

## Checklist

**For admission to the Ph.D. in Cardiopulmonary Science according to § 3 of the PhD regulations from 16 December 2021**

Name, first name: \_\_\_\_\_

Dissertation title: \_\_\_\_\_

Supervisor: \_\_\_\_\_

### PhD

<b>Completed studies at a German university</b>	<b>Completed studies at a foreign university</b>
<input type="checkbox"/> Informal letter of application (aptitude, motivation, areas of scientific interest, idea of career path)	<input type="checkbox"/> Informal letter of application (aptitude, motivation, areas of scientific interest, idea of career path)
<input type="checkbox"/> Curriculum vitae with photograph (dated, signed, in German or English)	<input type="checkbox"/> Curriculum vitae with photograph (dated, signed, in German or English)
<input type="checkbox"/> Original or officially certified copy of the study certificate (diploma, master's degree, state examination)	<input type="checkbox"/> Original or officially certified copy of the study certificate (diploma, master's degree, state examination, if applicable certified translation in German or English)
	<input type="checkbox"/> Proof of sufficient knowledge of English (Level B2 CEFR or comparable - see § para.3 (2) d of the Regulations of 2 May 2017)
<input type="checkbox"/> Letter of recommendation of the supervisor (Subject, supervision agreement and funding)	<input type="checkbox"/> Letter of recommendation of the supervisor (Subject, supervision agreement and funding)
<input type="checkbox"/> Description of the planned research project (1000-5000 words. incl. work plan, status of research, expected scientific contribution by the project)	<input type="checkbox"/> Description of the planned research project (1000-5000 words, incl. work plan, status of research, expected scientific contribution by the project)
<input type="checkbox"/> Proposal for course hours <b>or</b> proof of enrolment in the Research Training Group	<input type="checkbox"/> Proposal for course hours <b>or</b> proof of enrolment in the Research Training Group
<input type="checkbox"/> Certificate of enrolment (can be submitted after enrolment)	<input type="checkbox"/> Certificate of enrolment (can be submitted after enrolment)
<input type="checkbox"/> Application for admission to the PhD programme <b>incl.</b> <input type="checkbox"/> Supervision agreement <input type="checkbox"/> Declaration on "Good Scientific Practice" <input type="checkbox"/> Leaflet "Legal Provisions" <input type="checkbox"/> "Declaration of consent to be included in the mailing list" form <input type="checkbox"/> "Declaration of consent on work with laboratory animals and human materials"	<input type="checkbox"/> Application for admission to the PhD programme <b>incl.</b> <input type="checkbox"/> Supervision agreement <input type="checkbox"/> Declaration on "Good Scientific Practice" <input type="checkbox"/> Leaflet "Legal Provisions" <input type="checkbox"/> "Declaration of consent to be included in the mailing list" form <input type="checkbox"/> "Declaration of consent on work with laboratory animals and human materials"

To the Chair of the PhD-Committee of  
the Faculty of Medicine

**REQUEST**

**for admission to the CPI PhD programme in accordance with § 3 of the CPI PhD  
regulations of 16 December 2021**

Name, first name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Matriculation number\*: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Telephone: \_\_\_\_\_

(\* can be submitted later)

Preliminary working title of the research project to obtain the degree of PhD:

\_\_\_\_\_  
\_\_\_\_\_

Supervisor  
of the PhD programme: \_\_\_\_\_  
Title / First name / Last name

Centre / Institute / Institution: \_\_\_\_\_

- My work is part of the structured doctoral programme (e.g. Research  
Training Group, SFB - please state the relevant number)

\_\_\_\_\_

- I have not yet attempted a PhD.

I already have a Doctoral examination/PhD examination on \_\_\_\_\_ passed / failed

at the \_\_\_\_\_  
Faculty / Department, University, Place

The topic of my dissertation at the time was:

\_\_\_\_\_  
\_\_\_\_\_

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

\_\_\_\_\_  
Signature (applicant)

## Declaration of consent by the supervisor

(according to §3 of the PhD regulations of 16 December 2021)

I hereby endorse the application for admission to the PhD programme and declare that within the framework of the research project, the following are envisaged:

### Experiments with laboratory animals

The research project includes experiments with laboratory animals  Yes  No

Appropriate quantification/certification (FELASA A/B)\* has been obtained.  Yes  No  
Notes:

Appropriate animal experimentation permit has been obtained\*.  Yes  No  
*If yes, please provide the number and a copy of the permission.*  
Notes:

\*If not available at the time of student enrollment, a copy of the appropriate FELASA certificate and documentation of animal license approval must be submitted to the CPI Promotion Committee before experiments involving animals are initiated.

### Working with human material

The research project involves the use of human material.  Yes  No

Approval has been obtained from the local ethics committee for the project. *If yes, please provide the number and a copy of the permission.*  Yes  No  
Notes:

Ethical approval has been obtained from relevant biobanks.  Yes  No  
*If yes, please provide the number and a copy of the permission.*  
Notes:

Should it become apparent during the course of the PhD studies that additional animal studies, genetic studies, human embryonic stem cell studies, human studies, or human material studies are to be performed, I declare that I will obtain the statutory approval(s) for any work subject to statutory approval prior to commencing such work and that the work will only be performed if the relevant approving body(ies) has/have raised no objection(s). I have acknowledged the "Statutory Approvals" fact sheet."

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Place, date

Signature and stamp (supervisor)

Admission to PhD studies  
by the PhD Committee on: \_\_\_\_\_

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PhD Committee Frankfurt am Main

**Data according to the Statistics Act**

The year of acquisition of the higher education entrance qualification:

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The type of higher education entrance qualification:

(A-levels, subject-specific university entrance qualification, university of applied sciences entrance qualification, vocational qualification, etc.)

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The town and postcode where you obtained your higher education entrance qualification:

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If the higher education entrance qualification was acquired abroad, the state in which it was acquired:

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The semester of **initial enrolment** (SoSe/WS and year) at a higher education institution:

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if in Germany, the university of first enrolment:

if abroad, the country of first enrolment:

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I hereby confirm that the information I have provided is correct:

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Place, date

Signature (applicant)

**Annexes** according to checklist

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## Supervision agreement

between

Mrs/Mr Prof./Priv. Doz./Dr.

.....  
(Surname, first name (supervisor))

.....  
(Institute/Clinic)

and

.....  
(Surname, first name (candidate))

.....  
(Date of birth)

.....  
(Home address, Tel.)

.....  
(study address, tel.)

.....  
(email)

The following agreement is concluded with the aim of ensuring the best possible support and supervision for applicants (candidates) admitted to the PhD program at the Cardio-Pulmonary Institute (CPI).

This agreement is based on the regulations of the Department of Medicine of the Johann Wolfgang Goethe University Frankfurt am Main and the Justus Liebig University Giessen for the PhD program "Ph.D. in Cardiopulmonary Science" as amended from time to time.

The proof of admission to the PhD program at the Cardio-Pulmonary Institute (CPI) is attached as an appendix to this supervision agreement.

To obtain the PhD degree, Prof./Priv. Doz. Dr.  
.....(= supervisor)

Ms./Mr. ....(= doctoral candidate)  
a thesis (research paper within the framework of the PhD project) with the following topic  
.....  
.....  
.....  
.....  
.....

left to.

**§1 Supervision**

In addition to the first supervisor, the candidate is supervised by a supervisory group consisting of the following persons:

The second supervisor of the thesis will be Prof./Priv.-Doz./Dr.  
.....

The third supervisor of the thesis will be Prof./Priv.-Doz./Dr.  
.....

## §2 Subject matter and duration

The research work is subject to the exposé listed in the appendix, including the general work and time plan agreed upon with the candidate, which is to be concretized and, if necessary, corrected by annually agreed upon work and time plans (see § 3 b).

## §3 Agreement between candidate and supervisor

- a) Candidate and supervisor commit themselves to a cooperative collaboration in order to successfully complete the project. Meetings will be held at regular intervals, if possible every two months, but at least twice a year, to critically evaluate what has been achieved. Where there are questions and problems, it should be agreed how these can be solved. The meetings between candidate and supervisor are observed by both sides and adequately prepared in terms of content. Once a year, all members of the supervisor group participate in this meeting.
- b) The candidate and the first supervisor agree to draw up an annual work plan and schedule for the next year based on the experience of the previous year.
- c) The candidate and the supervisory group undertake to take minutes of one of the meetings (see § 3 a) at least once a year; the meeting with the entire supervisory group must be recorded in each case. The protocol records the status of the research work, possible complications as well as the next work steps in each case. It is usually written by the candidate and countersigned by the members of the supervisory group. The form "Status of the Research Work" to be used for this purpose is available as a download on the homepage of the Dean's Office.
- d) The career perspective of the candidate should be the subject of consultation.
- e) Candidate and first supervisor agree to adhere to the principles of good scientific practice as defined in more detail for the Department of Medicine at the Johann Wolfgang Goethe University Frankfurt am Main ([https://www.uni-frankfurt.de/84252590/20191209\\_CK\\_Neufassung\\_Grunds%C3%A4tze\\_final.pdf](https://www.uni-frankfurt.de/84252590/20191209_CK_Neufassung_Grunds%C3%A4tze_final.pdf)) or the Departments of Medicine at the Justus Liebig University Giessen ([https://www.uni-giessen.de/mug/5/pdf/forschung/5\\_00\\_10\\_1\\_Neufassung](https://www.uni-giessen.de/mug/5/pdf/forschung/5_00_10_1_Neufassung)).

## §4 Tasks of the supervisor

- a) The first supervisor commits himself/herself to support the candidate in creating and carrying out the PhD project and in his/her efforts to complete the project within the agreed period of time. Furthermore, the first supervisor helps with the scientific integration of the PhD project (e.g. through colloquia). The supervisor supports the introduction of the candidate into the scientific community, e.g. by providing opportunities for lectures, searching for teaching positions, etc.
- b) The first supervisor supports the candidate's funding efforts by passing on information, providing advice and writing any reports required for this purpose.
- c) The first supervisor agrees to provide advice on the preparation of the oral examination and, if applicable, the publication(s).
- d) The first supervisor agrees to participate at least once a year in the preparation of the minutes of a meeting on the status of the research work (see § 3 c). A copy of the minutes will be sent to the CPI Academy Office without being requested.
- e) The first supervisor agrees to review the dissertation within 6 weeks.



**§5 Tasks of the candidate**

- a) The candidate undertakes to carry out the PhD project according to § 2 of this agreement. She or he will report in regular meetings (see § 3 a) with the first supervisor about the development of the PhD thesis, possible problems of implementation and connection as well as significant deviations from the work/time schedule.
- b) The candidate is obliged to keep a log book of the experimental work, which contains all experimental setups and data. The same applies to the evaluation of clinical data (more detailed regulations may be found in a separate SOP (Standard Operating Procedure) of the supervising institution).
- c) In view of the fact that medical research takes place in the context of patient care and/or safety regulations must be observed, the candidate undertakes to allow the first supervisor, and if necessary also the laboratory director, to inspect the data compiled. The laboratory logs must also be available to the laboratory after the work has been completed. The log book must remain in the laboratory in accordance with labor law regulations. The data obtained by inspection shall be treated confidentially by the inspectors.
- d) The candidate assures that he/she has not taken and will not take/purchase any professional or external assistance for the realization of the PhD thesis.
- e) The candidate undertakes to complete the research work entrusted to him or her in written form (dissertation) after completion of the experimental part or data collection within an appropriate time frame to be agreed with the first supervisor and to submit it to the Cardio-Pulmonary Institute (CPI) after approval by the first supervisor.
- f) The candidate undertakes to immediately inform both the first supervisor of the dissertation and the Dean's Office of any change of address at which he or she can be reached during the current PhD procedure.

**§6 Non-compliance**

In case of non-compliance with the above-mentioned obligations, discussions between the parties (candidate and/or first supervisor) will be held immediately in order to restore the fulfillment of the agreement or to resolve it, if necessary. In cases of conflict, the parties should contact the Chair of the Cardio-Pulmonary Institute (CPI) PhD Committee.

Date and signatures:

.....  
(date, candidate)

.....  
(date, first supervisor)

I have taken note of the above care agreement; insofar as the agreement involves the use of resources of the facility managed by me, I agree to this.

.....  
(date, head of institute)\*

\*Signature only necessary if not simultaneously a supervisor

To the Chair  
of the CPI PhD Committee

Faculty of Medicine

**Written declaration**

Name, first name: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Matriculation number\*: \_\_\_\_\_

(\*If already known; please refer to §3(6) the CPI PhD regulations)

I hereby declare that I have received and will comply with the Goethe University Frankfurt am Main Principles for Ensuring Good Scientific Practice as amended from time to time.

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

\_\_\_\_\_

(Signature of the applicant)

## Leaflet Legal Provisions

### **1. Studies on humans or human material**

The provisions of the Medicinal Products Act on the protection of humans during clinical trials (§§ 40-42 AMG), the provisions of the Medical Devices Act on clinical trials (§§ 20-23 MPG) and the Act on the Protection of Embryos (Embryo Protection Act - ESchG), as amended, must be observed. Research work abroad that is to be carried out as part of the doctoral procedure must also not contradict the Embryo Protection Act. Necessary, legally regulated authorisations are to be deposited with the doctoral office of the Faculty of Medicine.

In studies on humans, on samples obtained from humans and in research involving patients' personal data, the recommendations of the World Medical Association, as set out in the Declaration of Helsinki (original title: DECLARATION OF HELSINKI

- Ethical Principles for Medical Research Involving Human Subjects), as amended from time to time, must be observed. Against this background, the approval of the responsible ethics committee is required for these studies. If you are already planning research projects requiring approval at the time of application, a copy of the approval of the ethics committee must be enclosed with the application for acceptance as a doctoral candidate. Otherwise, the approval of the ethics committee must be deposited with the doctoral office of the Department of Medicine at the latest before the research work begins. If the original experimental plan is deviated from, the ethics committee must be consulted again. The ethics vote must explicitly refer to the project and the planned work.

### **2. Animal testing**

The provisions of the Animal Protection Act in its currently valid version and the organisational, personnel and material requirements resulting therefrom for animal husbandry and the performance of animal experiments must be observed. The Doctoral Office of the Department of Medicine recommends that in the case of animal experiments requiring approval, the official approval be obtained at the latest at the same time as the application for acceptance as a doctoral candidate is submitted. The official approval must be obtained before the research work begins. A copy of this must be deposited with the doctoral office of the Department of Medicine.

### **3. Genetic experiments**

The provisions of the Act on the Regulation of Questions of Genetic Engineering as amended from time to time shall be observed. Before the research work begins, the official approvals required under this Act and the ordinances issued in connection with it must be obtained. If the experiments must be registered with the Secretariat of the Central Commission for Biosafety (ZKBS), the letter of confirmation must be deposited with the Doctoral Office of the Department of Medicine.

I have taken note of the information sheet on the legal provisions.

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Place, date

Signature (applicant)

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## Declaration of consent for inclusion in the mailing list

In accordance with the provisions of the European Data Protection Regulation, EU-DSVGO, your consent is required for inclusion in the mailing list (Promovierendfb16) of doctoral candidates.

I hereby **declare**, \_\_\_\_\_ **I hereby agree to be** included in the mailing list "Promovierendfb16" and to the associated electronic storage of the given email address for the purpose of receiving information from the PhD Office.

Please use the following mail address(es):

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This declaration can be revoked by you at any time.

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

\_\_\_\_\_  
signature (applicant)

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## Objection to inclusion in the mailing list

I hereby **object**, \_\_\_\_\_ the inclusion in the mailing list "Promovierendfb16" and the associated electronic storage of the given email address for the purpose of receiving information from the PhD Office.

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

\_\_\_\_\_  
Signature (applicant)

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## Declaration on work with laboratory animals and human material

I hereby **declare** that I \_\_\_\_\_ will not carry out any work with laboratory animals and/or human material requiring approval without the necessary animal experiment permits or ethics votes. I undertake to submit the relevant documents to the doctoral office without being asked to do so before starting the work.

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

\_\_\_\_\_  
Signature (applicant)

Noted:

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

\_\_\_\_\_  
Signature (supervisor)