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# Doctoral degree regulations for the Faculty of Engineering Science of the University of Bayreuth of 25 July 2024

On the basis of Art. 9 Sentence 1 in conjunction with Art. 97 Para. 1 Sentence 6 of the Bavarian Higher Education Innovation Act (BayHIG), the University of Bayreuth issues the following doctoral degree regulations for the Faculty of Engineering Science

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#### **Section I: General provisions**

#### § 1

#### **Doctoral degree**

- (1) The University of Bayreuth awards the academic degree of Doktor-Ingenieurin or Doktor-Ingenieur, abbreviated to Dr.-Ing, through the Faculty of Engineering Science.
- (2) The doctorate serves as proof of independent scientific achievement, which must go considerably beyond the examination achievements required for acceptance to the doctorate in § 4 Para. 1 No. 1.
- (3) The doctoral work consists of a scientific paper (dissertation) written by the doctoral candidate and an oral examination (colloquium).
- (4) The University of Bayreuth awards the academic degree of Doktor-Ingenieurin ehrenhalber or Doktor-Ingenieur ehrenhalber, abbreviated to Dr.-Ing. E. h., through the Faculty of Engineering Science in accordance with § 17 as a rare distinction to individuals who have made outstanding scientific or technical achievements.

#### § 2

#### **Examination authorisation**

<sup>1</sup>Teaching staff authorised to conduct examinations (Art. 85 Para. 1 BayHIG) in accordance with these doctoral regulations are full-time and part-time university lecturers (Art. 19 Para. 1 Sentences 1 and 3 BayHIG) as well as professors who have been released from their duties or have retired (Art. 19 Para. 1 Sentence 4 BayHIG) from the Faculty of Engineering Science. <sup>2</sup>In justified cases (in particular ERC Starting Grant or leading a group in the DFG's Emmy Noether Programme), a person may be the examiner of a dissertation in accordance with Section 4 sentence 2 and sentence 3 HSchPrüferV; the doctoral committee shall decide on this. <sup>3</sup>Teaching staff from other faculties of the University of Bayreuth or other German or foreign universities may also be appointed as examiners, provided they fulfil the requirements specified in sentence 1. <sup>4</sup>In all other respects, Section 18 shall apply to cooperative doctoral projects and Section V within the framework of binational doctorates.

#### § 3

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

(1) The doctoral committee shall be responsible for the acceptance of doctoral candidates and the doctoral examination procedure, unless otherwise stipulated in these doctoral regulations.

- 1 The doctoral committee consists of the dean as chairperson and three professors of the Faculty of Engineering Science in accordance with Art. 19 para. 1 sentence 1 BayHIG as well as a junior professor or a part-time university lecturer of the Faculty of Engineering Science. <sup>2</sup>The members of the doctoral committee are elected by the Faculty Council for a period of two years. <sup>(3)</sup> The chairperson chairs the meetings of the doctoral committee and conducts the day-to-day business. <sup>4</sup>In matters that cannot be postponed, the Chairperson may make decisions in place of the Doctoral Committee, which must be informed immediately. <sup>5</sup>The members of the doctoral committee shall elect a deputy chairperson from among their number.
- 1 The Doctoral Committee shall constitute a quorum if all members have been duly convened and the majority of members are present and entitled to vote. 2 It shall pass resolutions by a majority of the votes cast. 3 Abstentions, secret ballots and proxy votes are not permitted. 4 In the event of a tie, the Chairperson shall have the casting vote. 5 The Doctoral Committee shall meet at least twice per semester.
- <sup>1</sup>The decisions of the Doctoral Committee shall be communicated to the candidate or doctoral candidate in writing by the Dean. <sup>2</sup>Appeals against decisions must be substantiated and accompanied by information on legal remedies.
- (5) Exclusion due to personal involvement is governed by Art. 51 Para. 2 BayHIG in compliance with Art. 20 and Art. 21 of the Bavarian Administrative Procedure Act (BayVwVfG).
- (6) <sup>1</sup>The doctoral committee shall draw up guidelines for quality assurance in the area of academic requirements and grading as well as for the content of the supervision agreements. <sup>2</sup>The Doctoral Commission shall report annually to the Faculty Council on the development of the doctoral system.
- other university lecturers in accordance with Art. 19 Para. 1 Sentences 1 and 3 BayHIG and the professors of the Faculty of Engineering Science who are released from their duties. <sup>2</sup>The extended doctoral committee shall be duly convened at the request of a member within two weeks; it is responsible for decisions in accordance with Section 6 (1) sentence 5, Section 11 (5) and (7) and Section 17 (3) of these regulations. <sup>3</sup>The chairperson is the dean. <sup>4</sup>Paragraphs 3 to 5 apply accordingly.

#### **Section II: The Ordinary Doctorate**

#### § 4

#### Requirements for acceptance to the doctorate

(1) In order to be accepted for a doctorate, the applicant must fulfil the following requirements:

- He or she must have completed a subject-related university degree programme; the stand-1. ard qualification is a university Diplom or Master's degree or a comparable Master's degree at a university of applied sciences (Fachhochschule/Hochschule für angewandte Wissenschaften, HAW). Applicants who have passed the final examination in a relevant diploma programme at a university of applied sciences/university of applied sciences with an overall grade of better than 2.0 and who have not exceeded the standard period of study by more than two semesters are also accepted for doctoral studies. Applicants who have passed the final examination in a subject-related scientific Bachelor's degree programme at a university or university of applied sciences/HAW with an overall grade of 1.0 and have not exceeded the standard period of study and can provide proof that they are among the top 5% of their year of study will also be accepted for doctoral studies. The doctoral committee may also recognise degrees in subjects related to engineering (e.g. physics, chemistry, biology, technomathematics, computer science, industrial engineering) as sufficient prereguisites for a doctorate. Foreign degrees are also recognised according to the principle of equivalence in accordance with Art. 86 BayHIG. Equivalence is determined by the equivalence agreements approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder and the German Rectors' Conference; if there are doubts about equivalence, the Central Office for Foreign Education can be consulted.
- 2. The doctoral committee may make acceptance dependent on the completion of additional work from the engineering subjects of the Bachelor's and Master's degree programmes of the Faculty of Engineering Science amounting to no more than 15 credit points. The examinations in the subjects in which additional work is to be completed must be either oral or written in accordance with the examination regulations or the examination and study regulations of the Faculty's Bachelor's and Master's degree programmes. The examinations must be passed with a minimum grade of 4.0. Failed examinations can be repeated once.
- 3. He or she must not have definitively failed this or another similar doctoral examination.
- 4. He or she must have concluded a supervision agreement in accordance with Section 6 (2) or (3) with a teacher authorised to conduct examinations in accordance with Section 2; there is no entitlement to the conclusion of a supervision agreement.
- 5. He or she must not have shown himself or herself to be unworthy of holding a doctoral degree through his or her behaviour.
- <sup>1</sup>Acceptance for the doctorate must be applied for in writing to the doctoral committee via the dean before the doctoral relationship is established. <sup>2</sup>The application must be accompanied by the documents required to prove the acceptance requirements specified in para. <sup>1</sup> and a declaration by the applicant that he or she has not already been accepted for doctoral studies in the same subject at another university or another doctoral institution of the University of Bayreuth.
- (3) The application is accompanied by online registration as an applicant with the Faculty of Engineering Science.

(4) The doctorate begins upon receipt of written confirmation of acceptance for the doctorate by the Faculty of Engineering Science.

## § 5

#### **Statistical requirements**

- (1) <sup>1</sup>With the application for acceptance for doctoral studies, personal data of the doctoral candidate will be collected by the doctoral institution of the University of Bayreuth in accordance with the survey characteristics regulated in § 5 of the HStatG for the implementation of the University's data collection obligations regulated in the Higher Education Statistics Act (HStatG), stored automatically and processed for the fulfilment of legal tasks as well as for the purposes of legislation and planning in the higher education sector in accordance with § 1 para. 1 of the HStatG in the context of the doctorate. <sup>2</sup>In this respect, the applicant is obliged to co-operate and to provide personal data (Art. 7 para. 2 sentence 4 BayHIG).
- <sup>1</sup>Data is regularly transmitted or passed on to the Bavarian State Office for Statistics in relation to the survey characteristics of the HStatG and to the university administration for the purpose of presenting university statistics. <sup>2</sup>The utilisation and processing of personal data takes place under the conditions of Art. 7 BayHIG.

#### § 6

#### **Supervision, Supervision Agreement**

- (1) <sup>1</sup>The dissertation shall be supervised by a teacher authorised to conduct examinations in accordance with § 2. <sup>2</sup>If the supervisor leaves the Faculty of Engineering Science, he or she may continue to supervise the thesis for up to three years after leaving, provided that he or she remains authorised to supervise under the conditions of § 2. <sup>3</sup>A retired professor (§ 4 sentence 1 HSchPrüferV, Art. 60 para. 6 BayHIG) may continue to supervise for up to four years after retirement. <sup>4</sup>If the supervisor of a doctorate can no longer continue to supervise it, the doctoral committee shall ensure, as far as possible, that the dissertation continues to be supervised. <sup>(5)</sup>Retired professors may also establish a supervisory relationship with applicants after retirement within the period specified in sentence 3 and with the consent of the extended doctoral committee.
- (2) The supervisor in accordance with paragraph 1 and the candidate shall record the key points of the doctorate in a written agreement (supervision agreement).
- (3) <sup>1</sup>In the case of cooperative doctorates (§ 18), the dissertation shall be supervised equally by the participating authorised examiners or supervisors from the university and the university of applied sciences/HAW. <sup>2</sup>They shall jointly conclude a supervision agreement with the candidate.
- (4) <sup>1</sup>The supervisor may terminate the supervisory relationship in writing if

- despite adequate supervision, it becomes apparent after a sufficiently long processing period that successful completion of the doctoral examination procedure can no longer be expected within a reasonable period of time, or
- 2. the basis of trust in the supervisory relationship has been destroyed and co-operation no longer appears possible.

<sup>2</sup>Before giving notice of termination, the supervisor shall explain the reasons to the doctoral candidate and give him or her the opportunity to comment. <sup>3</sup>If the doctoral candidate objects to the cancellation in writing, the Doctoral Committee shall decide on the validity of the cancellation. <sup>4</sup>The doctoral candidate may terminate the supervisory relationship in writing at any time; withdrawal from the doctoral procedure in accordance with § 9 shall be deemed to be termination. <sup>5</sup>Upon termination, the supervisory relationship shall end and the supervision agreement shall be deemed cancelled. <sup>6</sup>The supervisor shall inform the doctoral committee of the cancellation.

(5) ¹In the event of a change of supervisor, an application must be submitted to the Doctoral Committee. ²This must be accompanied by a mutual declaration of consent with the termination of the supervisory relationship by the previous supervisor and the assumption of the supervisory relationship by the new supervisor.

#### § 7

#### Application for admission to the doctoral examination procedure

<sup>1</sup>Admission to the doctoral examination procedure must be applied for in writing to the Doctoral Committee via the Dean. <sup>2</sup>The application must be accompanied by

- 1. Five identical copies of the dissertation, which must fulfil the requirements of § 10,
- 2. The certificate of acceptance for the doctorate,
- 3. an affidavit by the doctoral candidate stating that he or she has written the dissertation independently and has not used any sources and aids other than those specified by him or her (cf. Art. 97 para. 1 sentence 8 BayHIG), as well as an updated declaration that he or she has not already submitted the dissertation for the award of an academic degree and that he or she has not already definitively failed this or a similar doctoral examination,
- 4. A curriculum vitae of the doctoral candidate in tabular form, which in particular provides information on the educational background,
- 5. An official certificate of good conduct. In the case of foreign doctoral candidates, proof recognised as equivalent by the University of Bayreuth must be submitted. This may be an extract from the criminal record of the home country, a certificate of good character or a comparable document. If the doctoral candidate is enrolled or is in the civil service of the Free State of Bavaria, the certificate of good conduct may be waived. The official certificate of good conduct or proof must

show that the doctoral candidate has not proven to be unworthy of holding a doctoral degree through his or her behaviour. The certificate of good conduct or proof must not be more than 6 months old,

- 6. A declaration by the doctoral candidate that he or she has not used or will not use commercial doctoral mediation and counselling services,
- 7. the electronic version of the dissertation as well as a declaration of consent by the doctoral candidate that the electronic version of the dissertation may be subject to a separate review in compliance with his or her copyrights and data protection,
- 8. A declaration of consent by the doctoral candidate that investigations may be carried out by internal university bodies of academic self-regulation in the event of suspected academic misconduct,
- 9. If applicable, the applications according to § 25 and § 26,

<sup>3</sup>As a rule, a letter from the supervisor must be enclosed with the application documents, stating that he or she agrees to take on the initial assessment as well as a proposal for the second assessor and the further examiner; in exceptional cases, the doctoral committee may dispense with this letter and take on the appointment of the assessors and the further examiner.

#### § 8

# Decision on acceptance for the doctorate and admission to the doctoral examination procedure

- (1) Acceptance for the doctorate shall be refused if the requirements specified in Section 4 (1) are not met.
- (2) Admission to the doctoral examination procedure shall be refused if
  - 1. the candidate has not been accepted for the doctorate or
  - 2. the documents required in § 7 are incomplete or
  - 3. the doctoral candidate has proven to be unworthy of holding the doctoral degree due to his or her behaviour.
- (3) <sup>1</sup>The Doctoral Committee shall decide on the candidate's or doctoral candidate's applications within three months. <sup>2</sup>The decisions on the applications for acceptance for the doctorate or for admission to the doctoral examination procedure shall be communicated to the applicant or doctoral candidate in accordance with Section 3 (4).

#### Withdrawal

- 1 The doctoral candidate may withdraw from the doctorate at any time, provided that no application for admission to the doctoral examination procedure has yet been submitted. <sup>2</sup>If he or she withdraws from the doctorate at a time when he or she has not yet received a negative decision on the application for admission to the doctoral examination procedure, the dissertation shall be deemed not to have been submitted. <sup>3</sup>If the doctoral candidate withdraws the application for admission after he or she has received a negative decision on the dissertation or the oral examination has begun, the doctorate shall be deemed to have been unsuccessfully completed. <sup>4</sup>The dean shall issue the doctoral candidate with a written decision on this, which must be substantiated and include information on legal remedies. <sup>5</sup>Applications in accordance with sentences 1 to 3 must be addressed to the Dean. <sup>6</sup>With the withdrawal from the doctorate, the supervision agreement shall be deemed cancelled.
- (2) <sup>1</sup>In the event that the supervisor moves to another university and the doctoral candidate wishes to continue his/her doctorate at the new university, a request for withdrawal must be submitted to the dean. <sup>2</sup>Paragraph 1 sentence 6 does not apply in this case.

#### § 10

#### Dissertation

- (1) <sup>1</sup>The dissertation must be an independent scientific achievement of the doctoral candidate in an engineering field and contribute to the solution of scientific problems. <sup>2</sup>It should lead to new scientific findings. <sup>3</sup>It must present the results obtained in an appropriate form. <sup>3</sup>The independent scientific work may consist of a monographic dissertation or an equivalent cumulative dissertation (cf. para. 6 ff.).
- <sup>1</sup>The dissertation must be signed and submitted in typescript; it must be bound, paginated and have a table of contents and contain a German and an English abstract providing information on the problem and findings. <sup>2</sup>The literature used and other auxiliary sources must be cited in full; passages taken verbatim or almost verbatim from the literature must be labelled. <sup>3</sup>The cover page of the submitted thesis shall be designed in accordance with the specimen in Annex 1 or, in the case of a co-operative doctorate, in accordance with the specimen in Annex 2.
- (3) The dissertation must be written in German or English.
- <sup>1</sup>In the case of a monographic dissertation, at least one article that has already been published or accepted for publication in a scientifically recognised, relevant journal with independent peer review must be submitted together with the dissertation. <sup>2</sup>The content of the publication must be thematically related to the content of the dissertation.

- (5) <sup>1</sup>The essay pursuant to para. 4 must be a research article or full research paper. <sup>2</sup>The doctoral candidate must be the first author of . <sup>3</sup>A shared first authorship is possible; in this case, the first authorship may only be shared with one other author and the shared first authorship must be labelled in the list of authors. <sup>4</sup>Shared first authorship by two doctoral candidates from the same chair is not permitted.
- (6) <sup>1</sup>With the consent of the supervisor, a cumulative dissertation may be submitted instead of a monographic dissertation. <sup>2</sup>This shall consist of:
  - at least three articles which have already been published or accepted for publication in scientifically recognised, relevant journals with independent peer review and which are closely related to the subject matter and which the doctoral candidate has written as the first author, and
  - 2. an unpublished presentation of at least 40 pages plus the indexes.
- <sup>1</sup>At the time of acceptance of the article, the journals referred to in paragraph 6 sentence 2 no. 1 must be at least Q2 journals in the respective subject area according to the rankings specified in the Guide to the Doctoral Degree Regulations. <sup>2</sup>The articles according to para. 6 sentence 2 no. 1 must be research articles or full research papers. <sup>(3)</sup> A maximum of two of the articles may have a shared first authorship; in this case, the first authorship may only be shared with one other author and the shared first authorship must be labelled in the list of authors. <sup>4</sup>Shared first authorship by two doctoral candidates from the same chair is not permitted.
- 1 The presentation according to para. 6 sentence 2 no. 2 should establish the thematic context of the essays according to para. 6 sentence 2 no. 1, place the problems dealt with in a larger scientific context and present the knowledge gained. The presentation shall consist of an introduction and a synthesis. The introduction must make it clear which overarching scientific question links the essays and which aspects are covered by the individual essays. The synthesis refers to the essays as a whole. The must summarise and comprehensively discuss the individual results of the essays. In the synthesis, the doctoral candidate must conclusively demonstrate what the essays as a whole contribute to answering the scientific question formulated in the introduction.

#### Assessment of the dissertation

(1) <sup>1</sup>After admission to the doctoral examination procedure, the doctoral committee shall immediately appoint two authorised teachers to assess the dissertation as first and second assessors; at least one of them must be a professor in 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 theses that go beyond the core area of the candidate's own subject, a teacher of the other subject who is authorised to conduct examinations should be appointed as the second assessor or as an additional assessor.

- (2) In the case of cooperative doctorates (§ 18), the two equally authorised supervisors of the dissertation from the university and the university of applied sciences/HAW are generally appointed as reviewers.
- (3) <sup>1</sup>Each reviewer shall submit a written report on the dissertation within a reasonable period of time, which should generally not exceed three months, and propose the acceptance or rejection of the dissertation. <sup>2</sup>Each reviewer shall assess the dissertation and award a grade according to the following scheme:

very good = 1,0 = an achievement to be particularly recognised;

good = 2,0 = a performance exceeding the average requirements;

satisfactory = 3.0 = a performance that fulfils average requirements;

inadequate = 4.0 = a performance that suffers from considerable deficiencies and is no

longer usable overall.

<sup>3</sup>The use of the intermediate grades

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 Section 14 (2) sentence 4); the assessment of the dissertation shall also be based on sentences 2 and 3 in these cases. <sup>5</sup>The grade of the dissertation shall be the arithmetic mean of the individual grades corresponding to the grades awarded by the reviewers. <sup>6</sup>Two decimal places shall be taken into account without rounding. <sup>7</sup>If the grade is lower than "3.00", the grade of the dissertation is "inadequate".

- <sup>1</sup>The doctoral committee shall appoint a further assessor, who must be a professor, if the first assessor and the second assessor differ in their assessment proposals by more than one grade.

  <sup>2</sup>The doctoral committee may appoint teachers authorised to conduct examinations as additional assessors if an assessor suggests this or if the doctoral committee deems it necessary in order to ensure a proper assessment. <sup>3</sup>Paragraph 2 shall apply accordingly.
- (5) The Dean shall circulate the dissertation and the reviews to up to five members of the extended doctoral committee; digital circulation is also possible. <sup>2</sup>A copy of the dissertation and the reviews shall be available for inspection by the members of the extended doctoral committee in the Dean's Office until the end of the circulation procedure but for at least two weeks. <sup>3</sup>Upon request, the electronic version of the dissertation shall be made available to those authorised to inspect it; copyrights and data protection must 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 dissertation is graded "satisfactory" or better, it shall be accepted. <sup>6</sup>If the dissertation is assessed as "inadequate", it shall be rejected. <sup>7</sup>Section 3 (4) applies accordingly.

- (6) <sup>1</sup>If the dissertation is rejected, the doctoral candidate may submit a new dissertation within two years of the announcement of the rejection. <sup>2</sup>Paragraphs 1 to 5 shall apply to the further procedure. <sup>3</sup>If the doctoral candidate does not submit a new dissertation within the period specified in sentence 1 or if the new dissertation is also rejected, the doctoral examination procedure shall be terminated without success. <sup>4</sup>Section 3 (4) shall apply accordingly.
- (7) <sup>1</sup>The doctoral committee or extended doctoral committee may return a dissertation to the doctoral candidate for revision if it should be rejected. <sup>2</sup>In this case, the doctoral candidate may also submit a new dissertation instead of the revised version. <sup>3</sup>He or she must submit the revised or the 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; otherwise, paragraphs 1 to 6 shall apply. <sup>5</sup>If the doctoral candidate fails to submit the revised or new dissertation by the deadline or if the revised or new dissertation is also rejected, the doctoral examination procedure shall be terminated without success. <sup>6</sup>Section 3 (4) applies accordingly.

#### **Examination Board**

- (1) <sup>1</sup>A scientific colloquium (§ 13) shall take place before the Examination Board within a reasonable period of time after acceptance of the dissertation. <sup>2</sup>The examination committee shall consist of
  - 1. A professor within the meaning of Art. 19 para. 1 sentence 1 BayHIG of the Faculty of Engineering Science, who may not be a reviewer, as chairperson,
  - 2. The reviewers,
  - 3. A further authorised examiner within the meaning of § 2.

<sup>3</sup>If an assessor within the meaning of sentence 2 no. 2 is unable to participate in the further procedure, another teacher authorised to conduct examinations within the meaning of § 2 shall be appointed as a member of the examination board in their place, provided that fewer than two assessors are involved as a result.

<sup>1</sup>The Chairperson and the other members of the Examination Board shall be appointed by the Doctoral Committee immediately after acceptance of the dissertation. <sup>2</sup>The doctoral candidate shall be informed of the composition of the Examination Board.

#### Colloquium

- (1) <sup>1</sup>The colloquium is a collegial individual examination. <sup>2</sup>It is a scientific debate intended to show whether the doctoral candidate has an in-depth knowledge of his or her field of work and other related subject areas and is familiar with current developments in his or her subject.
- <sup>1</sup>The Dean shall determine the date of the colloquium in consultation with the Chair of the Examination Board. <sup>2</sup>The members of the Examination Board and the doctoral candidate shall be invited to the colloquium in writing by the Dean. <sup>3</sup>The doctoral candidate must be invited at least fourteen days before the date of the colloquium. <sup>4</sup>The Dean may shorten the invitation period in agreement with the doctoral candidate.
- is open to the university public; the chairperson of the examination board may allow other persons to attend as listeners. <sup>2</sup>The subsequent academic discussion lasts approximately 60 minutes and is not open to the public. <sup>3</sup>The Doctoral Committee may authorise the doctoral candidate to hold the colloquium in a language other than German. <sup>4</sup>The colloquium shall be chaired by the Chair of the Examination Board. <sup>5</sup>Members of the Doctoral Committee and the Extended Doctoral Committee who are not members of the Examination Committee as well as other faculty members authorised to conduct examinations may participate in the academic discussion as listeners. <sup>6</sup>The chairperson of the examination committee may allow questions from the teaching staff present on the basis of the regulation in sentence 5; he or she shall ensure that the members of the examination committee have an appropriate share of the examination time.
- (4) The colloquium shall take place in the presence of all members of the Examination Committee and the doctoral candidate. <sup>2</sup>In justified exceptional cases, one of the examiners may be connected via video conference. <sup>3</sup>In this case, the Chair of the Examination Board shall be responsible for the proper and reliable technical implementation. <sup>4</sup>Should the chairperson come to the conclusion that it is not possible to conduct the colloquium properly due to technical difficulties, the procedure shall be cancelled; the colloquium shall then be rescheduled. <sup>5</sup>An application by the examiner concerned must be submitted to the Dean in consultation with the Chair of the Examination Board and with the written consent of the doctoral candidate in advance and approved by the Doctoral Committee.
- (5) The colloquium shall be graded after joint discussion by the members of the Examination Committee and shall be based on the grading scale in accordance with Section 11 (3). <sup>2</sup>When grading the colloquium, the arithmetic mean of the individual grades of the members of the Examination Committee shall be calculated and two decimal places shall be taken into account without rounding. <sup>3</sup>If a doctoral candidate does not achieve a grade of at least "satisfactory" (3.00) in the colloquium, the colloquium is failed.

- (6) <sup>1</sup>Minutes shall be taken of the colloquium and the determination of the overall grade for the doctorate. <sup>2</sup>The minutes 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 candidate,
  - 4. The subject of the examination,
  - 5. The grades of the dissertation and the colloquium as well as the overall grade of the doctorate in accordance with 14.

<sup>3</sup>The minutes shall be signed by the chairperson and the examiners.

- 17 The doctoral candidate may repeat the failed colloquium once. <sup>2</sup>The application to repeat the colloquium must be submitted to the dean within one year of the notification of failure of the colloquium. <sup>3</sup>In exceptional cases, the Doctoral Committee may authorise a second repetition of the failed colloquium; an application to this effect by the doctoral candidate must be submitted to the Dean within six months of notification of the repeated failure of the colloquium. <sup>4</sup>The doctoral examination procedure is terminated without success if the doctoral candidate does not submit the application for a retake within the deadlines specified in sentences 2 and 3 or the doctoral committee does not allow a second retake of the colloquium or the doctoral candidate does not pass the colloquium at the second retake either. <sup>5</sup>Section 3 (4) shall apply accordingly.
- (8) ¹If the doctoral candidate fails to appear for the colloquium or withdraws from the examination after it has begun, he or she must immediately notify the Dean in writing of the reasons for the failure or withdrawal and provide credible evidence. ²If the doctoral candidate is ill, the Dean may request the submission of a medical certificate or a certificate from an official doctor. ³If the doctoral candidate is not responsible for the reasons for the absence or withdrawal, the dean shall set a new date in accordance with para. 2. ⁴If the doctoral candidate does not immediately report and substantiate the reasons for the failure or withdrawal in accordance with sentence 1 or is responsible for these reasons, the doctoral examination procedure shall be deemed to have been terminated without success. ⁵Section 3 (4) shall apply accordingly.

#### § 14

#### Overall grade of the doctorate

- (1) If the colloquium is passed, the Examination Board shall determine the overall grade of the doctorate.
- <sup>1</sup>The overall grade of the doctorate shall be the sum of the double grade of the dissertation and the single 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 system applies to the overall grade:

1.00 to 1.50 = magna cum laude (very good)

above 1.50 to 2.50 = cum laude (good)

above 2.50 to 3.00 = rite (satisfactory).

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- all reviews have rated the thesis as "very good" and
- at least one of the reviews has recommended the thesis for an award and
- more than two thirds of the members of the examination board have awarded the colloquium a grade of 1.0 and
- more than two thirds of the members of the examination committee are in favour of awarding the thesis a distinction,

the overall grade "summa cum laude (with distinction)" is awarded.

- (3) The overall grade and the grade of the dissertation shall be presented to the doctoral candidate orally by the Chair of the Examination Board following the colloquium.
- (4) <sup>1</sup>The Dean shall issue the doctoral candidate with a written interim notification of the result of the passed examination. <sup>2</sup>This interim notification does not authorise the holder to use the doctoral degree.

#### **§ 15**

#### **Publication of the dissertation**

- (1) The doctoral candidate must make the final version of the dissertation, as agreed with the supervisor, available to the academic public through reproduction and dissemination.
- (2) For this purpose, the doctoral candidate must submit 20 deposit copies in book and photo print to the Dean free of charge within one year of receiving the interim notification of the result of the passed examination.
- (3) <sup>1</sup>Instead of the deposit copies specified in para. 2, the doctoral candidate may, in agreement with the supervisor, authorise the dissemination of the dissertation
  - via the book trade by a commercial publisher with a minimum print run of 150 copies or
  - by online publication on a document server of the Bayreuth University Library.

<sup>2</sup>The cover page of the final version of the dissertation should be worded in accordance with Annex 3 or, in the case of a co-operative doctorate, in accordance with Annex 4. <sup>3</sup>Proof must be provided to the Dean by submitting a certificate from the publisher confirming the number of copies or a confirmation from the University Library confirming the online publication and free delivery of six copies of the publication in book and photo print.

- (4) In the cases of para. 2, the doctoral candidate 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 submission of the deposit copies at the request of the doctoral candidate.
- <sup>1</sup>If the doctoral candidate misses the deadline for submitting the deposit copies through his or her own fault, all rights acquired through the successful completion of the examination procedure shall expire. <sup>2</sup>Section 3 (4) shall apply accordingly.
- (7) In the cases of para. 3, first indent, the dean 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 publisher.

#### **Certificate and completion of the doctorate**

- (1) <sup>1</sup>If the requirements specified in § 15 are met, the Faculty of Engineering Science shall issue a certificate in German confirming that the doctoral examination has been passed.
- (2) If the content of the dissertation is related to an intended or completed patent application, the dean may delay publication of the submitted deposit copies of the dissertation by up to six months at the justified request of the doctoral candidate without affecting the completion of the doctorate.
- (3) <sup>1</sup>The certificate confirms the successful completion of the doctorate and contains
  - the name of the university and the faculty
  - the first and last names of the doctoral candidate, date and place of birth,
  - the academic degree awarded,
  - the title of the dissertation,
  - the date of the colloquium,
  - the overall grade of the doctorate,
  - the name and signature of the President of the University of Bayreuth of the University of Bayreuth and the dean of the faculty
  - the seal of the University of Bayreuth.
  - <sup>2</sup>The date of the certificate is the date of the colloquium.
- (4) In the case of cooperative doctorates (§ 18), the participating university of applied sciences/HAW must also be stated on the certificate.

<sup>1</sup>The certificate shall be issued by the Dean. <sup>2</sup>The doctorate is completed and finalised with the awarding of the certificate; the doctoral candidate thereby receives the right to use the doctoral degree in accordance with Section 1.

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

#### § 17

#### **Honorary doctorate**

- (1) <sup>1</sup>The procedure for an honorary doctorate shall be initiated by at least three professors within the meaning of Art. 19 para. 1 sentence 1 BayHIG of the Faculty of Engineering Science upon substantiated application. <sup>2</sup>The application must be addressed to the Dean.
- of whom should belong to other German universities, to assess the extraordinary academic achievement of the person to be honoured. <sup>2</sup>The application and the expert reports shall be submitted to the members of the Faculty Council and the extended doctoral committee. <sup>3</sup>These may submit a written statement within one month. <sup>4</sup>When the reviews are available, the Dean shall forward the application and the reviews to the members of the Faculty Council and all authorised examiners within the meaning of Art. 85 para. 1 sentence 2 no. 1 BayHIG and § 4 sentence 1 HSchPrüferV. <sup>5</sup>They may submit a written statement within one month of receiving the documents referred to in sentence 2.
- <sup>1</sup>The Faculty Council shall decide on the award of the honorary doctorate. <sup>2</sup>The decision of the Faculty Council requires an application from the extended doctoral committee. <sup>3</sup>The decision shall be made in consideration of the expert reports, any statements pursuant to para. 2 sentence 3 and the application of the extended doctoral committee.
- <sup>1</sup>The President and the Dean of the Faculty of Engineering Science shall confer the honorary doctorate by presenting the honoured person with a certificate. <sup>2</sup>The certificate shall recognise the academic achievements of the honoured person.

#### **Section IV: Cooperative doctorates**

#### § 18

#### **Cooperative doctorates**

(1) The Faculty of Engineering Science at the University of Bayreuth enables the cooperative completion of doctorates with universities of applied sciences/universities of applied sciences as well

- as the completion of joint doctorates on the basis of the agreement of the Bavarian universities of 19 October 2015 within the framework of the provisions of these doctoral regulations.
- (2) The University of Bayreuth is responsible for co-operative doctorates.
- (3) Further arrangements can be made through cooperation agreements between the universities.

#### **Section V: Binational doctorates**

#### § 19

#### **General provisions**

- (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 requires that
  - 1. An agreement approved by the Doctoral Committee has been concluded with the partner institution on the cross-border joint supervision of the doctorate,
  - the partner institution has the right to award doctorates under its national legislation and the academic degree to be awarded by it would be recognised within the scope of the Higher Education Framework Act,
  - 3. the applicant or doctoral candidate fulfils the requirements for acceptance for the doctorate and admission to the doctoral examination procedure both in accordance with these Doctoral Degree Regulations (§§ 4, 7 and 8) and in accordance with the corresponding regulations of the partner institution,
  - 4. the doctoral candidate has been actively employed at each of the participating institutions for at least one year.

<sup>3</sup>At the request of a member of the doctoral committee, the extended doctoral committee shall be consulted for the approval of the agreement in accordance with sentence 2, no. 1. Paragraphs 2 and 3 as well as §§ 20-22 shall apply to binational doctorates, unless the agreement pursuant to paragraph 1 sentence 2 no. 1 contains deviating provisions.

1 The dissertation shall be supervised by a supervisor in accordance with § 6 Para. 1 in conjunction with § 2. § 2 and a member of the partner institution who is authorised to conduct examinations in accordance with the provisions of that section, and may be submitted to the Faculty of Engineering Science at the University of Bayreuth or to the partner institution. The details of the joint supervision shall be set out in the agreement pursuant to para. 1 sentence 2 no. 1. A dissertation that has already been submitted to one of the participating educational institutions and accepted or rejected prior to the conclusion of an agreement pursuant to para. 1 sentence 2 no. 1 cannot be the subject of a joint doctoral examination procedure.

(3) The grading of the doctoral work shall be carried out in accordance with the regulations of the institution at which the dissertation is submitted; the other institution shall determine the equivalent grades in accordance with its doctoral regulations.

#### § 20

# Doctoral examination procedure at the Faculty of Engineering Science of the University of Bayreuth

- (1) <sup>1</sup>If the dissertation is to be submitted to the Faculty of Engineering Science at the University of Bayreuth, Sections 10 and 11 shall apply to the dissertation and its assessment. <sup>2</sup>The supervisors of the dissertation in accordance with Section 19 (2) sentence 1 shall generally be appointed as reviewers.
- 1 If the dissertation is accepted in the procedure according to § 11, it shall be forwarded to the partner institution for approval of the continuation of the doctoral examination procedure. If the partner institution grants this approval, the oral examination shall take place in accordance with §§ 12 and 13. If the supervisor of the dissertation from the partner institution is not a member of the examination committee in accordance with Section 12 (1) Sentence 2 No. 2, his or her appointment as a member of the examination committee or, alternatively, the appointment of another member of the partner institution who is authorised to examine in accordance with the provisions of that section shall be provided for in the agreement in accordance with Section 19 (1) Sentence 2 No. 1.
- (3) <sup>1</sup>If the dissertation has been accepted by the Faculty of Engineering Science at the University of Bayreuth, but the partner institution has refused to agree to the continuation of the examination, the joint procedure shall be terminated; the doctoral examination shall be continued in accordance with the provisions of these Doctoral Degree Regulations. <sup>2</sup>Sentence 1 shall apply 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 Section 15 and the supplementary agreements concluded in accordance with Section 19 (1) sentence 2 no. 1.

#### § 21

#### Doctoral examination procedure at the partner institution

(1) <sup>1</sup>If the dissertation is to be submitted to the partner institution, the examination procedure in accordance with the doctoral degree regulations of the partner institution shall apply. <sup>2</sup>The agreement pursuant to Section 19 (1) Sentence 2 No. 1 shall provide for the appointment of the supervisor pursuant to Section 19 (2) Sentence 1 from the Faculty of Engineering Science at the University of Bayreuth or, if this cannot be consulted, another teacher from the Faculty of Engineering

- Science at the University of Bayreuth who is authorised to conduct examinations in accordance with these doctoral degree regulations as an assessor to assess the dissertation.
- 1 lf the dissertation has been accepted by the partner institution, it shall be forwarded to the Faculty of Engineering Science at the University of Bayreuth for approval of the progress of the examination. 2 Section 11 (4) applies accordingly. 3 lf the Faculty of Engineering Science of the University of Bayreuth gives its approval, the oral examination shall take place at the partner institution in accordance with the provisions there. 4 The agreement pursuant to Section 19 (1) Sentence 2 No. 1 must stipulate that in this case the supervisor pursuant to Section 19 (2) Sentence 1 from the Faculty of Engineering Science at the University of Bayreuth or, if this is not possible, alternatively another teacher from the Faculty of Engineering Science at the University of Bayreuth who is authorised to conduct examinations pursuant to these doctoral degree regulations must be a member of the committee conducting the oral examination as an examiner.
- (3) <sup>1</sup>If the dissertation is accepted at the partner institution, but the Faculty of Engineering Science at the University of Bayreuth refuses to approve the continuation of the examination, the joint procedure shall be terminated. <sup>2</sup>The doctoral examination procedure may be continued in accordance with the regulations of the partner institution. <sup>3</sup>Sentences 1 and 2 shall apply accordingly if the oral examination is assessed as failed by the Faculty of Engineering Science of the University of Bayreuth.
- (4) <sup>1</sup>The provisions applicable to the partner institution shall apply to the publication of the dissertation and the delivery of the deposit copies. <sup>2</sup>The agreement pursuant to Section 19 (1) Sentence 2 No. 1 shall also stipulate how many copies are to be made available to the Faculty of Engineering Science at the University of Bayreuth; alternatively, publication of the dissertation may be agreed in accordance with Section 15 (3) Sentences 1 and 3. <sup>3</sup>In any case, one copy of the dissertation shall remain with the examination files. <sup>4</sup>The issue of the doctoral certificate to be issued in accordance with § 22 shall be made dependent on the fulfilment of the delivery obligations.

#### Joint certificate

- (1) <sup>1</sup>After the successful completion of a joint doctorate, the Faculty of Engineering Science of the University of Bayreuth and the partner institution shall issue a joint doctoral degree award certificate stating that the doctorate was awarded under joint supervision. <sup>2</sup>The certificate shall bear the signatures and seals required in accordance with the provisions of these doctoral degree regulations and the regulations of the partner institution.
- (2) The joint doctoral certificate shall indicate that the doctoral candidate is authorised to use the doctoral degree in Germany in accordance with Section 1 (1) and the doctoral degree awarded in the foreign country.

<sup>1</sup>The details of the form of the certificate shall be governed by the agreement pursuant to Section 19 (1) Sentence 2 No. 1. <sup>2</sup>It shall also include the equivalence of grades. <sup>3</sup>The equivalent foreign grade shall be listed on the joint doctoral certificate and labelled accordingly.

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

#### § 23

#### **Invalidity of doctoral achievements**

- (1) If it transpires prior to the award of the certificate that the doctoral candidate has cheated in the doctorate, the Doctoral Committee shall declare all previously acquired authorisations invalid and discontinue the procedure.
- <sup>1</sup>If the deception or other illegality only becomes known after the certificate has been issued, the doctoral committee may subsequently declare the doctoral examination failed. <sup>2</sup>Withdrawal of the doctoral degree shall be governed by the statutory provisions (Art. 48 BayVwVfG). <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 specificity, form and justification of the decision, the provisions on the creation of administrative acts (Art. 35 et seq. BayVwVfG) must be observed.
- (3) In the event of suspected academic misconduct, the Doctoral Committee shall in principle only make its decision once the Commission for Academic Integrity has submitted its report. (2) If the Doctoral Committee has already decided in advance in special cases, the further consultation by the Commission for Research Integrity shall remain unaffected. <sup>3</sup>A declared renunciation of the doctoral degree shall have no influence on the initiation and progress of the procedure in accordance with sentences 1 and 2.
- (4) In the event of failure of the doctoral examination in accordance with paragraph 2 sentence 1, the doctoral certificate shall be withdrawn.
- (5) In all other respects, the withdrawal of the doctoral degree shall be governed by Art. 101 BayHIG in conjunction with the relevant provisions of the BayVwVfG.

#### § 24

#### **Right of inspection**

<sup>1</sup>After receipt of the interim notification in accordance with Section 14 (4) or after the unsuccessful completion of the doctoral examination procedure, the doctoral candidate may inspect the doctoral documents. <sup>2</sup>The Dean shall determine the time and place of the inspection. <sup>3</sup>The application must be submitted to the Dean of the Faculty of Engineering Science within one month of receipt of the interim

notification in accordance with Section 14 (4) or the unsuccessful completion of the doctoral examination procedure. <sup>4</sup>The procedure for inspection in these and other cases in which a request for inspection is made is governed by Art. 29 et seq. BayVwVfG.

# § 25 Consideration of protective provisions

# <sup>1</sup>The utilisation of protection periods under the Maternity Protection Act must be guaranteed. <sup>2</sup>Upon application, the utilisation of parental leave in accordance with the Federal Parental Allowance and Parental Leave Act and the periods for the care of a close relative within the meaning of Section 7 (3) of the Care Leave Act, who is in need of care within the meaning of Sections 14 and 15 of the Eleventh Book of the Social Security Code, must be guaranteed. <sup>3</sup>The relevant evidence must be kept; changes in the requirements must be notified immediately.

(2) <sup>1</sup>Upon application, periods during which the doctorate cannot be pursued or can only be pursued to a very limited extent for reasons for which the doctoral candidate is not responsible shall not be counted towards time limits. <sup>2</sup>The relevant evidence must be provided; in the case of illness, medical certificates must be submitted. <sup>3</sup>Changes to the requirements must be notified immediately.

#### § 26

# Consideration of special needs of people with disabilities or chronic illness and in special circumstances

- 1 ln order to ensure equal opportunities, the special needs of applicants/doctoral candidates with disabilities or chronic illnesses within the meaning of the Bavarian Equal Opportunities for Persons with Disabilities Act shall be taken into account in an appropriate manner. <sup>2</sup>Upon written application by the applicant or doctoral candidate, the doctoral committee shall determine, depending on the severity of the proven examination disability or chronic illness, the form in which the examination is to be taken or shall grant an extension of working hours or other compensation for disadvantages. <sup>3</sup>Proof of the examination disability or chronic illness must be provided in the form of a medical certificate stating that the examination cannot be taken in the intended form in whole or in part due to a prolonged or permanent disability or chronic illness. <sup>4</sup>The application must be attached to the application for acceptance for doctoral studies. <sup>5</sup>If the application is submitted later, it shall only apply to future achievements.
- <sup>1</sup>Candidates/doctoral candidates in special circumstances may apply to the Doctoral Committee for compensation for disadvantages in accordance with para. 1. <sup>2</sup>The doctoral committee shall decide on the existence of a special life situation and the extent of the compensation for disadvantages.

#### **Entry into force, transitional provisions**

- (1) These doctoral regulations shall enter into force on 26 July 2024; the doctoral regulations for the Faculty of Engineering Science dated 25 June 2021 (AB UBT 2021/046), which were amended by the statutes dated 30 March 2023 (AB UBT 2023/021), shall expire at the same time.
- <sup>1</sup>For doctoral candidates who have submitted an application for acceptance for doctoral studies within the meaning of Section 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 25 June 2021 (AB UBT 2021/046), which was amended by the Statutes dated 30 March 2023 (AB UBT 2023/021), before these Doctoral Regulations come into force, the provisions of these Doctoral Regulations shall continue to apply until completion of their doctorate. <sup>2</sup>A change to a doctoral procedure in accordance with the provisions of these regulations is possible upon written application to the Dean.
- (3) For doctoral candidates who have submitted an application for acceptance for doctoral studies within the meaning of Section 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 15 September 2017 (AB UBT 2017/066) before these Doctoral Regulations come into force, the provisions of these Doctoral Regulations shall continue to apply until the completion of their doctorate.
- (4) For doctoral candidates who have submitted an application for admission to the doctoral project within the meaning of Section 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) before these Doctoral Regulations come into force, the provisions of these Doctoral Regulations shall continue to apply until the completion of their doctorate.
- (5) For doctoral candidates who have submitted an application for admission to the doctoral procedure within the meaning of Section 4 of the Doctoral Regulations for the Faculty of Engineering Science at the University of Bayreuth dated 5 August 2013 (AB UBT 2013/025) before these Doctoral Regulations come into force, the provisions of these Doctoral Regulations shall continue to apply until the completion of their doctorate.
- (6) For doctoral candidates who have submitted an application for admission to the doctoral procedure within the meaning of Section 4 or for admission to the doctoral aptitude test in accordance with Section 5 of the Doctoral Degree Regulations for the Faculty of Applied Natural Sciences at the University of Bayreuth dated 15 January 2008 (AB UBT 2008/009) in the version of the collective amendment statutes dated 5 July 2011 (AB UBT 2011/032) before these Doctoral Degree Regulations come into force, the provisions of these Doctoral Degree Regulations shall continue to apply until the completion of their doctorate.
- (7) For doctoral candidates who have already received a confirmation of supervision before the doctoral regulations of 15 September 2017 (AB UBT 2017/066) come into force, the provisions of the

doctoral regulations of 15 September 2017 (AB UBT 2017/066) shall apply with the following provisos:

- the confirmation of supervision replaces the supervision agreement to be concluded in accordance with Section 6 (2) or (3) of the Doctoral Degree Regulations of 15 September 2017 (AB UBT 2017/066)
- Doctoral candidates who complete their doctorate in accordance with paragraphs 4 to 6 are registered online in accordance with § 4 paragraph 3 and their personal data is collected and processed under the conditions of § 5.
- (8) For doctoral candidates who have concluded a supervision agreement with a person in accordance with § 4 sentence 2 or 3 HSchPrüferV before these doctoral regulations come into force, this supervision agreement shall continue to apply; a decision by the extended doctoral committee in accordance with § 6 para. 1 sentence 1 in conjunction with § 2 sentence 2 of these regulations is not required in this case. § 2 sentence 2 of these statutes is not required in this case.

## (Titel der Dissertation)

Der Fakultät der Ingenieurwissenschaften der Universität Bayreuth zur Erlangung der Würde

Doktor-Ingenieurin/Ingenieur¹ (Dr.-Ing.) vorgelegte Dissertation

von

(Name)

aus

(Geburtsort)

Erstgutachterin/Erstgutachter1:

Zweitgutachterin/Zweitgutachter¹:

Lehrstuhl (Name des Lehrstuhls)

Universität Bayreuth

(Jahr)

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aus

(Geburtsort)

#### Gutachterinnen/Gutachter1:

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Lehrstuhl (Name des Lehrstuhls)

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(Jahr)

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Zweitgutachterin/Zweitgutachteri: (Name der Zweitgutachterin/des Zweitgutachters)

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

Lehrstuhl (Name des Lehrstuhls)

Universität Bayreuth

(Jahr des Erscheinens)

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Universität Bayreuth

(Jahr des Erscheinens)

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Issued on the basis of the resolution of the Senate of the University of Bayreuth of 17 July 2024 and the approval of the President of the University of Bayreuth of 24 July 2024, Ref. A 3524 - I/1.

Bayreuth, 25 July 2024

[seal]

UNIVERSITY OF BAYREUTH
THE PRESIDENT
[signature]
Professor Dr Stefan Leible

These Statutes were deposited at the University on 25 July 2024. The resignation was announced on 25 July 2024 by posting at the university. The date of the announcement is 25 July 2024.