



Admission Regulations, Study and Examination Regulations and PhD Regulations for the PhD Course of Studies “International PhD Programme in Molecular Medicine” of the Medical Faculty of the University of Ulm with the Goal of Gaining a PhD and of the International Graduate School in Molecular Medicine for Gaining the Degree Doctor of Natural Science Dr. rer. nat.

dated 23.10.2015

Please note: According to the German law, only the German version of the Study and Exam Regulations is legally binding.

On the basis of Article 1 (Landeshochschulgesetz (LHG)) [State Higher Education Act] of the Third Law on the Changes to Higher Education Regulations (Third Higher Education Change Law - 3rd HRÄG) dated 1 April 2014 (GBl. No. 6 S. 99 et seq.), the Senate of the University of Ulm, in accordance with § 38 subsection 4 LHG, in its meeting on October 14, 2015, has established the following regulations, after the consent of the Medical faculty and the International Graduate School in Molecular Medicine. The Rector of the university has given his consent in accordance with § 38 subsection 4 sentence 1 LHG on October 23, 2015.

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Preliminary remark on the linguistic usage

According to Article 3 subsection 2 of the German constitution, men and women are equal; all personal and function-related terms that appear in the masculine form in these regulations refer equally to both women and men.

Section 1: Scope, Purpose of the Doctoral Programme

§ 1 Scope, Purpose

- (1) These regulations apply to PhD and Dr. rer. nat. degrees
- (2) The Framework PhD Regulations of the University of Ulm, as amended, form the basis for these Admission, Study, Examination and PhD Regulations for the “International PhD Programme in Molecular Medicine” of the Medical Faculty of the University of Ulm with the goal of gaining a PhD or Dr. rer. nat. in consideration of § 1 a subsection 2 sentence 2 and sentence 3 of the Framework PhD Regulations. Insofar as no provision is stipulated in these regulations for this PhD programme and the PhD procedure, the Framework PhD Regulations shall apply.
- (3) With the establishment of the course of doctoral studies in the “International PhD Programme in Molecular Medicine” (hereafter referred to as PhD programme), the qualification of the new generation of scientists for science and research is to be promoted. The PhD programme offers project-oriented training in research with the aim of developing the ability to deal experimentally with a molecular medicine topic scientifically, in depth and independently over a predefined period of time according to the principles of the rules of the University of Ulm for assuring good scientific practice and presenting the acquired knowledge before an academic committee. After the successful completion of the PhD programme, the academic degree of Doctor of Philosophy (PhD) is conferred by the Medical Faculty of the University of Ulm or a Doctor of Natural Science Dr. rer. nat. by the International Graduate School in Molecular Medicine of the University of Ulm.
- (4) Communication in the PhD programme is electronic, if not regulated otherwise in the following.

Section 2: Prerequisites for Admission to the PhD Programme, Admission to the PhD Programme and Acceptance as a PhD Student

§ 2 Prerequisites for Admission to the PhD Programme, Admission to the PhD Programme and Acceptance as a PhD Student

- (1) The prerequisites for admission to the PhD programme are
 1. proof of the completion of either a Master’s course of study with above-average success, a course of university study of at least four years in molecular medicine or courses of study with comparable content as, for example, human medicine, veterinary medicine, biology, chemistry, biochemistry, molecular biotechnology, pharmacy, or in another scientific field or in a course of study with scientific contents, especially bioinformatics, in either a domestic or foreign university,
 2. sufficient knowledge of English in a presentation open to all faculty members and in the following interviews,
 3. a statement from a potential supervisor from Ulm, who must be a qualified university lecturer or have an equivalent academic qualification, naming and briefly describing the PhD project from the field of biomedical sciences, consenting to academic supervision, and giving details about the financing of the project,
 4. a 15-minute presentation, open to the faculty and assessed as above average on the academic work so far in English language, followed by a discussion of approx. 10 minutes

or, if the university course does not provide for a final thesis (final university examination)

5. a 15-minute presentation, open to the faculty and assessed as above average on a current topic in molecular medicine in English language, followed by a discussion of approx. 5 minutes.
 - (2) The topic in accordance with subsection 1 No. 5 is set in written form by the PhD Committee four weeks before the date of the presentation.
 - (3) For proof of the above-average level of the degree, above-average examination results must exist and the applicant's history must indicate a special ability and motivation for academic work. As a rule, above-average examination results are
 - a) a final university degree grade of at least 2.0 according to the German university system.
 - (4) A particular ability and motivation for academic work is generally identifiable with
 - a) proof of professional training relevant to the study course or practical experience relevant to the study course of at least 12 months' duration, or other achievements which could provide information on suitability for a PhD programme, as well as
 - b) evidence of subject-specific publications.
 - (5) For the decision on the above-average nature of the university degrees, the examination performance will have a crucial influence.
 - (6) When assessing the presentation in accordance with subsection 1 No. 4 and 5, the following are given special attention:
 - a) structuring of the presentation,
 - b) problem-solving competence and
 - c) knowledge of the English language.
- The applicant will be informed in due time by the PhD Committee about the time and place of the presentation.
- (7) An excellent university Bachelor's degree in accordance with § 6 subsection 2 sentence 3 of the Framework PhD Regulations of the University of Ulm, exists if an experimental Bachelor's thesis exists with a final grade of at least 2.0 and in a presentation with a subsequent discussion before the PhD Committee, the applicant proves his suitability for a dissertation in accordance with subsection 6. In justified cases, the PhD Committee can apply an ancillary requirement in accordance with § 36 subsection 2 of the State Administrative Procedure Act (LVwVfG).
 - (8) The PhD Committee decides on the equivalence of the educational background and the comparability of the degrees.
 - (9) Applicants are to make an electronic application for admission (online application procedure). To avoid unreasonable hardship, the university can, on request, which can then be made in person or in written form, waive the demand for an electronic application.
 - (10) For the application for admission to the PhD programme and acceptance as a PhD student, the documentation in accordance with § 7 subsection 2 No. 1 - 5 of the Framework PhD Regulations shall be included (except for the PhD agreement), as well as the following documents:

- a) a timely application for the PhD course of study on the form provided by the university that clearly indicates the suitability and motivation for the PhD programme,
- b) a certificate of the final university examination grades including transcript of records,
- c) proof of professional training, practical work in accordance with subsection 4 a,
- d) proof of subject-specific publications in accordance with subsection 4 b and
- e) a curriculum vitae presenting the applicant's professional and academic experience.

The PhD Committee decides whether the prerequisites standardised in subsections 1, 3 and 4 are fulfilled and whether technical suitability for the PhD programme exists. On the advice of the PhD Committee, the President decides on admission to the PhD programme and acceptance as a PhD student.

- (11) Over and above § 7 subsection 5 No. 1 - 6, admission to the PhD programme and acceptance as a PhD student shall be rejected if
 - a) the presentation open to the faculty and the interviews and language competence are not graded by the PhD Committee as at least good (2.0) on a scale of 1 - 5, with 1 the best grade.
- (12) In other respects, the relevant statutes of the University of Ulm regarding admission, registration, feedback, leave of absence and de-registration remain unaffected.

§ 3 Admission of Students from the Master's Programme in Molecular Medicine of the University of Ulm (Master's/PhD Programme)

- (1) Particularly well-qualified Master students from the Master programme Molecular Medicine of the University of Ulm will be given the opportunity of taking part in the application procedure for admission to the PhD programme (Fast Track Programme). Master's students who have achieved average grades of at least 2.0 or better prior to being admitted to their Master's thesis are regarded as being particularly well-qualified. An application to this effect should be sent to the PhD Committee. The application must be submitted prior to the start of the Master's thesis and no later than two weeks after passing the last examination, which provides eligibility for preparing the Master's thesis. If this deadline is not met, participation to the Master's/PhD Programme is excluded, unless the student is not at fault for missing the deadline. The following documentation must be submitted:
 - a) a curriculum vitae presenting the applicant's professional and academic experience,
 - b) an up-to-date transcript of records with an average grade of at least 2.0,
 - c) a written application, specifying the institution, the supervisor, the project and the financing of the PhD position.
- (2) After the approval of the PhD Committee, the Master's student is admitted to the PhD programme on a provisional basis; the admission shall lapse if the Master's programme is not successfully completed with a minimum grade of 2.0, the disputation for the Master's thesis in accordance with § 2 subsection 1 No. 4/5 is successfully completed and a project plan is available on time (conditions subsequent). The deadline for the project plan is determined by the PhD Committee.
- (3) On admission to the PhD programme in accordance with subsection 1, in the first semester, the Master's thesis will be completed in accordance with the rules of the specific study and examination regulations for the English-language Master's Programme in Molecular Medicine at the University of Ulm, in the respective valid version.

- (4) The disputation for the Master thesis is at the same time the admission condition in accordance with § 2 subsection 1 No. 4 or No. 5. At least 1 representative from the PhD Committee (§4) must be present at the Master's disputation.
- (5) The 1st intermediate evaluation takes place 6 months after the Master's disputation. The 2nd intermediate evaluation takes place one year after the first intermediate evaluation.
- (6) During the Master's thesis, all of the events envisaged in the PhD programme in the first half-year must be completed (please refer to the prescribed compulsory and compulsory optional courses in accordance with § 8 subsection 1 b), subsection 2 b) and subsection 4 b) in accordance with Appendix 3 of these regulations, hereinafter referred to as Study Plan).

§ 4 PhD Committee, Thesis Advisory Committee

- (1) The PhD Committee is responsible for all of the regulations for admission, study, examination and PhD regulations concerning the PhD programme. The PhD Committee exists as such in accordance with § 7 of these regulations and the PhD Committee for the purposes of § 4 of the Framework PhD Regulations.
- (2) The PhD Committee decides on the appropriateness of a topic to the field of Molecular Medicine and additional subjects with a scientific reference.

As a rule, the PhD Committee, in which all faculties involved in the programme should be represented, has no more than eight members entitled to vote.

- (4) The Chairman and the majority of the members of the PhD Committee must work as full-time professors at the University of Ulm. In addition, an academic employee with a doctorate and a student from the PhD programme belong to the PhD Committee; the student has an advisory vote.
- (5) At the suggestion of the PhD student and the first supervisor, the PhD Committee appoints a three-person Thesis Advisor Committee (TAC) for every PhD student in the PhD programme. Within six weeks after registration, the TAC concludes a PhD agreement with the PhD student, which is based on the template attached in the Framework Regulations. The TAC is comprised of a supervisory for the purposes of § 5 subsection 2 S. 1 of the Framework PhD Regulations, a Principal Investigator from the graduate school and an expert from a related field. The expert from a related field should be a person from outside of the university. No two supervisors in the TAC are permitted to be appointed, if they come from the same institute or clinic of the University of Ulm. The members of the Thesis Advisory Committee must be habilitated or possess an equivalent scientific status. In addition to the three members of the TAC, a fourth member from the Junior Faculty of the graduate school can be appointed. The members of the Thesis Advisory Committee select from among themselves a Chairman and his deputy.
- (6) The TAC has the following functions:
 - a) supervision and individual specialist advice for the PhD student during the entire duration of the PhD programme,
 - b) holding the intermediate evaluation 1 and the intermediate evaluation 2,
 - c) assessment of the dissertation,
 - d) co-assessment of the disputation.

Section 3: Study Programme

§ 5 Duration, Structure of the Programme, Scope of the Curriculum

- (1) The period of time within which the student must complete the PhD programme is three academic years. The curriculum of the PhD programme extends over three academic years.
- (2) A Study Plan is prepared for the PhD programme. This is comprised of compulsory and elective courses.
- (3) In addition, a dissertation must be drawn up and a presentation on the dissertation (disputation), which is open to internal university members, must be given.

§ 6 Examination Structure and Deadlines

- (1) The PhD programme consists of oral evaluations (intermediate evaluation 1 and 2), a dissertation written by the PhD student, and a disputation. The first academic year is completed with intermediate evaluation 1 and the second academic year with intermediate evaluation 2. Neither intermediate evaluations are graded, but they are assessed. The respective intermediate evaluation must be repeated if the TAC determines that it was unsuccessfully participated in and therefore has not been passed due to serious deficiencies in the presentation or in the academic background knowledge. After the respective intermediate evaluation, a joint discussion should take place regarding the strengths and weaknesses of the PhD student, as well as suggestions for continuing the PhD thesis.
- (2) For the intermediate evaluations, the registration modalities in accordance with §§ 13 subsection 2 and 14 of the General Provisions for the Bachelor's and Master's Programme at the University of Ulm (Framework Regulations) apply.
- (3) The registration deadlines, the presentation dates and the names of the members of the TAC will be notified in good time by the Chairman of the PhD Committee in the form stipulated. The registration period begins four weeks prior to the respective evaluation date and ends one week beforehand. The location and the permitted aids will be notified with the dates.
- (4) After completion of the third academic year the PhD student must have completed the dissertation, registered the disputation, and completed the compulsory and elective courses in accordance with § 8 subsection 1 b), subsection 2 b) and subsection 4 b) for the successful completion of the PhD programme. If a student has not met the requirements stipulated in sentence 1 for the respective academic year within one year, he loses the right to examination for this course of study, unless the PhD student is not to blame for exceeding the deadline § 12 remains unaffected by this. The decision on this is made by the PhD Committee.

§ 7 PhD Committee (Examination Committee)

- (1) The PhD Committee
 1. ensures that the requirements of these study and examination regulations are complied with,
 2. ensures that the intermediate evaluations and disputations are carried out properly,
 3. regularly reports to the Medical Faculty about developments regarding the examinations and study times, including the actual working times for the PhD dissertation,

4. offers suggestions for reforming these study and examination regulations,
5. decides on disputed issues concerning the interpretation of these study and examination regulations,
6. decides on all other tasks assigned to it by these study and examination regulations.

The PhD Committee may enlist the services of the Student Affairs department of the University of Ulm for administering its tasks.

- (2) The members of the PhD Committee have the right to be present when the intermediate evaluations are held.
- (3) The respective valid Rules of Procedure of the University of Ulm apply.
- (4) Negative decisions of the PhD Committee shall be notified to the PhD student in written form or electronically. They should include reasons and instructions on the legal remedies. Objections against decisions by the PhD Committee must be submitted in written form or for transcription to the Student Affairs department of the university within one month after receipt of the decision. If the PhD Committee fails to remedy the objection, it shall be presented to the member of the Faculty Board responsible for teaching for a decision.

Section 4: Intermediate Evaluations

§ 8 Admission to the Intermediate Evaluations and the Third Academic Year

- (1) In order to be admitted to the 1st intermediate evaluation, a student must
 - a) fulfil the prerequisites of § 14 subsection 2 a) and c) in accordance with the General Provisions for the Bachelor's and Master's Programme at the University of Ulm (Framework Regulations) and
 - b) have furnished proof of the regular and successful participation in the following courses in the first academic year in accordance with the Study Plan:

Compulsory courses:

- Lecture Series I
- Journal Club I
- Progress Report I
- Lecture "Improve your textbook knowledge" and
- Seminar "Good Scientific Practice"
- Submission of the written project plan
- Participation in spring and autumn meetings of the Graduate School

Compulsory optional courses:

- One optional course

As a rule, regular attendance is at 85% of the planned courses per year. This rule explicitly does not apply to the "Good Scientific Practice" seminar, for which no absences are envisaged. For the "Improve your textbook knowledge" lecture, regular attendance constitutes 85% participation in this course. The required sessions can be attended within in the first and second study years.

Once per year, the Graduate School holds a spring congress and an autumn meetings, at which intermediate evaluations are carried out. For PhD students who are not required to take intermediate evaluations, it is nevertheless compulsory to attend and participate in the events. The PhD Committee will regulate any exceptions.

(2) In order to be admitted to the 2nd intermediate evaluation, a student must

- a) fulfil the requirements of subsection 1 a) and b),
- b) have furnished proof of the regular and successful participation in the following courses in the second academic year *in accordance with the Study Plan*:

Compulsory courses:

- Lecture Series II
- Journal Club II
- Progress Report II
- Participation in spring and autumn meetings of the Graduate School

Compulsory optional courses:

- Compulsory placements
- Two optional courses

c) and have passed the 1st intermediate evaluation.

The compulsory practical trainings of lasting 10 days must be completed in at least two different subject areas by the end of the second academic year. They may not be completed in the institute or clinic in which the dissertation is being carried out.

(3) The 1st intermediate evaluation can be passed with conditions; the fulfilment of these conditions can be made a requirement for admission to 2nd intermediate evaluation.

(4) To be admitted to the third academic year, a student must

- a) have fulfilled the requirements of subsection 1 a) and b) and
- b) have passed the 2nd intermediate evaluation.

In the third academic year, proof of the regular and successful participation in the following courses with the credits in accordance with the Study Plan must be furnished:

Compulsory courses

- Lecture Series III
- Journal Club III
- Progress Report III
- Participation in spring and autumn congresses of the Graduate School

Compulsory optional courses:

- Two optional courses

(5) After the 2nd intermediate evaluation, the PhD student must notify the PhD Committee whether he intends to bear the title of PhD or Dr. rer. nat. after successful completion.

- (6) The PhD student can only be admitted to the disputation after acceptance of the dissertation and proof of a publication or the acceptance letter for publication in accordance with § 15 subsection 1. Exceptions are regulated in § 15 subsection 2. The PhD student must submit proof of this to the PhD Committee.
- (7) The Student Affairs Department decides on the admission to the intermediate evaluations and the admission to the third academic year; the PhD Committee decides on the admission to the disputation. If the PhD student cannot be admitted to one of these evaluations, the rejection of admission to the intermediate evaluations and admission to the third academic year, this will be notified to him by the Student Affairs Department and in the case of rejection of admission to the disputation, he will be notified by the PhD Committee.
- (8) Admission must be refused if the preconditions for admission stipulated in par. 1, 2, 4 and 5 are not fulfilled.

§ 9 Intermediate Evaluations

- (1) The PhD student must take the intermediate evaluations no later than four weeks after the respective admissions. For this, the PhD student will organise an evaluation date with his TAC independently during the spring and autumn meetings. In the oral intermediate evaluations, which may not exceed 60 minutes in duration, the PhD student should report on the progress of his work and prove that he can place the results in the context of his field, as well as identifying and solve theoretical and practical problems with regard to the dissertation. By means of the oral evaluations, it should also be determined whether the PhD student has a basic knowledge in the field of evaluation as well as a deeper knowledge in the research field of his dissertation.
- (2) The intermediate evaluations are taken during a poster presentation (1st intermediate evaluation) or after a lecture presentation and during a poster presentation (2nd intermediate evaluation) in front of the TAC in the form of individual discussions. At least two members of the TAC must be present. In exceptional cases, a member of the TAC can be replaced by a Principal Investigator from the graduate school.
- (3) The major results of the oral evaluations are to be recorded in a report and signed by the members of the TAC. The PhD student must be informed about the assessment after completion of each oral evaluation.
- (4) § 15 of the respective valid General Provisions for the Bachelor's and Master's Programme at the University of Ulm (Framework Regulations) applies accordingly (compensation for disadvantages).
- (5) PhD students who are to take the same evaluation at a later date may, depending on space, be admitted as listeners. Admission does not extend to the discussion and announcement of the evaluation result. For important reasons, or if the PhD student applies for it, the public is to be excluded.

§ 10 Repeatability of the Intermediate Evaluations

- (1) The intermediate evaluations may only be repeated once after unsuccessful participation, no later than two months after unsuccessful participation in the respective intermediate evaluations.
- (2) The right to examination for the PhD programme is lost by the PhD student, if the intermediate evaluation is not passed or not taken on time, unless the PhD student is not re-

sponsible for exceeding the time limit. The decision on this is made upon application by the PhD Committee.

§ 11 Absence, Withdrawal, Deception, Violation of Rules

- (1) If the PhD student fails to attend an intermediate evaluation without valid reasons or if he withdraws from the evaluation without valid reasons after it has begun, the intermediate evaluation shall be regarded as an unsuccessful participation and thus as “not passed”. The decision about whether or not the reasons are valid lies with the PhD Committee.
- (2) The reasons given for the withdrawal or absence must be immediately reported and substantiated to the PhD Committee in written form. In case of illness of the PhD student or the illness of a child requiring his care, as well as intensive nursing of a relative requiring care, the submission of a doctor's certificate can be requested and in cases of doubt, the submission of a certificate from a doctor appointed by the University of Ulm. In addition, the reasons for the withdrawal during an evaluation should be explained and substantiated immediately to the respective TAC. If the PhD student claims that he must care for a child, he must meet the deadlines for registering for the intermediate evaluation for the first time, the repetition of intermediate evaluations and compliance with the processing times for the dissertation. If the reasons for the withdrawal or omission are accepted, the PhD Committee will set a new date for the intermediate evaluation; as a rule, this is usually the next possible date, provided that the accepted reasons do not conflict with it. In this case, the evaluation results already available are taken into account. If the reasons are not accepted, the evaluation is assessed as “not passed”.
- (3) A PhD student who disturbs the proper course of the intermediate evaluation may be excluded from continuing the evaluation by the respective TAC; in this case, the relevant performance is assessed as “not passed”. If the PhD student is excluded from taking further evaluations, he can request that this decision be reviewed by the PhD Committee.
- (4) The PhD Committee decides on the acceptance of reasons for the absence or withdrawal.

§ 12 Protection Periods/Family Obligations

- (1) § 24 of the respective valid General Provisions for the Bachelor's and Master's Programme at the University of Ulm (Framework Regulations) applies accordingly.

§ 13 Teaching and Examination Language

- (1) The courses are conducted in English.
- (2) The disputation and intermediate evaluations are held in English.

§ 14 Successful Completion of the PhD Programme, Determining the Overall Grade

- (1) The PhD programme is successfully completed if the intermediate evaluations have been passed, the dissertation accepted, and the disputation passed.
- (2) The overall grade of the PhD programme is the arithmetic mean to one decimal place from the dissertation, and the disputation. The dissertation receives a weighting factor of 6 and the disputation receives a weighting factor of 4.
- (3) In exceptional cases, the overall grade "with distinction" (summa cum laude) can be given, provided that the disputation and the dissertation are assessed by all experts as an unrounded average with 1.0 and the unanimous decision of the PhD Committee is available for this.

§ 15 Dissertation

- (1) The dissertation is regarded as an examination. With it, the student should demonstrate that he is able to independently investigate and portray a defined problem in molecular medicine with suitable methods within a specified period of time. The dissertation must be written in English.
- (2) Academic progress must be discernible, and major results of the work must be published in the form of one or more original articles in respected English language, peer review scientific journals or be accepted for publication. For at least one article, the PhD student must be the first author. In justified exceptional cases, upon application by the PhD student, the accepted first authorship can be waived, if a manuscript is submitted, but not yet accepted, when the dissertation is submitted. In these cases, the PhD student may be invited by PhD Committee, within 4 weeks after the end of the 4th year, to an academic lecture on the PhD topic, if at least two-thirds of the PhD Committee consent to this. At least 4 members of the PhD Committee must attend this lecture. The application for the exception may be submitted no earlier than three months prior to the expiry of the maximum submission deadline for the dissertation of a total of 4 years after registration. The application will be approved if the majority of the members of the PhD Committee who are present give their consent after the lecture.
- (3) The submission of a cumulative dissertation is only possible provided that at least three connected original articles (cumulative dissertation) with a significant individual contribution from the PhD candidate have been published in recognised peer review journals, or accepted for publication. The PhD student must also have written two of the articles as first author. The PhD student must also provide a detailed introduction with the submitted articles in which the articles are comprehensively placed in a scientific context. In addition, a résumé of the articles must be handed in, in which the scientific contribution to the field of research is highlighted. A cumulative dissertation is only possible with the agreement and approval of the supervisor. It should indicate the PhD student's ability for independent scientific research and a proper understanding of the results of the thesis. In as far as sections of the dissertation have been published in co-authorship with other scientists, the individual contribution of the PhD student must be clearly dissociable and measurable in all articles. The PhD student must also provide a declaration written by himself on his contribution to the dissertation, which is then to be confirmed in writing by the thesis supervisor. The PhD committee sets directives for the completion of a cumulative dissertation.
- (4) With a cumulative dissertation paper, an exception in accordance with § 15 subsection 2 is not possible.
- (5) The dissertation must be started at the time of admission to the PhD programme. The point at which work on the dissertation began must be recorded.
- (6) The time between the assignments of the topic of the dissertation until its submission (time required to complete the dissertation) is three years. An extension of twelve months is possible on the student's request. The decision on this is made by the PhD Committee in consultation with the TAC.
- (7) The dissertation is regarded as being assessed with "not passed", and the right to examination for the dissertation is lost, if the dissertation has not been successfully completed within one year following the deadline for delivering the dissertation stipulated in subsection 3, unless the PhD student is not responsible for exceeding the deadline. The decision on this is made upon application by the PhD Committee.

- (8) The topic, problem and scope of the dissertation should be limited in such a way that it can be completed within the stipulated period according to subsection 5.

§ 16 Submission and Assessment of the Dissertation

- (1) The dissertation must be submitted within the stipulated period to the Chairman of the PhD Committee in the form of seven printed copies, as well as an electronic version. The submission date is to be recorded.
- (2) At the time the dissertation is handed in, the PhD student must give a sworn declaration that he has written the work independently, Appendix 1 and Appendix 1a. Furthermore, the PhD student must declare in writing that, if necessary, an appropriate ethical stance has been obtained, and that the regulations governing genetic engineering and the protection of laboratory animals have been upheld. In addition to this, the PhD student must provide evidence of the rights of use for the illustrations used in his dissertation paper. This also relates to the rights of use for original illustrations, which have been published in a journal in original papers or reviews. This evidence must be submitted with the dissertation.
- (3) The dissertation is assessed by the PhD Committee in consultation with the TAC. The TAC submits three independent assessments on it to the PhD Committee which must be countersigned by the Chairman of the PhD Committee. In addition, the PhD Committee requests an external fourth report. The reports must be provided in writing and independently within six weeks. The experts recommend acceptance of the dissertation with the grades:

Very good, magna cum laude = 1

Good, cum laude = 2

Satisfactory, rite = 3

Unsatisfactory, non sufficit = 4.

For a differentiated assessment of the examination results, intermediate grades can be formed by raising or lowering individual grades by 0.3; the grades 0.7 and 4.3 are excluded. In the event of a pre-grading of "summa cum laude", in accordance with § 14 subsection 3, in consideration of § 11 subsection 4 S. 2 and 3 of the Framework PhD Regulations, a further external fifth assessment must be obtained.

- (4) The PhD Committee decides on the acceptance or rejection of the dissertation in consultation with the TAC. If deficiencies are established in a report without rejecting it as a whole, the elimination of the deficiencies can be made a condition for the acceptance of the dissertation. The PhD Committee requires the PhD student to eliminate the deficiencies within three months. If the PhD student is responsible for failing to do so within the stipulated period, the dissertation is regarded as rejected. The PhD Committee decides, in consultation with the reviewer(s), on the acceptance or rejection of the revised, newly submitted dissertation. If the PhD Committee rejects the dissertation in consultation with the reviewers, it is regarded as rejected.
- (5) If one of the reviewers recommends the rejection of the dissertation, the PhD Committee will appoint an additional reviewer. Subsection 4 applies accordingly. If this reviewer's assessment is also negative, the dissertation is regarded as rejected.
- (6) If two reviewers recommend the rejection of the dissertation, the dissertation is definitely rejected. If all reviewers, or in the case of subsection 5, the additional reviewer, assess the dissertation with not lower than "rite", the dissertation is regarded as accepted.

- (7) In cases of rejection of the dissertation according to para. 4, 5 and 6, the PhD procedure is concluded. The rejected dissertation remains with the reports in the files.
- (8) If the dissertation is accepted as passed by all reviewers and the PhD Committee, all members of the university will be given the opportunity to inspect the dissertation through the notification of the period when the thesis is available for consultation. The display period is ten working days after receipt of the last report.

§ 17 Disputation and Assessment of the Disputation

- (1) The disputation is regarded as an examination. It consists of a presentation in English by the PhD student on his dissertation of at least 30 minutes, which is open to all university members, and a subsequent public discussion covering topics and methods related to the candidate's dissertation and on the fundamental problems involved in his specialist area, and which should not last more than 60 minutes. The disputation must take place within a period of six weeks after the receipt following notification of the period when the thesis is available for consultation.
- (2) For the disputation, the PhD Committee adds a reviewer from outside of the university to the TAC. For voting on the results, the PhD Committee, the TAC, the external reviewer and further reviewers appointed by the PhD Committee are entitled to vote. The number of reviewers must be at least four, one of whom must come from the PhD Committee. Each committee member votes individually.

In accordance with subsection 2, the PhD Committee assesses the result as follows:

Very good, magna cum laude = 1

Good, cum laude = 2

Satisfactory, rite = 3

Unsatisfactory, non sufficit = 4.

For a differentiated assessment of the examination results, intermediate grades can be formed by raising or lowering individual grades by 0.3; the grades 0.7 and 4.3 are excluded. In the case of pre-grading "summa cum laude", an additional member of the PhD Committee must be present as a reviewer at the disputation.

- (4) If the disputation is not passed, it can be repeated only once, two months after the first disputation at the latest. The dissertation is regarded as being assessed with "not passed", and the right to examination for the disputation is lost, if the disputation has not been successfully completed within the deadline for delivering the dissertation stipulated in sentence 1, unless the PhD student is not responsible for exceeding the deadline. The decision on this is made upon application by the PhD Committee.
- (5) After the disputation, the PhD Committee determines the overall assessment of the examination results according to § 14.

§ 18 PhD Programme Certificate

- (1) The Student Affairs Department must promptly issue, within four weeks at the latest, a certificate confirming the successful completion of the PhD programme that contains the achievements and the credits attained. The certificate must be signed by the Dean of the Medical Faculty and the Chairman of the PhD Committee.

- (2) Along with the certificate, the PhD student receives a “diploma supplement” with the date of the certificate. The diploma supplement is signed by the Chairman of the PhD Committee.
- (3) The certificate and diploma supplement are issued in English. On request, the certificate can also be issued in German.

§ 19 Additional Subjects

- (1) In addition to the intermediate evaluations required in § 8, the PhD student may take examinations in other subjects (additional subjects).
- (2) The results of the examinations in these subjects are included in the diploma supplement upon application by the PhD student.
- (3) Upon application by the PhD student, the subject area in which the PhD was completed can be added as a supplement. The PhD Committee will decide in an individual case.

Section 5: Publication of the Dissertation and Conferral of the PhD

§ 20 Publication of the Dissertation

§ 16 of the Framework PhD Regulations apply to the publication of the PhD. A publication shall only take place after consultation with the first supervisor.

§ 21 Conferral of the PhD

- (1) The PhD will be completed by the conferral of the certificate and the PhD diploma by the Dean of the Medical Faculty of the University of Ulm (Appendix 2) or the Chairman of the Graduate School (Appendix 3). The PhD date is the day on which the oral disputation was passed. The PhD diploma is issued in English (Appendixes 2 and 3). It provides the entitlement to bear the academic title of PhD or Dr. rer. nat.
- (2) The PhD diploma will only be presented once the PhD student provides evidence that his thesis has been published.

Section 6: Special Regulations for the PhD Procedure in Joint Supervision with a Foreign University or a Corresponding Institution

§ 22 PhD Procedure Jointly Carried Out with a Foreign University or a Corresponding Institution

- (1) A PhD procedure jointly carried out with a foreign university or a corresponding Institution requires that
 - a) an agreement on the joint, cross-border supervision of the PhD has been concluded with the foreign university or institution which the PhD Committee has agreed to and that
 - b) the PhD admission has taken place both in accordance with these regulations as well as at the foreign university or institution, and that
 - c) a comparable PhD programme is offered.
- (2) The dissertation can also be submitted to the graduate school of the University of Ulm, for whom these regulations are binding, as well as to the foreign university or institution. A dissertation which has already been submitted to the foreign university or institution, and which has been either accepted or rejected there, cannot be resubmitted. The

agreement ensures that this applies correspondingly for a dissertation which has already been either accepted or rejected at the University of Ulm.

- (3) If the dissertation is submitted to the university, then § 23 should be applied; if it is submitted to a foreign university or institution, then § 24 should be applied.
- (4) Grades are determined in accordance with the regulations of the university where the dissertation is submitted. The other respective university or institution determines the equivalent grade allowed by their PhD regulations.
- (5) Should the university or institution not accept the submitted thesis, or should the oral examination not be passed, the joint procedure is terminated and cannot be reapplied for.

§ 23 Submission of the Thesis to the University of Ulm

- (1) During work on the PhD thesis, supervision is carried out by both a professor from the University of Ulm and a professor from the foreign university or institution within the scope of the TAC. A third supervisor will be appointed according to the regulations in § 4 subsection 5. The detailed arrangement of the joint supervision follows from the agreement set out in § 22 subsection 1.
- (2) The three supervisors are usually also the reviewers for the purpose of § 4.
- (3) If the dissertation has been accepted by the graduate school at the University of Ulm, then it is sent to the foreign university or institution for approval of the progress of the proceedings.
- (4) If the foreign university or institution gives its approval, the disputation takes place in accordance with § 17 at the University of Ulm. By way of derogation from § 17, under the terms of the agreement, as well as the foreign supervisor, further members of the foreign university or institution with authority to examine may belong to the examination committee in this instance, but only until parity has been achieved.
- (5) However, if the dissertation has been accepted by the graduate school, but approval for the progress of the procedure has been denied by the foreign university or institution, then the common procedure is ended. Reapplication is not possible. The PhD procedure will be continued in accordance with these PhD Regulations (§§ 1-21).

§ 24 Submission of the Thesis to the Foreign University/Institution

- (1) During work on the doctoral thesis, supervision is carried out by both a professor from the foreign university or institution and a professor from the University of Ulm within the scope of the TAC. The detailed arrangement of the joint supervision follows from the agreement set out in § 22 subsection 1.
- (2) Both supervisors are usually also the thesis reviewers.
- (3) If the dissertation has been accepted by the foreign university or institution, then it is passed on to the graduate school for which these regulations apply for approval for the progress of the procedure. If the graduate school gives its approval, then the disputation takes place at the foreign university or institution in accordance with their regulations. In accordance with § 22 subsection 1, provision should be made that in this case at least the thesis supervisor from Ulm should be a member of the board which conducts the oral examination. The Chairman designates the required number of examiners in accordance with obligations of the agreement and ensures all other requirements of the agreement.

- (4) Should the dissertation be accepted by the foreign university or institution, but the approval for the progress of the procedure, has been denied by the faculty for which these regulations apply, the joint procedure is ended; reapplication is not possible. The University of Ulm has no objection to the PhD procedure being continued in accordance with the regulations of the foreign university or institution.

§ 25 Issuing of the PhD Diploma

- (1) On successful conclusion of a joint PhD procedure, the graduate school and the foreign university or institution issue a joint diploma on the conferment of a PhD degree. This diploma conveys that the PhD programme was jointly supervised. It bears the signatures and seals which are required by the regulations of the University of Ulm and the foreign university or institution.
- (2) Individual certificates issued by the graduate school and the foreign university or institution which make clear that both diplomas represent a joint PhD degree can take the place of a joint diploma.
- (3) It must follow from the joint PhD diploma that the PhD graduate is permitted to bear the German title in Germany, and to bear the respective foreign title in the foreign state. Entitlement to use only one PhD degree is granted. The PhD degree contains the amendment that the PhD degree awarded abroad is not an academic degree received abroad within the meaning of the law on the use of academic titles.

§ 26 Compulsory Copies

- (1) In the case of a PhD programme carried out at the University of Ulm in accordance with § 23, the obligation to publish is determined by these regulations as well as by the agreements reached in § 22 subsection 1.
- (2) In the case of a PhD programme carried out at a foreign university or institution in accordance with § 24, the obligation to publish is determined by the relevant conditions which apply to the foreign university or institution. In accordance with § 22 subsection 1, the agreement further determines the number of copies that must be made available to the faculty of the University of Ulm for which these regulations apply. In all cases, one copy of the dissertation remains on file with the University of Ulm.

§ 27 Taking Effect and Transitional Regulations

- (1) These regulations take effect on the day after their publication in the “Amtlichen Bekanntmachungen der Universität Ulm” [Official Notices of the University of Ulm]. These apply to all PhD processes, which were not already started prior to taking effect by the decision of the President regarding admission to the PhD programme and acceptance as a PhD student. At the same time, the Admission Regulations, Study and Examination Regulations and PhD Regulations for the PhD Course of Studies “International PhD Programme in Molecular Medicine” of the Medical Faculty of the University of Ulm with the Goal of Gaining a PhD dated 19 July 2011, published in the Official Notices of the University of Ulm No. 17 dated 26 July 2011, page 192 - 209 and the PhD Regulations of the “International Graduate School in Molecular Medicine Ulm” for Gaining the Degree Doctor of Natural Science (Dr. rer. nat), dated 19 July 2011, published in the Official Notices of the University of Ulm No. 17 dated 26 July 2011, pages 180 - 191 shall cease to be in force, subject to subsection 2.
- (2) PhD processes that were started prior to taking effect by the decision of the President regarding admission to the PhD programme and acceptance as a PhD student, shall be based on the Admission Regulations, Study and Examination Regulations and PhD

Regulations for the PhD Course of Studies “International PhD Programme in Molecular Medicine” of the Medical Faculty of the University of Ulm with the Goal of Gaining a PhD dated 19 July 2011 or on the PhD Regulations of the “International Graduate School in Molecular Medicine Ulm” for Gaining the Degree Doctor of Natural Science (Dr. rer. nat), dated 19 July 2011. After the regulations come into effect in accordance with subsection 1 sentence 1 and until 31 March 2016, these PhD students may declare to the PhD Committee and the Student Affairs department in written form within 6 weeks that the new regulations shall apply to their process. If intermediate evaluations have already taken place under the old regulations, the grades will be shown in the certificate; § 14 subsection 2 b remains unaffected. An examination process that has already been initiated must not be disrupted by a change to the new regulations.

Ulm, on 03.12.2015

Prof. Dr.-Ing. Michael Weber

- President -

Sworn Affidavit

Instructions

The International Graduate School requires a sworn affidavit regarding the independence of the academic achievements of the student. This is to ensure the plausibility that the PhD student has performed his academic achievements independently.

Because the legislator attaches particular importance to the sworn affidavit which can have significant consequences, the legislator has stipulated that a falsely issued sworn affidavit is a punishable offence. Premeditated (i.e. deliberate) issuing of a false statement is punishable with up to 3 years' imprisonment or a fine.

Negligent issuance (i.e. issuance although you should have known that the statement is not accurate) can result in up to one year's imprisonment or a fine.

The relevant penal provisions are shown in § 156 StGB [German Penal Code] (false sworn affidavits) and in § 161 StGB [German Penal Code] (negligent false oath, negligent false sworn affidavit)

§ 156 StGB [German Penal Code]: False sworn affidavits

Whosoever before a public authority competent to administer sworn affidavits, falsely makes such an affidavit or falsely testifies while referring to such an affidavit shall be liable to imprisonment not exceeding three years or a fine.

§ 161 StGB [German Penal Code]: Negligent false oath, negligent false sworn affidavit

- (1) If a person commits one of the offences listed in §§ 154 to 156 negligently the penalty shall be imprisonment not exceeding one year or a fine.
- (2) The offender shall be exempt from liability if he corrects his false testimony in time. The provisions of § 158 subsections 2 and 3 shall apply mutatis mutandis.

Acknowledged _____

(Date)

(Signature)

Sworn affidavit in accordance with § 16 subsection 2

1. The dissertation submitted on the topic of
.....
.....
is my independently performed work.

2. I have only used the quoted sources and aids and have not used the inadmissible assistance of third parties. In particular, I have identified contents of other works literally or analogously as such.

3. I have not submitted the thesis or parts thereof as follows/so far¹ to a domestic or foreign university as an integral part of the examination or qualification performance.

Title of the thesis:

University and year:

Nature of the examination or qualification performance:

.....

4. I confirm the correctness of the foregoing statement.

5. I am aware of the significance of the sworn affidavit and the penal law consequences of a false or incomplete sworn affidavit.

I hereby swear that to the best of my knowledge and in good conscience, I have stated the whole truth without omission.

.....

Place, date

.....

Signature

¹ Please cross out if not applicable. If affirmed, please provide: the title of the thesis submitted elsewhere, the university, the year of submission and the nature of the examination or qualification performance.



Appendix 2

THE MEDICAL FACULTY

under the Presidency of the
University Professor for Media Informatics
Dr.-Ing. Michael Weber

and under the Deanship of the
University Professor for Physiological Chemistry
Dr. rer. nat. Thomas Wirth
confers upon

Ms.

XXX

born on date, year in place, country
on the basis of the dissertation

Title of dissertation

and the passed oral examination
the academic degree

Doctor of Philosophy

PhD

with the overall grade

1.0

Ulm, date, year

The President

The Dean

Prof. Dr-Ing. M. Weber

Prof. Dr. T. Wirth



Appendix 3

The International Graduate School in Molecular Medicine Ulm

under the Presidency of the
University Professor for Media Informatics
Dr.-Ing. Michael Weber

and under the Chairmanship of the
University Professor for Biochemistry and Molecular Biology
Dr. rer. nat. Michael Kühl
confers upon

Ms.

XXX

born on date, year in place, country
on the basis of the dissertation

Title of dissertation

and the passed oral examination
the academic degree

Doctor rerum naturalium

Dr. rer. nat.

with the overall grade

1.0

Ulm, date, year

The President

Chairman of the Graduate School

Prof. Dr.-Ing. M. Weber

Prof. Dr. M. Kühl

APPENDIX 4

International PhD Programme in Molecular Medicine – Study Plan

First study year

- 1.1 Lecture Series I (30 optional talks)***
- 1.2 Journal Club I* (1.5 hrs / 2 weeks)
- 1.3 Seminar Progress Report I (weekly)
- 1.4 Lecture “Improve your textbook knowledge”**
- 1.5 Seminar “Good Scientific Practice”
- 1.6 Project Plan: within the first 6 months, length 3-6 pages
- 1.7 Participation in the Spring and Fall Meetings of the Graduate School*****
- 1.8 One additional optional activity (8 hrs, e.g. minisymposia, excursions, workshops, etc.)***

Intermediate Evaluation 1 ***

Second study year

- 2.1 Lecture Series II (30 optional talks)***
- 2.2 Journal Club II* (1,5 hrs / 2 weeks)
- 2.3 Seminar Progress Report II (weekly)
- 2.4 Compulsory optional practical training****
- 2.5 Participation in the Spring and Fall Meetings of the Graduate School*****
- 2.6 Two additional optional activities (8 hrs each, e.g. minisymposia, excursions, workshops, etc.)***

Intermediate Examination 2 ***

Third study year

- 3.1 Lecture Series III (30 optional talks)***
- 3.2 Journal Club III* (1,5 hrs / 2 weeks)
- 3.3 Seminar Progress Report III (weekly)
- 3.4 Participation in the Spring and Fall Meetings of the Graduate School*****
- 3.5 Two additional optional activities (8 hrs each, e.g. minisymposia, excursions, workshops, etc.)***

PhD project work

As a rule, regular attendance is at 85% of the planned courses per year. This rule explicitly does not apply to the “Good Scientific Practice” seminar, for which no absences are envisaged.

* The “Journal Club” should be attended at the institution of the first or second supervisor. A participation confirmation in the Journal Club must be submitted for the first and second intermediate examination, as well as for the submission of the dissertation.

**For the “Improve your textbook knowledge” lecture, regular attendance constitutes 85% participation in this course. The required sessions can be attended within two years.

*** For admission to the intermediate examinations and the dissertation, an appropriate list of participants and a list of attended activities must be submitted four weeks prior to the relevant examination and the submission of the dissertation.

**** The “Practical Training” courses take a total of 10 working days in two different laboratories and must be completed prior to the 2nd intermediate evaluation. They are not permitted to be held in the institution of the first supervisor. A participation confirmation must be submitted in accordance with the aforementioned time periods.

*****Once per year, the Graduate School holds a spring congress and an autumn congress, at which intermediate evaluations are carried out. For PhD students who are not required to take intermediate evaluations, it is nevertheless compulsory to attend

and participate in the events. The PhD Committee will regulate any exceptions.