

University of Hohenheim Doctoral Regulations for the Faculties of Agricultural Sciences, Natural Sciences, and Business, Economics and Social Sciences

Based on Sec. 38(4) of the State Higher Education Act (Landeshochschulgesetz, LHG) from 1 January 2005 (Law Gazette p. 1ff.) in the version of Article 1 of the Third Higher Education Law Amendment Act from 1 April 2014 (Law Gazette p. 99), last amended by Article 3 of the Act from 9 May 2017 (Law Gazette p. 249, 250), the University of Hohenheim Senate passed the following Doctoral Regulations on 7 November 2018.

According to Sec. 38(4) sentence 1 State Higher Education Act (Landeshochschulgesetz, LHG), the President approved of the Doctoral Regulations on 14 January 2019.

Preliminary Remark on Language

According to Article 3(2) of the German Basic Law, women and men have equal rights; all terms for people and functions in these regulations apply equally to women and men.

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Part I: General Provisions

Section 1 Area of Applicability

- (1) The University of Hohenheim shall carry out all doctoral examination processes on the basis of these Doctoral Regulations.
- (2) The right to award doctorates has been accorded to the Faculties of
 - Agricultural Sciences,
 - Natural Sciences,
 - and Business, Economics and Social Sciences.

Section 2 Purpose of the Doctorate

- (1) The doctorate serves to demonstrate proof of independent, in-depth scientific work in one of the departments of the Faculty of Agricultural Sciences, Faculty of Natural Sciences, or Faculty of Business, Economics and Social Sciences.
- (2) The doctorate is based on a scientific work (dissertation) and an oral examination (defense).
- (3) After successful completion of the doctoral examination process and publication of the work, the doctoral degree shall be awarded.

Section 3 Doctoral Degrees

- (1) Based on the doctorate, the University of Hohenheim awards the following doctoral degrees:
 1. in the **Faculty of Agricultural Sciences**, the academic degree of Doctor of Agricultural Sciences - doctor scientiarum agriculturæ (Dr. sc. agr.),
 2. in the **Faculty of Natural Sciences**, the academic degree of Doctor of Natural Sciences - doctor rerum naturæ (Dr. rer. nat.),
 3. in the **Faculty of Business, Economics, and Social Sciences**, the academic degree of Doctor of Social Sciences - doctor rerum socialium (Dr. rer. soc.) or Doctor of Economic Sciences - doctor oeconomiae (Dr. oec.).
 4. If the doctorate is done as part of a doctoral degree program at the University of Hohenheim, then depending on the applicable Study and Examination Regulations, upon the request of the graduate, the academic degree "Doctor of Philosophy" (Ph.D) may be awarded instead.
- (2) The University of Hohenheim Faculties may also award honorary doctoral degrees (Doctor honoris causa - Dr. h.c.) according to Sec. 27.

Section 4 Doctoral Committee

- (1) The Faculties shall establish one or more doctoral committees. Within the Faculty with a right to grant doctorates, the doctoral committees are responsible for organizing and carrying out doctorates as well as for all other tasks assigned by these Doctoral Regulations.
- (2) In individual cases or in general, the doctoral committee may delegate the completion of its tasks to the chair or another member of the doctoral committee; this does not apply to

matters for which the State Higher Education Act (Landeshochschulgesetz, LHG) expressly requires a decision by the doctoral committee.

- (3) In urgent matters that cannot wait until the doctoral committee's next meeting, the chair shall make a decision on behalf of the doctoral committee. The reasons for the urgent decision and the way in which it was decided are to be reported to the members of the doctoral committee at the latest during the next doctoral committee meeting.
- (4) The doctoral committee
 1. is made up of a total of eight members in the Faculty of **Agricultural Sciences**. The chair of the doctoral committee shall be a professor in the Faculty of Agricultural Sciences. The chair shall be appointed by the Faculty Board. The other seven members are elected by the Faculty Council; of these, five must come from the group of professors, junior professors, or private lecturers and two must be from the group of research associates with doctorates in the Faculty. The Faculty Council also appoints three deputy members from the Faculty, including two professors and one research associate with a doctorate.
 2. in the **Faculty of Natural Sciences** is made up of the ex officio members of the Faculty Board and another seven members from the group of professors, junior professors, or private lecturers as well as one member from the group of research associates with doctorates in the Faculty; they shall be elected by the Faculty Council. The chair and one deputy chair are appointed by the Faculty Board. The Faculty Council also appoints two deputy members from the Faculty, including one professor and one research associate with a doctorate.
 3. in the **Faculty of Business, Economics, and Social Sciences** is made up of a total of five members. Of these, four must come from the group of professors, junior professors, or private lecturers and one must be from the group of research associates with doctorates in the Faculty. The members are elected by the Faculty Council, and from among them the Faculty Board appoints the chair and one deputy chair. Only professorial members may be appointed as chair and deputy chair. The Faculty Council also appoints two deputy members from the Faculty, including one professor and one research associate with a doctorate.
- (5) The term of office for elected members of the doctoral committees is four years; in the Faculty of Natural Sciences, the terms of office always end with the end of the Dean's term of office. Reappointment is permitted. When the member leaves the respective Faculty, membership in the doctoral committee automatically ends; the Faculty Council elects a successor for the remainder of the term of office.
- (6) The doctoral committee meetings are not open to the public and are scheduled as needed, typically two times per semester. Decisions can also be made in written or electronic circulation procedure if the decision to be made does not require a discussion due to its essential importance or complexity and as long as no member objects. A decision made in a circulation procedure requires the majority of votes of all members of the doctoral committee. The chair of the doctoral committee regularly reports to the Faculty Board.
- (7) If at least half of all members are present, the doctoral committee has a quorum. Decisions are made with the majority of votes of the members present; if there is a tie vote, the chair casts the deciding vote. Before the committee decides on requests, the respective primary supervisor is to be heard.

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- (8) The Faculty Council elects two ombudspersons from the professorial members of each of the Faculties. The term of office corresponds to the term of office of the doctoral committee.
- (9) The Procedural Order for Committees and Commissions at the University of Hohenheim also applies in its respectively valid version.
- (10) The Hohenheim Graduate Academy supports the doctoral committee in fulfilling its tasks. In particular, the Hohenheim Graduate Academy accepts requests regulated in these Doctoral Regulations, implements decisions by the doctoral committees, processes the decisions of the doctoral committees, and ensures that dates are announced.
- (11) The doctoral committee can pass implementation provisions.

Section 5 Supervisor and Doctoral Agreement

- (1) The doctoral committee appoints at least one supervisor (primary supervisor) who agrees to supervise the doctorate.
- (2) Supervisors can be: Any professor, junior professor, or private lecturer primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate.
- (3) Retired professors or professors emeritus from the Faculty responsible for the doctorate as well as honorary professors in the Faculty of Business, Economics, and Social Sciences can also supervise doctorates.
- (4) In exceptional cases, the dissertation can also be supervised by outstandingly qualified research associates with doctorates at the University of Hohenheim who have been given the right to examine according to Sec. 52(1) sentence 6 phrase 2 State Higher Education Act (Landeshochschulgesetz, LHG). A decision on who is considered outstandingly qualified as intended in Sec. 5(4) sentence 1 is made by the doctoral committee in individual cases.
- (5) In addition, members of other Faculties at the University of Hohenheim or other German or foreign universities may be appointed as supervisors; this includes professors at universities of applied sciences or the Baden-Württemberg Cooperative State University (DHBW). Requirements according to Sec. 5(2) apply mutatis mutandis.
- (6) In cases according to Sec. 5(3-5), the responsible doctoral committee appoints an additional supervisor (second supervisor) primarily employed at the Faculty responsible for the doctorate according to Sec. 5(2).
- (7) The primary supervisor and, if applicable, the secondary supervisor, conclude a written doctoral agreement with the applicant using the form in Annex 1 with the minimum content according to Sec. 38(5) sentence 3 of the State Higher Education Act (Landeshochschulgesetz, LHG). The doctoral agreement does not entitle the applicant to be accepted as a doctoral candidate.

Section 6 Mentor Group

- (1) Within six months, in addition to the primary supervisor, the doctoral committee also appoints a mentor group for each doctoral candidate.
- (2) The mentor group is made up of three members. They include the primary supervisor, a second member who must be part of the group of professors, junior professors, or

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private lecturers, and a third member who is particularly qualified for the respective dissertation topic.

- (3) The mentor group has the following tasks:
 1. Joint or individual subject-area advising for the doctoral candidate during the doctorate.
 2. Documented interim evaluation of the dissertation's progress with recommendations for the doctoral candidate two years after acceptance as a doctoral candidate. The interim evaluation and recommendations are added to the doctoral file by the Hohenheim Graduate Academy.
- (4) The members of the mentor group can be changed upon the request of the doctoral candidate within the scope of Sec. 6(2).

Section 7 End of the Supervisory Relationship

- (1) If the supervisor is no longer a member of the Faculty, then she or he may continue to supervise the doctoral candidates accepted according to Sec. 15. The decision on this is made by the doctoral committee upon request by the supervisor. In this case, the doctoral committee can appoint an additional supervisor who is primarily employed as a professor, junior professor, or private lecturer in the Faculty responsible for the doctorate.
- (2) If the supervisor cannot carry out the supervisory tasks for personal reasons (e.g. illness, accident, appointment) and therefore ends the supervisory relationship, the doctoral committee shall appoint another supervisor upon the request of the doctoral candidate and after hearing the doctoral candidate.
- (3) Each supervisor has the right to request from the doctoral committee the termination of the supervisory relationship for important reasons that lie with the doctoral candidate. Important reasons can include in particular personal reasons or reasons related to the subject-area expertise. Reasons related to the subject-area expertise arise when the scientific requirements for continuing the doctoral relationship do not or no longer exist; when the doctoral candidate proves to be unsuitable despite sufficient supervision; or when the doctoral candidate changes the research topic on their own initiative. Reasons related to the personal relationship can lead to the termination of the supervisory relationship if the relationship of trust has been damaged.
- (4) In cases of conflict in the context of doctorates and for self-monitoring in science, the responsible ombudsperson is available for the doctoral candidates.

Section 8 Reviewers and Examiners

- (1) Reviewers for a dissertation and examiners for the oral examination can be: Any professor, junior professor, or private lecturer primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate.
- (2) Retired professors or professors emeritus from the Faculty responsible for the doctorate as well as honorary professors in the Faculty of Business, Economics, and Social Sciences can also be appointed as reviewers and examiners.
- (3) In exceptional cases, outstandingly qualified research associates with doctorates at the University of Hohenheim who have been given the right to examine according to Sec. 52(1) sentence 6 phrase 2 State Higher Education Act (Landeshochschulgesetz, LHG)

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can also be appointed as reviewers and examiners. A decision on who is considered outstandingly qualified as intended in Sec. 5(4) sentence 1 is made by the doctoral committee in individual cases.

- (4) In addition, members of other Faculties at the University of Hohenheim or other German or foreign universities may be appointed as reviewers and examiners; this includes professors at universities of applied sciences or the Baden-Württemberg Cooperative State University (DHBW). Requirements according to Sec. 8(1) apply mutatis mutandis.
- (5) The primary supervisor of a dissertation project should also be appointed as a reviewer.
- (6) At least one reviewer and examiner must be primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate as a professor, junior professor, or private lecturer. In addition, in the Faculty of Agricultural Sciences, at least one reviewer must be external according to Sec. 8(4). For cumulative dissertations that are completed in the **Faculty of Business, Economics, and Social Sciences**, at least one reviewer must be appointed who is not a co-author of the individual articles.
- (7) If a reviewer or examiner cannot complete their tasks, after hearing the doctoral candidate and if possible in agreement with the primary supervisor, the doctoral committee appoints another reviewer or examiner.
- (8) The secondary supervisor and, if applicable, other supervisors, are typically appointed by the responsible doctoral committee upon the suggestion of the primary supervisor.

Section 9 Examination Committee

- (1) To assess the oral examination, the doctoral committee appoints an examination committee for each doctoral examination process.
- (2) The examination committee:
 1. is made up of at least three members in the Faculty of **Agricultural Sciences**, of which
 - a) at least two are reviewers according to Sec. 8; if one reviewer cannot attend, a representative is appointed;
 - b) at least one additional professor, junior professor, or private lecturer primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate. This member can be suggested by the doctoral candidate;
 - c) A member of the doctoral committee is the chair of the examination committee;
 - d) a maximum of two members may belong to the same institute at the University of Hohenheim but not the same department.
 2. is made up of at least three members in the Faculty of **Natural Sciences**:
 - a) each must come from the group of professors, junior professors, or private lecturers;
 - b) of these, at least one must be a professor at a German university with the right to award doctorates, and at least one member must be primarily employed by the Faculty responsible for the doctorate;
 - c) the primary supervisor of a dissertation project should be a member of the examination committee;

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- d) the chair of the examination committee must be primarily employed by the Faculty of Natural Sciences;
 - e) the members of the examination committee may not be members of the same department of the same institution or university.
3. is made up of at least three members in the **Faculty of Business, Economics, and Social Sciences**, of which
- a) at least two are reviewers according to Sec. 8; if one reviewer cannot attend, a representative is appointed;
 - b) at least one additional professor, junior professor, or private lecturer primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate as the chair of the examination committee. This member can be suggested by the doctoral candidate;
 - c) a maximum of two members may belong to the same institute at the University of Hohenheim but not the same department.
- (3) There is no legal right to be assigned a certain examiner.

Part 2: Admission

Section 10 General Admission Requirements

- (1) The requirement for admission to a doctorate at the University of Hohenheim is a degree obtained within the area of applicability of the German Basic Law in
- 1. a Master's degree program,
 - 2. a degree program at a university, college of education, or university of the arts within the area of applicability of the Basic Law (Diplom, Staatsexamen, Magister) with at least a four-year standard period of study, or
 - 3. a postgraduate degree building on an undergraduate degree earned at a university, college of education, or another university with the right to award doctorates.
- (2) Additional admission requirements are:
- 1. The final grade must be above average. The applicant must prove the above-averageness with the final grade of 2.5 ("good") or above.
 - 2. The degree must be relevant to the subject area. This means that for the
 - a) **Faculty of Agricultural Sciences** the applicant must show proof of a degree in agricultural sciences;
 - b) **Faculty of Natural Sciences** the applicant must show proof of a degree in natural sciences or engineering;
 - c) **Faculty of Business, Economics and Social Sciences** the applicant must show proof of a degree in business, economics, or social sciences.
- (3) Applicants whose degrees do not fulfill the additional admission requirements according to Sec. 10(2) may be admitted to the doctorate in exceptional cases if they show proof of a comparable qualification in another way. The doctoral committee may attach additional conditions or requirements to admission, typically in the form of additional examinations or an aptitude test.
- (4) The applicants must have at least good language proficiency in the language of the dissertation. The doctoral committee will determine the form of proof accepted.

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- (5) The doctoral committee determines the ability to start a doctorate in individual cases and to preserve scientific quality, has the right to attach additional conditions or requirements to applicants' admission.

Section 11 Applicants with a Foreign University Degree

- (1) Foreign university degrees must be recognized as equivalent to the required German university degrees by the doctoral committee.
- (2) When deciding about the recognition of foreign university degrees, the evaluation suggestions of the Central Office for Foreign Education Systems (ZAB) at the Secretariat of the Standing Conference of the Ministers of Education and the Arts in the Federal Republic of Germany will be considered.
- (3) The doctoral committee may require additional conditions to prove equivalency, typically in the form of additional examinations or an aptitude test.

Section 12 Particularly Qualified Graduates of a Diplom Degree Program at a University of Applied Sciences or a Berufsakademie

Particularly qualified graduates of a Diplom degree program at a university of applied sciences or a Berufsakademie can be admitted to a doctorate by the doctoral committee. The requirement is a subject-specific degree according to Sec. 10(2) no. 2 with an overall grade of at least 1.5 or better on a German scale and proof of scientific aptitude in the intended field shown in an aptitude test structured as follows:

1. In a timely manner before submitting the request for acceptance as a doctoral candidate according to Sec. 14, applicants submit a request to open an aptitude assessment procedure with the Faculty responsible for the doctorate.
2. Under consideration of the completed program and the intended dissertation topic, the doctoral committee determines the coursework and examinations needed to prove scientific aptitude in the context of the aptitude test and determines the duration of the process, which is not to exceed 18 months.
3. Admission must be denied if the applicant has failed a doctoral aptitude test or an equivalent test at a university.
4. The aptitude test is considered to have been passed if all coursework and examinations have been completed successfully.
5. The doctoral committee determines whether the aptitude test was completed successfully and informs the applicant of the result in writing.

Section 13 Particularly Qualified Graduates of Bachelor's Degree Programs

In the Faculties of **Agricultural Sciences** and **Business, Economics and Social Sciences**, particularly qualified graduates of Bachelor's programs can be admitted to a doctorate by the doctoral committee under the following conditions:

1. The doctoral committee can admit particularly qualified applicants from Bachelor's programs for a doctorate ("fast track") if the program was in subject-specific areas according to Sec. 10(2) no. 2 with a standard period of study of at least 6 semesters. The requirement is an overall grade of at least 1.5 on a German scale and written proof of approval of admission by two professors, junior professors, or private lecturers primarily employed in the Faculty responsible for the doctorate. To ensure

the requirements for a doctorate are met, the applicants first go through the following one-year orientation phase:

- a) In a timely manner before submitting the request for acceptance as a doctoral candidate according to Sec. 14, applicants submit a request to open the orientation phase with the Faculty responsible for the doctorate.
 - b) Under consideration of the completed program and the intended dissertation topic, the doctoral committee determines examinations necessary to prove scientific aptitude (at least 2 and a maximum of 6 examinations with 6 ECTS each).
 - c) Participation is to be denied if the applicant has already failed an orientation phase or similar phase.
 - d) The orientation phase is successfully completed when all examinations have been completed with the grade 1.5 or better.
 - e) The doctoral committee determines whether the orientation phase was completed successfully and informs the applicant of the result in writing.
 - f) If the orientation phase is not successfully completed by the deadline, the applicant is not admitted to a doctorate unless the applicant is not responsible for missing the deadline. Examinations completed during the orientation phase can be recognized for a Master's program according to Sec. 35 State Higher Education Act (Landeshochschulgesetz, LHG).
2. In exceptional cases with an eight-semester Bachelor's program completed with an above-average result (overall grade of 1.5 or better on a German scale), the doctoral committee can waive the one-year orientation phase and directly admit the applicant to the doctorate.
 3. For applicants whose degree is not subject-specific according to Sec. 10(2) no. 2, Sec. 13(1) nos. 1 and 2 apply *mutatis mutandis*.
- (2) In the **Faculty of Natural Sciences**, particularly qualified graduates of Bachelor's programs can be admitted to a doctorate by the doctoral committee under the following conditions:
1. The doctoral committee can admit particularly qualified applicants from Bachelor's programs for a doctorate ("fast track") if the program was in a subject-specific area with a standard period of study of at least 6 semesters.
 2. Particular qualification can be proven by a Bachelor's program that was completed with an overall grade of at least 1.5 on a German scale and a brief review by an external expert colleague.
 3. The graduates first apply for a Master's program in the Faculty of Natural Sciences and study for one year in the regular Master's program after being admitted. After this year and successful completion of all modules planned for the first year of studies according to the curriculum (at least 60 credits), an application for acceptance as a doctoral candidate according to Sec. 14 of these Doctoral Regulations can be submitted. If the applicant is admitted, they are automatically accepted into the doctoral study program. If contrary to expectations the doctorate cannot be completed successfully, the candidate can continue the Master's program. Examinations completed during the doctoral degree program can be recognized for a Master's program according to Sec. 35 State Higher Education Act (Landeshochschulgesetz, LHG).

Section 14 Application for Acceptance as a Doctoral Candidate

- (1) Applicants who fulfill the admission requirements and intend to complete a dissertation should request admission to the doctorate and thus acceptance as a doctoral candidate in writing with the Faculty responsible for the doctorate at the start of work on the dissertation.
- (2) The complete and signed application form is to be submitted to the Hohenheim Graduate Academy together with the application documents according to Sec. 14(3). Submitting an application does not entitle the applicant to do a doctorate and be accepted as a doctoral candidate.
- (3) The application should include the following documents:
 1. Proof that the requirements in Part 2 are met,
 2. Information about the topic of the intended dissertation and supervisor's name,
 3. Binding confirmation of supervision from the supervisor, which must be documented with a doctoral agreement according to Sec. 5(7),
 4. Declaration of any previous or ongoing doctoral examination processes; this must include when, with which topic, and in which faculty the doctorate was requested; if applicable, information must also be given on the reason the process was not completed and, if applicable, proof of any doctoral degrees already received,
 5. Current CV in table form with a description of the scientific and professional history,
 6. Declaration on whether the dissertation and defense are to be done in German or English language or a request if the dissertation and defense are to be done in another foreign language and, if applicable, proof of at least good language proficiency in the language of the dissertation.
 7. Declaration stating knowledge of these Doctoral Regulations and the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim in the respectively valid version and agreement to adhere to these.The documents must be submitted as originals or certified copies.
- (4) If the topic of the dissertation changes over the doctorate, an informal request with a justification of the change is to be submitted to the Hohenheim Graduate Academy. The doctoral committee can decide whether the change can be approved in the ongoing process or whether a new application for admission as a doctorate candidate must be submitted.

Section 15 Decision on Acceptance as a Doctoral Candidate

- (1) The doctoral committee decides on the request.
- (2) Admission to a doctorate and acceptance as a doctoral candidate must be denied if:
 1. the applicant does not fulfill the admission requirements according to Part 2;
 2. the application according to Sec. 14 is not complete;
 3. the intended topic of the dissertation does not fit with the Faculties' subject area focuses or an insufficient number of members have the subject expertise to supervise and evaluate the dissertation topic;

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4. the intended topic of the dissertation is not worthy of a doctoral dissertation or is not suited to the applicant's previous education;
 5. the applicant is already in a doctoral examination process with the intended topic or has failed in the final attempt a doctoral examination process for the desired doctoral degree.
- (3) Admission to a doctorate and acceptance as a doctoral candidate can be linked to conditions oriented on the subject requirements.
 - (4) With the decision on acceptance, the doctoral committee appoints the supervisor according to Sec. 5 and the mentor group according to Sec. 6.
 - (5) The acceptance of a doctoral candidate expresses the Faculty responsible for the doctorate's general willingness to assess a dissertation on the intended topic as a scientific work. Acceptance as a doctoral candidate does not entitle the candidate to have the doctoral examination process commenced.
 - (6) The doctoral candidate is to be informed immediately in writing of the doctoral committee's decision; in case the application is rejected, the reason for the decision must be given in writing and information on rights to appeal must be included.
 - (7) Based on the acceptance, the Hohenheim Graduate Academy enrolls the doctoral candidate subject to the provisions of Sec. 38(5) in conjunction with Sec. 60(1) sentence 1 b) of the State Higher Education Act (Landeshochschulgesetz, LHG). A declaration according to Sec. 38(5) sentence 1 phrase 2 of the State Higher Education Act (Landeshochschulgesetz, LHG) is also to be submitted to the Hohenheim Graduate Academy.

Section 16 Maximum Duration of Doctorate; Revocation of Acceptance

- (1) The duration of the doctorate may not exceed six years.
 1. The six-year period starts according to Sec. 187 of the Civil Code (Bürgerliches Gesetzbuch, BGB) on the day after notification of the decision of acceptance.
 2. In justified cases, the doctoral committee may extend the deadline upon the candidate's request. The request must be submitted in a timely manner before the deadline. The request must include a justification from the doctoral candidate and a statement from the supervisor.
 3. When the maximum duration for the doctorate has passed, admission to the doctorate and acceptance as a doctoral candidate ends unless the doctoral examination process has already commenced or unless the doctoral candidate is not responsible for the reason the deadline was missed. The doctoral committee decides on whether the doctoral candidate is responsible for the reason the deadline was missed; the request must include a justification and a statement from the supervisor.
 4. The doctoral candidate can submit a new request according to Sec. 14. For admission to the doctorate, the applicant must fulfill the requirements set out in the version of the Doctoral Regulations valid at the time of the new request for admission.
 5. If one of the conditions according to Sec. 15(3) is not fulfilled, admission to the doctoral program is revoked and acceptance as a doctoral candidate ends.
- (2) In particular, the acceptance as a doctoral candidate can be revoked if:
 1. the doctoral candidate does not fulfill the conditions according to Sec. 15(3) by the set deadline;

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2. the doctoral agreement becomes invalid or is cancelled;
3. reasons for rejecting the application for acceptance as a doctoral candidate come up at a later date;
4. there is no prospect of the dissertation being able to be successfully completed in a reasonable time; or
5. the doctoral candidate seriously violates the obligations undertaken in the doctoral agreement.

Acceptance as a doctoral candidate should only be revoked if a process with an ombudsperson was carried out unsuccessfully.

Part 3: Examination

Section 17 Dissertation

- (1) The dissertation must be completed in disciplines that are represented in research and teaching at the University of Hohenheim. The dissertation must make a contribution to the progress of science, give proof of the doctoral candidate's ability to work in-depth on a scientific project, and be an independent work on the part of the doctoral candidate. In the Faculty of Natural Sciences, this must typically be done with experiments.
- (2) The dissertation must typically be written in German or English. With a justified request by the doctoral candidate and a statement from the supervisor, the doctoral committee may permit the dissertation to be written in another foreign language. If the dissertation is written in another foreign language, the short summary according to Sec. 18(3) no. 3 must be added in English or German.
- (3) The dissertation must usually be completed at the University of Hohenheim Faculty responsible for the doctorate. With a justified request by the doctoral candidate and a statement from the supervisor, the doctoral committee may permit the dissertation to be written outside of the University of Hohenheim if at least one supervisor according to Sec. 5 belongs to the Faculty responsible for the doctorate.
- (4) The dissertation can be submitted as a single work (monograph) or as a cumulative dissertation according to the following provisions. In the case of pre-publication, the doctoral candidate is responsible for ensuring that no contractual agreements regarding copyright prevent publication as part of the doctoral examination process. No part of the dissertation may be part of a university examination, state or church examination, or an ongoing or completed separate doctoral examination process by the doctoral candidate.
- (5) The requirement for a cumulative dissertation is internal coherence among the individual scientific articles under a common research question that must be logically described in the overall concept, the introduction, and in particular in a final discussion that brings together all the articles.
- (6) If parts of the dissertation were written as co-authorships or if the dissertation is based on studies that were carried out in the context of joint research work, the doctoral candidate's individual work must be clearly definable and assessable. The doctoral candidates must include a declaration of their contribution to the dissertation that must be confirmed in writing by all co-authors to the extent possible.
- (7) For cumulative dissertations, the following additional requirements apply:
 1. in the **Faculty of Agricultural Sciences**, at least three articles must be included that have been published or submitted to peer-review journals. At least one of these articles

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must have the status “accepted for publication.” Additional articles can be included if it can be documented that they have at least been submitted and not rejected. For at least two of the articles, the doctoral candidate must be the lead author.

2. in the **Faculty of Natural Sciences**, at least two publications in peer-review journals must be included for which the doctoral candidate is the lead author. For articles that will be published shortly, the declaration of acceptance by the publisher must be submitted.
 3. in the **Faculty of Business, Economics, and Social Sciences**, typically three articles must be included. The articles can already be published or be submitted for publication. For at least one of the articles, the doctoral candidate must be the sole author. Alternatively, it must be proven that the doctoral candidate was the lead author for at least one article with co-authorship; this article must have been published in a peer-review journal or peer-review conference proceedings or have been accepted for publication.
- (8) The dissertation must include a title page according to Annex 2, a table of contents, a summary, and a detailed list of the references and literature used.

Section 18 Application to Initiate the Doctoral Examination Process

- (1) Doctoral candidates who still fulfill the admission requirements according to Part 2 and have completed a dissertation can request in writing from the Faculty responsible for the doctorate that the doctoral examination process be initiated (review of dissertation and oral examination).
- (2) The complete and signed application form is to be submitted to the Hohenheim Graduate Academy together with the application documents according to Sec. 14(3).
- (3) The application should include the following documents:
 1. decision on Acceptance as a Doctoral Candidate according to Sec. 14;
 2. a current CV in table form with a description of the scientific and professional history;
 3. electronic version of the dissertation in a typical file format (e.g. PDF) as well as a printed and hardback bound copy of the dissertation and a summary of the research question and findings of the dissertation approximately 2 DIN A4 pages in length that has been approved by the supervisor;
 4. a declaration of the conformity of the electronic version with the original of the dissertation according to Annex 5;
 5. a declaration in lieu of an oath according to Annex 3;
 6. a copy of the instructions on the importance and criminal legal consequences of the declaration in lieu of an oath signed by the doctoral candidate according to Annex 4 of these Doctoral Regulations;
 7. certification that the doctoral candidate has not submitted the same dissertation previously or simultaneously for the initiation of a doctoral examination process;
 8. a declaration of any previous or ongoing doctoral examination processes; this must include when, with which topic, and in which faculty the doctorate was requested; if applicable, information must also be given on the reason the process was not completed and, if applicable, proof of any doctoral degrees already received;

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9. a declaration stating adherence to the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim in the respectively valid version;
 10. a declaration of consent for the dissertation to be checked for adherence to general scientific standards using electronic data processing programs;
 11. if applicable, proof that the conditions and requirements set according to Part 2 have been fulfilled;
 12. if the candidate participated in a doctoral study program or a structured doctoral program, proof of the completed examinations;
 13. a suggestion for the make-up of the examination committee.
- (4) The application can be withdrawn by a written declaration submitted to the Hohenheim Graduate Academy until the first review has been submitted.
 - (5) If the application to initiate the doctoral examination process does not fulfill the requirements in Sec. 18(1-3), it must be denied. The application can be denied if facts exist that contradict an award of the doctoral degree according to state law or that would justify the revocation of an academic degree.
 - (6) The doctoral committee decides on the initiation of the doctoral examination process. The doctoral candidate is to be informed immediately in writing of the doctoral committee's decision; in case the application is rejected, the reason for the decision must be given in writing and information on rights to appeal must be included.

Section 19 Review of the Dissertation

- (1) If the doctoral examination process has been initiated, the doctoral committee appoints at least two reviewers and requests the reviews at the latest in the next meeting of the doctoral committee following submission of the dissertation.
- (2) The dissertation is sent to the reviewers immediately by the Hohenheim Graduate Academy. The Hohenheim Graduate Academy informs the doctoral candidates and the reviewers about the appointment and that the dissertation has been sent along with the deadlines that start at that time.
- (3) The reviewers are required to send a written, justified review in German or English within three months - for the Faculty of Natural Sciences within four weeks - after receiving the dissertation. In justified exceptional cases, this deadline may be extended with the approval of the doctoral committee. If the deadline is missed by an unreasonable amount, the doctoral committee can appoint another reviewer.
- (4) Each reviewer submits their review in written and electronic form to the Hohenheim Graduate Academy, recommends that the dissertation be accepted or rejected, and suggests one of the grades listed in Sec. 23.
- (5) If the reviewers evaluate the dissertation with "0 = outstanding," if at least one of the reviewers but not all reviewers recommend that the dissertation be rejected, or if there is at least one entire grade between the reviewers' suggestions, the doctoral committee can appoint another reviewer. More details can be found in the Faculties' implementation provisions. The dissertation is sent to the additional reviewer immediately by the Hohenheim Graduate Academy; Sec. 19(3) applies *mutatis mutandis*.

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- (6) If both reviewers recommend that the dissertation is rejected, the process ends. The doctoral candidate then receives written notification of the rejection with reasons, and information on rights to appeal must be included.
- (7) If all reviewers recommend that the dissertation is accepted, the process continues.

Section 20 Continuing the Process

- (1) If the process is continued, on behalf of the chair of the responsible doctoral committee, the Hohenheim Graduate Academy immediately informs all professors, junior professors, and private lecturers primarily employed by the Faculty responsible for the doctorate that the process is being continued and attaches the summary and reviews.
- (2) These persons can obtain the entire dissertation from the Hohenheim Graduate Academy for reading within two weeks and can object to the dissertation being accepted by submitting a dissenting review. For this purpose, the dissertation will be provided in a suitable form electronically.
- (3) Immediately after the two-week deadline has passed, the chair of the doctoral committee determines whether the dissertation has been accepted. If no dissenting reviews have been submitted, the grade for the dissertation is determined according to Sec. 23. If there are dissenting reviews, the doctoral committee decides on how the process will continue.
- (4) With the decision to accept the dissertation, the doctoral committee appoints the examination committee according to Sec. 9 and sets the date of the oral examination. The oral examination should take place at the earliest two weeks and at the latest twelve weeks after the conclusion of the circulation procedure.
- (5) The doctoral candidate, supervisors, and reviewers as well as the university public are notified of the date, location, and names of the examination committee members.

Section 21 Oral Doctoral Examination

- (1) As part of the oral doctoral examination, the doctoral candidates present and defend the results of their scientific work.
- (2) The oral doctoral examination consists of:
 - a) A public presentation by the doctoral candidate lasting approximately half an hour in which they present their scientific work.
 - b) An examination discussion between the doctoral candidate and the examination committee members lasting approximately half an hour. In the **Faculty of Natural Sciences**, the examination discussion does not include the public. In the **Faculties of Agricultural Sciences and Business, Economics and Social Sciences**, the examination discussion is open to the public.
 - c) A discussion of around 15 minutes that is not assessed and in which, in addition to the doctoral candidate at the examination committee, the public can also participate. In the **Faculties of Natural Sciences and Business, Economics and Social Sciences**, this discussion may be cancelled if the examination committee and the doctoral candidate agree.
- (3) The oral doctoral examination must typically be held in German or English. With a justified request by the doctoral candidate and the agreement of the examination committee, the doctoral committee may permit another foreign language.

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- (4) The key subjects and results of the oral doctoral examination are set down in minutes.
- (5) The oral doctoral examination is led by the chair of the examination committee. The chair of the examination committee maintains order and exercises domiciliary rights.
- (6) The number of members of the public who may attend the examination depends on the capacity of the room, and the chair of the examination committee may limit the number of attendees. Upon the doctoral candidate's request or the request of a third party, for important reasons the doctoral committee may exclude the public from attending. However, the audience may not listen to the consultation about the grade or the announcement of the grade.
- (7) The examination committee assesses the oral doctoral examination with a single grade according to Sec. 23. The oral doctoral examination has been passed if it is assessed with a grade of 3.0 or better.
- (8) If the oral doctoral examination is not passed, the doctoral candidate shall receive written notification of this from the doctoral committee with reasons and information on rights to appeal.

Section 22 Repeating

- (1) Passed doctoral examinations may not be retaken.
- (2) Candidates who do not pass the oral examination can be admitted to re-take the oral examination at the earliest two months and at the latest twelve months after the first attempt by sending a request to the doctoral committee. It is not possible to re-take the examination after the second attempt.
- (3) If a request to re-take the oral examination has not been submitted within twelve months after the first attempt, or if the oral examination is not passed or is considered not to have been passed in the second attempt, the entire doctoral examination process ends unsuccessfully; this does not apply if the doctoral candidate is not responsible for missing the deadline.

Section 23 Assessment

- (1) The following individual grades are possible for assessing the dissertation and oral doctoral examination:
 - 1.0 = very good
 - 2.0 = good
 - 3.0 = satisfactory
 - 4.0 = fail
- (2) The grades 1.5 and 2.5 are also possible.
- (3) For especially outstanding work in the dissertation and oral examination, the grade "0 = outstanding" is possible.
- (4) The final grade for the dissertation results from the mathematical average of the individual grades from all reviewers. When calculating the overall grade, only the first decimal place is considered, and all other decimal places are ignored without rounding.
- (5) The overall grade is calculated using the weighted average of the grade for the dissertation and the grade of the oral doctoral examination, whereby the dissertation

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grade is weighted by a factor of 2 and the oral doctoral examination grade by a factor of 1. When calculating the overall grade, only the first decimal place is considered, and all other decimal places are ignored without rounding.

(6) The overall grade is given a distinction according to the following list (total result):

0 = summa cum laude

0.1 - 1.5 = magna cum laude

1.6 - 2.5 = cum laude

2.6 - 3.0 = rite

Section 24 Total Result

- (1) If the oral examination is passed, the examination committee determines the overall result of the doctorate according to Sec. 23.
- (2) The doctoral candidate cannot be awarded the degree if the oral doctoral examination was not passed.
- (3) The examination committee immediately informs the doctoral candidate of the total result in writing and provides a temporary certificate of the completed doctoral process.

Part 4: Completing the Doctorate

Section 25 Publishing the Dissertation

- (1) The doctoral candidate must ensure that the dissertation is published. Before publication, the doctoral candidate must submit a written declaration to the Hohenheim Graduate Academy stating whether and to what extent the version to be published deviates from the reviewed version of the dissertation. Deviations require the approval of a reviewer, typically the first reviewer. If the deviations are not significant, approval is to be granted.
- (2) Publication can be done by
 1. disseminating the dissertation through the publisher with the abbreviation "D100" (as an abbreviation for a Hohenheim dissertation) and ISBN with a commercial publisher and delivering three mandatory copies to the University of Hohenheim's KIM or
 2. delivering an electronic version and three mandatory copies in paper form as books or photo prints to the University of Hohenheim's KIM (the prints must be 100% identical with the electronic version). The version published on the University of Hohenheim's server is to be made available as a complete file in digital form.
- (3) The mandatory copies must be printed and permanently bound on aging-resistant, wood-free and acid-free paper. In the cases listed in Sec. 25(2) no. 2 and 25(6) no. 2, after the title page the date of the oral examination and the names of the Dean and reviewers must be given.
- (4) In the cases listed in Sec. 25(2) no. 2 and 25(6) no. 2, the doctoral candidate confers the University the right to save the dissertation in this form electronically and make it publicly available online as part of KIM's statutory tasks.
- (5) The publication must be done within one year of completing the oral examination. Within this time, the mandatory copies listed in Sec. 25(2) must also be delivered free of charge to the University of Hohenheim's KIM. The chair of the responsible doctoral committee

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may extend the deadline upon request. If the deadline is missed, all rights obtained in the doctoral examination process are lost unless the doctoral candidate is not responsible for the reason the deadline was missed.

- (6) When publishing a cumulative dissertation, the publishers' copyrights are to be observed, and if necessary the publishers' approval for a second publication of each individual article must be obtained. The various regulations must be observed, particularly regarding various article versions (pre-print, post-print, publisher's PDF). Before submitting the mandatory copies to the University of Hohenheim's KIM, the copyright situation must be clarified and the publishers' declarations of consent must be submitted. If no publisher's declaration of consent for the secondary publication is submitted for the article, then instead of the article an abstract with the complete bibliographical information (journal title, volume, year, issue, page numbers, link to publisher's homepage) can be published. In this case, the abstract published in the dissertation may not be identical to the abstract used in the original publication. This sufficiently informs the scientific community of the type and scope of the doctorate. In addition, the following must be noted:
 1. When disseminating the dissertation through the publisher with the abbreviation "D100" and ISBN with a commercial publisher, three copies must be submitted to the University of Hohenheim's KIM. The publishers' declarations of consent for the secondary publication of each individual article as well as the complete bibliographical information (journal title, volume, year, issue, page numbers, link to publisher's homepage) must be printed in the dissertation.
 2. If the dissertation is published electronically on the University of Hohenheim's server, three copies of the published electronic version as books or photo prints to the University of Hohenheim's KIM (the prints must be 100% identical with the electronic version). The version published on the server is to be made available as a complete file in digital form. The electronic second publication of the individual articles also requires approval from the publishers. The complete bibliographical information (journal title, volume, year, issue, page numbers, link to publisher's homepage) must be printed in the dissertation.

Section 26 Certificate and Use of the Doctoral Title

- (1) After proof of publication has been submitted, the Faculty responsible for the doctorate issues a certificate. The certificate includes the degree obtained, the overall result, the dissertation title, and, if applicable, a note about the language if all doctoral examinations were completed in another language.
- (2) The certificate is issued in German; an English translation is included. Upon request, the certificate can also be issued in English; in this case, a German translation is included.
- (3) The date of the doctorate is the day of the last examination (oral doctoral examination). The certificate is signed by the University of Hohenheim President and the responsible Dean and includes the University of Hohenheim's seal.
- (4) The doctoral candidate may only use the doctoral title once they have received the certificate.

Part 5: Particular Doctoral Proceedings

Section 27 Honorary Doctoral Degree

- (1) In recognition of particular scientific achievements in areas of teaching and research represented at the University of Hohenheim
 1. in the **Faculty of Agricultural Sciences**, the academic degree of “Honorary Doctor of Agricultural Sciences” (“Dr. sc. agr. honoris causa”)
 2. in the **Faculty of Natural Sciences**, the academic degree of “Honorary Doctor of Natural Sciences” (“Dr. rer. nat. honoris causa”)
 3. in the **Faculty of Business, Economics, and Social Sciences**, the academic degree of “Honorary Doctor of Economic Sciences” (“Dr. oec. Honoris causa”) or “Honorary Doctor of Social Sciences” (“Dr. rer. soc. honoris causa”)may be awarded. An honorary doctorate may not be awarded to a member of the University with the exception of the University of Hohenheim’s honorary senators.
- (2) A request for the honorary doctorate must be submitted to the Dean by at least five professors. It must be circulated to everyone with reasons. The Faculty Council decides on the request in agreement with the Senate.
- (3) The honorary doctorate is awarded by the Dean by handing over a certificate for this purpose in which the particular achievements in science of the person being honored are described. The certificate is signed by the University of Hohenheim President and the responsible Dean and includes the University of Hohenheim’s seal.

Section 28 Joint Doctorates with Other Universities

- (1) Carrying out a joint doctorate with one or more other universities in Germany or abroad with the right to award doctorates is done based on a cooperation agreement between the University of Hohenheim and the partner university.
- (2) In the cooperation agreement, the following must be regulated:
 1. how the doctoral candidate’s scientific supervision will be carried out;
 2. at which of the universities the doctoral examination process will be primarily carried out;
 3. the minimum length of the research stays at the partner universities;
 4. the examination modalities including the language to be used, the make-up of the examination committee, and the applicable grading system;
 5. the modalities of the awarding of the doctoral degree;
 6. the requirement to publish the dissertation and submission of mandatory copies, and
 7. the payment of travel expenses.
- (3) Agreements that the University of Hohenheim makes with the partner university may deviate from the provisions in these Doctoral Regulations. The provisions in these Doctoral Regulations apply in addition to any agreements made and in cases of doubt if no special agreements have been made.
- (4) The requirement to carry out a joint doctorate is admission to a doctorate and acceptance as a doctoral candidate at the University of Hohenheim.
- (5) One professor, junior professor, or private lecturer primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate supervises the doctoral candidate in addition to one representative from each of the partner universities who

fulfills the qualifications according to Sec. 5(4). Further details on the joint supervision arise from the cooperation agreement.

- (6) To carry out the doctoral examination process, in particular the review and assessment of the dissertation, carrying out and assessing the oral examination, re-taking the examination, publishing and determining the overall result, the regulations of the university at which the doctoral examination process will take place apply, whereby the following conditions must be fulfilled:
 1. If the doctoral examination process is carried out at the partner university, it must be ensured that at least one additional professor, junior professor, or private lecturer primarily employed at the University of Hohenheim in the Faculty responsible for the doctorate participates in the doctoral examination process at the other university.
 2. If the doctoral examination process is carried out at the University of Hohenheim, at least one representative of the partner university who fulfills the requirements set down in Sec. 5 is to be appointed as a reviewer and examiner.
- (7) After successful completion of the doctoral examination process with joint supervision with another university, a joint doctoral certificate signed by both universities is issued which includes information that it is for a doctoral degree for a scientific achievement jointly awarded by the participating universities. It confers the right to carry only one doctoral title.

Part 6: Particular Provisions

Section 29 Absence, Withdrawal, Procedural Flaws

- (1) The oral examination is considered not to have been passed if the doctoral candidate does not appear at an examination date without a valid reason (absence) or withdraws after starting the oral examination without a valid reason (withdrawal).
- (2) The reasons claimed for the absence or withdrawal must immediately be reported to the doctoral committee in writing with proof. In the case of absence, this typically means that the notification must be reported at the latest before the examination is to begin, and in case of withdrawal before the completion of the oral examination (with a note in the examination minutes). In the case of illness, a medical certificate is required; in cases of doubt, the doctoral committee may require that the medical certificate be issued by a doctor the committee selects. The medical certificate must be obtained immediately, typically on the day of the examination, and must include the necessary medical information to evaluate the inability to take or continue the exam.
- (3) The doctoral committee decides on the recognition of the reasons and approval of the withdrawal. If the withdrawal is approved, a new examination date is set. If the withdrawal is not approved, the oral examination is considered not to have been passed.
- (4) Procedural flaws, external disturbances, and other interruptions in the examination must be immediately criticized by the doctoral candidate.

Section 30 Protective Periods

- (1) Protective periods according to Sec. 3(1) and sec. 6(1) of the Maternity Protection Act (Mutterschutzgesetz, MuSchG) in the version of notification on 20 June 2002 (Federal Gazette I, p. 2318) in the respectively valid version must be considered. The required documentation is to be submitted to the Hohenheim Graduate Academy. Maternity protection periods interrupt all deadlines in these doctoral regulations.

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- (2) The same applies to requests for recognition of periods of parental leave according to Sec. 15(1-3) of the Federal Act on Parental Allowance and Parental Leave (Bundeselterngeld- und Elternzeitgesetz, BEEG) in the version of notification from 27 January 2015 (Federal Gazette I, p. 33) in the respectively valid version. At the latest four weeks before the time when the doctoral candidate wants to start parental leave, the doctoral committee must be informed in writing with the necessary documentation about the period for which parental leave will be taken. The doctoral committee must review whether the legal requirements are fulfilled that would require an employer to grant parental leave and will inform the doctoral candidate of the results of the review and, if applicable, the new examination deadlines or other deadlines immediately.
- (3) It is permitted for doctoral candidates to take protective periods to care for near relatives as described in Sec. 7(3) of the Home Care Leave Act (Pflegezeitgesetz, PflegeZG) from 28 May 2008 (Federal Gazette I, pp. 874, 896) in the respectively valid version who are in need of care as described in Secs. 14 and 15 of the Eleventh Book of the Social Code (Sozialgesetzbuch, SGB XI) from 26 May 1994 (Federal Gazette I, pp. 1014, 1015) in the respectively valid version.

Section 31 Disadvantage Compensation

- (1) Doctoral candidates with a disability or chronic illness that makes it difficult for them to carry out the doctoral work may be granted appropriate disadvantage compensation by submitting a request to the doctoral committee. Depending on the severity and type of disability or illness, the doctoral committee determines the compensatory measures. Compensatory measures can include in particular extending examination deadlines; in addition or instead, another form of suitable compensation may be granted.
- (2) The request for disadvantage compensation must be submitted at the latest together with the application to initiate the doctoral examination process. Proof of a disability or illness must be given in the form of a medical certificate that includes medical findings required for the evaluation. In general or in individual cases, the doctoral committee can require the medical certificate to be completed by a doctor the committee selects.

Section 32 Cheating and Violating Regulations

- (1) If before the doctoral degree certificate has been handed out it comes to light that the doctoral candidate deceived about a requirement for admission or that it was wrongly assumed that key admission requirements were fulfilled, the admission to the doctorate can be withdrawn and the doctorate declared to be invalid.
- (2) If before the doctoral degree certificate has been handed out it comes to light that the doctoral candidate cheated on the doctoral work or violated the regulations during the examination, then individual or all doctoral work can be declared invalid; in serious cases, admission to the doctorate can be revoked. To determine cheating, the examiner or doctoral committee can use appropriate software or other electronic aids.
- (3) The doctoral candidate must be informed immediately in writing about decisions made against them by the doctoral committee. The decisions are to be justified and information on rights to appeal must be included.

Section 33 Revocation the Doctoral Degree

- (1) The revocation of the doctoral degree and honorary doctoral degree is based on Sec. 36(7) of the State Higher Education Act (Landeshochschulgesetz, LHG) and Sects. 48 and 49 of the State Administrative Procedures Act (Landesverwaltungsverfahrensgesetz, LVwVfG).
- (2) If no responsible body is designated in these laws, the Faculty Council of the Faculty carrying out the doctoral examination process is responsible. The Faculty Council can submit the case for further treatment and a decision to the University of Hohenheim's Commission for Responsibility in Research.
- (3) If the requirements for admission to the doctorate were not fulfilled without the applicant intentionally deceiving about this fact, and if this is not discovered until after the doctoral degree certificate has been handed over, passing the doctoral examination remedies the problem.
- (4) Before a decision to revoke a doctoral degree, the person affected must be given the opportunity to make a statement. The decisions are to be justified in writing and information on rights to appeal must be included.
- (5) If the doctoral degree is retroactively revoked, the doctoral degree certificate issued must be taken back by the University.

Section 34 Viewing Files and Record Retention

- (1) Within one year after the completion of the doctoral examination process, upon request the doctoral candidate is to be permitted to view the examination documents. The chair of the doctoral committee determines the time and location for the documents to be viewed. Sec. 29 of the State Administrative Procedures Act (LVwVfG) remains unaffected by this.
- (2) After successfully completing the doctoral examination process, the examination documents including the dissertation are included in the files of the Hohenheim Graduate Academy.
- (3) If the dissertation is rejected or if the doctoral examination has been failed for the final time, the dissertation and all reviews remain in the Hohenheim Graduate Academy's files.
- (4) The examination documents are to be retained by the Hohenheim Graduate Academy for 10 years. After the retention period has ended, the examination documents must be offered to the University Archives.

Part 7: Closing Provisions

Section 35 Entry into Force and Transition Regulations

- (1) These Doctoral Regulations shall enter into force on 1 February 2019. At the same time,
 1. the University of Hohenheim's Doctoral Regulations for Dr. sc. agr. from 14 Feb 2013 in the version from 24 Nov 2015,
 2. the University of Hohenheim's Doctoral Regulations for Dr. rer. nat. from 13 Feb 2015 in the version from 24 Nov 2015,
 3. the University of Hohenheim's Doctoral Regulations for Dr. oec. and Dr. rer. soc. from 13 Feb 2015 in the version from 24 Nov 2015,
 4. the University of Hohenheim's Doctoral Regulations for Dr. oec. from 28 Nov 2013,

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5. the University of Hohenheim's Doctoral Regulations for Dr. oec. from 20 May 1998 in the version from 21 Jan 2009,
6. and the University of Hohenheim's Doctoral Regulations for Dr. rer. soc. from 7 June 1974 in the version from 4 Feb 1997

cease to be in force if no other provision is made in the following.

- (2) For doctoral candidates who submitted the application to initiate the doctoral examination process before these Doctoral Regulations came into effect, the former doctoral regulations continue to be valid.
- (3) Doctoral candidates who had already been admitted when these Doctoral Regulations came into effect and who had been accepted as a doctoral candidate can request in writing with the doctoral committee within one year of these Doctoral Regulations taking effect to carry out their doctorate according to the former doctoral regulations.

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Annexes:

Annex 1: Doctoral Agreement

Annex 2: Template title page

Annex 3: Declaration in lieu of an oath on independent work

Annex 4: Instructions on the importance and criminal legal consequences of the declaration in lieu of an oath

Annex 5: Declaration of agreement of the digital version of the dissertation and consent to it being checked with plagiarism software

Annex 1

Doctoral Agreement

according to Sec. 5(7) of the University of Hohenheim's Doctoral Regulations for the Faculties of Agricultural Sciences, Natural Sciences, and Business, Economics and Social Sciences

between

	(Doctoral candidate)
	(Supervisor)
	(If applicable, co-supervisors).

Objective and Purpose

The Doctoral Agreement is meant to ensure that the relationship between the doctoral candidates and supervisors is transparent in terms of content and time expectations. Planning and carrying out the doctoral project should be planned in the Agreement between the supervisors and doctoral candidates independently such that the high-quality project can be completed within an appropriate period of time. The timeline should be adapted to the dissertation project and the doctoral candidate's life situation and be adjusted at each meeting.

The confirmation of supervision does not replace the application for acceptance as a doctoral candidate submitted to the Faculty and does not provide any legal right to a doctorate or employment at the University of Hohenheim.

Description of the Doctoral Project

1. Working title of the doctoral project

--

2. The basis of the Doctoral Agreement are the following annexes, signed by the parties to the Doctoral Agreement:
 - a) Outline of the objectives or summary of the doctoral project
 - b) Planned schedule for the doctoral project
3. For valid reasons, the duration of the doctoral project set down in the schedule can be extended. Notwithstanding this, Sec. 16(1) of the Doctoral Regulations apply, which states that the doctorate should be completed within six years.
4. The Agreement and its annexes will usually be reviewed twice a year by the parties to the Agreement and can be adjusted if there are key changes. These documents must be included with the Application to Initiate the Doctoral Examination Process.

Supervising Conditions

5. The supervisor and doctoral candidate individually discuss the progress of the doctoral project based on the annexes of the Doctoral Agreement at least twice each year. The supervisor gives feedback on the current progress and advises the doctoral candidate. The doctoral candidate can create brief minutes of the discussion that are then signed by the supervisor.
6. In addition, the doctoral candidate independently reports to the supervisor at regular intervals on the progress of the doctoral project. Especially planned changes to the original Agreements must be reported, discussed, and then agreed on in writing.
7. The supervisor must enable the doctoral candidate to participate in research-related events such as doctoral seminars or colloquia in order to ensure appropriate supervising conditions. The

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doctoral candidate should be made aware of additional offers such as interdisciplinary or cross-university events, research conferences, and internal and external offers for scientific qualification.

8. If the doctoral project is discontinued, the doctoral candidate is obligated to inform the doctoral committee of this in writing.

Scientific Work and Individual Education Program

9. The doctoral candidate is obligated to participate in research-related events as well as interdisciplinary and cross-university offers in the research context as long as funding is secured. This includes doctoral seminars or colloquia and additional offers such as research conferences and internal and external offers for scientific qualification. Besides this, the doctoral candidates have the opportunity to participate in a doctoral degree program or individual courses in the doctoral degree program.

If the parties wish, an individual education program can be agreed on in writing and added to the Doctoral Agreement.

Adhering to the Principles of Good Scientific Practice

10. The doctoral candidate and supervisor obligate themselves to adhere to the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim in the respectively valid version.

In the Case of Conflicts

11. If there are conflicts, the parties contact the responsible ombudsperson. If the doctoral candidate stops the doctorate due to a conflict, written justifications from both parties are forwarded to the ombudsperson. Notwithstanding these situations, the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim apply in the respectively valid version.

Place, Date	Signature
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Place, Date	Supervisor's signature
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if applicable, in addition

Place, Date	Co-supervisor's signature
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This is a courtesy translation. Only the German version is legally binding. If there are any differences in the wording, interpretation, or meaning of the German and English versions, the German version shall prevail.

Anlage 2

Template title page

according to Sec. 17(8) of the University of Hohenheim's Doctoral Regulations for the Faculties of Agricultural Sciences, Natural Sciences, and Business, Economics and Social Sciences

Title of the Dissertation

Dissertation to obtain the doctoral degree of Agricultural Sciences (Dr. sc. agr.)/ Natural Sciences (Dr. rer. nat.)/ Social Sciences (Dr. rer. soc.)/ Economic Sciences (Dr. oec.) (*Select appropriate option*)

Faculty of Agricultural Sciences/ Natural Sciences/ Business, Economics and Social Sciences (*Select appropriate option*)

University of Hohenheim

Name of the supervisor's institute and, if applicable, name of the co-supervisor's institute/institution

submitted by

First name(s) Last name

from *place of birth*

year of submission

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Annex 3

Declaration in lieu of an oath on independent work

according to Sec. 18(3) sentence 5 of the University of Hohenheim’s Doctoral Regulations for the Faculties of Agricultural Sciences, Natural Sciences, and Business, Economics and Social Sciences

1. The dissertation submitted on the topic

.....
.....

is work done independently by me.

2. I only used the sources and aids listed and did not make use of any impermissible assistance from third parties. In particular, I marked all content taken word-for-word or paraphrased from other works.

3. I did not use the assistance of a commercial doctoral placement or advising agency.

4. I am aware of the importance of the declaration in lieu of oath and the criminal consequences of false or incomplete declarations in lieu of oath.

I confirm that the declaration above is correct. I declare in lieu of oath that I have declared only the truth to the best of my knowledge and have not omitted anything.

Place, Date

Signature

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Annex 4

Instructions on the importance and criminal legal consequences of the declaration in lieu of an oath

according to Sec. 18(3) sentence 6 of the University of Hohenheim's Doctoral Regulations for the Faculties of Agricultural Sciences, Natural Sciences, and Business, Economics and Social Sciences

The University of Hohenheim requires a declaration in lieu of oath on the independence of the scientific work done in order to ensure that the doctoral candidates have done the scientific work independently.

Because the legislators place a particular importance on declarations in lieu of oath and these declarations can have serious consequences, the legislators have placed criminal penalties on false declarations in lieu of oath. If a person willfully (that means knowingly) submits a false declaration, the punishment can be imprisonment for up to three years or a fine.

If a person negligently submits a false declaration (that is, it is submitted even though the person should have realized that the declaration was not correct), then the punishment can be imprisonment for up to one year or a fine.

The criminal provisions can be found in Sec. 156 of the Criminal Code (StGB, false declaration in lieu of oath) and in Sec. 161 StGB (negligent false oath, negligent false declaration in lieu of oath).

Sec. 156 StGB: False Declaration in Lieu of Oath

Persons who make a false declaration in lieu of oath to an institution responsible for accepting such declarations or persons who make false statements on such a declaration are subject to imprisonment of up to three years or a fine.

Sec. 161 StGB: Negligent False Oath, Negligent False Declaration in Lieu of Oath

161(1): If an action described in Secs. 154 and 156 are done negligently, the punishment is imprisonment of up to one year or a fine.

161(2): There is impunity if the perpetrator corrects the false declaration in a timely manner. The provisions in Sec. 158(2 and 3) apply mutatis mutandis.

I acknowledge the instructions on declarations in lieu of oath.

Place, Date

Signature

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Annex 5

Declaration of agreement of the digital version of the dissertation and consent to it being checked with plagiarism software

according to Sec. 18(3) sentence 4 of the University of Hohenheim's Doctoral Regulations for the Faculties of Agricultural Sciences, Natural Sciences, and Business, Economics and Social Sciences

I,

_____ (Last name/First name),

born on _____, hereby declare that the unencrypted text document I submitted with the application to initiate the doctoral examination process for the dissertation with the topic

corresponds exactly in content and wording to the printed copy of the dissertation. I give my consent to this digital version being checked for plagiarism with analytical software.

Place, Date

Doctoral candidate's signature