



Admission Regulations, Study and Examination Regulations and Doctoral 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

19th July 2011

On the basis of §§ 31 para. 2 i in conjunction with 29 para. 2 clauses 5 and 6 of the Landeshochschulgesetz (LHG) [State Higher Education Act] in conjunction with §§ 38 para. 2 clauses 5 and 6 LHG, the Senate of the University of Ulm in accordance with § 38 para. 4 clause 1 LHG has established the following regulations on 14th July 2011. The President of the University has given his consent in accordance with § 38 para. 4 clause 1 LHG on 19th July 2011.

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Preliminary Remarks on Use of Language

According to article 3 para. 2 of the 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: Purpose of the PhD programme

§ 1 Purpose

- (1) 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 experimentally dealing 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 academic 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
- (2) The conferral of the corresponding honorary doctoral degree (PhD h.c.) is carried out in accordance with § 29 when resolved by the Faculty Board with approval of the Senate.
- (3) The admission regulations, study and examination regulations and doctoral regulations for the course of doctoral studies “International PhD Programme in Molecular Medicine” of the Medical Faculty of the University of Ulm are at the same time the framework for the establishment of other PhD programmes in the Medical Faculty. These admission regulations and study and examination regulations are also valid for these study courses, save as otherwise provided.
- (4) Communication in the PhD programme is electronic, if not regulated otherwise in the following.

Section 2: Admission Requirements and Regulations

§ 2 Admission Requirements

- (1) Only persons with the following can be admitted to the PhD programme:

1. proof of the completion of either a Master’s course of study with above-average success, a course of university study in molecular medicine of at least 4 years 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

and

2. who can demonstrate sufficient knowledge of English in a presentation open to all faculty members and in the following interviews,
3. who have a statement from a potential supervisor, who must be a qualified university lecturer or have an equivalent academic qualification, naming and briefly describing the doctoral

project from the field biomedical sciences, consenting to academic supervision, and giving details about the financing of the project

4. who complete a 20 minute presentation in English on the final thesis followed by an approx. 10 minute discussion which is open to the faculty and assessed as above average

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

5. who complete a 20 minutes specialised presentation open to the faculty and assessed as above average on a current topic in molecular medicine, followed by a discussion of approx. 10 minutes.

(2) The topic in accordance with para. 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 and
- b) 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
- c) evidence of subject-specific publications.

(4) When assessing the presentation, 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.

(5) The PhD Committee decides on the equivalence of the educational background and the comparability of the degrees. With regard to the recognition of foreign degrees, the recommendations of the Conference of the Ministers of Education and Cultural Affairs, as well as agreements within the framework of university partnerships will be considered. In cases of doubt, the Central Office for Foreign Education will be consulted.

(6) Applicants are to make an electronic application for admission (online application procedure). To avoid unreasonable hardship, the university can, on request, waive the demand for an electronic application. The following application forms are to be submitted:

- a) an 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) evidence of whether the applicant has lost the right to examination in the molecular medicine PhD programme in a domestic or foreign university or in a course of study with comparable contents in accordance with para 1 No. 1, or is taking part in an ongoing examination procedure in these courses of study
- d) if applicable, proof of professional training, practical work in accordance with para. 3 No. b
- e) if applicable, proof of subject-specific publications in accordance with para. 3 No. c.
- f) a curriculum vitae presenting the applicant's professional and academic experience

The above mentioned documents have to be submitted as original or as an official authentication at the enrolment. If the documents are not drawn up in the German or English language, an official German or English translation is required.

(7) On the advice of the PhD Committee, the president decides on admission to the PhD programme. The applicant is informed of the decision on the application by the office responsible in written form.

- (8) The application for admission to the PhD programme must be rejected if:
- a) the prerequisites regulated in paras. 1,3,5 and 6 are not met,
 - b) the applicant has lost the right to examination in the molecular medicine PhD programme or in courses of study with comparable contents in accordance with para. 1 No. 1, or is taking part in an ongoing examination procedure in these courses of study, and
 - c) 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.
- (9) In other respects, the regulations generally applicable for the admission procedure stipulated in the admission and registration rules of the University of Ulm remain unaffected.

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

- (1) Following a successfully completed examination stage (2.0 or better), particularly well-qualified Master students from the Master programme Molecular Medicine will be given the opportunity of taking part in the application procedure for admission to the PhD programme (fast track PhD programme). An application to this effect should be sent to the PhD Committee.
- (2) When applying for the PhD programme in accordance with para. 1, the Master thesis is completed in accordance with the rules of the subject-specific study and examination regulations for the English-language Master programme in Molecular Medicine at the University of Ulm in the valid version. After positive assessment of the Master thesis, the student is awarded the degree MSc (Master of Science).
- (3) The disputation for the Master thesis is at the same time the admission condition in accordance with § 2 para. 1 no. 4, and the first intermediate examination in accordance with § 9. At least one representative from the PhD Committee (§4) must be present at the disputation.

§ 4 PhD Committee, Thesis Advisory Committee

- (1) Except for § 2 para. 7, the PhD Committee is responsible for all of the regulations for admission, study, examination and doctoral regulations concerning the PhD programme. The PhD Committee exists as such in accordance with § 7.
- (2) The PhD Committee decides on the appropriateness of a topic to the field Molecular Medicine.
- (3) As a rule, the PhD Committee, in which all faculties involved in the programme should be represented, has not more than eight members entitled to vote. The members are appointed by the Faculty Board and select from among themselves a chairman and his deputy.
- (4) The chairman, his deputy 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) The period of appointment of the voting members is four years. That of the student one year. Reappointment is possible.
- (6) For each student in the PhD programme, the PhD Committee appoints a supervisory group of three persons, the Thesis Advisory Committee (TAC). The TAC is composed of a principal investigator from the graduate school, the thesis supervisor and an expert from a related field. The expert from a related field should be a person from outside of the university. The members of the Thesis Advisory Committee must be habilitated or possess an equivalent scientific qualification. 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. Should a member of the TAC no longer be able to carry out his duties, the PhD committee can appoint a substitute member after consultation with the doctoral student who must be habilitated or have an equivalent qualification. Should a TAC member from

the University of Ulm leave, then he/she may remain a member in the corresponding TAC until the end of the PhD thesis.

The Thesis Advisory Committee 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 examination 1 (qualifying assessment) and the intermediate examination 2 (progress report)
- c) assessment of the dissertation with a report
- d) assessment of the disputation.

Section 3: Study Programme

§ 5 Duration and 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) The PhD programme is structured in accordance with a plan of studies and includes the compulsory and elective courses listed in it. The courses are organised according to credits that are stipulated by the department responsible for student affairs. In addition, a dissertation must be drawn up and presentation on the dissertation (disputation) which is open to internal university members must be given.
- (3) The overall number of the credits required for the completion of the PhD programme involves at least 20 credits in the compulsory and elective course area, not including the dissertation (PhD project work).
- (4) One credit corresponds to an average work load of 30 hours according to the ECTS (European Credit Transfer System) point system.

§ 6 Examinations and Deadlines

- (1) The PhD programme consists of specialized oral examinations (intermediate examinations 1 and 2), a dissertation written by the PhD student, and a disputation. The first academic year is completed with intermediate examination 1 (qualifying assessment) and the second academic year with intermediate examination 2 (progress report).
- (2) The results of the intermediate examinations are recorded by the department responsible for student affairs.
- (3) The PhD student must register for the intermediate examinations in writing at the department responsible for student affairs; the same applies to repeated examinations.
- (4) The chairman of the PhD Committee must set the registration deadlines, the examination dates, and the names of the members of the Thesis Advisory Committee in the manner stipulated by the PhD Committee in good time. The registration period begins four weeks before the respective examination date and ends one week before. Notification of the examination location and permitted aids is given with the examination dates.
- (5) For the successful completion of the first academic year at least 7 credits, for successful completion of the second academic year at least 15 credits (7 from the first academic year and 8 from the second academic year), and by the end of the third academic year a further 5 credits must be acquired in accordance with the plan of study. For successful completion of the PhD programme, after completion of the third academic year the PhD student must have completed the dissertation, held the disputation, and 20 credits from the compulsory and elective courses in accordance with § 8 para. 1 c), para. 2 b) and para. 4 b). §16 para. 4 is referred to. If a student has not attained the credits required in accordance with clause 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. § 13 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 in cooperation with the department responsible for student affairs that the examinations are carried out in accordance with the regulations
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 can delegate particular tasks to the chairman or his deputy until further notice. The chairman or his deputy can entrust the department responsible for student affairs with individual tasks.

- (2) The members of the PhD Committee have the right to be present when the examinations are held.
- (3) The members of the PhD Committee are bound to official secrecy. Provided that they are not in the civil service, they are to be bound to secrecy by the chairman.
- (4) The PhD Committee has a quorum if all members have previously been invited in writing within an appropriate period of time and the majority of the members who are entitled to vote are present. It decides with the majority of the votes cast. Transferral of the entitlement to vote is not permissible. In the event of a tied vote, the chairman has the casting vote.
- (5) The chairman convenes the meetings of the PhD Committee. With urgent matters, he can arrange for a vote in a written circular. He can make decisions that cannot be postponed in place of the PhD Committee. He must inform the PhD Committee about this without delay; it can revoke the decision; existing rights of third parties remain unaffected.
- (6) Minutes must be taken about each meeting of the PhD Committee, and these made known to the department responsible for student affairs. They must contain the day and place of the meeting, the names of persons present, the topics dealt with as well as motions, decisions and voting results.
- (7) Decisions concerning examination matters that may encroach upon a person's rights must be reported in writing to the PhD student by the department responsible for student affairs; the letter should include reasons and advice on legal remedies. Decisions on objections are announced by the member of the Faculty Board responsible for teaching in cooperation with the PhD Committee. In questions concerning professional- or examination-related legal assessment, the joint participation of the PhD Committee is necessary.

Section 4: Examinations

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

(1) In order to be admitted to the first intermediate examination, a student must

- a) be registered at the University of Ulm for the PhD programme
- b) not have lost the right to examination in the PhD programme or in PhD programmes with comparable contents or not be taking part in an ongoing examination procedure in these courses of study and
- c) have furnished proof of the regular and successful participation in the following courses in the first academic year with the credits in accordance with the plan of studies:

Compulsory courses:

- Lecture Series 1 cr.
- Journal Club 2 cr.
- Progress Report 1 cr.
- Lecture
"Improve your textbook knowledge" 2 cr.

Compulsory optional courses:

- 2 compulsory optional courses (each 0.5 cr.) 1 cr.

(2) To be admitted to the second intermediate examination, a student must

- a) have fulfilled the requirements for (1) a and b.
- b) have furnished proof of the regular and successful participation in the following courses in the second academic year with the credits in accordance with the plan of studies

Compulsory courses:

- Lecture Series 1 cr.
- Journal Club 2 cr.
- Progress Report 1 cr.

Compulsory optional courses:

- Compulsory placements 3 cr.

The compulsory placements of lasting 10 days must be completed in at least three different subject areas by the end of the second academic year; they may not be completed in the institute or clinic in which the doctorate is being carried out.

- 2 compulsory optional courses (each 0.5 cr.) 1 cr.

- c) and have passed the first intermediate examination.

(3) The intermediate examination 1 can be passed with conditions; the elimination of these conditions can be made a requirement for admission to the intermediate examination 2.

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

- a) have fulfilled the prerequisites of (1) a and b and
- b) have passed the second intermediate examination

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

Compulsory courses:

- Lecture Series 1 cr.
- Journal Club 2 cr.
- Progress Report 1 cr.

Compulsory optional courses:

- 2 compulsory optional courses (each 0.5 cr.) 1 cr.

(5) 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 § 16 par. 1. The PhD student must submit this proof to the department responsible for student affairs.

(6) Details on the type, scope and contents of the proof of the regular and successful participation to be furnished are determined by those who are responsible for the respective courses.

(7) The department responsible for student affairs decides on admission to the intermediate examinations, admission to the third academic year, and admission to the disputation. If the PhD student cannot be admitted to an examination, he/she will be informed about this in writing. Reasons for the rejection as well as advice on legal remedies must be given by the department responsible for student affairs.

(8) Admission must be refused if the preconditions for admission stipulated in par. 1, 2, 3, 4 and 5 are not fulfilled.

§ 9 Intermediate Examinations

(1) The intermediate examinations are carried out orally four weeks after admission at the latest. In the oral intermediate examinations, which may not exceed 60 minutes in duration, the PhD student should report on the progress of his/her work and prove that he/she can place the results in the context of his/her field, as well as identify and solve theoretical and practical problems with regard to the dissertation. By means of the oral examinations, it should also be determined whether the PhD student has a basic knowledge in the field of examination as well as a deeper knowledge of the limited topics of the field of examination. The topics examined usually come from the compulsory lectures and the dissertation.

(2) The intermediate examinations are taken before the Thesis Advisory Committee as individual examinations. At least two members of the Thesis Advisory Committee must be present. In exceptional cases, a member of the Thesis Advisory Committee can be replaced by a Principal Investigator from the graduate school. The grade arises from the arithmetic average of the individual grades.

(3) The major results of the oral examinations are to be recorded in a report and signed by the members of the Thesis Advisory Committee. The PhD student must be informed about the assessment after completion of each oral examination. The report should be passed on to the department responsible for student affairs.

(4) If the PhD student substantiates via a medical report that he/she is not able to take all or part of the examination because of long-lasting or permanent physical handicap, the PhD Committee has to consent to his/her providing equivalent examination results in another form. The same applies for performance assessments.

(5) PhD students who are to take the same examination at a later date may, depending on space, be admitted as listeners. Admission does not extend to the discussion and announcement of the examination result. For important reasons or if the PhD student applies for it, the public is to be excluded.

(6) The right to examination for the intermediate examinations is lost if they have not been successfully taken within one year after the time limit stipulated in par. 1 unless the PhD student is not responsible for exceeding the time limit.

§ 10 Assessment of the Intermediate Examinations

(1) The grades for the intermediate examinations are determined by the present members of the respective Thesis Advisory Committees and the PhD Committee. The grade results from the arithmetic average of the assessment submitted. For the assessment, the following grades are to be used:

1 = very good, an outstanding result

2 = good, a result that is considerably above the average requirements

3 = fair, a result that meets the average requirements

4 = satisfactory, a result that still meets the requirements in spite of its shortcomings

5 = unsatisfactory, a result that does not meet the requirements because of considerable shortcomings

For a more differentiated assessment of the examination results, intermediate values can be formed by lowering or increasing the individual grades by 0.3; but the grades 0.7, 4.3, 4.7 and 5.3 are ruled out. The grade is not rounded. Only the first digit after the decimal point will be

considered.

- (2) An intermediate examination is passed if at least “satisfactory” (4.0) or better was given as the grade.

§ 11 Repeatability of the Intermediate Examinations

- (1) Intermediate examinations can be repeated only once and then two months at the latest after unsuccessful performance in the respective intermediate examination. If a PhD student does not take an intermediate examination by the deadline set in clause 1, he/she loses the right to repeat the intermediate examination unless he/she was not responsible for exceeding the deadline. The decision about this is made by the PhD Committee upon application.
- (2) Intermediate examinations which have been passed cannot be repeated.
- (3) If an intermediate examination is failed irrevocably, the PhD student is automatically removed from the university register by the department responsible for student affairs. Notification of the irrevocable failure of the intermediate examination is issued in writing by the department responsible for student affairs, which also provides information of legal remedies.

§ 12 Absence, Withdrawal, Deception, Violation of Rules

- (1) If the PhD student does not appear for an examination without good reasons, or if he/she withdraws from the examination after it has begun without good reasons, the examination is regarded as “not passed”. The decision about this is made by the PhD Committee.
- (2) The reasons given for the withdrawal or absence must be immediately reported and substantiated to the PhD Committee in writing. In case of illness of the PhD student, the submission of a medical certificate is required; the submission of a medical officer’s certificate can be requested. In addition, the reasons for the withdrawal during an examination should be explained and substantiated immediately to the respective examiner. In so far as the meeting of deadlines for registering for an examination the first time, the repetition of examinations, the reasons for the absence from examinations and keeping to the time required for the examination papers are affected, the illness of the PhD student is akin to the illness of a child which he/she must for the most part care for alone. If the reasons are accepted, the PhD Committee fixes a new examination date; as a rule this is usually the next possible examination date, provided that the accepted reasons do not conflict with it. In this case, the examination results already available are taken into account. If the reasons are not accepted, the examination is assessed as “not passed”.
- (3) If the PhD student tries to influence the result of his/her test by deception or through the use of unauthorised aids, the test will be assessed as “not passed”. The examination violation is noted in the examination record.
- (4) A PhD student who disturbs the proper course of the examination can be excluded from continuing the examination by the respective examiner; in this case, the examination is to be assessed as “not passed”. If the PhD student is excluded from taking further examinations, he/she can request that this decision be reviewed by the PhD Committee.
- (5) The PhD Committee decides of the acceptance of reasons for the absence or withdrawal. The PhD student is to be informed about the decisions in writing and promptly by the department responsible for student affairs. Reasons for rejection must be given, accompanied by advice on legal remedies.

§ 13 Exceeding Examination Deadlines in the Case of PhD Students with Children or who are ill or otherwise Hindered

- (1) PhD students living with a child under three years of age in the same household for whom they are the primary carer are entitled to take individual examinations after the deadlines stipulated in the study and examination regulations. Deadlines for repeated examinations can only be prolonged by up to two semesters. The entitlement expires after the end of the semester in which the preconditions listed in clause 1 are no longer applicable; the deadline for the expiration of the right to examination according to § 6 para. 5, § 9 para. 6 and § 6 para.11 begins with the expiration of the entitlement. Otherwise, the entitlement expires at the latest at the end of the semester in which

the child has completed its third year of life. The PhD student must furnish the relevant proof and is obliged to report changes in the preconditions without delay.

- (2) Students who, whilst not being unable to study, are unable to regularly attend the courses or produce the expected study results due to a prolonged or constant physical handicap are entitled to take individual examinations after the deadlines stipulated for them in the study and examination regulations; the same applies for the deadlines for producing study results. Deadlines for repeated examinations can only be prolonged by up to two semesters; otherwise, the prolongation period is at most three years. The PhD student must provide the relevant proof, in particular medical certificates; in case of doubt, the PhD Committee can require the submission of a certificate from a doctor it designates or a medical officer. The PhD student is obliged to report changes in the preconditions without delay.
- (3) Para. 1 also applies for PhD students who wish to avail themselves of the provisions of maternity protection act, as well as the statutory periods provided for in the regulations governing parental leave.

§ 14 Teaching and Examination Language

- (1) The courses are conducted in English.
- (2) The examinations are held in English.

§ 15 Successful Completion of the PhD programme, Determining Overall Grade

- (1) The PhD programme is successfully completed if the intermediate examinations 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 intermediate examinations, the dissertation, and the disputation. For the calculation, each of the intermediate examinations receives a weighting factor of 1, the dissertation the weighting factor 6, and disputation the weighting factor 2.
- (3) Following a unanimous recommendation from the Thesis Advisory Committee, in exceptional cases the overall grade "with distinction" (summa cum laude) can be given, provided that the disputation and the dissertation are assessed as an unrounded average with 1.0, and that the arithmetic average of the intermediate examinations is at least 1.5. Here the unanimous decision of the PhD Committee is required.

§ 16 Dissertation

- (1) The dissertation is regarded as an examination. With it, the student should demonstrate that he/she 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. Academic progress must be discernable, and major results of the work must be published in the form of one or more original articles in a respected English scientific periodical or be accepted for publication. For at least one article, the PhD student must be the first author. In justified exceptional cases, the application of the PhD student for the first authorship may be waived. The PhD committee decides on this based upon statements from the respective TAC and the doctoral student.
- (2) 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 main 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 doctoral 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 doctoral candidate 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.

- (3) 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.
- (4) 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 Thesis Advisory Committee.
- (5) This 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 para. 3, unless the PhD student is not responsible for exceeding the deadline. In the case of clause 1 1. HS, the PhD student is removed from the university register. The decision on this is made by the PhD Committee on request.
- (6) 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 para. 3.

§ 17 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/she has written the work independently, used no other sources than those cited as an aid, and complied with the principles and recommendations of the rules of the University for assuring good academic practice. Further to this the PhD student must declare in writing that, if necessary, an appropriate ethical stance has been maintained, and that the regulations governing genetic engineering and the protection of laboratory animals have been upheld.
- (3) If the deadline for submission of the dissertation cannot be met because of illness, this is to be proven to the PhD Committee without delay by means of a medical certificate.
- (4) The dissertation is assessed by the PhD Committee in consultation with the Thesis Advisory Committee. The Thesis Advisory Committee submits three independent assessments on it to the PhD Committee which have to be signed by the Chairman of the PhD Committee. In addition, the PhD Committee requests an external report that cannot be drawn up by the external member of the Thesis Advisory Committee. The reports must be provided in writing and independently within six weeks. Taking account of § 16 para. 1, the experts recommend assessing 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", a further external assessment is required. As a final grade for the written examination the arithmetic mean of the individual scores is determined, with only the first digit after the decimal point is considered. All further digits are to be dropped without rounding.

- (5) After consultation with the Thesis Advisory Committee, the PhD Committee decides on the acceptance or rejection of the dissertation. 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 after

consultation with the Thesis Advisory Committee on the acceptance or rejection of the revised, newly submitted dissertation. If after consultation with the Thesis Advisory Committee the PhD Committee rejects the dissertation, it is regarded as rejected.

- (6) If one of the experts recommends the rejection of the dissertation, the PhD Committee appoints an additional expert. Para. 4 applies accordingly. If this expert's assessment is also negative, the dissertation is regarded as rejected.
- (7) If both experts recommend the rejection of the dissertation, the dissertation is definitely rejected. If all experts, or in the case of para. 6 the additional expert, assess the dissertation with not lower than "rite", the dissertation is regarded as accepted.
- (8) In cases of rejection of the dissertation according to para. 5, 6 and 7, the doctoral procedure is concluded. The rejected dissertation remains with the reports in the files. A written notification that the dissertation has definitely not been passed is sent by the department responsible for student affairs. Advice on legal remedies is provided with the notification from the department responsible for student affairs. In this case, the PhD student's name is removed from the university register.

§ 18 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/her 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/her 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 an expert from outside of the university to the Thesis Advisory Committee. For voting on the results, the PhD Committee, the Thesis Advisory Committee, and the external expert and further examiners appointed by the PhD Committee are entitled to vote. The number of examiners must be at least five, two of whom must come from the PhD Committee. Each committee member votes individually.
- (3) In accordance with para. 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. The final grade for the oral part of the examination is determined by the arithmetic mean of the individual evaluations, where only the first decimal place is considered. All further digits are to be dropped without rounding.

- (4) If the disputation is marked unsatisfactory (not passed), it can be repeated only once two months after the first disputation at the latest. If the result is again unsatisfactory, the disputation is definitely not passed; in this case, the PhD student's name is removed from the university register.
- (5) After the disputation, the PhD Committee determines the overall assessment of the examination results according to § 15.

§ 19 PhD Programme Diploma

- (1) The department responsible for study affairs must promptly issue, within four weeks at the latest, a diploma confirming the successful completion of the PhD programme that contains the achievements and the credits attained. The diploma must be signed by the Dean of the Medical Faculty and the chairman of the PhD Committee. The date of the diploma must be the day on which the last examination was taken.

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

§ 20 Additional Subjects

- (1) In addition to the intermediate examinations 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 on request of the PhD student.

Section 5: Special Provisions for the Examination of a PhD jointly supervised by a Foreign University or a Corresponding Institution

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

- (1) A PhD procedure carried out jointly with a foreign university or a corresponding institution requires that
 - a) an agreement on the joint, cross-border supervision of 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.
- 1. 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.
- 2. If the dissertation is submitted to the university, then § 22 should be applied; if it is submitted to a foreign university or institution, then § 23 should be applied.
- 3. 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.
- 4. Should the university or institution not accept the submitted thesis, or should the viva not be passed, the joint procedure is terminated and cannot be reapplied for.

§ 22 Submission of the Thesis to the University of Ulm

- (1) During work on the doctoral 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 Thesis Advisory Committee. A third supervisor is appointed according to the regulations in § 4, para. 6. The detailed arrangement of the joint supervision follows from the agreement set out in § 21 para. 1.
 - 1. The three supervisors are usually also the examiners for the purpose of § 4.
 - 2. 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.
 - 3. If the foreign university or institution gives its approval, the disputation takes place in accordance with § 18 at the University of Ulm. By way of derogation from § 18, 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.

4. 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 is continued in accordance with these PhD regulations.

§ 23 Submission of the Thesis to a Foreign University or 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 Thesis Advisory Committee. The detailed arrangement of the joint supervision follows from the agreement set out in § 21 para. 1.
 1. Both supervisors are usually also the thesis examiners.
 2. 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 in accordance with § 18 at the foreign university or institution in accordance with their regulations. In accordance with § 21 para. 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.
 3. Should the dissertation be accepted by the foreign university or institution, but the approval for the progress of the procedure, however, has been denied by the faculty for which these regulations apply, the common 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.

§ 24 Issue of the PhD Certificate

- (1) On successful conclusion of a joint PhD procedure, the graduate school and the foreign university or institution issue a joint certificate on the conferment of a doctoral degree. This certificate 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.
 1. Individual certificates issued by the graduate school and the foreign university or institution which make clear that both certificates represent a joint doctoral degree can take the place of a joint certificate.
 2. It must follow from the joint doctoral certificate that the PhD graduate is permitted to bear the German title of Doctor in Germany, and to bear the title of Doctor in the foreign state where the degree was awarded. Entitlement to use only one doctoral degree is granted. The PhD certificate contains the amendment that the doctoral degree awarded abroad is not an academic degree received abroad within the meaning of the law on the use of academic titles.

§ 25 Deposit Copies

- (1) In the case of a PhD programme carried out at the University of Ulm in accordance with § 22, the obligation to publish is determined by these regulations as well as by the agreements reached in § 21 para. 1.
 1. In the case of a PhD programme carried out at a foreign university or institution in accordance with § 23, the obligation to publish is determined by the relevant conditions which apply to the foreign university or institution. In accordance with § 21 para. 1, the agreement further determines the number of copies that must be made available to the faculty of University of Ulm for which these regulations apply. In all cases, one copy of the dissertation remains on file with the University of Ulm.

Section 6: Awarding the PhD

§ 26 Conferral of the Academic Degree of Doctor of Philosophy (PhD)

- (1) After successful completion of the PhD programme, the Medical Faculty of the University of Ulm confers the academic degree of Doctor of Philosophy (PhD) on the PhD student. On the request of the PhD student, the special field in which the doctorate was obtained can be given as additional information. The PhD Committee decides in individual cases.
- (2) In accordance with appendix 2, a diploma on the conferral is drawn up in English. The conferral entitles the PhD student to use the academic title of PhD.

§ 27 Revocation of Admission, Invalidity of the PhD Programme Results

- (1) If, before the PhD student is awarded a PhD diploma, it turns out he/she has faked an admission prerequisite, or that essential prerequisites for admission to the PhD programme were mistakenly assumed to have been met, the PhD Committee must revoke the authorisation for the PhD conferral procedure. The same applies if facts become known that would result in the revocation of the doctorate.
- (2) If, before the diploma is awarded to the PhD student, it comes to light that he/she has committed a malicious deception with regard to a PhD programme result, the PhD Committee declares all of the programme results to be invalid and the PhD programme is regarded as unsuccessfully completed.
- (3) If, before the diploma is awarded, it becomes known that there are preliminary proceedings initiated against the PhD student, the PhD Committee decides on a suspension of the doctoral procedure. If offences are later confirmed that would justify the revocation of the doctorate according to the regulations on the use of academic titles, the doctoral procedure is terminated.
- (4) Before a decision is made in accordance with paragraphs 1 –3, the affected student must be heard. The decision must be justified in writing.

§ 28 Revocation of the PhD degree

- (1) If a student has committed deception during his/her doctorate, the conferral of the doctoral degree can be revoked.
- (2) If the admission prerequisites have not been fulfilled, without any deception involved, and if this becomes known only after the PhD diploma is awarded, this deficiency is regarded as remedied. If admission has been intentionally unjustly obtained, the decision is made taking account of § 48 Landesverwaltungsverfahrensgesetz [law regulating state administrative procedures].
- (3) A revocation of the doctorate for other reasons can only occur based on legal requirements.
- (4) In all cases, the PhD student is given the opportunity to make a statement. Decisions according to paragraphs 1 and 2 are made by the PhD Committee, those according to para. 3 by the Faculty Board.

§ 29 Awarding of an Honorary Doctorate

The conferral of the academic degree of honorary Doctor of Philosophy (PhD h.c.) is made via the presentation of the doctoral diploma drawn up for this purpose by the Dean. In the diploma, the scientific contributions decisive for the conferral should be emphasised. It must be signed by the Rector and by the Dean.

§ 30 Access to the Examination Files

- (1) Up to one year after completion of the examination procedure, the PhD student has access to his written examinations, the reports of the examiners related to them, and examination records allowed on request.
- (2) The application must be made to the chairman of the PhD Committee. He determines the place and time for the examination of these documents.

§ 31 Taking Effect

These regulations take effect on the day after their publication in the "Amtlichen Bekanntmachungen der Universität Ulm" [Official Notices of the University of Ulm]. At the same time, the regulations governing admissions, study and examinations for the "International PhD programme in Molecular

Medicine" in the Faculty of Medicine of the University of Ulm with the goal of gaining a PhD dated 20st February 2007 expire, official notices of the University of Ulm 1st March 2007, No. 2 pages 41 - 57.

Ulm, 19th July 2011

(sgd.)

(Prof. Dr. K. J. Ebeling)
- President -