

Revised Doctoral Degree Regulations for Dr. rer. nat.

Contents

Sec. 1	Type and Purpose of Doctorate; Language of Doctoral Work.....	2
Sec. 2	Responsibility, Doctoral Committee, Ombudsperson	2
Sec. 3	Requirements for Admission to the Doctoral Programme	3
Sec. 4	Request for Acceptance as a Doctoral Candidate.....	4
Sec. 5	Decision on the Acceptance as a Doctoral Candidate.....	4
Sec. 6	Supervision of the Dissertation.....	5
Sec. 7	The Dissertation	6
Sec. 8	Request for the Initiation of Doctoral Proceedings	6
Sec. 9	Reporting Persons (Reviewers)	7
Sec. 10	Reviews of the Dissertation.....	7
Sec. 11	Continuation of the Proceedings	8
Sec. 12	Appointment of the Examination Committee	8
Sec. 13	General Regulations for the Oral Examination	8
Sec. 14	Evaluation of the Oral Examination	9
Sec. 15	Marking	9
Sec. 16	Carrying out the Doctorate (Result of Doctorate)	10
Sec. 17	Failure of and Repeating the Oral Examination.....	10
Sec. 18	Publication of the Dissertation.....	10
Sec. 19	Certificate and Use of the Doctorate Title.....	11
Sec. 20	Invalidity of the Doctoral Work and Revocation of the Doctoral Degree ...	11
Sec. 21	Inspection of Files	12
Sec. 22	Honorary Doctorate	12
Sec. 23	Entry into Force and Transitional Provision.....	12

Section 1 Type and Purpose of Doctorate; Language of Doctoral Work

- (1) In the Faculty of Natural Sciences, the University of Hohenheim awards the academic degree of Doctor of Natural Sciences (Dr. rer. nat.) based on a scientific thesis (dissertation) and oral components of the doctoral degree that come from one of this Faculty's subject areas represented by a professor, university or private lecturer primarily employed by the Faculty.
- (2) With the doctorate, an outstanding scientific qualification is shown that goes beyond the qualification linked to the Diplom, Master's, or state examination. In the dissertation, original results that provide a new scientific contribution are to be shown clearly and understandably.
- (3) The doctoral work may be completed in German or English.
- (4) Upon the decision of the Faculty of Natural Sciences, the University of Hohenheim awards the honorary degree of Doctor of Natural Sciences (Dr. rerum naturalium honoris causa, abbreviated: Dr. rer. nat. h. c.).

Section 2 Responsibility, Doctoral Committee, Ombudsperson

- (1) The deciding body for decisions relevant to doctoral work is the doctoral committee. The members of the Faculty Board are members of the doctoral committee by virtue of office, and an additional seven professors from the Faculty of Natural Sciences are also members. The Dean is the chairperson. For standard cases, in particular in the case of Sec. 3(1), the doctoral committee may transfer decision-making competencies to the chairperson.
- (2) The additional seven professors of the doctoral committee are appointed by the Extended Faculty Council of the Faculty of Natural Sciences. When appointing these members, it should be ensured that the Faculty's scientific concentrations are appropriately represented. The term of office is four years. Re-appointment is permitted.
- (3) The doctoral committee has a quorum if at least half of the voting members are present. The decisions are made by a simple voting majority of the members present; if there is a tie, the chairperson's vote shall be the deciding vote.
- (4) The doctoral committee regularly meets twice each semester.
- (5) The doctoral committee appoints an Ombudsperson; the Ombudsperson's term of office is the same as the doctoral committee's term of office.

Section 3 Requirements for Admission to a Doctorate

- (1) Regular admission to a doctorate requires a natural science or engineering degree in one of the following courses of study with the total average mark of at least 2.5 (good):
 - a) Master's programme at a university within the area of application of the German Basic Law,
 - b) a degree programme with a standard period of study of at least four years at a university, college of education, or art college within the area of application of the German Basic Law (Diplom, state examination, Magister),
 - c) a continuing degree programme building on a basic studies degree programme at a university, college of education, or another university with the right to award doctorates
- (2) those persons who have completed a natural science or engineering degree programme as in Sec. 3(1) that does not fulfil the criteria listed in Sec. 3(1) but who have achieved a comparable qualification in another way may also be admitted to a doctorate. Admission is typically linked to additional requirements (aptitude test). The doctoral committee shall decide on the additional requirements and whether they have been fulfilled in individual cases according to the standard of Sec. 3(6).
- (3) The doctoral committee may also admit especially qualified graduates of a state examination degree programme with a standard period of study of less than four years or a Diplom degree programme from a university of applied sciences or a cooperative education university if they completed their studies with an average mark of 1.5 or better and have successfully proven their qualification in a special aptitude test. The doctoral committee decides on the length of the aptitude test and what work it shall include. The doctoral committee determines whether the aptitude test was successfully completed and issues written confirmation.
- (4) For especially talented students, it is possible to offer a conditional admission to a doctorate after a successfully completed Bachelor's programme (fast track). The outstanding talent can be proven by a Bachelor's programme that was concluded with an average mark of 1.5 or better and a short letter of recommendation from an external subject colleague. The students first apply for a Master's programme in the Faculty of Natural Sciences and - after admission - first study for one year in the regular Master's programme. After this year and the successful completion of all modules according to the curriculum for the first year of studies (at least 60 credits), a request to be admitted as a doctoral candidate according to Sec. 4 of these regulations may be submitted. If the applicant is admitted, they are automatically accepted as a doctoral candidate. If, in contrast to expectations, the doctorate cannot be successfully completed, the candidate may continue the Master's programme. Coursework and examinations done in the context of a doctorate can be recognized for the Master's programme according to Sec. 35 of the State Higher Education Act.
- (5) Applicants who have completed a degree examination from a foreign university that is not considered equivalent may be admitted if they provide the proof of qualification recommended by the Central Office for Foreign Education (ZAB) or if the doctoral committee determines they are qualified.

- (6) The doctoral committee determines the ability to begin a doctorate in individual cases and, in particular, in order to preserve scientific quality has the right to link the admission of applicants to binding additional requirements (aptitude test). If the additional requirements are not completed or not completed on time, admission to the doctorate may be revoked. On this, see also Sec. 5(3).

Section 4 Request for Acceptance as a Doctoral Candidate

- (1) Applicants who fulfil the requirements according to Sec. 3 may request their acceptance as a doctoral candidate with the Faculty in writing using the appropriate form.
- (2) The following should be included with the request form:
 1. certificates proving the requirements according to Sec. 3 have been met,
 2. a proposal of the intended topic (1-2 pages DIN A4) signed by the doctoral candidate and supervisor; on this, see also point 2 of the doctoral agreement,
 3. a curriculum vitae with the professional and academic background, dated and signed
 4. a recent certificate of good conduct (max. 6 months old) according to the Federal Central Criminal Register Act.
 5. the doctoral agreement according to Annex 4
 6. if applicable, a declaration according to Sec. 6(3) of these regulations
- (3) With the acceptance as a doctoral candidate, the Faculty expresses its willingness to support the applicant in his or her scientific work and to evaluate the dissertation as scientific work.
- (4) Those accepted as doctoral candidates may be enrolled for a maximum duration of eight years. Enrolled doctoral candidates have the rights and obligations of students.

Section 5 Decision on the Acceptance as a Doctoral Candidate

- (1) If the requirements according to Sec. 3(1) are fulfilled, the chairperson of the doctoral committee may decide in an expedited procedure.
- (2) Notwithstanding Sec. 5(1), the doctoral committee decides on the acceptance of doctoral candidates in its meetings if
 - a) the requirements according to Sec. 3(2-5) are fulfilled,
 - b) the applicant is already involved in doctoral procedures or already attempted a doctorate in the past,
 - c) there are doubts as to whether the proposed dissertation topic falls within the Faculty's area of competency,
 - d) there are doubts as to whether the topic is worth being researched or whether the applicant's previous education is appropriate.
- (3) If the doctoral committee decides to accept the doctoral candidate with the condition that concrete additional requirements according to Sec. 3 must yet

- be fulfilled, the fulfilment of the requirements must be proven within two years of the decision. Otherwise, the right to admission to the doctorate shall be revoked. The doctoral committee may set a shorter deadline to fulfil the requirements in its decision. In exceptional cases with reason, the doctoral committee may agree on an extension of the deadline for fulfilling the requirements if at least part of the requirements have already been fulfilled.
- (4) The chairperson of the doctoral committee notifies the applicant of the admission decision in writing.
 - (5) If the applicant is admitted as a doctoral candidate, the advising-professor must ensure that the dissertation is completed independently and without delays.
 - (6) The doctorate should be concluded within a period of five years. If the doctorate has not been completed after eight years, the acceptance as a doctoral candidate shall automatically end. The doctoral candidate may submit a new request for admission according to Sec. 4.
 - (7) If in due time - usually no longer than five years - the status of the work leads to the expectation that the dissertation will not be successfully completed, acceptance as a doctoral candidate may be revoked upon request by the supervisor after a hearing of the doctoral candidate.

Section 6 Supervision of the Dissertation

- (1) The dissertation may be supervised by any professor primarily employed by the Faculty of Natural Sciences according to Sec. 44(1)(1) State Higher Education Act, any extraordinary professor primarily employed by the Faculty of Natural Sciences according to Sec. 51(9) State Higher Education Act, or any private lecturer employed for the majority of the time by the Faculty of Natural Sciences. In the following, this supervisor shall be referred to as the "Internal Supervisor".
- (2) Professors and university or private lecturers not primarily employed by the Faculty of Natural Sciences may supervise dissertations; in the following, they shall be referred to as and "External Supervisor". In this case, the object and execution of the dissertation must first be agreed upon with a person who fulfils the conditions under Sec. 6(1). This person shall act as co-supervisor. The advisory team shall be appointed by the doctoral committee.
- (3) Before admitting a doctoral candidate, it must be ensured that the experimental work required for the dissertation can be concluded by the time the supervisor retires. Otherwise a written agreement on the continued supervision by another person with the right to supervise must be concluded. The existence of the infrastructure requirements must be confirmed. The agreement is typically to be submitted two years before retirement.
- (4) The participation of doctoral candidates who primarily complete their doctoral dissertation at institutions outside of the Faculty of Natural Sciences (external doctoral candidates) in the doctoral candidate seminars or colloquia is explicitly and actively encouraged to promote scientific discussion with the supervisors and to include the candidate in University operations. In addition, they may attend courses in the doctoral programme "Natural Sciences".
- (5) If an supervisor can no longer carry out his or her duties for important reasons, the Dean shall appoint another person who fulfils the requirements according to Sec. 6(1) who is competent in the subject area after hearing the doctoral candidate or shall appoint an advising team according to Sec. 6(2).

- (6) The doctoral candidate shall regularly inform the supervisor of the progress of the dissertation.

Section 7 The Dissertation

- (1) The dissertation must be a scientific, usually experimental, work from a subject area represented by a professor or private lecturer primarily employed by the Faculty of Natural Sciences.
- (2) The dissertation must provide an independently completed, clearly formulated, and understandable new scientific contribution that adequately takes into account the current publications in the subject area.
- (3) The publication of parts of the dissertation before submission is permissible and explicitly encouraged. Pre-publication requires the written consent of the supervisor.
- (4) If a dissertation is based on experiments carried out as a cooperative project, the individual contributions of the doctoral candidate must be clearly marked in the dissertation so that there is no doubt.
- (5) A dissertation may be submitted in cumulative form. For this, at least two publications by the doctoral candidate as the first author in peer-reviewed journals must be included. For articles that will be published soon, the declaration of acceptance from the publisher must be included. The cumulative dissertation must include an independently written introduction and summary which in particular highlights the internal cohesion of the articles included. The doctoral committee may permit exceptions.
- (6) The dissertation (DIN-A4, one-sided) must include:
- a title page according to Annex 1
 - a table of contents
 - a summary in German and English for each article; each summary should be two DIN A4 pages
 - a detailed list of the sources and literature used
 - a curriculum vitae
 - the affidavit according to Annex 2

Section 8 Request for the Initiation of Doctoral Proceedings

- (1) The request for the initiation of the doctoral proceedings is to be submitted in writing with the appropriate form to the Dean of the Faculty of Natural Sciences; he or she shall decide on the request.
- (2) The following should be included with the request form:
1. five bound copies of the dissertation according to Sec. 7(6)
 2. an identical version of the dissertation on an electronic data carrier (CD/DVD) for checking purposes
 3. a summary of the research question and results of the dissertation approved and signed by the supervisor
 4. a recent certificate of good conduct, max. 6 months old, according to the Federal Central Criminal Register Act

5. the instructions on the affidavit according to Annex 3
 6. declaration on the digital version of the work according to Annex 5
- (3) The request may only be withdrawn as long as no reviews have been submitted. If the request is withdrawn, it is considered not to have been submitted.

Section 9 Reporting Persons (Reviewers)

- (1) Two reviews are typically submitted for the dissertation. The appointment of the reviewers is done by the Dean. It is possible for the supervisor and/or the candidate to make suggestions. The reporting persons should not belong to the same subject area; in other respects, the regulations of Sec. 12 apply.
- (2) If one of the reporting persons cannot carry out their duties, the Dean shall appoint another person competent in the subject area according to Sec. 6 in conjunction with Sec. 12 after hearing the doctoral candidate and, if possible, in agreement with the supervisor.

Section 10 Reviews of the Dissertation

- (1) If the Dean decides to open the doctoral proceedings, he or she shall forward the file for the doctoral proceedings to the responsible person in the Career Center for further processing.
- (2) The reporting person is required to submit a review within a maximum of four weeks after receiving the dissertation. An extension of this deadline is possible with the Dean's consent. If the deadline has been missed unreasonably, the Dean may appoint another reviewer.
- (3) Each reporting person submits the review to the person in the Career Center responsible for the doctoral proceedings and requests that the work be accepted, be accepted with certain changes, or be rejected, and suggests a mark from those listed in Section 15.
- (4) If all reporting persons request the acceptance of the work, the proceedings continue. If all reporting persons request the rejection of the work, the proceedings are closed.
- (5) If only one of the reporting persons requests the rejection of the work, the Dean appoints another reviewer according to Sec. 9(1). This person is to receive the work immediately. If the Dean participated in the proceedings as a reviewer or co-reviewer, the Vice Dean Shall appoint another reviewer. This reviewer provides the Faculty with a final suggestion for the review of the work. In other respects, Sec. 10(2) shall apply mutatis mutandis. If two reporting persons request the acceptance of the work, the proceedings continue. If all reporting persons request the rejection of the work, the proceedings are closed.
- (6) If a dissertation is evaluated with "summa cum laude" by both reporting persons, the Dean shall obtain a third review.

Section 11 Continuation of the Proceedings

- (1) If the proceedings are continued, the person in the Career Center responsible for doctoral proceedings shall immediately and confidentially send the summaries and reviews to all professors and university or private lecturers primarily employed by the Faculty. At the same time, these people will be given access to the dissertation by the Dean's Office of the Faculty of Natural Sciences for a period of two weeks for confidential inspection.
- (2) Every professor and university or private lecturer primarily employed by the Faculty of Natural Sciences has the right to submit a dissenting opinion on the work. The dissenting opinion is to be announced to the Dean in writing within the inspection period and to be sent to him or her within two weeks after the inspection deadline has passed.
- (3) Immediately after the end of the deadline in Sec. 11(1), the Dean determines whether the written doctoral work (dissertation) has been accepted.
- (4) If no dissenting opinions have been submitted, the grade for the written doctoral work is calculated as the arithmetical mean of the reviews' suggestions. Details are regulated in Sec. 15.
- (5) If a dissenting opinion has been submitted, the doctoral committee shall decide how to proceed.

Section 12 Appointment of the Examination Committee

- (1) The Dean typically appoints the members of the examination committee and determines the chairperson when opening the doctoral proceedings. The candidate's suggestions may be taken into consideration.
- (2) The examination committee is made up of at least three persons: The supervisor and two other professors or university or private lecturers. At least one member of the examination committee must be "Internal" according to Sec. 6(1). If the internal member is not a professor primarily employed by the Faculty, at least one other member of the examination committee must be a professor primarily employed at a German university with the right to award doctorates.

Section 13 General Regulations for the Oral Examination

- (1) Admission to the oral exam may only be granted if the dissertation has been accepted. The date of the oral examination shall be set immediately after determining that the dissertation has been accepted and a public notification shall be made to the Faculty by the person in the Career Center responsible for doctoral proceedings. The time between the notification and the start of the examination should be no less than 14 days.
- (2) The oral examination is made up of two exam parts: (1) A public presentation and (2) a defence of the work following the presentation. The defence is not open to the public.
- (3) The public presentation about the dissertation topic should be at least 20 and no more than 30 minutes.
- (4) In the defence, the doctoral candidate defends his or her dissertation theses to the examination committee according to Section 12. The discussion may

include other questions if these are related in terms of content or methods to the dissertation. The defence shall last a minimum of 30 minutes and maximum of 60 minutes.

- (5) The presentation and defence are led by the chairperson of the examination committee. Minutes will be taken of the oral examination. If the oral examination has been passed, the scientific examination proceedings shall be concluded according to Sec. 17. Otherwise, the proceedings continue according to Sec. 18.

Section 14 Evaluation of the Oral Examination

- (1) Immediately following the oral examination, the examination committee shall evaluate the presentation amongst themselves and agree on a grade for the oral examination. Each committee member gives his or her evaluation separately according to Sec. 15.
- (2) The presentation and disputation are passed if all examiners give a mark of at least 3.0 (pass) for both parts.
- (3) The grade for the oral examination is calculated as the average of the individual grades, calculated to the first decimal place after the period; all additional decimal places are deleted.

Section 15 Marking

- (1) The doctoral work (dissertation, presentation, defence) are evaluated with the following grades

1	= very good
2	= good
3	= pass or
4	= fail

- (2) For particularly outstanding work characterized especially by originality and scientific maturity, the award "with honours" (summa cum laude) may be given according to the criteria in Sec. 15(5).
- (3) 1.5 and 2.5 are permitted as intermediary grades.
- (4) The overall grade is calculated by the weighted average from grade for the written doctoral work (dissertation), which receives the weight of 2, and the final grade of the oral examination, which receives the weight of 1. The calculation of the average is carried out to the first decimal place after the period; all additional decimal places are deleted. The numbers are only used as a basis for calculation and do not appear on the certificate. As the total grade for the doctorate, the result:

0= with honours (summa cum laude),
including 1.5= very good (magna cum laude),
below 1.5 to including 2.5 = good (cum laude),
below 2.5 to 3.0 = pass (rite).

- (5) The award “with honours” can only be given if the review of the dissertation and the oral examination is unanimously recorded as “outstanding” by the examination committee.

Section 16 Carrying out the Doctorate (Result of Doctorate)

- (1) Immediately after the conclusion of the oral examination, the examination committee determines the total result of the doctorate.
- (2) The candidate cannot receive the doctoral degree if the oral examination is not passed.
- (3) The chairperson of the examination committee immediately informs the candidate of the overall result and issues a preliminary certificate of the concluded doctoral proceedings.

Section 17 Failure of and Repeating the Oral Examination

- (1) If the candidate fails the oral examination, it may be repeated exactly one time. The registration for the second attempt may be done at the earliest one month, at the latest six months after the first attempt.
- (2) If the candidate does not register for a second attempt of the oral examination within the deadlines in Sec. 17(1) or if the second attempt is not passed, the doctoral proceedings are concluded unsuccessfully unless the reason for which the candidate missed the deadline is not the candidate’s fault. The doctoral committee decides on reasoned exceptions.

Section 18 Publication of the Dissertation

- (1) The doctoral candidate must ensure that the dissertation is published. This is done by
 1. the distribution via booksellers with the seal “D 100” and an ISBN from a commercial publisher and the delivery of three copies to the KIM (Communication, Information and Media Centre) Library. The publisher needs to ensure that the dissertation may be purchased for five years or
 2. Publication in a scientific journal and the delivery of four special copies per article to the KIM Library or
 3. the delivery of 30 copies (self-published) in book or photo-print to the KIM Library or
 4. the publication in electronic form. In this case, the dissertation should be submitted to the KIM Library as a machine-readable file. The KIM Library determines the formatting regulations. In addition, the doctoral candidate must declare in writing that the form and content of the electronic version is the same as the approved version of the dissertation. In addition, three copies of the entire dissertation in paper form as a book or photo-print are to be submitted to the KIM Library. Before the text, the date of the oral

examination and the name of the Dean and the reviewers are to be included.

- (2) The copies to be submitted must be printed on non-ageing wood-free and acid-free paper in a permanent binding. The formal formatting of the title page (title of the dissertation, name, place of birth, etc.) is to be done according to the Faculty's requirements (Annex 1).
- (3) The publication is to be done within one year after the conclusion of the oral examination. Within this deadline, the required copies, special copies, and data carriers in Sec. 18(1) are to be submitted free of charge to the KIM Library. In addition, the KIM Library must receive an identical version of the dissertation on electronic media (CD/DVD) for quality assurance purposes. The chairperson of the doctoral committee may extend the deadline. If the deadline is passed, all rights obtained in the doctoral proceedings are negated unless the doctoral candidate is not at fault for the reason the deadline was missed.

Section 19 Certificate and Use of the Doctorate Title

- (1) After proof that the dissertation has been published, the Faculty issues a certificate. This includes the overall result and the title of the dissertation.
- (2) The certificate is issued in German; an English translation is included.
- (3) The date of the degree is given as the day of the final examination. The certificate is signed by the President and the Dean, and the seal of the University of Hohenheim is placed on it.
- (4) Only after the certificate is received may the doctoral candidate use the doctoral degree title "Dr. rer. nat."

Section 20 Invalidity of the Doctoral Work and Revocation of the Doctoral Degree

- (1) If it is revealed before the doctoral certificate has been issued that the candidate was guilty of deception in the doctoral work or that key requirements for the admission to doctoral work were incorrectly assumed to have been present, the doctorate shall be declared invalid.
- (2) The doctoral degree can be revoked by the doctoral committee if it is later shown that it was received due to deception. In other respects, the statutory regulations apply.
- (3) Before the doctoral committee decides to declare the doctorate invalid and to revoke the doctoral degree, the affected is to be given the opportunity to make a statement regarding the accusations.
- (4) The decision of the doctoral committee according to Sec. 20(1 and 2) is to be reasoned and sent to the affected person together with information on legal remedies.

Section 21 Inspection of Files

- (1) Upon request, the applicants may be allowed to inspect the files of the proceedings after they have been concluded.
- (2) The request for inspection must be submitted in writing within one year after the conclusion of the proceedings to the Dean of the Faculty of Natural Sciences.
- (3) Sec. 29 of the State Administrative Procedure Act applies to the right to inspect files.

Section 22 Honorary Doctorate

- (1) In recognition of special achievements in science, the Faculty of Natural Sciences may award the degree “Honorary Doctor of Natural Sciences” (Dr. rer. nat. honoris causa). An honorary doctorate cannot be awarded to University members with the exception of the honorary senators of the University of Hohenheim.
- (2) Such a request is to be submitted by at least five professors to the Dean. The Faculty Council decides on whether an honorary doctorate will be rewarded.
- (3) The University of Hohenheim Senate must give its approval for the awarding of an honorary doctorate.
- (4) The honorary doctorate is awarded in a ceremony by the Dean by handing over the doctoral certificate in which the achievements are emphasized.

Section 23 Entry into Force and Transitional Provision

- (1) These doctoral regulations enter into force on the day after they have been announced in the University of Hohenheim’s Official Notifications. At the same time, the University of Hohenheim’s doctoral regulations from 15 April 2005 in the version from 22 July 2014 are no longer in force insofar as nothing different is regulated in the following.
- (2) These doctoral regulations apply to all applicants who were not yet accepted as doctoral candidates as of the time these regulations entered into force. Applicants who started their doctorate according to the regulations of the previous doctoral regulations may conclude their doctorate according to the new doctoral regulations upon request, otherwise they will conclude their work with the old regulations.
- (3) Only the German version of these regulations is legally valid. If the English wording, interpretation, or meaning is different from the German wording, interpretation, or meaning, the German version shall prevail.