

## Resolutions on matters concerning doctoral studies

(Doctoral Committee 29.01.2013/ 01.02.2018, Faculty Council 26.03.2013/ 19.02.2018)

Apart from the Doctoral Regulations still valid for all faculties of natural sciences (Doctoral Regulations of the Mathematics-Natural Sciences Faculties of Goethe University Frankfurt of 26 May 1993), which set out the main rules for doctoral studies, the following resolutions that were not governed by the new Framework Doctoral Regulations apply for doctoral candidates at Faculty 14:

### 1. Admission of graduates from universities of applied sciences:

In order for particularly well-qualified graduates from universities of applied sciences to be admitted to doctoral studies, the following conditions must be fulfilled:

1. A university lecturer at the Faculty must be willing to supervise the doctoral research project (in accordance with § 4 Paragraph 2 of the Doctoral Regulations).
2. Only “internal” doctorates are permitted, i.e. the graduate must produce his/her thesis in a working group at Faculty 14.
3. The graduate must produce evidence (either the original or a certified copy) of a completed diploma or Masters degree at a university of applied sciences in Biochemistry/Chemistry or a neighbouring subject with a final overall grade of at least “Good”.
4. The graduate must also produce a reference issued by the professor at the university of applied sciences who supervised the thesis and which attests to his/her capacity to produce a thesis.
5. The graduate must additionally produce a positive reference from a full-time professor at the Faculty confirming his/her basic ability for scientific work.

The Doctoral Committee decides on the basis of the graduate’s academic achievements so far, the references and an assessment test on his/her admission as doctoral candidate and any additional attainments required.

### 2. Admission to doctoral studies in the case of long study times

If the standard period of study until the applicant qualified in the subject in question was exceeded by more than 4 semesters of study, he/she is obliged to justify the reasons. The Doctoral Committee decides whether his/her application is rejected or whether he/she can be admitted subject to certain conditions. In the event of conditional admission, the doctoral candidate is assigned an additional supervisor from amongst the university lecturers who are members of the Doctoral Committee, to whom he/she must report once a year on the progress of his/her doctoral research project and who in turn reports to the Doctoral Committee.

### 3. Admission to doctoral studies involving recognition of foreign higher education qualifications

The International Office is responsible for the recognition of foreign higher education qualifications. After it has inspected the documents, these are returned to us with the following remarks and we proceed as follows:

Direct admission	Application for admission as doctoral candidate is signed by the chairperson of the Doctoral Committee (in this case the Dean)	Admission is granted
Conditional admission / assessment test	Application is forwarded to the respective Teaching and Studies	Provisional acceptance and monitoring of whether the

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	Commission which decides on the conditions to be fulfilled	conditions are fulfilled (by Monika Binkowski, Doctoral Studies Examination Office)
No admission possible		The chairperson of the Doctoral Committee issues a written rejection

#### 4. Thesis

In the thesis to be submitted (this also applies for theses by publication), the main cooperation partners must be referenced on a page shown separately in the index. You can find instructions in Appendix 1 “Suggestions for declarations” on how to compile this list. Copyright rules must be respected when using or reproducing already published texts, illustrations and tables.

In addition to the publications, a thesis by publication should include a 20 to 30-page introduction that includes theoretical background, a discussion of previous pertinent papers and a presentation of the hypotheses to be tested.

In the 20 to 30-page main part of the thesis, the results of the work should be presented and the connection between the individual publications explained. In addition, this part of the thesis should discuss the results and draw conclusions for future research work.

Also required are:

- A 5-page summary in German if the thesis was written in English
- A short overview of the contribution made by the author/authoress to the individual publications (1-2 pages)
- Curriculum vitae

In order to have such a thesis by publication approved, the doctoral candidate must send a letter to the Examination Office (Monika Binkowski) before compiling the thesis, in which he/she applies for a thesis by publication. The letter must include the list of publications (title/author/place of publication), a presentation of the candidate’s own contribution to the publications and the publications themselves as a PDF. In addition, the supervisor must confirm his/her consent through his/her signature (both supervisors in the case of a thesis produced outside the University).

<http://www.uni-frankfurt.de/fb/fb14/download/CumulativeThesissenglish.pdf>

#### 5. Supervisors/Reviewers/Examining Board

	<b>Doctorate supervision/Reviewer</b>	<b>Participation in an examining board</b>
<b>1. Professors in active employment at the University</b>	Yes	Yes
<b>2. Assistant professors</b>	Yes	Yes (max. 1 assistant professor per examining board)
<b>3. Early career researchers with peer review procedure (e.g. Emmy Noether, Heisenberg Fellowship,</b>	Yes	Yes (max. 1 member from the named group per examining board)

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<b>etc.) at Faculty 14</b>		
<b>4. Private lecturers who are affiliated to the Faculty</b>	Yes	Yes (max. 1 private lecturer per examining board)
<b>5. Emeritus, retired, honorary and adjunct professors</b>	Upon individual request! Only with a second reviewer from the respective subject	Yes, if supervisor or reviewer (max. 1 member from the named group per examining board)
<b>6. Private lecturers who are not affiliated to the Faculty</b>	Upon individual request! Only with a second reviewer from the respective subject	Yes (max. 1 private lecturer per examining board)
<b>7. Researchers who hold a doctorate but no post-doctoral lecturer qualification (Habilitation)</b>	Upon individual request! Only with a second reviewer from the respective subject	Yes (second reviewer chairs the examining board)

The doctoral candidate applies in writing for the oral defence. The corresponding form must also be used to apply for the other reviewer, who must be approved by the Dean. The same applies for the Examining Board, which includes two further members in addition to the reviewers. The doctoral candidate must nominate four further persons in addition to the reviewers. The Dean decides on the composition of the Examining Board.

The Examining Board must include at least two professors who are members of the Faculty. At least one of them must be a professor in active employment at the University. At least one of the examiners should not, as far as his/her area of specialisation is concerned, belong to the department or institute at which the thesis was produced. The chairperson of the Examining Board must be a member of the Faculty. He/she leads the discussion and ensures that each of the examiners is allowed the same amount of examining time. As a rule, the chairperson is the supervisor; in the event that he/she does not hold a post-doctoral lecturer qualification (Habilitation), the second supervisor is the chairperson. The other reviewer records the minutes, provided that he/she is a member of the Faculty.

#### **6. Oral defence:**

Upon application and if all examiners agree, the oral defence can be held in English. Languages other than German and English are not permitted. The application must be submitted in writing to the chairperson of the Doctoral Committee.

Comments gathered during the circulation of the thesis are to be included in the Examining Board's decision; it remains, however, at the Examining Board's discretion which consequences are drawn from them. In the event of objections, the Doctoral Committee is entitled to allow a professorial member of the Doctoral Committee to attend the oral defence.

The oral defence should be recorded in such a way that it is clear which examiner asked which question.

The oral defence should not last less than one hour.

#### **7. Awarding of grades:**

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Outstanding doctoral candidates whose thesis is to be awarded the grade of **“With distinction”** should have presented themselves to the public before the oral defence, e.g. by giving a lecture in the framework of a Research Training Group. Key parts of the thesis should be documented in publications, at least one first author publication must have been published or proof produced that it has been accepted for publication. The status of submitted first author papers is verified in the framework of the oral defence.

In cases where doctoral studies have lasted more than 4 years, the grade of “With distinction” should not be awarded. Deviations from this rule must be justified with sound reasons in the reviews.

If both reviewers have graded a thesis as “With Distinction”, a third review must be obtained in addition. The supervisor nominates at least three persons as **external independent reviewers**. The first reviewer must first of all exclude any bias on the part of the reviewer. The Dean selects an external reviewer, where appropriate in consultation with the supervisor. To accelerate the procedure, the third review should already be requested when the reviewer who is a member of the Faculty awards the grade of “With Distinction”. **All** reviewers are automatically members of the Examining Board.

**“Very Good”** can only be awarded if the candidate has not been engaged in the doctoral examination procedure for more than 5 years. The documents submitted should include proof of at least one publication (as first author) accepted for publication. Deviations from this rule must be justified with sound reasons in the reviews. The status of submitted first author papers is verified in the framework of the oral defence.

The **duration of a doctoral research project** should not exceed 6 years. After this time limit, the supervisor must explain to the Doctoral Committee why the end of the project is delayed.

## **Suggestions for declarations to be included in the PhD thesis**

### **Background:**

1. Many research projects involve scientific collaborations and these can have many facets including, for example, assistance with theoretical/experimental aspects of the work, provision of samples for experiments described in the thesis or generation of data from samples provided by the author of the thesis. Such contributions should be recognizable and explicitly defined in the thesis. Please note, scientific collaborations are different from paid-for services (e.g. protein analytics). The latter should be mentioned in the Materials and Methods section. If in doubt about what should be included in your declaration, please consult your thesis supervisor(s).
2. In many cases, (part) of the data presented in the thesis will have been published already in the form of figures, tables and/or text. Noting that a PhD thesis is also a publication, it is imperative that copyright permission is obtained and cited for these items and, where applicable, co-author agreements are accessible.

### **Option 1: Thesis consists solely of work generated by the doctoral candidate und supervision of his/her advisors**

Please use the following format for the declaration:

Except where stated otherwise by reference or acknowledgment, the work presented was generated by myself under the supervision of my advisors during my doctoral studies.

Whenever a figure, table or text is identical to a previous publication, it is stated explicitly in the thesis that copyright permission and/or co-author agreement has been obtained.

The following parts of the thesis have been previously published:

- Chapter "XYZ"
- Figure(s) "XYZ"
- Table(s) "XYZ"

### **Option 2: Thesis contains collaborative work**

Please use the following format for the Declaration:

"Except where stated otherwise by reference or acknowledgment, the work presented was generated by myself under the supervision of my advisors during my doctoral studies. All contributions from colleagues are explicitly referenced in the thesis. The material listed below was obtained in the context of collaborative research:

Fig. X: title, collaboration partner (name, institution), his/her contribution, my own contribution

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Table X: title, collaboration partner (name, institution), his/her contribution, my own contribution

- other contributions e.g. text or equations

Whenever a figure, table or text is identical to a previous publication, it is stated explicitly in the thesis that copyright permission and/or co-author agreement has been obtained.

The following parts of the thesis have been previously published:

- Chapter "XYZ"
- Figure(s) "XYZ"
- Table(s) "XYZ" "