

Doctoral Degree Regulations (Rules) of the Faculty of Mathematics and Natural Sciences and the Faculty of Engineering at Christian-Albrechts-Universität zu Kiel - 2018
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Based on Section 52 (1) in conjunction with Section 54 (3) of the Schleswig-Holstein Higher Education Act (HSG) as published on 5 February 2016 (GVOBl. Schl.-H. p.39), amended by the law of 10 February 2018 (GVOBl. Schl.-H.), p. 68), after a resolution was passed by the Convention of the Faculty of Mathematics and Natural Sciences of 27 June 2018 and by the Convention of the Faculty of Engineering of 20 June 2018, the following Rules were issued:

Preamble

The Faculty of Mathematics and Natural Sciences and the Faculty of Engineering at Kiel University adopt the following joint Doctoral Degree Regulations. Unless stated otherwise, the Faculty or its bodies where the doctoral researcher registers his/her dissertation project is responsible for the entire doctoral degree procedure up to the conferral of the doctoral degree. The Faculty where the doctoral degree procedure is initiated shall hereafter be referred to as the "Faculty".

The cooperation between the two faculties is governed by a cooperation agreement.

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Part 1: General information

Section 1 Doctoral degrees

- (1) The Faculty awards a Doctorate in Natural Sciences (Dr. rer. nat.) or in Engineering (Dr.-Ing.) on the basis of a scientific paper (dissertation) and an oral examination (defence of the doctoral dissertation – disputation).
- (2) Completion of the dissertation and the disputation shall be accepted as evidence of particular competence for advanced independent work in a mathematical, natural scientific or engineering discipline.
- (3) The following terms will be used in this order:
 1. Applicant before acceptance as a doctoral researcher,
 2. Doctoral researcher as from acceptance as a doctoral researcher,
 3. Candidate as from the application for admission to the doctoral examination procedure

Section 2 Honorary doctorates

- (1) In accordance with Section 54 (3) of the Schleswig-Holstein Higher Education Act (HSG) and the Constitution of Kiel University, the Faculty of Mathematics and Natural Sciences may confer an honorary doctorate in Natural Sciences (Dr. rer. nat. h. c.) and the Faculty of Engineering an honorary doctorate in Engineering (Dr.-Ing. E. h.) for outstanding scientific or technical achievements or for outstanding personal non-monetary contributions to foster the sciences entrusted to the respective faculties.
- (2) Such a procedure may only be initiated if applied for by at least one member of the Faculty concerned. An application needs to be filed with the Chairperson of the Doctoral Degree Committee. At the Faculty of Mathematics and Natural Sciences, this proposal must also be supported by the majority of the responsible department.
- (3) The proposal must be submitted to the Faculty Convention, which will then set up a committee consisting of at least five professors, including those professors who put forward the proposal.
- (4) The committee shall review the documents submitted by the proposers and draft a statement on the merits of the person to be honoured. If the committee recommends that the honorary doctorate be awarded, it will at the same time prepare a speech for the award ceremony.
- (5) Based on the statement referred to in the previous Para. 4, the Faculty Convention shall decide whether or not to award the honorary doctorate by way of a secret vote. A majority of two thirds of the votes of all members with voting rights present at the meeting is required for approval.
- (6) Following approval by the University Senate, the Dean shall hand the certificate, which contains an abridged version of the honorary doctorate speech to the person being honoured, and thus the honorary doctorate is awarded.

Section 3 The Doctoral Degree Committee

- (1) Each Faculty appoints its own Doctoral Degree Committee, composed of the following members:
 1. the Dean, as Chairperson;
 2. one university lecturer from each department of the Faculty of Mathematics and Natural Sciences and from each institute of the Faculty of Engineering;
 3. two postdoctoral staff members from the own Faculty; and
 4. a university lecturer from the other Faculty.In addition, one deputy shall be appointed for each member in accordance with Numbers 2 and 4 above.

- (2) The Doctoral Degree Committee is responsible for general questions relating to doctoral degrees and performing any duties accorded to it under these Rules.
- (3) The member's voting right pursuant to Para. 1 Number 4 is restricted in the Faculty of Mathematics and Natural Sciences to procedures leading to a Doctorate in Engineering (Dr.-Ing.), and procedures leading to a Doctorate in Natural Sciences (Dr. rer. nat.) in the Faculty of Engineering.
- (4) The meetings of the Doctoral Degree Committee are closed to the public and called by the Chairperson. The Doctoral Degree Committee constitutes a quorum if all members are invited and at least half of the members with voting rights are present. Decisions are made on the basis of the votes of the majority of those members present. A transfer of voting rights is not permitted. Abstentions and invalid votes are considered as members not voting. In the event of a tied vote, the application is rejected.
- (5) Decisions concerning minor affairs may also be made in writing by way of a circular procedure, as long as no member of the Doctoral Degree Committee objects to this.

Section 4 **Acceptance as a doctoral researcher**

- (1) On application, a person who intends to complete a doctoral thesis (applicant) can be accepted by the Faculty as a doctoral researcher (entry into the doctoral degree list). The application for acceptance as a doctoral researcher must be submitted in writing to the Dean. Appropriate evidence that the conditions for acceptance referred to in Paragraph 3 are fulfilled must be submitted together with the application.
- (2) The application for acceptance is binding and shall be submitted before the commencement of work on the doctoral project.
- (3) The requirements for acceptance are
 1. that the prerequisites according to Section 7 (1 to 4) have been met,
 2. that specialist evaluation by a member of the Faculty is possible,
 3. that supervision by an authorised supervisor pursuant to Section 5 (1) is ensured, and
 4. that a supervision agreement is entered into, in accordance with Section 6.Applicants with academic qualifications, whose dissertations are checked to ensure that their topics tie in with those of the Faculty (cf. Section 6 (1)) before commencement of the doctoral examination procedure (cf. Section 9), may be accepted as doctoral researchers, without resulting in a right to admission to the doctoral examination procedure in this Faculty.
- (4) For doctoral degrees, where at the time of application there is confusion about the specific degree to be awarded, one of the faculties declares their general consent to the doctoral project in the confirmation of acceptance. In such cases, the supervisor is obliged to confirm the allocation of the topic to the appropriate Faculty, before submission of the dissertation.
- (5) Requirements for the examination procedure that are already fulfilled on acceptance are bindingly confirmed with the acceptance. The acceptance can be subject to conditions, and in particular, the applicant may be required to furnish relevant evidence within a specific period of time.
- (6) Acceptance as a doctoral researcher must be denied if there are reasons leading to a later refusal of admission to the doctoral examination procedure. Acceptance must be withdrawn if corresponding reasons occur or become known afterwards.
- (7) The Dean shall reach a decision on acceptance, and shall notify the applicant of the outcome in writing within a period of no more than two months. A rejection shall be accompanied by a written statement of reasons along with instructions on the legal remedies available.
- (8) Acceptance as a doctoral researcher is not synonymous with admission to the doctoral examination procedure (Sections 9 and 10).
- (9) The application for admission to the doctoral examination procedure shall be made within eight semesters of acceptance as a doctoral researcher. Doctoral researchers who do not register

for their doctoral degree within this period may be invited by the Dean to attend a counselling interview.

Section 5 Supervision of the doctoral degree

- (1) The following persons have the right to supervise dissertations (hereinafter referred to as authorised supervisors):
 1. all professors who are primary or secondary members of the Faculty
 2. all junior professors, all private lecturers (lecturers with postdoctoral qualifications who do not hold a professorial appointment), all adjunct professors and all honorary professors, who are members or associates of the Faculty
 3. members or associates of the Faculty, who are entitled to independently carry out scientific research projects, on the basis of a proven assessment by an independent scientific panel, such as leaders of an Emmy Noether Junior Research Group. The right to supervise doctoral degrees requires the consent of the Dean. This consent may be granted for individual cases, as well as for a certain period as head of a junior research group.
- (2) Members of the teaching staff of other faculties or other universities can, with their consent, be appointed by the Doctoral Degree Committee as supervisor for a doctoral degree procedure provided that they have the equivalent specialist expertise as laid down in Paragraph 1.
- (3) Members of non-university research institutions, who independently carry out scientific research projects, as proven by an assessment from an independent scientific panel, e.g. leaders of an Emmy Noether Junior Research Group or Max Planck research group, may also supervise doctoral degrees. The right to supervise doctoral degrees pursuant to Clause 1 requires the consent of the respective Doctoral Degree Committee. This consent may be granted for individual cases, as well as for a certain period as head of a junior research group.
- (4) On presentation of important reasons, adjunct professors who are not members or associates of the Faculty may also be authorised to supervise doctoral degrees. The Doctoral Degree Committee decides this on an individual basis.
- (5) In the event that the supervisor leaves the Faculty, he or she shall normally continue with the supervisory arrangement. Junior professors and private lecturers (lecturers with postdoctoral qualifications who do not hold a professorial appointment) shall be entitled to see a supervisory arrangement through to its conclusion even if they cease to be employed in higher education. The same applies for professors who retire and for groups of people as per Paragraph 1, Number 3.
- (6) If the supervisor drops out for reasons for which the doctoral researcher is not responsible, the Doctoral Degree Committee shall ensure, at the request of the doctoral researcher, that further supervision of the dissertation is provided within the Faculty's possibilities.
- (7) In justified cases, both supervisors and doctoral researchers shall be entitled to terminate the supervision relationship, be it by mutual consent or independently.
In non-consensual cases, the respective Doctoral Degree Committee decides on how to proceed on application, after both parties have been heard.
The Doctoral Degree Committee must be informed of the mutual termination, citing corresponding grounds.

Section 6 Supervision agreement

- (1) With the assignment of the preliminary topic, the doctoral researcher and the supervisor shall reach a written agreement on supervision for creating a dissertation.
- (2) The agreement on supervision for creating a dissertation contains at least:
 1. the preliminary topic of the dissertation,
 2. the doctoral degree that the individual is working towards,
 3. where appropriate, statements showing whether the dissertation can potentially be allocated to several faculties (inter-faculty doctoral degree),
 4. the declaration made by the supervisor that he/she will be actively supervising the creation of the dissertation, and the declaration made by the doctoral researcher that he/she will inform the supervisor of the status and progress of the dissertation on a regular basis,
 5. the doctoral researcher's declaration of consent to the fact that his or her data on the dissertation and its progress will be saved in the Graduate Centre (central registration office for dissertation data) in accordance with the Federal Data Protection Act, and will be used for evaluation of the doctoral phase at Kiel University by the university, as well as passed on to the Federal State Government of Schleswig-Holstein, the Statistical Office of Northern Germany and the Federal Statistical Office,
 6. a declaration of the following: the supervisor and the doctoral researcher commit themselves to comply with the current version of the "Rules of Good Scientific Practice – standard of scientific work pursuant to the recommendations of the German Research Foundation (DFG)" which apply at Kiel University, and to work according to these,
 7. as a means of protection against abuse, a declaration by the doctoral researcher as to whether he or she made use of an intermediary agency for doctoral degrees.

Part 2: Doctoral studies and doctoral degree procedure

Section 7 Requirements for admission to the doctoral examination procedure

- (1) Requirements for admission to the doctoral examination procedure for a Doctorate in Natural Sciences (Dr. rer. nat.) or Doctorate in Engineering (Dr.-Ing.) include the successful completion of a degree programme at a German university, German university of applied sciences or other equivalent foreign institution of higher education. Successful completion of the degree programme covering a standard period of study of at least eight semesters is evidenced by the following degree certificates:
 1. Master of Science (M.Sc.) or Master of Engineering (M.Eng.) or comparable Diplom certificate;
 2. First State Examination for the career of teachers in secondary education (including upper secondary education) or Master of Education (M.Ed.) with a Master's thesis on a subject in the field of natural sciences, mathematics, computer sciences or relevant didactics;
 3. Part 2 of the state pharmaceutical examination, or qualification as a pharmacist, or
 4. Master of Arts (M.A.) or Master of Science (M.Sc.) in Geography
 5. for all other degrees, the Doctoral Degree Committee shall check dissertations to ensure their subjects tie in with those of the Faculty before the doctoral examination procedure (cf. Section 9) can be initiated. Where a doctorate for the other Faculty is to be awarded, the other Faculty must be involved to an appropriate extent.In exceptional cases for which special reasons are given, the Doctoral Degree Committee may recognise a Bachelor of Science (B.Sc.) or Bachelor of Engineering (B.Eng.) degree as a requirement, for the fast-track procedure in terms of Section 22 et seq.
- (2) A degree programme at a university of applied sciences must have been completed with an overall grade of "very good (1.5)" or better. In deviation from this rule, admission may be granted with the consent of the Doctoral Degree Committee if evidence of particular qualification is furnished in the form of two evaluations requested by the Dean.

- (3) A doctoral researcher shall not be admitted if he or she has irrevocably failed a doctoral degree or has already embarked on a doctoral degree procedure at Kiel University or at another university with the goal of Dr. rer. nat. or Dr.-Ing.
- (4) The application documents specified in Section 9 must have been submitted in their entirety.

Section 8 Dissertation requirements

- (1) The doctoral dissertation must be an academic paper that serves to promote research and was prepared independently on the basis of the doctoral researcher's own new academic achievements and knowledge.
- (2) Works already published or manuscripts previously submitted or prepared for publication may be incorporated into the doctoral dissertation. Where published works are collaborations between several authors, the doctoral researcher's own contribution shall be clearly identified. For each of these publications and each of these manuscripts, it must be documented in the dissertation what proportion the candidate has contributed to the conceptual design, planning, implementation and preparation of the manuscript (see Section 9 (2) Number 8).
- (3) His or her own Bachelor's or Master's thesis may not be incorporated into the doctoral dissertation. This does not apply to exposés for interim evaluation as part of fast-track doctoral degrees, with simultaneous awarding of the Master's degree.
- (4) The dissertation must be produced in German or English. It must contain a one page abstract in German and English. If the abstract is not translated into the other language by the candidate themselves, this must be noted accordingly.
- (5) It must be clearly indicated in the dissertation which contextually-relevant resources were used to support and/or replace the own efforts.

Section 9 Application for admission to the doctoral examination procedure

- (1) The application for admission to the doctoral examination procedure must be submitted in writing to the Dean.
- (2) The doctoral researcher must submit the following documents together with the application:
 1. four copies of the dissertation, one of which shall include a signed declaration with the following:
 - a) confirmation that - apart from the supervisor's guidance - the content and design of the thesis is all the doctoral researcher's own work and only using the sources listed,
 - b) information on whether the thesis has already been submitted either partially or wholly as part of a doctoral examination procedure to another examining body and whether it has been published or submitted for publication,
 - c) confirmation that the thesis has been prepared subject to the Rules of Good Scientific Practice of the German Research Foundation,
 - d) information as to whether an academic degree has ever been withdrawn, as well as an electronic version of the dissertation for procedures at the Faculty of Engineering,
 2. a brief outline of the applicant's academic career including details of nationality, degree programmes undertaken and number of semesters of study spent at individual universities,
 3. supporting documents for the degrees listed as a requirement under Section 7 in the form of a degree certificate and any other university certificates,
 4. information on the intended doctorate, Dr. rer. nat. or Dr.-Ing.
 5. a declaration of any previous attempts at doctoral degrees, stating date, faculty or department and research topic,
 6. a current certificate of good conduct for submission to an authority,
 7. a supervisor's letter recommending two possible examiners, and

8. a letter on the doctoral researcher's own contribution to publications that are part of the dissertation text (see Section 8 (2)). This letter must be signed by the doctoral researcher and the supervisor.

Section 10

Admission to the doctoral examination procedure

- (1) The Dean decides on admission, whereby in the case of cross-faculty dissertations, he or she must check and determine the Faculty responsible, within a maximum period of two months. In case of rejection, the doctoral researcher shall be notified in writing, with reasons for this decision, along with instructions on the right to appeal.
- (2) Admission shall not be permitted if the requirements for admission in terms of Section 7 are not fulfilled, or if there are reasons to justify the withdrawal of an academic degree, or if an academic degree has been withdrawn. Admission can be refused if the application is incomplete.
- (3) The application pursuant to Section 9 can be withdrawn as long as the assessment period has not yet begun.

Section 11

Appointment of examiners

- (1) If the candidate is admitted, the Dean shall appoint two authorised supervisors as the first and second examiner for the dissertation. In general, the supervisor of the dissertation is usually appointed as the first examiner.
The second examiner is usually selected by the Dean from the two options suggested by the supervisor. The two examiners may not be in a work-related dependency relationship with one another.
The Dean can ask a member of another faculty, another university or a non-university research institute (pursuant to Section 5 (1 to 3)) to prepare the second examiners' report. In justified exceptional cases, the second examiner may also be someone not entitled to be a supervisor, but who is scientifically qualified.
- (2) At least one of the examiners must be an appointed member of the Faculty. Staff members holding a secondary appointment should only be appointed as first examiners if they have supervised the doctoral dissertation.
- (3) The examiners' reports are to be produced within a period of six weeks after the admission decision has been made. If the doctoral dissertation is recommended for acceptance, they must include a suggested grade pursuant to Section 18 (1).
- (4) The Dean may appoint additional examiners with the qualifications set out in Section 5, Paragraphs 1 to 3. This must be done if suggested grades for the dissertation differ by more than one full grade (difference in grades of more than 1.0) or if the dissertation is to be rated an outstanding academic achievement (see Section 12 (4)).

Section 12

Acceptance of the doctoral dissertation

- (1) After the report has been submitted, it shall be exhibited together with the dissertation at the Dean's Office for the duration of one week for inspection by the Faculty's authorised supervisors and members of the Faculty's Doctoral Degree Committee. If the greater proportion of the exhibition period falls in the lecture-free period, this period shall be extended to three weeks. If the dissertation submitted was to lead to a doctoral degree from the other Faculty, it shall also be exhibited in the other Faculty's Dean's Office for perusal by that Faculty's authorised supervisors and the Doctoral Degree Committee. The exhibition and the exhibition period are to be announced in line with the Faculty's customary practice.
- (2) If the dissertation received a proposed grade of at least "satisfactory" from all examiners, and no objection is lodged during the exhibition period, the doctoral dissertation shall be deemed to have been accepted by the Faculty. If a difference of opinion arises between examiners as to whether the dissertation should be accepted, the Doctoral Degree Committee shall decide in consultation with the examiners, who have voting rights in this regard. If an objection is lodged by an authorised supervisor or a member of the other Faculty's Doctoral Degree Committee against the examiners' reports, then Section 11 (4) applies accordingly.
- (3) If an objection is lodged by an authorised supervisor or a member of the other Faculty's Doctoral Degree Committee against proposals made in the examiners' reports for procedures in
 - a) the Faculty of Mathematics and Natural Sciences leading to a Doctorate in Engineering (Dr.-Ing.) and
 - b) the Faculty of Engineering leading to a Doctorate in Natural Sciences (Dr. rer. nat.)a joint committee consisting of members of both Doctoral Degree Committees shall rule on the objection. This committee is made up of six professors and four members of academic staff, with equal numbers of members derived from the two Faculties. The objection and reasons for it must be submitted in writing to the Dean of the Faculty through which the procedure was initiated, as he or she is the Chairperson of the committee with voting rights. The examiners may be consulted but are not permitted to become members of the committee.
- (4) If both examiners propose the grade "with distinction", an external report must be obtained in addition. The Dean shall ask the supervisor to propose at least two possible external examiners for this purpose.
- (5) If both examiners recommend that the dissertation be rejected, Section 13 (1) shall apply.
- (6) If both examiners recommend that the dissertation be returned for revision, Section 13 (3) shall apply.

Section 13

Rejection, revision and repetition of the doctoral dissertation

- (1) If a dissertation is rejected, then this doctoral degree procedure shall be deemed as concluded without success. Written notification to this effect shall be issued, accompanied by instructions on the right to appeal. The rejected work and the reports shall be retained on file by the Faculty.
- (2) The candidate can apply for admission to a second doctoral examination procedure with a different dissertation topic. If this dissertation is also rejected, the candidate has then irrevocably failed the doctoral examination and the doctoral degree procedure is concluded without success.
- (3) If a doctoral dissertation is not rejected but is considered not yet acceptable or is shown to have substantial shortcomings during the defence of the dissertation (disputation), then the candidate is given the requirement to revise and resubmit it within one year. The decision on this is made by the Doctoral Degree Committee, composed pursuant to Section 12 (2) Clause 2. If the doctoral dissertation is not resubmitted within this period, then this doctoral degree procedure shall be deemed as concluded without success.

Section 14

Date for the defence of the doctoral dissertation (disputation)

If the dissertation is accepted, the Dean shall set the date for the defence of the doctoral dissertation (disputation) and send the candidate a written invitation. If possible, the disputation is to be held during the lecture period and at the latest six weeks after acceptance of the dissertation.

Section 15

Examination Committee

- (1) For the defence of the doctoral dissertation (disputation), the Dean shall appoint an Examination Committee composed of:
 1. a professor from the Faculty of Mathematics and Natural Sciences who is on the Doctoral Degree Committee or a Chairperson of a Departmental Committee or his or her deputy for procedures at the Faculty of Mathematics and Natural Sciences; or an authorised supervisor within the meaning of Section 5 (1) as Chairperson for procedures at the Faculty of Engineering. An examiner may not be appointed for this
 2. usually the first examiner and
 3. at least two other university lecturers or private lecturers (lecturers with postdoctoral qualifications who do not hold a professorial appointment) or adjunct professors who are members of Kiel University or another university, one of whom can be the second examiner.
 4. In the case of doctoral degrees for graduates of universities of applied sciences, a lecturer of a university of applied sciences can be appointed member of the Examination Committee if none of the examiners is a lecturer at a university of applied sciences.

The candidate's suggestions for possible members of the Examination Committee should be accepted where possible. The Chairperson shall not be a member of the working group in which the doctoral dissertation was written.

- (2) The university teaching staff shall be obliged to assist as examiners in the doctoral degree procedure. The same applies to honorary professors, full-time professors and private lecturers who mainly work at the Faculty, if they are dissertation supervisors.
- (3) The majority of the Examination Committee's members shall be members of the Faculty awarding the doctorate.
- (4) In the case of procedures leading to a Dr. rer. nat. at the Faculty of Engineering or a Dr.-Ing. at the Faculty of Mathematics and Natural Sciences, at least one appointed professor of the other Faculty must be a member of the Examination Committee.
- (5) The Dean invites the Examination Committee to the doctoral examination. He or she publicises the university examination dates in an appropriate form.

Section 16

Conducting the defence of the doctoral dissertation (disputation)

- (1) The candidate may choose whether to conduct the disputation in German or English.
- (2) The disputation is made up of two sections that are held back-to-back:
 1. a presentation by the candidate about the dissertation, lasting around 30 minutes, as well as
 2. a discussion following immediately on from this between the candidate and the Examination Committee on the dissertation topic and related subject areas, lasting between 45 and 60 minutes.
- (3) The Chairperson of the Examination Committee shall nominate one of the members to take the minutes. The defence proceedings shall be documented in the minutes, which are to be signed by the members of the Examination Committee. The minutes must provide a record of the main contents and the outcome of the disputation.
- (4) The members of both Doctoral Degree Committees shall be entitled to participate in the entire procedure and members of the Examination Committee may ask questions during the discussion. The Chairperson may allow members of the audience to ask questions.

- (5) If a member of the Examination Committee is unable to attend directly before the disputation starts, the Chairperson of the Examination Committee may appoint another university lecturer from the Faculty as a member of the Examination Committee. The first examiner pursuant to Section 5 (1) may only be replaced in exceptional cases by resolution of the Doctoral Degree Committee.
- (6) If the disputation cannot be held due to absence, the Chairperson of the Examination Committee shall set a new date for it to be held as soon as possible thereafter. A medical certificate must be submitted if the candidate is absent from the disputation appointment due to illness.
- (7) Disputations are open to the university-affiliated public. If requested for good cause, the Doctoral Degree Committee may allow a disputation to be held in closed session.
- (8) A non-public closing meeting of the Examination Committee is held directly following the disputation. Members of both Doctoral Degree Committees may attend and are entitled to speak at the closing meeting. Attendance at the deliberations, grading of the disputation and notification of the candidate as to his or her examination result shall be reserved to the Examination Committee.
- (9) If the candidate's performance at the disputation was satisfactory, the Examination Committee shall determine the overall grade for the doctoral degree, taking into account the grades for the dissertation and the disputation.

Section 17

Repeating the defence of the doctoral dissertation (disputation)

- (1) If the candidate failed the disputation, he or she shall receive written notification of this from the Dean, accompanied by instructions on the right to appeal. The disputation can be repeated within one year of receipt of this written notification. This period may be extended for good reasons (in particular sickness, maternity leave, parental leave).
- (2) If the candidate fails the repeat disputation, or does not complete the repeat disputation within the set period, he or she has irrevocably failed and the respective doctoral degree procedure shall be terminated. Written notification to this effect shall be issued, accompanied by instructions on the right to appeal.

Section 18

Grading

- (1) The permitted grades and suggested grades for the doctoral dissertation and the disputation are:

With Distinction (Mit Auszeichnung) 0.0
 Very Good (Sehr gut) 1.0
 Good (Gut) 2.0
 Satisfactory (Genügend) 3.0

as well as the grade for the disputation:

Failed (Nicht bestanden) (cf. Section 17 and Section 18 Paragraph 4).

A grade may be raised or lowered by the value of 0.3 by adding a "+" or "-" respectively. The grade "With Distinction" cannot be raised or lowered. The grade "Satisfactory" cannot be lowered. If the examiners' reports on the dissertation give different grades, the Examination Committee must agree on one grade for the dissertation. The dissertation may only be awarded the grade "With Distinction" if this grade is clearly proposed in all the reports.

- (2) The overall grade shall be obtained by calculating the total of the grade for the dissertation weighted by a factor of 0.6 plus the grade for the disputation weighted by a factor of 0.4 and rounding to the first decimal place. This result shall determine the overall grade of the doctoral degree as follows:
 - With Distinction (summa cum laude) where the result is 0.0
 - Very Good (magna cum laude) where the result is 0.1 to 1.5
 - Good (cum laude) where the result is 1.6 to 2.5
 - Satisfactory (rite) where the result is 2.6 to 3.0

- (3) Furthermore the Examination Committee shall reach a decision at the end of the disputation as to whether the doctoral dissertation is ready for publication. If it has not been designated as ready for publication, its readiness for publication after completion of the required amendments shall be determined by the Dean after written confirmation from the first examiner. The candidate is considered to have passed the disputation if he or she attains a grade of at least "Satisfactory".
- (4) The candidate is considered to have failed the disputation if he or she receives a proper invitation but does not attend and does not provide compelling reasons for his or her absence. The Dean must be notified immediately in writing of reasons for non-attendance, supported by credible evidence.
- (5) Following a passed or irrevocably failed disputation, the candidate shall be entitled to peruse the examiners' reports on the dissertation.

Section 19

Disadvantage compensation for disabled or chronically ill doctoral researchers

- (1) If a candidate provides credible evidence that, owing to a chronic illness or a disability, he or she is not in a position to meet all or some of the doctoral examination requirements in the prescribed form, the Chairperson of the Doctoral Degree Committee can authorise equivalent examinations in a form appropriate to the candidate's needs.
- (2) The university's representative body for the disabled can be involved when the Chairperson of the Doctoral Degree Committee takes decisions pursuant to Paragraph 1.
- (3) Suitable proof shall be submitted as credible evidence of a chronic illness or a disability.

Part 3: Publication and conferral

Section 20

Publishing a doctoral dissertation

- (1) As a rule, a doctoral dissertation that is acknowledged as ready for publication should be supplied to the Faculty and made publicly available to the scientific community in an appropriate way within one year after the defence of the doctoral dissertation (disputation) at the latest. This requirement is fulfilled if the candidate hands in the copy required for the examination files free of charge, and submits confirmation from the University Library that the requirements for publication have been met: prior to publication in electronic form, the written consent of the supervisor shall be obtained. If electronic publication should not be possible for copyright or patent reasons, initially only an abstract shall be published electronically. After two years have elapsed, the entire work must have been published.
- (2) The copies to be supplied shall be made identifiable as a dissertation.
- (3) If the candidate fails to meet the deadlines laid down in Paragraph 1, then all rights acquired as a result of the examination shall lapse. In exceptional cases the Dean may extend the deadline, usually by a maximum of two additional years.

Section 21

Conferral of the doctoral degree and doctoral degree certificate

- (1) After the defence of the doctoral dissertation (disputation) has been passed, the candidate gives a pledge to the Dean at the presentation of the doctoral degree certificate, or to the Chairperson of the Examination Committee immediately after its final meeting, sealed with a handshake, in the following words:
"I pledge to uphold the honour of the academic degree which the Faculty will confer upon me and to the best of my knowledge and conscience to seek and profess the truth."
After this pledge has been made and the obligatory copies of the doctoral dissertation lodged pursuant to Section 20, the doctoral degree shall be conferred, usually by presentation of the doctoral degree certificate.

- (2) The doctoral degree certificate states the dissertation's title and grade, the grade awarded for the disputation, as well as the overall grade of the doctoral degree. It is written in German with Latin terms for the overall grade added, bears the official seal of the Faculty, with the signature of the Dean and the date on which the last of all requirements for obtaining the doctoral degree was met. Two certified copies shall be presented in addition to the original certificate.
- (3) Once the holder of the doctorate has received his or her doctoral degree certificate, he or she is entitled to hold a doctoral degree title. Up to this point, the candidate is not permitted to use the doctoral degree title in any form.

Part 4: Fast-track doctoral degree with simultaneous acquisition of the Master's degree

Section 22

Conditions for a fast-track doctoral degree with simultaneous acquisition of the Master's degree

- (1) A fast-track doctoral degree is possible if this is expressly permitted in the degree-specific examination regulations of the respective degree programme, and the relevant conditions are contained therein.
- (2) In addition to Section 7, doctoral researchers may be admitted to the doctoral examination procedure if they
 1. obtained a Bachelor's degree in their first studies with outstanding success (at least ECTS grade A), and completed it within the standard period of study, and
 2. are registered for a Master's degree programme at the Faculty of Mathematics and Natural Sciences or the Faculty of Engineering at Kiel University in a subject relevant to the topic of the doctoral degree, and
 3. have concluded a supervision agreement pursuant to Section 6, and
 4. can present a letter of recommendation certifying his/her outstanding aptitude for academic work by the Examination Committee of the respective Master's degree programme.The subject-specific requirements must be stipulated in the relevant degree-specific examination regulations.

Section 23

Application for a fast-track doctoral degree with simultaneous acquisition of the Master's degree

- (1) The applicant must submit a written request to the Dean for acceptance as a doctoral researcher in accordance with the conditions specified in Section 22, before the end of the first year of study of the Master's degree programme.
- (2) The application must include:
 1. the Bachelor's degree certificate,
 2. the matriculation certificate in accordance with Section 22 (2) Number 2,
 3. the supervision agreement in accordance with Section 6,
 4. the letter of recommendation in accordance with Section 22 (2) Number 4,
 5. proof of academic achievements to date in the Master's degree programme, and
 6. a motivational letter stating convincing reasons why the applicant considers him/herself a suitable candidate for a fast-track doctoral degree with simultaneous Master's qualification.

Section 24

Acceptance as a doctoral researcher for a fast-track doctoral degree with simultaneous acquisition of the Master's degree

- (1) The Doctoral Degree Committee shall decide on the application for acceptance on the basis of the documents submitted in accordance with Section 23 and the regulations listed in the following paragraph via written notification. Conditional acceptance may be granted if the conditions stipulated in the following paragraphs have not yet been met at the time of the application for acceptance. If these conditions can no longer be met at the time when the final decision on acceptance is made, then the application is rejected.
- (2) In the Master's phase of the fast-track doctoral degree programme, at least 50% of the total score of the respective Master's degree must have been obtained by the end of the second semester (for three-semester Master's programmes), or by the end of the third semester (for four-semester Master's programmes). The modules required are set out in the respective degree-specific examination regulations of the relevant Master's degree programme. The average grade achieved for these modules must be at least 1.5. If these requirements have not been fulfilled by the end of the second semester (for three-semester Master's programmes), or by the end of the third semester (for four-semester Master's programmes), then the conditional acceptance as a fast-track doctoral researcher will be revoked. The applicant has to prove that they have fulfilled the requirements (transcript of records). In case of revocation, the Doctoral Degree Committee notifies the applicant in writing that they are no longer accepted, and that they may apply to participate in a normal doctoral degree procedure, after successful completion of their Master's degree.
- (3) No later than the end of the second semester (for three-semester Master's programmes), or the end of the third semester (for four-semester Master's programmes), an intermediate evaluation is carried out by an evaluation group specified in the relevant degree-specific examination regulations, in the form of a discussion accompanied by submission of an exposé (equivalent to a Master's thesis). This evaluation is composed of the exposé and the discussion with the doctoral researcher regarding their intended dissertation topic. Both must achieve the grade "very good" in the evaluation. In the case of a positive decision by the evaluation group, the acceptance of the doctoral researcher by the Doctoral Degree Committee is once again confirmed, and the previous conditional status removed. Otherwise, the conditional acceptance is revoked.
- (4) A negative interim evaluation in the fast-track procedure is not regarded as a failed attempt at a doctoral degree. The opportunity to continue with the Master's degree programme shall remain unaffected.
- (5) Further requirements and/or additional arrangements are stipulated in the relevant degree-specific examination regulations.

Section 25

Completion of the fast-track doctoral degree with simultaneous acquisition of the Master's degree

- (1) The Master's degree is awarded when the fast-track doctoral degree has been successfully completed, and when all the examinations specified in the Master's degree-specific examination regulations for the fast-track process with simultaneous acquisition of the Master's degree have been completed.
- (2) If the Master's degree programme is continued after an irrevocably failed doctoral degree procedure pursuant to Section 13, the dissertation may be submitted as a Master's thesis in a revised form in line with the scope of a Master's thesis.
- (3) Please refer to the respective degree-specific examination regulations for more details.

Part 5: Awarding of doctorates as part of binational doctoral degree procedures

Section 26

Binational doctoral degree procedure

- (1) The Faculty can award doctorates jointly with a foreign university or an officially recognised institution of higher education on the basis of joint supervision and evaluation of the dissertation and a jointly conducted final oral examination. The doctoral title to be used may either take the form of a doctorate from the Faculty of Mathematics and Natural Sciences (Dr. rer. nat.) or of the Faculty of Engineering (Dr.-Ing.) or of a doctorate from the academic partner institution concerned, according to preference. Attention is drawn to Section 29 (2).
- (2) Further details shall be regulated in a partnership agreement. The agreement should reflect the relevant doctoral degree regulations. The Doctoral Degree Committee may permit deviations from these provisions in justified individual cases.

Section 27

Acceptance as a doctoral researcher in the binational doctoral degree procedure

If the candidate

1. satisfies the admission requirements pursuant to Section 7 and
2. has agreed his or her dissertation topic with an authorised supervisor from the Faculty of Mathematics and Natural Sciences or the Faculty of Engineering as well as an authorised supervisor from the relevant academic partner institution,

he or she can be accepted as a doctoral researcher of a binational doctoral degree procedure.

Section 28

Examiners in binational doctoral degree procedures

If the applicant is accepted, the Dean shall usually appoint the supervisor from the Faculty as the first examiner. The supervisor from the partner institution is usually appointed as the second examiner.

Section 29

Certificate

- (1) On successful completion of the joint doctoral degree procedure, the Faculty at which the doctoral examination procedure is to be conducted shall produce the doctoral degree certificate, which shall also state the name of the relevant academic partner institution.
- (2) The doctorate may be used in its German form. Alternatively, the degree title conferred abroad can be used under the conditions laid down in Section 57 of the Schleswig-Holstein Higher Education Act (HSG) without individually obtaining the Ministry's consent.

Part 6: Final provisions

Section 30 Denial and revocation of the doctorate

- (1) At the instigation of the Doctoral Degree Committee, the Faculty Convention can, following consultation with the candidate and prior to presentation of the doctoral degree certificate, declare the doctoral examination results invalid if it is found
 1. that the candidate was guilty of deception or attempted deception in connection with his or her evidence of doctoral studies, or that important doctoral degree admission requirements were erroneously assumed to have been met, or
 2. that the candidate is not capable of performing an official function (Section 40 (2) No. 4 of the Schleswig-Holstein Higher Education Act (HSG))
 3. that the candidate has been the subject of a legally enforceable custodial sentence of at least one year for an intentional wrongful act; Section 51 of the German Federal Central Criminal Register Act (Bundeszentralregistergesetz) applies accordingly.Acceptance of candidates currently facing the possibility of criminal proceedings due to an intentional wrongful act may be deferred until conclusion of the proceedings in question. The Faculty Convention shall decide all cases of deferral.
- (2) At the instigation of the Doctoral Degree Committee, the Faculty Convention can, after a hearing with the doctor, revoke a doctorate, if
 1. the conditions in Paragraph 1 apply, or
 2. the conditions in Paragraph 1 Numbers 2 or 3 subsequently take effect.
- (3) External assessments are usually requested to prepare for the decision on possible gross violations of the rules of good scientific practice.
- (4) If the decision on withdrawal of the doctoral degree is established as legally binding, all related certificates must be returned.

Section 31 Data collection

Pursuant to Section 45 of the Schleswig-Holstein Higher Education Act (HSG) the Faculty collects such personal data from applicants and doctoral researchers as are necessary pursuant to these Doctoral Degree Regulations and the Higher Education Statistics Act (Hochschulstatistikgesetz, HstatG) for the legal discharge of its duties.

Section 32 Exceptions

At the instigation of the Doctoral Degree Committee, the Faculty Convention can deviate from the provisions set out in these Doctoral Degree Regulations in justified exceptional cases. This applies especially to the admission requirements under Section 4. However, the requirement of a satisfactory dissertation and a satisfactory disputation cannot be waived.

Section 33
Entry into force and transitional provisions

- (1) These Rules enter into force on the day after the date they are published. At the same time, the Joint Doctoral Degree Regulations (Rules) of the Faculty of Mathematics and Natural Sciences at Kiel University of 31 August 2012 (NBI. MBW. Schl.-H.), p 59), amended by the Rules of 15 November 2012 (NBI. HS. MBW. Schl.-H., p 17) cease to apply.
- (2) The Doctoral Degree Regulations that expire pursuant to Paragraph 1 shall continue to apply to candidates accepted before these Doctoral Degree Regulations enter into force. These candidates may apply to do their doctoral degree according to the new Doctoral Degree Regulations.

The University Board of Kiel University granted its approval in accordance with Section 54 (3) of the Schleswig-Holstein Higher Education Act (HSG) in its letter dated 9 August 2018.

Kiel, 9 August 2018

Professor Dr Frank Kempken
Dean of the Faculty of Mathematics and Natural Sciences
at Kiel University

Prof. Dr Hermann Kohlstedt
Dean of the Faculty of Engineering
at Kiel University



SUPERVISION AGREEMENT

(in accordance with the Doctoral Degree Regulations for the MNF TF dated 9 August 2018)

An agreement on supervision for creating a dissertation is hereby concluded between the following persons:

Doctoral researcher _____

Supervisor Prof. Dr _____.

The above-mentioned doctoral researcher intends to create a dissertation with the provisional topic:

and seeks to achieve the following doctoral degree: _____.

He/she commenced work on the dissertation on _____ (day/month/year).

Is the dissertation named above cross-faculty? yes no

(see the checklist for more information)

If the answer is yes, and it is to be allocated to the Faculty of Mathematics and Natural Sciences, please include a declaration from the supervisor about the thematic link to the Faculty of Mathematics and Natural Sciences.

Was an intermediary agency for doctoral degrees used: yes no

The doctoral researcher declares that she or he:

1. will inform the supervisor about the status and progress of the dissertation on a regular basis,
2. consents to the fact that his or her data on the dissertation and its progress will be saved in the Graduate Centre (central registration office for dissertation data) in accordance with the Federal Data Protection Act, and will be used for evaluation of the doctoral phase at Kiel University by Kiel University, as well as passed on to the Federal State Government of Schleswig-Holstein, the Statistical Office of Northern Germany and the Federal Statistical Office.

The supervisor declares that she or he will actively supervise the preparation of the above-mentioned dissertation. This active supervision should include, amongst other things, the following points:

1. assisting with the choice of a suitable dissertation concept, in particular with regard to the topic and a reasonable completion time frame,
2. assisting with the development of a work plan and schedule for the doctoral degree,
3. providing regular expert advice and supervising the doctoral researcher, as well as constructive discussions on research results,
4. passing on information about jobs, scholarships, conferences, workshops, etc.,
5. assisting with applications for scholarships and other qualification-promoting measures, as well as overall with integration into the national and international scientific networks,
6. providing information on the opportunities and risks of a scientific career.

The supervisor and the doctoral researcher commit themselves to comply with the current version of the “Rules of Good Scientific Practice – standard of scientific work pursuant to the recommendations of the German Research Foundation (DFG)” which apply at Kiel University, and to work according to these.

Taking the above points into account, the doctoral researcher is expected to be able to submit her/his dissertation for evaluation in _____ (month/year).

Place, Date

Doctoral researcher's signature

Supervisor's signature
Institute or department's stamp

**Supervision Agreement
for creating a dissertation**

between the doctoral researcher

Surname: _____ First name: _____
Date of birth: _____ in: _____
Nationality: _____
Address: _____ Telephone number: _____
_____ Mobile number: _____
_____ E-mail: _____

and the supervisor

Title, surname: _____ First name: _____
Institute and Chair: _____

The candidate is working towards the following doctorate:

Dr.-Ing. Dr. rer. nat.

The provisional title of the dissertation is:

Where appropriate, statements showing whether the dissertation can potentially be allocated to several faculties (inter-faculty doctoral degree).

The supervisor declares that he/she will actively supervise the doctoral degree procedure (e.g. by providing regular expert advice and supervising the doctoral researcher, as well as constructive discussions on research results and supporting the doctoral researcher).

The doctoral researcher declares that he/she will inform the supervisor of the status and progress of the dissertation on a regular basis.

The doctoral researcher consents to the fact that his/her data on the dissertation and its progress will be saved in the Graduate Centre (central registration office for dissertation data) in accordance with the Federal Data Protection Act and will be used for evaluation of the doctoral phase at Kiel University, as well as passed on to the Federal State Government of Schleswig-Holstein, the Statistical Office of Northern Germany and the Federal Statistical Office.

The supervisor and the doctoral researcher commit themselves to comply with the current version of the “Rules of Good Scientific Practice – standard of scientific work pursuant to the recommendations of the German Research Foundation (DFG)” which apply at Kiel University, and to work according to these.

As a means of protection against abuse, the doctoral researcher declares whether he or she made use of an intermediary agency for doctoral degrees.

No intermediary agency for doctoral degrees was used

Yes, an intermediary agency for doctoral degrees was used:

Kiel, dated _____
Date

Doctoral researcher's signature

Supervisor's signature and stamp

Publishing a doctoral dissertation

in accordance with the Joint Doctoral Degree Regulations (Rules) of the Faculty of Mathematics and Natural Sciences and the Faculty of Engineering at Christian-Albrechts-Universität zu Kiel - 2018 and Kiel University Library's requirements

The doctoral dissertation acknowledged as ready for publication should be supplied to the Faculty and made publicly available to the scientific community in an appropriate way within one year after the defence of the doctoral dissertation (disputation) at the latest. This requirement is fulfilled if the candidate hands in the copy required for the examination files free of charge, and submits confirmation from the University Library that the following requirements for publication have been met.

1. Publication in generally accessible electronic media via the University Library
or
2. Four copies, if the main parts of the work are published in a journal and this has been confirmed in writing by the supervisor
or
3. Two copies, if a commercial publisher will distribute the dissertation via the bookselling trade and evidence is provided of a minimum edition of at least 150 copies
or
4. 15 copies in printed or photocopied format for the purpose of distribution.

Prior to publication in electronic form, the written consent of the supervisor shall be obtained (form).

If electronic publication should not be possible for copyright or patent reasons, initially only an abstract shall be published electronically. The University Library also receives an electronic version of the entire piece of work, which is published by the University Library after two years.

The copies to be supplied shall be made identifiable as a doctoral dissertation.

Publishing a doctoral dissertation

As a rule, a doctoral dissertation that is acknowledged as ready for publication should be supplied to the Faculty and made publicly available to the scientific community in an appropriate way within one year after the defence of the doctoral dissertation (disputation) at the latest. This requirement is fulfilled if the candidate hands in the copy required for the examination files free of charge, and submits confirmation from the University Library that the requirements for publication have been met:

1. Three copies, with simultaneous publication in generally accessible electronic media via the University Library (in this case the files to be submitted to the University Library must be formatted according to its specifications) or
2. Five copies, if the main parts of the work are published in a journal, or
3. Three copies, if a commercial publisher will distribute the dissertation via the bookselling trade and evidence is provided of a minimum edition of at least 150 copies, or
4. 41 copies in printed or photocopied format for the purpose of distribution
5. Five printed copies for publications as a “Book on Demand”

Prior to publication in electronic form, the written consent of the supervisor shall be obtained. If electronic publication should not be possible for copyright or patent reasons, initially only an abstract shall be published electronically. After two years have elapsed, the entire work must have been published.

The copies to be supplied shall be made identifiable as a doctoral dissertation.

If the applicant fails to meet the deadlines laid down, then all rights acquired as a result of the examination shall lapse. In exceptional cases the Dean may extend the deadline, usually by a maximum of two additional years.