



## **Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 25 June 2021**

Article 13 para 1 sentence 2 item 2 in conjunction with Article 64 para 1 sentence 5 of the Bavarian Higher Education Act (*BayHSchG*) forms the framework for the following doctoral regulations for the Faculty of Engineering Science issued by the University of Bayreuth.

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## **Section I: General provisions**

### **§ 1 Doctoral degree**

- (1) <sup>1</sup>The University of Bayreuth, by way of the Faculty of Engineering Science, awards the academic degree of *Doktor-Ingenieurin* or *Doktor-Ingenieur*, abbreviated Dr.-Ing.
- (2) The doctorate serves as proof of an independent scientific achievement which must go considerably beyond the examination results required in § 4 para 1 number 1 for acceptance for doctoral research.
- (3) The doctoral work consists of an academic thesis (dissertation) written by the applicant and an oral examination (colloquium).
- (4) In accordance with § 16, the University of Bayreuth awards the academic degree *Doktor-Ingenieurin ehrenhalber* or *Doktor-Ingenieur ehrenhalber*, abbreviated Dr.-Ing.E.h., as a rare distinction to persons who have rendered outstanding scientific or technical services.

### **§ 2 Examination authorization**

<sup>1</sup>According to the present doctoral regulations, instructors authorized to administer examinations are the university lecturers in the sense of Art. 2 para 3 sentence 1 BayHSchPG of the Faculty of Engineering Science, the professors who have been released from duty, as well as the retired professors (cf. Art. 13 BayHSchPG). <sup>2</sup>In justified cases (in particular ERC Starting Grant, head of a group in the DFG's Emmy Noether Programme, partial project head in a DFG research group, or a DFG Collaborative Research Centre), a person may be the examiner of a dissertation in accordance with § 4 sentence 2 and sentence 3 HSchPrüferV; the doctoral committee shall decide on this. <sup>3</sup>Instructors from other faculties of the University of Bayreuth or other German or foreign higher education institutions may also be appointed as examiners, provided that they fulfil the requirements specified in sentence 1. <sup>4</sup>Otherwise, § 17 will apply to doctoral projects with universities of applied science, and Section V will apply within the scope of binational doctorates.

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

- (1) The doctoral committee is responsible for the acceptance for doctoral research and conducting the doctoral examination processes, unless otherwise stipulated in the present doctoral regulations.
- (2) <sup>1</sup>The doctoral committee consists of the dean as chairperson and three professors of the Faculty of Engineering Science according to Art. 2 para 1 sentence 1 number 1 BayHSchPG as well as one member of the other full-time academic staff of the Faculty of Engineering Science who holds a

doctorate and must be a university lecturer. <sup>2</sup>The members of the doctoral committee are elected by the faculty council for a period of two years. <sup>3</sup>By way of exception, members of the University of Bayreuth's Faculty of Mathematics, Physics & Computer Science or of the Faculty of Biology, Chemistry & Earth Sciences or of other German universities who meet the requirements specified in sentence 1 may be elected to the doctoral committee on the recommendation of the dean. <sup>4</sup>The dean chairs the meetings of the doctoral committee and conducts the day-to-day business.

- (3) <sup>1</sup>The doctoral committee shall constitute a quorum if all members have been duly invited and the majority of the members are present and entitled to vote. <sup>2</sup>Its decisions are made on the basis of majority vote. <sup>3</sup>Vote abstention, secret voting, and proxy voting are prohibited. <sup>4</sup>If votes are equally divided among its members, the chair shall have the casting vote. <sup>5</sup> The doctoral committee will meet at least once per semester.
- (4) <sup>1</sup>The decisions of the doctoral committee are to be communicated to the applicant/doctoral researcher in writing by the dean. <sup>2</sup>Notices of denial are to include a rationale and information on how to appeal.
- (5) Exclusion due to personal involvement is based on Art. 41 para 2 BayHSchG, taking into account Art. 20 and Art. 21 BayVwVfG.
- (6) <sup>1</sup>The doctoral committee will draw up guidelines for quality assurance in the area of academic requirements and grading, as well as for the content of supervisory agreements, and will make recommendations to the faculty council on the definition of quality criteria in accordance with § 9 para 4 sentence 4. <sup>2</sup>The doctoral committee will report annually to the faculty council on the development of the doctoral system.
- (7) <sup>1</sup>The extended doctoral committee is made up of the members of the doctoral committee, all other university instructors according to Art. 2 para 3 sentence 1 BayHSchPG and the professors of the Faculty of Engineering Science who have been released from duty. <sup>2</sup>The extended doctoral committee shall be convened within two weeks of a member's request; it shall be responsible for decisions in accordance with § 6 para 1 sentence 5, § 10 para 5, and § 16 para 3 of the present regulations. <sup>3</sup>The chairperson is the dean. <sup>4</sup>Paragraphs 3 and 5 apply *mutatis mutandis*.

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

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

- (1) In order to be accepted for doctoral research, the applicant must fulfil the following requirements:
  1. He or she must have completed a subject-related academic degree offered by a higher education institution; the standard degree is the university *Diplom* examination or the mas-

ter's examination in a more research-oriented master's programme, or a comparable master's examination at a university of applied science. Applicants who have passed the final examination in a relevant *Diplom* programme at a university of applied science with an overall grade of better than 2.0 and who did not exceed the period of study by more than two semesters are also accepted for doctoral research. Applicants who have passed the final examination in a subject-related bachelor's programme at a university or university of applied science with an overall grade of 1.0 and who did not exceed the standard period of study and can prove that they belong to the top 5% of their year of study are also accepted for doctoral studies. The doctoral committee may also recognize degrees in subjects related to engineering (e.g. physics, chemistry, biology, technomathematics, computer science, industrial engineering) as sufficient prerequisites for doctoral research. In these cases, the doctoral committee makes decisions according to the principle of equivalence, taking into account Art. 63 BayHSchG. Equivalence is determined by the equivalence agreements approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany and the German Rectors' Conference; in the event of doubt as to equivalence, the Central Office for Foreign Education may be consulted.

2. The doctoral committee may make acceptance dependent on the achievement of additional credit points from the engineering subjects of the bachelor's and master's programmes of the Faculty of Engineering Science to the extent of no more than 15 credit points. The examinations in the subjects in which additional credits are to be completed are to be rendered either orally or in writing in accordance with the examination regulations or the examination and study regulations of the bachelor's and master's degree programmes of the faculty. The examinations must each be passed with a minimum grade of 4.0. Examinations that were failed on the first attempt can be repeated once.
3. The applicant must not have already undergone a relevant doctoral examination or a comparable examination at another higher education institution without success.
4. The applicant must have concluded a supervisory agreement pursuant to § 6 para 2 or 3 with an instructor authorized to administer examinations in accordance with § 2; there is no entitlement to the conclusion of a supervisory agreement.

(2) <sup>1</sup>Acceptance for doctoral research must be applied for in writing to the doctoral committee via the dean prior to establishing a doctoral relationship. <sup>2</sup>The application must include the documents required to prove the admission requirements specified in para 1 and a declaration by the applicant that he or she has not yet been accepted for a doctorate in the same subject at another university or another institute at the University of Bayreuth that awards doctoral degrees.

(3) The application requires online registration as an applicant to the Faculty of Engineering Science.

(4) The doctorate begins with the receipt of the written confirmation of acceptance for doctoral research sent by the Faculty of Engineering Science.

## **§ 5 Statistical requirements**

- (1) <sup>1</sup>With the application for acceptance for doctoral research, personal data of the doctoral researcher will be collected, automatically stored, and processed by the doctoral institute of the University of Bayreuth in accordance with the survey characteristics regulated in § 5 of the Higher Education Statistics Act (HStatG) (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 para 1 sentence 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 Supervision and supervisory agreement**

- (1) <sup>1</sup>The dissertation is supervised by an instructor authorized to administer examinations according to § 2. <sup>2</sup>If the supervisor leaves the faculty, he or she may continue the supervision for up to three years after leaving the faculty if he or she remains eligible to administer examinations under the conditions of § 2. <sup>3</sup>A retired professor (§ 4 sentence 1 HSchPrüferV, Art. 13 BayHSchPG) may continue the supervision for up to four years after his or her retirement. <sup>4</sup>If the supervisor of a doctorate can no longer continue supervising it, the doctoral committee will ensure that the dissertation continues to be supervised as far as possible. <sup>5</sup>Retired professors may establish a supervisory relationship with applicants within the period specified in sentence 3 and with the consent of the extended doctoral committee even after retirement.
- (2) <sup>1</sup>The supervisor according to para 1 and the applicant record the essential key points of the doctorate in a written agreement (supervisory agreement). <sup>2</sup>The supervisor will inform the doctoral committee if the doctorate is discontinued.
- (3) <sup>1</sup>In the case of doctorates with universities of applied science/HAWs (§ 17), the dissertation is supervised on an equal basis by the persons from the university and the university of applied science/HAW who are involved and are authorized to administer examinations or supervise dissertations. <sup>2</sup>They will conclude a supervisory agreement with the applicant.

## **§ 7 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 doctoral committee via the dean. <sup>2</sup>The application must include:

1. five identical copies of the dissertation,
2. the certificate of acceptance for doctoral research,
3. an affirmation in lieu of an oath that the applicant has written the thesis independently and has not used any sources or aids other than those indicated by him/her (Art. 64 para 1 sentence 6 BayHSchG) as well as a 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. the applicant's curriculum vitae, providing information in particular about his or her educational background,
5. 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. In the case of members of the University of Bayreuth, the certificate of good conduct may be waived. It must be evident from the certificate of good conduct or certificate provided that the applicant has not shown himself/herself to be unworthy of holding a doctoral degree by his/her conduct. The certificate of good conduct or other evidence must not be older than six months,
6. a declaration by the applicant that he or she has not used or will not use any commercial doctoral services or consulting,
7. a letter of endorsement from the supervising professor with the proposal of the first examiner, the second examiner, and the additional examiner,
8. the electronic version of the dissertation as well as a declaration of consent by the applicant that the electronic version of the dissertation may be subjected to a separate review in compliance with his or her copyright and data protection,
9. 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;
10. if applicable, the requests pursuant to § 24 and § 25.

### **§ 8 Decision on acceptance for doctoral research and admission to the doctoral examination process**

- (1) Acceptance for doctoral research is to be refused if the requirements specified in § 4 are not fulfilled. <sup>2</sup>Admission to the doctoral examination process is to be refused if the candidate has not been accepted as a doctoral researcher or if the documents required in § 7 are incomplete or if the doctoral researcher has shown himself/herself to be unworthy of being awarded the doctoral degree due to his/her conduct.

- (2) <sup>1</sup>The doctoral committee should make a decision concerning the requests of the applicant or doctoral researcher within three months. <sup>2</sup>Decisions on applications for acceptance for doctoral research and for admission to the doctoral examination process are communicated to the applicant/doctoral researcher in accordance with § 3 para 4.
- (3) <sup>1</sup>The doctoral researcher may withdraw from the doctorate at any time, provided that no request for admission to the doctoral examination process has 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 negative decision on admission to the doctoral examination process, the dissertation is deemed not to have been submitted. <sup>3</sup>If the doctoral researcher withdraws his or her request 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 will issue a written decision to the doctoral researcher, stating the reasons for the decision and providing information on how to appeal the decision. <sup>5</sup>Requests in accordance with sentences 1 to 3 shall be addressed to the dean.

## **§ 9 Dissertation**

- (1) <sup>1</sup>The dissertation must be an independent scientific achievement of the doctoral researcher in an engineering field and contribute to solving scientific problems. <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 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 cover sheet of the submitted thesis is to be designed according to the sample in Annex 1 or, in the case of a cooperative doctorate, according to the sample in Annex 2. <sup>4</sup>The dissertation must also be submitted in electronic form to make it available for review by members of the faculty who are authorized to administer examinations. <sup>5</sup>This review must respect copyright and data protection.
- (3) <sup>1</sup>The dissertation is to be written in the German language. <sup>2</sup>The doctoral committee may allow the applicant to submit it in a language other than German. <sup>3</sup>In this case, it must contain a detailed summary in German.
- (4) <sup>1</sup>Together with the dissertation, at least one scientific publication must be submitted, to the content of which the applicant has contributed solely or predominantly and which has been published or accepted for publication after scientific review in a recognized scientific journal or in another equivalent form. <sup>2</sup>Justified exceptions to the regulation according to sentence 1 are permissible. <sup>3</sup>The decision on the recognition of the publication or the exception is made by the doctoral committee on the basis of 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>After admission to the doctoral examination process, the doctoral committee will immediately appoint two instructors authorized to administer examinations to assess the dissertation as first reviewer and second reviewer; at least one of them must be a professor of the Faculty of Engineering Science. <sup>2</sup>The supervisor of the thesis is usually the first reviewer. <sup>3</sup>In the case of doctoral projects that go beyond the core area of the student's own subject, an instructor authorized to administer examinations from the other subject should be appointed as a second reviewer or as an additional reviewer.

(2) In the case of doctorates with universities of applied science/HAWs (§ 17), the two equally entitled supervisors of the dissertation at the university of applied science/HAW and the university are generally appointed as reviewers.

(3) <sup>1</sup>Each reviewer will submit a written review of the dissertation within a reasonable period of time and propose the acceptance or rejection of the dissertation. <sup>2</sup>Each reviewer will evaluate the dissertation and assign a predicate according to the following scheme:

*sehr gut* [very good] = 1.0 = particularly commendable work;

*gut* [good] = 2.0 = above-average work;

*befriedigend* [satisfactory] = 3.0 = work that meets the average requirements;

*unzulänglich* [unsatisfactory] = 4.0 = work suffering from significant deficiencies, which is no longer usable overall.

<sup>3</sup>The use of predicates

still very good = 1.5

and

still good = 2.5

is permissible.

<sup>4</sup>In special cases, "a very outstanding thesis" may be proposed for an award (see § 13 para 2 sentence 4); in these cases, too, the assessment of the dissertation is based on sentences 2 and 3.

<sup>5</sup>The grade of the dissertation is the arithmetic mean of the individual grades corresponding to the marks awarded by the examiners. <sup>6</sup>Two decimal places are taken into account without rounding. <sup>7</sup>If the grade is worse than "3.00", the grade of the dissertation is "unsatisfactory".

(4) <sup>1</sup>The doctoral committee will appoint an additional reviewer, who must be a professor, if the first reviewer and the second reviewer differ in their assessment proposals by more than one grade.

<sup>2</sup>The doctoral committee may appoint instructors authorized to administer examinations as additional reviewers if a reviewer so suggests or if the doctoral committee deems it necessary in order to ensure a proper assessment. <sup>3</sup>Paragraph 2 applies *mutatis mutandis*.

- (5) <sup>1</sup>The dean will circulate the dissertation and the reviews to up to five members of the extended doctoral committee. <sup>2</sup>For the members of the extended doctoral committee, a copy of the dissertation and the reviews will be available for inspection in the dean's office until the conclusion of the circulation process. <sup>3</sup>Upon request, the electronic version of the dissertation will be made available to those entitled to have access to it; copyrights and data protection shall be observed. <sup>4</sup>Each member of the extended doctoral committee may submit a written statement or request that the extended doctoral committee be convened. <sup>5</sup>If the convening of the extended doctoral committee is not requested and no member involved in the circulation is against a continuation of the process, the dissertation will be accepted if the requirements of sentence 6 are met. <sup>6</sup>If the dissertation is assessed with the grade "satisfactory" or a better grade, it is accepted. <sup>7</sup>If the dissertation is graded "unsatisfactory", it is rejected. <sup>8</sup>§ 3 para 4 applies *mutatis mutandis*.
- (6) <sup>1</sup>If the dissertation is rejected, the applicant may submit a new dissertation within two years of the announcement of rejection. <sup>2</sup>Paragraphs 1 to 4 shall apply to the further procedure. <sup>3</sup>If the applicant 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>§ 3 para 4 applies *mutatis mutandis*.
- (7) <sup>1</sup>The doctoral committee or extended doctoral committee may return a dissertation to the applicant for revision if it would have to be rejected. <sup>2</sup>In this case, the applicant may also submit a new dissertation instead of the revision. <sup>3</sup>He or she must submit the revised or new dissertation within the period specified in para 6 sentence 1. <sup>4</sup>A revised dissertation shall be assessed by the reviewers appointed for the original dissertation, insofar as they are still available; in all other respects, paragraphs 1 - 4 apply. <sup>5</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>6</sup>§ 3 para 4 applies *mutatis mutandis*.

## **§ 11 Board of examiners**

- (1) <sup>1</sup>Within a reasonable period of time after acceptance of the dissertation, a scientific colloquium (§ 12) will take place before the board of examiners. <sup>2</sup>The board of examiners consists of:
1. a professor within the meaning of Art. 2 para 1 sentence 1 number 1 BayHSchPG of the Faculty of Engineering Science, who may not be a reviewer, as chairperson;
  2. the reviewers;
  3. 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 is prevented from taking part in the rest of the process, and if this results in fewer than two reviewers taking part, a different instructor authorized to administer examinations within the meaning of § 2 will be appointed as a member of the board of examiners in his or her place.

- (2) <sup>1</sup>The chairperson and the other members of the board of examiners are appointed by the doctoral committee immediately after acceptance of the dissertation. <sup>2</sup>The applicant will be informed of the members of the board of examiners.

## § 12 Colloquium

- (1) <sup>1</sup>The colloquium is a collegiate individual examination. <sup>2</sup>It is a scientific discussion which is intended to show whether the applicant has an in-depth understanding of his or her field of research and other related fields, as well as being familiar with modern developments in his or her subject area.
- (2) <sup>1</sup>The dean will determine the date of the colloquium in consultation with the chair of examiners. <sup>2</sup>The members of the board of examiners and the applicant are invited to the colloquium in writing by the dean. <sup>3</sup>The applicant must be invited at least 14 days before the date of the colloquium. <sup>4</sup>The dean may, in consultation with the applicant, shorten the period of notice.
- (3) <sup>1</sup>The colloquium is introduced by a lecture in German, which lasts about 20 minutes and is open to all members of the university; the chair of examiners may admit other persons as listeners. <sup>2</sup>The subsequent scientific discussion will last about 60 minutes and is not open to the public. <sup>3</sup>The doctoral committee may allow the doctoral researcher to hold the colloquium and the scientific discussion in a language other than German. <sup>4</sup>The colloquium is chaired by the chair of examiners. <sup>5</sup>Members of the doctoral committee and the extended doctoral committee who are not members of the board of examiners as well as other faculty members authorized to administer examinations may participate in the scientific discussion as listeners. <sup>6</sup>The chair of examiners may allow questions from lecturers present on the basis of the regulation in sentence 5; he or she will ensure that the members of the board of examiners have an appropriate share of the examination time.
- (4) <sup>1</sup>The grading of the colloquium takes place after a joint, non-public discussion between the members of the board of examiners and is based on the grading scale according to § 10 para 3. <sup>2</sup>If the members of the board of examiners agree on a grade, they will set this as the grade for the colloquium. <sup>3</sup>If they cannot agree, the grade of the colloquium is calculated as the arithmetic mean of the individual grades of the members of the board of examiners. <sup>4</sup>If a doctoral researcher does not achieve at least the grade *befriedigend* [satisfactory] (3.00) in the colloquium, the colloquium is failed.
- (5) <sup>1</sup>A record is to be made of the course of the colloquium. <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 applicant,

4. the topic of the examination,
5. the grades for the colloquium.

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

- (6) <sup>1</sup>The doctoral researcher may repeat the failed colloquium once. <sup>2</sup>The request for repetition must be submitted to the dean within one year after notification of having failed the colloquium. <sup>3</sup>In exceptional cases, the doctoral committee may permit a second repetition of the failed colloquium; the doctoral researcher must submit an application to this effect to the dean within six months of being notified 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 doctoral committee does not permit a second repetition of the colloquium or if the doctoral researcher fails the colloquium even on the second repetition. <sup>5</sup>§ 3 para 4 applies *mutatis mutandis*.
- (7) <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 or she must immediately notify the dean in writing of the reasons for the delay or withdrawal and provide credible evidence. <sup>2</sup>In the case of illness of the doctoral researcher, the dean may require the submission of a doctor's note or official medical certificate. <sup>3</sup>If the doctoral researcher is not responsible for the reasons for the failure or withdrawal, the dean 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 doctoral examination process shall be deemed to have been failed. <sup>5</sup>§ 3 para 4 applies *mutatis mutandis*.

### **§ 13 Final 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 final grade of the doctorate is the sum of twice the grade of the dissertation and one time the grade of the colloquium divided by three. <sup>2</sup>Two decimal places are taken into account without rounding. <sup>3</sup>The following grading scale applies to the final grade:  
1.00 to 1.50 = magna cum laude (very good)  
over 1.50 up to 2.50 = cum laude (good)  
over 2.50 up to 3.00 = rite (satisfactory).  
<sup>4</sup>If  
- all reviewers have rated the thesis as "very good" and  
- at least one of the reviewers has proposed the thesis for an award, and

- more than two thirds of the members of the board of examiners have assessed the colloquium with 1.0 and
  - more than two thirds of the members of the board of examiners are in favour of an award for the thesis,
- the overall grade "summa cum laude (with distinction)" is awarded.
- (3) The final grade and the grade of the dissertation are to be announced orally to the doctoral researcher by the chair of examiners following the colloquium.
  - (4) <sup>1</sup>The dean will issue a written interim notification to the doctoral researcher about the result of the passed examination. <sup>2</sup>This interim notification does not entitle the holder to bear the doctoral title.

#### **§ 14 Publication of the dissertation**

- (1) The doctoral researcher must make the final version of the dissertation, which has been agreed with the supervisor, available to the scientific public by means of reproduction and dissemination.
- (2) For this purpose, the doctoral researcher must deliver 40 deposit copies in book and photographic print to the dean free of charge within one year of when the interim notification of having passed the examination was issued.
- (3) <sup>1</sup>Instead of the deposit copies referred to in para 2, the doctoral researcher may, in agreement with the supervisor, request the dissemination of the dissertation
  - through the book trade by a commercial publisher with a minimum circulation of 150 copies, or
  - by online publication on a document server run by the University of Bayreuth's library.

<sup>2</sup>The cover page of the final version of the dissertation should be written in accordance with Annex 3 or, in the case of a cooperative doctorate, in accordance with Annex 4. <sup>3</sup>Proof shall be furnished by submitting to the dean a certificate from the publisher stating the number of copies printed or a confirmation from the university library stating that the publication has been published online and that six copies of the publication in book and photographic print form have been delivered free of charge.
- (4) In the cases of para 2, the doctoral researcher must transfer to the university the right to produce and distribute further copies of his or her dissertation.
- (5) The doctoral committee may extend the deadline for the delivery of the deposit copies at the request of the doctoral researcher.

- (6) If the doctoral researcher misses the deadline for the delivery of the deposit copies, all rights acquired through the successful completion of the examination process expire; <sup>2</sup>§ 3 para 4 applies *mutatis mutandis*.
- (7) In the cases of para 3, first indent, the dean may consider the delivery deadline 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 by the publisher.

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

- (1) If the requirements specified in § 14 are fulfilled, the faculty shall issue a diploma certifying the successful completion of the doctoral examination.
- (2) If the content of the dissertation is related to an intended patent application, the dean may, at the request of the doctoral researcher, delay the publication of the deposit copies of the dissertation by up to three months without affecting the completion of the doctorate.
- (3) <sup>1</sup>The diploma confirms successful completion of the doctorate and contains
  - the name of the university and the faculty,
  - the first and last names of the doctoral researcher, date and place of birth,
  - the 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 dean of the faculty,
  - the seal of the University of Bayreuth.

<sup>2</sup>The date of issue of the diploma is the date of the day of the oral examination.
- (4) In the case of doctorates awarded in cooperation with universities of applied science/HAWs (§ 17), the university of applied science/HAW involved must also be stated on the diploma.
- (5) <sup>1</sup>The certificate is handed out by the dean. <sup>2</sup>The awarding of the doctoral degree marks the completion of doctoral studies; it entitles the doctoral researcher to use the doctoral degree.

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

#### **§ 16 Honorary doctorate**

- (1) <sup>1</sup>The procedure for an honorary doctorate is to be initiated by at least three professors within the meaning of Art. 2 para 1 sentence 1 number 1 of the BayHSchPG of the Faculty of Engineering Science upon a justified request. <sup>2</sup>The request shall be addressed to the dean.
- (2) <sup>1</sup>The faculty council will ask professors responsible for the subject, at least three of whom should belong to other German universities, to review the academic achievements of the person to be honoured. <sup>2</sup>When the reviews are available, the dean forwards the request and the reviews to the members of the faculty council and to all instructor authorized to administer examinations within the meaning of Art. 62 para 1 sentence 2 number 1 BayHSchG and § 4 sentence 1 HSchPrüferV. <sup>3</sup>They may submit written comments within one month of receipt of the documents referred to in sentence 2.
- (3) <sup>1</sup>Decisions concerning whether to award an honorary doctorate will be made by the faculty council. <sup>2</sup>The decision of the faculty council requires that a request be made by the extended doctoral committee. <sup>3</sup>It takes into account the expert opinions, any statements pursuant to para 2 sentence 3 and the request submitted by the extended doctoral committee.
- (4) <sup>1</sup>The President and the dean 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 science**

#### **§ 17 Cooperation with universities of applied science (HAWs)**

- (1) The Faculty of Engineering Science at the University of Bayreuth enables the cooperative execution of doctorates with universities of applied science/HAWs and/or joint doctorates with Bavarian universities of applied science/HAWs on the basis of the agreement of the Bavarian universities of applied science of 19 October 2015 within the framework of the regulations of the present doctoral regulations.
- (2) The University of Bayreuth is in charge of cooperative doctorates.
- (3) Further provisions can be made through cooperation agreements between the higher education institutions.

## **Section V: Binational doctorates**

### **§ 18 General information**

- (1) <sup>1</sup>The doctoral degree may 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 doctoral committee,
  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 meets the requirements for acceptance for doctoral research and for admission to the doctoral examination process both according to the present doctoral regulations (§§ 4, 7, and 8) and according to the corresponding regulations of the partner institution,
  4. the doctoral researcher has actively worked at each of the participating institutions for at least one year.
- <sup>3</sup>If so requested by a member of the doctoral committee, the extended doctoral committee will be consulted for the approval of the agreement in accordance with sentence 2 number 1.
- (2) <sup>1</sup>The dissertation is jointly supervised by a supervisor in accordance with § 6 para 1 in conjunction with § 2 and a member of the partner institution who is authorized to administer examinations in accordance with the regulations there and can be submitted to the University of Bayreuth's Faculty of Engineering Science 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 process.
- (3) 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.

### **§ 19 Doctoral examination process at the University of Bayreuth's Faculty of Engineering Science**

- (1) <sup>1</sup>If the dissertation is to be submitted to the University of Bayreuth's Faculty of Engineering Science, § 9 and § 10 apply to the dissertation and its assessment. <sup>2</sup>The supervisors of the dissertation according to § 18 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 § 10, it is forwarded to the partner institution for approval of the progress of the doctoral examination process. <sup>2</sup>If the partner institution gives its consent, the oral examination takes place in accordance with § 11 and §14. <sup>3</sup>If the supervisor of the dissertation from the partner institution is not a member of the board of examiners in accordance with § 11 para 1 sentence 2 number 2, his or her appointment as a member of the board of examiners or the substitute appointment of another member of the partner institution who is entitled to administer examinations in accordance with the provisions in effect there is to be provided for in the agreement in accordance with § 18 para 1 sentence 2 number 1.
- (3) <sup>1</sup>If the dissertation has been accepted by the University of Bayreuth's Faculty of Engineering Science 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 *mutatis mutandis* if the oral examination is assessed as failed by the partner institution.
- (4) Publication of the dissertation and the delivery of the deposit copies shall be governed by § 14 and the supplementary agreements made in accordance with § 18 para 1 sentence 2 number 1.

## **§ 20 Doctoral 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 in accordance with § 18 para 1 sentence 2 number 1 shall provide for the appointment of the supervisor in accordance with § 18 para 2 sentence 1 from the Faculty of Engineering Science at the University of Bayreuth or, if this supervisor cannot be called upon, of another lecturer from the Faculty of Engineering Science at the University of Bayreuth who is authorized to administer examinations in accordance with the present doctoral regulations, as a reviewer for the assessment of the dissertation.
- (2) <sup>1</sup>If the dissertation has been accepted by the partner institution pursuant to §12, it is forwarded to University of Bayreuth's Faculty of Engineering Science for approval of the progress of the examination. <sup>2</sup>§ 10 para 4 applies *mutatis mutandis*. <sup>3</sup>If the Faculty of Engineering Science at the University of Bayreuth gives its consent, the oral examination takes place at the partner institution in accordance with the latter's regulations. <sup>4</sup>In the agreement pursuant to § 18 para 1 sentence 2 number 1, it must be stipulated that in this case the supervisor pursuant to § 18 para 2 sentence 1 from the University of Bayreuth's Faculty of Engineering Science or, if this is not possible, another instructor from the Faculty of Engineering Science 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 the University of Bayreuth's Faculty of Engineering Science refuses to approve the continuation of the examination, the joint process is terminated. <sup>2</sup>The doctoral examination process may be continued according to the regulations

of the partner institution. <sup>3</sup>Sentences 1 and 2 apply *mutatis mutandis* if the oral examination is assessed as failed by the University of Bayreuth's Faculty of Engineering Science.

- (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 § 18 para 1 sentence 2 number 1 also specifies how many copies are to be made available to the University of Bayreuth's Faculty of Engineering Science; alternatively, publication of the dissertation may be approved analogously to § 14 para 3 sentences 1 and 3. <sup>3</sup>In any case, one copy of the dissertation remains in the examination files. <sup>4</sup>The issuing of the diploma for the doctorate to be provided in accordance with § 21 shall be made dependent on the fulfilment of the delivery obligations.

### **§ 21 Joint diploma**

- (1) <sup>1</sup>After the successful completion of a joint doctorate, the University of Bayreuth's Faculty of Engineering Science 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 diploma bears the signatures and seals required under the provisions of the present doctoral regulations and the regulations of the partner institution.
- (2) 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.
- (3) <sup>1</sup>Further details on the form of the diploma are regulated by the agreement pursuant to §20 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: Additional regulations, transitional and final provisions**

### **§ 22 Invalidating the doctoral work**

- (1) If it becomes apparent before the diploma is issued that the doctoral researcher has cheated in the doctoral examination, the doctoral committee will declare all previously acquired qualifications invalid and discontinue the process.
- (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 doctoral committee. <sup>2</sup>Withdrawal of the doctoral degree is governed by the statutory provisions (Art. 48 Bavarian Administrative Procedure Act BayVwVfG as amended). <sup>3</sup>The person concerned must be given the opportunity to comment before the decision is made (Art. 28 BayVwVfG). <sup>4</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 doctoral committee will only make a decision once the academic self-regulation committee has submitted its report. <sup>2</sup>If the doctoral committee has already decided in advance in special cases, the further report by the academic self-regulation committee will remain 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.
- (4) In the event of failure of the doctoral examination in accordance with para 2 sentence 1, the doctoral diploma shall be withdrawn.
- (5) In all other respects, withdrawal of the doctoral degree is governed by Art. 69 BayHSchG in conjunction with the relevant provisions of BayVwVfG.

### **§ 23 Access to examination documents**

<sup>1</sup>After receipt of the notification in accordance with § 13 para 4 or after unsuccessful completion of the doctoral examination process, the doctoral researcher may inspect the documents relating to the doctorate. <sup>2</sup>The time and place for granting access to the documents is determined by the dean. <sup>2</sup>The request must be submitted to the dean of the Faculty of Engineering Science within one month of receiving the interim notification in accordance with § 13 para 4 or of the unsuccessful completion of the doctoral procedure. <sup>4</sup>The procedure for inspection in these and other cases in which a request for access is made is governed by Art. 29 ff. BayVwVfG.

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

- (1) <sup>1</sup>The utilization of protection periods of the Maternity Protection Act (MuSchG) shall be guaranteed. <sup>2</sup>Upon request, the claiming of parental leave in accordance with the Federal Parental Allowance and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetz, BEEG) as well as periods for the care of a close relative within the meaning of § 7 para 3 of the Nursing Care Act (PflegerZG) 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>If duly requested, periods during which study was impossible or only possible to a limited extent for reasons beyond the candidate's control shall not be taken into account with regard to the examination schedule. <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.

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

<sup>1</sup>For the sake of ensuring equal opportunities, the particular needs of disabled applicants and doctoral researchers are to be appropriately accommodated. <sup>2</sup>Upon written request, the doctoral committee shall determine according to the degree of disability in what form a disabled applicant or doctoral researcher is to take the examination; alternatively, an extension or other reasonable accommodations may be granted. <sup>3</sup>Evidence of disability is to be provided by way of a medical certificate, which confirms that the candidate/ 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 must be included with the application for acceptance for doctoral research. <sup>5</sup>If the request is submitted later, it shall only be valid for subsequent examinations.

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

- (1) The present doctoral regulations come into force on 26 June 2021; at the same time, the doctoral regulations for the Faculty of Engineering Science dated 15 September 2017 (AB UBT 2017/066) cease to apply.
- (2) Doctoral researchers who submitted an application for acceptance for doctoral research within the meaning of § 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 15 September 2017 (AB UBT 2017/066) prior to the entry into force of the present doctoral regulations will continue to be subject to the provisions of those doctoral regulations until the completion of their doctoral studies.
- (3) Doctoral researchers who submitted an application for admission to a doctorate within the meaning of § 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 25 July 2014 (AB UBT 2014/ 0 38) prior to the entry into force of the present doctoral regulations shall continue to be subject to the provisions of those doctoral regulations until the completion of their doctoral studies.
- (4) Doctoral researchers who submitted an application for admission to a doctorate within the meaning of § 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 05 August 2013 (AB UBT 2013/025) prior to the entry into force of the present doctoral regulations shall continue to be subject to the provisions of those doctoral regulations until the completion of their doctoral studies.
- (5) Doctoral researchers who submitted an application for admission to a doctorate within the meaning of § 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 15 January 2008 (AB UBT 2008/009) as amended on 5 July 2008 (AB UBT 2011/032) prior to the entry into force of the present doctoral regulations will continue to be subject to the provisions of those doctoral regulations until the completion of their doctoral studies.

- (6) For applicants who already received a confirmation of supervision before the doctoral regulations of 15 September 2017 (AB UBT 2017/066) came into effect, the regulations of the doctoral regulations of 15 September 2017 (AB UBT 2017/066) apply with the following provisos:
- the confirmation of supervision replaces the supervisory agreement to be concluded in accordance with § 6 para 2 or 3 of the doctoral regulations of 15 September 2017 (AB UBT 2017/066).
  - doctoral researchers who complete their doctorate in accordance with paragraphs 3 to 5 will be registered online in accordance with § 4 para 3 and their personal data will be collected and processed under the conditions set out in § 5.
- (7) For doctoral researchers who concluded a supervisory agreement with a person pursuant to § 4 sentence 2 or 3 HSchPrüferV prior to the entry into force of these doctoral regulations, this supervisory agreement shall continue to apply; a decision by the extended doctoral committee pursuant to § 6 para 1 sentence 1 in conjunction with § 2 sentence 2 of these regulations is not required in this case.

**Annex 1**

**(Titel der Dissertation)**

Der Fakultät für Ingenieurwissenschaften  
der Universität Bayreuth  
zur Erlangung der Würde  
**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.

**Annex 2**

**(Titel der Dissertation)**

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

von

*(Akademischer Grad) (Name)*

aus

*(Geburtsort)*

Gutachterinnen/Gutachter<sup>1</sup>: *(Namen der beiden Gutachter/innen) \*)*

Diese Dissertation ist im Rahmen einer kooperativen Promotion mit der *(Name der beteiligten Hochschule)* entstanden.

Lehrstuhl *(Name des Lehrstuhls)*

Universität Bayreuth

*(Jahr)*

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

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**Annex 3**

**(Titel der Dissertation)**

Von der Fakultät für Ingenieurwissenschaften  
der Universität Bayreuth  
zur Erlangung der Würde  
**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.



**Annex 4**

**(Titel der Dissertation)**

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

von

*(Akademischer Grad) (Name)*

aus

*(Geburtsort)*

Gutachterinnen/Gutachter<sup>1</sup>: *(Namen der beiden Gutachter/innen)*

Diese Dissertation ist im Rahmen einer kooperativen Promotion mit der *(Name der beteiligten Hochschule)* entstanden.

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.

Issued on the basis of a decision made by the University of Bayreuth's Senate on 16 June 2021 and approved by the President of the University of Bayreuth on 24 June 2021, Ref. No. A 3524 - I/1.

Bayreuth, 25 June 2021	UNIVERSITY OF BAYREUTH [seal]	THE PRESIDENT [signature] Professor Dr. Stefan Leible
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These regulations were enacted at the university on 25 June 2021.

This was announced on 25 June 2021 by posting a notice at the university.

The date of the announcement is 25 June 2021.

Bayreuth, 25 June 2021	UNIVERSITY OF BAYREUTH [seal]	THE PRESIDENT [signature] Professor Dr. Stefan Leible
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