



## **Doctoral Regulations for the Bayreuth Graduate School of Mathematical and Natural Sciences (BayNAT) dated 25 January 2021**

Article 13 para 1 sentence 2 in conjunction with Article 64 para 1 sentence 5 of the Bavarian Higher Education Act (*BayHSchG*) forms the basis for the following doctoral regulations for the Bayreuth Graduate School of Mathematical and Natural Sciences issued by the University of Bayreuth.

## Contents

Section I: General provisions.....	3
§ 1 Doctoral degree.....	3
§ 2 Examination authorization .....	3
§ 3 Implementation of the doctoral processes in the doctoral programmes.....	4
Section II: The ordinary doctorate.....	4
§ 4 Application for acceptance for doctoral research.....	4
§ 5 Statistical requirements.....	5
§ 6 Mentors.....	6
§ 7 Doctoral aptitude assessment.....	6
§ 8 Supervision and supervisory agreement.....	8
§ 9 Application for admission to the doctoral examination process.....	8
§ 10 Decision on acceptance for doctoral studies and admission to the doctoral examination process.	9
§ 11 Withdrawal.....	10
§ 12 Dissertation.....	10
§ 13 Assessment of the dissertation.....	10
§ 14 Board of examiners .....	12
§ 15 Colloquium .....	13
§ 16 Final grade of the doctorate .....	15
§ 17 Publication of the dissertation.....	16
§ 18 Diploma and completion of the doctorate .....	18
Section III: Honorary doctorate .....	18
§ 19 Honorary doctorate .....	18
Section IV: Cooperation with universities of applied sciences (HAWs) .....	20
§ 20 Cooperation with universities of applied sciences (HAWs) .....	20
Section V: Binational doctorates.....	20
§ 21 General information .....	20
§ 22 Examination process conducted by BayNAT at the University of Bayreuth.....	21
§ 23 Examination process at the partner institution.....	21
§ 24 Joint diploma .....	23
Section VI: Other provisions, entry into force and transitional provisions.....	24
§ 25 Invalidating the doctorate.....	24
§ 26 Access to examination documents.....	25
§ 27 Consideration of extenuating life circumstances .....	25
§ 28 Consideration of the special needs of disabled persons.....	25
§ 29 Effective date, transitional provisions .....	25

## **Section I: General provisions**

### **§ 1 Doctoral degree**

- (1) <sup>1</sup>The University of Bayreuth, by way of BayNAT, confers the academic degree of Doktor der Naturwissenschaften (Dr. rer. nat.). <sup>2</sup>The degree may be awarded either as “Doktorin” or “Doktor”. <sup>3</sup>The abbreviated form remains unchanged.
- (2) According to Art. 64 para 1 BayHSchG, the doctorate serves as proof of an independent academic achievement, which must go considerably beyond the achievements required in § 4 for acceptance to the doctorate.
- (3) The doctoral performance consists of a scientific paper (dissertation) written by the doctoral researcher, an oral examination (colloquium) and the successful completion of the courses specified in the BayNAT regulations for the individual doctoral programmes, documented by the acquisition of credit points.
- (4) <sup>1</sup>The University of Bayreuth, by way of BayNAT awards the honorary degree of “Doktor der Naturwissenschaften ehrenhalber” (Dr. rer. nat. h. c.) in accordance with § 19 as a rare distinction to individuals who have rendered outstanding scientific services. <sup>2</sup>Para 1 sentences 2 and 3 apply *mutatis mutandis*.

### **§ 2 Examination authorization**

<sup>1</sup>According to the present doctoral regulations, instructors entitled to administer examinations are those university lecturers within the meaning of Art. 2 para 3 sentence 1 BayHSchPG, professors who have been released from their duties, retired professors (cf. Art. 13 BayHSchPG), and other instructors entitled to administer examinations in accordance with § 4 HSchPrüferV who belong to BayNAT. <sup>2</sup>The decision as to whether a justified case according to § 4 sentence 3 HSchPrüferV exists shall be made by the director in consultation with the governing body of the doctoral programme concerned. <sup>3</sup>Instructors from other faculties of the University of Bayreuth or from other German or foreign universities may also be appointed as examiners by the director, provided that they fulfil the qualification requirements specified in Art. 62 para 1 BayHSchG in conjunction with § 4 HSchPrüferV or equivalent requirements. <sup>4</sup>The assessment of equivalence is the responsibility of the director. <sup>4</sup>In addition, § 20 applies to doctoral degrees awarded jointly with universities of applied science/HAWs, and Section V applies in the context of binational doctorates.

### **§ 3 Implementation of the doctoral processes in the doctoral programmes**

- (1) The governing body of the respective doctoral programme is responsible for the acceptance for doctoral research and conducting the doctoral examination process on behalf of the director of the graduate school, unless otherwise stipulated in the present doctoral regulations.
- (2) <sup>1</sup>The governing body of the respective doctoral programme shall perform the tasks of a doctoral committee. <sup>2</sup>The director of BayNAT is entitled to participate in the meetings of the governing bodies.
- (3) <sup>1</sup>The decisions of the governing body shall be communicated in writing to the applicant, the doctoral researcher by the director or his/her deputy. <sup>2</sup>Notices of denial are to include a rationale and information on how to appeal.
- (4) Exclusion due to personal involvement is based on Art. 41 para 2 BayHSchG, taking into account Art. 20 and Art. 21 BayVwVfG.

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

### **§ 4 Application for acceptance for doctoral research**

- (1) In order to be accepted for doctoral research, the applicant must fulfil the following requirements:
  1. They must have completed a higher education degree programme related to the subject of the relevant doctoral programme; the standard degree is the university *Diplom* or *Magister* examination, the master's examination, or the first state examination to teach at a *Gymnasium*. The governing body of a doctoral programme may also recognize other degrees and degrees in related subjects as sufficient prerequisites for the doctorate and may require additional coursework as appropriate. It also decides on the recognition of foreign degrees. In these cases, the doctoral committee makes decisions according to the principle of equivalence, taking into account Art. 63 BayHSchG. The Central Office for Foreign Educational Credentials ("Zentralstelle für ausländisches Bildungswesen") may be contacted if there is doubt concerning equivalency. The requirement according to sentence 1 is considered to be fulfilled if the applicant has passed the doctoral aptitude assessment according to § 7.
  2. He/she must not have failed this or any other similar doctoral examination on the final attempt.
  3. The applicant must have concluded a supervisory agreement in accordance with § 8 with an instructor authorized to administer examinations in accordance with § 2 sentence 1; there is no entitlement to the conclusion of a supervisory agreement.

4. He or she must not have shown himself or herself to be unworthy of holding a doctoral degree by his or her conduct.
  5. He or she must not have already been accepted to a different BayNAT doctoral programme or any other doctoral programme with the same emphasis (§ 4 para 1 number 5).
- (2) <sup>1</sup>Fast track admission: As an alternative to para 1 number 1, acceptance for doctoral research can also be applied for if the candidate has completed a university course of studies related to the doctoral programme with a performance that is far above average and has acquired at least 27 credit points in a master's course of studies at the University of Bayreuth related to the doctoral programme at the time of application. <sup>2</sup>Acceptance for doctoral research in the fast-track procedure must be applied for in writing by the candidate and a teacher authorized to conduct examinations in accordance with § 2 of these regulations to the governing body of the relevant doctoral programme. <sup>3</sup>It may be made dependent on the completion of additional components. <sup>4</sup>For fast-track admission, an aptitude assessment process must be completed, as governed by the regulations of the individual doctoral programmes. <sup>5</sup>By the time of admission to the doctoral examination process, 60 credit points must have been earned from the master's programme. <sup>6</sup>The acquisition of the academic degree "Master of Science" is governed by the examination regulations of the respective master's programme of the faculties participating in the Bayreuth Graduate School of Natural Sciences (BayNAT).
- (3) <sup>1</sup>Applications for acceptance for doctoral research, including admission to a doctoral programme, must be made in writing to the chairperson of the relevant governing body. <sup>2</sup>The application is to be accompanied by the documents required to prove the prerequisites specified in para 1. <sup>3</sup>With the application, the applicant must register online and the Dean's Office of Faculty I or II of the University of Bayreuth confirms registration as an applicant in BayNAT.
- (4) The doctorate begins with the receipt of the written confirmation of acceptance as a doctoral researcher sent by the director of BayNAT.

## **§ 5 Statistical requirements**

- (1) <sup>1</sup>With the application for acceptance for doctoral studies, personal data of the doctoral researcher will be collected, automatically stored, and processed by the responsible faculty in accordance with the survey characteristics regulated in § 5 of the Higher Education Statistics Act (HStatG) dated 2 November 1990 (as amended) for the purpose of fulfilling the legal duties as well as for the purpose of legislation and planning in the higher education sector in accordance with § 1 (1) 1 and 2 of the Higher Education Statistics Act in the context of doctoral studies. <sup>2</sup>In this respect, the applicant is obligated to cooperate and to provide personal data (Art. 10 para 2 sentence 3 BayHSchG).

- (2) <sup>1</sup>Regular transmission or forwarding to the Bavarian State Office for Statistics is carried out with regard to the survey characteristics of the Higher Education Statistics Act of 2 November 1990 as well as 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 Art. 10 BayHSchG.

## **§ 6 Mentors**

- (1) <sup>1</sup>The director shall appoint a panel of mentors, usually consisting of three members, for each doctoral researcher. <sup>2</sup>At least one lecturer of the graduate school according to Art. 2 para 1 No. 1 BayHSchPG belong to the panel of mentors. <sup>3</sup>An external mentor may be appointed upon request; the director decides on his/her admission. <sup>4</sup>As a rule, the chairperson is the lecturer with whom the supervisory agreement was concluded in accordance with § 8. <sup>5</sup>If a member of the panel of mentors is no longer able to supervise the thesis, the director shall appoint a substitute member upon the proposal of the governing body of the relevant doctoral programme.
- (2) <sup>1</sup>The task of the panel of mentors is to advise the doctoral researcher with regard to research, in the selection of courses and possible stays abroad, and to make suggestions for the recognition of achievements in accordance with the regulations in the doctoral programme. <sup>2</sup>The panel of mentors meets regularly with the doctoral researcher for this purpose.

## **§ 6 Doctoral aptitude assessment**

- (1) Unless otherwise stipulated in the regulations of the doctoral programme in question, admission to the doctoral aptitude assessment requires that the applicant does not fulfil the prerequisites specified in § 4 para 1 no. 1 and
1. he or she has completed a relevant *Diplom* or *Magister* programme at a university of applied science with an overall grade of at least 2,0 or a relevant bachelor's programme at a university or 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 has been assessed with the grade "very good",
  3. he or she has not yet undergone a relevant doctoral aptitude assessment or a comparable examination at another German higher education institution without success,
  4. a counselling interview has taken place with the applicant, which is conducted and recorded by an instructor authorized to administer examinations who was appointed by the governing body.

- (2) <sup>1</sup>The application for admission to the doctoral aptitude assessment must be submitted in writing to the chairperson of the governing body. <sup>2</sup>The applicant must enclose the following documents with the application:
1. proof of meeting the admission requirements specified in para 1 numbers 1, 2, and 4;
  2. a statement as to whether he/she has already taken a doctoral aptitude assessment or a comparable examination at another higher education institution.
- <sup>3</sup>In addition, the applicant may submit further documents that can be used to prove subject-related qualifications beyond the academic degrees.
- (3) <sup>1</sup>The governing body of the respective doctoral program shall decide on admission to the doctoral aptitude assessment. <sup>2</sup>Admission is to be refused if
1. the admission requirements stipulated in para 1 are not fulfilled, or
  2. the applicant has shown himself/herself to be unworthy of holding the doctoral degree due to his/her conduct, or
  3. the applicant does not submit the documents and declarations mentioned in para 2 sentence 2 in full.
- (4) In the doctoral aptitude assessment, the applicant must prove that he/she has the subject knowledge and scientific aptitude required for a doctorate.
- (5) <sup>1</sup>If no other provisions have been stipulated in the regulations of the doctoral programme concerned, the doctoral aptitude assessment shall consist of an oral examination of approximately one hour before an examination board. <sup>2</sup>The examination board shall be composed of three faculty members of the respective doctoral programme who are authorized to administer examinations. <sup>3</sup>The chairperson of the governing body of the doctoral programme appoints the examination board and appoints an examiner as chairperson. <sup>4</sup>He/she shall set the date of the examination and invite the members of the examination board and the applicant to the appointment with a notice period of one week. <sup>5</sup>§ 15 para 7 applies *mutatis mutandis*.
- (6) <sup>1</sup>No grades are awarded in the doctoral aptitude assessment. <sup>2</sup>The examination board will determine whether the applicant's performance meets the requirements according to para 4. <sup>3</sup>If the performance does not meet these requirements, the doctoral aptitude assessment is failed. <sup>4</sup>Minutes are taken of the examination and signed by the chairperson and the examiners. <sup>2</sup>§ 10 para 2 sentence 2 applies *mutatis mutandis*.
- (7) <sup>1</sup>Any doctoral aptitude assessment that was failed on the first attempt can be repeated once. <sup>2</sup>The application for admission to the re-examination must be submitted within one year after notification of the failure of the examination, unless the director of the governing body grants the applicant a period of grace due to special reasons for which he/she is not responsible.

- (8) After successfully passing the aptitude assessment and fulfilling the requirements according to § 4 para 1 numbers 2 to 5 of the present regulations, the applicant receives written confirmation of acceptance for doctoral studies from BayNAT.

### **§ 8 Supervision and supervisory agreement**

- (1) <sup>1</sup>The doctorate is supervised by an instructor authorized to administer examinations. <sup>2</sup>The latter and the applicant shall set out the key points of the doctoral relationship in a written supervisory agreement.
- (2) <sup>1</sup>If the supervisor leaves the group of persons according to § 2 sentence 1, he/she can continue the supervision for up to two years after his/her departure if he/she remains entitled to administer examinations under the conditions of Art. 62 para 1 BayHSchG in conjunction with § 4 HSchPrüferV. <sup>2</sup>The director of BayNAT may extend the period given in sentence 1 by a maximum of two years if there are important reasons for doing so.
- (3) If the supervisor of a doctorate can no longer continue supervising it, the governing body of the doctoral programme will ensure that the doctorate continues to be supervised as far as possible.
- (4) <sup>1</sup>In the case of doctorates with universities of applied science/HAWs (§ 20), the dissertation is supervised equally by the participating teaching staff of the university of applied science/HAW and the university who are authorized to administer examinations, and the supervisory agreement is concluded jointly between them and the doctoral researcher. <sup>2</sup>Para 1 and para 2 apply *mutatis mutandis*.

### **§ 9 Application for admission to the doctoral examination process**

<sup>1</sup>Admission to the doctoral examination process must be applied for in writing to the director of BayNAT and presupposes acceptance as a doctoral researcher. <sup>2</sup>The request must include:

1. six identical copies of the dissertation, which must meet the requirements according to § 12,
2. a German and an English abstract of no more than 800 words, with the title in a form specified by the director of BayNAT and suitable for electronic delivery,
3. an affirmation in lieu of an oath that the doctoral researcher has written the thesis independently and has not used any sources or aids other than those indicated by him/her (cf. Art. 64 para 1 sentence 6 BayHSchG) as well as an updated declaration that he/she has not yet submitted the thesis for the award of an academic degree and that he/she has not yet failed this or a similar doctoral examination on the final attempt,



4. a declaration that the assistance of commercial doctoral consultants or 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 researcher providing information in particular about his/her educational background,
6. and an official certificate of good conduct. In the case of foreign citizens, a certificate recognized as equivalent by the University of Bayreuth must be submitted. This can be an extract from the criminal record from one's home country, a certificate of good conduct, or a comparable document. If the doctoral researcher is enrolled or is a public servant, the certificate of good conduct may be waived.
7. the electronic version of the dissertation as well as a declaration of consent by the doctoral researcher that the electronic version of the dissertation may be subjected to a separate review while safeguarding his/her copyright and data protection;
8. a declaration of consent by the doctoral researcher that in the event of suspected scientific misconduct investigations may be carried out by internal university bodies of academic self-regulation;
9. proof of the achievements specified in the regulations of the respective doctoral programme;
10. proof of any additional components to be completed in accordance with § 4 para 1 number 1.

## **§ 10 Decision on acceptance for doctoral studies and admission to the doctoral examination process**

- (1) Acceptance for doctoral studies is to be refused if the requirements specified in § 4 para 1 are not fulfilled.
- (2) Admission to the doctoral examination process is to be refused if
  1. acceptance for doctoral studies has not been granted or
  2. the documents required under § 9 are incomplete, or
  3. the applicant has shown himself/herself to be unworthy of holding the doctoral degree due to his/her conduct, or
- (3)<sup>1</sup>The governing body should decide on the applications of the applicant/doctoral researcher within one month. <sup>2</sup>The decisions on the applications for acceptance for doctoral studies and for admission to the doctoral examination process are communicated to the applicant/doctoral researcher in accordance with § 3 para 3. <sup>3</sup>In the doctoral examination process, the chairperson of the governing body should ensure that the period between the application for admission to the doctoral examination process and the final colloquium does not exceed four months.

## **§ 11 Withdrawal**

<sup>1</sup>The doctoral researcher may withdraw from the doctorate at any time, provided that no application for admission to the doctoral examination process has been submitted. <sup>2</sup>The request for withdrawal must be submitted in writing to the director of BayNAT. <sup>3</sup>The director shall inform the mentors of having received the request and give them the opportunity to comment within a period of two weeks. <sup>4</sup>Upon confirmation of the request by the director after the expiry of this period, the supervisory agreement shall be deemed to have been terminated.

## **§ 12 Dissertation**

(1) <sup>1</sup>The dissertation must represent the doctoral researcher's independent academic achievement and contribute to solving scholarly questions. <sup>2</sup>It should lead to new scientific knowledge. <sup>3</sup>It must present the results achieved in an appropriate form.

(2) <sup>1</sup>The dissertation must be signed and submitted in typescript; it must be bound, paginated, and provided with a table of contents and contain a German and English abstract of no more than 800 words providing information on the problem and results. <sup>2</sup>The literature used as well as any other aids are to be stated in full; passages taken verbatim or almost verbatim from the literature are to be identified. <sup>3</sup>The title page must state the title of the dissertation, that it is a dissertation, and the name and place of birth of the doctoral researcher. <sup>4</sup>The governing bodies of the doctoral programmes may make additional recommendations for the design of the title pages of the dissertations of their programme. <sup>5</sup>The dissertation must also be submitted in an electronic version, the form of which is specified by the director of BayNAT.

(3) If an already published work is submitted as a dissertation, the corresponding number of copies of the printed work may be used instead of the typed copies.

(4) <sup>1</sup>Several individual works by a doctoral researcher can also be combined into one dissertation (cumulative dissertation). <sup>2</sup>In this case, a detailed summary of the link between the individual works and the doctoral researcher's own contribution should be provided. <sup>3</sup>The decision as to whether a cumulative dissertation is deemed suitable shall be taken by the governing body of the doctoral programme. <sup>4</sup>The regulations of the doctoral programmes may specify the requirements.

<sup>1</sup>The dissertation may be written in German or English. <sup>2</sup>In the case of a cumulative dissertations, publications in either language are permitted.

## **§ 13 Assessment of the dissertation**

(1) <sup>1</sup>After admission to the doctoral examination process, the director of BayNAT, on the recommendation of the governing body of the doctoral programme, will immediately appoint at least two

lecturers authorized to administer examinations to be reviewers for the evaluation of the dissertation. <sup>2</sup>One of the reviewers must be an instructor of the relevant doctoral programme authorized to administer examinations and at least one reviewer must be a professor in the sense of Art. 2 para 1 sentence 1 number 1 BayHSchPG, who is authorized to administer examinations according to § 2. <sup>3</sup>In the case of doctorates with universities of applied sciences/HAWs (§ 20), the two equal supervisors of the university of applied sciences and the university are generally appointed as reviewers.

(2) <sup>1</sup>As a rule, each reviewer submits a written review of the dissertation within one month, but no later than two months after admission to the doctoral examination process, and proposes to the director that the dissertation be accepted or rejected. <sup>2</sup>Each reviewer evaluates the dissertation and awards a grade according to the following scheme:

*sehr gut* [very good] = 1 = particularly commendable work;

*gut* [good]= 2= above-average work;

*befriedigend* [satisfactory]= 3= work that meets the average requirements;

*unzulänglich* [unsatisfactory]= 4= work suffering from significant deficiencies, which is no longer usable overall.

<sup>3</sup>The use of the intermediate grades 1.3, 1.7, 2.3, 2.7 is permitted.

<sup>4</sup>In special cases, the predicate

*ausgezeichnet* [excellent] = very outstanding work

may be awarded. <sup>5</sup>When calculating the grade, this predicate is used with the value 0.

(3) <sup>1</sup>The director of BayNAT appoints an additional reviewer at the suggestion of the governing body of the doctoral programme if the reviews differ by more than one grade. <sup>2</sup>The same applies if a reviewer proposes the appointment of an additional reviewer. <sup>3</sup>If the dissertation was reviewed by several supervisors, the director appoints an additional reviewer. <sup>4</sup>If the dissertation has been assessed with the overall grade "excellent", the director may appoint a further reviewer at the suggestion of the governing body of the relevant doctoral programme.

(4) The director may appoint additional reviewers at any time during the process in consultation with the governing body of the relevant doctoral programme.

(5) <sup>1</sup>The director informs the member of the graduate school authorized to administer examinations in an appropriate manner about the receipt of the reviews and the grades of the reviewers. <sup>2</sup>The abstract of the dissertation is sent with the notification. <sup>3</sup>Upon justified request, the electronic version of the dissertation will be sent after consultation with the signatories of the supervisory agreement, whereby copyrights and data protection must be respected. <sup>4</sup>The director shall make the dissertation and the reviewers' reports available for inspection by the members of the graduate school for two weeks in the dean's office of the faculty that is responsible for the doctoral programme. <sup>5</sup>They may submit a written statement to the director or raise an objection to the doctorate within the display period. <sup>6</sup>The governing body of the relevant doctoral programme

shall deliberate on comments and objections received in due time. <sup>7</sup>It will give the doctoral researcher and the supervisor the opportunity to comment. <sup>8</sup>Afterwards, it can either unanimously reject the objections, or it can return the dissertation for reworking, or it can obtain one or more further reviews via the director.

(6) <sup>1</sup>If the dissertation is proposed for acceptance by all reviewers and has not been returned by the governing body for revision, it is accepted. <sup>2</sup>If it is rejected by all reviewers, it is rejected. <sup>3</sup>If there is no unanimity among the reviewers on the acceptance or rejection of the dissertation, the decision will be made by the governing body. <sup>4</sup>In the evaluation of the dissertation, the arithmetic mean of the individual grades awarded in the reviews is calculated and only the first decimal place is taken into account without rounding. <sup>5</sup>If this results in an overall grade of less than 3 for an accepted dissertation, the dissertation will be graded 3.

(7) <sup>1</sup>If the dissertation is rejected, the doctoral researcher may submit a new dissertation within two years of the announcement of rejection. <sup>2</sup>Paragraphs 1 to 6 shall apply to the further procedure. <sup>3</sup>If the doctoral researcher does not submit a new dissertation within the period specified in sentence 1 or if the new dissertation is also rejected, the doctoral examination process is terminated without success. <sup>4</sup>§ 10 para 3 sentence 2 applies *mutatis mutandis*. <sup>5</sup>The governing body may return a dissertation to the doctoral researcher for revision if it should be rejected. <sup>6</sup>In this case, the doctoral researcher may also submit a new dissertation instead of the revision. <sup>7</sup>He or she must submit the revised or new dissertation within the period specified in para 7 sentence 1. <sup>8</sup>A revised dissertation will be assessed by the reviewers appointed for the original dissertation, insofar as they are still available; in all other respects, paragraphs 1 - 6 apply. <sup>9</sup>If the doctoral researcher does not submit the revised or the new dissertation in due time or if the revised or the new dissertation is also rejected, the doctoral examination process is terminated without success. <sup>10</sup>§ 10 para 3 sentence 2 applies *mutatis mutandis*.

(8) <sup>1</sup>If the reviewers or the members of the governing body of the relevant doctoral programme identify deficiencies in the dissertation that do not justify rejection of the work, the doctoral researcher may be required to make appropriate corrections. <sup>2</sup>When the deposit copies is submitted, the reviewers confirm that the corrections have been made.

## § 14 Board of examiners

<sup>1</sup>Within a reasonable period of time after acceptance of the dissertation in accordance with § 13 para 6 of the present regulations, a scientific colloquium (§ 15) will take place before the board of examiners. <sup>2</sup>The board of examiners consists of:

1. a BayNAT lecturer authorized to administer examinations, who may not be a reviewer, as chairperson,
2. the reviewers, whereby reviewers within the meaning of § 13 para 3 and 4 are free to participate in the colloquium,

3. at least one other instructor authorized to administer examinations within the meaning of § 2.

<sup>3</sup>If a reviewer within the meaning of sentence 2 number 2<sup>is</sup> prevented from taking part in the rest of the process, then, if this results in fewer than two reviewers taking part, an instructor authorized to administer examinations within the meaning of § 2 will be appointed as a member of the board of examiners in his/her place.

<sup>(2)</sup><sup>1</sup>The chairperson and the other members of the board of examiners are appointed by the director on the recommendation of the governing body immediately after admission to the doctoral examination process. <sup>2</sup>The doctoral researcher will be informed in writing of the composition of the board of examiners.

## § 15 Colloquium

(1) The colloquium is a scientific discussion about the dissertation and related subject areas.

(2) <sup>1</sup>The director determines the date of the colloquium in consultation with the chair of examiners. <sup>2</sup>The doctoral researcher and the members of the board of examiners are to be invited in writing at least fourteen days before the start of the colloquium. <sup>3</sup>The governing body may shorten this deadline in agreement with the doctoral researcher.

<sup>1</sup>The colloquium lasts at least sixty, but no more than one hundred and twenty minutes and is open to the all members of the University. <sup>2</sup>It is held in German or English. <sup>3</sup>The colloquium is divided into a presentation on the dissertation of approx. 20 minutes up to a maximum of 30 minutes and a scientific discussion. <sup>4</sup>The colloquium is chaired by the chair of examiners. <sup>5</sup>In addition to the members of the board of examiners, all instructors authorized to administer examinations within the meaning of § 2 will be invited to the colloquium. <sup>6</sup>The doctoral researcher may decide within one week after the summons that the public is to be excluded. <sup>7</sup>The supervisor according to § 8 may request the exclusion of the public if patent law concerns are affected.

(4) <sup>1</sup>In justified exceptional cases, in particular in the case of binational doctorates (Section V), the director may approve the participation of individual examiners in the colloquium via video conference upon request by the responsible governing body. <sup>2</sup>Prior to approval, the written consent of the doctoral researcher must be obtained. <sup>3</sup>The majority of the examiners and all examiners who are members of the University of Bayreuth must be present in person. <sup>4</sup>Compliance with data protection requirements is required; in particular, secure transmission paths, such as via DFN, must be used for the video conference. <sup>5</sup>The chairperson shall ensure the proper conduct of the colloquium.

<sup>1</sup>The grading of the colloquium takes place after a joint, non-public discussion between the examiners and is based on the grading scale according to § 13 para 2 sentences 2 to 5. <sup>2</sup>In the evaluation of

the dissertation, the arithmetic mean of the individual grades is calculated and only the first decimal place is taken into account without rounding. <sup>3</sup>If a doctoral candidate does not achieve at least the grade "satisfactory" (3.0) in the colloquium, the colloquium is failed.

<sup>1</sup>A record sheet must be made of the course of the colloquium and the determination of the overall grade of the doctorate. <sup>2</sup>The record sheet must contain information on

1. the date of the colloquium,
2. the names of the chairperson and the other examiners,
3. the name of the doctoral researcher,
4. the topic of the examination,
5. the grades of the dissertation and the colloquium as well as the overall grade of the doctorate according to § 16.

<sup>3</sup>The record sheet is to be signed by the chairperson and the examiners.

<sup>1</sup>The doctoral researcher may repeat the failed colloquium once. <sup>2</sup>The request for repetition must be submitted to the director within one year after notification of having failed the colloquium. <sup>3</sup>In special exceptional cases, the director, in consultation with the governing body, may allow a second repetition of the failed colloquium; a request for this by the doctoral researcher must be submitted to the director within six months after notification of the repeated failure of the colloquium. <sup>4</sup>The doctoral examination process will be terminated without success if the doctoral researcher does not submit a request for repetition within the deadlines specified in sentences 2 and 3 or if the governing body does not permit a second repetition of the colloquium or if the doctoral researcher fails the colloquium even on the second repetition; § 10 para 3 sentence 2 shall apply *mutatis mutandis*.

<sup>1</sup>If the doctoral researcher does not appear at the date of the colloquium or withdraws from the colloquium after it has begun, he/she must immediately notify the director in writing of the reasons for the delay or withdrawal and provide credible evidence. <sup>2</sup>In case of illness of the doctoral researcher, the director may require the submission of an official medical certificate. <sup>3</sup>If the doctoral researcher is not responsible for the reasons for the failure or withdrawal, the director will set a new date in accordance with para 2. <sup>4</sup>If the doctoral researcher does not immediately report and substantiate the reasons for non-appearance or withdrawal in accordance with sentence 1 or is responsible for these reasons, the colloquium shall be deemed to have been failed; § 10 para 3 sentence 2 shall apply *mutatis mutandis*.

## **§ 16 Final grade of the doctorate**

- (1) If the colloquium is passed, the board of examiners determines the overall grade of the doctorate.
- (2) <sup>1</sup>The overall grade of the doctorate is calculated as follows: First, the arithmetic means of the individual grades of the dissertation and the colloquium are calculated separately. <sup>2</sup>The calculated value is truncated after the first decimal place without rounding. <sup>3</sup>The double value for the dissertation and the single value for the colloquium are then added up and divided by three. <sup>4</sup>The calculated total value is truncated after the first decimal place without rounding. <sup>5</sup>The following grading scale 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 announced orally to the doctoral researcher by the chair of examiners following the colloquium.

(4)<sup>1</sup>The director issues the doctoral researcher a written interim report on the result of the examination.

<sup>2</sup>This interim decision does not entitle the holder to use the doctoral degree.

### **§ 17 Publication of the dissertation**

(1) <sup>1</sup>The doctoral researcher must make the dissertation available to the scientific public through reproduction and dissemination. <sup>2</sup>Theses already published in accordance with § 12 para 3 do not have to be published again.

(2)<sup>1</sup>Prior to publication of the dissertation, permission to print must be obtained (§13 para 8 sentence 2). <sup>2</sup>With the delivery of the electronic version or the deposit copies, the doctoral researcher must submit a written declaration that the electronic version or the deposit copies are identical in content to the version for which printing permission was granted.

(3)<sup>1</sup>For the purpose of publication, the doctoral researcher must deliver the prescribed number of copies free of charge to the director within one year after the colloquium according to the type of publication chosen by him/her. <sup>2</sup>The following publication types can be selected:

1. 40 copies in book or photographic print for the purpose of distribution.
2. six copies if the dissertation is published essentially unabridged in a scientific journal.
3. six copies if a commercial publisher assumes the distribution via book stores. The publication must have an ISBN or ISSN number and be marked as a dissertation on the back of the title page, stating the location of the dissertation.
4. Three copies in printed, bound form and an electronic version, the data format and type of data transfer of which must be agreed with the University Library of the University of Bayreuth. The publication must include an abstract in German and one in the English language. The doctoral researcher assures in writing that the electronic version corresponds to the accepted dissertation including the corrections according to §13 para 8 and grants the University Library of the University of Bayreuth and the DDB (Die Deutsche Bibliothek) the right to store this version, to publish it in data networks for an unlimited period of time and to make it accessible to other databases. The doctoral researcher is obligated to check the



metadata and the network version of his/her dissertation for completeness, correctness, and readability after processing by the University Library. The submission of files that do not meet the required specifications with regard to file format and data transmission will not be deemed to constitute publication.

- (4) The doctoral researcher grants the University of Bayreuth the right in writing to publish his/her name, the topic of the dissertation, the abstract, the date of submission and the date of the colloquium and, in the event that he/she has chosen a type of publication in accordance with para 2 number 1, also the right to produce and distribute further copies of his/her dissertation.
- (5) The governing body may extend the deadline for the delivery of the deposit copies at the request of the doctoral researcher.
- (6) <sup>1</sup>If the doctoral researcher misses the deadline for the delivery of the deposit copies through his/her own fault, all rights acquired through the successful completion of the examination process expire. <sup>2</sup>§ 10 para 2 sentence 2 applies *mutatis mutandis*.
- (7) In the cases of para 2 numbers 2 and 3, the director may consider the deadline for delivery to have been met if the publication of the dissertation and the delivery of the deposit copies appear to be sufficiently assured by a binding declaration from the editor of the journal or the publisher.

## **§ 18 Diploma and completion of the doctorate**

- (1) <sup>1</sup>If the requirements specified in § 17 are met, BayNAT issues a diploma in German stating that the doctoral examination has been passed. <sup>2</sup>In addition, an English translation will be produced.
- (2) If the content of the dissertation is related to an intended or completed application for a patent or publication in scientific journals, the governing body can suspend the publication of the dissertation for up to two years upon justified application by the doctoral researcher or the supervisor, without affecting the completion of the doctorate.

<sup>1</sup>The certificate confirms the successful completion of the doctorate and contains

the name of the university and BayNAT,

the first and last names of the recipient, date and place of birth,

the academic degree conferred,

the title of the dissertation,

the date of the oral examination,

the final grade of the doctorate,

the name and signature of the President of the University of Bayreuth and the director of BayNAT,

the seal of the University of Bayreuth.

<sup>2</sup>In the case of doctorates awarded in cooperation with universities of applied science/HAWs (§ 20), the university of applied science/HAW involved must also be stated on the diploma. <sup>3</sup>The date of the certificate is the date of the colloquium.

<sup>1</sup>The certificate will be issued by the director together with the English translation. <sup>2</sup>The doctorate is completed with the handing over of the certificate; the doctoral researcher thereby receives the right to use the doctoral degree according to § 1.

### **Section III: Honorary doctorate**

## **§ 19 Honorary doctorate**

- (1) <sup>1</sup>The honorary doctorate procedure is to be initiated upon justified request by at least three professors of BayNAT in accordance with Art. 2 para 1 sentence 1 number 1 BayHSchPG. <sup>2</sup>The request must be addressed to the director of BayNAT.
- (2) <sup>1</sup>The director shall forward the request to the chairpersons of the governing bodies of the BayNAT doctoral programmes and convene them to the meeting. <sup>2</sup>The assembly of the chairpersons of

the governing bodies of the BayNAT doctoral programmes appoints at least two professors of BayNAT who are responsible for the subject in accordance with Art. 2 para 1 sentence 1 number 1 BayHSchPG to assess the scientific achievements of the person to be honoured. <sup>3</sup>The expert opinions shall be prepared within two months. <sup>4</sup>When the expert opinions are available, the request and the expert opinions will be made available for inspection for eight weeks in the dean's offices of Faculties I and II of the University of Bayreuth for all lecturers of BayNAT who are authorized to administer examinations. <sup>5</sup>The director shall inform all BayNAT lecturers who are authorized to administer examinations of the start of the display period. <sup>6</sup>They may submit a written statement within one month.

- (3) <sup>1</sup>The assembly of the chairpersons of the governing bodies of the BayNAT doctoral programmes shall decide on the award of the honorary doctorate. <sup>2</sup>The resolution shall be adopted after consideration of the expert opinions and any comments in accordance with para 2 sentence 3.

<sup>1</sup>The President and the director confer the honorary degree by presenting the honoured person with a certificate. <sup>2</sup>The certificate is to acknowledge the scientific achievements of the honoured person.

## **Section IV: Cooperation with universities of applied sciences (HAWs)**

### **§ 20 Cooperation with universities of applied sciences (HAWs) 19**

<sup>1</sup>BayNAT enables the cooperative execution of doctorates with universities of applied sciences/HAWs and/or joint doctorates with Bavarian higher education institutions in accordance with the agreement between Bavarian higher education institutions dated 19 October 2015 within the framework of the provisions of the present doctoral regulations. <sup>2</sup>The University of Bayreuth is in charge of cooperative doctorates and joint doctorates.

## **Section V: Binational doctorates**

### **§ 21 General information**

<sup>1</sup>The doctoral degree can also be awarded within the framework of joint supervision with a foreign academic institution (partner institution). <sup>2</sup>This presupposes that

1. an agreement regarding the cross-border joint supervision of the doctorate has been concluded with the partner institution and approved by the director and the governing body,
2. the partner institution is authorized to award doctorates according to its national legislation and the academic degree to be awarded by it would have to be recognized in the area of application of the Higher Education Framework Act,
3. the doctoral researcher fulfils the requirements for acceptance for the doctorate and for admission to the doctoral examination process both according to the present doctoral regulations (§§ 4, 9, and 10) and according to the corresponding regulations of the partner institution.

(2)<sup>1</sup>The dissertation is jointly supervised by a supervisor in accordance with § 8 para 1 and a member of the partner institution who is authorized to administer examinations in accordance with the regulations there and can be submitted to BayNAT or to the partner institution. <sup>2</sup>The details of the joint supervision are to be set out in the agreement pursuant to para 1 sentence 2 number 1. <sup>3</sup>A dissertation which has already been submitted to one of the participating educational institutions and accepted or rejected prior to the conclusion of an agreement in accordance with para 1 sentence 2 number 1 may not be the subject of a joint doctoral procedure.

The grading of the doctoral performance is carried out according to the regulations of the institution at which the dissertation is submitted; the other institution determines the equivalent grades according to its doctoral regulations.

## **§ 22 Examination process conducted by BayNAT at the University of Bayreuth**

(1) <sup>1</sup>If the dissertation is to be submitted to BayNAT, § 12 and § 13 apply to the dissertation and its assessment. <sup>2</sup>The supervisors of the dissertation according to § 21 para 2 sentence 1 should normally be appointed as reviewers.

(2) <sup>1</sup>If the dissertation has been accepted in the process pursuant to § 13, it is forwarded to the partner institution for approval of the progress of the doctoral examination. <sup>2</sup>If the partner institution gives its consent, the oral examination takes place in accordance with §14 and §15. <sup>3</sup>If the supervisor of the dissertation from the partner institution is not a member of the examination committee in accordance with § 14 para 1 sentence 2 number 2, his/her appointment as a member of the examination committee or the substitute appointment of another member of the partner institution who is entitled to administer examinations in accordance with the provisions of that section is to be provided for in the agreement in accordance with § 21 para 1 sentence 2 number 1.

(3) <sup>1</sup>If the dissertation has been accepted by BayNAT but the agreement to continue the examination has been refused by the partner institution, the joint process is terminated; the doctoral examination is continued according to the provisions of the present doctoral regulations. <sup>2</sup>Sentence 1 applies accordingly if the oral examination is assessed as failed by the partner institution.

(4) The publication of the dissertation and the delivery of the deposit copies shall be governed by §17 and the supplementary agreements made in accordance with §21 para 1 sentence 2 number 1.

## **§ 23 Examination process at the partner institution**

(1)<sup>1</sup>If the dissertation is to be submitted at the partner institution, the doctoral regulations of the partner institution apply to the examination process. <sup>2</sup>The agreement according to § 21 para 1 sentence 2 number 1 must provide for the appointment of the supervisor according to § 21 para 2 sentence 1 from BayNAT or, if this supervisor cannot be consulted, of another lecturer from BayNAT who is

authorized to administer examinations according to these doctoral regulations as a reviewer for the evaluation of the dissertation.

- (2) <sup>1</sup>If the dissertation has been accepted by the partner institution pursuant to §12, it is forwarded to BayNAT for approval of the progress of the doctoral examination. § 13 para 5 sentences 4 to 8 applies *mutatis mutandis*. <sup>3</sup>If BayNAT provides its consent, the oral examination will take place at the partner institution in accordance with the regulations there. <sup>4</sup>In the agreement pursuant to § 21 para 1 sentence 2 number 1, it must be stipulated that in this case the supervisor pursuant to § 21 para 2 sentence 1 from BayNAT or, if this is not possible, another instructor from BayNAT who is authorized to administer examinations pursuant to the present doctoral regulations must be a member of the committee conducting the oral examination.
- (3) <sup>1</sup>If the dissertation is accepted at the partner institution but BayNAT refuses to approve the continuation of the examination, the joint process is terminated. <sup>2</sup>The doctoral examination can be continued according to the regulations of the partner institution. <sup>3</sup>Sentences 1 and 2 apply accordingly if the oral examination is assessed as failed by the partner institution.
- (4) <sup>1</sup>For the publication of the dissertation and the delivery of the deposit copies, the regulations applicable to the partner institution apply. <sup>2</sup>The agreement in accordance with § 21 para 1 sentence 2 number 1 also specifies how many copies are to be made available to BayNAT; alternatively, publication of the dissertation may be approved analogously to § 17 para 2 sentence 2 numbers 1 to 4. <sup>3</sup>In any case, one copy of the dissertation remains in the examination files. <sup>4</sup>The issuing of the doctoral certificate to be provided in accordance with § 24 shall be made dependent on the fulfilment of the delivery obligations.

## **§ 24 Joint diploma**

- (1) <sup>1</sup>After the successful completion of a joint doctoral examination process, BayNAT and the partner institution will issue a joint diploma on the award of the doctoral degree, indicating that the doctoral degree was awarded under joint supervision. <sup>2</sup>The certificate bears the signatures and seals required under the provisions of the present doctoral regulations and the regulations of the partner institution.
- (2) Instead of a joint diploma, individual diplomas of BayNAT and of the partner institution can be used, which clearly show that both diplomas together constitute a joint doctoral diploma.
- (3) The joint doctoral diploma shows that the bearer of the doctoral title is entitled to use the doctoral degree in Germany in accordance with § 1 para 1 and the doctoral degree awarded there in the foreign country.
- (4) <sup>1</sup>Further details on the form of the diploma are regulated by the agreement pursuant to §21 para 1 sentence 2 number 1. <sup>2</sup>The grade equivalence can also be taken from it. <sup>3</sup>On the joint doctoral diploma, the equivalent foreign grade should be listed with the corresponding marking.

## **Section VI: Other provisions, entry into force and transitional provisions**

### **§ 25 Invalidating the doctorate**

- (1) <sup>1</sup>If it becomes apparent before the diploma is issued that the doctoral researcher has cheated in the doctoral examination, the director will declare all previously acquired qualifications invalid and discontinue the process. <sup>2</sup>Before making such a decision, the director will obtain the opinion of the doctoral committee.
- (2) <sup>1</sup>If the deception or other illegality only becomes known after the diploma has been issued, the doctoral examination can be subsequently declared failed by the director. <sup>2</sup>Before making such a decision, the director will obtain the opinion of the governing body. <sup>3</sup>Withdrawal of the doctoral degree is governed by the statutory provisions (Art. 48 BayVwVfG, as amended). <sup>4</sup>The person concerned must be given the opportunity to comment before the decision is made (Art. 28 BayVwVfG). <sup>5</sup>With regard to the definiteness, form, and justification of the decision, the provisions on the conclusion of administrative acts (Art. 35 et seq. BayVwVfG) are to be observed.
- (3) <sup>1</sup>In the case of suspected academic misconduct, the director and the governing body of the relevant doctoral programme will only make a joint decision once the self-regulation committee has submitted its report. <sup>2</sup>If the director and the governing body have already decided in advance in special cases, the further referral by the self-regulation committee remains unaffected. <sup>3</sup>A declared renunciation of the doctoral degree shall have no influence on the initiation and progress of the process pursuant to sentences 1 and 2.

In the event of failure of the doctoral examination in accordance with para 2 sentence 1, the doctoral diploma shall be withdrawn.

In all other respects, the withdrawal of the doctoral degree is governed by Art. 69 BayHSchG in conjunction with the relevant provisions of the BayVwVfG.



## **§ 26 Access to examination documents**

<sup>1</sup>After completion of the doctorate, the doctoral researcher may inspect the doctoral documents. <sup>2</sup>The time and place for granting access to the documents is determined by the director. <sup>3</sup>The request must be submitted to the director within one month after completion of the doctorate. <sup>4</sup>In these as well as other cases in which a request for access is made, the inspection procedure is governed by Art. 29 et seq. BayVwVfG.

## **§ 27 Consideration of extenuating life circumstances**

- (1) <sup>1</sup>The utilization of protection periods of the Maternity Protection Act (MSchG) shall be guaranteed. <sup>2</sup>Upon application, the claiming of parental leave in accordance with the Federal Parental Allowance and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetz, BEEG) as well as of periods for the care of a close relative within the meaning of § 7 para 3 of the Nursing Care Leave Act (PflegeZG) who is in need of care within the meaning of § 14 and § 15 of the Eleventh Book of the Social Code (Sozialgesetzbuch, SGB XI) shall be guaranteed. <sup>3</sup>The appropriate evidence must be furnished; any changes in status are to be reported immediately.
- (2) <sup>1</sup>Upon request, periods during which the doctoral studies cannot be pursued or can only be pursued to a very limited extent for reasons for which the doctoral researcher is not responsible will not be counted towards deadlines. <sup>2</sup>Corresponding evidence must be furnished; medical certificates must be presented in the case of illness. <sup>3</sup>Any changes in status are to be reported immediately.

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

<sup>1</sup>For the sake of ensuring equal opportunities, the particular needs of disabled examinees are to be appropriately accommodated. <sup>2</sup>The director, in consultation with the governing body and upon written application by the applicant or doctoral researcher, determines the form in which the applicant or doctoral researcher will take his/her examination or grants an extension of working hours or other reasonable accommodations, depending on the severity of the proven examination disability. <sup>3</sup>Evidence of disability is to be provided by way of a medical certificate, which confirms that the application or doctoral researcher is unable (entirely or in part) to take the examination in its usual form due to a lasting or permanent disability. <sup>4</sup>The request is to be enclosed with the application for acceptance for doctoral studies; if the application is submitted later, it shall only apply to future components.

## **§ 29 Effective date, transitional provisions**

- (1) The present doctoral regulations come into force on 26 January 2021; at the same time, the doctoral regulations of BayNAT dated 15 September 2017 (AB UBT 2017/068) cease to apply.

(2) <sup>1</sup> For doctoral researchers who have already received a confirmation of supervision before the doctoral regulations for BayNAT dated 15 September 2017 come into force, § 29 para 2 of the doctoral regulations of BayNAT dated 15 September 2017 continues to apply.

Issued on the basis of a decision made by the University of Bayreuth's Senate on 13 January 2021 and approved by the President of the University of Bayreuth on 20 January 2021, Ref. No. A 3519 - I/1

Bayreuth, 25 January 2021

[seal]

UNIVERSITY OF BAYREUTH, THE PRESIDENT

[signature]

Professor Dr. Stefan Leible

The present regulations were enacted at the University on 25 January 2021.  
This was announced on 25 January 2021 by posting a notice at the university.  
The date of the announcement is 25 January 2021.