

## **Doctorate Regulations of the Faculty of Mathematics and Natural Sciences**

English version for reference only!

Disclaimer: **This translation** of the “Promotionsordnung der Mathematisch-Naturwissenschaftlichen Fakultät der Rheinischen Friedrich-Wilhelms-Universität Bonn vom 3. Juni 2011 In der korrigierten Fassung vom 17. Juni 2011” published in “Amtliche Bekanntmachungen 41. Jahrgang, Nr. 14” **is not legally binding.**

The text was published with errors in the Official Notices of the University of Bonn, 41st year, No. 13 of June 6, 2011. In this issue of the Official Notices, the correction is made in the form of a new publication of the complete text.

The correction relates to § 6 para. 2, 3rd bullet point: the words “and the partial subject” have been deleted.

### **Doctorate regulations of the Faculty of Mathematics and Natural Sciences at the University of Bonn of June 3, 2011 in the corrected version of June 17, 2011**

Due to sections §§ 2 para. 4 and 67 para. 3 of the Higher Education Act in the state of North Rhine-Westphalia (Hochschulgesetz - HG) in the version of the Freedom of Institutes of Higher Education Act NRW Higher Education Autonomy Act (Hochschulfreiheitsgesetz - HFG) of October 31, 2006 (GV. NRW. clause 474), last amended by article 2 of the health university of applied science law (Gesundheitsfachhochschulgesetz) of October 8, 2009 (GV. NRW. clause 516), the Faculty of Mathematics and Natural Sciences at the University of Bonn has approved the following doctorate regulations as a revised version:

## Table of Contents

<b>I. General information .....</b>	<b>3</b>
§ 1 Doctorate.....	3
§ 2 Doctoral board.....	3
§ 3 Doctoral committee.....	4
<b>II. Doctoral studies .....</b>	<b>5</b>
§ 4 Doctoral studies and doctoral student status .....	5
§ 5 Admission to the doctoral studies.....	7
<b>III. Doctoral examination procedure.....</b>	<b>8</b>
§ 6 Admission to the doctoral examination procedure .....	8
§ 7 Initiation of the doctoral examination procedure.....	9
§ 8 Doctoral thesis.....	10
§ 8a Cumulative doctoral thesis .....	10
§ 9 Assessment of the doctoral thesis.....	10
§ 10 Oral examination achievements.....	12
§ 11 Assessment of the oral examination achievements.....	13
§ 12 Repeating of the oral examination achievements .....	13
§ 13 Individual grades and overall grade .....	13
§ 14 Publication of the doctoral thesis.....	14
§ 15 Examination certificate and doctoral certificate .....	15
§ 16 Declaration of invalidity of the doctoral achievements and revocation of the doctorate.....	16
§ 17 Access to the doctoral file .....	16
<b>IV. Joint doctorates .....</b>	<b>16</b>
§ 18 Joint doctorates with a foreign higher education institution.....	16
<b>V. Honorary doctorate and golden anniversary of the conferral of a doctorate .....</b>	<b>17</b>
§ 19 Honorary doctorate .....	17
§ 20 Golden anniversary of the conferral of a doctorate.....	17
<b>V. Final provisions .....</b>	<b>18</b>
§ 21 Transitional provisions.....	18
§ 22 Entry into force and publication .....	18
<b>Appendix 1: List of doctoral disciplines.....</b>	<b>18</b>
<b>Appendix 2: Graduate schools .....</b>	<b>19</b>

## **I. General information**

### **§ 1 Doctorate**

(1) The doctorate serves to demonstrate an ability to undertake independent academic work beyond the general study goal of professional qualification, which is expressed by a considerable increase in academic knowledge in a doctoral thesis.

Following a successful doctorate, the Faculty of Mathematics and Natural Sciences at the University of Bonn awards the degree of Doctor of Natural Sciences (Doctor rerum naturalium, abbreviated: Dr. rer. nat.).

(2) The evidence of this ability is to be provided by the doctoral student by means of

- an academically noteworthy, written paper (doctoral thesis),
- an academic lecture with discussion (doctoral colloquium) of the results of the doctoral thesis, and
- an oral examination (doctoral defense) in the doctoral discipline.

One of the disciplines listed in the appendices is permitted as the doctoral discipline.

(3) The Faculty of Mathematics and Natural Sciences may award, as an honorary doctorate, the academic degree of Honorary Doctor of Natural Sciences (Doctor rerum naturalium honoris causa, abbreviated: Dr. rer. nat. h. c.) as recognition of extraordinary academic and non-material achievements in the Natural Sciences.

### **§ 2 Doctoral board**

(1) The doctoral board leads all doctoral examination procedures in the Faculty. Its members are:

- The Dean as the chairperson (can always be represented by a Vice Dean) and
- the members of the Faculty council.

(2) The doctoral board

- leads the doctoral examination procedure and maintains the doctoral files,
- decides on admission to the doctoral examination procedure,
- appoints the doctoral committees and their chairpersons and the reviewers,
- is responsible for objections and appeals,
- decides on exemption requests,
- decides on the invalidity of examination achievements and the revocation of a doctorate in accordance with § 16 of these regulations,
- issues the examination certificate.

The doctoral board can involve, in an advisory capacity, a representative of the doctoral discipline to which a procedure relates. The members without doctorates are not involved in any decisions relating to academic training, particularly the recognition and assessment of study and examination achievements, and the appointing of the doctoral committees.

The doctorate is awarded by the dean with consigning the doctoral certificate issued by him or her to the doctoral student.

(3) The chairperson conducts the business operations of the doctoral board and prepares its meetings. Decisions in general cases are delegated to the chairperson, who reports regularly to the doctoral board. Decisions on objections are in any case to be made by the doctoral board.

(4) The meetings of the doctoral board are not open to the public. The members of the doctoral board, their deputies and the members of the doctoral committee are subject to official secrecy. They shall be bound to secrecy by the chairperson. This official secrecy also applies beyond the end of the term of office.

### **§ 3** **Doctoral committee**

(1) A doctoral committee is appointed by the doctoral board for every doctoral examination procedure. It consists of four members:

1. The first reviewer (supervisor),
2. the second reviewer,
3. a member from the same discipline as the doctoral student
4. a member from outside the discipline.

The first reviewer is the doctoral supervisor as defined by § 4 para. 2. One of the two reviewers must represent the doctoral discipline and be a full-time professor at the Faculty of Mathematics and Natural Sciences or professorial member of a graduate school from appendix 2.

The member from the same discipline as the doctoral student should belong to a different academic branch of the doctoral discipline. The member from outside the discipline should belong to another department and can represent a discipline with a content-related to the doctoral thesis. At least two of the members of the doctoral committee must be full-time professors at the Faculty of Mathematics and Natural Sciences or professorial members of a graduate school from appendix 2.

The doctoral board can appoint a further member as a deputy in the event that a member is unable to attend the oral examinations at short notice. The additional member must represent the doctoral discipline of the member who is unable to attend.

All members must be

- full-time professors who work at a university,
- assistant professors (" Juniorprofessorinnen oder Juniorprofessoren"),
- adjunct professors (" außerplanmäßige Professorinnen oder Professoren"),
- professors relieved from duties or retired professors,
- honorary professors or
- lecturers with habilitations (" Privatdozentinnen oder Privatdozenten")

or possess a qualification that is equivalent to habilitation.

Members who have left the Faculty of Mathematics and Natural Sciences may only be appointed as members of a doctoral committee with their consent. As a rule, they should not be appointed as members of a doctoral committee for longer than three years after they have left the University. Also, professors who have been relieved from duties or have retired should, as a rule, not be appointed members of a doctoral committee for longer than three years after their relief or their retirement.

The second reviewer is the chairperson of the doctoral committee.

The doctoral student can nominate the members of the committee; the doctoral board is not bound to this nomination.

(2) The doctoral committee is responsible for

- the assessment, acceptance, rejection, and grading of the doctoral thesis,
- the implementation of the doctoral colloquium,
- the acceptance of the doctoral defense.

The doctoral committee keeps minutes of every meeting.

## **II. Doctoral studies**

### **§ 4**

#### **Doctoral studies and doctoral student status**

(1) For doctoral students that are members of a graduate school listed in appendix 2, the regulations of the respective schools apply in addition to these doctorate regulations. Nevertheless, only these doctorate regulations are decisive for awarding a doctorate at the Faculty of Mathematics and Natural Sciences at the University of Bonn.

(2) Admission to doctoral studies requires acceptance as a doctoral student in a written supervision agreement concluded between the doctoral student and the supervisor. This agreement must be submitted to the Dean together with the application for admission to the studies.

(3) Possible supervisors of a doctorate can be:

- 1) full-time professors,
- 2) assistant professors ("Juniorprofessorinnen oder Juniorprofessoren"),
- 3) adjunct professors ("außerplanmäßige Professorinnen oder Professoren"),
- 4) retired professors or professors relieved from duties,
- 5) honorary professors, or
- 6) lecturers with habilitations ("Privatdozentinnen oder Privatdozenten")

at the University of Bonn. The supervisor should be a member or associate of the Faculty of Mathematics and Natural Sciences or a member of a graduate school in accordance with appendix 2. The doctoral board decides on exceptions.

(4) If the supervisor is not a member or associate of the Faculty of Mathematics and Natural Sciences or a member of a graduate school in accordance with appendix 2, a co-supervision agreement must be concluded with a full-time professor at the Faculty of Mathematics and Natural Sciences.

If the supervisor is a member or associate of the Faculty of Mathematics and Natural Sciences, but employed full-time at an academic institution outside the University of Bonn, a co-supervision agreement must be concluded with a full-time professor at the Faculty of Mathematics and Natural Sciences.

The supervisor and the co-supervisor must have a qualification as stated in para. 3 or a qualification equivalent to habilitation.

(5) Prior to the conclusion of a supervision agreement, the following must be submitted to the doctoral board:

- The name, date of birth and place of birth of the doctoral student,
- the doctoral discipline,
- the name of the doctoral thesis project,
- the name of the supervisor and, if applicable, the name of the co-supervisor,
- the allocation to an institute,
- the statement from the supervisor that the admission requirements in § 5 para. 1 and 2 are fulfilled; if necessary, an application from the doctoral student for recognition of the equivalence of his/her qualifications, and
- if applicable, the suggestions from the supervisor concerning the study achievements yet to be achieved in accordance with § 5 para. 3 and 4.

Based on the statement from the designated supervisor, the doctoral board verifies whether all admission requirements of § 5 para. 1 and 2 are fulfilled, recognizes the equivalence of previous educational qualifications and determines any study achievements still to be completed in a qualification year in accordance with § 5 para. 3 and 4.

The doctoral board informs the doctoral student in writing whether he or she has been admitted to the doctoral studies. The doctoral board then receives from the managing director of the institute the supervision agreement, signed by the doctoral student and the supervisor.

(6) If preparatory work should clarify the prospects of the designated doctoral thesis project being undertaken successfully, a provisional supervision agreement can be established for a period of up to twelve months, which ends after expiry of this period or is converted into an ultimate supervision agreement. If admission requirements cannot be clarified at short notice, a provisional supervision agreement can be established without a statement from the doctoral board for a period of up to six months, which ends after expiry of this period or is converted into an ultimate supervision agreement.

(7) Amendments to the supervision agreement, particularly a change of supervisor, de-registration, or the dissolution of the supervision agreement, have to be immediately reported to the doctoral board.

(8) The processing of the doctoral subject should take place in close collaboration between the doctoral student and the supervisor. The doctoral student is obliged to regularly and exhaustively report to the supervisor on the status of the work. The supervisor is obliged to regularly and exhaustively be reported to on the status of the work. In intervals of two years, the supervision agreement should be confirmed to the doctoral board by the doctoral student and the supervisor. If, 4 years after admission to the doctoral studies, an application for admission to the doctoral examination procedure has not been submitted, the Dean requests a status report from the supervisor on the progress of the doctoral thesis project.

(9) The supervision agreement can be dissolved by either party with a period of notice of six weeks, stating the reasons, or at any time by mutual agreement.

(10) The supervisor can dissolve the supervision agreement without notice, if

- the doctoral student repeatedly disregards the supervisor's instructions,
- the doctoral student's conduct is permanently disruptive to the relationship of trust,
- there are serious violations of the institute's regulations or safety regulations or
- the doctoral student behaves in a manner that would justify to dismiss her or him without notice in a regular employment relationship.

(11) The Dean may be asked to mediate before the agreement is terminated.

(12) If the termination of the supervision agreement is necessary or required for reasons for which the doctoral student is not responsible, the doctoral board is obliged to take all possible steps to achieve further supervision. In the event that the doctoral student is responsible for the termination of the supervision agreement, the doctoral board can give the doctoral student opportunity to seek new supervision within a reasonable period of time, set by the doctoral board.

(13) If no new supervision agreement is established in accordance with para. 12, the status as a doctoral student and the entitlement to continue the doctoral studies expire. The doctoral board informs the doctoral student affected about this in a written notification.

(14) If the doctoral student has

- made use of resources or institutions of the University (except for University institutions accessible to all students, such as e.g. the library and computers) or
- made use of resources of third parties

the supervisor is to be allowed to use the results and other documents of the doctoral thesis free of charge for the purposes of science and research, insofar as this does not impede the goal of the doctoral examination procedure. The duty to publish in accordance with § 14 remains unaffected by this.

## **§ 5**

### **Admission to the doctoral studies**

(1) Admission to the doctoral studies requires, besides acceptance as a doctoral student by the supervisor, a successfully completed university or higher education program in a mathematical, natural sciences, engineering, medical, agricultural or economic discipline, during which the doctoral student has shown his/her suitability for a further qualification and which allows an independent academic work with the aim of an academically noteworthy doctoral thesis to be expected.

(2) The following are considered to be a completed education program as defined by paragraph 1:

1. A Diploma degree program at a higher education institution with a standard period of study of at least eight semesters and an academic written paper,
2. a master degree program at a higher education institution with a standard period of study of two or four semesters, which was preceded by a bachelor degree program of eight or six semesters in a corresponding discipline, i.e. studies totaling ten semesters in the doctoral discipline (consecutive master or interdisciplinary master),
3. a master degree program at a higher education institution with a standard period of study of at least four semesters, if not preceded by a bachelor degree program of at least six semesters in a corresponding discipline (continuing education master),
4. a Diploma degree program at a higher education institution with a standard period of study of at least six semesters and a qualified degree, and subsequent and appropriate predoctoral studies,
5. a bachelor degree program at a higher education institution with a standard period of study of at least six semesters and a qualified degree,
6. completed studies of medicine, dentistry or pharmacy,
7. studies in food chemistry completed with the First State Examination,

8. studies concluded with the First State Examination for qualification and authorization to teach at Upper Secondary level ("Sekundarstufe II") or high school ("Gymnasium").

(3) If the previous studies fall under 3., 4., or 5., additional complementary studies totaling a maximum of two semesters, which prepare for the doctoral project and serve as evidence of suitability as defined by para. 1, are required as part of the doctoral studies; in particular, an academic work is to be written in these cases if the previous studies were completed without a written paper.

The nature, scope, and period of these study achievements that are yet to be completed are specified by the doctoral board on the recommendation of the supervisor. The doctoral board decides on the form and content of the evidence.

(4) For foreign courses and final examinations at foreign higher education institutions, paragraphs 1 to 3 apply accordingly, where equivalence exists. The doctoral board declares the recognition of equivalence upon request and following assessment. Equivalence agreements, approved by the responsible committees in the Federal Republic of Germany, are to be observed. In the event of doubt, information is to be obtained from the "Zentralstelle für ausländisches Bildungswesen" (Central Office for Foreign Education – ZAB).

(5) For foreign students, admission to the doctoral studies requires the language skills in German or English that are necessary for participating in the doctoral studies. The corresponding knowledge is to be demonstrated by DSH 2 or by TOEFL or with an equivalent examination. The evidence is not required for native speakers and for holders of German or English-language degree.

### **III. Doctoral examination procedure**

#### **§ 6**

#### **Admission to the doctoral examination procedure**

(1) If the Faculty has established mandatory doctoral studies, all proofs that are required in the respective regulations must be submitted as a prerequisite for admission.

(2) The application for admission to the doctoral examination procedure must be submitted in written form to the doctoral board. The application must include

- name and legal address of the doctoral student in Germany,
- the topic of the doctoral thesis,
- the doctoral discipline,
- the name or names of the supervisor or supervisors along with the supervision agreement,
- nominations for the four members of the doctoral committee,
- a declaration of whether the admission of e is approved for the doctoral defense,
- the statement of whether the doctoral thesis has previously been published in whole or in part,
- a personally signed declaration under oath, stating that
  1. the submitted work – apart from explicitly indicated resources – was produced personally, independently and without using resources other than those stated,
  2. the data and concepts taken directly or indirectly from other sources are indicated, stating the source,
  3. the submitted work or a similar work has not already been submitted elsewhere as a doctoral thesis along with a declaration of previous attempts at a doctorate and their results,



4. no third-party assistance, particularly no paid assistance from agency and consulting services (doctoral advisors and agents or other persons) was used to create the submitted work and/or the opportunity to undertake the doctorate.

(3) The following are to be enclosed with the application:

- Five copies of the doctoral thesis with an abstract and a curriculum vitae in accordance with § 8 paragraph 3 and five copies each of any prior publications of important sections of the doctoral thesis,
- a single copy of the abstract of the doctoral thesis,
- a single copy of the curriculum vitae,
- proof of the completed university studies and, if applicable, the further study achievements in accordance with § 5 and, if applicable, the evidence of the mandatory doctoral studies in accordance with § 4 para. 1 clause 2,
- a certificate of good conduct ("Führungszeugnis"),
- a passport photo and a certified copy of the person's valid official photo ID.

(4) It is only possible to withdraw the application until the first two reviews have been submitted and no decision concluding the procedure has been made.

## **§ 7**

### **Initiation of the doctoral examination procedure**

(1) The doctoral board verifies the fulfillment of the admission requirements and the complete and proper submission of all documents for the application for admission to the doctoral examination procedure and requests missing documents by setting a suitable deadline.

If the applicant cannot enclose all documents or cannot do so in the desired form, the doctoral board may also permit the intended proof in another form.

(2) The doctoral board may decide to reject the application if

- the documents remain incomplete after a given deadline has expired,
- no supervision agreement is demonstrated,
- a criminal conviction exists that justifies doubts concerning the independence and objectivity necessary for academic activities.

The doctoral board must decide to reject the application if

- the applicant has otherwise submitted the thesis or a similar work as a doctoral thesis,
- the applicant has already failed twice in a doctoral examination procedure at a German higher education institution,
- counterfeiting or plagiarism is demonstrated concerning an academic work by the applicant.

(3) The applicant is to be informed of the rejection in writing with justification and instructions on the right to appeal.

(4) If all requirements are fulfilled, the doctoral board appoints the doctoral committee. The applicant is informed of this, including the names of the committee members and the appointed reviewers.

## **§ 8 Doctoral thesis**

(1) The doctoral thesis must be academically noteworthy and demonstrate the ability to undertake independent academic work and to present the results in an appropriate manner. The subject investigated must belong to the doctoral discipline.

(2) The doctoral thesis can be written in German or English. Another language is also permitted with the approval of the doctoral board.

(3) The doctoral thesis has to be submitted in an official manner, printed and bound. It must include a complete directory of the literature and other sources used as well as statements concerning the assistance received and resources used. The regulations of the University concerning the publication of research results remain unaffected. An abstract in German or English should be enclosed with the doctoral thesis. A concise curriculum vitae with information concerning the doctoral student's academic career is to be enclosed within the five copies in accordance with § 6 para. 3.

## **§ 8a Cumulative doctoral thesis**

(1) Reviewed publications that have previously been published or have been accepted for publishing, in which the doctoral student was significantly involved, can be submitted as a doctoral thesis (cumulative doctoral thesis). Each publication has to represent a chapter, which must contain an introduction and an abstract. In the case of several chapters, the introduction must make clear the context of these chapters.

(2) If several doctoral students of one supervisor are involved in a publication, these publications can only be used in one doctoral thesis, namely in that of the doctoral student who contributed significantly to the publication.

(3) The doctoral committee decides on the question of significance.

## **§ 9 Assessment of the doctoral thesis**

(1) The doctoral board sends the doctoral thesis and possible prior publications to the members of the doctoral committee and commissions the first and second supervisor with the creation of the reviews. In justified cases, the doctoral board can commission a further review.

(2) The reviews regarding the doctoral thesis must be produced independently of each other in writing and contain a justified recommendation concerning the acceptance, rejection or returning of the doctoral thesis for the purpose of revision. The recommendation to accept the doctoral thesis can be associated with conditions for the doctoral thesis to undergo editorial correction before the examination certificate and the doctoral certificate are issued. Upon a recommendation to accept the doctoral thesis, a justified grade suggestion in accordance with the grading scale in § 13 must be made. The reviews must be submitted at the latest four weeks after the request for assessment by the doctoral board.

(3) Following receipt, the reviews are sent to the other members of the doctoral committee, who must submit their written vote within one week.

(4) In case of unanimous votes in favour, the procedure referred to in paragraph 7 shall continue. If the doctoral thesis has been graded as “excellent” (“ausgezeichnet”) by both reviewers, a further review is requested by the doctoral board from a third, professionally qualified reviewer from outside the Faculty. The supervisor can make three nominations for this reviewer; the doctoral board makes the decision. The deadline for the creation of this review is one month.

(5) In case of unanimous votes to reject the doctoral thesis, the doctoral board issues a rejection notice to the doctoral student.

(6) If the votes by the reviewers regarding

- acceptance of the doctoral thesis,
- rejection of the doctoral thesis or
- returning of the doctoral thesis for the purpose of revision

differ, or if the grades proposed by the reviewers differ by more than the value 1.0, the doctoral committee should initially provide mediating advice. It can suggest that the doctoral board obtains a further review. In all other cases, the committee decides on the basis of the reviews.

In the event of a return for the purpose of revision, the committee sets a reasonable deadline within which the doctoral thesis must be resubmitted.

(7) If the committee has decided to accept the doctoral thesis, the doctoral board opens the doctoral file for inspection by the habilitated members and associates of the Faculty. This displaying is to be announced Faculty-wide together with

- the name of the doctoral student,
- the title of the doctoral thesis,
- the doctoral discipline.

In addition, the habilitated members of the doctoral discipline are to be informed of:

- The abstract of the doctoral thesis,
- the place of publishing of any prior publications,
- the names of the supervisors and the other committee members,
- the grade suggested by the committee for the doctoral thesis.

The notification can also take place electronically.

The habilitated members of the Faculty can submit written objections to the doctoral board against the decision of the committee. The objection can include the rejection of the doctoral thesis, the return for the purpose of revision of the doctoral thesis, a deviating grade or conditions for editorial correction. The objection period begins with the day that the notification is sent and ends two weeks later. The committee advises on the objection. It can, independently of its first decision, decide on the acceptance, rejection or return for the purpose of revision of the doctoral thesis, or can decide that the doctoral board has to obtain further reviews. Anyone who objects can take part in the meeting in an advisory capacity.

(8) If no objection is received or if the committee once again decides to accept the doctoral thesis (with a possible grade amendment) while taking into consideration all objections and any additionally obtained reviews, the decision of the committee is final. It includes admission to the oral examination.

(9) If editorial corrections were requested by the examination board, a copy approved by the supervisor is to be included in the doctoral file.

(10) If the committee has decided to reject the doctoral thesis while taking into consideration all

objections and any additionally obtained reviews, the doctoral board informs the doctoral student about the rejecting decision. Instructions on the right to appeal are to be included in this.

(11) A rejected doctoral thesis remains in the Faculty's files with all reviews. It may not be submitted again for the purposes of a doctorate without a statement concerning the rejection, including to another faculty.

(12) Whose doctoral thesis was rejected, can once again apply for admission to the doctoral examination procedure with a new doctoral thesis at the earliest after one year.

(13) Minutes are to be taken of all of the doctoral committee meetings for the doctoral files. If the final decision only depends on the clarification of certain individual questions, the doctoral committee can make this by a decision using the written procedure.

## **§ 10**

### **Oral examination achievements**

(1) The oral examination achievements consist of a public, academic lecture with a discussion (doctoral colloquium) and a subsequent, non-public oral examination (doctoral defense). Both take place in front of the doctoral committee.

(2) In the doctoral colloquium, the doctoral student reports on the results of his/her doctoral thesis in an academic lecture. The duration of the lecture should not exceed 30 minutes. An academic discussion of 15 minutes with questions from the committee and the listeners is permitted at the end.

(3) In the doctoral defense, the ability of the doctoral student to present the subjects of her/his doctoral thesis and their classification within the doctoral discipline or a neighboring discipline is examined in a scientific discussion. It should last a minimum of 30 minutes and a maximum of 90 minutes.

(4) The doctoral colloquium and the doctoral defense can be conducted in German or English. Another language is also permitted with the approval of the doctoral board and with the consent of all doctoral committee members.

(5) On proposal of the committee, the doctoral board determines the date and location of the oral examination (doctoral colloquium and doctoral defense). The arrangement of the date falls within the responsibility of the chairperson of the doctoral committee in consultation with the doctoral student. The doctoral student is to be informed of the date at least two weeks in advance and the date should be at the latest three months after receipt of the last review. The doctoral colloquium is to be announced Faculty-wide with the name of the doctoral student, the lecture title, and the time and location. The announcement period is 7 working days.

(6) During the doctoral defense, doctoral students from the same degree program can be admitted as listeners, where free space allows, provided that the doctoral student has agreed. Admission does not extend to the consultation and announcement of the examination result to the doctoral student. Anyone who, as a listener, attempts to influence the oral examination or disrupt it in another manner is to be excluded. If the exclusion is not complied with, the examination must be terminated and repeated on another date in camera.

## **§ 11**

### **Assessment of the oral examination achievements**

(1) Following the doctoral defense after the doctoral colloquium, the doctoral committee decides in private on

- passing or failure of the doctoral colloquium, which is not graded,
- assessment and grading of the doctoral defense using the grading scale from § 13.

(2) If the doctoral student does not attend the doctoral colloquium or doctoral defense without cause or withdraws after the start without cause, the colloquium or doctoral defense shall be deemed to have failed. If good cause is claimed for the absence or withdrawal, this is to be reported and demonstrated immediately in writing to the doctoral board via the chairperson of the committee. Verbal notifications are to be immediately confirmed in writing. In the event that the doctoral student is ill, the submission of a doctor's letter can be requested. If the reasons are recognized, a new date is arranged.

## **§ 12**

### **Repeating of the oral examination achievements**

(1) If the doctoral colloquium or the doctoral defense has not been passed, the doctoral board determines a new date for the colloquium or the doctoral defense at the suggestion of the committee.

(2) A repeat appointment can take place at the earliest three months and at the latest twelve months after the date of the failed examination.

(3) The same committee fundamentally remains responsible for the repeating of the oral examination. Upon justified application by the doctoral student, the doctoral board can involve other committee members.

(4) A second repeat of the oral examinations is not permitted.

## **§ 13**

### **Individual grades and overall grade**

(1) The following are approved as grades for the doctoral thesis and doctoral defense:

- Excellent ("Ausgezeichnet") (0.0)
- Very good ("Sehr gut") (1.0)
- Good ("Gut") (2.0)
- Satisfactory ("Genügend") (3.0)

and, for the doctoral defense, the assessment:

- Not passed. ("Nicht bestanden")

A raising or lowering of a grade by the value minus 0.3 or plus 0.3 is permitted. The grade "excellent" ("Ausgezeichnet") cannot be raised or lowered. The grade "satisfactory" ("Genügend") cannot be

lowered.

(2) The grade for the doctoral thesis is the arithmetic average of the individual grades for the reviews. The grades are ascertained as follows:

Excellent ("Ausgezeichnet")	with a value of 0.0
Very good ("Sehr gut")	with a value from 0.1 to 1.5
Good ("Gut")	with a value from 1.6 to 2.5
Satisfactory ("Genügend")	with a value from 2.6 to 3.0.

(3) The arithmetic average of the double-weighted doctoral thesis grade and the single-weighted doctoral defense grade, for which only the first decimal place counts, determines, as follows, the overall grade for the doctorate:

- Summa cum laude: with a value of 0.0
- Magna cum laude: with a value from 0.1 to 1.5
- Cum laude: with a value from 1.6 to 2.5
- Rite: with a value from 2.6 to 3.0.

#### **§ 14**

##### **Publication of the doctoral thesis**

(1) The doctoral thesis must be printed in a form accepted by the doctoral committee or in an abridged version approved by the supervisor, which contains all significant results, and made accessible to the academic public in an appropriate manner. To this end,

- five copies are to be submitted to the University library,
- one copy is to be submitted to the respective institute library.

Furthermore, dissemination in one of the following ways is to be ensured:

1. The submission of 40 bound or stapled copies by means of letterpress printing or photographic printing, or
2. evidence of publication in a journal, or
3. evidence of distribution in bookstores via a commercial publisher with an effective minimum print run of 150 copies; reference to the publication as a doctoral thesis, stating the doctoral thesis location, is to be made on the back of the title page, or
4. the submission of a microfiche and 40 additional copies, or
5. the submission of an electronic version. The file format and data carriers of this electric version are to be coordinated with the University library.

All paper copies must be printed on age-resistant, wood- and acid-free paper and bound in a permanent manner.

In the case of 1., the University library is obliged to store surplus exchange copies for 4 years in a suitable quantity. In the cases 1., 4., and 5., the doctoral student has to transfer to the University the

right to produce and disseminate further copies of the doctoral thesis and make the copies available on data networks.

Upon publication of the doctoral thesis in accordance with 2. and 3., the doctoral certificate is issued once the binding acceptance confirmation and the statement from the supervisor are submitted, stating that the publication includes all significant results of the doctoral thesis, and, in the event of 5., if a statement from the University library is submitted that confirms the acceptance of the electronic publication and the submission of the five archive copies that are identical to this. In justified exceptional cases, the doctoral board can approve deviations from the numbers of copies stated under 1. and 4. or grant a retention period of up to a year for the data carriers accessible over the Internet.

(2) The obligatory copies or the evidence of the printing of the doctoral thesis or its electronic publication are to be submitted to the doctoral board within one year from the day of the passed oral examination. If the doctoral student culpably misses this deadline, all of the rights acquired through the examination expire. In special cases, the doctoral board can extend the deadline upon a justified application submitted in good time by the doctoral student.

## **§ 15**

### **Examination certificate and doctoral certificate**

(1) If all of the doctoral achievements have been completed and all of the grades have been determined, the doctoral board issues an examination certificate and a doctoral certificate.

(2) The examination certificate contains the following information:

- The name of the doctoral student with date of birth and place of birth,
- the title of the doctoral thesis,
- the doctoral discipline,
- the name of the committee members,
- the grade of the doctoral thesis,
- the grade of the doctoral defense,
- the day of the passed doctoral colloquium and the passed doctoral defense,
- the overall grade of the doctoral achievement in accordance with § 13 para. 3,
- the signature of the Dean,
- the seal of the Faculty,
- instructions on the right to appeal.

Upon justified application from the doctoral student, a recognized special field within the doctoral discipline can also be indicated in the examination certificate. The examination certificate does not entitle the holder to use the title of doctor.

(3) The doctoral certificate contains the following information:

- The Faculty of Mathematics and Natural Sciences at the University of Bonn as the Faculty awarding the degree,
- the title Dr. rer. nat. as the acquired degree,
- the name of the doctoral graduate with date of birth and place of birth,
- the title of the doctoral thesis,
- the day of the passed doctoral colloquium and the passed doctoral defense,
- the signature of the Dean,
- the seal of the Faculty.

Upon application by the doctoral student, the doctoral certificate can also be issued in English.

(4) The examination certificate is delivered upon issuance. The doctoral certificate is issued once the duty to publish in accordance with § 14 is fulfilled and confirmation of release from the University library and the institute of the doctoral student is submitted to the doctoral board.

## **§ 16**

### **Declaration of invalidity of the doctoral achievements and revocation of the doctorate**

(1) If it is discovered during the doctoral examination procedure that the doctoral student is guilty of fraud, the assessment of the respective doctoral achievements can be amended accordingly, or parts of the doctoral examination procedure or the entire doctoral examination procedure can be declared invalid or not passed.

(2) If the doctoral student has committed fraud during a doctoral achievement and this only becomes known after issuing the doctoral certificate, the assessment of the corresponding doctoral achievements can subsequently be amended or the doctorate revoked.

(3) If the doctoral student has obtained admission to the doctorate through fraud, threats or bribery, the doctorate can also be revoked when this becomes known. If the prerequisites for admission onto the doctorate were not fulfilled without the doctoral student intending to deceive, and if this discrepancy only becomes known after issuing the doctoral certificate, this discrepancy will be remedied by the passing of the doctoral examination procedure.

(4) If the doctorate is revoked in accordance with para. 2 or para. 3 or the assessment of the doctoral achievements has been amended in accordance with para. 1 or para. 2, the examination certificate and the doctoral certificate are to be revoked and, if necessary, a new examination certificate or doctoral certificate are to be issued.

(5) The doctorate can be revoked, if the doctoral student is legally sentenced to a custodial sentence of at least one year due to an intentional criminal offense or if she/he is legally convicted of an intentional crime, during the preparation or committing of which the doctorate was used.

(6) The affected person is to be given the opportunity to comment before a decision is made.

## **§ 17**

### **Access to the doctoral file**

Once the doctoral examination procedure is completed, the doctoral student is permitted to view the doctoral file upon request. The application is to be submitted within one month after the examination certificate is issued.

## **IV. Joint doctorates**

## **§ 18**

### **Joint doctorates with a foreign higher education institution**

(1) The Faculty of Mathematics and Natural Sciences at the University of Bonn can also award the doctorate together with a foreign higher education institution in a jointly conducted doctoral examination procedure.

This procedure requires

- joint supervision by one supervisor from each university and



- doctoral studies of at least one semester at both of the higher education institutions. In particular, the admission requirements for the doctoral studies at both higher education institutions have to be fulfilled.

(2) For the purposes of a joint procedure, an agreement is to be made between the University of Bonn and the Faculty of Mathematics and Natural Sciences and the foreign higher education institution, which must be approved by the doctoral board.

The agreement governs a doctoral examination procedure led jointly by the responsible bodies at the foreign higher education institution and the doctoral board, in particular joint examination, assessment, and grading of the examination components in accordance with §§ 8 and 10 by a committee.

The agreement can allow for exceptions to the following provisions:

- Composition of the doctoral committee in accordance with § 3 para. 1,
- possible supervisors in accordance with § 4 para. 3 and 4,
- creation of the reviews in accordance with § 9 para. 1,
- best grade for the doctoral thesis in accordance with § 9 para. 4 and
- meeting participation in the event of an objection in accordance with § 9 para. 7 clause 9.

(3) The duty to publish the doctoral thesis and the rights to it are based on the regulations of both higher education institutions.

(4) The Dean is responsible for issuing the examination certificate. The doctoral certificate contains the awarding of a single doctorate, which may be held in the form awarded by the foreign higher education institution as well as in the form awarded by the Faculty of Mathematics and Natural Sciences.

The doctoral certification takes place in a joint doctoral certificate. It is signed by the responsible representative of the foreign higher education institution and the Dean of the Faculty of Mathematics and Natural Sciences at the University of Bonn and bears both seals.

## **V. Honorary doctorate and golden anniversary of the conferral of a doctorate**

### **§ 19**

#### **Honorary doctorate**

(1) An honorary doctorate is awarded at the request of a department with a ruling by the Faculty. The decision requires a majority of two-thirds of the members of the Faculty council and also the consent of two-thirds of the members of the group of professors in the Faculty. The voting can take place by letter.

(2) The honorary doctorate is undertaken by issuing a doctoral certificate signed by the Dean, in which the extraordinary academic achievements of the nominee are honored.

(3) § 16 paragraph 5 applies accordingly to honorary doctorates.

### **§ 20**

#### **Golden anniversary of the conferral of a doctorate**

The Dean shall renew the doctoral certificate on the 50th anniversary of a doctorate.

## **V. Final provisions**

### **§ 21**

#### **Transitional provisions**

At the request of the doctoral student, the previously applicable regulations are applied if the application, with all necessary documents, is submitted to the doctoral board within six months after these regulations enter into force.

### **§ 22**

#### **Entry into force and publication**

These doctorate regulations enter into force on the day following their publication in the Official Notices of the University of Bonn. At the same time, the doctorate regulations of the Faculty of Mathematics and Natural Sciences at the University of Bonn of January 7, 2004 (Official Notices of the University of Bonn, 34th year, No. 2 of January 23, 2004), last amended by the Fourth Amendment to Doctoral Regulations of the Faculty of Mathematics and Natural Sciences at the University of Bonn (Official Notices of the University of Bonn, 39th year, No. 21 of March 12, 2009), cease to be in force.

The Dean  
of the Faculty of Mathematics and Natural Sciences  
Universitätsprofessor Dr. Ulf-G. Meißner

Issued based on the ruling of the Faculty council in the Faculty of Mathematics and Natural Sciences on June 2, 2010, and the resolution of the rectorate on May 24, 2011

Bonn, June 3, 2011

Jürgen Fohrmann  
The Rector  
of the University of Bonn  
Universitätsprofessor Dr. J. Fohrmann

#### **Appendix 1: List of doctoral disciplines**

- Drug Sciences
- Astronomy/Astrophysics
- Biology
- Chemistry
- Computational Life Sciences
- Geography
- Geophysics
- Geosciences
- Computer Science
- Food Chemistry
- Mathematics
- Meteorology
- Molecular Biomedicine
- Neurosciences

- Pharmacy
- Physics

**Appendix 2: Graduate schools**

- Bonn-Cologne Graduate School of Physics and Astronomy
- LIMES International Graduate School/LIMES IGS
- NRW Graduate School BIOTECH-PHARMA (limited to the period of financing)