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**Doctoral Regulations  
of the Faculty of Engineering Science  
at the University of Bayreuth  
as of 15 September 2017**

On the basis of article 13 para. 1 sentence 2 clause 2 in conjunction with article 64 paragraph 1 sentence 5 of the Bavarian Higher Education Act (BayHSchG), the University of Bayreuth adopts the following doctoral regulations for the Faculty of Engineering Science:

# **Contents**

## **Section I: General provisions**

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

## **Section II: The ordinary doctorate**

- § 4 Requirements for admission to a doctoral project
- § 5 Statistical requirements
- § 6 Supervision, supervisory agreement
- § 7 Application for admission to a doctoral examination
- § 8 Decision on admission to a doctoral project and to a doctoral examination
- § 9 Dissertation
- § 10 Assessment of the dissertation
- § 11 Board of examiners
- § 12 Colloquium
- § 13 Overall grade of the doctorate
- § 14 Publication of the dissertation
- § 15 Diploma and completion of the doctorate

## **Section III: Honorary Doctorate**

- § 16 Honorary doctorate

## **Section IV: Cooperation with Universities of Applied Sciences**

- § 17 Cooperation with universities of applied sciences

## **Section V: Joint Binational Doctorates**

- § 18 General Information
- § 19 Examination process at the Faculty of Engineering Science
- § 20 Examination process at the partner institution
- § 21 Joint diploma

## **Section VI: Further regulations, transitional and final stipulations**

§ 22 Invalidation of the doctoral work

§ 23 Right to inspect

§ 24 Consideration of special life situations

§ 25 Consideration of special needs of disabled persons

§ 26 Coming into effect, transitional arrangements

Annex 1

Annex 2

## **Section I: General provisions**

### **§ 1**

#### **Doctoral degree**

- (1) 1The University of Bayreuth, through the Faculty of Engineering Science awards the academic degree “Doktor-Ingenieur” or “Doktor-Ingenieurin”, abbreviated as Dr.-Ing.
- (2) The doctorate serves as proof of an individual scholarly achievement that substantially exceeds the examination performance required for acceptance for doctoral studies in § 4 para 1 number 1.
- (3) The work required for the doctorate consists of one written scientific work (dissertation) by the candidate and an oral examination (colloquium).
- (4) 1The University of Bayreuth, through the Faculty of Engineering Science, in accordance with § 16, awards the honorary scientific degree of “Doktor-Ingenieur” or “Doktor-Ingenieurin”, abbreviated as Dr.-Ing. E.h., as a rare distinction to persons who have distinguished themselves through outstanding scientific or technical achievements.

### **§ 2**

#### **Examination authorisation**

1Instructors authorised to examine according to these regulations are the university instructors in accordance with art. 2 para. 3 sentence 1 Bavarian University Personnel Act (BayHSchPG), professors relieved from duty and retired professors (see. article 13 BayHSchPG) and the other instructors authorised to examine, according to § 4 University Examiners Regulations (HSchPrüferV), of the Faculty of Engineering Science. 2Instructors of other faculties of the University of Bayreuth or other German or foreign universities can be appointed as examiners, if they fulfil the qualification requirements in article 62 para. 1 Bavarian Higher Education Act (BayHSchG) in conjunction with § 4 HSchPrüferV. 3Apart from that, § 17, and, within the scope of binational doctorates, section V, apply for doctoral projects with universities of applied sciences.

### **§ 3**

#### **Doctoral committee and extended doctoral committee**

- (1) The doctoral committee is responsible for the implementation of the doctoral process, unless otherwise stated in these doctoral regulations.

- (2) 

1The doctoral committee consists of the Dean as chairman and three professors of the Faculty of Engineering Sciences according to article 2 para. 1 sentence 1 no. 1 BayHSchPG and a doctorate holder from the other full-time academic personnel of the Faculty of Engineering Science, who must be a university instructor. 2The members of the doctoral committee are elected for a period of two years by the faculty. 3Exceptionally, on being proposed by the Dean, members of the Faculty of Mathematics, Physics & Computer Science, or the Faculty of Biology, Chemistry & Earth Sciences at the University of Bayreuth or other German universities, who fulfil the requirements referred to in sentence 1, can be elected onto the doctoral committee. 4The Dean leads the doctoral committee as chairman of its meetings and directs the day-to-day business.
- (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. 2They act by a majority of the votes cast. 3Abstaining from voting, secret voting and transferring of voting rights are not permitted. 4In the event of a tie vote, the chairman has the casting vote. 5The doctoral committee meets at least once per semester.
- (4) 

1The decisions of the doctoral committee are communicated in writing to the candidate by the Dean. 2Decisions adversely affecting the candidate are to be justified to the candidate and accompanied with information on their right to appeal.
- (5) 

Exclusion due to personal involvement is governed by article 41 para 2 BayHSchG with regard to article 20 and article 21 of the Bavarian Administrative Process Act (BayVwVfG).
- (6) 

1The doctoral committee establishes guidelines for quality assurance in the field of scientific requirements and the grading as well as for the content of the doctoral agreements and provides recommendations to the Faculty Council to establish quality criteria in accordance with § 9 para 4 sentence 4. 2The doctoral committee reports to the Faculty Council annually on the development of the doctoral system.
- (7) 

1The advanced doctoral committee consists of the members of the doctoral committee, all other university instructors according to article 2 para 3 sentence 1 BayHSchPG, together with professors relieved of duty and retired professors of the Faculty of Engineering Science. 2The extended doctoral committee is to be convened at the request of a member within two weeks; it is responsible for decisions according to § 10 para 5 and para 7 as well as § 16 para 3 of the present regulations. 3The chairman is the Dean. 4Paragraphs 3 to 5 apply accordingly.

## Section II: The ordinary doctorate

### § 4

#### Requirements for admission to a doctoral project

(1) For admission to a doctoral project, the candidate must fulfil the following requirements:

1. He or she must have completed a subject-related university degree; the standard degree is the *Diplom* examination or master's examination in a more research-oriented master's degree programme or a comparable master's examination at a university of applied sciences. Candidates who passed the final examination in a relevant *Diplom* programme at a university of applied sciences with an overall grade better than 2,0, while not exceeding the standard period of study by more than two terms, will also be admitted to the doctoral process. Applicants who have passed the final examination in a subject-related scientific bachelor's programme at a university or university of applied sciences with an overall grade of 1,0 and have not exceeded the standard period of study and can prove that they belong to the best 5% of their year of study are also accepted for the doctorate. The doctoral committee may also recognise degrees in engineering-related subjects (e.g. physics, chemistry, biology, techno-mathematics, computer science, industrial engineering science) as sufficient requirements for admission to a doctorate. The recognition of foreign degrees occurs according to the principle of equivalence, in compliance with article 63 BayHSchG. The equivalence is established by equivalence agreements approved by the Standing Conference of the Ministers of Education and Cultural Affairs, and the German Rectors' Conference; doubts as to the equivalence can be heard at the Central Office for Foreign Education.
2. The doctoral committee can make the recognition subject to additional work from the engineering disciplines of the bachelor's and master's programmes of the Faculty of Engineering Science in the amount of up to 15 credit points. The examinations in the subjects in which additional work has to be done are carried out in accordance with the examination regulations or the examination and study regulations of the bachelor's and master's programmes of the faculty either orally or in writing. The examinations must be passed in each case with a grade of at least 4,0. Failed examinations can be repeated once.
3. The candidate must not have already unsuccessfully attempted a relevant doctoral examination or an equivalent examination at another institution of higher education.
4. In accordance with § 6 para 2 or 3, the applicant must sign a supervisory agreement with an instructor authorised to examine pursuant to § 2; there is no entitlement to the conclusion of a supervisory agreement.

- (2) <sup>1</sup>Before the establishment of the doctoral relationship, a written application for admission to a doctoral project has to be made to the doctoral committee via the Dean. <sup>2</sup>The application must include the necessary documentation as evidence of the admission requirements specified in para. 1 and a declaration by the applicant that he or she has not already been accepted for a doctorate in the same subject at another university or another doctoral institution of the University of Bayreuth.
- (3) The application is accompanied by an online registration as an applicant to the Faculty of Engineering Science.
- (4) The doctorate begins upon receipt of written confirmation of acceptance of the doctorate by the Faculty of Engineering Science.

## **§ 5 Statistical requirements**

- (1) <sup>1</sup>With the application for acceptance of a doctorate, the doctoral institution of the University of Bayreuth collects and automatically stores the personal data of the doctoral candidate in accordance with § 5 of the HStatG and processes them for the purpose of fulfilling the legal requirements and for the purposes of decision-making and planning in the higher education sector in accordance with § 1 para 1 sentences 1 and 2 of the Higher Education Statistics Act as part of the doctorate in order to implement the survey obligations of the university as regulated in the currently valid version. <sup>2</sup>In this connection, the applicant is obligated to cooperate and disclose personal data (art. 10 para 2 sentence 3 BayHSchG).
- (2) <sup>1</sup>The data will be regularly transmitted or passed on to the Bavarian State Statistical Office in relation to the survey characteristics of the Higher Education Statistics Act of 2 November 1990 and to the university administration for the purpose of presenting the higher education statistics. <sup>2</sup>The use and processing of personal data is subject to the requirements of article 10 BayHSchG.

## **§ 6 Supervision, supervisory agreement**

- (1) <sup>1</sup>The dissertation will be supervised by an instructor authorised to examine (doctoral relationship); a legal right to a doctoral relationship does not exist. <sup>2</sup>If the supervisor leaves the faculty, she or he can continue supervising for up to two years after her or his retirement if she or he remains authorised to examine according to the requirements of § 2. <sup>3</sup>Given good cause, the doctoral committee may extend the period in accordance with sentence 2 by a maximum of two years. <sup>4</sup>If the supervisor of a doctoral project can no longer supervise it, the doctoral committee ensures further supervision of the dissertation if possible.
- (2) <sup>1</sup>The supervisor of the dissertation must be an authorised instructor according to § 2. <sup>2</sup>He or she and the applicant shall record the main points of the doctorate in a written agreement (supervisory agreement). <sup>3</sup>The supervisor also informs the doctoral committee if the doctoral project is cancelled.
- (3) In the case of doctorates with universities of applied sciences/HAWs (§ 17), the dissertation is supervised on an equal footing by the instructors of the university and the university of applied sciences/HAW, and supervisory agreements are concluded with the applicant.

## **§ 7**

### **Application for admission to a doctoral examination**

<sup>1</sup>Admission to a doctoral examination is to be applied for in writing to the doctoral committee via the Dean. <sup>2</sup>The application must include:

1. five identical copies of the dissertation,
2. the certificate of admission to a doctoral project,
3. an affidavit from the candidate that she or he has written the dissertation independently and has used no sources or aids other than those stated (see article 64 para. 1 sentence 6 BayHSchG), and a declaration that she or he has not already submitted the dissertation to obtain an academic degree; that she or he has not already definitively failed this or a similar doctoral examination;
4. the candidate's curriculum vitae which provides information, in particular, on her or his education;
5. an official certificate of good conduct. In the case of foreigners, proof recognised as equivalent by the University of Bayreuth must be presented. This can be an extract from the criminal records of the home state, a certificate of good conduct, or a comparable document. Members of the University of Bayreuth do not need a certificate of good conduct. The official certificate of good conduct or proof must show that the applicant has not proven himself or herself unworthy of bearing a doctoral title. The certificate of good conduct or proof may not be older than 6 months;
6. a statement from the candidate that she or he has not made, nor will make use of any commercial doctoral consultants or agents;
7. a letter of endorsement from the supervising professor, with the recommendation from the primary assessor or the secondary assessor and another examiner;
8. the electronic version of the dissertation and a declaration of consent from the candidate that the electronic version of the dissertation may be subjected to a separate review while respecting her or his copyright and data privacy;
9. a declaration of consent from the candidate that in the event of suspected scientific misconduct, investigation can take place by the internal university bodies of scientific self-regulation;
10. and if necessary, the applications according to § 24 and § 25.

## **§ 8**

### **Decision on admission to a doctoral project and doctoral examination**

- (1) <sup>1</sup>Admission to a doctoral project is to be refused if the requirements for admission specified in § 4 have not been met. <sup>2</sup>Admission to the doctoral examination shall be refused if



admission to the doctoral project has not been granted, or if the documents required in § 7 are incomplete or if the candidate has proved herself or himself unworthy of a doctoral title due to her or his conduct.

- (2) <sup>1</sup>The doctoral committee shall decide on the candidate's application within three months. <sup>2</sup>The decisions on the admission or refusal of admission to a doctoral project and doctoral examination will be communicated to the candidate in accordance with § 3 para. 4.
- (3) <sup>1</sup>The doctoral candidate may withdraw from the doctorate at any time if no application for admission to the doctoral examination process has yet been submitted. <sup>2</sup>If he or she withdraws from the doctorate at a time when he or she has not yet received a rejection decision on the application for admission to the doctoral examination process, the dissertation is deemed not to have been submitted. <sup>3</sup>If the doctoral candidate withdraws the application for admission after he or she has received a negative decision on the dissertation or after the oral examination has begun, the doctorate is deemed to have ended without success. <sup>4</sup>The dean of the doctoral candidate shall issue a written decision on this matter, which must be substantiated and accompanied by information concerning the right to appeal. <sup>5</sup>Applications in accordance with sentences 1 to 3 shall be addressed to the Dean.

## **§ 9**

### **Dissertation**

- (1) <sup>1</sup>The dissertation must be the candidate's own independent scientific achievement in an engineering field and contribute to the solution of scientific problems. <sup>2</sup>It should lead to new scientific knowledge. <sup>3</sup>It must present the results achieved in an appropriate manner.
- (2) <sup>1</sup>The dissertation must be signed and submitted in typescript; it must be bound, paginated, provided with a table of contents and contain a German and an English summary which provide information on the problem and results. <sup>2</sup>The literature used as well as other resources are to be fully specified; all passages taken either verbatim or in adapted form from publications are to be indicated as such. <sup>3</sup>The cover sheet of the work submitted must be laid out according to the example in Annex 1. <sup>4</sup>The dissertation must also be provided in electronic form to make it convenient to review by faculty members authorised to examine. <sup>5</sup>The review must respect copyright and data privacy.
- (3) <sup>1</sup>The dissertation must be written in German. <sup>2</sup>The doctoral committee can permit the candidate to submit it in a language other than German. <sup>3</sup>In this case, a detailed summary in German is to accompany it.
- (4) <sup>1</sup>Together with the dissertation at least one scientific publication must be submitted, the content of which was solely or mainly contributed by the candidate, and which, after a scientific assessment, has been published in a recognized professional journal, has appeared in another equivalent publication or has been accepted for publication, <sup>2</sup>Justified exceptions from the regulation according to sentence 1 are permitted. <sup>3</sup>The doctoral committee makes the decision on the recognition of the publication or the exception based on quality criteria. <sup>4</sup>These are determined by the Faculty Council on the recommendation of the doctoral committee.

## § 10

### Assessment of the dissertation

- (1) <sup>1</sup>Following admission to the doctoral examination, the doctoral committee immediately appoints two instructors authorised to examine as primary and secondary assessors to assess the dissertation; at least one of them must be a professor of the Faculty of Engineering Science. <sup>2</sup>The supervisor of the work is usually the primary assessor. <sup>3</sup>In the case of doctoral projects that exceed the core area of their subject, an instructor authorised to examine from the other faculty is to be appointed as the secondary assessor or further assessor.
- (2) In the case of doctorates with universities of applied sciences/HAWs (§ 17), the two supervisors of the doctoral thesis of the university and the university of applied sciences/HAW are generally appointed as reviewers on an equal footing.
- (3) <sup>1</sup>Each assessor submits a written assessment on the dissertation within a reasonable time and proposes the acceptance or rejection of the dissertation. Each assessor assesses the dissertation and awards a grade according to the following scheme:
  - very good = 1 = an especially commendable achievement;
  - good = 2 = an achievement above average;
  - satisfactory = 3 = an achievement that meets average requirements;
  - unsatisfactory = 4 = an achievement with considerable shortcomings, as a whole unusable.<sup>3</sup>The use of intermediate grades is permissible:
  - still very good = 1,5
  - and
  - still good = 2,5.<sup>4</sup>In special cases, "an especially excellent achievement" for an award can be proposed (see § 13 para. 2 sentence 4); the assessment of the dissertation in these cases is also based on sentences 2 and 3. <sup>5</sup>The grade of the dissertation is the arithmetic mean of the corresponding individual grades awarded by the assessors.
- (4) <sup>1</sup>The doctoral committee appoints another assessor, who must be a professor, when the primary assessor and the secondary assessor differ in their assessments by more than one grade. <sup>2</sup>The doctoral committee may appoint instructors authorised to examine if an assessor suggests this or if the doctoral committee considers it necessary in order to ensure a proper assessment. <sup>3</sup>Para. 2 applies accordingly.
- (5) <sup>1</sup>The Dean circulates the dissertation and the assessment amongst up to five members of the extended doctoral committee. <sup>2</sup>One copy of the assessment is kept in the Office of the Dean for inspection by the members of the

extended doctoral committee, pending completion of the circulation process of the dissertation and assessment. <sup>3</sup>On request, access to an electronic version of the dissertation will be made available to authorised persons; copyright and data privacy must be respected. <sup>4</sup>Each member of the extended doctoral committee may give a written opinion or request the convening of the extended doctoral committee. <sup>5</sup>If the convening of the extended doctoral committee is not required, the doctoral committee makes a decision after completion of the circulation, which should not take longer than six weeks, taking into account the assessments and possible opinions on the assessments of the dissertation; otherwise the extended doctoral committee makes the decision. <sup>6</sup>If the dissertation is rated as "satisfactory" or better, it is accepted. If it is graded with the grade "unsatisfactory", it is rejected. <sup>7</sup>§ 3 para. 4 applies accordingly.

- (6) <sup>1</sup>If the dissertation is rejected, the candidate may submit a new dissertation within two years of the notification of rejection. <sup>2</sup>Paras. 1 to 4 apply to the subsequent process. <sup>3</sup>If the candidate fails to submit a new dissertation within the period specified in sentence 1 or the new dissertation is rejected, the doctoral process is ended without success. <sup>4</sup>§ 3 para. 4 applies accordingly.
- (7) <sup>1</sup>The doctoral committee or extended doctoral committee can return the dissertation, which would otherwise have to be rejected, to the candidate for revision. <sup>2</sup>The candidate may also submit a new dissertation in place of the revision. <sup>3</sup>She or he must submit the revised or new dissertation within the period specified in para. 6 sentence 1. <sup>4</sup>A revised dissertation is assessed by the assessors appointed for original dissertation if they are still available; moreover para. 1 to 4 apply. <sup>5</sup>If the candidate does not submit the new dissertation or reworked dissertation before the deadline, or the revised or new dissertation is rejected, the doctoral process is ended without success. <sup>6</sup>§ 3 para. 4 apply accordingly.

## § 11

### Board of examiners

- (1) <sup>1</sup>After a reasonable period after acceptance of the dissertation, a scientific colloquium (§ 11) takes place in front of the board of examiners. <sup>2</sup>The board of examiners consists of:
1. a professor, within the sense of article 2 para. 1 sentence 1 no. 1 BayHSchPG, of the Faculty of Engineering Science who is not an assessor, as chairperson,
  2. the assessors,
  3. another instructor authorised to examine within the sense of § 2.

3If an assessor, within the sense of sentence 2 no. 2 is unable to be involved with the continuation of the process, another instructor authorised to examine within the sense of § 2 will be appointed to the board of examiners if fewer than two assessors are thereby participating.

- (2) 1The chairman and the other members of the board of examiners are appointed by the doctoral committee immediately after acceptance of the dissertation. 2The candidate will be informed of the names of the members of the board of examiners.

## **§ 12 Colloquium**

- (1) 1The colloquium is a collegial individual examination. 2It is a scientific debate, which should show whether the candidate has developed further understanding of her or his field of study and related subject areas and is familiar with modern developments in his subject.
- (2) 1The Dean sets the date of the colloquium in consultation with the chair of examiners. 2The members of the board of examiners and the candidate will be invited to the colloquium in writing by the Dean. 3The inviting of the candidate must occur at least fourteen days before the date of the colloquium. 4The doctoral committee can shorten the notice period in agreement with the candidate.
- (3) 1The colloquium will begin with a 20-minute public presentation; the doctoral committee can allow other people to be present as an audience. 2The subsequent scientific discussion lasts about 60 minutes and is not public. 3The colloquium will be chaired by the chair of examiners. 4Members of the doctoral committee and the extended doctoral committee, and other instructors authorised to examine not belonging to the board of examiners can participate in the scientific discussion as listeners. 5Members of the doctoral committee and the extended doctoral committee who are not members of the examination board, as well as other faculty teaching staff authorised to administer examinations, may participate in the scientific discussion as listeners. 6The or the chair of examiners may permit questions from the instructors present on the basis of the provision in sentence 5; he or she shall ensure an appropriate proportion of the members of the examination board in the examination period.
- (4) 1The grading of the colloquium is done by joint debate and is based on the grading scale according to § 10 para 3. 2If the members of the board of examiners agree on a grade then this becomes the grade of the colloquium. 3If they cannot agree, the grade of the colloquium is calculated as the arithmetic mean of the individual grades from the members of the board of examiners 4If a candidate does not achieve

at least the grade "satisfactory" (3,00) in the colloquium, the colloquium is thus failed.

- (5) <sup>1</sup>Minutes regarding the course of the colloquium are to be taken. <sup>2</sup>The minutes must contain information on
1. the date of the colloquium
  2. the names of the chair and the other examiners,
  3. the name of the candidate
  4. the subject of the examination,
  5. the grade of the colloquium.
- <sup>3</sup>The minutes are to be signed by the chairman and the examiners.
- (6) <sup>1</sup>the candidate can repeat the failed colloquium once. <sup>2</sup>The application for a repetition must be submitted to the Dean within one year of being notified of the failure. <sup>3</sup>In very exceptional circumstances the doctoral committee can allow a second repetition of the failed colloquium; such a request of the candidate must be submitted to the Dean within six months of the notification of repeated failure to pass the colloquium. <sup>4</sup>The doctoral process is ended without success if the candidate does not apply for a repetition within the time specified in sentences 2 and 3, or if the doctoral committee does not allow a second repetition of the colloquium, or if the candidate also fails the second repetition of the colloquium. <sup>5</sup>§ 3 para. 4 applies accordingly.
- (7) <sup>1</sup>If the candidate does not appear on the date of the colloquium or withdraws from it after it has started, she or he must submit credible reasons for the absence or withdrawal to the Dean in writing without delay. <sup>3</sup>If the candidate became ill, the Dean may require the submission of a doctor's note or a medical certificate. <sup>3</sup>If the candidate is not responsible for the reasons for her or his absence or withdrawal, the Dean sets a new date in accordance with para. 2. <sup>4</sup>If the candidate does not immediately submit credible reasons for her or his absence or withdrawal, according to sentence 1, or is responsible for the reasons, the doctoral process is deemed to have ended without success. <sup>5</sup>§ 3 para. 4 applies accordingly.

## § 13

### Overall grade of the doctorate

- (1) If the colloquium is passed, the board of examiners determines the final grade of the doctorate.
- (2) <sup>1</sup>The overall grade of the doctorate is calculated by taking the sum of the colloquium grade plus twice the dissertation grade, divided by three. <sup>2</sup>Two decimal places will be considered without rounding. <sup>3</sup>For the overall grade, the following grading scheme applies:  
1,00 to 1,50 = magna cum laude (very good)  
over 1,50 to 2,50 = cum laude (good)  
over 2,50 to 3,00 = rite (satisfactory).  
<sup>4</sup>If
  - all the assessors have assessed the work as "very good" and
  - at least one of the assessors has proposed the work for an award and
  - more than two thirds of the members of the board of examiners have graded the colloquium with 1,0 and
  - more than two thirds of the members of the board of examiners are in favour of an award,the overall grade "summa cum laude (with distinction)" is awarded.
- (3) The overall grade and the grade of the dissertation are to be communicated orally to the candidate following the colloquium by the chairman of the board of examiners.
- (4) <sup>1</sup>The Dean issues the candidate a written provisional certificate regarding the result of passing the exam. <sup>2</sup>This provisional certificate does not entitle one to bear the title of doctor.

## § 14

### Publication of the dissertation

- (1) The candidate must make the final version of the dissertation agreed upon with the supervisor available to the scientific community by reproduction and dissemination.
- (2) For this purpose, the candidate must supply 40 deposit copies, in book form with quality photos, free of charge to the Dean within one year after the issuing of the provisional certificate regarding the result of passing the examination.

- (3) <sup>1</sup>Instead of the deposit copies specified in para. 2, the candidate may, in agreement with the supervisor, ensure the dissemination of the dissertation
- via bookshops using a commercial publisher with a minimum print run of 150 copies or
  - by online publication on a library document server of University of Bayreuth.
- <sup>2</sup>The cover sheet of the work submitted should be laid out according to Annex 2.
- <sup>3</sup>Evidence must be in the form of a certificate from the publisher regarding the number of copies or confirmation from the university library regarding the online publication and six free copies of the publication in book form with quality photos, to the Dean.
- (4) In the case of para. 2, the candidate must transfer the right to the University to make additional copies of, and distribute her or his dissertation.
- (5) The Dean can extend the period for delivery of the deposit copies at the request of the candidate.
- (6) <sup>1</sup>Should the candidate miss the deadline for submission of the deposit copies, all the rights gained by the successful completion of the examination process are forfeited. <sup>2</sup>§ 3 para. 4 applies accordingly.
- (7) In the cases of para. 3, first indent, the Dean can regard the delivery deadline as being met if the publication of the dissertation and the delivery of the deposit copies appears sufficiently assured by a binding declaration of the publisher.

## § 15

### Diploma and completion of the doctorate

- (1) If the requirements specified in § 14 have been fulfilled, the faculty issues a diploma regarding the passing of the doctoral examination.
- (2) If the content of the dissertation relates to an intended patent application, the Dean may, at the request of the candidate or supervisor, decide to delay the publication of the dissertation up to three months without the awarding of the doctorate being affected.
- (3) <sup>1</sup>The certificate confirms the successful doctorate and contains
- the name of the university and the faculty,
  - the first and last names of the doctoral candidate, date and place of birth,
  - the academic degree awarded,
  - the title of the dissertation,
  - the date of the oral examination,
  - the overall title of 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.
- <sup>2</sup>The date of issue of the certificate is the date of the oral examination.
- (4) In the case of doctorates with universities of applied sciences/HAWs (§ 17), the participating university of applied sciences/HAW must also be indicated on the certificate.

- (5) <sup>1</sup>The diploma is issued by the Dean. <sup>2</sup>With the issuing of the diploma the doctorate has been completed; the candidate has thus received the right to bear the doctoral title.

### **Section III: Honorary Doctorate**

#### **§ 16**

##### **Honorary doctorate**

- (1) <sup>1</sup>The honorary doctoral process is initiated on the substantiated request of at least three professors within the sense of article 2 para. 1 sentence 1 no. 1 BayHSchPG of the Faculty of Engineering Science. <sup>2</sup>The request is to be made to the Dean.
- (2) <sup>1</sup>The Faculty Council requests professors of the subject, from which at least three belong to other German universities, to assess the scientific achievement of the person to be honoured. <sup>2</sup>When the assessments become available, the Dean forwards the application and assessments to the members of the Faculty Council and all instructors authorised to examine, within the sense of article 62 para. 1 sentence 2 no. 1 BayHSchG and § 4 sentence 1 HSchPrüferV. <sup>3</sup>They can give a written opinion within one month after receipt of the documents mentioned in sentence 2.
- (3) <sup>1</sup>The Faculty Council decides on the award of honorary doctoral degree. <sup>2</sup>The resolution of the Faculty Council presupposes an application of the extended doctoral committee. <sup>3</sup>It is carried out by taking into account the assessments, any comments made according to para. 2 sentence 3 and the application of the extended doctoral committee.
- (4) <sup>1</sup>The President and Dean make the award of an honorary doctoral degree by presenting a diploma to the individual being honoured. <sup>2</sup>In the diploma, the scientific achievement of the honoured person is to be commended.

### **Section IV: Cooperation with Universities of Applied Sciences**

#### **§ 17**

##### **Cooperation with universities of applied sciences (HAW)**

- (1) The Faculty of Engineering Science of the University of Bayreuth enables the cooperative implementation of doctoral projects with universities of applied sciences/ HAWs and/or cooperative doctorates with Bavarian universities of applied sciences/ HAWs on the basis on the agreement of the Bavarian higher education institutions dated 19 October 2015.
- (2) Within the scope of cooperative doctoral projects, the University of Bayreuth takes the lead.
- (3) Additional provisions can be established via cooperation agreements between the higher education institutions.



## **Section V: Joint Binational Doctorates**

### **§ 18**

#### **General Information**

- (1) <sup>1</sup>The doctoral degree can also be awarded as part of joint supervision with a foreign academic institution (partner institution). <sup>2</sup>This presupposes that
1. an agreement on the cross-border joint supervision of the doctoral project was made with the partner institution and approved by the doctoral committee;
  2. the partner institution has the right to award doctorates under their national law and the academic degrees which they award are recognized within the Higher Education Framework Act;
  3. the candidate fulfils both the requirements for admission to the doctoral process according to these regulations (§§ 4, 7 and 8) and the relevant regulations of the partner institution;
  4. the candidate has been actively involved at each of the institutions for at least 1 year.
- <sup>3</sup>At the request of a member of the doctoral committee, the extended doctoral committee will be consulted regarding the approval of the agreement according to sentence 2, no. 1.
- (2) <sup>1</sup>The dissertation is jointly supervised by a supervisor in accordance with § 6 para. 1 and a member of the partner institute authorised to examine according to their regulations and can be submitted to the Faculty of Engineering Science of the University of Bayreuth, or to the partner institution. <sup>2</sup>The details of the joint supervision result from the agreement according to para. 1 sentence 2 no. 1. <sup>3</sup>A dissertation, which was submitted and adopted or rejected prior to the conclusion of an agreement according to para. 1 sentence 2 no. 3 at one of the participating educational institutions, cannot be the subject of a joint doctoral process.
- (3) The grading of the doctoral work is subject to the stipulations of the institute to which the dissertation is submitted; the other institute grades it with an equivalent grade according to its doctoral regulations.

### **§ 19**

#### **Examination process at the Faculty of Engineering Science of the University of Bayreuth**

- (1) <sup>1</sup>Should the dissertation be submitted to the Faculty of Engineering Science of the University of Bayreuth, §§ 9 and 10 apply for the dissertation and its assessment.

2The supervisor of the dissertation according to § 18 para. 2 sentence 1 should normally be appointed as the assessor.

- (2) 1If the dissertation has been accepted in the process according to § 10, it will be forwarded to the partner institution for approval of the continuation of the doctoral examination. 2If the partner institution grants approval, the oral examination is held in accordance with §§ 11 and 12. 3If the supervisor of the dissertation from the partner institution is not a member of the examination board pursuant to § 11 para. 1 sentence 2 no. 2, his or her appointment as a member of the examination board or the alternate appointment of another member of the partner institution entitled to examine the thesis pursuant to the provisions of § 18 para. 1 sentence 2 no. 1 will be provided for in the agreement pursuant to § 18 para. 1 no. 1.
- (3) 1If the dissertation is accepted at the Faculty of Engineering Science of the University of Bayreuth, but approval for the continuation of the examination has been denied by the partner institution, the joint process is ended; the doctoral examination is continued according to the present doctoral regulations. 2Sentence 1 applies equally if the oral examination is graded as failed by the partner institution.
- (4) The publication of the dissertation and the deposit copies is governed by § 14 and supplementary agreements in accordance with § 18 para. 1 sentence 2 no. 1.

## **§ 20**

### **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 apply to the examination process. 2In accordance with § 18 para. 1 sentence 2 no. 1, the agreement is to cover the following: the appointment of a supervisor, according to § 18 para. 2 sentence 1, of the Faculty of Engineering Science of the University of Bayreuth or, if she or he cannot be involved, another instructor authorised to examine, according to these regulations, of the Faculty of Engineering Science of the University of Bayreuth, as an assessor for the assessment of the dissertation.
- (2) 1If the dissertation is accepted by the partner institution, it is to be forwarded to the Faculty of Engineering Science of the University of Bayreuth for approval of the continuation of the examination. 2§ 10 para. 4 applies accordingly. 3If the Faculty of Engineering Science of the University of Bayreuth approves, the oral examination takes place at the partner institution, in accordance with its provisions. 4In the agreement, in accordance with § 18 para. 1 sentence 2 no. 1, the following is to be covered: in this case, as an examiner, the supervisor, according to § 18 para. 2 sentence 1, of the Faculty of Engineering Science of the University of Bayreuth or, where this is not possible,

as a substitute, another instructor authorised to examine, according to these regulations, of the Faculty of Engineering Science of the University of Bayreuth, must belong to the oral examination examining body.

- (3) <sup>1</sup>If the dissertation is accepted at the partner institution, however, the Faculty of Engineering Science of the University of Bayreuth refuses approval for the continuation of the examination, the joint process is ended. <sup>2</sup>The doctoral examination can be continued according to the provisions of the partner institution. <sup>3</sup>Sentences 1 and 2 apply *mutatis mutandis* when the oral examination is graded as failed by the Faculty of Engineering Science of the University of Bayreuth.
- (4) <sup>1</sup>The partner institution's governing provisions apply for the publication of the dissertation and the deposit copies. <sup>2</sup>The agreement, according to § 18 para. 1 sentence 2 no. 1, also specifies how many copies are to be made available to the Faculty of Engineering at the University of Bayreuth; alternatively, a publication of the dissertation analogous to § 14 para. 3 sentences 1 and 3 can be agreed. <sup>3</sup>In any case, a copy of the dissertation is kept in the examination file. <sup>4</sup>The issuing of the doctoral diploma according to § 21, is to be made dependent on the fulfilment of delivery obligations.

## **§ 21**

### **Joint diploma**

- (1) <sup>1</sup>Following the successful completion of a joint doctoral process, the Faculty of Engineering Science of the University of Bayreuth and the partner institution issue a joint diploma awarding the doctoral degree, from which it is apparent that the doctorate was accomplished under joint supervision. <sup>2</sup>The diploma bears the signatures and seals that are required by the provisions of these doctoral regulations and the provisions of the partner institution.
- (2) The joint doctoral diploma states that the graduate is entitled to bear the title of doctor in Germany according to § 1 para. 1, and the title of doctor awarded in the foreign country.
- (3) <sup>1</sup>Further details about the layout of the diploma are regulated by the agreement according to § 18 para. 1 sentence 2 no. 1. <sup>2</sup>The grade equivalency is also to be based on this agreement. <sup>3</sup>On the joint doctorate certificate, the equivalent foreign grade should be listed with appropriate identification.

## **Section VI: Further regulations, transitional and final provisions**

### **§ 22**

#### **Invalidity of the doctoral work**

- (1) If, prior to the issuing of the certificate, it becomes known that the candidate has cheated in the doctoral process, the doctoral committee declares all previously acquired rights as invalid and ends the process.
- (2) <sup>1</sup>If the cheating only comes to light after the issuing of the diploma, the doctoral committee can subsequently declare the doctoral examination as failed. <sup>2</sup>The revocation of a doctoral degree is subject to the legal regulations (article 48 Bavarian Administrative Processs Act – BayVwVfG – as amended). <sup>3</sup>The person concerned must be given an opportunity to comment before a decision is taken (article 28 BayVwVfG). <sup>4</sup>With respect to the determination, form and grounds of the decision, the regulations regarding the administrative acts (article 35 ff. BayVwVfG) must be observed.
- (3) <sup>1</sup>Upon suspicion of scientific misconduct, the doctoral committee only takes a decision after the Commission on Self-Regulation in Science has submitted its report. <sup>2</sup>If the doctoral committee, in special cases, has already decided in advance, further consideration is not affected by the Commission on Self-Regulation in Science. <sup>3</sup>A willingness to give up entitlement to a doctoral degree does not affect the initiation and continuation of the process according to sentences 1 and 2.
- (4) In the case of failure of the doctoral examination in accordance with para. 2 sentence 1, the doctoral diploma is to be revoked.
- (5) Moreover, the revoking of the doctoral degree is carried out according to article 69 BayHSchG in conjunction with the relevant regulations of the BayVwVfG.

### **§ 23**

#### **Right to inspect**

<sup>1</sup>After completion of the doctorate, the candidate may inspect her or his doctoral file. <sup>2</sup>The Dean determines the time and place of the inspection. <sup>3</sup>The request must be made to the Dean of the Faculty of Engineering Science within one month of receiving the notice mentioned in § 13 para 4 or after failing the doctoral examination process. <sup>5</sup>The inspection process, as in other cases in which access is requested, is based on article 29 ff. BayVwVfG.

## **§ 24**

### **Consideration of special life situations**

- (1) <sup>1</sup>On request, the use of protection periods in the application of dates and deadlines must be ensured. The following sections of laws are relevant: §§ 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 close relatives 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 pp. 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) of 26 May 1994 (Federal law Gazette I, p. 1014, 1015) in the current applicable version. <sup>2</sup>The relevant documents are to be presented; changes in the conditions are to be notified immediately.
- (2) <sup>1</sup>In the calculation of periods, any 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. <sup>2</sup>The relevant documents are to be presented; in case of sickness medical certificates are to be submitted. <sup>3</sup>Changes in the conditions are to be disclosed immediately.

## **§ 25**

### **Consideration of the special needs of disabled persons**

<sup>1</sup>In order to safeguard their equal opportunities, due regard is to be given to the special situation of disabled candidates. <sup>2</sup>The doctoral committee shall, upon the written request of the candidate, according to the severity of the proven disability, either decide in what form a disabled candidate shall undergo examination or grant a working time extension or some other disadvantage compensation. <sup>3</sup>Proof of disability with regard to examination is to be presented by the candidates in the form of a medical certificate which indicates that she or he is unable, because of a prolonged or permanent disability, to take the examination wholly or partially in the normal form. <sup>4</sup>The application must accompany the application for admission to a doctorate. <sup>5</sup>If the application is submitted later, it only applies for future examinations.

## § 26

### Coming into effect, transitional arrangements

- (1) These doctoral regulations will enter into force on 16 September 2017; at the same time, the doctoral regulations for the Faculty of Engineering dated 25 July 2014 will expire.
- (2) Doctoral students who submitted an application for admission to the doctoral process within the meaning of § 6 of the Doctoral Regulations for the Faculty of Engineering at the University of Bayreuth dated 25 July 2014 (AB UBT 2014/038) prior to the entry into force of this doctoral regulation will continue to be subject to the provisions of those doctoral regulations until the end of their doctoral process.
- (3) Doctoral students who submitted an application for admission to the doctoral process within the meaning of § 4 of the Doctoral Regulations for the Faculty of Engineering at the University of Bayreuth dated 5 August 2013 (AB UBT 2013/025) prior to the entry into force of this doctoral regulation will continue to be subject to the provisions of those doctoral regulations until the end of their doctoral process.
- (4) Doctoral students who have submitted an application for admission to the doctoral process within the meaning of § 6 or for admission to the doctoral aptitude assessment process in accordance with § 5 of the Doctoral Regulations for the Faculty of Applied Sciences of the University of Bayreuth dated 15 January 2008 (AB UBT 2008/009) in the version of the collective amendments dated 5 July 2011 (AB UBT 2011/032) prior to the entry into force of this doctoral regulation will continue to be subject to those regulations until the completion of their doctoral process.
- (5) Applicants who have already received the agreement of a supervisor prior to the entry into force of these doctoral regulations shall be subject to the present regulations with the following provisions:
  - the supervisor's agreement replaces the supervisory agreement to be concluded pursuant to § 6 para 2 or 3 of the present regulations
  - doctoral students who complete their doctorate in accordance with paragraphs 2 to 5 are registered online in accordance with § 4 para 3, and their personal data are collected and processed under the conditions of § 5.

Anlage 1

## (Titel der Dissertation)

Der Fakultät für Ingenieurwissenschaften  
der Universität Bayreuth  
zur Erlangung der Würde einer/eines<sup>1</sup>  
Doktor-Ingenieurin/Ingenieur<sup>1</sup> (Dr.-Ing.)  
vorgelegte Dissertation

von

*(Akademischer Grad) (Name)*

aus

*(Geburtsort)*

Erstgutachterin/Erstgutachter<sup>1</sup>: *(Name der Erstgutachterin/des Erstgutachters) \**

Zweitgutachterin/Zweitgutachter<sup>1</sup>: *(Name der Zweitgutachterin/des Zweitgutachters) \**

Lehrstuhl *(Name des Lehrstuhls)*

Universität Bayreuth

*(Jahr)*

<sup>1</sup>) Nichtzutreffende männliche oder weibliche Form löschen

<sup>\*</sup>) Die Gutachterinnen und Gutachter werden - auf Vorschlag der betreuenden Professorin oder des betreuenden Professors - von der Promotionskommission bestellt; bei Beantragung der Zulassung zum Promotionsprüfungsverfahren deshalb keine Namen nennen.

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**Anlage 2**

**(Titel der Dissertation)**

Von der Fakultät für Ingenieurwissenschaften  
der Universität Bayreuth  
zur Erlangung der Würde einer/eines<sup>1</sup>  
Doktor-Ingenieurin/Ingenieur<sup>1</sup> (Dr.-Ing.)  
genehmigte Dissertation

von

*(Akademischer Grad) (Name)*

aus

*(Geburtsort)*

Erstgutachterin/Erstgutachter<sup>1</sup>: *(Name der Erstgutachterin/des Erstgutachters)*

Zweitgutachterin/Zweitgutachter<sup>1</sup>: *(Name der Zweitgutachterin/des Zweitgutachters)*

Tag der mündlichen Prüfung: *(Tag. Monat. Jahr)*

Lehrstuhl *(Name des Lehrstuhls)*

Universität Bayreuth

*(Jahr des Erscheinens)*

<sup>1</sup>) Nichtzutreffende männliche oder weibliche Form löschen

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Issued on the basis of the decision by the Senate of the University of Bayreuth on 24 May 2017 and the approval of the President of the University of Bayreuth on 14 September 2017 Az. A 3524 – AL I.

[*university seal*]

Bayreuth, 15 September 2017

UNIVERSITY OF  
BAYREUTH  
THE PRESIDENT

[*signature illegible*]  
Professor Dr. Stefan Leible

These regulations were laid down on 15 September 2017 in the university, which was announced on 15 September 2017 by a notice at the university. The date of the announcement is the 15 September 2017.