

Instructions for the submission of a thesis

To all doctoral candidates,

Your thesis is almost finished and you are about to complete it? With these notes we wish to inform you about the examination procedure and the formal and legal requirements.

Legal basis

The examination procedure is regulated in the Allgemeine Bestimmungen für Promotionen (General Provisions for Doctorate Degrees) at the University of Kassel (hereinafter AB-PromO). The most recent version is available on the website of the Graduiertenakademie (Graduate Academy) (www.uni-kassel.de/go/doktor).

Format and external appearance

The thesis is to be prepared in **DIN A 4-Format** (= size of the pages). The following elements are obligatory and have to be contained in the thesis:

- There must be a title page with the following details: personal name(s) and family name, the name of the Faculty, the type of doctoral degree for which you are submitting, the title of your thesis, your residence and date (at least the month) of the submission of the thesis. An example of a title page is supplied as an attachment to this document. Place and date of birth can be added but are not compulsory. This information will help university research on the conditions and effects of doctorate awards.
- All copies of your thesis must have a declaration bound into them to the effect that you have prepared this work in line with the principles of good academic practice. The following terminology must be used:

„Hiermit versichere ich, dass ich die vorliegende Dissertation selbständig, ohne unerlaubte Hilfe Dritter angefertigt und andere als die in der Dissertation angegebenen Hilfsmittel nicht benutzt habe. Alle Stellen, die wörtlich oder sinngemäß aus veröffentlichten oder unveröffentlichten Schriften entnommen sind, habe ich als solche kenntlich gemacht. Dritte waren an der inhaltlichen Erstellung der Dissertation nicht beteiligt; insbesondere habe ich nicht die Hilfe eines kommerziellen Promotionsberaters in Anspruch genommen. Kein Teil dieser Arbeit ist in einem anderen Promotions- oder Habilitationsverfahren durch mich verwendet worden.“

If you write your thesis in English, you can also use the following declaration in English:

“I herewith give assurance that I completed this dissertation independently without prohibited assistance of third parties or aids other than those identified in this dissertation. All passages that are drawn from published or unpublished writings, either word-for-word or in paraphrase, have been clearly identified as such. Third parties were not involved in the drafting of the content of this dissertation; most specifically, I did not employ the assistance of a dissertation advisor. No part of this thesis has been used in another doctoral or tenure process.”

- Theses can be written in German or English. Candidates who wish to write in another language (e.g. French, Spanish, etc.) must first obtain permission to do so from the Promotionsausschuss (doctoral degrees committee).
- The binding of the thesis handed in must be stitched or glue-bonded. Ring binders are **not** permissible. The thesis may be hard or soft bound whereby a soft-binding version requires firm paper and a clear front plastic cover.

There are no regulations in the AB-PromO about font size, line spacing, margins or the like. The

thesis submitted can be printed on one or both sides of the paper. These matters are to be discussed with your supervisor so that the appropriate expectations about presenting a text that is readable or that can easily be annotated can be met.

Good academic practice

The regulations of good academic practice are to be strictly adhered to when writing the thesis. The University of Kassel has issued "*Grundsätze zur Sicherung guter wissenschaftlicher Praxis*" (*Principles of good scientific practice*) and "*Grundregeln guter wissenschaftlicher Praxis für das Verfassen wissenschaftlicher Qualifikationsarbeiten*" (*Principles of good scientific practice for writing scientific theses*). Among other things, they contain a description of guidelines and principles. More information on this subject is available on our websites (www.uni-kassel.de/go/doktor).

We also recommend similar publications of the Deutsche Forschungsgemeinschaft (DFG) (German Research Association), such as *Sicherung guter wissenschaftlicher Praxis* (*Safeguarding Good Scientific Practice*) and *Verfahrensleitfaden zur guten wissenschaftlichen Praxis* (*Process Guideline for Good Scientific Practice*), available for consultation and downloadable on the DFG websites (www.dfg.de/foerderung/grundlagen_rahmenbedingungen/gwp).

Handling research data

The AB-PromO specify that the thesis must contain documentation of the subject material used. This documentation must correspond to the standard academic work principles and the standards of the subject itself. If in doubt, the supervisor will advise you about how primary data are to be selected, prepared and presented in order to be able to present and substantiate your research results in accordance with good scientific practice.

You can bind the documentation into the thesis or present it in a separate volume as an attachment to the thesis. The latter is practical especially if the thesis, with documentation, is very long, and the combination of the two would produce a large unwieldy volume that is difficult to use.

The research data guideline *Grundsätze im Umgang im Forschungsdaten an der Universität Kassel* (*Principles of handling research data at the University of Kassel*) by 13 January 2017 should be consulted. It is available on the University website and can be downloaded (www.uni-kassel.de/go/rdm/policy).

Cumulative thesis

If you wish to submit a cumulative thesis, there are a number of additional requirements. We have drawn up a separate leaflet "*Die kumulative Dissertation*", which contains important additional information about this thesis form.

Looking for referees

You are recommended to think about referees in the final stages of the completion of the thesis. The supervisor is responsible for making the proposal about the composition of the doctoral examination board (Promotionskommission). This proposal can be made before the thesis is submitted. This will accelerate the process after submission (see also "Time management"). According to Faculty the proposal is to be made to the Dean's Office or the Doctoral Committee (Promotionsausschuss). There must be at least two referees.

At least one referee must be a professorial member of the Faculty in which the doctoral thesis has been done. If a professor has been retired for less than three years, he/she, as an active member, can be nominated as a referee. In addition to active professors, scholars with a 'habilitation' doctorate or a doctorate, whose main job is teaching or research at a place of higher education or

a research institute, retired or honorary professors can be nominated as referees.

Application to initiate the examination process

If the supervisor agrees that the thesis can be submitted, the following documents are required to initiate the examination process:

- Fully completed and signed application form to initiate the Promotionshauptverfahren (doctoral examination process), which can be obtained at (www.uni-kassel.de/go/doktor) or from the Promotionsgeschäftsstelle (Doctorate Office).
- Six copies of the bound thesis in accordance with the instructions in "*Format and external appearance*" of this information leaflet. The examination committee may require additional copies. In the case of **cumulative theses**, it is usually necessary to submit seven copies because one of the referees is mostly a co-author and so another person must be appointed who has not collaborated on articles that form part of the thesis.
- An electronic version of the thesis on a data carrier, the most suitable being, for example, CD-ROM, DVD or USB stick. Please save your thesis in a commonly used file format, e.g. PDF or docx.
- If additional electronic or audio-visual documents are part of the thesis, they have to be attached, on a suitable portable data carrier, to each bound copy of the thesis.

Where do I submit the thesis?

In the Promotionsgeschäftsstelle (Doctorate Office) of the University. The thesis can be delivered by hand during office hours at the office in the Holländischer Platz, Campus Center, Moritzstr. 18, 3rd floor.

Otherwise, it can be sent, with all necessary documents (see above) to the following postal address: Universität Kassel, Promotionsgeschäftsstelle, Mönchebergstr. 19, 34125 Kassel.

Exception: Doctoral candidates in **Faculty 10 (Mathematics and Natural Sciences)** and **Faculty 11 (Organic Agricultural Sciences)** deliver the thesis, with all necessary documents, directly to the Dean's Office of the Faculty.

Time management

It is important to be aware in time management that the Promotionshauptverfahren (doctoral examination process) usually takes several months after thesis submission. You are recommended to hand in the thesis as early as possible, if the degree has to be conferred by a certain date for external reasons over which you may have no control, e.g. expiry of work contracts, grants or residence permits, Stellensperre (non-renewal of position), start of post-doctoral positions etc.

The next step

After the application the main part of the Promotionshauptverfahren begins. Further information is available in our information leaflet "*Das Promotionshauptverfahren – Nach der Einreichung der Dissertation bis zur Disputation*" (*The Promotionshauptverfahren - After submission of the thesis to the oral examination*).

We wish all candidates every success.

The Promotionsgeschäftsstelle/Doctorate Office of the University of Kassel

Visitors' address:	Holländischer Platz, Campus Center, Moritzstr. 18, 3rd floor
Postal address (for letters, parcels)	Mönchebergstr. 19, 34125 Kassel
Office hours:	Monday to Thursday: 1 p.m. to 3 p.m.
Email:	promot@uni-kassel.de

Example of the cover:

<Title>

Thesis submitted for the degree of Doctor of ...

Submitted in Faculty <XY>
of the University of Kassel

by <author>

Place of birth*

Date of birth*

[*This voluntary information helps university research on the conditions and effects of doctorate awards]

<City, month, year of submission>