

## **Doctoral degree regulations of the Faculty of Science at the University of Tübingen, 24 April 2015**

On 12 March 2015 the University of Tübingen Senate passed the following doctoral degree regulations in accordance with § 38 (4) item 1 of the state law governing institutions of higher education (Landeshochschulgesetz, LHG); the regulations were approved by the President on 24 April 2015.

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### **§ 1 Types of doctorate**

- (1) <sup>1)</sup>The University of Tübingen Science Faculty confers the academic title of Doctor of Sciences (Dr. rer. nat.) or Doctor of Philosophy (Dr. phil.) in one of the subjects it represents, on the basis of a scholarly work (doctoral thesis) and an oral defense.
- (2) <sup>1)</sup> Under the regular procedure, studies and a doctoral thesis of a primarily scientific nature lead to a degree of Dr. rer. nat.; and studies and a doctoral thesis primarily based

on the social sciences or humanities lead to a degree of Dr. phil. <sup>2)</sup>In cases of doubt, the doctoral examination committee will make the decision.

- (3) <sup>1)</sup>The faculty may confer an honorary doctorate of science or of philosophy for special services to knowledge in the field of a subject represented by the faculty. <sup>2)</sup>The application must be considered by the doctoral examination committee at three different meetings: A first meeting is for registration and a report; the second is held for discussion and the appointment of a committee; at the third, there is a discussion of the committee's report and a resolution. <sup>3)</sup>The resolution requires a majority of three-quarters of the members of the doctoral examination committee.  
<sup>4)</sup>The honorary doctorate takes effect upon presentation of the doctoral certificate, in which the recipient's academic achievements are to be set out.

## **§ 2 Doctoral examination committee**

- (1) <sup>1)</sup>All decisions not expressly covered by these doctoral degree regulations are to be made by the doctoral examination committee. <sup>2)</sup>The head of the doctoral examination committee is the Dean. <sup>3)</sup>Insofar as no decision on the assessment of doctoral work is being made, the doctoral examination committee may authorize the committee head to make decisions generally or in specific cases. <sup>4)</sup>For decisions delegated to the head of the doctoral examination committee by these doctoral degree regulations or under item 3 above, the committee may make recommendations.
- (2) <sup>1)</sup>The doctoral examination committee is composed of the Dean as head of the committee and three selected members per department, of whom at least two must be full professors in the respective departments. <sup>2)</sup>Full-time academic staff from within the department and academics with a habilitation in the subject who are employed full-time by the University of Tübingen are eligible and entitled to vote. <sup>3)</sup>Their term of office is three years. <sup>4)</sup>Thesis examiners appointed under § 9 (1) who are not members of the doctoral examination committee according to item 1 above may be consulted for their expertise.
- (3) In individual cases the head of the committee may call upon up to two further persons with close links to the subject as defined under § 2(2) item 2, particularly in decisions according to § 11(5); these persons shall each have the right to cast a vote.
- (4) The doctoral examination committee has a quorum if at least half of its members under para. (2) item 1 are present.
- (5) Doctoral examination committee meetings are not open to the public.
- (6) <sup>1)</sup>Decisions are passed with a majority of the vote, unless otherwise provided for. <sup>2)</sup>In the event of a tie, the committee head's vote decides the matter. <sup>3)</sup>The decision is reached by open ballot. <sup>4)</sup>Abstention from voting is not permitted. <sup>5)</sup>If the committee is deciding on the assessment of doctoral theses, the minutes must record not only the result of the vote and where applicable the processes of opinion formation and voting, but also how

many members decided upon the basis of which examiner's report or objections or parts thereof.

- (7) <sup>1)</sup>Those involved are obliged to maintain confidentiality. <sup>2)</sup>This obligation also extends to confidentiality regarding all associated documents. <sup>3)</sup>Furthermore the Faculty council's general regulations apply accordingly, insofar as no other requirement arises from the provisions of these doctoral examination regulations.
- (8) <sup>1)</sup>The Dean or Vice-Dean of Academic Affairs or Vice-Dean of Research assumes the role of ombudsman under § 38(4) LHG. <sup>2)</sup>Upon application by the doctoral candidate, the doctoral examination committee may entrust this task to another person.

### **§ 3 Prerequisites for doctoral studies**

- (1) <sup>1)</sup>The prerequisite for acceptance as a doctoral candidate and for admission to the doctoral qualification process is usually, without prejudice to the further requirements under § 5, successfully completed studies in the respective subject at an academic institution of higher education in Germany in
1. a Master's Degree program or
  2. a degree course at a University, a college of Education or Art with at least a four-year regular duration of study or
  3. a graduate program following on from Bachelor's Degree studies at a University, a college of Education or other institution of higher education with the right to confer doctorates.
- (2) <sup>1)</sup>Degrees in other study programs and/or from institutions of higher education abroad may be recognized as equivalent if they significantly cover areas of the respective subject or there is some other immediate connection with the doctoral topic. <sup>2)</sup>Regarding the equivalency of international degrees, the committee will draw upon the Equivalency Agreements approved by the Standing Conference of the Ministers of Education and the German Rectors' Conference as a basis for decision. <sup>3)</sup>If there are doubts about equivalency, the relevant authority (Zentralstelle für ausländisches Bildungswesen) may be consulted. <sup>4)</sup>If subsequently there are doubts about equivalency, an oral exam may be held to establish whether the candidate is qualified to carry out doctoral studies in the relevant subject. <sup>5)</sup>In this examination, the candidate must demonstrate that he/she has knowledge of a standard equivalent to that of final examinations in Germany. <sup>6)</sup>Such an exam is conducted by two professors or other members of academic teaching staff appointed by the head of the doctoral examination committee. <sup>7)</sup>This exam takes approximately 45 minutes and may be conducted in English upon application by the applicant. <sup>8)</sup>The applicant has passed if his/her performance is given a "pass" grade by both examiners. <sup>9)</sup>If the applicant's performance is given a "fail" grade by at least one examiner, the exam may be attempted one more time. <sup>10)</sup>Instead of passing a test of knowledge levels, conditions may be imposed upon the applicant to present graded certificates or successfully completed module assessment for certain classes or to complete written work which is the equivalent of a Bachelor's or Master's thesis in the doctoral subject.

- (3) <sup>1)</sup>Highly qualified holders of a diploma from a university of applied science or cooperative education will be admitted to doctoral studies if an aptitude test shows that they are qualified to carry out academic work in the doctoral subject at the same level as university graduates. <sup>2)</sup>The same goes for highly-qualified holders of a Bachelor's degree not covered under § 3(1). <sup>3)</sup>For admission to the aptitude test the applicant must usually have been among the top ten percent of his/her graduating year at the institution of higher education or university of cooperative education he/she was enrolled in at the time of his/her final examination; the applicant must provide documentation of this from the relevant institution.
- <sup>4)</sup>The aptitude test process usually takes place over two or a maximum of three semesters. <sup>5)</sup>The doctoral examination committee shall decide on the modules to be completed; these shall usually be of up to 30 ECTS credits and in the case of particularly qualified graduates of a Bachelor's degree who are not covered by § 3 (1), up to 60 ECTS credits; the committee shall be guided by the doctoral supervisor where applicable.
- (4) <sup>1)</sup>The applicant must demonstrate sufficient knowledge of the German or the English language. <sup>2)</sup>The doctoral examination committee will decide in what form this language proficiency must be proven, either generally or on a case-by-case basis.

#### **§ 4 Acceptance as a doctoral candidate**

- (1) A student who meets the requirements under § 3 and intends to complete a doctoral thesis may apply to the Faculty for acceptance as a doctoral student, giving details of his/her planned thesis topic.
- (2) <sup>1)</sup>The application should contain:
1. details of the subject in which the doctorate is to be obtained,
  2. the preliminary title of the planned thesis and
  - 3) the name of the desired supervisor(s) and their declaration of willingness in a written supervision agreement under § 38 (5) LHG (as amended), signed by the doctoral candidate and the supervisor(s).
  4. the name of the doctoral program where applicable
- <sup>2)</sup>The application must also include proof that the requirements under § 3 have been met.
- <sup>3)</sup>The head of the doctoral examination committee usually decides on approval of an application for acceptance as a doctoral candidate. In case of doubt, he/she will call upon the committee to make a decision.
- (3) <sup>1)</sup>An application for admittance as a doctoral candidate will be rejected if the requirements under § 3 and/or § 4(2) are not met, if the planned topic is clearly inappropriate for a doctoral thesis, or if no faculty member with an obligation to supervise is able to supervise the candidate. <sup>2)</sup>The reason for the rejection of the application must be given in writing, along with information on the right to appeal.

3a) Approval will also be denied if there is a reason to do so under § 7 nos. 5 - 10.

- (4) <sup>1)</sup>The doctoral candidate shall be assigned at least two academic supervisors (double mentoring procedure), usually the desired supervisors named under para. (2) no. 3 (doctoral committee). <sup>2)</sup>If the Dean does not wish to comply with the doctoral candidate's wish, the doctoral examination committee shall make the decision.
- (5) <sup>1)</sup>At least one member of the doctoral committee must be a full professor and as such employed full-time in the department or in one of the faculty's departments to which the doctoral subject belongs. <sup>2)</sup>In individual cases and upon justified application by a department, the doctoral examination committee may agree exceptions to item 1 and approve an assistant professor working full-time in that department or in one of the faculty's departments to which the doctoral subject belongs, or an extraordinary professor working full-time in that department or in one of the faculty's departments to which the doctoral subject belongs, or an adjunct professor. <sup>3)</sup>Furthermore, professors, including those of universities of applied science and the Baden-Württemberg Cooperative State University, assistant professors, retired or emeritus professors, academics with habilitation (Privatdozente), extraordinary professors, adjunct professors, and visiting professors, as well as appropriately qualified members of non-university research institutes and academic institutions of higher education or abroad, may be appointed.  
<sup>4)</sup>Under exceptional circumstances, the Faculty board may also assign the task of supervision to other persons with a doctoral qualification upon recommendation by the doctoral examination committee.
- (6) <sup>1)</sup>The doctoral candidate shall make an annual report to the doctoral committee on the status and progress of the doctoral thesis. <sup>2)</sup>The doctoral committee may require the doctoral candidate to change his/her thesis plan and/or timetable. <sup>3)</sup>If the doctoral committee determines that the changed thesis plan and timetable yield no expectation that the doctoral project will be successfully completed in a reasonable time, the doctoral examination committee may revoke the candidate's acceptance as a doctoral candidate. <sup>4)</sup>The reason for the revocation must be given in writing, along with information on the right to appeal.
- (7) <sup>1)</sup>If the doctorate is being carried out within the framework of a doctoral program, the candidate may be required to additionally take part in a structured course of doctoral studies. <sup>2)</sup>The details are regulated in the articles of the relevant doctoral program, which must be approved by the doctoral examination committee.
- (8) Acceptance as a doctoral candidate is confirmed by written notice of acceptance.
- (9) <sup>1)</sup>The doctoral candidate may choose to participate in the general program of advanced/professional training offered by the faculty and recommended by supervisors. <sup>2)</sup>Participation in the advanced training program shall be confirmed in the form of a Doctoral Degree Supplement; however, it has no influence on the assessment of the doctoral thesis/project.

## **§ 5 Application for admission to the doctoral qualification process**

- (1) <sup>1)</sup>Applications for admission to the doctoral qualification process must be made to the head of the doctoral examination committee. <sup>2)</sup>The application must contain:
1. the title of the doctoral thesis,
  2. the applicant's home address,
  3. the names of the supervisors of the thesis,
  4. the names of the desired thesis examiners,
  5. the names of the desired examiners in the oral defense,
- (2) The application must be accompanied by:
1. the thesis (§ 6) as three complete printed copies and in electronic form,
  2. proof that the requirements under § 3 have been met,
  3. a curriculum vitae showing the student's professional and academic development,
  4. a declaration on any previous abandoned or completed doctoral qualification processes or relevant examination processes in which the applicant has taken part,
  5. a declaration on whether the doctoral thesis submitted has already been published in part or in its entirety and whether it has ever been submitted in part or in its entirety as a doctoral thesis or any other piece of assessed work, and if so, when and where, in which subject and with what result,
  6. a declaration that, at the time of application for admission, the doctoral candidate had not been accepted at any other university as a doctoral candidate in the doctoral subject, and if he/she had, from what time, where, and in which subject.
  7. a declaration containing the following:
 

"I hereby declare that the thesis I submit for my doctorate with the title: ..... is my own independent work, that I used only the sources and resources cited and have clearly indicated all content adopted either word-for-word or in substance. I declare that the University of Tübingen's guidelines to ensure good academic practice (Senate decision of 25.5.2000) have been observed. I solemnly swear that this information is true and that I have not concealed any relevant information. I am aware that making a false declaration is punishable by a fine or by a prison term of up to three years."

In the case of § 6(2) the declaration must be adapted accordingly and a declaration in line with § 6(2) item 3 included.
  8. where applicable, a declaration under § 6 (2) item 3 confirmed by the doctoral committee (§ 4 (4)) regarding all publications in which two or more authors were involved,
  9. a declaration by the applicant that his/her admission to the current doctoral qualification process was not the result of a commercial transaction. The applicant must specifically declare that he/she has not engaged any person or organization who/which accepts payment to seek supervisors to produce doctoral theses or which carries out in part or in its entirety the assessed work which it is incumbent upon the student to do. Furthermore, the applicant confirms that he/she is aware of the legal consequences of using a commercial thesis writing agency and the legal consequences of making untrue or misleading statements in this declaration (under § 21, exclusion from acceptance as a doctoral candidate and exclusion from admission to the doctoral qualification process, an end to the doctoral qualification process and annulment due to fraud of the degree if already held).

10. a declaration on criminal convictions, disciplinary measures and pending criminal and disciplinary proceedings, insofar as the duty to disclose is not barred by § 51 of the applicable law (Bundeszentralregistergesetz), and
11. a police clearance certificate issued no more than 6 months previously.

- (3) Until submission of the first examiner's report, the application for admission to doctoral examination may be withdrawn by written declaration to the head of the doctoral examination committee without specifying reasons; as a result, the thesis counts as not submitted.

## **§ 6 Doctoral thesis**

- (1) <sup>1)</sup>The doctoral candidate must demonstrate with his/her doctoral thesis that he/she is capable of independent academic work; the thesis must present the candidate's own research results - providing new academic insights - in an appropriate form and scope. <sup>2)</sup>Results are new in this sense even if other academics have arrived at the same results via underlying findings of a different nature than those used by the applicant, or if those findings were not made available to the applicant or were not made available to the applicant until a very late stage of his/her work. <sup>3)</sup>Academic publications and manuscripts accepted for publication may be incorporated. <sup>4)</sup>In addition to publications and manuscripts accepted for publication, manuscripts not yet accepted may be included. <sup>5)</sup>A coherent overall concept in line with the topic must be shown, and its connection with the sections included must be explained in writing.
- (2) <sup>1)</sup>If the doctoral thesis or parts of it are the result of collaboration, the applicant must have composed his/her contributions independently and on his/her own authority. <sup>2)</sup>His/her individual work must be clearly recognizable, and his/her contributions must be in accordance with the requirements of content and scope set out in paragraph (1). <sup>3)</sup>The applicant must outline the framework of collaborative work, giving the names of any co-contributors and their share of the overall project as well as the significance of their contributions for the collaborative work.
- (3) <sup>1)</sup>The doctoral thesis must be written in German or English. <sup>2)</sup>A summary in German must be included in either case.

## **§ 7 Decision on admission to the doctoral qualification process**

- (1) <sup>1)</sup>The committee head usually makes a decision on admission within two weeks of the application being submitted. <sup>2)</sup>In case of doubt, he/she will call upon the committee to make a decision.
- (2) Admission will be denied if:
  1. the application is incomplete and the missing documents were not submitted on time even after they were requested,
  2. the doctoral thesis submitted clearly does not meet the requirements set out in § 6,

3. the requirements set out in §§ 3, 4 have not been met,
  4. the applicant meets conditions which would justify the withdrawal of his/her doctorate,
  5. the applicant has already obtained a doctorate or comparable degree in the doctoral subject or is in the process of obtaining such a degree,
  6. the doctoral thesis submitted has already been rejected as insufficient in a doctoral qualification process or comparable procedure in a comparable subject or discipline.
  7. a second attempt under § 17 was ended unsuccessfully
  8. the applicant has already unsuccessfully completed more than one doctoral qualification process in the doctoral subject or in a comparable subject at this or another university or
  9. it is established under § 17 that the applicant is not capable of independent academic work.
  10. the applicant has successfully completed a habilitation in the subjects in which he/she seeks to complete a doctorate.
- (3) Admission may be deemed to be admission to repeat the process under § 17, if a doctoral qualification process or comparable procedure in the doctoral subject has been completed unsuccessfully.
- (4) The decision on the application will be communicated in writing to the applicant without delay - in cases of rejection, including reasons and information on the right to appeal.

## **§ 8 Appointment of thesis examiners**

- (1) <sup>1)</sup>Once the applicant has been admitted to the doctoral qualification process, the Dean appoints two thesis examiners without delay to assess the doctoral thesis. <sup>2)</sup>The doctoral examination committee may appoint three thesis examiners, upon application. <sup>3)</sup>The doctoral examination committee will make the decision if the Dean does not wish to comply with the applicant's proposed examiners.
- (2) <sup>1)</sup>Thesis examiners may be appointed from the group of persons named in § 4(5). <sup>2)</sup>At least one thesis examiner must be a full professor or, in accordance with § 4(5) item 2 upon a decision by the doctoral examination committee, the equivalent thereof and as such employed full-time in the department or in one of the faculty's departments to which the doctoral subject belongs, usually one of the supervisors.

## **§ 9 Assessment of doctoral thesis**

- (1) <sup>1)</sup>The thesis examiners are to present a written report within two months. <sup>2)</sup>If this deadline is not met, the Dean may appoint another thesis examiner without prejudice to other measures.
- (2) <sup>1)</sup>Thesis examiners recommend whether to accept or reject a doctoral thesis or to send it back for revision (§ 10). <sup>2)</sup>The examiner's reports must contain:
1. a critical appraisal of the content,
  2. a well-reasoned recommendation for acceptance or rejection of the doctoral thesis,



3. if the thesis is recommended for acceptance, a suggested grade from the following:

excellent (summa cum laude)	=	0	
very good (magna cum laude)		=	1
good (cum laude)	=	2	
sufficient (rite)	=	3.	

<sup>3)</sup>The grade of “very good” = 1 may be rounded down with a minus sign by 0.3 of a grade.

<sup>4)</sup>The grade of “good” = 2 may be rounded up or down by 0.3 of a grade with a plus or minus sign. <sup>5)</sup>The grade of “sufficient” = 3 may be rounded up with a plus sign by 0.3 of a grade.

- (3) <sup>1)</sup>If the grade of “excellent” (summa cum laude) is recommended by all thesis examiners, the head of the doctoral examination committee selects a further thesis examiner from the persons under § 4 (5). <sup>2)</sup>This further thesis examiner must be from outside the university and may not be a member of the doctoral committee. <sup>3)</sup>Before the appointment of further examiners, where applicable the supervisors are to be given the opportunity to make a statement on the matter. <sup>4)</sup>They may lodge an objection to the planned appointment. <sup>5)</sup>In such case the doctoral examination committee shall decide on the appointment of the thesis examiner(s).

## § 10 Revision of doctoral thesis

<sup>1)</sup>The head of the doctoral examination committee may send the thesis back for revision within a reasonable period of time, at the suggestion of a thesis examiner and with the consent of the applicant. <sup>2)</sup>If the doctoral thesis is submitted once more, the later version becomes the object of a new process under § 9. <sup>3)</sup>The appointment of thesis examiners under § 8 remains in place if no other decision is made. <sup>4)</sup>If the applicant does not comply with the time limit, the process will be continued with the doctoral thesis in the form which has been submitted, unless the applicant is not responsible for the time limit being exceeded.

## § 11 Grading of the doctoral thesis

- (1) <sup>1)</sup>Once the examiners’ reports have been submitted the head of the committee informs all members of the doctoral examination committee and the persons under § 2(2) item 2 of the respective department or of the department to which the doctoral subject belongs. <sup>2)</sup>This communication must include the title of the doctoral thesis and the name of the author, the name of the thesis examiners and the grades they propose, as well as the start and end dates of the period in which the thesis will be made available for inspection (Auslagefrist).
- (2) The doctoral thesis, along with the examiners’ reports, will be made available in the Dean’s Office for inspection by members of the doctoral examination committee and by the persons under § 2(2) item 2 of the respective department or of the department to which the doctoral subject belongs, for at least two weeks.

- (3) <sup>1)</sup>During this inspection period, members of the doctoral examination committee and the persons under § 2(2) item 2 of the respective department or of the department to which the doctoral subject belongs, have the right to lodge an objection to the recommendation to accept the acceptance, rejection or the grading of the thesis; any such objection must be submitted and justified in writing. <sup>2)</sup>Furthermore, they are entitled to propose that the thesis be sent back for revision; in such case, the matter proceeds in accordance with § 10.
- (4) <sup>1)</sup>If the thesis examiners agree and no objection is made and no formal discussion is requested, the thesis examiners' proposals automatically become the result of the thesis evaluation. <sup>2)</sup>If all thesis examiners propose acceptance of the doctoral thesis and if the proposed grades are not more than one grade apart, an average of the proposed grades is calculated, provided no objection is made. <sup>3)</sup>This average includes whole numbers and the first decimal place only; all further decimal places are deleted with no rounding. <sup>4)</sup>The thesis may only be given an overall grade of "excellent" if all thesis examiners recommend that grade.
- (5) <sup>1)</sup>If no decision is reached under paragraph 4, the doctoral examination committee decides on the grading of the thesis; it may resolve to obtain a report by a further examiner before reaching a decision. <sup>2)</sup>If an examiner's report or a written objection proposes rejecting the thesis, the decision will initially be made with regard to whether to accept the thesis or not; if so, a decision will then be made on the grade. <sup>3)</sup>The decision on the grade is brought about by each member of the doctoral examination committee submitting a grade in accordance with § 9(2) no. 3, or for a rejection (insufficient, 4.0). <sup>4)</sup>The arithmetic mean is calculated from the grades submitted; this calculation takes into account whole numbers and the first decimal place only; all further decimal places are deleted with no rounding.
- (6) <sup>1)</sup>Following the making of the decision on the thesis, the applicant is to be informed of its acceptance or rejection in writing without undue delay. <sup>2)</sup>If the thesis is rejected, the doctoral examination process is concluded and the head of the committee gives the applicant written notification, giving reasons and including information on the right to appeal.
- (7) One copy of the thesis goes on file at the faculty along with all examiners' reports and any written objections.

## **§ 12 Nature of the oral defense**

<sup>1)</sup>The oral defense takes the form of an oral exam in which the applicant reports verbally on the main areas covered by his/her doctoral thesis and defends his/her work in a subsequent discussion with the members of the examination committee. <sup>2)</sup>He/she must answer questions on the methods and results of his/her work, the significance of the thesis topic and on related matters in the doctoral subject in a sound academic manner and respond to thesis examiners' and examination committee members' fundamental objections. <sup>3)</sup>The applicant must be given the opportunity to inspect the examiners' reports and objections at least two weeks before the

oral defense. <sup>4)</sup>The applicant decides whether the oral defense is to take place in German or English.

### **§ 13 Procedure for the oral defense**

- (1) <sup>1)</sup>Once the thesis has been accepted, the head of the doctoral examination committee appoints at least four examiners to form an examination board and appoints one of them to be its head. <sup>2)</sup>The examiners are appointed from the group of persons named in § 4 (5). <sup>3)</sup>Usually the thesis examiners are appointed as examiners in the oral defense. <sup>4)</sup>At least three examiners should be members of the faculty and at least two of those should belong to the department or departments to which the doctoral subject belongs. <sup>5)</sup>The doctoral examination committee may decide that disciplines from outside the Faculty must be represented by an examiner, upon application by the candidate or by the head of the committee.
- (2) <sup>1)</sup>The head of the doctoral examination committee sets a date for the oral defense in consultation with the examiners and the candidate. <sup>2)</sup>This should happen within six weeks of submission of the thesis. <sup>3)</sup>If the applicant fails to appear at the appointed time, the exam is recorded as a fail. <sup>4)</sup>If he/she fails to appear due to circumstances beyond his/her control, a new date will be set.
- (3) <sup>1)</sup>The oral defense is moderated by the head of the examination board. <sup>2)</sup>The applicant's presentation should take approximately half an hour, the subsequent discussion at least half an hour and an hour at most. <sup>3)</sup>An official record is to be kept of the oral examination proceedings and the determining of the grade.
- (4) <sup>1)</sup>The oral defense is public, subject to seating availability. <sup>2)</sup>This attendance does not extend to consultations or the announcement of the examination result. <sup>3)</sup>Only persons named in § 11(3) and the thesis examiners appointed under § 9(1) may put questions to the applicant during the discussion. <sup>4)</sup>Audience members are to be excluded for important reasons.

### **§ 14 Grading of the thesis**

- (1) Following the discussion, the examiners meet in closed session and decide on a grade for the assessed work.
- (2) <sup>1)</sup>After this consultation, each examiner awards one of the grades listed under § 9(2) or the grade 4 (insufficient). <sup>2)</sup>If the grades differ, the arithmetic mean is calculated from the grades submitted. <sup>3)</sup>As in § 11(4), this calculation takes into account whole numbers and the first decimal place only. <sup>4)</sup>The examination is a pass if it results in an average grade of at least 3.5.
- (3) <sup>1)</sup>The applicant will subsequently be informed of the final grade. <sup>2)</sup>If the examination is not passed, the head of the doctoral examination committee gives the applicant written

notification, giving reasons and including information on the right to appeal - including the option of repeating the oral defense.

### **§ 15 Repetition of the oral defense**

- (1) <sup>1</sup>If the candidate fails the oral defense, he/she may repeat it once. <sup>2</sup>The applicant must register for a repeat examination within twelve months. <sup>3</sup>The head of the committee may extend this time limit in special cases. <sup>4</sup>The repeat exam is conducted according to §§ 12 – 14.
- (2) <sup>1</sup>If the candidate fails the repeat exam, the doctoral qualification process is concluded. <sup>2</sup>The head of the committee gives the applicant written notification, giving reasons and including information on the right to appeal.

### **§ 16 Overall grade**

- (1) <sup>1</sup>Following the successful completion of the oral defense, the head of the committee determines the overall grade. <sup>2</sup>It is calculated using the double-weighted grade for the doctoral thesis according to § 11(4) item 3, § 11(5) item 4 and the single-weighted grade for the oral defense according to 14(2) item 4. <sup>3</sup>The overall grade incorporates whole numbers and the first decimal place only; all further decimal places are deleted with no rounding.

<sup>4</sup>The overall grade is defined as follows:

for an average of 0.1 or less	:	excellent (summa cum laude),
average grade of 0.1 to 1.5:	:	very good (magna cum laude),
for an average of 1.5 to 2.5	:	good (cum laude),
for an average of 2.5 to 3.5	:	sufficient (rite).

<sup>5</sup>The applicant is notified of the overall grade by the head of the committee.

- (2) <sup>1</sup>Upon application, the applicant receives a certificate including the overall grade with which the examination process was successfully completed. <sup>2</sup>This notification must also indicate that it does not confer the right to hold the title of doctor.

### **§ 17 Repetition of the doctoral qualification process**

<sup>1</sup>If an applicant's doctoral qualification process has been completed unsuccessfully, the applicant may apply to be re-admitted to the process if the doctoral examination committee does not decide, on the basis of the applicant's previous performance, that he/she is not capable of independent academic work. <sup>2</sup>A new doctoral thesis must be submitted.

### **§ 18 Publication of the doctoral thesis**

- (1) <sup>1)</sup>The applicant is obliged to publish his/her doctoral thesis within two years of the day on which he/she defended the thesis. <sup>2)</sup>The applicant may apply to the head of the committee to extend this time limit, giving reasons.
- (2) <sup>1)</sup>Prior to print or electronic publication, the applicant must submit a written declaration to the head of the committee, stating whether the printed version differs from the version submitted along with the application for admission, and if so, to what extent. <sup>2)</sup>If the two versions differ, the changes require approval from the thesis examiners or, in their absence, the head of the committee; the changes must be approved if the differences are not substantial. <sup>3)</sup>The applicant may appeal to the doctoral examination committee if changes are rejected.
- (3) <sup>1)</sup>In special cases, the partial publication of a doctoral thesis may be permitted. <sup>2)</sup>This is to be decided by the doctoral examination committee.
- (4) <sup>1)</sup>The title page of the thesis must be in accordance with a template set by the doctoral examination committee. <sup>2)</sup>At the end of the doctoral thesis, the author may reproduce the curriculum vitae submitted with the application for admission. <sup>3)</sup>If the doctoral thesis is published as an independent monograph by a commercial publishing house, in a journal or in electronic form, the title page must be affixed as a separate sheet to the archive copies under para. (5) below. <sup>4)</sup>The title page must be presented to the head of the committee for approval prior to publication.
- (5) <sup>1)</sup>Archive copies are to be submitted in accordance with the following rules:
  1. <sup>2)</sup>If publication takes place in a journal or if a commercial publisher undertakes to distribute the work via the book trade and an order of at least 150 copies can be proven, four archive copies are to be delivered.
  2. <sup>3)</sup>The duty to publish and distribute the doctoral thesis may, with the consent of the doctoral committee (§ 4(4)), also be met by delivering an electronic version in line with the data format and data storage medium requirements of the University Library. <sup>4)</sup>In this case, three archive copies must be delivered. <sup>5)</sup>The doctoral candidate must ensure that the electronic version corresponds to the printed copies.
  3. <sup>6)</sup>In special cases, a different form of publication may be permitted. This is to be decided by the doctoral examination committee.

<sup>7)</sup>The archive copies to be delivered under nos. 1 and 2 above must be printed on aging-resistant, wood-free, acid-free paper and have a permanent binding.

<sup>8)</sup>In the case of no.2, the applicant surrenders to the University of Tübingen the non-exclusive right within the framework of the University Library's statutory duties to produce and distribute further copies of the doctoral thesis. <sup>9)</sup>In the case of no. 2 he/she also surrenders the non-exclusive right to make the thesis available in data networks; the doctoral candidate must be informed in writing beforehand that conceding this right may prohibit or impede publication of the thesis elsewhere at a later date.

- (6) If the applicant evades his/her duty to publish or if he/she fails to deliver the required number of archive copies within the time limit set, the doctoral examination committee may strip the doctoral candidate of all rights obtained via the examination.

## **§ 19 Issuing and presentation of the doctoral degree certificate**

- (1) <sup>1)</sup>Once the applicant has delivered the archive copies, the head of the committee has a doctoral degree certificate issued. <sup>2)</sup>It is written in German and contains the title and the grade of the thesis, the grade of the oral defense, and the overall grade for the doctorate. <sup>3)</sup>If the grade of the doctoral thesis or the oral defense has a place after decimal point, the grade shall be rounded to a full grade in accordance with § 16(1). <sup>4)</sup>The degree certificate is dated to the day on which the archive copies were delivered, and is signed by the University President and by the Dean of the Faculty.
- (2) <sup>1)</sup>If the doctoral thesis is being published by a commercial publisher or in a journal according to 18(5) no. 2, the head of the committee may authorize the issuing of the degree certificate prior to the delivery of archive copies if publication is guaranteed within two years. <sup>2)</sup>The head of the committee may also authorize the issuing of the doctoral degree certificate prior to the delivery of the archive copies to the University Library if the doctoral committee applies for this for a good reason and publication within two years is guaranteed.
- (3) An English translation of the degree certificate may be included upon application; the translation may include remarks on the content of the doctoral program.
- (4) Upon presentation of the degree certificate, the doctorate is completed and the doctor is thereby entitled to hold the title of Doctor.

## **§ 20 Special provisions for doctoral studies jointly supervised with a university outside Germany**

- (1) <sup>1)</sup>The doctoral qualification process may be carried out with supervision performed jointly with a university outside Germany, if an agreement has been made with that university and approved by the doctoral examination committee. <sup>2)</sup>These doctoral degree regulations apply unless otherwise stated below.
- (2) <sup>1)</sup>The applicant is to be supervised by one academic teacher from each university involved. <sup>2)</sup>The supervisor from the university outside Germany is appointed second thesis examiner in the Tübingen doctoral qualification process; in his/her absence, the university abroad suggests another of its members to be appointed. <sup>3)</sup>Under the agreement to be made according to (1) it must be ensured that at least one of the Tübingen supervisors or, alternatively, another member of the Faculty participates in the doctoral qualification process at the university outside Germany.
- (3) <sup>1)</sup>If an equivalent oral defense takes place at the non-German university with the collaboration of the Tübingen supervisor or an alternatively-appointed member of the University

of Tübingen, that oral defense may thereby replace the oral examination otherwise required by these doctoral degree regulations. <sup>2)</sup>In such cases, no overall grade is calculated. Details are to be regulated in an agreement with the relevant university outside Germany.

- (4) <sup>1)</sup>If an oral defense is carried out under these doctoral degree regulations, professors from the non-German university may be appointed as examiners. <sup>2)</sup>Details are to be regulated in the abovementioned agreement.
- (5) <sup>1)</sup>The doctoral degree and the relevant degree from the non-German university may be conferred by both universities. <sup>2)</sup>If two separate degree certificates are issued conferring the degrees, they must include a note to the effect that the doctorate was obtained under the joint supervision of two universities. <sup>3)</sup>In all cases it must be noted that the successful completer of the doctoral qualification process has the right to hold the title of doctor either in the German form or in the form of the other country in which the degree was issued, and that the names of both supervising universities may be added in parentheses.

Each of the universities issues a separate certificate detailing its assessment of the doctoral work.

## **§ 21 Deception, withdrawal of a doctoral degree**

- (1) <sup>1)</sup>If the applicant attempts to influence the result of his/her assessed work using deception or resources which are not permitted, the relevant work will be rejected with a grade of "insufficient" (4.0). <sup>2)</sup>This is to be decided by the doctoral examination committee. <sup>3)</sup>In extreme cases of attempted deception in the oral defense, any repetition of the exam (§ 15(1)) may be ruled out.
- (2) <sup>1)</sup>If it becomes clear after notification of the assessment of doctoral work that the applicant has used deception to produce this work, that significant requirements for the doctorate were erroneously believed to have been met, or that other statutory violations exist, the relevant decisions may be canceled according to the provisions of the applicable state law, § 48 Landesverwaltungsverfahrensgesetz. <sup>2)</sup>If the doctoral degree certificate has already been issued, it will in this case be recalled. <sup>3)</sup>The doctoral degree may also be withdrawn on the basis of relevant legal provisions.

## **§ 22 Inspection of doctoral files**

- (1) <sup>1)</sup>The applicant has the right to read the files on his/her doctoral qualification process within one year of its completion. <sup>2)</sup>§ 12 item 3 remains unaffected.
- (2) <sup>1)</sup>This is granted upon written application. <sup>2)</sup>Applications must be made to the head of the doctoral examination committee. <sup>3)</sup>The place and time of inspection are decided by the head of the doctoral examination committee; the inspection is supervised.

**§ 23 Effective date**

<sup>1)</sup>These doctoral exam regulations come into effect on the date of their publication in the University of Tübingen's official bulletin, the Amtliche Bekanntmachungen. <sup>2)</sup>The Promotion-sordnung der Mathematisch-Naturwissenschaftlichen Fakultät of 13 May 2011 (Amtliche Bekanntmachungen der Universität, 21 June 2011) becomes invalid simultaneously. <sup>3)</sup>Applicants who were accepted as doctoral candidates prior to these current exam regulations coming into effect, and who have been assigned to just one supervisor only, do not need to be assigned to any further supervisors. <sup>4)</sup>Insofar as § 4(2) no. 3 requires a written supervision agreement, this provision does not apply to doctoral candidates who had been accepted by the Faculty of Science at the time at which these exam regulations came into effect. <sup>5)</sup>The doctoral degree regulations of the Fakultät für Biologie, the Fakultät für Chemie und Pharmazie, the Geowissenschaftliche Fakultät, the Fakultät für Informatik und Kognitionswissenschaften and the Fakultät für Mathematik und Physik became invalid on 1 October 2010.

Tübingen, 24 April 2015

Professor Dr. Bernd Engler  
President