disputation (Defense of the Doctoral Thesis) at the Faculty of Mathematics and Natural Sciences of Kiel University

Additionally, please make sure to inform yourself about actual changes depending on the state of the Corona-Pandemia in the following pages in the Internet:

<https://www.mnf.uni-kiel.de/de/corona-pandemie>

<https://www.mnf.uni-kiel.de/de/promotion-habilitation/prom>

Please note, that the questionnaires are adapted to online registration. This is effective for the registration of a Doctoral Proposal as well as the admission to the examination procedure with the submission of the Doctoral Thesis. Only fully completed applications can be processed!

It is important to use only the new questionnaires and to insert your signature also digitally (see: Information sheet digital signature).

Do not print the questionnaires, complete or sign them by hand to scan them later on. This would prevent the processing in the Deans office.

Also respect the regulation concerning the filenames to be used!

These regulations can be found in the respective questionnaire.

All questionnaires have to be uploaded on <https://www.mnf.uni-kiel.de/go/promotion>
Consignment via E-Mail or post will not be processed.

Reference: [Doctoral Degree Regulations](#), Date 09.08.2018

The most important points are summarized here to avoid confusion with regard to the regulations to be followed during the Process leading to the Doctoral Degree.

1. The [application for acceptance as a doctoral researcher](#) into the list of doctoral researchers has to be made prior to the beginning of any research work (see shortcut: → Form: Acceptance as a doctoral researcher [-A]). A scan of the certificate of the Master Degree has to be uploaded additionally [-A1]. In case of a not European certificate also the certificate of the Bachelor Degree and transcripts of record of both certificates have to be added.

2. The [supervision agreement](#) (see: shortcut: → Form: supervision agreement [-A2]) belongs to the application for acceptance as a doctoral researcher.

With regard to **inter faculty doctoral research projects** the thematic link to the Faculty of Mathematics and Natural Sciences (MNF) may not have been definitely determined in the beginning. There may be a point when the conclusion is made, that the research theme is not any more within the reference of the MNF.

To avoid any delay for the doctoral researcher the following procedure applies:

In case the theme of the research work does not meet the reference of the MNF, the researcher has to change the faculty. Therefore, the thematic allocation has to be proved no later than one

year prior to submission of the thesis by a summary of the dissertation and an appraisal of the supervisor (see Section 10 (1) of the [Doctoral Degree Regulations](#))

Further on § 7 (1) 5. of the [Doctoral Degree Regulations](#) has to be observed, if the degree forming the basis to the interfaculty doctoral research work is a non-mathematics/natural-science qualification.

3. The **dissertation** can be produced as **monographic dissertation, cumulative dissertation** or a **mixture of both**.
 - a. The **monographic dissertation** represents a comprehensive, self-contained study of the chosen research topic. It does not contain any articles published or chapters published in a book prior to submission. A dissertation still counts as monographic when it is projected to publish parts of it as articles at the time of submission. A monographic dissertation is structured into chapters as follows: introduction, material and methods, results, discussion, bibliography and appendix.
 - b. A **cumulative or publication-based dissertation** is based on previously published articles in peer-reviewed journals or book publications. It is difficult to set a standard of the numbers of articles required, especially in a diverse faculty like the MNF. A cumulative dissertation should not be any less challenging or simpler than a monograph. The intention of the possibility to submit a cumulative dissertation is to motivate the young researchers to present their results in an early stage to national and international public with the chance to discuss the results.

At the MNF, a cumulative dissertation must contain at least three articles in peer-reviewed journals, with at least two having been published previously (i.e. a DOI can be quoted as a third). As such, the mere intention to publish cannot serve as the basis for submitting a cumulative dissertation; the same applies with respect to the submission of a dissertation containing two or three articles which have merely been presented.

Moreover, in its position paper regarding the requirements for dissertation quality assurance (2011), the German Council of Science and Humanities (Wissenschaftsrat) also emphasizes the fact that the doctoral researcher's own contribution must also be apparent in a publication-based dissertation (dealt with at the MNF by means of the candidate's declaration of own contribution to the publications).

The MNF concurs with the German Council of Science and Humanities in that a purely additive dissertation text, in which individual publications are merely assembled, will generally be rejected.

*Principally, **cumulative dissertations** must also contain a substantial element of work that extends beyond what has already been published and contains connecting elements (introduction, connecting passages, methods section, comprehensive presentation of underlying data material, categorization of the research issue and contextual coordination between the articles).*

For cumulative dissertations, in publications with multiple authors, the doctoral researcher's **own contribution** must be **specified** in writing by the supervisor. There is no faculty standard on the number of first authorship required. The assessment,

whether requirements of a cumulative dissertation have been met, is made by the doctoral supervisor, considering the above-mentioned regulations regarding publications.

- c. A **combination dissertation** is a monograph that contains e.g. one or two articles previously published (with DOI) or submitted in peer-reviewed journals or book publications. In the case of publications, the candidate's own contribution is to be clearly distinguished in a separate declaration. As explained above in the combination dissertations the publications must be incorporated into the dissertation itself and not merely be presented as an additional element.

4. **The doctoral dissertation may be submitted in German or English. An abstract in German and English of about one page has to be included.**

5. **The application for admission to the doctoral examination procedure** (see shortcuts: Form: Registration for the disputation[-Zu]) has to be submitted by uploading to the cloud (link as shown above)

- a. and also **four bound** copies by post or intern post (for the Dean's Office, the examiners and the Chairperson of the Examination Committee, **the 4th and all additional examination committee members are to be independently provided with a copy by the doctoral researcher**);

The paper copies (and also the uploaded copy) **must include a bound, signed statement** confirming the following:

- i. that apart from the supervisor's guidance the content and design of the paper is all the candidate's own work;
- ii. whether the thesis has already been submitted either partially or wholly as part of a doctoral degree to another examining body and whether it has been published or submitted for publication;
- iii. that the thesis has been prepared with regard to the Rules of Good Scientific Practice of the German Research Foundation;
- iv. whether an academic degree has ever been withdrawn;

Please also refer to the following document for details on this subject:

Information sheet on the publication of dissertations of the Faculty of Mathematics and Natural Sciences, no. 4d;

- b. a brief description of the applicant's **academic career** including nationality, degree program and number of semesters spent at individual universities (does **not** have to be bound in the thesis – the Dean's Office requires one copy [-ZuCV]);
- c. **all documents** proving the required studies like the associated certificates and any other certificates of institutions of higher education; these have to be uploaded as scans [-ZuN] and also be mailed via post as certified copies. Uncertified copies can be sent, if the original certificate is gained at the MNF Kiel;
- d. a **current certificate of good conduct** for presentation to the authorities, purpose of use: doctoral degree (no more than 6 months old, to be applied for at the Bürger- und Ordnungsamt of the community you are registered (previously: Einwohnermeldeamt)) to be sent to the address below and
- e. two **possible second referees** proposed by the supervisor (see: Shortcut Form: Vorschläge Zweitgutachten [-ZuG])

- f. a letter on the doctoral researcher's own contribution to publications included in the thesis that are the work of several authors. This letter has to be signed both by the supervisor and the doctoral researcher him/herself [-ZuE]
6. The **application for admission to the doctoral examination procedure** will be checked for completeness before requesting a report the two co-referees. These reports should be completed within **6 weeks**. Shorter timeframes are permitted, provided the candidate has agreed this with the persons preparing the report. The candidate is informed via e-mail about the admission to the doctoral examination procedure.
 7. **Following the receipt** of the reports, the dissertation is exhibited to public for **one week** (during the lecture period) or **three weeks** (outside of the lecture period) in the Dean's Office for inspection. The exhibition period is usually announced on **Mondays or Fridays**.
 8. The candidate is responsible for organizing the examination (date, venue and the examination committee including the chairperson (see § 15 **Doctoral Degree Regulations**)). If the date and examination committee is not yet determined upon submission of the application, the candidate is to communicate this information within the same time frame as the examiner – however, to ensure timely invitation, by no later than 14 days prior to the respective date. Participation of attendants via video has to be indicated in advance. Exceptional cases may have reason to apply for a disputation via a conference in the net (**BigBlueButton or DFNconf-Service**).
 9. About one week before the date of the disputation the candidate gets an invitation via mail that has to be confirmed with the Deans Office.
At the same time the committee is also invited by the Deans Office.
 10. The examination documents will be delivered to the Chairperson of the Examination Committee by the Dean's Office/main.
 11. The **oral examination** is performed as a **disputation**.
The candidate may choose whether to conduct the disputation in German or English.
 12. The **disputation is open to the university public**. An application to exclude the university audience must be well-grounded. ("I do not have the confidence for it" or "I am nervous" are no acceptable reasons.)

Please respect the effective regulations: <https://www.mnf.uni-kiel.de/de/corona-pandemie> .
Since the 1.06.2020 the disputations are formally open to university public again.

- With regard to the above-mentioned regulations public can only participated via net.
- With regard to the tight regulations concerning data protection the use of Zoom or Skype is forbidden. Only BigBlueButton or DFNconf-Service may be used.
- Together with the announcement that the thesis is on display also the date and time of the examination is announced by Mrs Koberg. Thus, persons that are interested to join the disputation as audience have the possibility to register.
- The candidate submits the list of the designated audience to the chairman of the disputation. Only staff members and students of the Kiel University or e.g. the cooperation institute (GEOMAR, MPI, etc.) can participate but no relatives and/or friends not belonging to this group.
- The candidate him/herself is responsible for the technical performance.

- This procedure is valid starting 01.06.2020. To exclude the public audience a request has to be sent by mail or in writing to the responsible representative of the Dean (Prof. Dr. H. Kersten).
- In advance of the disputation the names of the participating audience must be checked against the designated persons on the list.
- Only transmission of the dissertation lecture and the corresponding exam is allowed, but not the counseling session of the commission. Recording of the disputation is prohibited.

13. In the **disputation** or **defense of the doctoral dissertation** the candidate has to perform a lecture presenting his/her research work lasting about **30 minutes** and prove his/her knowledge in a subsequent **discussion** with the Examination Committee **on the topic of the dissertation and related fields** lasting between **45 and 60 minutes**.

14. To the **Final Grade** the dissertation adds with 60 % and examination with lecture and defense of the thesis adds the remaining 40 %.

15. Since at the end of the disputation it is decided whether the dissertation is **ready for publication**, the candidate should request at this stage whether this is the case.

16. A dissertation acknowledged as ready for publication should be supplied to the faculty and **published** appropriately **within one year** after the oral examination. This requirement is regarded as met once the author delivers the copy required for the examination to the Deans Office and in addition copies or files to the University Library free of charge in one of the below explained modes:

a. two copies if the thesis is simultaneous published in generally accessible electronic media via the University Library (in this case the files submitted to the University Library must be formatted in accordance with the library's specifications) or via an appropriate [Preprint-Server](#) (in general for monographs),

or

b. four copies, if the main parts of the work are published in a journal (which is usually the case for cumulative dissertations),

or

c. two copies, if a commercial publisher will distribute the dissertation via book trade and evidence is provided of a minimum edition of at least 150 copies,

or

d. 40 copies in printed or photocopied format for the purpose of distribution.

After publication, no subsequent changes or extinctions can be made.

The type of submission is also binding once selected and cannot be changed subsequently.

Please also refer to the following document for details on this subject:

[**Information sheet on the publication of dissertations of the Faculty of Mathematics and Natural Sciences**](#)

18. The **receipt from the University Library** and one of the following documents are required by the Dean's Office **prior to the issue of certification**.

a) in the case of electronic publication, the **dissertation publication form**

or

b) in the case of cumulative dissertations that are not published electronically, a **letter from the supervisor confirming publication of the essential elements of the work in journals**

or

c) in the case of publication by a publishing house, a **copy of the publishing contract**

or

d) in case of the delivering of 40 paper copies only the receipt from the University Library

19. If the dissertation is **not ready for publication** at the time of the defense (disputation) the supervisor informs the Dean once it is ready (this may also be communicated by e-mail).

In this case, an **extra** copy for the Dean's Office is to be enclosed with the copies for the University Library.

20. The **doctoral degree certificate** will be presented to the doctoral researcher by the Dean in line with an **award ceremony** generally held once a semester. Upon request, the certificate can also be issued in the Dean's Office after meeting all the above obligations.

Once the candidate has received the doctoral degree certificate, he/she is **entitled** to hold a doctoral degree title. Up to this point, the candidate is not permitted to use the doctoral degree title in any form.

www.studservice.uni-kiel.de/sta/promotionsordnung-mathematisch-naturwissenschaftliche-und-technische-fakultaet.pdf

Address for certificate of good conduct:

Dekanat der Mathematisch-Naturwissenschaftlichen Fakultät
z. Hd. Gesa Koberg
Christian-Albrechts-Universität Kiel
24098 Kiel