



Regulatory framework for doctoral studies at

Ulm University of 3 August 2015

Based on article 1 (Federal State Higher Education Act- *Landeshochschulgesetz* (LHG)) of the third law on changes to higher education regulations (Drittes Hochschulrechtsänderungsgesetz - 3. HRÄG) of 1 April 2014 (law gazette no. 6, p. 99 ff), the Senate of Ulm University, in compliance with § 38 (4) LHG, in its meeting on 15 July 2015 and with the previous consent of the Faculties pursuant to § 2 of the University constitution (*Grundordnung* - *GO*) and of the International Graduate School in Molecular Medicine, adopted the following Regulatory framework for doctoral studies.

The President gave his consent on 3 August 2015 in accordance with § 38 (4) sentence 1 LHG.

Content

- § 1 Scope of application of the Regulatory framework
- § 1a Doctoral degree regulations of the Faculties
- § 2 Doctoral degrees
- § 3 Doctoral studies
- § 4 Doctoral committee, appeals authority
- § 5 Supervisor, reviewers (examiners)
- § 6 Admission requirements for doctoral studies
- § 7 Admission to doctoral studies and acceptance as a doctoral candidate
- § 8 Commencement of the doctoral procedure (submission of the doctoral thesis and oral examination)
- § 9 Examination board
- § 10 Doctoral thesis
- § 11 Assessment of the doctoral thesis
- § 12 Oral examination
- § 13 Repeat oral examination
- § 14 Overall grade of doctoral studies
- § 15 Award of the doctoral degree and degree certificate
- § 16 Publication of the doctoral thesis

- § 17 Non-attendance, withdrawal and inability to take an exam
- § 18 Deception and breach of regulations
- § 19 Withdrawal/revocation of a doctoral degree
- § 20 Exam inspection
- § 21 Procedural shortcomings and objection
- § 22 Retention of examination documents
- § 23 Doctoral studies supervised jointly with other higher education institution
- § 24 Honorary doctorate
- § 25 Compensation for disadvantages
- § 26 Effective date and transitional provisions

Annex: Sample doctoral agreement ref. § 5 (German/English)

Preliminary remarks on language use

According to article 3 (2) Basic Law, men and women have equal rights; male designations of persons and positions used in these regulations apply equally to men and women.

§ 1 Scope of application of the Regulatory framework

This Regulatory framework for doctoral studies applies to all procedures done at Ulm University with the aim of awarding or withdrawing/revoking a doctoral degree.

§ 1 a Doctoral degree regulations of the Faculties

- (1) The Regulatory framework for doctoral studies is complemented by the doctoral degree regulations of the Faculties and the International Graduate School in Molecular Medicine, which each contain further regulations for doctoral procedures regarding, in particular,
 - the maximum duration of doctoral studies,
 - subject-specific admission requirements,
 - the composition of the doctoral committees.

The doctoral degree regulations of the Faculties must also ensure the facilitation of doctoral studies whose research topics are cross-faculty and inter-university.

- (2) The doctoral degree regulations of the Faculties may not contradict this Regulatory framework for doctoral studies unless the Regulatory framework for doctoral studies expressly provides for exceptions. The latter applies, in particular, to admission statutes, study and examination regulations and doctoral degree regulations for the “International Ph.D. Programmes in Molecular Medicine“ and for the doctoral degree regulations of Ulm University for the “International Graduate School in Molecular Medicine” regarding the doctoral degree in natural

sciences (Dr.rer.nat.) awarded by the Graduate School in Molecular Medicine. Such regulations generally, but limited to their discipline, take precedence over this Regulatory framework for doctoral studies.

§ 2 Doctoral degrees

(1) Ulm University awards the following doctoral degrees by way of regular doctoral procedure:

1. Faculty of Engineering, Computer Science and Psychology

Doktor der Philosophie (Doctor philosophiae – Dr.phil.)

Doktor der Ingenieurwissenschaften (Doktor-Ingenieur – Dr.Eng.) Doktor der

Naturwissenschaften (Doctor rerum naturalium – Dr.rer.nat.)

2. Medical Faculty

Doktor der Medizin (Doctor medicinae – Dr.med.),

Doktor der Zahnmedizin (Doctor medicinae dentariae – Dr.med.dent.)

Doktor der Humanbiologie (Doctor biologiae hominis – Dr.biol.hum.)

Doctor of Philosophy (philosophiae doctor – Ph.D.)

3. Faculty of Natural Sciences

Doktor der Naturwissenschaften (Doctor rerum naturalium – Dr.rer.nat.)

4. Faculty of Mathematics and Economics

Doktor der Naturwissenschaften (Doctor rerum naturalium – Dr.rer.nat.) Doktor der

Wirtschaftswissenschaften (Doctor rerum politicarum – Dr.rer.pol.)

5. International Graduate School Molecular Medicine

Doktor der Naturwissenschaften (Doctor rerum naturalium – Dr.rer.nat.)

(2) In compliance with their doctoral degree regulations, the Faculties can alternatively award the degree of Doctor of Philosophy (PhD) to graduates of PhD programmes.

(3) Upon decision of the Faculty Councils and with the consent of the Senate, the Faculties can, pursuant to § 24, award the degree of honorary doctor (Doctor honoris causa – Dr.h.c.) to persons who have accomplished outstanding scientific or equivalent creative achievements or who have rendered special service to the advancement of science in one of the fields represented by the respective Faculty.

§ 3 Doctoral studies

(1) The doctoral degree demonstrates the graduate's ability to independently perform in-depth scientific work in one of the disciplines indicated in the doctoral degree regulations of the Faculties. It is based on the independent writing of a scientific paper (doctoral thesis § 10) and a formal doctoral procedure establishing the scientific quality of the thesis and the scientific qualification of the doctoral candidate. The doctoral procedure is composed of the evaluation of the doctoral thesis (§ 11) and an oral examination (§ 12) on, among other things, the doctoral

thesis. A doctoral degree is awarded once the doctoral procedure is completed and the doctoral thesis has been published (§ 16).

- (2) The doctoral degree regulations of the Faculties indicate the time limit for doctoral studies. Applicants admitted by Ulm University to PhD programmes or any other recognised programmes within structured doctoral training are enrolled as students. Applicants writing a doctoral thesis who were accepted as doctoral candidates are enrolled as students at their request. Candidates can stay enrolled until their time limit for doctoral studies as defined in sentence 1 has expired. Enrolment is terminated at the latest when the time limit for doctoral studies as defined in sentence 1 has expired. In justified exceptions, the duration of doctoral studies can be extended by one year at the request of the doctoral candidate; however, the maximum extension may not exceed two years.

§ 4 Doctoral committee, appeals authority

- (1) The Faculties form one or several doctoral committees each. These are responsible for the facilitation of doctoral studies in their respective field, in particular decisions on admission requirements for doctoral studies, acceptance as doctoral candidates, the commencement of the doctoral procedure (submission of the doctoral thesis and oral examination), the appointment of reviewers, the appointment of members of the examination board, ensuring that the doctoral procedure is performed swiftly and that data are collected regarding the number of doctoral candidates of the Faculty, as well as all other tasks defined in this Regulatory framework for doctoral studies. The doctoral committee determines the acceptance, grading or rejection of doctoral theses based on written assessments in accordance with § 11 (6).
- (2) Communication between the doctoral committee and the applicant can be electronic unless this Regulatory framework for doctoral studies explicitly requires the written form.
- (3) For all other purposes, the deans' responsibilities remain unaffected.
- (4) The doctoral committee has a minimum of six and a maximum of 14 members. The quorum is to be fixed at not less than half the members in attendance. To ensure the quorum, deputies may be appointed to stand in for the members of the doctoral committee. Doctoral committees must be chaired by a full-time active university teacher as defined in § 44 (1) no. 1 LHG. The members' term of office is a minimum of two years. Reappointment is permitted.
- (5) The doctoral committee can entrust certain responsibilities, in individual cases or generally, to the chair or any other member of the doctoral committee; this does not apply to matters where the Federal State Higher Education Act explicitly provides for decision-making by the doctoral committee, i.e. decisions regarding the admission or non-admission as doctoral candidates as well as decisions about remedies or denial of remedy regarding objections to decisions of the doctoral committee. In cases under the decision-making competence of the doctoral committee, the chair can appoint a member of the committee as a reporter for the preparation of decisions.
- (6) Where the doctoral committee does not remedy an objection against a decision it made, the matter must be submitted to the Vice President for Teaching. He or she decides as appeals authority for the University.

§ 5 Supervisor, reviewers (examiners)

- (1) At least one supervisor is appointed for each doctoral project; he or she agrees to supervise the doctoral project and to conclude a written doctoral agreement defining the minimum contents according to § 38 (5) sentence 3 LHG (see sample doctoral agreement, Annex 1). The Faculties

can add further contents to these agreements, especially provisions for the formal termination of the doctoral agreement. As a rule, the conclusion of this agreement is deemed to be the beginning of the doctoral procedure. In cases of conflict, the ombudspersons or their deputies are to be consulted to bring about a solution in accordance with section B no 7 of the Statutes of Ulm University on Safeguarding Good Scientific Practice.

- (2) Supervisors are: full-time Ulm University teachers (professors, junior professors and lecturers as defined in § 44 (1) no 1 LHG), full-time Ulm University *Privatdozenten* (holders of postdoctoral teaching qualifications) and any other higher education teachers co-opted from any other higher education institution in Germany or abroad at the faculty conducting the doctorate as well as, within the framework of cooperative doctorates, professors at universities of applied sciences. In exceptional cases, the Faculty Council can also entrust the supervision of doctoral theses to other postdoctoral scientists based on their outstanding scientific achievements, as well as, upon the substantiated request of the chair of the doctoral committee, full-time Ulm University teachers at other Faculties and higher education teachers that can guarantee a continuous supervision of the doctoral project in view of their work at the University or any facility closely affiliated with the University. The supervisor remains entitled to supervise doctoral candidates accepted at the Faculty until they complete their doctoral project even if the supervisor's employment at Ulm University terminates or the preconditions for a continuous supervision cease to exist.
- (3) If a supervisor can no longer perform his/her task for good cause, the doctoral committee can, after consultation with the doctoral candidate, appoint another supervisor in accordance with paragraph 2 sentence 1 or 2.
- (4) Reviewers are appointed to assess the doctoral thesis. The following persons can be appointed as reviewers of a doctoral thesis and as examiners of an oral examination according to § 9 (2): the full-time Ulm University teachers (professors, junior professors and lecturers as defined in § 44 (1) no 1 LHG), full-time Ulm University *Privatdozenten* (holders of postdoctoral teaching qualifications) and any other higher education teachers co-opted from any other higher education institution in Germany or abroad at the Faculty conducting the doctorate, as well as, within the framework of cooperative doctorates, professors at universities of applied sciences as well as full-time higher education teachers of other higher education institutions in Germany or abroad entitled to award doctoral degrees. The supervisor of a doctoral project is also to be appointed as an examiner. In case of interdisciplinary or cross-faculty doctoral theses, members of other Faculties are to be appointed as reviewers. Where more than one reviewer is appointed, one reviewer must be a full-time Ulm University teacher or the co-opted higher education teacher at the faculty facilitating the doctorate of the other higher education institution in Germany or abroad. The doctoral degree regulations of the Faculties, moreover, state if professors who are no longer serving or who have retired can still be appointed as reviewers of a doctoral thesis.
- (5) If the supervisor is no university member, a further reviewer must be appointed who is a full-time university teacher at the Faculty of Ulm University where the doctoral project is conducted. This reviewer must confirm such consent to serve as a reviewer in the application for acceptance as a doctoral candidate.
- (6) Ulm University members appointed a reviewers by the doctoral committee may not refuse the appointment unless for good cause.
- (7) Suggestions by the applicant may be considered.

- (8) Paragraph 2 sentence 1 and paragraph 4 sentence 2 may be waived for the doctoral degrees of *Doktor der Medizin* (Doctor medicinae - Dr. med.), *Doktor der Zahnmedizin* (Doctor medicinae dentariae – Dr. med. dent.) and *Doktor der Humanbiologie* (Doctor biologiae hominis – Dr. biol.hum.) in as far as *Privatdozenten* and *außerplanmäßige Professoren* (extraordinary professors) who do not work full-time at Ulm University may be appointed as supervisors and reviewers.

§ 6 Admission requirements for doctoral studies

- (1) Requirements for admission to doctoral studies are
1. an academic degree
 - a) of any master's programme within the meaning of § 59 (2) LHG,
 - b) of any study programme at a German university or a university of education with a standard period of study of not less than four years, or
 - c) of any study programme based on a bachelor's programme, at any university, university of education or any other higher education institution entitled to award doctoral degrees.
 2. a confirmation of supervision of a supervisor as defined in § 5 (2) sentence 1 and 2 documented in a doctoral agreement in accordance with § 5 (1).

Deviating from sentence 1 1b), the application for admission to the doctoral procedure can be submitted before studies in medicine and dentistry have been successfully completed; further details are provided in the Doctoral degree regulations of the Medical Faculty on award of the degrees of *Doktor der Medizin* (Dr.med.) and *Doktor der Zahnmedizin* (Dr.med.dent). Deviating from sentence 1 1b), outstanding students in master's programmes whose achievements were evaluated under the regulations of the examination statutes of the master's programmes may apply for admission to the doctoral procedure based on these achievements. Details are provided in the statutes of the PhD programmes according to § 1 (3) sentence 2.

- (2) Outstanding graduates of minimum three-year bachelor's programmes at a university may be admitted to doctoral studies if they fulfil special requirements. An outstanding bachelor's degree is given, in particular, if the graduate counts among the best five per cent of their graduation year. The respective doctoral degree regulations of the Faculties provide further details, especially on further special qualifications of graduates. The Board must be notified of the admission of particularly qualified bachelor graduates.
- (3) In their doctoral degree regulations, the Faculties can specify further admission requirements according to § 38 (4) sentence 2 LHG , especially:
1. proof of certain examination results in the completed university studies,
 2. proof of a certain subject-specific final examination,
 3. proof of certain subject-specific contents in the completed university studies with a view to the field of the desired doctoral degree,
 4. admission to a PhD programme (doctoral college) as well as additional examinations specifically for the doctoral studies,
 5. acceptance in a graduate school,

6. proof of studies preparing for doctoral studies,
7. should the candidate strive for a second or further doctoral degree based on completed academic studies, proof showing that a further degree is to provide sufficiently different subject-specific qualifications from the first degree; for this proof, an expert opinion of a higher education teacher at the faculty awarding the doctoral degree may be required. § 7 (5) no 6 of this Regulatory framework remains unaffected.

The additional achievements for the doctoral degree in accordance with no 3 and 5 are deemed to be fulfilled with the successful completion of a doctoral programme or any other recognised programme within structured doctoral training.

- (4) Foreign degrees must be recognised by the doctoral committee. Recognition is subject to the determination of absence of essential differences to the required German academic degrees in accordance with paragraph 1 sentence 1, 1. HS, sentence 3 respectively paragraph 2. This determination must be in compliance with § 35 (1) LHG.
- (5) Particularly qualified graduates of a Diplom course at universities of applied sciences or cooperative universities, unless covered by paragraph 1 sentence 1 1. HS , can be admitted to doctoral studies by the doctoral committee if they demonstrate in a determination of aptitude procedure (Eignungsfeststellungsverfahren) that, in the projected study field, they are generally as capable of scientific work as this would be expected from any graduate under paragraph 1. Admission to the determination of aptitude procedure is subject to the following: The overall grade of the applicant must be among the best 10 percent of the respective degree year in the respective subject, which must be confirmed in writing by the respective university of applied sciences or cooperative university; a university supervisor must have agreed to supervise the thesis; and the applicant must have shown in a doctoral aptitude test (determination of aptitude procedure) that they are capable of scientific work. The duration of the determination of aptitude procedure should not be more than three semesters. Admission to the determination of aptitude procedure must be declined if the applicant previously failed a determination of aptitude procedure or equivalent procedure at any other university or equivalent higher education institution.
- (6) Applicants under paragraph 5 submit a request for commencement of the determination of aptitude procedure to the doctoral committee of the faculty where the respective subject is taught in good time before their application for admission and acceptance as doctoral candidates pursuant to § 7. The doctoral committee determines the study and exam achievements required as proof of scientific aptitude for doctoral studies and decides if the determination of aptitude procedure has been successfully completed. The chair of the doctoral committee notifies the applicant of the outcome in writing. In case of rejections, § 7 (6) applies accordingly.

§ 7 Admission to doctoral studies and acceptance as a doctoral candidate

- (1) Persons fulfilling admission requirements under § 6 and wishing to write a doctoral thesis must submit to the faculty teaching the respective subject an application for admission to doctoral studies and thus acceptance as a doctoral candidate when starting work on the doctoral thesis. The application must be in writing and addressed to the chair of the doctoral committee.
- (2) The following documents must be enclosed with the application for admission to doctoral studies and acceptance as a doctoral candidate:
 1. proof of admission requirements under § 6 (degree certificates; if applicable, the

notification of the doctoral committee regarding successful completion of the determination of aptitude procedure under § 6 (5); confirmation of supervision; and doctoral agreement under § 5 (1));

2. a statement regarding current and previous applications for doctoral studies stating when, for which topic and where (faculty) doctoral studies were applied for; if applicable, why the doctoral procedure was not completed or, if applicable, a certified copy of the awarded doctoral degree certificate;
3. a statement regarding a not yet finally failed previous doctoral procedure for the same doctoral degree or the same doctoral thesis at Ulm University or any other higher education institution entitled to award doctoral degrees;
4. certified translations if foreign degrees are not in German or English;
5. a statement acknowledging the Regulatory framework for doctoral studies of Ulm University, the subject-specific doctoral degree regulations of the Faculty where the doctoral studies are pursued and the Statutes of Ulm University on Safeguarding Good Scientific Practice.

The doctoral degree regulations of the Faculties may require further proof.

- (3) As a rule, the doctoral committee decides within three months of the application; in case of PhD programmes according to their regulations.
- (4) Admission to doctoral studies and acceptance as a doctoral candidate may be subject to prerequisites and/or or conditions (*Auflagen*) in the form of supplementary achievements in line with subject requirements. Supplementary achievements can be required, in particular, if the applicant did the last two semesters of the degree programme at another university than Ulm University. The doctoral degree regulations of the Faculties provide further details. Prerequisites (*Bedingungen*) must be fulfilled before admission and acceptance as doctoral candidates; conditions (*Auflagen*) are fulfilled during doctoral studies.
- (5) Admission to doctoral studies and acceptance as a doctoral candidate must be rejected if
 1. the admission requirements according to § 6 are not fulfilled,
 2. the documents required under paragraph 2 are not complete,
 3. in the view of the responsible doctoral committee, the envisaged topic does not fall within the subject orientation of the faculty,
 4. none of the members of the faculty competent under § 5 (2) consider the topic sufficiently relevant or the previous training of the applicant sufficient, or the provision of the material equipment required to perform the project is not guaranteed,
 5. the applicant has already finally failed a doctoral examination for the desired doctoral degree, or the requirements for revoking a doctoral degree under § 19 (2) or § 36 (7) LHG are given,
 6. the doctoral candidate has already been awarded this doctoral degree.

The doctoral degree regulations of the Faculties may provide further grounds for rejection.

- (6) The decision of the doctoral committee may be in oral, written or electronic form; in case of a rejection, the decision must be in writing or in electronic form, state the reasons for rejection

and provide information on the right of appeal.

- (7) By accepting a doctoral candidate, Ulm University agrees to assess a doctoral thesis on the proposed topic as a scientific paper and to supervise and support the doctoral candidate in writing this thesis. Acceptance as a doctoral candidate does not give rise to a legal claim to the commencement of the doctoral procedure.
- (8) Admission to doctoral studies can be revoked, in particular, if a posteriori reasons for rejection of admission to doctoral studies arise or if there is no prospect that the doctoral thesis will be successfully completed within the maximum time frame provided in the doctoral degree regulations of the Faculties. The termination of the doctoral agreement according to § 38 (5) sentence 3 LHG does not automatically lead to the revocation of the admission to doctoral studies. Revocation can only occur if the reason for the termination of the doctoral agreement justifies the revocation of the admission to doctoral studies. Revocation is impossible after the doctoral committee has received the first assessment.

§ 8 Commencement of the doctoral procedure (submission of the doctoral thesis and oral examination)

- (1) The commencement of the doctoral procedure is subject to the doctoral candidate's ongoing compliance with the requirements stated in § 6. The application for commencement of the doctoral procedure must be submitted in writing to the office in charge according to the faculty's doctoral degree regulations. The following documents must be submitted together with the application:
 1. acceptance as a doctoral candidate under § 7 (3),
 2. an up-to-date CV showing professional and scientific career,
 3. the number of copies of the doctoral thesis as provided in the doctoral degree regulations of the respective faculty as well as an electronic copy if required by the doctoral degree regulations of the Faculties. The doctoral thesis must have a title page, a table of contents, an abstract and a complete list of references and sources,
 4. in case of a thesis by publication according to § 10 (3), in addition to no 3: a summary providing the scientific context for the papers; information on the individual authorship of the respective parts of the doctoral thesis; names, academic degrees and addresses of the persons involved in the thesis by publication; as well as, if possible, details on who of these have already applied for or completed doctoral procedures and used parts of the submitted work for this;
 5. a written confirmation that the candidate wrote the thesis independently and did not use any sources and means other than those indicated by them; furthermore, that they cited all passages where they quoted or referred to others' works and their contents and that they complied with the Statutes of Ulm University on Safeguarding Good Scientific Practice in the applicable version;
 6. in case of a PhD programme or other recognised structured doctoral training, proof of completed achievements as well as fulfilment of the further conditions in accordance with § 7 (4).
 7. a list of scientific publications and scientific lectures,
 8. a statement consenting to the use of the doctoral thesis for ensuring compliance with

applicable scientific standards, especially using electronic data processing programs.

The doctoral degree regulations of the Faculties may contain further provisions.

- (2) The application for the doctoral procedure can be withdrawn unless the doctoral procedure has already been terminated through rejection of the doctoral thesis or the oral examination has already started.
- (3) Any application not in compliance with paragraph 1 must be rejected. Any application complying with the prerequisites in paragraph 1 can only be rejected if the requirements for revoking a doctoral degree under § 19 (2) or § 36 (7) LHG were given. This is decided by the doctoral committee.
- (4) The doctoral committee decides on the commencement of the doctoral procedure. § 7 (6) applies accordingly.

§ 9 Examination board

- (1) The doctoral examination is conducted by an examination board appointed by the doctoral committee.
- (2) As a rule, the examination board is composed of the reviewers, at least one member of the doctoral committee and at least one further examiner for the oral examination. The members of the examination board appoint one chair and one keeper of the minutes. The doctoral degree regulations of the Faculties provide for the details.

§ 10 Doctoral thesis

- (1) The doctoral thesis must prove the doctoral candidate's qualification to perform in-depth scientific work and constitute a considerable contribution to progress to the scientific state of the art.
- (2) As a rule, the doctoral thesis must be written in English or in German. The doctoral degree regulations of the Faculties can make deviating provisions.
- (3) The doctoral thesis must be written independently and, as a rule, as an individual thesis. Deviating from this rule, the doctoral degree regulations of the Faculties can admit an already published paper or, if these papers are coherent, several connected scientific papers as parts of the doctoral thesis (thesis by publication). In case of prior publication the doctoral candidate is responsible for ensuring that contractual agreements regarding copyright of a publication do not preclude publication as part of the doctoral procedure. The doctoral degree regulations of the Faculties may require proof of compliance with this obligation. A treatise submitted by the doctoral candidate in a university exam, a state or a church exam can not be recognised as a doctoral thesis or part of a doctoral thesis. Results from such treatises may, however, be used for the doctoral thesis as long as these are marked as such in compliance with § 8 (1) no. 3 sentence 2.
- (4) For all other purposes, the doctoral degree regulations of the Faculties regulate the requirements of a thesis by publication; in particular, they state if the scientific papers should be published or unpublished work. Should a doctoral achievement within the meaning of paragraph 3 sentence 2 be a scientific paper written in co-authorship, the doctoral degree regulations of the Faculties must include the provision that it must be clearly demonstrated which part of the paper originates from the doctoral candidate. This authorship must, as far as possible, be confirmed in writing by the doctoral candidate and the corresponding co-authors.

§ 11 Assessment of the doctoral thesis

- (1) The doctoral committee mandates the examination of the submitted doctoral thesis and appoints a minimum of two reviewers in accordance with § 5 (4,5). The doctoral degree regulations of the Faculties should provide that a further reviewer is appointed, in particular, if in accordance with the doctoral degree regulations of the Faculties the reviewers of the doctoral thesis propose the qualification “summa cum laude”, but a minimum of one but not all the reviewers assess the work as “not sufficient” or if the difference between the grades is two or more.
- (2) Each reviewer must submit a written substantiated assessment to the doctoral committee, as a rule, within three months of being appointed as a reviewer. The doctoral degree regulations of the Faculties may contain further provisions.
- (3) The reviewers assess the scientific achievement of any work to be accepted in their written assessment and propose a grade. They examine thoroughly and independently of each other if the submitted doctoral thesis can be accepted as a doctoral achievement or if it must be rejected or returned for reworking.
- (4) The doctoral degree regulations of the Faculties take up provisions regarding grading and may allow intermediate grades such as 1.3, 1.7, 2.3 and 2.7. The qualification “summa cum laude” is reserved for doctoral theses of outstanding quality. The proposal must be substantiated.
- (5) When all assessments have been submitted, the doctoral thesis is made available for inspection in the offices of the Faculty (*Promotionssekretariat*) for a period of ten workdays. The chair of the doctoral committees notifies the university teachers as defined in § 44 (1) no. 1 LHG and the full-time habilitated scientific Faculty members of the time and place of inspection. Those members of the Faculties providing reviewers that are also entitled to act as reviewers in doctoral procedures as well as the members of the examination board are entitled to inspection. During the inspection period, the persons defined in sentences 2 and 3 can raise objections in writing against acceptance, rejection or grade of the doctoral thesis. Such objections must be substantiated in writing or electronically.
- (6) If the reviewers unanimously proposed the acceptance of the doctoral thesis and no objections were raised, the doctoral committee declares the acceptance of the doctoral thesis. As a rule, the grade is the unrounded arithmetic mean of the grades awarded by the reviewers. If the reviewers unanimously proposed the rejection of the doctoral thesis and no objections were raised, the doctoral committee declares the rejection of the doctoral thesis. If the assessments regarding recommendations for acceptance or rejection of the doctoral thesis diverge or one of the persons defined in paragraph 5 raises objections against acceptance or rejection, the doctoral committee appoints a further reviewer. Taking into account the further reviewer’s recommendations, the doctoral committee decides if the doctoral thesis is accepted or rejected.
- (7) If a reviewer detected a flaw in the doctoral thesis without grading it as “insufficient”, this reviewer can require the correction of this flaw as a precondition for his or her acceptance of the doctoral thesis. The chair of the doctoral committees requests the doctoral candidate to resubmit the doctoral thesis after correction of the flaws within an adequate period of time. The doctoral committee can extend this period upon substantiated request. The assessment of the doctoral thesis is based on the first version submitted; however, the corrected flaws must adequately be taken into account. If the doctoral candidate fails to resubmit the thesis within the extended period, the doctoral thesis is considered as rejected. The doctoral thesis is considered as accepted after a hearing and consent of the reviewer to the corrections.

- (8) The provisions of the doctoral degree regulations of the Faculties can differ from sentences 6 and 7.
- (9) If the acceptance of the work as a doctoral thesis is rejected, the doctoral procedure is terminated without success. The doctoral committee must notify the doctoral candidate of the rejection in a letter which states the reasons for rejection and provides information on the right of appeal.

§ 12 Oral examination

- (1) In case of final acceptance of the doctoral thesis, an oral examination is conducted. In the oral examination, the doctoral candidate is to show their ability to orally discuss scientific problems. The doctoral degree regulations of the Faculties as well as the statutes of the PhD programmes indicate time, type and content, language and duration of the oral examination.
- (2) The doctoral candidate is notified in writing of the oral examination in good time.
- (3) Minutes are kept of the key topics and results of the oral examination.
- (4) The oral examination is open to University members. Upon request of the doctoral candidate, the public can be excluded for good cause. Admission of the public does not apply to the consultation and the notification of examination result.
- (5) The examination board decides in a non-public consultation following the oral examination if the oral examination was successful and grades it in compliance with § 11 (4). The final grade of the oral examination is the unrounded mean of these individual grades.
- (6) The oral examination is considered as failed if the overall grade is lower than (3.0).
- (7) The oral examination is considered as failed if the doctoral candidate fails to appear for the scheduled examination date without good cause.

§ 13 Repeat oral examination

- (1) If the oral examination was failed or considered as failed, it can be repeated once within a year. The doctoral committee notifies the doctoral candidate thereof in a letter stating the reasons and providing information on the right of appeal. The request for admission to a repeat examination must be addressed to the chair of the doctoral committee after notification of the fail grade. The doctoral degree regulations of the Faculties provide further details.
- (2) The doctoral procedure is terminated without success if no request for a repeat oral examination was submitted within a year or the repeat oral examination was also failed. The doctoral committee notifies the doctoral candidate thereof in a letter stating the reasons and providing information on the right of appeal.

§ 14 Overall grade of doctoral studies

- (1) If the doctoral candidate passed the oral examination, the examination board determines the overall grade of the doctorate. The doctoral degree regulations of the Faculties provide further details regarding the award of the overall grade and the award of the overall qualification “summa cum laude”.
- (2) The overall grade is composed of the grade of the doctoral thesis and the oral examination. The doctoral degree regulations of the Faculties may have provisions for weighting. In case of PhD programmes, the grades awarded in the intermediate examinations can also count towards the

overall grade.

- (3) The chair of the doctoral committee notifies the doctoral student of the result in writing and issues a preliminary certificate indicating the overall grade, which is valid for one year.

§ 15 Award of the doctoral degree and degree certificate

- (1) The doctoral degree is awarded with the award of the doctoral degree certificate. The doctoral degree certificate bears the seal of the University and is signed by the President of Ulm University and the dean of the Faculty. It shows the degree, the overall grade of the doctoral studies and the title of the doctoral thesis. The day of the oral examination is shown as the day of completion of doctoral studies. The doctoral candidate acquires the right to use the title of doctor only with the handing over of the doctoral degree certificate.
- (2) The doctoral degree certificate is only handed over after the doctoral candidate has complied with his or her obligation to publish under § 16 or has ensured publication of the doctoral thesis through presentation of a valid contract with a publisher and the Communication and Information Centre (*kiz*) has confirmed successful publication to the respective office for doctoral matters (*Promotionssekretariat*). The doctoral candidate is entitled to use the title of doctor only after the doctoral degree certificate has been handed over.
- (3) At the request of the doctoral candidate, a copy of the certificate can be issued.

§ 16 Publication of the doctoral thesis

- (1) The doctoral candidate must make the doctoral thesis accessible to the scientific public within a year of passing the oral examination in a version approved by the supervisor or (if he or she is no longer available) by one of the reviewers in a suitable manner through duplication and distribution. This obligation constitutes one unit within the meaning of a scientific achievement. If the doctoral candidate fails to comply with this obligation within the given period, all rights obtained with the doctoral examination expire. In justified cases, the chair of the doctoral committee can extend this period upon prior request once by one year. If the supervisor rejects the version of the doctoral thesis chosen for publication, the doctoral committee decides how to proceed.
- (2) The following options for publication exist:
 - a) An electronic version in a format determined by *kiz* (Communication and Information Centre) on a full text server provided by *kiz* and, additionally, a paper version to be archived, or
 - b) 3 monographs (in case of publication by a publisher), or
 - c) 5 copies of the complete doctoral thesis in paper format.
- (3) The legal deposit at the German National Library occurs via *kiz* in cases a) and c) and via the publisher in case b).
- (4) The requirements for correct publication (prerequisites, deadlines, permitted format of publication, etc.) are determined by *kiz* in agreement with the doctoral committees.

§ 17 Non-attendance, withdrawal and inability to take an exam

- (1) If the doctoral candidate fails to appear for an examination without good cause or withdraws after the examination has commenced without good cause, the oral examination is considered as

failed.

- (2) The grounds for non-attendance or withdrawal from an examination must immediately be indicated and demonstrated in a credible manner to the chair of the doctoral committee. In case of non-attendance, this means, as a rule, no later than when the examination commences; in case of withdrawal, before the termination of the examination (to be recorded in examination record). In case of illness, the chair of the doctoral committee can request a medical certificate.
- (3) The doctoral committee decides on recognition of the grounds. If the grounds are recognised, a new examination date is scheduled.

§ 18 Deception and breach of regulations

The examination can be declared failed by the doctoral committee if the doctoral candidate committed an act of deception or breached regulations during the examination. The doctoral candidate must have the chance to comment before this decision is taken.

§ 19 Withdrawal/revocation of a doctoral degree

- (1) If it becomes known before the handing over of the doctoral degree certificate that the doctoral candidate committed deception with the doctoral degree achievements or that key requirements for the doctoral degree were erroneously assumed fulfilled, the doctoral degree is declared void.
- (2) The doctoral degree can be withdrawn, in particular, if
 1. it becomes known later that the degree was achieved through deception regarding doctoral achievements or deception regarding key requirements for the doctoral procedure,
 2. the doctoral graduate is convicted of intentionally committing a criminal offence in preparation or realisation of which he/she misused the doctoral degree.
 3. the doctoral graduate proves unworthy of the doctoral degree.
- (3) If the prerequisites for admission to an examination were not fulfilled but no intentional deception by the applicant is given and this becomes known only after the examination certificate was handed out, this shortcoming is rectified by the candidate's passing the examination.
- (4) In the cases described in paragraphs 1 and 2, the doctoral committee takes the decision after hearing the person concerned. The principles of safeguarding good scientific practice must be adhered to.
- (5) If failure to pass the doctoral examination is determined only after the doctoral degree certificate has been handed over, this certificate must be returned.
- (6) In all other respects, the revocation of the doctoral degree follows legal provisions.

§ 20 Exam inspection

The doctoral candidate is entitled to inspect the examination documents after termination of the doctoral procedure.

§ 21 Procedural shortcomings and objection

- (1) Shortcomings in the doctoral procedure must immediately be claimed to the chair of the doctoral committee.

- (2) The person concerned can object to the doctoral committee regarding any negative notification based on this Regulatory framework for doctoral studies in writing within one month of publication. The doctoral committee decides on this objection in compliance with § 4 (5). This also applies to the revocation of the doctoral degree. The doctoral committee's decision on revocation of the doctoral degree must carry the signatures of the chair of the doctoral committee as well as those of the President and the dean.
- (3) The rules of the Administrative Procedure Code (*Verwaltungsgerichtsordnung*) apply to any objection.

§ 22 Retention of examination documents

- (1) After successful completion of the doctoral procedure, the examination documents including the doctoral thesis are included in the file of the Faculty.
- (2) If the doctoral thesis is rejected or the doctoral project finally failed, the doctoral thesis including all assessments remain in the file of the Faculty.

§ 23 Doctoral studies supervised jointly with other higher education institution

- (1) Any doctoral procedures conducted jointly with any other German or foreign higher education institution entitled to award doctoral degrees is based on an agreement between Ulm University and the higher education institution concerned.
- (2) Agreements concluded between Ulm University and other higher education institutions entitled to award doctoral degrees regarding joint doctoral procedures may deviate from the provisions of §§ 1 to 22.
- (3) Details are provided in the doctoral degree regulations of the Faculties and the statutes of the PhD programmes.
- (4) Provisions regarding jointly supervised doctoral studies analogously apply to co-operations with several partner universities.

§ 24 Honorary doctorate

The award of an honorary doctorate - or the revocation thereof in application of § 19 - is decided by the Faculty Council with the consent of the Senate.

§ 25 Compensation for disadvantages

The special situation of doctoral candidates with children or dependant relatives in need of care within the meaning of § 7 (3) of the German nursing care act as well as that of doctoral candidates with a disability or chronic disease must be taken into account to ensure equal opportunities. Examination period extensions or alternative examination arrangements can be granted upon written request. If applicable, this request must be supported by suitable proof. The request is decided by the chair of the doctoral committee.

§ 26 Effective date and transitional provisions

- (1) This Regulatory framework for doctoral studies comes into effect on the day after its publication in the official information bulletin (*Amtliche Bekanntmachungen*) of Ulm University. It applies from the moment when the respective doctoral degree regulations of the Faculty or, in case of cross-faculty doctoral studies, of the Faculties to this Regulatory framework for doctoral studies take effect. The Faculties must have adjusted their doctoral degree regulations to the provisions of this Regulatory framework for doctoral studies by the end of the winter semester 2015/16.

They provide in which circumstances the old version of the doctoral degree regulations is applicable to already commenced doctoral projects or if such projects are to be transferred to the new legal situation.

- (2) Deviating from paragraph 1 sentence 2, §§ 5, 6 and 7 first apply to candidates who submitted an application under § 7 (1) after the effective date of this Regulatory framework for doctoral studies and before adjustment of the respective doctoral degree regulations of the Faculties.

The above regulations have been approved. They are hereby executed and are to be published.

Ulm, 3 August 2015

Prof. Dr. Karl-Joachim Ebeling

President

Anlage 1 : Muster einer Promotionsvereinbarung

Promotionsvereinbarung zwischen dem Betreuer (Name, Titel, Vorname) und dem Doktoranden (Name, Vorname) gemäß § 5 Abs. 1 dieser Rahmenpromotionsordnung

§ 1 Promotionsvorhaben

a) Fakultät: _____

Promotionsgebiet: _____

Ggf. Bezeichnung des Promotionsstudiengangs bzw. eines sonstigen anerkannten Programms der strukturierten Doktorandenausbildung

Angestrebter Abschluss: Dr. [Bezeichnung des Grads] / Ph.D. [Bezeichnung des Grads]

b) Geplantes Thema für die Dissertation (Arbeitstitel):

Beginn des Promotionsvorhabens (Monat/Jahr): _____

Geplantes Ende des Promotionsvorhabens (Monat/Jahr): _____

.

§ 2 Aufgaben und Pflichten des Doktoranden

- (1) Der Doktorand berichtet gegenüber dem Betreuer regelmäßig über die Vorbereitung, Entwicklung und Durchführung des Promotionsvorhabens und den Fortschritt. Der Bericht kann auch im Rahmen eines Kolloquiums oder einer vergleichbaren Veranstaltung erstattet werden.
- (2) Grundlage für die Besprechung ist ein zuvor mit dem Betreuer vereinbarter Zeit- und Arbeitsplan. Abweichungen vom Plan sowie Modifikationen in den Zielsetzungen, Inhalten und Methoden sind mit dem Betreuer zu besprechen. Der Zeitplan ist nach dem Fortschritt der Dissertation und der persönlichen Lebenssituation des Doktoranden anzupassen.
- (3) Der Doktorand verpflichtet sich zur Einhaltung der Satzung der Universität Ulm zur Sicherung guter wissenschaftlicher Praxis.

§ 3 Aufgaben und Pflichten des Betreuers

- (1) Der Betreuer verpflichtet sich durch Unterschrift unter diese Vereinbarung, das Promotionsvorhaben des Doktoranden zu betreuen. Dem Betreuer ist die vom Doktoranden verfasste Darstellung der Ziele, der Inhalte und Methoden für das Promotionsvorhaben einschließlich des Zeit- und Arbeitsplanes bekannt.
- (2) Der Betreuer steht in regelmäßigen Abständen für Betreuung und fachliche Beratung des Doktoranden zur Verfügung. Dabei gibt er auch Rückmeldungen zu Leistungen des Doktoranden.

- (3) Der Betreuer gibt dem Doktoranden die Möglichkeit, sich insbesondere durch die Teilnahme an Forschungsvorträgen, Fachtagungen sowie anderen Veranstaltungen, die die Qualifikation für Wissenschaft und Forschung betreffen, fortzubilden.
- (4) Bei Abgabe der Dissertation verpflichtet sich der Betreuer, diese in angemessener Zeit zu begutachten. Auf § 11 Abs. 2 der Rahmenpromotionsordnung wird verwiesen.
- (5) Der Betreuer verpflichtet sich zur Einhaltung der Satzung der Universität Ulm zur Sicherung guter wissenschaftlicher Praxis.

§ 4 Aufhebung der Promotionsvereinbarung

- (1) Diese Vereinbarung endet zum vereinbarten Termin. Sie kann im beidseitigen Einvernehmen, bei Vorliegen wichtiger Gründe auch einseitig aufgehoben werden. In diesem Fall sollte vorher das Gespräch gesucht werden; im Konfliktfall ist die Ombudsperson gemäß § 5 Abs. 1 der Rahmenpromotionsordnung anzurufen, um eine Lösung herbeizuführen.
- (2) Im Falle einer von dem Doktoranden nicht zu vertretenden Auflösung der Promotionsvereinbarung bemüht sich die zuständige Fakultät um ein alternatives, fachlich angemessenes Betreuungsverhältnis.

§ 5 Sonstiges

- (1) Die Vertragspartner haften einander für Vorsatz und grobe Fahrlässigkeit.
- (2) Diese Promotionsvereinbarung wird in drei Ausfertigungen unterzeichnet. Je eine mit den Unterschriften versehene Ausfertigung verbleibt beim Betreuer, beim Doktoranden und in der Promotionsakte.

Unterschrift Doktorand/Betreuer/ggf. Zweitbetreuer

Annex 1 : Sample Doctoral Agreement

Doctoral agreement between the supervisor (last name, title, first name) and the doctoral candidate (last and first name) in compliance with § 5 (1) of these framework regulations for doctoral studies

§ 1 Thesis project

a) Faculty: _____

Research field: _____

If applicable, name of PhD programme or other programme recognised within structured PhD education.

Desired degree: Dr. [name of degree] / PhD [name of degree]

b) Intended research topic (working title):

Start of the thesis project (month/year): _____

Scheduled end of the thesis project (month/year): _____

§ 2 Tasks and duties of the doctoral candidate

- (1) The doctoral candidate regularly reports to his/her supervisor on the preparation, development and realisation of his/her research project as well as any progress. This report can also be delivered within the framework of a colloquium or any similar course.
- (2) All discussions are based on a time and work schedule previously agreed with the supervisor. Deviations from this schedule as well as changes regarding objectives, contents and methods must be in consultation with the supervisor. The time schedule is to be adjusted in consideration of project progress and the doctoral candidate's personal circumstances.
- (3) The doctoral candidate agrees to comply with Ulm University's statutes on good scientific practice.

§ 3 Tasks and duties of the supervisor

- (1) By signing this agreement, the supervisor agrees to supervise the doctoral candidate's thesis project. The supervisor is aware of the objectives, contents and methods of the thesis project as well as the time and work schedule proposed by the doctoral candidate.
- (2) The supervisor is available on a regular basis for supervision and professional advice of the doctoral candidate. This includes feedback on the doctoral candidate's work.
- (3) The supervisor provides the doctoral candidate with the opportunity to gain further professional experience, in particular by attending research lectures, conferences and other events qualifying for scientific work and research.

- (4) On handing in the doctoral thesis, the supervisor undertakes to assess the thesis within a reasonable period of time. § 11 (2) of the framework regulations for doctoral studies is referred to.
- (5) The supervisor agrees to comply with Ulm University's statutes on good scientific practice.

§ 4 Termination of the doctoral agreement

- (1) This agreement ends on the agreed date. It can also be terminated by mutual agreement; or, for good cause, unilaterally. In such case, previous talks are to be sought; in case of conflict, the ombudsperson is to be consulted in compliance with § 5 (1) of the framework regulations for doctoral studies to find a solution.
- (2) Should the doctoral agreement be terminated without the doctoral candidate being responsible for this termination, the respective faculty endeavours to find a qualified substitute supervisor.

§ 5 Other

- (1) The parties are mutually liable for intent and gross negligence.
- (2) This doctoral agreement is signed in three copies. One of the signed copies remains with the supervisor, one with the doctoral candidate and one in the candidate's doctoral file.

Signatures of doctoral candidate/supervisor/second supervisor (if any)