

Legal note: This English translation is for your information only. The legal basis is the original German text.

**Implementation regulations for the PhD regulations of the
Biological-Pharmaceutical Faculty of FSU Jena**

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Application for admission to PhD programme

at the Faculty of Biology and Pharmacy

Subject:
.....
.....

Institute:

Supervisor:

Jena,
Signature of the supervisor

1. Personal data

Surname: First name:

Name at birth: Birthday: Birthplace:

Marital status: Citizenship:

Address:
.....

2. Details of the university education

from - to	Name of the university	Field of studies
.....
.....
.....
Graduated as:		Overall score:

Jena,
Signature of the applicant

- Annexes:
Curriculum vitae
Authenticated copy of certificate University degree
Copy of ID card
Printed data sheet doc-in

(please fill in on computer)

.....,

Place date

Application for the opening of a doctoral procedure (according to the PhD regulations 2013)

**To the dean
of the Faculty of Biology and Pharmacy
Bachstr. 18k
07743 Jena**

Based on the attached scientific paper (dissertation):

I apply for the opening of the doctoral procedure for the award of the academic degrees:
Dr. rer. nat. / PhD (Delete as appropriate)

.....
Signature of the doctoral candidate

Inform the supervisor (can also be done by e-mail):

.....
Name and signature of the supervisor

Please check the appropriate box:

- publication-based dissertation
- non-publication based dissertation

Requested field of study for the doctorate (see Annex 1):

(Optional:) Proposals for assessors (not two members of the same working group)

Internal: _____

External (including address, country, if assessor has declared readiness) Please name replacement assessor!

Personal information

Telephone: _____

Email: _____

Surname: _____

First name: _____ Citizenship: _____

Date of birth: _____ Place of birth: _____

Position: _____

Employer/Institution: _____

Address of the institute: _____

Home address: _____

School education

Matriculation examination (A-levels): _____
(educational institution, place, date)

Other final school exams: _____

Previous academic degrees:

Supervising university lecturers during the PhD process:

(Optional) Registered as a doctoral/graduate student at FSU since:

Explanations: The decision of the Faculty Council to open the doctoral procedure will be communicated to the candidate in writing. A justified objection can be filed with the Dean (according to § 19 PromO).

The dissertation in electronic form on CD will only be deposited in the faculty (and not published on the Internet) in order to be able to conduct plagiarism tests if necessary.

General guidelines for the layout of the dissertation

The rules formulated in this section apply to both publication-based and continuously written dissertations.

The layout of the front page is regulated by Annex 2. The format of the dissertation text is A4. The dissertation may be printed on one or both sides and must be firmly bound. In addition, the dissertation must be submitted in electronically searchable form on CD-ROM. This will be deposited in the dean's office for possible plagiarism checks.

The introduction should not be less than five pages, a guideline is 10 pages. It should also introduce readers not familiar with the topic and, for specialists, present the current state of the literature on the topic and outline the goal and task of the work.

The work must comply with good scientific practice according to DFG guidelines. In case of questions regarding the citation of the results of other authors, the supervisor or, if applicable, the dean's office should be consulted.

Citation should preferably be by name (e.g. "Miller et al., 2000; Smith, 2002"), but numerical citation is also possible (e.g. "[4, 7-9]").

Theses are the 3-10 core statements of the dissertation that have contributed to the development of the subject area as well as, if applicable, further hypotheses that can be derived from the work. They serve as a basis for the critical discussion in the disputation. The theses should be formulated as numbered simple statements and printed on an A4 page.

Implementation regulations for publication-based dissertations (for § 8 (3) of the PromO)

1. Definition

A publication-based dissertation is considered to be a dissertation if the results of the doctoral thesis are not presented in the form of a continuous writing (thesis), but in the form of a collection of usually several publication manuscripts. For a publication-based dissertation, at least one original publication for a scientific journal with the doctoral candidate as first author must be accepted for publication. Further manuscripts may already have been published, accepted for publication or submitted to journals for review. Shared first authorships are permitted. Further manuscripts can be original publications, book contributions or review articles. The dissertation may be based on a single outstanding original publication with the doctoral candidate as first author. Manuscripts in English and German can be mixed. The manuscripts must be closely related to the subject matter of the dissertation and must be linked by a superordinate question identified by the topic of the dissertation. Publications which primarily represent results of the final thesis of a doctoral student's studies preceding the doctorate cannot be part of a publication-based dissertation.

2. Formal structure

A publication-based dissertation must be submitted in bound form, in which all parts have been copied to DIN A4 page format, regardless of the print format of the original publications. The pages must be numbered consecutively, the page numbering of published manuscripts must also be printed.

A publication-based dissertation consists of the following parts:

a. Front page

The first page is a cover page according to Annex 2 of the PromO.

b. Table of contents

The page numbers in the table of contents refer to the consecutive page numbering in the thesis. Included manuscripts are listed like chapters with a page number only for the title page. In the case of manuscripts which have not yet been published, the processing status at the time of submission of the dissertation must be shown, whereby the following four categories are permitted:

- accepted for publication in journal/book
- in revision for magazine/book
- in review by magazine/book
- in preparation.

Further material from the doctoral thesis that is not intended for publication can be presented in separate chapters.

c. Introduction

The introduction refers to the entirety of all manuscripts and is of great importance for the review of a publication-based dissertation. It must make it clear by which overriding question the individual manuscripts are connected and which aspects are to be covered by the individual manuscripts. The introduction should not be less than five pages long.

d. *Overview of the Manuscripts*

All manuscripts that are part of the dissertation must be listed with the author's name, title and information on the state of completion. The following information is required:

- published manuscripts: complete reference
- accepted manuscripts: Journal or book, date of acceptance confirmation
- submitted manuscripts: Journal or book and date of receipt
- Manuscripts in preparation: planned place of publication.

For each manuscript a short summary (2 - 3 sentences) is to be prepared, from which the contribution to the overall question can be seen. In the case of manuscripts with several authors, the respective own contribution in terms of content and scope (in percent) must also be shown, which must correspond to the explanations in accordance with Item 3 of these Implementation Provisions for the publication-based dissertation.

e. *Manuscripts*

Manuscripts contained in the dissertation which have already been published must correspond completely in form and content to the original publication. Manuscripts in preparation must be printed in manuscript form.

f. *Final Discussion*

The final discussion refers to the entirety of all manuscripts and chapters. It is of central importance for the review of a publication-based dissertation and must bring together the individual results of the manuscripts. In particular, it has to be conclusively presented what the manuscripts contribute to answering the question posed by the topic of the dissertation and formulated in the introduction. Furthermore, the methodology used must be discussed in a comprehensive way. Finally, the contribution of the work to the progress of science has to be described. The overall discussion should cover more than eight pages.

g. *Summary in English and German*

A summary in both English and German is a normal part of every dissertation. The summary must also present the most important points of the introduction and the overall discussion.

h. *Bibliography*

The complete bibliography contains all publications cited in the dissertation.

i. *Independence statement*

A declaration of independence must be made according to the requirements of the PromO.

j. *Tabular curriculum vitae*

A curriculum vitae in tabular form must be attached in accordance with the requirements of the PromO.

k. *Annexes*

The thesis can be supplemented by additional documentation material (e.g. original data, statistical test results, model structures, maps, etc.)

3. Information on own contribution

In the case of publications by several authors, the doctoral candidate's own contribution is of decisive importance for the evaluation of the dissertation. In such cases, the candidate's own contribution must therefore be shown for each manuscript in terms of its exact content and scope. The personal contribution for all manuscripts can be listed on a common page. The division must be confirmed by the supervisor of the dissertation by signature.

4. Verification of compliance with the implementing rules

The doctoral candidate is responsible for compliance with the implementation regulations. The proper form of a publication-based dissertation is checked by the Vice-Dean before the opening of the procedure.