

Please note: This translation is provided for information purposes only. In the event of any discrepancies between the translation and the original German version, the latter shall take precedence.

Application for entry into the register of doctoral candidates (1)

I hereby apply to be entered in the register of doctoral candidates at the Faculty of Natural Sciences and Technology at Saarland University and to be admitted as a doctoral student in accordance with Section 3 of the Doctoral Degree Regulations of the Faculty of Natural Sciences and Technology at Saarland University of **14 April 2021**.

Surname, First name(s) _____
 Nationality: _____ Date of birth: _____
 Address: _____
 Postcode, Town/City: _____
 Tel.: _____
 Email: _____

Proposed doctoral research area:

Subject area/Department in which doctoral research is to be conducted:

- Bioinformatics Biotechnology Chemistry Pharmaceutical Science
 Human and Molecular Biology Materials Science and Engineering
 Physics STEM Education in Schools – Methodology and Didactics Systems Engineering

Intended doctoral degree:

- [Doctor of Natural Sciences (fem. form / masc. form)]*
 Doktorin der Naturwissenschaften Doktor der Naturwissenschaften
 doctrix rerum naturalium – Dr. rer. nat. doctor rerum naturalium – Dr. rer. nat.
[Doctor of Engineering (fem. form / masc. form)]
 Doktorin der Ingenieurwissenschaften Doktor der Ingenieurwissenschaften
 Doktor-Ingenieurin – Dr.-Ing. Doktor-Ingenieur – Dr.-Ing.
[Doctor of Philosophy in Natural Sciences (fem. form / masc. form)]
 Doktorin der Naturwissenschaftslehre Doktor der Naturwissenschaftslehre
 doctrix philosophiae naturalis – Dr. phil. nat. doctor philosophiae naturalis – Dr. phil. nat.

- I have previously submitted a doctoral thesis for assessment and examination (date: _____) with the following result: _____ (*supporting documents enclosed*)
 I have not previously submitted a doctoral thesis for assessment and examination.

Previous university degree/qualification: _____

Obtained Please select one of the following options. _____ outside the EU / in another EU member state / in Germany

Place, Date Signature doctoral student

Please note: It is essential that students intending to pursue doctoral studies at the Faculty of Natural Sciences and Technology have adequate proficiency in German and/or English.

Declaration of consent in accordance with Sec. 4(2)(3) and 4(2)(4) of the doctoral degree regulations:

I hereby declare that I am willing to supervise the above-named candidate as a doctoral student.

Supervising member of faculty If candidate is jointly supervised:
 (Signature + stamp) Joint supervisor (optional) (Signature + stamp)

I hereby declare that I am willing to act as the academic mentor to the above-named candidate during the candidate's doctoral degree assessment and examination phase.

Academic mentor (Signature + stamp)

In order to be entered into the register of doctoral candidates, you must present all of the documents in the checklist below (see page 2)

Checklist of required documents for entry into the register of doctoral candidates

Please bring the following documents with you:

- Signed application for entry into the register of doctoral candidates (1)
- Signed supervision agreement (2) with research plan and schedule. (The plan and schedule means a project description and timeline for the first 3 years of your PhD project. There is no template.)
- Confirmation signed by the supervisor that a subject-specific assessment procedure for determining the candidate's aptitude for doctoral study has been conducted (3)
- Signed declaration that the doctoral thesis will be the candidate's own original work (4)

- Proof of previous academic qualifications – certified copy or original (officially certified translations of documents in languages other than German or English)
- Proof of the official length (standard period of study) of the completed degree programme(s)
- For the doctoral degrees Dr. rer .nat. and Dr.-Ing.: Proof of having completed a Master's thesis (this is not required for the second phase of the state examination in pharmaceutical science as set out in the German regulations governing the licensing of pharmacists (Approbationsordnung für Apotheker)).

- If the doctoral research project will be supervised jointly with a German university of applied sciences or a foreign university: Draft of the required supervision agreement

- In the case of 'external' doctoral research projects or those conducted in cooperation with a company or business (i.e. when the student is not employed at Saarland University), the consent of the company or business regarding the proposed research project and the supervision agreement is also required. This declaration of consent must also be included in the supervision agreement (e.g. payment, use of equipment and results).

- in case of a foreign Master-degree: submission of the master-thesis (as hardcopy)

- in case of a foreign Master-degree: letter of the supervisor concerning the equivalence of the master-thesis with a master-thesis of a german University

Application for entry into the register of doctoral candidates (2) – Supervision agreement

Supervision agreement for the Faculty of Natural Sciences and Technology at Saarland University

1 Preamble

Pursuant to Section 69(6) of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz*)¹ of 30 November 2016, doctoral students and their supervisors shall conclude a supervision agreement when the application for entry into the register of doctoral candidates is submitted.

Each doctoral research project is unique. Doctoral research projects are characterized by academic freedom, permitting students to apply a diverse range of academic methods and approaches, but whose outcomes are inherently uncertain. All doctoral research projects are built on mutual trust between the supervisors and the doctoral students as well as on the ability of doctoral students to conduct independent academic and scientific research. The supervision agreement itself serves to provide structure and planning for the doctoral research project and sets out the scope and details of the proposed research work. It also includes information on how assistance and advice will be provided with respect to the goals of the doctoral research project and defines the requirements to be met by the supervisor, the doctoral student and the academic mentor (hereafter referred to collectively as 'the parties').

The parties acknowledge that the contents of the supervision agreement form the basis of their relationship for the purposes of the doctoral research project, and shall endeavour to implement the contents of the supervision agreement as far as is reasonably possible. No claims enforceable in law are derivable from the supervision agreement. The parties agree that the doctoral degree regulations of the Faculty of Natural Sciences and Technology at Saarland University shall form part of this agreement and that they will act in accordance with the measures provided therein.

2 The parties to the agreement

Ms/Mr _____ – the doctoral student
(First name) (Surname)

born on _____ in _____

Address _____;
(Street) (House number) (Postcode) (Town/City)

Email address _____

Ms/Mr _____ – the supervisor

Institute _____

Email address _____

Ms/Mr _____ – the academic mentor

Institute _____

Email address _____

¹Published as Article 1 of Act no. 1905 on the reform of the Saarland Higher Education Act on 30 November 2016.

3 Doctoral research topic and schedule

- a. The subject (or, where applicable, the working title) of the doctoral thesis is

- b. The research plan and schedule have been agreed by the doctoral student and the supervisor at the start of the project and are deemed realizable within the time frame stipulated by the Doctoral Degree Regulations.
- c. The research plan and schedule will be subject to regular review by the supervisor and will be amended as necessary by mutual consent.

4 Project implementation agreements (roles and responsibilities)

- a. The supervisor shall at an early stage of the project encourage independent academic research by the doctoral student, shall provide regular opportunities for the presentation, discussion and assessment of the results achieved, shall suggest improvements regarding content and presentation (e.g. scientific publications and doctoral thesis) and shall assist in making any necessary amendments to the research plan and schedule.
- b. The doctoral student shall keep in continuous contact with the supervisor so that appropriate supervision is possible, shall report regularly on the results achieved in the research project and shall assist in making any necessary amendments to the research plan and schedule.
- c. The doctoral student shall attend events related to their research with a view to furthering their career development (e.g. seminars, colloquia, lectures, summer and winter schools, etc.). Specifically:

- d) The following additional agreements have been made:

5 Integration into the working group

- a. The supervisor shall support the doctoral student by integrating the student into the supervisor's research group for the agreed duration of the doctoral research project. The doctoral student is acquainted with the typical procedures (including relevant roles and responsibilities) within the group and is familiar with the group's research infrastructure. In particular the doctoral student shall be aware of any special features or procedural differences of relevance to the doctoral research project (e.g. rules governing the use of the laboratories in the case of external doctoral research projects, or after external funding has ceased, or after an employment contract at Saarland University has expired, support and participation in departmental teaching duties, responsibility for labs and lab equipment and for equipment made available for the doctoral research work, etc.).

6 Special agreements regarding the use or publication of results

- a. The results of a doctoral research project should be published jointly by the doctoral student and the supervisor. Other contributors, both within and outside the department or working group, may be included as co-authors. Typically, the doctoral student will be listed first, the supervisor will be listed last and will be designated as the corresponding author. Variations from this rule are possible depending on the specific conditions and circumstances of the research work. The generally accepted principles of good scientific practice shall apply.
- b. If the research project yields results that are subject to intellectual property rights, the results shall be reported as a joint invention of the doctoral student and the supervisor, and these results shall be treated confidentially until such time, or only publicly disclosed after such time, as the intellectual property has been protected or the rights to the intellectual property have been jointly waived. This does not affect the rights of others included as co-inventors.
- c. The following additional agreements have been made:

7 Special measures designed to balance the demands of family and research work (optional)

The following measures have been agreed:

8 Compliance with good scientific practice

The parties undertake to adhere to the generally accepted rules of good scientific practice pertinent to the relevant subject area in accordance with the principles cited in the faculty's doctoral degree regulations.

9 Mediation and conflict resolution

- a. The academic mentor acts as an adviser and mediator with the goal of facilitating the successful conclusion of the doctoral research project within the framework of the supervision agreement. If the need arises, the supervisor and/or the doctoral student should contact the mentor early on in order to prevent the escalation of disagreements.
- b. The mentor should mediate if there are differences of opinion on substantive or personal issues that are impairing constructive, trust-based and goal-focused cooperation. If no amicable resolution can be reached, the supervision agreement may be terminated either individually or by mutual consent. The Doctoral Committee shall endeavour to find a new supervisor.

Saarbrücken, Date _____

Doctoral student _____

Saarbrücken, Date _____

Supervisor _____

Saarbrücken, Date _____

Academic mentor _____

Enclosures: Research plan and schedule

Application for entry into the register of doctoral candidates (3)

Subject-specific assessment procedure for admission as a doctoral student

I hereby confirm that I have conducted the subject-specific assessment procedure for Mr/Ms _____ on behalf of the Doctoral Committee in accordance with Sec. 3(5) of the Doctoral Degree Regulations.

On the basis of the subject-specific assessment procedure, I recommend to the Doctoral Committee that the candidate should be

- entered into the register of doctoral candidates of the Faculty of Natural Sciences and Technology.
- entered into the register of doctoral candidates of the Faculty of Natural Sciences and Technology subject to certain conditions being met.

The proposed conditions are set out below / contained in an accompanying letter. ***(Please delete as appropriate)***

Date

Supervising member of faculty
(Signature + stamp)

Guidelines on assessing academic aptitude for doctoral study and on specifying supplementary conditions to ensure compliance with the admission requirements in Sec. 3 of the doctoral degree regulations:

- a) If all of the admission requirements are met in full, the candidate may be admitted directly as a doctoral student. However, the subject-specific assessment procedure may indicate that the candidate needs to meet certain supplementary conditions.
- b) If the candidate meets the admission requirements only in part, the Doctoral Committee expects the person conducting the subject-specific assessment procedure to propose appropriate supplementary conditions.
- c) If the candidate only partially fulfils the admission requirements, the Doctoral Committee also expects the supervisor to submit a written statement confirming that the content of and methods used in the candidate's degree thesis correspond to those expected for a German Master's or *Diplom* qualification.
- d) It is intended that the Doctoral Committee will generally follow the recommendations from the subject-specific assessment procedure. Nevertheless, the Doctoral Committee does reserve the right to make any final decisions regarding the scope and nature of the supplementary conditions to be met and/or any courses of preparatory study and/or academic coursework or assessments and examinations to be completed by the candidate as detailed in Sec. 3(5) and (6) of the doctoral degree regulations. The aim of this provision is to ensure that admission requirements are harmonized as far as possible between the departments of the faculty while taking account of differences in departmental conventions and cultures.

When are admissions requirements considered to have been met in full? (Requirements may differ depending on the doctoral degree pursued)

- The candidate has completed a Master's degree after a total of at least five years of study. The Master's programme must be in a mathematical, scientific or engineering discipline and must include a research project and thesis equivalent to that required in a German university-level Master's programme.
- The candidate has completed the second phase of the state examination in pharmaceutical science.
- The candidate has completed a teacher training degree programme (*Lehramtsstudium*) after at least eight semesters of study and the proposed area of doctoral study has a didactic methodological focus.

In all other cases, the admission requirements are considered to have been met in part and supplementary conditions are expected to be prescribed.

Procedure when the candidate holds a degree from a foreign country:

Submit a request for advice to the staff at the Dean's Office promotionen-nt@uni-saarland.de including the candidate's certificates and academic transcripts, or conduct a search of the database maintained by the Central Office for Foreign Education Affairs (ZaB – *Zentralstelle für ausländisches Bildungswesen*; www.anabin.de).

Applications from candidates with foreign education credentials should be assessed on the basis of the ZaB recommendations. If the foreign degree qualification is assessed as equivalent (i.e. equivalent to a Master's programme (M.Sc.) lasting at least five years that concludes with a research project and thesis comparable to a German Master's thesis), the candidate can be accepted as a doctoral student without needing to meet any supplementary requirements.

If the foreign degree qualification is not considered equivalent, the supervisor is expected to propose supplementary requirements that the candidate must meet. For guidance purposes, candidates who have not completed the minimum required number of semesters should complete subject-specific courses of study worth at least 15 ECTS credits for each missing semester.

Procedure when the candidate holds a teacher training degree:

Candidates with a teacher training degree who apply for entry into the register of doctoral candidates and who wish to pursue a purely scientific or technical doctoral research project will be expected to fulfil supplementary requirements equivalent to one half of the missing quota of academic credits from scientific and technical courses in the relevant subject.

General remarks on specifying supplementary conditions:

In all cases, any documented additional scientific accomplishments and subject-specific academic achievements that the candidate attained after graduating can be used to reduce the number of supplementary requirements that the candidate needs to meet.

Subject-specific courses that are completed in graduate schools may be proposed as supplementary conditions to be met by the candidate or may be recognized as a means of meeting supplementary requirements.

Application for entry into the register of doctoral candidates (4)**Faculty of Natural Sciences and Technology**Name:

_____**Declaration of original authorship**

As part of my application for entry into the faculty's register of doctoral candidates I, the undersigned, hereby declare that:

- the thesis will be my original work and that all source materials and aids will be indicated
- any parts of the thesis that draw on the wording or substance of other works (including electronic media) either in whole or in part, verbatim or with modifications, by rendering the sense or by translation shall be clearly marked as borrowings and the sources shall be acknowledged correctly
- I have read and will comply with the leaflet 'Avoiding Plagiarism'² issued by the Faculty of Natural Science and Technology
- I will truthfully document all methods, data and procedures used
- I will not manipulate data.

Saarbrücken, _____

(Date)

(Signature)

² Available on the faculty's website and from the joint examinations office for STEM subjects.