

Before you fill out the Doctoral Agreement:

About half of all doctoral agreements submitted to the Doctoral Office cannot be processed because important information is missing: the description of the topic is meaningless, the signature is missing, the statistics section has not been completed, a copy of the university certificate is not enclosed, etc. All these doctoral agreements require further inquiries - or we have to send them back to you.

This ties up considerable resources, which are then lacking for other things! Please save yourself and us unnecessary effort! Please read the following information carefully, fill out the doctoral agreement completely and send the original to the Doctoral Office (please send a simple copy of your certificates)! If you have any questions, please send us an e-mail to promotionsbuero@charite.de

- If you are aiming for a PhD or MD/PhD and wish to submit a monograph, you must submit a separate written application to the Doctoral Commission. The same applies if you wish to submit a monograph which is protected by patent law. In these cases, please read our notes at: https://promotion.charite.de/en/procedure/regulations_2017/registration_and_enrolment/
- If you are doing your doctorate in a structured doctoral programme such as a doctoral programme, a graduate college or a SFB, please enclose the certificate of admission to this programme. This will be issued by the office of the respective programme.
- Start of work: Please indicate the actual start of work, i.e. the date from which you will begin working on your doctoral project. Please note that you have to register before you can start work. If this was not possible in individual cases, please enclose an informal letter from your first supervisor explaining the reasons for this.
- For the degrees of Dr. med., Dr. med. dent. and Dr. rer. medic. you need at least one additional supervising person in addition to the first supervisor. For the degrees PhD and MD/PhD you will need two additional supervisors. The first supervisor should be a member of the Charité. If this is not the case (e.g. for members of the FU or HU), another supervisor must be a member of the Charité. We have listed on our website who may supervise doctoral projects [*in German only*]: <https://promotion.charite.de/promotionsverfahren/betreuung/>
- Section A/ The Work:
 - Please try to present the topic of your work as precisely and as meaningful as possible!
 - Clarify with your supervisors whether you need an animal experiment permit or an ethics vote or both! Note: If you are aiming for a publication doctorate, please note that some journals also require an ethics vote for works that do not require one under German law.
 - Provide meaningful information on the sub-steps and investigations!
 - Provide a realistic and meaningful processing time. For example, do not write "6 months" if you want to conduct a study with patients that is planned to last several years!
- Section B: Please make sure that the information on the methods already established and those yet to be established are meaningful!
- Obtain all signatures of your supervisors! Please also sign yourself! Have your first supervisor also stamp the agreement! Without stamp and signatures we cannot register you!
- Further information (p. 9): Fill in this section completely! Download the key directories (Schlüsselverzeichnis), which will help you answer the questions: https://promotion.charite.de/en/links_downloads/
- Annexes (p. 11): Please ensure that you attach all the required annexes (simple copy attached).
- If you present your Bachelor's and Master's certificates, please make sure that the number of ECTS credit points is also shown! For a BA you must have acquired at least 180 ECTS credit points, for a Master at least 120 ECTS credit points. If you have acquired less than 300 ECTS credit points, you must go through an aptitude assessment procedure, which is, however, subject to certain conditions: https://promotion.charite.de/en/procedure/regulations_2017/aptitude_assessment/ If you have acquired a foreign university degree, please read our notes on this carefully: https://promotion.charite.de/en/procedure/recognition_of_international_degrees/

Thanks a lot!

Your Doctoral Office

Medical Faculty Charité – Universitätsmedizin Berlin

Campus Virchow-Klinikum
 Thesis Office
 Augustenburger Platz 1
 13353 Berlin

Obligatory registration of a doctoral candidature and Doctoral Studies Agreement

(based on the Doctoral Studies Regulation dated 1st November 2017, published in Charité’s Official Bulletin No. 198)

This Doctoral Studies Agreement lays down the framework for drawing up a doctoral dissertation. Under the current Doctoral Studies Regulation, conclusion of the Agreement is a formal requirement for starting a doctoral dissertation.

The candidate wishes to obtain the following degree (please mark applicable box with a cross):

	Dr. med./ Dr. med. dent.	Dr. rer. medic.	PhD	MD/PhD	PhD*	MD/PhD*
Publication dissertation						
Monograph						
copyrighted monograph						
	Copyrighted monographs require special permission from the Doctoral Commission before starting the work		Monographs for these degrees require a separate approval from the Doctoral Commission before starting the work			

* PhD or MD/PhD within the framework of a doctoral course at Charité; application for admission to the doctoral course is required

If applicable (for PhD, MD/PhD):

 Name of doctoral course

- Start of work is on _____ (date).
- The work will be written in the following language (please mark applicable box with a cross):
 German English The doctoral candidate’s native language is English

Co-operative doctorate

Are you pursuing the doctoral project in co-operation with a university of applied sciences or is at least one professor of a university of applied sciences acting as a co-supervisor?

No Yes If the answer is in the affirmative:

Name and seat of the university of applied sciences: _____

Field/ institute/ department: _____

Name and address of the professor: _____

The following is herewith agreed by

Ms/Mr _____

surname

given name

(hereinafter called **the doctoral candidate**) -required

born on: _____ in: _____

postal address: Zip Code, place : _____

street: _____

email: _____

mobile tel. (optional): _____

and

surname

given name

acad. degree:

(hereinafter called **first supervisor** -required)

email: _____ duty telephone: _____

institution/department: _____

(mobile)tel. (optional): _____

and

surname

given name

acad. degree:

(hereinafter called second supervisor – (required)

email: _____ duty telephone: _____

institution/department: _____

(mobile) tel. (optional): _____

- On being granted authorisation to teach, this person becomes first supervisor with all attendant rights and obligations.
- If the first supervisor leaves, this person becomes first supervisor with all attendant rights and obligations, provided that he/ she has an authorisation to teach.
- Assumes direct supervision.

and (if applicable)

surname

given name

acad. degree:

(hereinafter called **third supervisor**) obligatory for PhD and MD/PhD

email: _____ telephone (office): _____

institution/department: _____

(mobile) telephone (optional): _____

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

(competent institution)

A. The work

- Subject/working title/theme) max. 160 characters/essential hypotheses of the doctoral dissertation:

Working title/theme:

Essential hypotheses:

- If **animal experiments** are conducted, an approval from the competent authority is required:
 - obtained
 - requested by first supervisor
 - not applicable
- If **examinations** are conducted on **test persons or patients**, approval must be obtained from the competent ethics commission or competent office and the framework conditions for an orderly conduct of the studies are to be ensured.. An approval /permission
 - has been granted
 - has been applied for by the first supervisor
 - is not applicable
- It should be pointed out that if **retrospective evaluations** of treatment data from the clinical routine are conducted, which take place without making renewed contact and/or follow-up examinations, § 25 of the State of Berlin's hospital code (LKG) must be complied with. The need for consent does not apply only in cases listed in paragraph 1, sentence 2, of LKG. For studies in epidemiological research involving personal data, approval must be obtained from the competent ethics commission. Moreover, the approval must be obtained in all cases where a publishing house makes it a condition for accepting a manuscript.
 - Taken note of
- Is the collection and/or evaluation of data required?
 - yes
 - no

Note: If you are submitting a doctoral thesis with a quantitative analysis as a monograph, you must present to the Doctoral Commission a certificate of a statistician accredited by the Charité University that the statistical analysis of the thesis is sufficient in type and scope. If you are submitting a doctoral thesis with a qualitative analysis as a monograph, the Doctoral Commission strongly recommends to consult an expert in qualitative methodology in order to safeguard that the qualitative methodology is sufficient in type and scope. The Doctoral Commission reserves the right to separately assess the correct application of qualitative methodology. You will find further relevant instructions on the web site of theOffice for Doctoral Studies..

- The following steps/ investigations are required for processing the theme of the doctoral candidature:

- At this point, the processing time (given an assumed time spent of _____ hours per day/week/month) for obtaining the required results is estimated to be approximately _____ months. The following attendance times in the competent institution are probably required:

- A sabbatical or a period of _____ months is probably required or planned exclusively for doing research work

- yes
- no

- Expeditious processing of the research theme could be affected by the following factors in a way that cannot be confidently estimated at present:

It is assumed that the work can be completed within three years. If this time limit cannot be met, the reasons should be discussed and recorded.

B. The first supervisor

- i. He/she is at least a private lecturer or an independent junior research group leader (e.g. Emmy Noether-Programm of DFG) determined through a selection process and holding a doctorate).
- ii. He/she sees to it that the doctoral candidate receives on-the-job training and that the doctoral process can be brought to a speedy conclusion.
- iii. He/she sees to it that the work is carried out (resources, financing, statistical support).
- iv. He/she sees to it that the requisite permits have been obtained or applied for.
- v. He/she sees to it that the doctoral candidate gets the necessary statistical data support.
- vi. He/she undertakes to observe the statute of Charité – Universitätsmedizin Berlin Ensuring Good Scientific Practice and the general data privacy provisions.
- vii. Along with the other supervisors, he/she organises the work in such a way that publishable results can be achieved. In the case of a publication, the guidelines of ICMJE (International Committee of Medical Journal Editors; www.icmje.org) on the authorship of the doctoral candidate are to be applied.
- viii. This does not apply if the dissertation contains temporarily copyrighted content; in this case, following approval by the Doctoral Commission, the dissertation is to be submitted as a copyrighted monograph. It is then published after copyrights, etc. if any, have been successfully acquired or after expiry of a period set by the Doctoral Commission, at the earliest.
- ix. The following scientific methods required for processing the theme have **already been tested and established**:

- x. The following scientific methods required for processing the theme **are yet to be established**:

- xi. In the event that he/she leaves Charité, he/she undertakes to make sure that further supervision is provided. This can be done personally or by way of transfer to the second or third supervisor or to another suitable person. The Office for Doctoral Studies must be informed about this in writing.
- xii. He/she undertakes to ensure access to the primary data of the dissertation over a period of 10 years, or in the event of leaving the Charité, he/she will see to it that access will be possible via others. This is normally done by providing a digital copy of the primary data when opening the doctoral studies process in accordance with Section 8, paragraph 1 lit. i of the Doctoral Studies Regulation. All other forms require approval from the Doctoral Commission. Please note that Charité – Universitätsmedizin Berlin conducts random audits. In the case of a copyrighted monograph, primary data must also be securely stored for 10 years. This must be laid down in agreements between the research partners.
- xiii. Within the framework of the doctoral examination procedure, he/she undertakes to put forward only independent and neutral reviewers for the reviewing process and to desist from any communication that may lead to a reduction of the reviewer's independence and neutrality.

C. The doctoral candidate

- i. He/she undertakes to abide by the statute of Charité – Universitätsmedizin Berlin Ensuring Good Scientific Practice and by recommendations of the Office for Good Scientific Practice so as to prevent self-plagiarism and to comply with general data privacy provisions. In the case of a publication, the guidelines of ICMJE (International Committee of Medical Journal Editors; www.icmje.org) on the authorship of the doctoral candidate are to be applied.
- ii. He/she is aware that under the Doctoral Studies Regulation (Section 7, paragraph 8), the use of services of a commercial dissertation adviser or ghostwriter precludes the recognition of sufficient independence of the dissertation, and if the use of such services should become known post factum, this may result in withdrawal of the doctor's degree.
- iii. He/she undertakes actively to participate in courses, further education and events of the doctoral studies environment or, if applicable, in events of his/her doctoral studies and to provide certificates of such participation.
- iv. He/ she is aware that the study reports and all research results will remain at the clinic/ institute as their proprietor. In the case of a copyrighted monograph, the proprietary rights to study reports and all research results must be determined and laid down in written agreements, which are to be submitted to the Doctoral Commission along with an application for a content-protected monograph, ensuring that confidentiality is maintained.
- v. He/she undertakes expeditiously to process the theme of the dissertation within the specified period and not to leave the data obtained to third parties or, bypassing the supervisors, to publish them without authorisation.
- vi. He/she undertakes to submit progress reports at regular intervals, also in the form of internal and external presentations, especially within the framework of doctoral courses of study.
- vii. In the case of a publication dissertation, if hindrances should occur in the way of a publication dissertation, he/she undertakes to work resolutely toward completing the publications required by the Doctoral Studies Regulation and to inform the supervisors in good time, and, in the case of a PhD or MD/PhD, to apply for the submission of a monograph.
- viii. In the case of a copyrighted monograph, he/she undertakes to comply with the written agreements with the research partners.
- ix. He/she undertakes to keep the supervisors and the Doctoral Commission posted on their current postal address and on how they can be contacted (email, telephone).
- x. If he/she wishes to suspend his/her doctoral studies and take a sabbatical of over one year, he/ she shall notify the supervisors about this without delay, make the data obtained to date available to the supervisors and agrees with them in writing on the further course to be taken applicable only outside doctoral studies.
- xi. He/she undertakes to make the primary data of the doctoral studies accessible over a period of ten years, or in the event of leaving the Charité, to make the data available via third parties. As a rule, this is done by providing a digital copy of the primary data when opening a doctoral candidature studies process in accordance with Section 8, paragraph 1 i) of the Doctoral Studies Regulation. Please note that Charité – Universitätsmedizin Berlin conducts random audits. In the case of a copyrighted monograph, it is to be ensured that primary data are also stored for a period of ten years. This is to be laid down in agreements between the research partners.

D. The cooperation

- i. The first supervisor shall see to it that the doctoral candidate is thoroughly familiarised with the subject and with all the methods and research techniques required for processing the subject. Moreover, the first supervisor shall see to it that the doctoral candidate receives an adequate measure of guidance when establishing new methods.
- ii. The doctoral candidate and the supervisor shall meet at the following regular intervals in order to discuss the status of the doctoral studies and any associated issues:

<p>First supervision</p> <p><input type="checkbox"/> once a week</p> <p><input type="checkbox"/> once a month</p> <p><input type="checkbox"/> twice a month</p> <p><input type="checkbox"/> _____</p> <p>(another interval, „if necessary“ will not be accepted)</p>	<p>Second supervision</p> <p><input type="checkbox"/> once a week</p> <p><input type="checkbox"/> once a month</p> <p><input type="checkbox"/> twice a month</p> <p><input type="checkbox"/> _____</p> <p>(another interval, „if necessary“ will not be accepted)</p>	<p>Third supervision (if applicable)</p> <p><input type="checkbox"/> once a week</p> <p><input type="checkbox"/> once a month</p> <p><input type="checkbox"/> twice a month</p> <p><input type="checkbox"/> _____</p> <p>(another interval, „if necessary“ will not be accepted)</p>
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- iii. In the case of a doctoral candidature within doctoral courses, unless specified otherwise by the respective doctoral studies regulation and in the case of registration for a PhD, at least one meeting a month shall take place with the first supervisor. At least one meeting a year shall take place between the doctoral candidate and the Thesis Committee, at which all supervisors are represented.
- iv. The doctoral candidate and the supervisors undertake, under no circumstances, to manipulate the data obtained and to interpret them only after correct biometric examination.
- v. If it should emerge in the course of the doctoral studies process that, for reasons beyond the doctoral candidate's control, the theme cannot be processed in the form originally planned, the first supervisor shall promptly inform the doctoral candidate of this and, if possible, offer him/her an alternative so that not too much time is lost.
- vi. The statute of the Medical Faculty of Charité – Universitätsmedizin Berlin Ensuring Good Scientific Practice is regarded as the basis for compliance with the rules of good scientific practice. This includes, in cases of doubt, the doctoral candidate's consulting with his/her supervisors or other persons of trust from Charité – Universitätsmedizin Berlin.

E. Accompanying training programme

- i. The doctoral candidate undertakes to take part in courses taking place in the doctoral studies environment with a view to earning the required ECTS CP totalling 5 ECTS CP for the standard track and 30 ECTS CP for the advanced track if he/she is not already taking part in a structured doctoral studies programme.
- ii. The doctoral candidate shall consult with his/her supervisors when selecting courses and record the result in a course schedule. In the course of the doctoral studies, the doctoral candidate shall make his/her own scientific contributions. The Bureau „Doctoral Studies Environment Coordination“ decides on the recognition. The doctoral candidate can do part of the training programme abroad. The supervisor undertakes to support these activities of the doctoral candidate. Further details are contained in Item VII. of the Implementation Provisions of the Doctoral Studies Regulation.

F. Publication of results

In the case of publications on the work, the supervisors undertake to include the doctoral candidate's name as the author. The rules of the Uniform Requirements for Manuscripts Submitted to Biomedical Journals: Writing and Editing for Biomedical Publication shall apply (see: http://www.icmje.org/urm_full.pdf)

G. Measures in case of conflict

- i. If conflicts pertaining to the doctoral candidature should arise between the doctoral candidate and the supervisors, which cannot be resolved between the persons concerned, the case can be referred to a person of trust for doctoral affairs appointed for this purpose by the Faculty Council.
- ii. To safeguard good scientific practice, under the statute of Charité – Universitätsmedizin Berlin Ensuring Good Scientific Practice, the doctoral candidate and the supervisors have the right independently to refer to the ombudspersons in accordance with the abovementioned statute. This applies analogously to the ombudspersons of the respective doctoral studies programme and the person of trust for doctoral affairs.

H. Breaking off doctoral studies

- i. If the doctoral candidate does not wish to continue his/her doctoral studies, he/she shall promptly inform his/her supervisors of this and hand over to them the research data obtained to date. They can, upon consultation with the doctoral candidate, utilise the data according to their discretion, but they are obligated to acknowledge the contribution made to date by the doctoral candidate according to the amount of work done in the publication in the form of an acknowledgement or co-authorship. A breach of this constitutes a breach of the rules of good scientific practice and, to safeguard good scientific practice, can be sanctioned in accordance with the statute of Charité Ensuring Good Scientific Practice.
- ii. In the event of breaking off the doctoral studies, the first supervisor, and the doctoral candidate shall inform the Office for Doctoral Studies in writing of this and of the reasons for breaking off the studies.
- iii. If the doctoral studies are broken off within the framework of a doctoral studies programme, the reasons for this shall be submitted in writing also to the Business Office of the doctoral studies programme.
- iv. If a supervisor no longer wishes to supervise the doctoral candidature project, he/she has to inform the Thesis Commission of the reasons for this in writing. In this declaration, he/she has to state if it will be purposeful to continue the project under another supervision and if the data already obtained are available for this purpose. In the case of a copyrighted monograph, this declaration must be in conformity with the agreements with the research partners. This does not relieve the supervisor of his/her obligation to maintain confidentiality.

I. Conditional opening of the doctoral studies process

- i. All parties are cognizant that for students of human medicine and dentistry of Charité, who have completed at least the first part of the medical or dentistry examination or who have successfully completed an equivalent examination or achieved an equivalent level of training within the framework of a model study course, the doctoral examination procedure can be conditionally opened, but that a successful completion of all tests and State examinations remains an essential requirement for completing the doctoral examination procedure and conferring a doctorate (Section 8, par. 3). Furthermore, all parties are cognizant that the students of medicine or dentistry are awarded the certificate of doctoral studies only after they produce the certificate of successful completion of the medical or dental examination (Section 13, paragraph 5).
- ii. All parties are cognizant that successful completion of a course of studies in human medicine or dentistry is an essential requirement for completing the doctoral candidature process, and that the MD/PhD degree will be awarded (Section 1, par. 3) only upon presentation of a certificate of successful completion of a course of studies in human medicine or dentistry (Section 13, par. 6).

J. Concluding remarks

- i. All parties agree that a legal entitlement to a successful doctorate or a position cannot be derived from this Agreement.
- ii. If changes are made to the Agreement with regard to the supervisors, a written record of such changes shall be made by the doctoral candidate and the supervisors and deposited at the Office for Doctoral Studies.
- iii. The doctoral candidate shall see to it that the all signatories get a copy of this Doctoral Studies Agreement.
- iv. The original of this Doctoral Studies Agreement shall be deposited at the Office for Doctoral Studies within the framework of the registration of the doctoral studies.
- v. If applicable, a copy of this Doctoral Studies Agreement shall be deposited at the Business Office of the doctoral course.
- vi. Severability clause: If individual provisions of this Agreement should be invalid or not implementable, or if, after conclusion of agreement, they should become void or not implementable, the validity of the rest of the Agreement shall not be affected. The invalid or not implementable provision shall be replaced by the valid and implementable provision that comes most closely to meeting the objectives that the parties to the Agreement had pursued with the invalid and/or not implementable provision. The foregoing provisions apply accordingly in the event that the Agreement proves incomplete.

In addition, the following points are agreed:

Original signatures

Place, date

Doctoral candidate

Stamp of the first supervisor's institution

First supervisor

Second supervisor

Third supervisor (if applicable)

Enrolment obligation

I am aware that I am obligated, without delay, after registering my doctoral studies project, to enrol as a doctoral student at Charité – Universitätsmedizin Berlin until conclusion of my doctoral studies project if I am not already a student or staff member.

Referat Studienangelegenheiten, Hannoversche Straße 19, 10115 Berlin

Further particulars

Particulars required under HStatG (Hochschulstatistikgesetz – higher education statistics act)

Particulars on the subject of the doctorate (see key list 0.1) _____

Initial enrolment as a student

Which college (pls. use key list 3): _____ or

HCollege abroad (pls. use key list 6.1): _____

Initial enrolment for Summer semester [1] Winter semester [2]

Initial enrolment in the year _____

Completion of studies entitling the student to pursue a doctorate

Employment at Charité: yes [1] no [0]

You are currently a student enrolled at Charité studying medicine or dentistry? yes [0] no [1]

If answered in the negative:

Location of college(pls. use key list 2.2): _____ or

HCollege abroad (pls. use key list 6.1): _____

Kind of examination (pls. use key list 5): _____

First completed subject (pls. use key list 4.3) _____

Completion of studies (month/year) _____ / _____

Mark (pls. use key list 11) _____

Initial university entrance qualification obtained (HZB) (e.g., school leaving examination Abitur)

Graduation year: _____

Kind (pls. use key list 8): _____

Federal state (pls. use key list 1.1): _____ or

District (pls. use key list 1.2.2): _____ or

HZB obtained abroad (pls. use key list 6.1): _____

Gender and Form of Address

Male (Mr.)

Female (Ms.)

Diverse

If you marked diverse, please indicate how you would like to be addressed: _____

Citizenship

1. _____ and possibly 2. _____

Type of doctoral thesis

Please indicate whether you are carrying out your thesis project in cooperation with other national or international universities or research institutions. Note: A cooperation only exists if a contract or agreement exists between the parties.

- Doctoral thesis at the Charité including all potential collaborations with universities in Germany
- Doctoral thesis in cooperation with universities abroad
- Doctoral thesis in cooperation with universities of applied science (Note: Regardless of your entries on page 1, please only check this box, if there is a contract or an agreement with this university of applied science in conjunction with your thesis project.)
- Doctoral thesis in cooperation with research institutions
- Doctoral thesis in cooperation with businesses or other types of institutions

Type of registration

- First registration
- Re-registration (only check, if you have already registered a doctoral thesis at the Charité or at another university – irrespective of whether you discontinued or successfully completed your thesis.)

Consent to use the doctoral candidate's data

I hereby declare that I, the doctoral candidate, give my consent to collect, store and process the statistical, technical and personal data required for my doctoral thesis.

Place, Date

Original signature of the doctoral candidate

Doctoral candidate's consent to data processing

I, the doctoral candidate, hereby declare my consent to the acquisition, storage and use of statistical, technical and personal data required for the doctoral studies process.

Place, date

original signature of the doctoral candidate

The following enclosure is to be included:

For registering for the degree of **Dr. med.** or **Dr. med. den.**:

- certificate of medical or dental examination

or

- certificate of matriculation in the course of medicine or dentistry at Charité

For registering for the degree of **Dr. rer. medic.**:

- a certificate of completion of a non-medical course of studies in a subject with a master's degree (or equivalent) in a subject related to the subject of the doctoral candidature and certificate of the bachelor or equivalent undergraduate degree

or

- a Bachelor certificate showing that the doctoral candidate has completed a course of studies in a subject relevant to the subject of the doctorate (under Section 6, par. 5 of the Doctoral Studies Regulation, an aptitude assessment process is required)

For registering for the degrees of **PhD** and **MD/PhD**, which are conferred within the framework of a doctoral course:

- Admission to the relevant doctoral course
- Certificate of medical or dental examination

or

- Certificate of completion of a course of studies with a master's degree (or equivalent) and certificate of the bachelor or equivalent undergraduate degree

or

- Certificate of completion of a course of studies with a bachelor's degree in a subject relevant to the subject of the doctorate (in accordance with Section 6, paragraph 5 of the Doctoral Studies Regulation, an aptitude assessment is required)

For registering for the **PhD and MD/PhD** degree, which is awarded **not** within the framework of a doctoral course:

- exposé with course plan, (including time plan), project plan declaration on the financing of the doctoral project (the exposé, must be signed by the doctoral candidate and the supervisors)
- Certificate of medical or dental examination

or

- Certificate of a course of studies completed with a master's degree (or equivalent) in a subject relevant to the subject of the doctorate and certificate of the bachelor or equivalent undergraduate degree

or

- Certificate of a course of studies completed with a bachelor's degree in a subject relevant to the subject of the doctorate (according to Section 6, par. 5 of the Doctoral Studies Regulation, an aptitude assessment process is required examination)

However, in the event that a registration for the PhD or MD/PhD degree, which is awarded not within the framework of a doctoral course of study, is to be made **before completing the course** in medicine or dentistry, but after completion of the 6th semester, the following documents are to be enclosed:

- Certificate of enrolment in medical or dental studies at Charité
- Letter of recommendation from a college teacher
- Detailed reasons for starting the doctoral studies project already while the student is still studying
- Explanation as to how the studies are to be reconciled with the doctorate
- Exposé with a course plan (including a time plan, project plan, explanation concerning the funding of the doctoral studies project (the exposé must be signed by the doctoral candidate and the supervisors).

Certificates obtained abroad must first be examined by *Zentralstelle für ausländisches Bildungswesen* (central office for foreign education) in Bonn for equivalency with a German college degree. The certificate of equivalence is to be enclosed. For additional information, please go to:

https://promotion.charite.de/promotion/betreuung/anererkennung_auslaendischer_hochschulabschluesse/

Declaration of data privacy and confidentiality

In deciding on the dissertation subject, special obligations must be complied with in so far as this involves collecting and evaluating patient data. In particular, this includes maintaining professional secrecy and confidentiality of documents pertaining to patients.

- If the doctorate involves accessing patients' records/data, a written permission must be given by the medical management of the institution.
- Any copies made of the patients' records must be strictly anonymised.
- In no case may patients' records be taken out of the institution, or printouts photocopies or photos made or stored on cloud hosting servers.
- Patient data may not be stored on data media.
- Accessing patient data via VDI using a VPN connection is not permissible.
- Compliance with the operating procedures of Charité for information security and data privacy is obligatory.

Today, I was comprehensively advised by my supervisor that I am bound by confidentiality under Section 203, of *Strafgesetzbuch* (StGB -Penal Code).

The wording and contents of Section 203 of StGB are as follows:

(1) Whosoever unlawfully discloses a secret of another, in particular, a secret which belongs to the sphere of personal privacy or a business or trade secret, which was confided to or otherwise made known to him in his capacity as a

1. physician, dentist, veterinarian, pharmacist or member of another healthcare profession which requires state-regulated education for engaging in the profession or to use the professional title;
2. professional psychologist with a final scientific examination recognised by the State;
3. attorney, patent attorney, notary, defence counsel in statutorily regulated proceedings, certified public accountant, sworn auditor, tax consultant, tax agent, or organ or member of an organ of a law, patent law, accounting, auditing or tax consulting firm in the form of a company;
4. marriage, family, education or youth counsellor as well as addiction counsellor at a counselling agency which is recognised by a public authority or body, institution or foundation under public law;
- 4a. member or agent of a counselling agency recognised under section 3 and section 8 of the Act on Pregnancies in Conflict Situations;
5. a state-recognised social worker or state-recognised social education worker; or
6. member of a private health, accident or life insurance company or a private medical, tax consultant or attorney invoicing service, shall be liable to imprisonment not exceeding one year or a fine.

(2) Whosoever unlawfully discloses a secret of another, in particular, a secret which belongs to the sphere of personal privacy or a business or trade secret, which was confided to or otherwise made known to him in his capacity as a

1. public official;
2. person entrusted with special public service functions;
3. person who exercises duties or powers under the law on staff employment representation;
4. member of an investigative committee working for a legislative body of the Federation or a state, another committee or council which is not itself part of the legislative body, or as an assistant for such a committee or council;
5. publicly appointed expert who is formally obliged by law to conscientiously fulfil his duties, or
6. person who is formally obliged by law to conscientiously fulfil his duty of confidentiality in the course of scientific research projects, shall incur the same penalty. Particular statements about personal or material relationships of another which have been collected for public administration purposes shall be deemed to be equivalent to a secret within the meaning of the 1st sentence above; the 1st sentence above shall not apply to the extent that such particular statements are made known to other public authorities or other agencies for public administration purposes unless the law forbids it.

(2a) Subsections (1) and (2) above shall apply mutatis mutandis when a data protection officer without authorisation discloses the secret of another within the meaning of these provisions, which was entrusted to or otherwise revealed to one of the persons named in subsections (1) or (2) above in their professional capacity and of which he has gained knowledge in the course of the fulfilment of his duties as data protection officer.

(3) Other members of a bar association shall be deemed to be equivalent to an attorney named in subsection (1) No 3 above. The persons named in subsection (1) and the 1st sentence above shall be equivalent to their professionally active assistants and those persons who work with them in training for the exercise of their profession. After the death of the person obliged to keep the secret, whosoever acquired the secret from the deceased or from his estate shall be equivalent to the persons named in subsection (1) and in the 1st and 2nd sentences above.

(4) Subsections (1) to (3) above shall also apply if the offender unlawfully discloses the secret of another person after the death of that person.

(5) If the offender acts for material gain or with the intent of enriching himself or another or of harming another the penalty shall be imprisonment not exceeding two years or a fine.

I am obliged to maintain confidentiality about all procedures. This obligation applies vis-à-vis patients' and my own relatives as well as vis-à-vis all persons not employed at Charité - Universitätsmedizin Berlin. I am aware that this confidentiality obligation will remain in force without restriction or time limit even after termination of the doctoral course. I have been advised that a breach of the confidentiality obligation can be a cause for breaking off the doctoral studies process and instituting criminal proceedings. I undertake to act in accordance with the advice. I expressly declare that I have understood the advice given and that I have no further questions.

Place, date

Original signature of the doctoral candidate

Declaration on citing

I am cognizant that I must have written the entire text of my dissertation myself. Exceptions are texts taken from other publications, which I must clearly mark accordingly and whose origin I must show by citing.

Pointers on correct referencing of literature sources/citing

The source reference or the citation, which, for instance, through brackets with a number or with the first author and year [example (29) or Mueller 2015], refers in the text to the bibliography, must make it possible to find and read the original text. All literature sources used in drawing up one's own text, or in underpinning one's own argumentation are to be listed. Citations with identical wording must always be indicated with quotation marks. Additional ways of highlighting cited text are:

1. italics
2. indentation
3. introductory formulations such as: „As pointed out by Mueller“, followed by the cited text and ending with a reference to the bibliography, e.g., (Mueller et al. 2015) or (29).

If the essence of the text is paraphrased in one's own words without changing the content, indirect speech is used. The text is integrated into the running text and does not have to be highlighted. Here, too, it is recommended to use an introductory formulation such as "As Mueller et al. report", followed by the paraphrased text and ending with the reference to the bibliography, e.g., (Mueller et al. 2015) or (29).

Pointers on referencing manuals used online:

- The internet addresses (of the producer) are listed at which the manuals were deposited at the time the project was being worked on.
- The date and time of day of the last access is noted down in the reference. Example:
http://www.medtronicretiree.com/wcm/groups/mdtcom_sg/@emanuals/@era/@crdm/documents/documents/wcm_prod081165.pdf, (last access Sep, 2016, 12:09 hours)

I have taken note of the necessity of correct citing.

Place, date

Original signature of the doctoral candidate

Certificates checked for validity for doctoral candidature and agreement checked for completeness:
Stamp of the Thesis Office

Signature of Processing Officer for Doctoral Studies