

CHECKLIST

with important instructions on the doctoral degree procedure and the defence of the doctoral dissertation (disputation) at the Faculty of Mathematics and Natural Sciences of Kiel University

Reference: [Doctoral Degree Regulations](#) dated 09.08.2018

To avoid any confusion with regard to the doctoral degree regulations during the disputation process, the most important points are summarised in this leaflet.

1. The [application for acceptance as a doctoral researcher](#) (see shortcuts → Form: Acceptance as a doctoral researcher) in the list of doctoral researchers must be submitted **before** starting any work on the dissertation. Ms Gisela Günther and Ms Gesa Koberg process these applications.
2. The [supervision agreement](#) (see shortcuts → Form: Supervision agreement)
With regard to inter-faculty doctoral degrees, upon commencing work the thematic link to the Faculty of Mathematics and Natural Sciences (MNF) will not yet have been conclusively determined. At a later date it may become clear that the work does not fall within the thematic remit of the MNF. To avoid any delay for the doctoral researcher, the following procedure applies.
Should it become apparent that the dissertation is not thematically allocable to the MNF, an alternative faculty must be chosen.
Thematic allocation to the MNF is to be demonstrated by no later than 1 year prior to submission of the dissertation (see Section 10 (1) → Summary of the dissertation and opinion of the supervisor). Insofar as an inter-faculty doctoral degree is founded on a non-mathematic/natural science qualification, please also refer to Section 7 (1) 5 of the Doctoral Degree Regulations.
The supervision agreement is to be enclosed with the application for acceptance as a doctoral researcher.
3. The **dissertation** can be produced as **a monograph, cumulative dissertation or** as a **combination of both**.
 - a. The **monograph** represents a comprehensive unitary study of a research topic. It does not contain any articles published in journals or chapters from books. A dissertation will also be classed as a monograph where the development of publications from the monograph is envisaged at the time of submission. A monograph is structured as follows: introduction, material and methods, results, discussion, bibliography and appendix.
 - b. A **cumulative or publication-based dissertation** draws on previously published articles in peer-reviewed journals or book publications. In a technically diverse faculty such as the MNF, setting a standard on the number of articles is difficult. A cumulative dissertation should not be any less challenging or simpler than a monograph but is, however, intended to afford the doctoral researcher scope to present their research at

an earlier stage on a national and international level and enable discussion of such. In the case of the MNF, a cumulative dissertation must contain at least 3 articles in peer-reviewed journals, with at least 2 having been previously published (i.e. a DOI can be quoted). 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 emphasises 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). In its approach, the MNF concurs with the German Council of Science and Humanities in that a purely additive dissertation text, in which individual publications are merely compiled, will essentially 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, categorisation 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, if the conditions for a cumulative dissertation have been met, is made by the doctoral supervisor, taking into account the above-mentioned requirements 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. Similarly, in the case of combination dissertations the publications must be incorporated into the dissertation itself and not presented purely as an additional element.
4. The doctoral dissertation may be written in **German or English**. It should contain a one page **abstract** in **German and English**.
 5. The **[application for admission to the doctoral examination procedure](#)** (see shortcuts: Form: Registration for the disputation) must include:
 - a. **four** copies of the dissertation (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**);
including 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 subject to the Rules of Good Scientific Practice of the German Research Foundation;
- iv. if 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 outline of the applicant's **academic career** including details of nationality, degree programme and number of semesters spent at individual universities (does **not** have to be bound in the thesis – the Dean's Office requires 1 copy);
 - c. **supporting documents** for the required studies with the associated certificate and any other certificates of institutions of higher education; either as certified copies or as uncertified ones, if the original certificate is presented in the Dean's Office;
 - d. a **current certificate of good conduct** for presentation to an authority (address: see below), purpose of use: doctoral degree (no more than 6 months old, to be applied for at the Bürger- und Ordnungsamt (previously: Einwohnermeldeamt) and
 - e. two **persons suggested** by the supervisor as the **possible second examiner**; Form „Zweitgutachten“ (see shortcuts) with two supervisor's suggestions concerning possible second reviewers
 - f. **two copies** of a letter written by the supervisor on the doctoral researcher's own contribution to publications that are the work of several authors.
6. Following submission of the **application for admission to the doctoral examination procedure** to Ms Gisela Günther or Ms Gesa Koberg, a report will be requested from the first examiner and the second examiner. These reports should be completed within **6 weeks**. Shorter timeframes are permitted, provided the candidate has agreed this with the persons preparing the report.
 7. **Following receipt** of the reports, the dissertation is exhibited 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 organising the examination (date, venue, Examination Committee including chairperson and **collection and return of examination documents at the Dean's Office**). Where the date and Examination Committee have not been determined upon submission of the application, the candidate is to communicate this information within the same timeframe as the examiner – however, to ensure timely invitation, by no later than 12 days prior to the respective date.
 9. Approximately one week prior to the defence of the doctoral dissertation (disputation) the candidates receive a written invitation. Confirmation of receipt must be returned to the Dean's Office.

The Examination Committee will also receive an invitation from the Dean's Office.

10. The examination documents must generally be delivered **two days prior to** the disputation to the Chairperson of the Examination Committee and returned to the Dean's Office/main gate immediately after the disputation on the same day.
11. The **oral examination** is carried out in the form of 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 not acceptable reasons.)
13. In the **defence of the doctoral dissertation (disputation)**, the examination shall consist of a **presentation** of the dissertation by the doctoral researcher lasting around **30 minutes** and a subsequent **discussion** between the doctoral researcher and the Examination Committee **on the topic of the dissertation and related fields** lasting between **45 and 60 minutes**.
14. In the **overall grade** the dissertation is worth 60% and the disputation is worth 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 that is acknowledged as ready for publication should be supplied to the faculty and **published** appropriately **within one year** of the oral examination. This requirement is regarded as met once the author delivers the following in addition to the copy required for the examination files free of charge:
 - a. two copies with simultaneous publication in generally accessible electronic media via the University Library (in this case the files to be 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),
 - b. four copies, if the main parts of the work are published in a journal (which is usually the case for cumulative dissertations),
 - c. two copies, if a commercial publisher will distribute the dissertation via the bookselling 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 erasures 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](#)

17. The **receipt from the University Library and**

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 primary elements of the work in journals**

or

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

are required by the Dean's Office **prior to the issue of certification.**

18. If the dissertation is **not ready for publication** at the time of the defence (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.

19. The **doctoral degree certificate** will be presented to the doctoral researcher by the Dean within the scope of 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 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