

**Medizinische Fakultät Charité – Universitätsmedizin Berlin**  
 Campus Virchow-Klinikum  
 Promotionsbüro  
 Augustenburger Platz 1  
 13353 Berlin

**Obligatory Application for a Thesis and Thesis Agreement**  
 (on the basis of the Thesis Regulation dated 2012-12-03)

The framework doctoral dissertation conditions for drawing up a thesis are laid down in the present Thesis Agreement. Under the current thesis regulation, conclusion of the agreement is a formal condition for starting the doctoral project.

The object of the thesis is to obtain the following doctoral degree (please tick the applicable box):

	Dr. med. Dr. med. dent.	Dr. rer. medic.	Dr. rer. cur.	Dr. PH	PhD, MD/PhD	
Publication dissertation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>For these degrees, the Doctoral Candidate needs to be accepted for, and participate in, a doctoral course recognised by the Faculty (for details go to <a href="http://promotion.charite.de">http://promotion.charite.de</a>)</b>
Monograph	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Monographs for these degrees require a separate approval from the Thesis Commission before starting work on the dissertation (for details go to <a href="http://promotion.charite.de">http://promotion.charite.de</a>)</b>						

If applicable (for PhD, MD/PhD, Dr. PH):

\_\_\_\_\_  
 Name of the structured course:

- The thesis project starts on \_\_\_\_\_ (date)
- The dissertation will be written in the following language (please tick applicable box(es)):

German     English     Native language of the Doctoral Candidate is English

Thesis Agreement Doctoral Candidate: \_\_\_\_\_  
(surname, firstname)

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Hereby the following persons

\_\_\_\_\_  
Surname: \_\_\_\_\_ First name: \_\_\_\_\_  
(hereinafter called Doctoral Candidate)  
Born on: \_\_\_\_\_ in: \_\_\_\_\_  
Postal address (Street, No.): \_\_\_\_\_  
Zip code, city, country: \_\_\_\_\_  
e-mail: \_\_\_\_\_  
Telephone (optional): \_\_\_\_\_  
Cell phone (optional): \_\_\_\_\_  
and

\_\_\_\_\_  
Surname: \_\_\_\_\_ First name: \_\_\_\_\_ Academ. degree: \_\_\_\_\_  
(hereinafter called First Supervisor)  
e-mail: \_\_\_\_\_  
Telephone (optional): \_\_\_\_\_  
Cell phone (optional): \_\_\_\_\_

and, if applicable, (e.g. within the framework of a structured doctoral course)

\_\_\_\_\_  
Surname: \_\_\_\_\_ First name: \_\_\_\_\_ Academ. degree: \_\_\_\_\_  
(hereinafter called Second Supervisor)  
e-mail: \_\_\_\_\_  
Telephone (optional): \_\_\_\_\_  
Cell phone (optional): \_\_\_\_\_

- Upon being granted the authorisation to teach, this person shall become the First Supervisor with all rights and obligations (please tick).
- Upon departure of the First Supervisor, this person shall become the First Supervisor, with all rights and obligations, provided that he/she has the authorisation to teach (please tick).
- Assumes direct supervision (please tick).

and if applicable (e.g., within the framework of a structured doctoral course)

\_\_\_\_\_  
Surname: \_\_\_\_\_ First name: \_\_\_\_\_ Academ. degree: \_\_\_\_\_  
(hereinafter called Third Supervisor)  
e-mail: \_\_\_\_\_  
Telephone (optional): \_\_\_\_\_  
Cell phone (optional): \_\_\_\_\_

set the following framework conditions for drawing up a doctoral dissertation at the institute/clinic.

\_\_\_\_\_  
(Institute/clinic, name of campus, stamp of the institution, if applicable)

## **A. The Thesis**

- Subject of the thesis/working title/theme:

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(For PhD students, this subject is the same as that of the project application for enrolment in the PhD course.)

- If animal experiments are to be conducted, official permission is required from (LAGeSo, Landesamt für Arbeitsschutz, Gesundheit und Soziales Berlin) (Berlin's State Office of Occupational Safety, Health and Social Affairs).

- approvals granted
- applied for by First Supervisor
- not necessary

- If studies are to be conducted on test persons or patients, permission is required from the Ethics Commission of the Medical Faculty Charité – Universitätsmedizin Berlin or of the Berlin Chamber of Physicians or of the Ethics Commission of the State of Berlin.

- Permission of the Ethics Commission
- has been granted
  - applied for by First Supervisor
  - is not necessary

- The following steps/ studies are required to research the theme addressed in the doctoral dissertation:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_

- The time needed to research the theme (given an assumed expenditure of \_\_\_\_\_ hours per day/week/month) in order to obtain the necessary results is currently estimated to be approximately \_\_\_\_\_ months.

• The following factors might impair the process of researching the theme to an extent that cannot be estimated with certainty at this point in time:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

The following periods of attendance will probably be necessary

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It is assumed that the work will be completed within three years. If it is not possible to complete the work within this period, the reasons should be discussed and recorded.

### **B. The First Supervisor**

• He/She is at least a Privatdozent (private lecturer) or a junior research group leader as in the Emmy Noether Programme of DFG.

• He/She sees to it that the Doctoral Candidate is familiarised with the work and that the doctoral dissertation can be completed in an expeditious manner.

• He/She sees to it that the wherewithal (resources, financing) to carry out the work is provided for.

• He/She sees to it that the required approvals have been granted or applied for.

• He/She undertakes to comply with the principles of the Charité - Universitätsmedizin Berlin to safeguard good scientific practice and to comply with the general data privacy provisions. (a relevant memorandum is available at: <http://promotion.charite.de>).

• He/She, along with other supervisors, plans the work in such a way that results suitable for publication can be achieved. The objective is to have at least one paper published in a peer-reviewed journal. Guidelines of the ICMJE (International Committee of Medical Journal Editors; [www.icmje.org](http://www.icmje.org)) on the authorship of the Doctoral Candidate are to be applied in the event of publication.

• The following methods required for researching the theme have already been tried and established in the laboratory or working group of the First Supervisor:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

• The following methods required for researching the theme have yet to be tried and established for the doctoral dissertation in the laboratory or working group of the First Supervisor:

1. \_\_\_\_\_

2. \_\_\_\_\_

• He/She undertakes to ensure that the supervision continues in the event of his/her departure from the Charité. This can be done personally or by transferring the task to the Second or Third Supervisor or to another suitable person. This must be reported to the Thesis Office in writing unless such a transfer to the Second Supervisor is already provided for in the Thesis Agreement.

• He/She undertakes to ensure that the access to the primary data of the thesis project remains possible over a period of 10 years and remains so in the event of his/her departure from the Charité. (Please note that the Charité reserves the right to perform good scientific practice sample tests on the primary data).

• He/She undertakes to propose independent and neutral reviewers for the thesis reviewing process and to refrain from any communication that might impair the independence and neutrality of the reviewers.

### **C. The Doctoral Candidate**

• He/She undertakes to comply with the principles of the Charité - Universitätsmedizin Berlin to safeguard good scientific practice and to comply with the general provisions on data privacy. (A relevant memorandum is available at <http://promotion.charite.de>). Guidelines of the ICMJE (International Committee of Medical Journal Editors; [www.icmje.org](http://www.icmje.org)) on the authorship of the Doctoral Candidate are to be applied in the event of publication.

• He/She is aware that using the services of a commercial thesis adviser and/or ghost writer will result in the immediate termination of the thesis project and/or in the retroactive withdrawal of the academic degree.

• He/She undertakes to participate actively in courses, further education programmes and events within the framework of his/her doctoral course (PhD, Dr. PH) and/or in the post-graduate environment of Charité - Universitätsmedizin Berlin (for all other doctoral degrees) and to keep a record of such participation.

• He/She is aware that the study records and all research results shall remain the property of the Clinic/ Institute.

• He/She undertakes to expeditiously work on the theme of the thesis within the specified time frame and not to cede the data obtained to third parties or to publish them arbitrarily circumventing the First Supervisor.

- He/She undertakes to report on the progress of the work at regular intervals, also in the form of internal and external presentations – especially within the framework of PhD courses of study.
- He/She, in consultation with the First Supervisor and in dependence on the type of thesis, undertakes to work with determination towards publishing at least one paper in a peer-reviewed journal as the first author or co-author.
- He/She undertakes to keep the First Supervisor and the Thesis Office informed about his/her current postal address and availability (e-mail, telephone).
- If he/she wants to let his/her doctoral candidature rest for more than one year, he/she must promptly inform the First Supervisor about this, make the data obtained to date available to the First Supervisor and lay down a plan, in writing with the Supervisor, for the further course of action.
- He/She undertakes to ensure that the access to the primary data of the thesis project remains possible over a period of 10 years and remains so in the event of his/her departure from the Charité. (Please note that the Charité reserves the right to perform good scientific practice sample tests on the primary data).

**D. Collaboration**

- The First Supervisor sees to it that the Doctoral Candidate is thoroughly familiarised with the subject and all methods and techniques required for researching the subject. Moreover, the First Supervisor sees to it that the Doctoral Candidate is given sufficient guidance if new methods are established.
- The Doctoral Candidate and the First Supervisor shall then meet at regular intervals to discuss the progress made in pursuing the thesis project and any problems encountered in the process (please tick the applicable box):

<p>First Supervisor</p> <p><input type="checkbox"/> once a week</p> <p><input type="checkbox"/> twice a month</p> <p><input type="checkbox"/> once a month</p> <p><input type="checkbox"/> _____</p> <p>(other interval)</p>	<p>Second Supervisor (if applicable)</p> <p><input type="checkbox"/> once a week</p> <p><input type="checkbox"/> twice a month</p> <p><input type="checkbox"/> once a month</p> <p><input type="checkbox"/> _____</p> <p>(other interval)</p>	<p>Third Supervisor (if applicable)</p> <p><input type="checkbox"/> once a week</p> <p><input type="checkbox"/> twice a month</p> <p><input type="checkbox"/> once a month</p> <p><input type="checkbox"/> _____</p> <p>(other interval)</p>
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The Doctoral Candidate shall draw up a brief report on the meeting, which shall be confirmed by the First Supervisor, and put in his/her file.

- The Doctoral Candidate and the Supervisor undertake not to manipulate the data under any circumstances and to interpret them – in difficult cases by a biometrician – only following a correct biometric check.

- If it is determined in the course of the doctoral project that, through no fault of the Doctoral Candidate, the theme cannot be researched in the form originally planned, the First Supervisor shall promptly inform the Doctoral Candidate of this and offer her/him an alternative to ensure that not too much time is lost.
- The *Principles of the Medical Faculty of the Charité for ensuring good scientific practice* shall apply as the basis for complying with the rules of good scientific practice. This includes the Doctoral Candidate's consulting with the First Supervisor or other confidants in cases of doubt.

### **E. Complementary training programme**

(Applicable only to structured doctoral courses of study)

- The Doctoral Candidate undertakes to participate in the complementary training programme of the doctoral course listed under A. The Doctoral Candidate and her/his Supervisor jointly agree which events of the dedicated and of the overarching qualification programme are to be attended and fix this in a work schedule. The Regulation on the Doctoral Course of Study regulates the Doctoral Candidate's workload.
- In the course of the doctoral project, the Doctoral Candidate shall conduct independent scientific activities (e.g., take part in a conference, submit an article to a periodical, organise a conference, placement, hold a class, etc.). A record of these activities shall be held in the work schedule. The Supervisors undertake explicitly to support the Doctoral Candidate in these activities.
- The Doctoral Candidate may complete part of the training programme abroad (e.g., go abroad to conduct research or to take part in an international conference).
- The First Supervisor undertakes to take on regular teaching assignments (seminars and colloquies) concerning substance and methods within the framework of technical study and training offerings of the doctoral course.

### **F. Publication of results**

- In the case of publications relating to the work, the First Supervisor undertakes to name the Doctoral Candidate as an author. The Vancouver Statements (see full text at: <http://www.icmje.org/> ) apply to the naming of authors and the order in which they appear in publications.

### **G. Measures in case of conflict**

- If conflicts relating to the thesis project should arise between the Doctoral Candidate and the Supervisor, which cannot be resolved internally or within the framework of the doctoral course, the case can be brought to the Thesis Commission. If necessary, the Commission will, at its discretion, call in the ombudsperson of the Charité - Universitätsmedizin Berlin. According to the *Principles of the Medical Faculty of the Charité for ensuring good scientific practice* the Doctoral Candidate may also call in the ombudsperson of the Charité - Universitätsmedizin Berlin independently.

- If the First Supervisor no longer wishes to supervise the thesis project, the reasons must be put down in writing and the Thesis Commission informed. It must be stated in the letter whether there is a point in continuing the project under another supervisor and whether the relevant data are available.

## **H. Termination**

- If for private or professional reasons the Doctoral Candidate no longer wishes to pursue her/his thesis project, he/she shall promptly inform the First Supervisor and hand over to him/her the research data obtained up to that point. Upon consultation with the Doctoral Candidate, the Supervisor is free to use the data according to his/her discretion, but in the publication, he/she shall recognise the Doctoral Candidate's contribution according to the amount of work done up to that point in the form of an acknowledgement or co-authorship.
- In the event of termination of the thesis project within the framework of a structured doctoral course, the written reasons of the Doctoral Candidate and of the Supervisor shall be forwarded to the office of the structured doctoral course.
- In the case of termination of the thesis project, the Thesis Office shall be informed of this and of the reasons for the termination in writing.

## **I. Concluding remarks**

- All parties agree that no legal claim to a successful thesis or to employment can be derived from the present Agreement.
- Any and all changes to the Agreement shall be made in writing by the Doctoral Candidate and the Supervisors.
- All signatories have each received a transcript of the present Thesis Agreement.
- The original of this Thesis Agreement shall be filed in the Thesis Office.
- If applicable, a transcript of the present Thesis Agreement shall be filed in the office of the structured doctoral course.
- Severability clause: Should individual provisions of this Agreement be invalid or impracticable or should they become invalid or impracticable following the conclusion of the Agreement, this shall not affect the effectiveness of the remainder of the Agreement. The invalid or impracticable provision shall be replaced by the effective and practicable provision that comes closest to the purpose of the invalid or impracticable provision intended by the parties to the Agreement. The provisions above shall apply accordingly in the event that the Agreement proves to be incomplete.



## Signatures

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Doctoral Candidate

Stamp of the First  
Supervisor's  
institution

\_\_\_\_\_  
First Supervisor

\_\_\_\_\_  
Second Supervisor (if applicable)

\_\_\_\_\_  
Third Supervisor (if applicable)

### **Declaration of Data Protection of the Doctoral Candidate**

- I herewith - as Doctoral Candidate - declare that I approve of the acquisition, storage and utilisation of all personal and technical data necessary for the thesis procedure (name, surname, birthdate and –place, postal adress, email, date and place of university diploma, nationality, date of boards).
- I herewith - as Doctoral Candidate - declare that I approve of the acquisition, storage and utilisation of all personal and technical data necessary for the Certified-Science-Training of the Charité -Universitätsmedizin Berlin (name, surname, birthdate, postal adress, email).

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Doctoral Candidate

### **The following documents are to be attached:**

- Medical or dental examination certificate, a master's degree certificate or the equivalent thereof (a copy is sufficient) or

- Certificate of enrolment in a medical or dental course of study at the Charité

Certificates acquired abroad must first be checked for equivalence to a comparable certificate from a German university by *Zentralstelle für ausländisches Bildungswesen in Bonn*. Please enclose the notification from that office. For more information, please go to:

[http://promotion.charite.de/promotion/betreuer/erkennung\\_auslaendischer\\_hochschulabschluesse/](http://promotion.charite.de/promotion/betreuer/erkennung_auslaendischer_hochschulabschluesse/)

Certificates checked for validity for doctoral candidature:

Stamp of the Thesis Office

\_\_\_\_\_  
Signature of the Clerk for Thesis Affairs

The present Thesis Agreement contains parts of a bill drawn up under the responsibility of Dr. Felicitas Witte (Via medici), Prof. Ursus-N. Riede (University of Freiburg), Prof. Martin Werner (University of Freiburg). It was adopted by the Council of the Medical Faculty of the Charité - Universitätsmedizin Berlin in 2011.