

This translation is provided for information only.
The legally binding document is the German original.
University of Bayreuth is not liable for inaccuracies or mistakes in this English translation.
In case of doubt, the German originals are to be used in a court of law.

**Doctoral Regulations
for the Faculty of Biology, Chemistry and Earth Sciences
at the University of Bayreuth
dated 15 September 2017**

On the basis of article 13 para. 1 sentence 2 in conjunction with article 64 para. 1 sentence 5 of the Bavarian Higher Education Act (BayHSchG), the University of Bayreuth adopts the following doctoral regulations for the Faculty of Biology, Chemistry and Earth Sciences:

Contents

Section I: General Provisions

- § 1 Doctoral degree
- § 2 Examination authorisation
- § 3 Doctoral committee and extended doctoral committee

Section II: The Regular Doctorate

- § 4 Application for admission to a doctorate
- § 5 Statistical requirements
- § 6 Doctoral aptitude assessment
- § 7 Supervision and supervisory agreement
- § 8 Application for admission to the doctoral examination process
- § 9 Decision on admission to the doctorate and the doctoral examination process
- § 10 Withdrawal
- § 11 Dissertation
- § 12 Assessment of the dissertation
- § 13 Board of examiners
- § 14 Colloquium
- § 15 Overall grade for the doctorate
- § 16 Supervision of the dissertation
- § 17 Diploma and completion of the doctorate

Section III: The Honorary Doctorate

- § 18 Honorary doctorate

Section IV: Cooperation with universities of applied sciences/ HAWs

- § 19 Cooperation with universities of applied sciences/ HAWs

Section V: The Binational Doctorate

- § 20 General
- § 21 Examination process at the University of Bayreuth
- § 22 Examination process at the partner institution
- § 23 Joint diploma

Section VI: Additional regulations, coming into effect, and transitional provisions

- § 24 Invalidity of the doctorate
- § 25 Inspection of records
- § 26 Consideration of special life circumstances
- § 27 Consideration of the special needs of disabled persons
- § 28 Coming into effect, transitional provisions

Section I: General Provisions

§ 1

Doctoral degree

- (1) ¹The University of Bayreuth, through the Faculty of Biology, Chemistry and Earth Sciences, awards the academic degree Doktor der Naturwissenschaften (Dr. rer. nat.) on the basis of doctoral work in the subjects biology or chemistry or Earth Sciences. ²The degree may be awarded as “Doktor” or “Doktorin”. ³The abbreviated form remains unchanged.
- (2) In accordance with article 64 para 1 BayHSchG, the doctorate serves as proof of independent scientific achievement that must substantially exceed those achievements that are required for admission to the doctorate as described in § 4.
- (3) The doctoral studies consist of a candidate's scientific written work (dissertation) and an oral examination (colloquium).
- (4) ¹The University of Bayreuth, through the Faculty of Biology, Chemistry and Earth Sciences, awards the honorary degree of Doktor der Naturwissenschaften ehrenhalber (Dr. rer. nat. h. c.) according to § 18 as a rare distinction to persons for outstanding scientific achievements in biology or chemistry or Earth sciences. ²Para 1 sentences 2 and 3 apply *mutatis mutandis*.

§ 2

Examination authorisation

¹Instructors entitled to administer examinations under these doctoral regulations are the university instructors within the meaning of art. 2 para. 3 sentence 1 BayHSchPG, the professors relieved of duty, the retired professors (cf. art. 13 BayHSchPG), and the other instructors entitled to administer examinations under art. 4 HSchPrüferV who belong to the Faculty of Biology, Chemistry and Earth Sciences. ²The decision as to whether a justified case pursuant to § 4 sentence 3 HSchPrüferV exists is made by the Dean in agreement with the doctoral committee. ³Instructors from other faculties of the University of Bayreuth or other German or foreign universities may also be appointed as examiners by the Dean, provided that they fulfil the qualification requirements set out in Art. 62 Para. 1 BayHSchG in conjunction with § 4 HSchPrüferV or equivalent requirements. ⁴The assessment of equivalence is the responsibility of the Dean. ⁵For doctorates that are carried out jointly with universities of applied sciences/HAWs, § 19 and, within the framework of binational doctorates, Section V of these Statutes shall apply.

§ 3**Doctoral committee and extended doctoral committee**

- (1) ¹The doctoral committees are responsible for the implementation of the doctoral process. ²One doctoral committee is to be formed for each of the subjects biology, chemistry, and Earth sciences.
 - (2) ¹The doctoral committees consist of the Dean or his deputy as chairman, and four instructors authorised to examine for the subjects biology and Earth Sciences and five instructors authorised to examine for chemistry. ²They are elected for a period of two years by the Faculty Council.
 - (3) ¹A doctoral committee has a quorum if all members have been duly invited and the majority of members are present and entitled to vote; they act by a majority of the votes cast. ²Abstaining from voting, secret voting and transferring of voting rights are not permitted. ³In the case of a tie vote, the chairman shall have the casting vote.
 - (4) ¹The decisions of the doctoral committee are to be communicated to the candidates in writing. ²Decisions adversely affecting the candidate must include a rationale and instructions on how to appeal.
 - (5) ¹The extended doctoral committee is composed of all instructors of the faculty who are authorised examiners. ²They decide in the cases of § 12 para. 5 and § 18 para. 2 and 3. ³The Dean is the chairman. ⁴It is to be convened within 14 days following the request of a member. ⁵Paras. 3 and 4 apply accordingly. ⁶If the extended doctoral committee decides on an application according to § 18, the decision requires the approval of two-thirds of instructors authorised to examine.
 - (6) Exclusion due to personal involvement is governed by art. 41 para. 2 BayHSchG in compliance with art. 20 and art. 21 BayVwVfG.
-

Section II: The Regular Doctorate

§ 4

Application for admission to a doctorate

(1) The applicant must meet the following requirements for admission to a doctorate:

1. He or she must have completed a subject-related university programme of study; the usual degree is the university Diplom or Magister examination, the master's examination, or the First State Examination for the teaching at secondary schools (Gymnasien). The Doctoral Committee may also recognise other degrees and degrees in related subjects as sufficient prerequisites for doctoral studies and may demand additional components if necessary. It also decides on the recognition of foreign degrees. In these cases, the doctoral committee makes its decision according to the principle of equivalence in compliance with Art. 63 BayHSchG. If there are doubts as to equivalence, the Central Office for Foreign Education may be consulted. The requirement pursuant to sentence 1 shall be deemed to have been fulfilled if the applicant has passed the doctoral aptitude assessment pursuant to § 6.
2. The applicant may not have failed this or an equivalent doctoral examination on the final attempt.
3. The applicant must have concluded a supervisory agreement in accordance with § 7 with an authorised instructor under the terms of § 2 sentence 1; there is no entitlement to the conclusion of a supervisory agreement.
4. He or she may not have shown himself or herself to be unworthy of bearing the doctoral title due to his or her conduct.
5. He or she may not have already been admitted to a different institution of the University of Bayreuth that awards doctoral degrees or a different higher education institution in the same subject.

(2) ¹Applications for admission to doctoral studies must be submitted in writing to the Dean. ²The application must be accompanied by the documents required to prove that the requirements set out in paragraph 1 have been met. ³With the application, the applicant must register online, and the Dean's Office confirms his or her registration as an applicant to the Faculty of Biology, Chemistry & Earth Sciences.

(3) The doctorate begins on the date of the written confirmation of acceptance to doctoral studies by the Dean.

§ 5

Statistical requirements

- (1) ¹With the application for admission to doctoral studies, personal data of the doctoral student will be collected by the faculty in accordance with the collection characteristics governed by § 5 HStatG dated 2 November 1990 as amended, automatically stored and processed for the fulfilment of the statutory duties and for the purposes of legislation and planning in the higher education sector in accordance with § 1 (1) 1 and 2 of HStatG within the framework of the doctorate in order to execute the duties of the university to collect data as laid down in HStatG dated 2 November 1990, as amended. ²To this extent, the applicant is obligated to cooperate and to provide personal data (Art. 10 para. 2 sentence 3 BayHSchG).

- (2) ¹Regular transmission or forwarding to the Bavarian State Statistical Office will be carried out with regard to the survey characteristics of HStatG dated 2 November 1990 and to the university administration for the purpose of presenting higher education statistics. ²The use and processing of personal data is subject to the requirements of Art. 10 BayHSchG.

§ 6

Doctoral qualifying examination

- (1) Admission to the doctoral qualifying examination requires that the candidate does not fulfil the conditions referred to in § 4 para 1 number 1 and
 1. has passed the final examination in a relevant Diplom or Magister programme at a university of applied sciences with at least the overall grade of "2,0" or a relevant bachelor's degree programme at a university of applied sciences within the standard period of study with an overall grade of "1,0",
 2. has written a bachelor's, Diplom, or Magister thesis which was graded as "very good",
 3. has not unsuccessfully taken a relevant doctoral qualifying examination or a comparable examination at a different German higher education institution,
 4. that a counselling interview has taken place with the applicant, which is conducted and recorded by an instructor appointed by the doctoral commission.
-

- (2) ¹The application for admission to the doctoral qualifying examination must be submitted in writing to the Dean. ²The candidate has to include the following with the application:
1. evidence that the admission requirements specified in para. 1 nos. 1 and 2 are met
 2. a statement about which subject area he or she seeks to do a doctorate in
 3. a statement as to whether he or she has already taken a doctoral qualifying examination or a comparable examination at a different German university.
- ³In addition, the applicant may submit further documents which can be used to substantiate subject-related qualifications going beyond the degrees.
- (3) ¹The doctoral commission make decisions regarding admission to the doctoral qualifying examination. ²Admission is to be denied if the candidate
1. does not satisfy the admission requirements specified in para. 1 or
 2. has proved himself or herself unworthy of bearing a doctoral title due to his or her conduct,
 3. has not submitted all the documents and statements referred to in para. 2 sentence 2.
- (4) In the doctoral qualifying examination, the applicant must prove that he or she has the specialist knowledge and scientific ability required for a doctorate.
- (5) ¹The doctoral qualifying examination consists of an oral examination lasting approximately one hour before an examination board. ²The examination board is composed of three instructors from the Faculty of Biology, Chemistry and Earth Sciences who authorized to administer examinations; the supervisor of the doctorate is not a member of the examination board. ³The dean appoints the examination board and appoints an examiner as chairperson. ⁴The examiner shall fix the date of the examination and invite the members of the examination board and the applicant to the meeting in writing with a period of notice of one week. ⁵§ 14 para. 7 shall apply accordingly.
- (6) ¹No grades are awarded in the doctoral qualifying examination. ²The examination board shall determine whether the candidate's performance meets the requirements set out in paragraph 4. ³If the performance does not meet these requirements, the doctoral qualifying examination has not been passed. ⁴A written record of the examination shall be drawn up and signed by the chairperson and the examiners. ⁵§ 9 para. 3 sentence 2 shall apply accordingly.
- (7) ¹A failed doctoral qualifying examination can be repeated once. ²The application for admission to the repeat examination must be submitted within one year of notification of failing the examination, unless the Dean grants the applicant an extension for special reasons beyond his or her control.
- (8) After successfully passing the qualifying examination and meeting the requirements of §
-

4 para. 1 nos. 2 - 5 of the present regulations, the applicant will receive written confirmation of acceptance to the doctorate from the faculty.

§ 7

Supervision and Supervisory Agreement

(1) ¹The doctorate is supervised by an instructor authorized to administer examinations. ²These and the applicant shall record the key points of the doctoral relationship in a written supervisory agreement. ³The supervisor shall inform the doctoral committee if the doctorate is discontinued.

(2) ¹If the supervisor retires from the group of persons pursuant to § 2 sentence 1, he/she may continue the supervision for up to two years after his/her retirement if he/she remains authorized to administer examinations under the conditions of art. 62 para 1 BayHSchG in conjunction with § 4 HSchPrüferV. ²The Dean may extend the period in accordance with sentence 1 by up to two years if there are important reasons for doing so.

(3) If the supervisor of a doctoral thesis can no longer supervise it, the doctoral committee shall ensure that the doctoral thesis continues to be supervised as far as possible.

(4) ¹In the case of doctorates with universities of applied sciences/HAWs (§ 19), the dissertation shall be supervised on an equal basis by the participating instructors from the university of applied science/HAW and the university, and the supervisory agreement shall be concluded by them together with the applicant. ²Paragraphs 1 and 2 shall apply *mutatis mutandis*.

(5) ¹Doctoral studies may only be carried out outside the Faculty of Biology, Chemistry and Earth Sciences if an instructor of the Faculty entitled to administer examinations agrees to supervise the doctorate in accordance with § 2. ²The latter represents the doctorate before the faculty, concludes the supervision agreement according to paragraph 1, and prepares one of the assessments.

§ 8

Application for admission to the doctoral examination process

¹Admission to the doctoral examination process must be applied for in writing to the Dean and requires acceptance for the doctorate. ²The application must include:

1. six identical copies of the dissertation, which must meet the requirements of § 11,
2. a German and an English abstract of up to 800 words, with the title in a form specified by the Dean and suitable for electronic delivery,
3. an affidavit that the doctoral candidate wrote the work independently and did not use any sources and aids other than those indicated by him or her (cf. art. 64 para 1 sentence 6 BayHSchG) and an updated declaration that he or she has not already submitted the dissertation for the award of an academic degree and that he or she has not already definitively failed this or an equivalent doctoral examination,

4. a statement that assistance from commercial writing services, intermediaries,
-

or similar service providers has not been used in the past and will not be used in the future,

5. a curriculum vitae of the doctoral candidate, which in particular provides information on the educational background,

6. an official certificate of good conduct. In the case of foreigners, a certificate recognized as equivalent by the University of Bayreuth can be submitted. This can be an extract from the criminal record of the home state, a character reference or a comparable document. If the doctoral candidate is enrolled or in public service, the certificate of good conduct may be waived.

7. the electronic version of the dissertation, the form of which is specified by the Dean, as well as a declaration of consent by the applicant that the electronic version of the dissertation may be subjected to a separate review, subject to compliance with his/her copyrights and data protection,

8. a declaration of consent by the doctoral candidate that, in case of suspicion of scientific misconduct, investigations may be carried out by internal university bodies for academic self-regulation.

9. evidence of any additional components to be provided pursuant to § 4 para. 1 no. 1.

§ 9

Decision on admission to a doctorate and to the doctoral examination process

(1) Admission to doctoral studies shall be refused if the requirements set out in § 4 para. 1 are not fulfilled.

(2) Admission to the doctoral examination process shall be refused if

1. admission to doctoral studies has not been granted or
2. the documents required in § 8 are incomplete or
3. the doctoral candidate has proved to be unworthy of the doctoral title on account of his or her conduct.

(3) ¹The doctoral committee shall make a decision within one month regarding the applications submitted by the applicant or doctoral candidate. ²Decisions on applications for admission to doctoral studies and on admission to the doctoral examination process shall be communicated to the applicant in accordance with § 3 para. 4. ³In the doctoral examination process, the Dean should ensure that the period between the application for admission to the doctoral examination process and the final colloquium does not exceed four months.

§ 10

Withdrawal

¹The doctoral candidate may withdraw from the doctoral programme at any time, provided that no application for admission to the doctoral examination process has yet been submitted. ²The application for withdrawal must be addressed to the Dean in writing. ³With the confirmation of withdrawal by the Dean, the supervisory agreement is deemed to be cancelled.

§ 11

Dissertation

(1) ¹The dissertation must be an independent academic work completed by the doctoral candidate and contribute to the solution of scientific problems. ²It should lead to new scientific knowledge. ³It must present the results obtained in an appropriate form.

(2) ¹The dissertation must be signed and submitted in typescript; it must be bound, paginated, with a table of contents and contain a German and English summary of up to 800 words, which provides information about the problem and the findings. ²The literature used as well as other resources shall be cited in full; passages taken verbatim or almost verbatim from the literature shall be marked. ³The title page must indicate the title of the dissertation, that it is a dissertation, and the name and place of birth of the doctoral candidate.

(3) If a thesis that has already been published is submitted as a dissertation, the corresponding number of copies of the printed work may replace the machine-written copies.

(4) ¹It is also possible to combine several individual theses completed by doctoral student into one dissertation (cumulative dissertation). ²In this case, the link between the individual theses and the doctoral student's own contribution should be presented in a detailed summary. ³The decision as to whether a cumulative dissertation is suitable is made by the doctoral committee.

(5) ¹The dissertation shall be written in German or English. ²For cumulative dissertations, publications in either language is permitted.

§ 12

Assessment of the dissertation

(1) ¹After admission to the doctoral examination process, the Dean, on the recommendation of the doctoral committee, shall immediately appoint at least two instructors authorized to administer examinations to examine the dissertation assessors. ²One of the assessors must be an instructor authorized to administer examinations at the Faculty of Biology, Chemistry and Earth Sciences and at least one assessor must be an instructor authorized to administer examinations in accordance with art. 2 para. 1 no. 1 BayHSchP. ³For doctorates with universities of applied sciences/HAWs (§ 19), the two equal supervisors of the university of applied sciences and the university are generally appointed as assessors.

(2) ¹As a rule, each assessor shall submit a written report on the dissertation within one month, but at the latest within two months after admission to the doctoral examination process, and shall propose to the Dean that the dissertation be accepted or rejected. ²Each assessor evaluates the dissertation and awards a grade according to the following scheme:

very good	= 1 =	an especially commendable achievement;
good	= 2 =	an achievement above average;
sufficient	= 3 =	an achievement that meets average requirements;
unsatisfactory	= 4 =	an achievement with considerable shortcomings, as a whole unusable.

3Intermediate scores of 1.3; 1.7; 2.3 and 2.7 are also permitted.

4In exception cases, the grade

excellent = an exceptionally outstanding achievement

can be awarded 5When calculating the numerical value of this grade, the number zero (= 0) is used.

- (3) 1The Dean shall appoint an additional assessor on the recommendation of the doctoral committee if the assessors' reviews deviate by more than one grade. 2If the dissertation has been reviewed by several supervising persons, the Dean shall appoint an additional assessor. 3If the dissertation as a whole has been deemed "excellent", the Dean may appoint an additional assessor on the recommendation of the doctoral committee. 4The same shall apply if an assessor proposes the appointment of an additional assessor.
- (4) The Dean may, with the approval of the doctoral committee, appoint additional assessors at any time during the process if this appears necessary in order to ensure a proper assessment.
- (5) 1The Dean shall inform the members of the extended doctoral committee in an appropriate manner about the receipt of the reports and about the grades of the assessors. 2The abstract of the dissertation will be sent with the notification. 3Upon reasoned request, the electronic version of the dissertation will be sent after consultation with the signatories of the supervisory agreement, whereby copyrights and data protection rights are to be protected. 4The Dean shall make the dissertation and the reports available to the extended doctoral committee for inspection by the Dean's Office for a period of two weeks. 5The members of the extended doctoral committee may submit a written statement to the Dean or lodge an objection to the dissertation within the display period. 6The doctoral committee advises on comments and objections received in due time. 7It gives the doctoral candidate and the supervisor the opportunity to comment. 8Then it can either reject the objections unanimously, or it can return the dissertation for revision, or it can obtain one or more additional assessments from the Dean.
- (6) 1If the dissertation is proposed for acceptance by all assessors and has not been returned for revision by the doctoral committee, it shall be deemed accepted. 2If it is rejected by all assessors, it shall be rejected. 3If there is no unanimous agreement among the assessors as to the acceptance or rejection of the dissertation, the doctoral committee shall decide. 4The arithmetic mean of the individual grades awarded in the reports is used to evaluate the dissertation and only the first decimal place without rounding is taken into account. 5If an overall grade of worse than 3 is obtained in this way for an accepted dissertation, the dissertation will be awarded a grade of 3.
- (7) 1If the dissertation is rejected, the doctoral candidate may submit a new dissertation within
-

two years of the announcement of the rejection. ²Paragraphs 1 to 6 shall apply to the further process. ³If the doctoral candidate does not submit a new dissertation within the period specified in sentence 1 or if the new dissertation is rejected, the doctoral examination process shall be terminated without success. ⁴§ 9 para. 3 sentence 2 shall apply accordingly. ⁵The doctoral committee may return to the doctoral candidate a dissertation that would have to be rejected for revision. ⁶In this case, the doctoral candidate may submit a new dissertation instead of a revision. ⁷The revised or the new dissertation must be submitted to the doctoral committee within the period specified in sentence 1. ⁸A revised dissertation shall be evaluated by the assessors appointed for the original dissertation, provided that they are still available; paras 1 to 6 also apply. ⁹If the doctoral candidate does not submit the revised or the new dissertation in due time or if the revised or the new dissertation is rejected, the doctoral examination process is terminated without success. ¹⁰§ 9 para. 3 sentence 2 shall apply accordingly.

- (8) ¹If the assessors or the members of the doctoral committee find any defects in the dissertation which, nevertheless, do not justify a rejection of the thesis, the doctoral candidate may be required to make a corresponding correction. ²The assessors shall confirm that the corrections have been made when submitting the required copies.

§ 13

Board of examiners

- (1) ¹An academic colloquium (§ 14) shall be held before the examination board within a reasonable period of time after acceptance of the dissertation in accordance with § 12 para. 6 sentence 1 of the present regulations. ²The members of the board of examiners are:

1. an instructor from the Faculty of Biology, Chemistry and Earth Sciences, who may not be an assessor, as chairperson or chairman,
2. the assessors, whereby assessors within the meaning of § 12 paras. 3 and 4 are free to participate in the colloquium,
3. one further instructor entitled to administer examinations within the meaning of § 2.

³If an assessor within the meaning of sentence 2 no. 2 is prevented from participating in the subsequent proceedings, an instructor entitled to administer examinations within the meaning of § 2 shall be appointed as a member of the board of examiners for him or her, provided that less than two assessors are participating in the subsequent proceedings.

- (2) ¹The chairperson and the other members of the board of examiners shall be appointed by the Dean on the recommendation of the doctoral committee immediately after acceptance of the dissertation. ²The doctoral candidate shall be notified of the composition of the board of examiners in writing.

§ 14

Colloquium

- (1) The colloquium is a scientific debate on the dissertation and related subjects.
 - (2)
 - 1The Dean sets the date of the colloquium in consultation with the chair of examiners.
 - 2The candidate is to be invited to the colloquium in writing at least fourteen days prior to the date.
 - 3The doctoral committee can shorten this period of notice in consultation with the candidates and the members of the board of examiners.
 - (3)
 - 1The colloquium shall last at least sixty minutes, but not more than one hundred and twenty minutes, and shall be open to all members of the university.
 - 2It will be held in German or English.
 - 3The colloquium is divided into a lecture on the dissertation of approx. 20 minutes to a maximum of 30 minutes and a scientific discussion.
 - 4The colloquium shall be chaired by the chair of examiners.
 - 5In addition to the members of the board of examiners, all instructors entitled to administer examinations within the meaning of § 2 shall be invited to the colloquium.
 - 6The doctoral candidate may, within one week of being summoned, determine that the public shall be excluded.
 - 7The supervisor pursuant to § 7 may apply for exclusion of the public if patent law issues are affected.
 - (4)
 - 1The course of the colloquium and the determination of the overall grade of the doctorate shall be recorded in writing.
 - 2The record must contain information on
 1. the date of the colloquium
 2. the names of the chairman and the other examiners
 3. the name of the candidate
 4. the contents of the examination
 5. the grades of the dissertation and colloquium and the overall grade according to § 15.
 - 3The record is to be signed by the chair of examiners and the assessors.
 - (5)
 - 1The grading of the colloquium is based on a joint non-public examiner debate, and is based on the grading scale according to § 12 para 2 sentences 2 to 5.
 - 2In the evaluation of the colloquium, the arithmetic mean of the individual grades is used and only the first decimal place without rounding is taken into account.
 - 3Only the first decimal place is taken into account after the decimal point; all other decimal places are deleted without rounding.
 - 4If a candidate does not achieve the minimum grade 3.0 in the colloquium, the colloquium is thus failed.
 - (6)
 - 1The doctoral candidate may repeat the failed colloquium once.
 - 2The request for repetition must be submitted to the Dean within one year of notification of having failed the colloquium.
 - 3In special exceptional cases, the Dean, in consultation with the doctoral committee, may permit a second repetition of the failed colloquium; the Dean must receive a request to this effect from the doctoral student within six months of notification of the repeated failure of the colloquium.
 - 4The doctoral examination process shall be terminated without success if the doctoral candidate does not submit the request for repetition within the periods specified in sentences 2 and 3, or if the doctoral committee does not permit a second repetition of the colloquium, or if the doctoral candidate does not pass the colloquium even after the second repetition; § 9 para 3 sentence 2 shall apply *mutatis mutandis*.
-

- (7) ¹If the doctoral candidate does not appear at the time of the colloquium or withdraws from the colloquium after it has begun, he or she must immediately notify the Dean in writing of the reasons for the failure to appear or the withdrawal and provide credible evidence. ²In the event of illness of the doctoral candidate, the Dean may require the presentation of a medical certificate or an official medical certificate. ³If the doctoral candidate is not responsible for the reasons for the failing to appear, the Dean shall set a new date in accordance with para. 2. ⁴If the doctoral candidate does not immediately report the reasons for the failure to appear in accordance with sentence 1 and provide credible evidence or is responsible for these reasons, the colloquium shall be deemed not to have been held; § 9 para 3 sentence 2 shall apply *mutatis mutandis*.

§ 15

Overall grade for the doctorate

- (1) If the colloquium is passed, the board of examiners determines an overall grade for the doctorate.
- (2) ¹The overall grade for the doctorate is calculated as follows: first, the arithmetic averages of the individual grades of the dissertation or colloquium are calculated separately. ²The calculated value is always truncated without rounding after the first decimal place. ³Then the double value for the dissertation and the single value for the colloquium are added up and divided by three. ⁴The calculated total value is truncated after the first decimal place without rounding. ⁵The following grading scheme applies to the overall grade:
- | | |
|------------|--------------------------------------|
| 0 | = summa cum laude (with distinction) |
| 0.1 to 1.5 | = magna cum laude (very good) |
| 1.6 to 2.5 | = cum laude (good) |
| 2.6 to 3.0 | = rite (satisfactory). |
- (3) The overall grade is to be communicated orally to the candidate following the colloquium by the chair of examiners.
- (4) ¹The Dean issues the candidate a written provisional certificate regarding the result of passing the exam. ²This provisional certificate does not entitle one to bear the doctoral title.

§ 16

Publication of the dissertation

- (1) ¹After successful completion of the colloquium, the doctoral candidate shall make the dissertation accessible to the scientific public by duplication and dissemination. ²Works already published pursuant to § 11 para. 3 of the present regulations need not be republished.
- (2) ¹Printing permission must be obtained prior to publication of the dissertation (§ 12 para
-

8 sentence 2). ²With the delivery of the electronic version or the deposit copies, the candidate must make a written declaration that the contents of the electronic version or deposit copies correspond to the version for which printing permission was granted.

- (3) ¹For the purpose of publication, the doctoral candidate must deliver the prescribed number of copies to the Dean free of charge within one year of the colloquium in accordance with the type of publication chosen by him or her. ²This shall also apply in the event of an approved suspension of publication in accordance with § 17 para 2, subject to a time limit which may deviate from sentence 1.

³The following publication types are available for selection:

1. 40 copies in book or photo print for the purpose of distribution.
2. 6 copies if the dissertation is published essentially unabridged in a scientific journal.
3. 6 copies if a commercial publisher is responsible for distribution via the book trade. The publication must bear an ISBN or ISSN number and on the reverse side of the title page the designation as dissertation with indication of the place of dissertation.
4. 3 copies in printed, bound form and an electronic version, the file format and type of data transmission of which must be agreed upon with the University of Bayreuth's University Library. The publication must contain an abstract in German and English. The doctoral candidate grants the University Library of the University of Bayreuth and the DDB (German Library) the right to store the electronic version, to publish it in data networks for an unlimited period of time and to make it accessible to other databases. The doctoral candidate is obliged to check the metadata and the network version of his or her dissertation for completeness, correctness and legibility after it has been processed by the university library. The submission of files that do not comply with the required specifications with regard to file format and data transfer shall not be regarded as publication.

- (4) The doctoral candidate transfers to the University of Bayreuth in writing the right to publish - also in data networks - his or her name, the topic of the dissertation, the abstract, the day of submission and the day of the colloquium and, in the event that he or she has chosen a type of publication in accordance with para 3 no. 1, also the right to produce and disseminate further copies of his or her dissertation.
- (5) The doctoral committee may extend the deadline for delivery of deposit copies at the request of the doctoral candidate.
- (6) ¹If the doctoral candidate fails to meet the deadline for delivery of the required copies through his or her fault, all rights acquired through the successful completion of the examination procedure shall lapse. ²§ 9 para. 3 sentence 2 shall apply *mutatis mutandis*.
- (7) In the cases of para. 3 nos. 2 and 3, the Dean may consider the delivery deadline to have been met if the publication of the dissertation and the delivery of the required copies appear sufficiently assured by a binding declaration of the editor of the journal or the publisher.
-

§ 17**Diploma and completion of the doctorate**

- (1) ¹If the conditions mentioned in § 16 are met, the Faculty of Biology, Chemistry and Earth Sciences issues a diploma in the German language regarding the passing of the doctoral examination. ²In addition, an English translation will be issued.
 - (2) If the content of the dissertation relates to a patent application, intended or already filed, or publication in an academic journal, the doctoral committee may, at the substantiated request of the candidate or supervisor, decide to delay the publication of the dissertation by up to two years without affecting completion of the doctorate.
 - (3) ¹The certificate confirms the successful doctorate and contains the following information
 - the name of the university and the faculty,
 - the first names and surnames of the graduate, date of birth, and place of birth,
 - the academic degree awarded,
 - the title of the dissertation,
 - the date of the colloquium,
 - the overall grade for the doctorate,
 - the name and signature of the President of the University of Bayreuth and the Dean of the Faculty,
 - the seal of the University of Bayreuth.²In the case of doctorates with universities of applied sciences/HAWs (§ 19), the certificate must also state the participating university of applied sciences. ³The date of the diploma is the date of the colloquium.
 - (4) ¹The diploma shall be handed over together with the English translation by the Dean. ²Upon delivery, the doctorate is completed and concluded; the doctoral candidate thereby acquires the right to bear the doctoral degree in accordance with § 1.
-

Section III: Honorary Doctorate

§ 18

Honorary doctorate

- (1) ¹For exceptional scientific achievements the faculty can award an honorary doctorate (Dr. rer. nat. h.c.). ²§ 1 para 1 sentences 2 and 3 shall apply accordingly. ³The honorary doctoral process must be initiated on a reasoned application by at least three instructors who are entitled to administer examinations. ⁴The application shall be addressed to the Dean.
- (2) ¹The Faculty Council appoints at least two instructors authorised to examine to assess the exceptional scientific achievement of the person to be honoured. ²The application and the assessment must be submitted to the members of the Faculty Council and the extended doctoral committee. ³They may give a written opinion within one month.
- (3) ¹At the request of the extended doctoral committee, the Faculty Council makes a decision regarding the awarding of the honorary doctoral degree. ²The decision is made by evaluating the application and the assessments and the opinions submitted.
- (4) ¹The President of the University of Bayreuth and the Dean of the Faculty of Biology, Chemistry and Earth Sciences complete the award of an honorary doctoral degree by presenting a diploma to the individual being honoured. ²In the diploma, the scientific achievement of the honoured person is to be commended.

Section IV: Cooperation with universities of applied sciences/ HAWs

§ 19

Cooperation with universities of applied sciences/HAWs

¹The Faculty of Biology, Chemistry and Earth Sciences enables the cooperative execution of doctorates with universities of applied sciences/HAWs as well as the execution of joint doctorates on the basis of the agreement of the Bavarian higher education institutions dated 19 October 2015 within the framework of the present doctoral regulations. ²The University of Bayreuth is in charge of cooperative doctorates and joint doctorates.

Section V: Binational doctorates

§ 20

General

- (1) ¹The doctoral degree may also be awarded within the framework of joint supervision with a foreign scientific institution (partner institution). ²This presupposes that
1. an agreement has been concluded with the partner institution, approved by the Dean and the doctoral committee, on the cross-border joint supervision of the doctorate,
 2. the partner institution has the right to award doctorates in accordance with its national legislation and the academic degree to be awarded should be recognised within the scope of the Higher Education Framework Act,
 3. the doctoral candidate fulfils the requirements for acceptance to doctoral studies and for admission to the doctoral examination process both in accordance with these doctoral regulations (§§ 4, 8, and 9) and the corresponding regulations of the partner institution.
- (2) ¹The dissertation shall be supervised jointly by a supervisor in accordance with § 7 para 1 and a member of the partner institution who is entitled to administer examinations in accordance with the provisions therein and may be submitted to the Faculty of Biology, Chemistry and Earth Sciences or to the partner institution.²The details of joint supervision are set out in the agreement pursuant to para 1 sentence 2 no. 1.³A dissertation that has already been submitted to one of the participating educational institutions and accepted or rejected prior to conclusion of an agreement pursuant to para 1 sentence 2 no. 1 may not be the subject of a joint doctoral examination process.
- (3) The grading of the doctoral work shall be carried out in accordance with the regulations of the institution to which the dissertation is submitted; the other institution shall determine the equivalent grades in accordance with its doctoral regulations.

§ 21

Examination process at the University of Bayreuth

- (1) ¹If the dissertation is to be submitted to the Faculty of Biology, Chemistry and Earth Sciences, §§ 11 and 12 shall apply to the dissertation and its evaluation.²As a rule, the supervisors of the dissertation pursuant to § 20 para. 2 sentence 1 shall be appointed as assessors.
- (2) ¹If the dissertation is accepted in the process pursuant to § 12, it shall be forwarded to the partner institution for approval of the progress of the doctoral examination²If the partner institution grants such consent, the oral examination shall take place in accordance with §§
-

13 and 14.³If the supervisor of the dissertation from the partner institution is not a member of the board of examiners pursuant to § 13 para 1 sentence 2 no. 2, his or her appointment as a member of the board of examiners or the alternate appointment of another member of the partner institution authorized to administer examinations pursuant to its provisions shall be provided for in the agreement pursuant to § 20 para 1 sentence 2 no 1.

- (3) ¹If the dissertation has been accepted by the Faculty of Biology, Chemistry and Earth Sciences but the partner institution refuses to approve the progress of the examination, the joint process shall be terminated; the doctoral examination shall be continued in accordance with the provisions of these doctoral regulations. ²Sentence 1 shall apply *mutatis mutandis* if the partner institution assigns a failing grade for the oral examination.
- (4) The publication of the dissertation and the delivery of the required copies shall be carried out in accordance with § 16 and the supplementary agreements made pursuant to § 20 para. 1 sentence 2 no. 1.

§ 22

Examination process at the partner institution

- (1) ¹If the dissertation is to be submitted to the partner institution, the doctoral regulations of the partner institution shall apply to the examination process. ²The agreement pursuant to § 20 para 1 sentence 2 no. 1 shall provide for the appointment of the supervisor pursuant to § 20 para 2 sentence 1 from the Faculty of Biology, Chemistry and Earth Sciences or, insofar as this supervisor cannot be called upon, of another instructor from the Faculty of Biology, Chemistry and Earth Sciences who is authorized to administer examinations pursuant to these doctoral regulations, as an assessor to review the dissertation.
 - (2) ¹If the dissertation has been accepted by the partner institution, it shall be forwarded to the extended doctoral committee for approval of the progress of the examination. § 12 para 5 sentences 4 to 8 shall apply *mutatis mutandis*. ²If the Faculty of Biology, Chemistry and Earth Sciences gives its approval, the oral examination shall take place at the partner institution in accordance with the provisions there. ³The agreement pursuant to § 20 para 1 sentence 2 no. 1 shall stipulate that in this case the supervisor pursuant to § 20 para 2 sentence 1 from the Faculty of Biology, Chemistry and Earth Sciences or, if this is not possible, another instructor from the Faculty of Biology, Chemistry and Earth Sciences who is authorized to administer the oral examination in accordance with the present doctoral regulations must be a member of the board administering the oral examination as an examiner.
 - (3) ¹If the dissertation is accepted at the partner institution but the Faculty of Biology, Chemistry and Earth Sciences refuses to approve the progress of the examination, the joint process shall be terminated. ²The doctoral examination may be continued in accordance with the provisions of the partner institution. ³Sentences 1 and 2 shall apply *mutatis mutandis* if the
-

Faculty of Biology, Chemistry and Earth Sciences assigns a failing grade for the oral examination.

- (4) ¹For the publication of the dissertation and the delivery of the required copies, the provisions applicable to the partner institution shall apply. ²The agreement pursuant to § 20 para 1 sentence 2 no. 1 shall also specify the number of copies to be made available to the Faculty of Biology, Chemistry and Earth Sciences; alternatively, publication of the dissertation may be approved analogously to § 16 para 3 sentence 3 no. 1 to 4. ³In any case, one copy of the dissertation remains with the examination files. ⁴Printing of the doctoral certificate to be issued pursuant to § 23 shall be made contingent on the fulfilment of the delivery obligations.

§ 23

Joint diploma

- (1) ¹After the successful completion of a joint doctoral examination process, the Faculty of Biology, Chemistry and Earth Sciences and the partner institution will issue a joint certificate of awarding the doctoral degree, from which it follows that the doctoral thesis was jointly supervised. ²The certificate shall bear the signatures and seals required in accordance with the provisions of the present doctoral regulations and those of the partner institution.
- (2) Individual certificates of the Faculty of Biology, Chemistry and Earth Sciences and the partner institution may be used instead of a joint certificate as long as they clearly show that both certificates together constitute a joint doctoral certificate.
- (3) The joint doctoral certificate shall state that the doctoral candidate is entitled to hold a doctoral degree in Germany in accordance with § 1 para 1 and to bear the doctoral degree awarded there in the foreign country.
- (4) ¹Further details on the form of the diploma shall be governed by the agreement in accordance with § 20 para 1 sentence 2 no. 1. ²It shall also contain the equivalence of grades. ³The equivalent foreign grade with the corresponding designation shall be provided on the joint doctoral certificate.

Section VI: Additional regulations, coming into effect, and transitional provisions

§ 24

Invalidity of the doctorate

- (1) ¹If it is established prior to issuing the certificate that the doctoral candidate is guilty of deception during his or her doctorate, the Dean declares all previously acquired entitlements invalid and discontinues the process. ²The Dean shall obtain the opinion of the doctoral committee before making such a decision.
- (2) ¹If the deception or other unlawfulness only becomes known after the certificate has been handed over, the Dean may subsequently declare the doctoral examination to be failed. ²The Dean shall obtain the opinion of the doctoral committee before making such a decision. ³The withdrawal of the doctorate is governed by the statutory provisions (article 48 BayVwVfG - as amended). ⁴The person concerned must be given the opportunity to make a statement before the decision is taken (Art. 28 BayVwVfG). ⁵With regard to the certainty, form, and justification of the decision, the provisions on the creation of administrative acts (article 35 ff. BayVwVfG) must be observed.
- (3) ¹If scientific misconduct is suspected, the Dean and the doctoral committee shall, as a matter of principle, not take a joint decision until the Academic Self-Regulation Committee has submitted its report. ²If, in special cases, the Dean and the doctoral committee have already decided in advance, the further consideration by the Academic Self-Regulation Committee remains unaffected. ³A declared waiver of the doctoral degree has no influence on the initiation and progress of the process according to sentences 1 and 2.
- (4) In the event of failure to pass the doctoral examination in accordance with para 2 sentence 1, the doctoral certificate shall be withdrawn.
- (5) Otherwise, withdrawal of the doctorate is governed by article 69 BayHSchG in conjunction with the relevant provisions of the BayVwVfG.

§ 25

Inspection of records

¹On completion of the doctorate, the doctoral candidate may inspect the doctoral documents. ²The Dean shall determine the place and time of inspection. ³The application must be submitted to the Dean within one month of completing the doctorate. ⁴In these and other cases in which a request for inspection is made, the inspection procedure is governed by article 29 ff. BayVwVfG.

§ 26

Consideration of special life situations

- (1) ¹On request for deadlines and dates the use of protection periods of §§ 3, 4, 6 and 8 of the law on the protection of working mothers (Maternity Protection Act
-

- MuSchG) from 20 June 2002 (Federal Law Gazette I p. 2318) in the currently applicable version, the legal periods of parental leave (Federal Parent Money and Parent Time Law – BEEG) from 5 December 2006 (Federal Law Gazette I p. 2748) in the current applicable version as well as the periods for the care of a close relative in the sense of § 7 para. 3 of the law regarding care time (Home Care Leave Act – PflegeZG) from 28 May 2008 (Federal Law Gazette I pps. 874, 896) in the current applicable version, the person in need of care is described in §§ 14, 15 of the eleventh book of social code (SGB XI) from 26 May 1994 (Federal law Gazette I, pp. 1014, 1015) in the applicable version are to be ensured. ²The relevant documents are to be presented; changes in the conditions are to be communicated immediately.

- (2) ¹In the calculation of periods, intervals during which the doctoral project cannot, or only to a very limited extent, be worked on, for reasons beyond the candidate's control will not count. ² The relevant documents are to be presented; in the case of illness, medical certificates are to be submitted. ³Changes in conditions are to be communicated immediately.

§ 27

Consideration of the special needs of disabled persons

¹In order to safeguard their equal opportunities, due regard is to be given to the special situation of disabled candidates. ²The dean in consultation with the doctoral committee decides, upon written request of the candidate, according to the severity of the disability, in what form a disabled candidate undergoes examination or is granted a working time extension. ³Proof of disability with regard to examination is to be submitted by the candidates in the form of a medical certificate which indicates that he is unable, because of a prolonged or permanent disability, to take the examination wholly or partially in the normal form. ⁴The application must accompany the application for admission to a doctorate; if the application is submitted later, it only applies for future examinations.

§ 28

Coming into effect, transitional provisions

(1) The present doctoral regulations shall enter into force on 16 September 2017; at the same time, the doctoral regulations of the Faculty of Biology, Chemistry and Earth Sciences of 5 August 2013, as amended by the statutes of 25 July 2014, shall cease to apply.

(2) For doctoral candidates who have already received a confirmation of supervision prior to these doctoral regulations coming into force, the provisions of these regulations shall apply subject to the proviso that the prerequisites pursuant to § 4 para 1 numbers 1, 2, 4, and 5 are to be evidenced at the latest with the application for admission to the doctoral examination process pursuant to § 8.

Issued on the basis of the resolution of the University of Bayreuth's Senate dated 24 May

2017 and the approval of the President of the University of Bayreuth provided on 14 September 2017 Ref. No. A 3518 - AL I.

Bayreuth, 15 September 2017

[seal]

University of Bayreuth

President

[signature illegible]

Professor Dr. Stefan Leible

These statutes were laid down at the university on 15 September 2017.

The announcement of the record was posted at the university on 15 September 2017.

The date of publication is 15 September 2017.
