



To
University of Konstanz
Division of Student Affairs
- Central Examination Office -
Universitätsstr. 10
78464 Konstanz

receipt: _____

Application for Commencement of the Doctoral Examination Procedure

Name: _____ First name: _____
born on: _____ in: _____
nationality: _____ Birth Name: _____
Place of residence (postcode) _____ street: _____
phone (office): _____ phone (private): _____
fax: _____ e-mail: _____
Student ID number: _____

Title of the thesis:

Targeted doctoral degree: Doctor of Natural Sciences (Dr.rer.nat.)
 Doctor of Social Sciences (Dr.rer.soc.)
 Doctor of Economics (Dr.rer.pol.)
 Doctor of Law (Dr.jur.)
 Doctor of Philosophy (Dr.phil.)
 Doctor of Engineering Sciences (Dr.-Ing.)

(mark with a cross where applicable)

Faculty: _____

Department of: _____

Supervising professor, university or private lecturer: _____

As set out in § 6 Sec. 2 of the Doctoral Regulations, the following documents have been attached to this application:

Please take note that additional stipulations and regulations stated in section B may apply to your department.

A.	<u>All doctoral candidates must submit the following documents:</u>				
1.	<table border="1"> <tr> <td>a)</td> <td>Copy of the successful completion of a master's programme at a German institute of higher education or a study programme at a university, teacher training college or art academy with an average number of semesters of at least four years, or a study programme that followed on a basic study programme at a university, teacher training college or other institution of higher education that has the right to award doctoral degrees.</td> </tr> <tr> <td>b)</td> <td>Certificate (copy) by the department confirming the acceptance as a doctoral candidate at the University of Konstanz.</td> </tr> </table>	a)	Copy of the successful completion of a master's programme at a German institute of higher education or a study programme at a university, teacher training college or art academy with an average number of semesters of at least four years, or a study programme that followed on a basic study programme at a university, teacher training college or other institution of higher education that has the right to award doctoral degrees.	b)	Certificate (copy) by the department confirming the acceptance as a doctoral candidate at the University of Konstanz.
a)	Copy of the successful completion of a master's programme at a German institute of higher education or a study programme at a university, teacher training college or art academy with an average number of semesters of at least four years, or a study programme that followed on a basic study programme at a university, teacher training college or other institution of higher education that has the right to award doctoral degrees.				
b)	Certificate (copy) by the department confirming the acceptance as a doctoral candidate at the University of Konstanz.				
2.	Curriculum vitae outlining personal and professional background and development.				
3.	Declaration on prior or current applications for doctoral examination procedures, and, if applicable, an attested certificate regarding any doctorate already awarded (see attachment to no. 3).				
4.	"Affirmation in Lieu of Oath" according to § 6 of the Doctoral Regulations of the University of Konstanz (see attachment to no. 4).				
5.	Instruction on the significance and the penal consequences of the affirmation in lieu of oath (see attachment to no. 5).				
6.	Declaration on the publication of personal data in uni'kon (journal of the University of Konstanz) (see attachment to no. 6).				
7.	<p>Four (or more) <u>bound</u> copies (paper format: DIN A4) of the thesis as well as an <u>electronic copy of the thesis</u> in the form of a <u>PDF file</u>, supplied on a <u>CD-ROM</u> (<u>please put the CD-ROM in an envelope in each copy of the thesis</u>).</p> <p>The thesis must include:</p> <ol style="list-style-type: none"> A title page, A table of contents, A brief summary, A German-language summary if you submit a foreign-language version, as well as A detailed bibliography of the sources and references used. A previously published paper by the candidate may be submitted if no more than three years have elapsed since its publication. If the thesis consists of multiple contiguous papers (see § 8 Sec 3), a <u>separate declaration</u> has to be handed in that clearly delineates the candidate's work for separate evaluation. 				
8.	<p><u>Type of doctoral thesis</u> (▼ please select)</p> <p><input type="checkbox"/> monograph <input type="checkbox"/> publication-based/cumulative doctoral thesis</p>				

B.	<u>Please submit the additional documents and/or information required by your department:</u>
B.1	<u>Department of Mathematics and Statistics</u>
	- Please provide documentation of all required coursework or examinations completed during doctoral studies.
	- Please submit a completed and signed <u>mathematics attachment</u> , if your oral doctoral examination is to be performed as an <u>extended colloquium on the doctoral thesis and special subjects</u> according to § 14 of the doctoral regulations (see Mathematics Attachment).
	- The Department of Mathematics and Statistics requires documentary evidence of the given talk about the essential results of your thesis. Please attach to this application.

B.2	<u>Department of Computer and Information Science</u>
	<ul style="list-style-type: none"> - Please provide documentation of all required coursework or examinations completed during doctoral studies. - The Department of Computer and Information Science requires documentary evidence of a written exposé and a talk. Please attach to this application.
B.3	<u>Department of Physics</u>
	<ul style="list-style-type: none"> - In addition to the <u>extended colloquium on the doctoral thesis</u>, please submit a list of the special subjects for the oral doctoral examination on the <u>physics attachment</u> according to § 14 of the doctoral regulations. Be sure that the completed supplement is signed by the examiners and yourself before turning it in (see Physics Attachment).
B.4	<u>Department of Chemistry</u>
	<ul style="list-style-type: none"> - Documentary evidence of participation in the course programme of the Graduate School at the Department of Chemistry. - The Department of Chemistry requires documentary evidence of the given talk or the publication in a scientific journal. Please attach to this application. - Permission to write a cumulative doctoral thesis (see Chemistry Attachment).
B.5	<u>Department of Biology</u>
	<ul style="list-style-type: none"> - Documentary evidence of participation in the course programme of the Graduate School at the Department of Biology.
B.6	<u>Department of Psychology</u>
	<p>Please provide documentation of all required coursework or examinations completed during doctoral studies.</p> <ul style="list-style-type: none"> - For PhD-candidates (<u>Doctor of Philosophy – Dr.phil.</u>), the oral doctoral examination may be either an <u>extended colloquium on the doctoral thesis and one hypothesis</u>, or a <u>thesis defence</u>, depending on the department. Please turn in one proposed hypothesis and an explanation according to § 13 of the doctoral regulations along with <u>five print copies</u> and one Word version on CD-Rom of the hypothesis to be discussed.
B.7	<u>Department of Philosophy</u>
	<ul style="list-style-type: none"> - Please include documentation of sufficient German language skills along with your Application for Commencement of the Doctoral Examination Procedure, if German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad. - Please provide documentation of all required coursework or examinations completed during doctoral studies. - If oral doctoral examinations are performed as an <u>extended colloquium on the doctoral thesis and two hypotheses</u> (see § 13 of the doctoral regulations), please submit the two proposed hypotheses and an explanation to be discussed. Please submit <u>five print copies</u> and one Word version on CD-Rom of the hypotheses.
B.8	<u>Department of History and Sociology</u>
	<ul style="list-style-type: none"> - In case you pursue the doctoral degree of Doctor of Philosophy (Dr.phil.), please include documentation of sufficient German language skills along with your Application for Commencement of the Doctoral Examination Procedure, if German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad. - Please provide documentation of all required coursework or examinations completed during doctoral studies. - If oral doctoral examinations are performed as an <u>extended colloquium on the doctoral thesis and one hypothesis</u> (see § 13 of the doctoral regulations), please submit the proposed hypothesis and an explanation to be discussed. Please submit <u>five print copies</u> and one Word version on CD-Rom of the hypothesis.

B.9	<u>Department of Literature</u>
	<ul style="list-style-type: none"> - Please include documentation of sufficient German language skills along with your Application for Commencement of the Doctoral Examination Procedure, if German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad. - Please provide documentation of all required coursework or examinations completed during doctoral studies. - In addition to the <u>extended colloquium on the doctoral thesis</u>, please turn in two proposed hypotheses and explanations according to § 13 of the doctoral regulations along with <u>five print copies</u> and one Word version on CD-ROM of the hypotheses to be discussed.

B.10	<u>Department of Linguistics</u>
	<ul style="list-style-type: none"> - Please provide documentation of all required coursework or examinations completed during doctoral studies.

B.11	<u>Department of Law</u>
	<ul style="list-style-type: none"> - If German is not your native language and you did not earn your higher education entrance qualification in Germany or a German school abroad, please include documentation of sufficient German language skills with your application, if you did not already do so when you began your doctoral studies. - If oral doctoral examinations are performed as an <u>extended colloquium on the doctoral thesis and either one hypothesis or a special subject</u> (see § 13 and § 14 of the doctoral regulations), please submit either one proposed hypothesis and an explanation or the title of one special subject to be discussed (see Law Studies Attachment). Please submit <u>five print copies</u> and one Word version on CD-Rom of the hypothesis.

B.12	<u>Department of Economics</u>
	<ul style="list-style-type: none"> - Please provide documentation of all required coursework or examinations completed during doctoral studies. - If oral doctoral examinations are performed as an <u>extended colloquium on the doctoral thesis and two hypotheses</u> (see §13 of the doctoral regulations), please submit the two proposed hypotheses and an explanation to be discussed. Please submit <u>five print copies</u> and one Word version on CD-Rom of the hypotheses. - <u>The following requirements only apply to doctoral candidates taking a thesis examination:</u> Documentation of at least two presentations in either seminars or colloquia in the Department of Economics.

B.13	<u>Department of Politics and Management</u>
	<ul style="list-style-type: none"> - Please provide documentation of all required coursework or examinations completed during doctoral studies.

C.	<u>Final details</u>
	<p><u>Please complete the following information and turn in with your application:</u></p> <p>The following referees and/or oral examiners have been suggested, given the right of nomination according to § 6 Sec. 2 no. 11 of the doctoral regulations: Professor Dr. /University lecturer Dr. / Privatdozent Dr.</p> <hr/> <p>I am aware of the provisions of the current version of the regulations of the University of Konstanz and implementing provisions etc.</p> <hr/> <p>Place and date _____ (signature of the applicant)</p> <p><u>Note:</u> Deciding on the commencement of the Doctoral Examination Procedure is only possible if <u>all</u> documents/statements have been attached to the application.</p>

D.	<p><u>Temporary research-related stays abroad that are relevant for your doctoral studies, e.g. research stays (experiments, inquiries, excursion/educational trip, conference), qualification programmes (summer school, course on methods, language course relevant for doctoral studies)</u> <u>(if you have completed more than three study abroad stays, please include only the three longest stays):</u></p>
1.	<p>First research-related stay abroad</p> <p>1. Country where you stayed abroad: _____</p> <p>2. The stay abroad began on: _____ The stay abroad ended on: _____</p> <p>3. Type of mobility programme:</p> <p><input type="checkbox"/> EU programme (funded by the EU, e.g. Erasmus)</p> <p><input type="checkbox"/> Other publicly funded programme (e.g. institutional partnership, non-EU funded)</p> <p><input type="checkbox"/> Non-publicly funded programme</p> <p><input type="checkbox"/> No programme, self-organised</p>
2.	<p>Second research-related stay abroad</p> <p>1. Country where you stayed abroad: _____</p> <p>2. The stay abroad began on: _____ The stay abroad ended on: _____</p> <p>3. Type of mobility programme:</p> <p><input type="checkbox"/> EU programme (funded by the EU, e.g. Erasmus)</p> <p><input type="checkbox"/> Other publicly funded programme (e.g. institutional partnership, non-EU funded)</p> <p><input type="checkbox"/> Non-publicly funded programme</p> <p><input type="checkbox"/> No programme, self-organised</p>
3.	<p>Third research-related stay abroad</p> <p>1. Country where you stayed abroad: _____</p> <p>2. The stay abroad began on: _____ The stay abroad ended on: _____</p> <p>3. Type of mobility programme:</p> <p><input type="checkbox"/> EU programme (funded by the EU, e.g. Erasmus)</p> <p><input type="checkbox"/> Other publicly funded programme (e.g. institutional partnership, non-EU funded)</p> <p><input type="checkbox"/> Non-publicly funded programme</p> <p><input type="checkbox"/> No programme, self-organised</p>

name: _____ first name: _____ born on: _____
place of residence: _____ street: _____

**Declaration
to no. 3 of the application**

Concerning my application for commencement of the doctoral examination procedure at the University of Konstanz of _____ (date), I declare that this is my first / _____ application for admission to the doctoral examination at a German university.

Moreover, I declare that

- I have not simultaneously applied for admission to the doctoral examination at another German or foreign university,
- that I have not yet acquired the aspired doctorate,
- that I have not ultimately failed in a previous Doctoral Examination Procedure for the aspired doctorate and
- that I have no criminal record in the federal criminal records bureau.

_____ place and date

_____ (signature)

**Affirmation in lieu of oath according to § 6 of the
Doctoral Regulations of the University of Konstanz
to no. 4 of the application**

1. The doctoral thesis on the topic stated below is entirely my own work.
2. I have used only the sources and aids indicated, and have not received assistance from unauthorized third parties.
In particular, texts or ideas that were obtained from other works have been identified as such.
3. The work or parts of the work have already been/have never been¹ submitted to an institute of higher education in Germany or abroad as part of an examination or qualification procedure.

Title of the work:

Institution of higher education; year:

Type of examination or qualifications procedure:

4. I hereby affirm that the above statements are true and correct.
5. I am aware of the significance of the affirmation in lieu of oath and the consequences under the penal code of giving an incorrect or incomplete affirmation in lieu of oath.

I hereby affirm that I have stated the truth to the best of my knowledge and have concealed nothing.

_____ place and date

_____ (signature)

¹ Delete as appropriate. If the work has already been submitted, complete the fields indicating the title of the submitted work, the institute of higher education, the year in which it was submitted, and the type of examination or qualification procedure

to no. 5 of the application

**Instruction on the significance and the penal consequences
of the affirmation in lieu of oath**

**Affirmation in lieu of oath
Legal Consequences**

The universities in Baden-Württemberg require an affirmation in lieu of oath regarding the originality of the work as a credible assurance that the doctoral candidate carried out the scientific accomplishment through his or her own efforts.

Because the legislative body attributes a special significance to the affirmation in lieu of oath, and because the affirmation can have considerable consequences, the making of a false affirmation is punishable by law. If the false affirmation is made deliberately (i.e. knowingly), the penalty may be imprisonment for up to three years or a fine.

A false affirmation made through negligence (i.e. the declarant should have known that the declaration was not in accordance with the facts), the penalty may be imprisonment for up to one year or a fine.

The relevant penal provisions are set out in § 156 (false affirmation in lieu of oath) and in § 161 (negligent false affirmation in lieu of oath) of the German Criminal Code ("StGB").

§ 156 StGB: False Affirmation in Lieu of Oath

Whosoever before a public authority competent to administer sworn affidavits, falsely makes such an affidavit or falsely testifies while referring to such an affidavit shall be liable to imprisonment not exceeding three years or a fine.

§ 161 StGB: Negligent False Affirmation in Lieu of Oath:

Sec. 1: If a person commits one of the offences listed in § 154 to § 156 negligently the penalty shall be imprisonment not exceeding one year or a fine.

Sec. 2: The offender shall be exempt from liability if he corrects his false testimony in time. The provisions of § 158 (2) and (3) shall apply accordingly.

place, date

signature

to no. 6 of the application

name:	first name:
place of residence:	street:

Declaration

Hereby I agree / do not agree ^{*)}, that upon successful completion of the doctoral examination a note is published in uni'kon (journal of the University of Konstanz) referring to my doctorate, including my first and last name, the title of the thesis and my doctoral title.

place, date

signature

*) Delete as appropriate

Extended colloquium on the doctoral thesis and special subjects (see § 14 of the doctoral regulations)

Proposal of special subjects of Mr / Ms

Name: _____ first name: _____ born on: _____

place of residence: _____ street: _____

Concerning my application for commencement of the doctoral examination procedure of _____ (date) I propose - in accordance with the department-specific provisions beside my doctoral thesis as one examination component the following special subjects for the oral examination in accordance with § 14 of the doctoral regulations.

Konstanz, _____ (signature)

Examination Component:

Oral examination on the doctoral thesis:

Proposed examiner: Mr / Ms _____

I hereby declare that I am prepared to act as an oral examiner.

(signature of the examiner)

Name of the first special subject: _____

This special subject is from the scientific field of: _____

Proposed examiner: Mr / Ms _____

I hereby declare that I am prepared to act as an oral examiner. The names of the scientific field ^{**}) and the special subject correspond to the provisions of the doctoral regulations.

(signature of the examiner)

Name of the second special subject: _____

This special subject is from the scientific field of: _____

Proposed examiner: Mr / Ms _____

I hereby declare that I am prepared to act as an oral examiner. The names of the scientific field ^{**}) and the special subject correspond to the provisions of the doctoral regulations.

(signature of the examiner)

Name of the third special subject: _____

This special subject is from the scientific field of: _____

Proposed examiner: Mr / Ms _____

I hereby declare that I am prepared to act as an oral examiner. The names of the scientific field ^{**}) and the special subject correspond to the provisions of the doctoral regulations.

(signature of the examiner)

^{*)} (delete as appropriate)

^{**)} examples of scientific fields acc. to the department-specific provisions: geometry, numerics.

Extended colloquium on the doctoral thesis and special subjects (see § 14 of the doctoral regulations)
Proposal of special subjects of Mr / Ms

Name: _____ first name: _____ born on: _____

place of residence: _____ street: _____

Concerning my application for commencement of the doctoral examination procedure of _____ (date), I propose - in accordance with the department-specific provisions beside my doctoral thesis as one examination component the following special subjects for the oral examination in accordance with § 14 of the doctoral regulations.

Konstanz, _____

(signature)

Examination Component:
Oral examination on the doctoral thesis:

Proposed examiner: Mr /Ms _____

I hereby declare that I am prepared to act as an oral examiner. The names of the scientific field ^{**)} and the special subject correspond to the provisions of the doctoral regulations.

(signature of the examiner)

Name of the first special subject: _____

This special subject is from the scientific field of: _____

Proposed examiner: Mr /Ms _____

I hereby declare that I am prepared to act as an oral examiner. The names of the scientific field ^{**)} and the special subject correspond to the provisions of the doctoral regulations.

(signature of the examiner)

Name of the second special subject: _____

This special subject is from the scientific field of: _____

Proposed examiner: Mr /Ms _____

I hereby declare that I am prepared to act as an oral examiner. The names of the scientific field ^{**)} and the special subject correspond to the provisions of the doctoral regulations.

(signature of the examiner)

^{*)} (delete as appropriate)

^{**)} examples of scientific fields acc. to the department-specific provisions: fundamentals of physics, nuclear physics.

Permission to write a cumulative doctoral thesis

Permission to write a cumulative doctoral thesis is granted.

yes ^{*)} ()

no ^{*)} ()

date:

Signature of the Head of Department or
Head of the Departmental Administration

^{*)} Please check all that apply

**University of Konstanz
Department of Law**

To the Head of Department
as chairperson of the Doctoral Committee

Declaration of willingness In the Doctoral Examination Procedure of Mr / Ms _____ Supervisor: Prof. Dr. / Priv.-Doz. Dr. _____ Topic: _____
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we are willing to act as:

(1) secondary reviewer: Prof. Dr. / Priv.-Doz. _____ Konstanz, _____ signature

(2) oral examiner of the doctoral thesis Prof. Dr. / Priv.-Doz. Dr. _____ Konstanz, _____ signature

(3) oral examiner of the doctoral thesis Prof. Dr. / Priv.-Doz. Dr. _____ Konstanz, _____ signature

(4) oral examiner of the doctoral thesis Prof. Dr. / Priv.-Doz. Dr. _____ Konstanz, _____ signature

(5) Please fill in the following paragraph only if there will be an oral doctoral examination performed as an extended colloquium on the doctoral thesis and either one hypothesis or a special subject.	
I am willing to act as oral examiner of the hypothesis or the special subject:	
Please insert title:	_____
	(title of the hypothesis or special subject, e.g. criminal law (special part), labour law, fundamental rights)
The hypothesis or special subject pertains to civil law/ public law/ criminal law*)	
Prof. Dr. / Priv.-Doz. Dr. _____	
Konstanz, _____	signature

*) Delete as appropriate

Declaration of willingness

In the Doctoral Examination Process of Mr / Ms

we are willing to act as:

(1) secondary Reviewer:	
Prof. Dr. / Priv.-Doz. Dr.:	
_____	_____
place, date	signature

(2) oral examiners of the doctoral thesis (please indicate the topic of the thesis):	
Prof. Dr. / Priv.-Doz. Dr.:	
_____	_____
place, date	signature

(3) oral examiners of the 1st hypothesis (please add the area of study, e.g. German Literature):	
Prof. Dr. / Priv.-Doz. Dr.:	
_____	_____
place, date	signature

(4) oral examiners of the 2nd hypothesis (please add the area of study, e.g. German Literature):	
Prof. Dr. / Priv.-Doz. Dr.:	
_____	_____
place, date	signature