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Regulations of the Faculty of Life Sciences of Humboldt-Universität zu Berlin in addition to the Doctoral Degree Regulations of 10.10.2022

These regulations are a supplement to the Doctoral Degree Regulations of the Faculty of Life Sciences in the version of 10.10.2022. Only the regulations of these Doctoral Degree Regulations, the Berlin Higher Education Act in the version of 25.09.2021 as well as the decisions of the Faculty Board and the Doctoral Degree Board of the Faculty remain binding for the doctoral procedure and the dissertation.

The responsibility for any deviations mentioned below lies with the Doctoral Degree Board of the Faculty of Life Sciences. In subject-specific matters [1., 12., 17.], the decisions of the Doctoral Degree Board of the Faculty shall be prepared by the Board of the Department concerned.

Regulations for cumulative dissertations

1. At least two original publications as first author must have been published or accepted for publication in peer-reviewed journals. The Doctoral Degree Board decides on deviations.
2. Reviews, commentaries and purely technical articles are not recognised as original publications. Meta-analyses may be considered original works.
3. In all publications, the doctoral candidate must state HU and the respective department as their correspondence address in accordance with § 7(4) PromO. Publications without an HU address will not be considered for a cumulative dissertation.
4. The following regulations apply to co-authors and reviewers:
 - a. The chairperson of the committee may not be a co-author.
 - b. One of the reviewers may be a co-author of publications in the dissertation.
 - c. The majority of the members of the committee may not be co-authors.
5. A cumulative dissertation must be a self-contained presentation of the research done and its results and must not have a purely additive character. It should therefore contain, in addition to the published articles, an introduction, a chapter on methods, as well as a summary discussion of the results achieved (with special consideration of the connection between the individual publications). These texts shall explain the overall concept of the dissertation, central questions and hypotheses and the methodological approach, and provide a synthesis of the results achieved. The framework and transition chapters must be written by the doctoral candidate in sole authorship and are an important subject of the evaluation of the dissertation. As a rule, they have a combined length of approx. 30 pages.
6. Each publication included in the dissertation must also be accompanied by a brief classification of the article. In this section, the contributions of all authors must be clearly presented in order to maintain good scientific practice.

7. The application for the initiation of the doctoral procedure must be accompanied by the declaration of the candidate's own contribution, with the numbered list of publications (see attached form):
 - a. For each publication, the candidate's own contribution must be described in detail, separately for each step of the research and writing (approximately ½ A4 page per publication).
 - b. The candidate's contribution must be confirmed by all co-authors.
8. A classification of the journals must be enclosed with the application for the initiation of the procedure. In particular, their quality and review process must be described in order to demonstrate their compliance with the requirements of good scientific practice.
9. The doctoral candidate is obliged to clarify all legal issues related to publication with the publishers personally before submitting the cumulative dissertation. It must be ensured that the dissertation is completely accessible to the public.
10. The doctoral degree may only be used after publication of the cumulative doctoral thesis in accordance with §15 PromO.

Regulations for publication with Shared First Authorship

11. A single-authored or first-authored publication may be replaced by at least two articles with shared first authorship, whereby the doctoral candidate's share is counted proportionally to the number of first authors.
12. In these cases, the submission of a cumulative dissertation is only possible after examination by the Doctoral Degree Board. The application for this examination must be submitted prior to the application for the initiation of the doctoral degree procedure and must include the declaration of the candidate's own contribution according to 7.
13. Points 2 to 10 shall apply.

Regulations of the Institute of Psychology and the Thaer Institute for monographs based on unpublished articles

14. The dissertation on the basis of unpublished articles as a variant of a monograph may be considered if publication of the articles intended as individual publications within the framework of a cumulative dissertation is not possible in the intended journals within a timeframe appropriate to the duration of the doctorate, or publications are not possible for other reasons.
15. In cases where individual articles with shared first authorship are included, only the candidate's own results and writing should be included in the dissertation, as far as possible, and cited correctly. This form of dissertation opens up the opportunity for more explanations and the inclusion of results that were not considered in the scientific article. The candidate's own contribution must be clearly recognisable to the reviewers at all times. If only parts of the articles are included in the dissertation, the articles in question must be included in the appendix in their entirety.
16. In individual cases, doctoral candidates and supervisors may jointly decide that articles already published or accepted for publication are to be included, in the same version as they were submitted to the journal. Moreover, at the Institute of Psychology, at least one of the articles must already have been published in first authorship or have been accepted for publication, and a second article must have been published on a preprint server as a pre-publication.
17. For monographs based on unpublished articles, the submission of the dissertation is only possible after examination by the Doctoral Degree Board. The application for this

examination must be submitted prior to the application for the initiation of the doctoral degree procedure and must include the declaration of the candidate's own contribution according to 7.

18. Points 2 to 10 shall apply.

Regulation on reviewers

19. According to § 8 (1) of the Doctoral Degree Regulations of the Faculty of Life Sciences dated 10.10.2022, the following persons are admitted as reviewers for the internal review from an institute of the faculty:

- a. Full professors
- b. S-Professors (identical to a.)
- c. Honorary professors
- d. Habilitated persons with employment at an institute of the faculty
- e. Junior research group leaders with employment at an institute of the faculty who fulfil the requirements according to § 6 (2) of the doctoral regulations.
- f. Secondary members of the Institute (co-optation to an institute - to be confirmed by the faculty).

Regulations of the Institute of Biology for admission to doctoral studies for candidates with a Bachelor's degree (so-called "Fast Track")

At the Institute of Biology, the admission according to §4 (3) PromO is regulated as follows:

20. Only candidates whose Bachelor's degree can be proven to be among the best 5% of their year will be considered. The candidate must provide proof of this. Other cases will not be considered.
21. If there is no proof of participation in a structured doctoral programme of HU, the doctoral candidate must complete 60 credit points in a subject relevant to the doctorate at Master's level in the form of a study plan agreed on with the supervisor, and provide the corresponding proof of performance. The average grade of these studies must amount to the grade "very good".
22. Should an aptitude assessment procedure be carried out according to PO §4 Para. 3 Sentence 3, the conditions stated under 21. shall be used as a basis for the requisite reviews or the aptitude assessment interview.

Anlage zu § 7, Abs. 4 der Promotionsordnung der Lebenswissenschaftlichen Fakultät vom 10.10.2022, veröffentlicht im Amtlichen Mitteilungsblatt 56/2022

Annex to § 7, para. 4 of the Doctoral Degree Regulations of the Faculty of Life Sciences, amended on 10 October 2022, published in: University Gazette of Humboldt-Universität zu Berlin 56/2022

[MUSTER zum Ausfüllen] | [EXAMPLE to be completed]

Erklärung über den Eigenanteil an den veröffentlichten bzw. zur Veröffentlichung angenommenen wissenschaftlichen Schriften innerhalb meiner Dissertationsschrift gemäß § 7, Abs. 4 der Promotionsordnung

Declaration regarding my own contribution to the published academic papers, or academic papers which have been accepted for publishing, within my doctoral thesis, under the provisions of § 7, para. 4 of the Doctoral Degree Regulations

Von der antragstellenden Person einzutragen: | *To be completed by the applicant:*

1. Name, Vorname | *Surname, forename*

Institut (ggf. externe Einrichtung) | *Department (external institution if applicable)*

Promotionsfach | *Doctoral subject*

Thema der Dissertation | *Topic of the doctoral thesis*

2. Nummerierte Aufstellung der eingereichten Schriften (Titel, Autor:innen, wo und wann veröffentlicht bzw. eingereicht):

Numbered breakdown of the submitted papers (title, authors, where and when published or submitted):

- 1.
- 2.
- etc.

3. Darlegung des eigenen Anteils an diesen Schriften:

Statement regarding my own contribution to these papers:

Erläuterung: Legen Sie dar, welche von Ihnen geleisteten Arbeiten diese Schriften enthalten (z. B. Entwicklung der Konzeption, Literaturrecherche, Methodenentwicklung, Versuchsdesign, Datenerhebung, Datenauswertung, Ergebnisdiskussion, Erstellen des Manuskripts, Programmierung, Beweisführung) und wie groß Ihr Anteil (z. B. vollständig, überwiegend, mehrheitlich, in Teilen) an den jeweiligen Leistungen war.

Explanation: State which of the works which you rendered comprise these papers (e. g. development of the conception, literature research, development of methods, test design, data collection, data analysis, results discussion, compiling the manuscript, programming, reasoning), and how large your contribution (e. g. entire, large, predominant, partial) was the respective works.

- zu Nr. 1 | *to no. 1*
zu Nr. 2 | *to no. 2*
etc.

4. Anschriften und E-Mail-Adressen der jeweiligen Mitautor:innen:

Postal and e-mail addresses of the respective co-authors:

- zu Nr. 1 | *to no. 1*
zu Nr. 2 | *to no. 2*
etc.

Datum, Unterschrift der antragstellenden Person:
Date, signature of the applicant:

Die Angaben zu Punkt 3 müssen von den Mitautor:innen schriftlich bestätigt werden.
The information submitted in point 3 must be confirmed in writing by the co-authors.

Ich bestätige die von unter Punkt 3 abgegebene Erklärung:
I confirm the declaration submitted by in point 3:

1. **Name:** **Unterschrift:** | Signature:.....
 2. **Name:** **Unterschrift:** | Signature:.....
- etc.

TRANSLATION NOT LEGALLY BINDING