



Information Sheet for Doctoral Candidates on the Doctoral Procedure at the Faculty of Science

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1. Possible Fields for Your Doctorate

At the Faculty of Science, you can obtain a doctoral degree in Natural Sciences (Dr. rer. nat., or in some cases Dr. phil. when focus rather on social sciences or humanities) in the following fields of study

- Archaeological Sciences and Human Evolution
- Biochemistry
- Bioinformatics
- Biology
- Chemistry
- Cognitive Science
- Computer Science
- Didactics
- Environmental Science
- Geography
- Geoecology
- Geosciences
- Mathematics
- Medical Informatics
- Pharmaceutics
- Physics
- Prehistory and Early History
- Psychology
- Soil Science

The prerequisite for each doctoral candidate is the acceptance by a full-time professor in the department of doctoral studies. This professor will act as your prime supervisor (mentor). You need a second supervisor as well, who can also be a HAW-professor who teaches at a polytechnic college, junior professors, retired professors, assistant professors, honorary professors, or visiting professors.

2. Acceptance as a Doctoral Candidate

If you intend to do a doctorate at our faculty, you should submit an application for acceptance as a doctoral candidate at the beginning, but in any case, within the first year of your doctoral studies. Please note:

1. When deciding on the application for acceptance, the doctoral office will check whether the admission requirements according to § 3 PromO are met, whether a knowledge or aptitude assessment procedure may be necessary and whether a foreign degree is recognized.
2. Only if you have been accepted by the faculty as a doctoral candidate you can enrol as a doctoral student at the Student Administration.

Please find the **Application for Acceptance** including the **Supervision Agreement** in our download section online. Please also attach a certified copy of your diploma/certificate and a copy of your identity card/passport to your application and let your supervisors sign the supervision agreement. If you would like to have an official third supervisor, please submit a short letter of justification. Instead of officially certified copies, you can bring normal copies and present the original documents. Diplomas and certificates can also be certified by the Dean's Office.

You do not have to submit the form regarding TAC meetings together with the application to the doctoral office. This is only intended as an indication. It is recommended that all doctoral students organise regular TAC meetings (e.g. once a year).

Important: Please inform us promptly of any changes to your address or name and, if necessary, provide appropriate proof.

HAW-Graduates of polytechnic colleges and cooperative education Universities with corresponding diplomas, as well as graduates with a bachelor's degree of a 3-year bachelor program must attach a written confirmation of the institution where they were enrolled at the time of their graduation, confirming that they were among the 10% of the best students of their graduating class.

In case of foreign degrees, a transcript of records of all degrees (Bachelor's and Master's) and an officially certified translation of the certificates should be enclosed (a translation is not required if the documents are in English or French). Depending on the focus/content of the degree program, the Postgraduate Affairs Board may require the completion of additional coursework in the first semesters of the doctorate.

The doctoral candidate receives a **written letter of acceptance**. If a decision by the Postgraduate Affairs Board is required, it usually takes a few weeks before you receive the decision. With this letter of acceptance, it is possible to enrol at the Student Administration Office. Due to LHG § 38 (5) doctoral students must be enrolled as regular students. In case of an official employment at the University of Tübingen, doctoral students can ask for an exemption from these obligations. A corresponding application can be found on the webpage of the Student Administration Office.

3. Change of Supervisor or Doctoral Subject

It is possible at any time to change a supervisor. All involved persons must agree on the change. Please hand in the form "application for acceptance as doctoral students" again with your new supervisor and put a note on it, saying that this is not a new application but a supervisor change.

In principle, it is possible to change the doctoral subject. In this case, please complete the application for acceptance again and submit it to the doctoral office signed and with a note that it concerns a change of doctoral subject. Please note that a change of doctoral subject will affect the possible supervisors and reviewers as well as the composition of your examination committee. In addition, if you change your doctoral subject, your degrees must be checked again to ensure that they match your subject. At this point, there may also be subsequent

requirements regarding courses that still need to be attended. The representatives of the Postgraduate Affairs Board may decide on this. Please discuss a possible change with the staff at the doctoral office in advance.

Departure of the supervisor

If a supervisor leaves the University of Tübingen during the doctoral period, there is a transition period of 2 years during which the person may continue to act as an internal reviewer or examiner. The doctorate should be completed during this period. Alternatively, a change of supervisor is also possible.

4. Doctoral Supervision

Persons without the title of professor or PD are generally not authorized to supervise doctorates. If the doctoral candidate is financed by his/her own funds, the right to supervise doctorates can be applied for at the Doctoral Office. A case-by-case assessment will be carried out and a decision made by the Postgraduate Affairs Board. Persons from foreign universities are authorised to act as supervisors or examiners if they hold this right at the foreign university. A corresponding certificate from the university must be submitted if the qualification cannot be derived from the person's academic title.

5. Admission to the Doctoral Examination Procedure

As soon as the dissertation is completed, the doctoral candidate needs to apply for admission to the doctoral examination procedure at the Dean's Office. Please find the **Application for Admission to the Doctoral Examination Procedure** in our download section online. There you will also find all the other documents and forms you need to attach. The certificate of conduct should be sent to the Dean's Office (Promotionsbüro MNF, Auf der Morgenstelle 8, 72076 Tübingen). A simple certificate of conduct is sufficient (einfaches Führungszeugnis). The required declarations are all listed on pages 4-5 of the application form. Please also hand in one copy of your doctoral thesis. If all preconditions are fulfilled, you will receive an admission letter from the Dean's Office. At the same time, the report requests are sent out. On receiving this letter, please send a pdf file and a copy of your doctoral thesis to each of your reviewers (which makes a total of 3 copies you need to hand in: one for the Dean's office, two for your reviewers). If you have 3 reviewers, you will need 4 printed copies of the thesis. In the case of a Summa procedure, an additional copy may be requested from you (see below for further information on the Summa procedure).

Attention: The date for the oral exam can only be set after the doctoral candidate has been admitted to the doctoral examination procedure and once the reviewers handed in their reports. If you set a date due to personal reasons before all these requirements are met, you will do so at your own risk.

Cumulative Dissertation

In case of a cumulative dissertation, you need at least 2 accepted peer reviewed publications. It does not make a difference if you are first author or not. There are no specific standards concerning the percentage of personal contribution. The supervisors decide if the personal contribution is sufficient for a doctoral thesis or not. More information can be found in our download section under "Empfehlungen für die Anfertigung einer Dissertation als Zusammenfassung wissenschaftlicher Veröffentlichungen/Manuskripte an der MNF" (it is bilingual).

In general, reviews are not accepted as publications if there aren't any own research findings included. But it is possible to include "Systematic Reviews" in your thesis. This possibility is restricted to the following fields of studies: Psychology, Cognitive Science, Didactics, Biology, all fields of Geosciences. More information on systematic reviews can be found on our website.

If you have fewer than two accepted publications, you must write a monograph. You can also include previously published results in this monograph and refer to or quote from the publications/manuscripts and collaborative work in the appropriate places.

In some subject areas, it is also possible to submit a 'monograph including scientific manuscripts with co-authorship'. Here, individual chapters can be integrated that have been written in collaboration with co-authors and consist of (not yet published or not yet accepted) manuscripts. In this case, it is therefore possible to integrate manuscripts with co-authors (in the original form) as chapters, whereas in the case of a classic

monograph, the contents of the manuscript must be suitably formulated/cited by you in the appropriate places. Please read the corresponding information sheet in the download area.

6. Common Contributions and Publications

In case of common contributions and results within scientific collaborations are included in the thesis, a detailed explanation concerning the details of the collaboration should be made. It has to become clear who is responsible for which part of the dissertation. This can be done by tables or free explaining text (see also recommendations on webpage). All involved persons should agree to this division in advance. This survey of contributions should be integrated into the thesis so that the reviewers can read it. But it must not be part of the final publication after the defence.

Please make sure to mark carefully all the parts (segments, charts, maps, photos and so on) that do not exclusively originate from you. Please make sure to cite and list all of your sources either as footnotes or on a separate page under "Contributions".

Please note that the ZDV offers the possibility of conducting a similarity analysis for free by "turnitin" – a software to check for plagiarism. It is recommended to make use of this offer before submitting the thesis.

7. Expert Reports and Thesis Display Period

As soon as you have been accepted to the doctoral examination procedure, the Dean's Office will ask both of your reviewers to write an expert report within the time frame of 2 months. You can choose reviewers differing from your supervisors. Please discuss this with your supervisors in advance. Please be aware of the requirement that at least one of your reviewers is not a co-author of a joint publication containing results of your dissertation. If your desired reviewers do not fulfill this requirement, you can either replace one rapporteur or add another rapporteur. Please also refer to the explanations in the application for admission.

"Summa cum laude" Procedure (excellent)

If your doctoral thesis is graded as "excellent" by both supervisors, a third external supervisor will be requested to write an expert report. In this case, you will be asked to propose a third supervisor. You may be asked to submit another copy of your dissertation. Please note that the third external reviewer must not have any joint projects and publications with you and the other two reviewers/supervisors in the last 5 years (independence from reviewers/supervisors and from the doctoral project).

Display Period

As soon as all expert reports have been handed in, the dissertation will be displayed at the Dean's office for two weeks for the members of the doctoral committee and the respective department. As soon as all reports have been received and the display period begins, you will be informed by e-mail.

8. Oral Examination

The oral examination will be a scientific disputation (30 minutes talk and min. 30 minutes of discussion/questions by the examination committee afterwards). The board of examiners consists of four examiners, usually your supervisors and two additional examiners. At least three examiners should be members of the Faculty of Science, and two at least should be members of your department or the departments involved. The choice of language of your defence (German or English) is up to you. As a rule, examinations are open to the public. Exceptions must be requested from the doctoral office.

The oral examination should generally take place as an onsite examination. However, online examinations and hybrid formats are also possible and can be chosen accordingly on the application form. Please note the information sheet on online examinations in the download area.

Please note: the doctoral office cannot confirm any dates for the oral examination before admission to the doctoral procedure and receipt of all reviews. If you decide on an examination date before the start of the display period, you do so at your own risk.

Set the date for the oral examination in consultation with your examiners after the start of the display period (oral examination at the earliest one week after the end of the display period for the dissertation; in exceptional cases, a shorter processing time may be possible). The oral examination should take place no later than 6 weeks after the end of the display period. If this is not possible due to scheduling difficulties, a later date can be accepted in consultation with the doctoral office. Send the form 'Registration for Oral Examination' and a short abstract of your presentation for its announcement in German or English (see form 'Abstract' in the download) no later than 10 working days before the date of the oral examination. In any case, please also send the abstract as a pdf so that it is available in electronic form for the presentation announcement.

You and the examiners will receive an invitation to the examination by e-mail; the department will also be informed by the doctoral office.

9. Things to Know Before you Publish your Thesis (Publication Process)

You are obliged to publish the dissertation within two years of the oral examination.

Documents required for permission to print (doctoral office)

1. Declaration of Changes

The doctoral candidate must submit a written declaration (form "Declaration of Changes") to the doctoral office stating whether and to what extent the printed version deviates from the submitted version. (Content-related) deviations must be approved (usually by the main supervisor, who has also taken over reporting, see form in the download area). Please use the form in the download area. Corrections regarding the publication status of publications are considered minor corrections that do not need to be signed by the supervisor. Acknowledgements, curriculum vitae and detailed separate lists of collaborative work do not have to be published either.

2. Title Page

Please draft your title page according to our sample form online (see form "Titelblatt" in download area). The year of submission of the dissertation must be entered as the year. Please follow the instructions on the title page and title on the website. The title page needs to be approved by the Dean's Office. Please hand in the **Declaration of Changes** ("Erklärung über Abweichungen") together with your title page, otherwise, the title page cannot be approved. The approved title page corresponds to the permission to print/publish your thesis and has to be submitted at the university library. The doctoral office generally sends the corresponding approved title page directly to the university library.

Please note: If you didn't submit the form "Declaration of Changes", the title page will not be approved. Once you received the approved title page, you can proceed with printing the required copies of your thesis. Please do not print (or have printed) the deposit copies until you have received confirmation from the doctoral office that the title page has been approved.

3. Approval to Online Publication in the Event of an Embargo

Your supervisors must agree to the online publication with this form. This form must be signed and submitted to the University Library. It is possible to block access to the dissertation for 2 years. Please obtain permission for this from the Doctoral Office before submitting the form to the University Library. In exceptional cases, an extension of the blocking period is possible. You can find this form in the download area of the website of the doctoral office.

Documents required for the publication (university library)

1. Supervisor's Approval for Online Publication (if applicable)

You can find this form in the download area of the Doctoral Office website. Please sign this form and submit it to the University Library.

2. Deposit Copies of the Doctoral Thesis

Please do not print (or have printed) the deposit copies until you have received confirmation from the doctoral office that the title page has been approved. The recommended format of the deposit copies is DIN A5, printed on both sides (but this is not mandatory).

The deposit copies must be submitted together with the approved title page to the Department of University Publications/Dissertations of the University Library Wilhelmstr. 32, 72074 Tübingen. The doctoral office generally sends the corresponding approved title page directly to the university library.

The following regulations apply to the deposit copies to be submitted:

Option 1: Online Publication

With the approval of the doctoral committee (meaning your supervisors), you are able to electronically submit and publish your thesis as an **online publication** (please refer to the form "Supervisors' Approval for Online Publication" in our download section). The electronic version of your dissertation has to comply with the requirements (data format, etc.) of the library, and you have to ensure that the electronic version is identical to the printed version. Together with the electronic publication, you also need to hand in **three printed copies** of your thesis. With online publications, an embargo period up to 2 years (from the date of the oral exam) is possible. For that, please fill out option B on the form "Supervisors' Approval for Online Publication." The form "Supervisors' Approval or Online Publication" must be submitted to the University Library.

Option 2: Journal Publishing/ Publishing House

If your thesis is being published in a journal (as a whole), or if a commercial publisher takes care of the distribution via book trade and a minimum circulation of 150 copies is being ensured, you only need to hand in four copies of your thesis. Pure online publication via an external provider is also possible. In this case, individual agreements must be discussed and defined.

Option 3: Exception

It is possible to request an alternative form of publication. The doctoral examination board decides whether the request will be accepted or not. Please contact the Doctoral Office via e-mail for further information.

3. Publication Contract and Declaration of Conformity

You can find the publication contract and the declaration of conformity on the University Library website. If you have any questions, please contact the colleagues at the University Library directly (edl-publ@ub.uni-tuebingen.de).

For further information please go to:

<https://uni-tuebingen.de/en/facilities/university-library/publishing-research/dissertations/>

Please note: If you already published parts of your dissertation in journals or the like (especially in cases of cumulative dissertations), please check your contract with the publisher (or contact the publisher directly) concerning online publication. Some publishing houses reserve the right to publish within the copyright transfer agreement. Meaning, you should check prior to your publication whether you are permitted to publish online or if the rights are reserved to the publisher. In some cases, with bigger publishing companies, the right to publish can be obtained online and mostly for free. Usually, getting the approval from the publishing house is no problem, if you cite the journal as a source in your thesis.

10. Doctoral Certificate

The University Library sends a confirmation of the submission of the deposit copies and the publication to the Doctoral Office. The doctoral certificate is then issued. This can take 3-4 weeks and depends, among other things, on the current workload and the presence of the Dean and Rector. You will be notified by the doctoral office (by email) as soon as the certificate is ready. The certificate can be collected from the Dean's Office or sent by registered post. The doctoral title may only be used once the certificate has been issued. Foreign doctoral candidates automatically receive an English translation of the certificate. For German doctoral candidates, this will only be issued on special request.