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University of Bayreuth, 95440 Bayreuth

**Announcement concerning  
university regulations**

Ref. No. A 3518 - I/1  
Please include in future correspondence  
Bayreuth, 25 January 2021

**Doctoral Regulations for the Faculty of Biology, Chemistry &  
Earth Sciences at the University of Bayreuth**

Annex: 1x regulations with notes on execution and publication

The University of Bayreuth has published the doctoral regulations for the Faculty of Biology, Chemistry & Earth Sciences of the University of Bayreuth in accordance with § 2 of the Ordinance on the Publication of University Statutes BayRS 2210-1-1-1-WFK by depositing and posting them at the University.

Please take note.

[seal]

[signature]

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**Doctoral Regulations**  
**for the**  
**Faculty of Biology, Chemistry & Earth Sciences**  
**dated 25 January 2021**

Article 13 para 1 sentence 2 in conjunction with Article 64 para 1 sentence 5 of the Bavarian Higher Education Act (*BayHSchG*) forms the basis for the following doctoral regulations for the Faculty of Biology, Chemistry & Earth issued by the University of Bayreuth.



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## **Section I: General provisions**

### **§ 1**

#### **Doctoral degree**

- (1) <sup>1</sup>The University of Bayreuth, by way of the Faculty of Biology, Chemistry & Earth Sciences, awards the academic degree of “Doktor der Naturwissenschaften” (Dr. rer. nat.) on the basis of doctoral assessment components in the subjects of biology or chemistry or Earth sciences. <sup>2</sup>The degree may be awarded either as “Doktorin” or “Doktor”. <sup>3</sup>The abbreviated form remains unchanged.
- (2) According to Art. 64 para 1 BayHSchG, the doctorate serves as proof of an independent academic achievement, which must go considerably beyond the achievements required in § 4 for acceptance to the doctorate.
- (3) The doctoral examination consists of an academic work (dissertation) written by the doctoral researcher and an oral examination (colloquium).
- (4) <sup>1</sup>The University of Bayreuth, by way of the Faculty of Biology, Chemistry & Earth Sciences, awards the honorary degree of “Doktor der Naturwissenschaften ehrenhalber” (Dr. rer. nat. h. c.) in accordance with § 18 as a rare distinction to individuals who have rendered outstanding scientific services in the subjects of biology, chemistry, or Earth sciences. <sup>2</sup>Paragraph 3 sentences 2 and 3 apply *mutatis mutandis*.

### **§ 2**

#### **Examination authorization**

<sup>1</sup>According to the present doctoral regulations, instructors entitled to administer examinations are those university lecturers within the meaning of Art. 2 para 3 sentence 1 BayHSchPG, professors who have been released from their duties, retired professors (cf. Art. 13 BayHSchPG), and other instructors entitled to administer examinations in accordance with § 4 HSchPrüferV who belong to the Faculty of Biology, Chemistry & Earth Sciences. <sup>2</sup>The decision as to whether a justified case is present under § 4 sentence 3 HSchPrüferV is made by the dean in consultation with the doctoral committee. <sup>3</sup>Instructors from other faculties of the University of Bayreuth or from other German or foreign universities may also be appointed as examiners by the dean, provided that they fulfil the qualification requirements specified in Art. 62 para 1 BayHSchG in conjunction with § 4 HSchPrüferV or equivalent requirements. <sup>4</sup>The assessment of equivalence is the responsibility of the dean. <sup>4</sup>In addition, § 19 applies to doctoral degrees awarded jointly with universities of applied science/HAWs, and Section V applies in the context of binational doctorates.

### § 3

#### Doctoral committee and extended doctoral committee

- (1) 1The doctoral committees are responsible for granting acceptance for doctoral research and conducting the doctoral examination process. 2A doctoral committee is formed for each of the subjects biology, chemistry, and Earth sciences.
- (2) 1The doctoral committees consist of the dean or his/her deputy as chairperson and four instructors authorized to administer examinations each for the subjects biology and Earth sciences and five instructors authorized to administer examinations for the subject chemistry. 2They are elected by the faculty council for a period of two years.
- (3) 1A doctoral committee constitutes a quorum if all members have been duly invited and the majority of the members are present and entitled to vote; it passes its resolutions by a majority of the votes cast. 2Vote abstention, secret voting, and proxy voting are prohibited. 3If votes are equally divided among its members, the chairperson's vote shall be decisive.
- (4) 1The decisions of the doctoral committee are to be communicated to the applicant or the doctoral researcher in writing. 2Notices of denial are to include a rationale and information on how to appeal.
- (5) 1The extended doctoral committee is composed of all instructors who are faculty members and are authorized to administer examinations. 2It makes decisions in the cases referred to in §12 para 5 and §18 para 2 and para 3. 3The dean acts as chairperson. 4It shall be convened within 14 days of a member's request. 5Paragraphs 3 and 4 apply *mutatis mutandis*. 6If the extended doctoral committee decides on a request in accordance with § 18, the decision shall require the approval of two thirds of the instructors authorized to administer examinations.
- (6) Exclusion due to personal involvement is based on Art. 41 para 2 BayHSchG, taking into account Art. 20 and Art. 21 BayVwVfG.

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

### **§ 4**

#### **Application for acceptance for doctoral research**

- (1) In order to be accepted for doctoral studies, the applicant must fulfil the following requirements:
  1. They must have completed a subject-related higher education degree programme; the standard degree is the university *Diplom* or *Magister* examination, the master's examination, or the first state examination to teach at a *Gymnasium*. The doctoral committee can also recognize other degrees and degrees in related subjects as sufficient prerequisites for the doctorate and, if necessary, demand additional components. It also decides on the recognition of foreign degrees. In these cases, the doctoral committee decides according to the principle of equivalence, taking into account Art. 63 BayHSchG. The Central Office for Foreign Educational Credentials ("Zentralstelle für ausländisches Bildungswesen") may be contacted if there is doubt concerning equivalency. The requirement according to sentence 1 is considered to be fulfilled if the applicant has passed the doctoral aptitude assessment according to § 6.
  2. He/she must not have failed this or any other similar doctoral examination on the final attempt.
  3. The applicant must have concluded a supervision agreement in accordance with § 7 with an instructor authorized to administer examinations in accordance with § 2 sentence 1; there is no entitlement to the conclusion of a supervision agreement.
  4. He or she must not have shown himself or herself to be unworthy of holding a doctoral degree by his or her conduct.
  5. He or she must not have not already been accepted to doctoral studies at a different body that awards doctoral degrees in the same subject, whether at the University of Bayreuth or a different higher education institution.
- (2) <sup>1</sup>Acceptance for doctoral studies must be applied for in writing to the dean. <sup>2</sup>The application is to be accompanied by the documents required to prove the prerequisites specified in para 1. <sup>3</sup>With the application, the applicant must register online, and the Dean's Office confirms the registration as an applicant to the Faculty of Biology, Chemistry & Earth Sciences.
- (3) The doctorate begins with the date of the written confirmation of acceptance for the doctorate by the dean.

## § 5

### Statistical requirements

- (1) 1With the application for acceptance for doctoral studies, personal data of the doctoral researcher will be collected, automatically stored, and processed by the faculty in accordance with the survey characteristics regulated in § 5 of the Higher Education Statistics Act (HStatG) dated 2 November 1990 (as amended) for the purpose of fulfilling the legal duties as well as for the purpose of legislation and planning in the higher education sector in accordance with § 1 (1) 1 and 2 of the Higher Education Statistics Act in the context of doctoral studies. 2In this respect, the applicant is obligated to cooperate and to provide personal data (Art. 10 para 2 sentence 3 BayHSchG).
- (2) 1Regular transmission or forwarding to the Bavarian State Office for Statistics is carried out with regard to the survey characteristics of the Higher Education Statistics Act of 2 November 1990 as well as to the university administration for the purpose of presenting the higher education statistics. 2The use and processing of personal data is subject to the requirements of Art. 10 BayHSchG.

## § 6

### Doctoral aptitude assessment

- (1) Admission to the doctoral aptitude assessment requires that the applicant does not fulfil the prerequisites specified in § 4 para 1 number 1 and that
  1. he or she has completed a relevant *Diplom* or *Magister* programme at a university of applied science with an overall grade of at least 2,0 or a relevant bachelor's programme at a university or university of applied sciences within the standard period of study with an overall grade of 1,0,
  2. has written a bachelor's, *Diplom* or *Magister* thesis which has been assessed with the grade "very good",
  3. he or she has not yet undergone a relevant doctoral aptitude assessment or a comparable examination at another German higher education institution without success,
  4. a counselling interview has taken place with the applicant, which is conducted and recorded by an instructor authorized to administer examinations who was appointed by the doctoral committee.



- (2) 1The application for admission to the doctoral aptitude assessment must be submitted in writing to the dean. 2The applicant must enclose the following documents with the application:
1. proof of meeting the admission requirements specified in para 1 numbers 1, 2, and 4;
  2. a statement as to the subject area in which he/she is pursuing a doctorate;
  3. a statement as to whether he/she has already taken a doctoral aptitude assessment or a comparable examination at another German higher education institution.
- 3In addition, the applicant may submit further documents that can be used to prove subject-related qualifications beyond the academic degrees.
- (3) 1The doctoral committee decides on admission to the doctoral aptitude assessment.  
2Admission is to be refused if
1. the admission requirements stipulated in para 1 are not fulfilled, or
  2. the applicant has shown himself/herself to be unworthy of holding the doctoral degree due to his/her conduct, or
  3. the applicant does not submit the documents and declarations mentioned in para 2 sentence 2 in full.
- (4) In the doctoral aptitude assessment, the applicant must prove that he/she has the subject-specific knowledge and scientific aptitude required for a doctorate.
- (5) 1The doctoral aptitude assessment consists of an oral examination of approximately one hour before an examination board. 2The examination board consists of three instructors from the Faculty of Biology, Chemistry & Earth Sciences who are authorized to administer examinations; the supervisor of the doctorate is not a member of the examination board. 3The dean appoints the board of examiners and appoints an examiner as chairperson 4He/she sets the date of the examination and invites the members of the board of examiners and the applicant to the appointment in writing with one week's notice. 5§ 14 para 7 applies *mutatis mutandis*.
- (6) 1No grades are awarded in the doctoral aptitude assessment. 2The board of examiners will determine whether the applicant's performance meets the requirements according to para 4. 3If the performance does not meet these requirements, the doctoral aptitude assessment is failed. 4Minutes are taken of the examination and signed by the chairperson and the examiners. 5§ 9 para 3 sentence 2 applies *mutatis mutandis*.
- (7) 1Any Doctoral aptitude assessment that was failed on the first attempt can be repeated once. 2The application for admission to the re-examination must be submitted within one year after notification of the failure of the examination, unless the dean grants the applicant a period of grace due to special reasons for which he/she is not responsible.

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

## § 7

### Supervision and supervisory agreement

- (1) 1The doctorate is supervised by an instructor authorized to administer examinations. 2The latter and the applicant shall set out the key points of the doctoral relationship in a written supervisory agreement.
- (2) 1If the supervisor leaves the group of persons according to § 2 sentence 1, he/she can continue the supervision for up to two years after his/her departure if he/she remains entitled to administer examinations under the conditions of Art. 62 para 1 BayHSchG in conjunction with § 4 HSchPrüferV. 2The dean may extend the period given in sentence 1 by a maximum of two years if there are important reasons for doing so.
- (3) If the supervisor of a doctorate can no longer continue supervising it, the doctoral committee will ensure that the doctorate continues to be supervised as far as possible.
- (4) 1In the case of doctorates with universities of applied science/HAWs (§ 19), the dissertation is supervised equally by the participating teaching staff of the university of applied science/HAW and the university who are authorized to administer examinations, and the supervisory agreement is concluded jointly between them and the doctoral researcher. 2Paragraph 1 and para 2 apply *mutatis mutandis*.
- (5) 1The completion of a doctorate outside the Faculty of Biology, Chemistry & Earth sciences is only permissible if an instructor authorized to administer examinations in the faculty according to § 2 agrees to supervise the doctorate. 2 This person represents the doctorate before the faculty, concludes the supervisory agreement in accordance with paragraph 1 and prepares one of the reviews.

## § 8

### Application for admission to the doctoral examination process

1Admission to the doctoral examination process must be applied for in writing to the dean and requires acceptance for the doctorate. 2The application must include:

1. six identical copies of the dissertation, which must meet the requirements according to § 11,
2. a German and an English abstract of no more than 800 words, with the title in a form specified by the dean and suitable for electronic delivery,

3. an affirmation in lieu of an oath that the doctoral researcher has written the thesis independently and has not used any sources or aids other than those indicated by him/her (cf. Art. 64 para 1 sentence 6 BayHSchG) as well as an updated declaration that he/she has not yet submitted the thesis for the award of an academic degree and that he/she has not yet failed this or a similar doctoral examination on the final attempt;
4. a declaration that the assistance of commercial doctoral consultants or intermediaries or similar service providers has not been used in the past and will not be used in the future;
5. a curriculum vitae of the doctoral researcher, providing information in particular about his/her educational background;
6. an official certificate of good conduct. In the case of foreign citizens, a certificate recognized as equivalent by the University of Bayreuth must be submitted. This can be an extract from the criminal record from one's home country, a certificate of good conduct, or a comparable document. If the doctoral researcher is enrolled or is a public servant, the certificate of good conduct can be waived.
7. the electronic version of the dissertation, the form of which is specified by the dean, as well as a declaration of consent by the doctoral researcher that the electronic version of the dissertation can be subjected to a separate review while safeguarding his/her copyright and data protection;
8. a declaration of consent by the doctoral researcher that in the event of suspected scientific misconduct investigations may be carried out by internal university bodies of scientific self-regulation;
9. proof of any additional components to be completed in accordance with § 4 para 1 number 1.

## § 9

### **Decision on acceptance for doctoral studies and admission**

- (1) Acceptance for doctoral studies is to be refused if the requirements specified in § 4 para 1 are not fulfilled.
- (2) Admission is to be refused if
  1. no acceptance for doctoral studies has been granted or
  2. the documents required under § 8 are incomplete, or
  3. the applicant has shown himself/herself to be unworthy of holding the doctoral degree due to his/her conduct.

- (3) 1The doctoral committee should decide on the applications of the applicant/doctoral researcher within one month. 2The decisions on the applications for acceptance for doctoral studies and for admission to the doctoral examination process are communicated to the applicant/doctoral researcher in accordance with § 3 para 4. 3In the doctoral examination process, the dean should ensure that the period between the application for admission to the doctoral examination process and the final colloquium does not exceed four months.

## **§ 10**

### **Withdrawal**

1The doctoral researcher may withdraw from the doctorate at any time, provided that no application for admission to the doctoral examination process has been submitted. 2The request for withdrawal must be submitted in writing to the dean. 3With the confirmation of withdrawal by the dean, the supervisory agreement is considered cancelled.

## **§ 11**

### **Dissertation**

- (1) 1The dissertation must represent an independent academic achievement and contribute to solving scholarly questions. 2It should lead to new scientific knowledge. 3It must present the results achieved in an appropriate form.
- (2) 1The dissertation must be signed and submitted in typescript; it must be bound, paginated, and provided with a table of contents and contain a German and English abstract of no more than 800 words providing information on the problem and results. 2The literature used as well as any other aids are to be stated in full; passages taken verbatim or almost verbatim from the literature are to be identified. 3The title page must state the title of the dissertation, that it is a dissertation, and the name and place of birth of the doctoral researcher.
- (3) If an already published work is submitted as a dissertation, the corresponding number of copies of the printed work may be used instead of the typed copies.
- (4) 1Several individual works by a doctoral researcher can also be combined into one dissertation (cumulative dissertation). 2In this case, a detailed summary of the link between the individual works and the doctoral researcher's own contribution should be provided.

3The decision as to whether a cumulative dissertation is deemed suitable shall be taken by the doctoral committee.

- (5) 1The dissertation may be written in German or English. 2In the case of a cumulative dissertations, publications in either language are permitted.

## § 12

### Assessment of the dissertation

- (1) 1After admission to the doctoral examination procedure, the dean, on the recommendation of the doctoral committee, will immediately appoint at least two examiners as reviewers for the evaluation of the dissertation. 2One of the reviewers must be an instructor of the Faculty of Biology, Chemistry & Earth Sciences authorized to administer examinations and at least one reviewer must be a professor in the sense of Art. 2 para 1 sentence 1 number 1 BayHSchPG, who is authorized to administer examinations according to § 2. 3In the case of doctorates with universities of applied sciences/HAWs (§ 19), the two equal supervisors of the university of applied sciences and the university are generally appointed as reviewers.

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

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

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

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

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

3The use of the intermediate grades 1.3, 1.7, 2.3, 2.7 is permitted.

4In special cases, the predicate

*ausgezeichnet* [excellent] = very outstanding work

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

- (3) 1The dean appoints an additional reviewer at the suggestion of the doctoral committee if the reviews differ by more than one grade. 2If the dissertation was reviewed by several supervisors, the dean appoints an additional reviewer. 3If the dissertation has been assessed with the overall grade "excellent", the dean may appoint a further reviewer at the suggestion of the doctoral committee. 4The same applies if a reviewer proposes the appointment of another reviewer.

- (4) The dean may appoint additional reviewers at any time during the process in consultation with the doctoral committee if this appears necessary to ensure a proper assessment.
- (5) <sup>1</sup>The dean informs the members of the extended doctoral committee in an appropriate manner about the receipt of the reviews and the grades of the reviewers. <sup>2</sup>The abstract of the dissertation is sent with the notification. <sup>3</sup>Upon justified request, the electronic version of the dissertation will be sent after consultation with the signatories of the supervisory agreement, whereby copyrights and data protection must be respected. <sup>4</sup>The dean shall make the dissertation and the reports available for inspection by the extended doctoral committee in the dean's office for a period of two weeks. <sup>5</sup>The members of the extended thesis committee may submit a written statement to the dean or raise an objection against the thesis within the display period. <sup>6</sup>The doctoral committee will deliberate on statements and objections received in due time. <sup>7</sup>It will give the doctoral researcher and the supervisor the opportunity to comment. <sup>8</sup>Afterwards, it can either unanimously reject the objections, or it can return the dissertation for reworking, or it can obtain one or more further reviews via the dean.
- (6) <sup>1</sup>If the dissertation is proposed for acceptance by all reviewers and has not been returned by the doctoral committee for revision, it is accepted. <sup>2</sup>If it is rejected by all reviewers, it is rejected. <sup>3</sup>If there is no unanimity among the reviewers on the acceptance or rejection of the dissertation, the decision will be made by the doctoral committee. <sup>4</sup>In the evaluation of the dissertation, the arithmetic mean of the individual grades awarded in the reviews is calculated and only the first decimal place is taken into account without rounding. <sup>5</sup>If this results in an overall grade of less than 3 for an accepted dissertation, the dissertation will be graded 3.
- (7) <sup>1</sup>If the dissertation is rejected, the doctoral researcher may submit a new dissertation within two years of the announcement of rejection. <sup>2</sup>Paragraphs 1 to 6 shall apply to the further procedure. <sup>3</sup>If the doctoral researcher does not submit a new dissertation within the period specified in sentence 1 or if the new dissertation is also rejected, the doctoral examination process is terminated without success. <sup>4</sup>§ 9 para 3 sentence 2 applies *mutatis mutandis*. <sup>5</sup>The doctoral committee may return a dissertation to the doctoral researcher for revision if it should be rejected. <sup>6</sup>In this case, the doctoral researcher may also submit a new dissertation instead of the revision. <sup>7</sup>The revised or new dissertation must be submitted to the doctoral committee within the period specified in sentence 1. <sup>8</sup>A revised dissertation will be assessed by the reviewers appointed for the original dissertation, insofar as they are still available; in all other respects, paragraphs 1 - 6 apply. <sup>9</sup>If the doctoral researcher does not submit the revised or the new dissertation in due time or if the revised or the new dissertation is also rejected, the doctoral examination process is terminated without success. <sup>10</sup>§ 9 para 3 sentence 2 applies *mutatis mutandis*.

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

### **§ 13**

#### **Board of examiners**

- (1) 1Within a reasonable period of time after acceptance of the dissertation in accordance with § 12 para 6 sentence 1 of the present regulations, a scientific colloquium (§ 14) will take place before the board of examiners. 2The members of the board of examiners are:
1. an instructor from the Faculty of Biology, Chemistry & Earth Sciences who is authorized to administer examinations and who may not be a reviewer, as chairperson,
  2. the reviewers, whereby reviewers within the meaning of § 12 para 3 and 4 are free to participate in the colloquium,
  3. at least one other instructor authorized to administer examinations within the meaning of § 2.
- 3If a reviewer within the meaning of sentence 2 number 2 is prevented from taking part in the rest of the process, then, if this results in fewer than two reviewers taking part, an instructor authorized to administer examinations within the meaning of § 2 will be appointed as a member of the board of examiners in his/her place.
- (2) 1The chairperson and the other members of the board of examiners are appointed by the dean on the recommendation of the doctoral committee immediately after admission to the doctoral examination process. 2The doctoral candidate will be informed in writing of the composition of the board of examiners.

### **§ 14**

#### **Colloquium**

- (1) The colloquium is a scientific discussion about the dissertation and related subject areas.
- (2) 1The dean determines the date of the colloquium in consultation with the chair of examiners. 2The doctoral researcher and the members of the board of examiners are to be invited in writing at least fourteen days before the start of the colloquium. 3The doctoral committee may shorten this deadline in agreement with the doctoral researcher.

- (3) 1The colloquium lasts at least sixty, but no more than one hundred and twenty minutes and is open to the all members of the University. 2It is held in German or English. 3The colloquium is divided into a presentation on the dissertation of approx. 20 minutes up to a maximum of 30 minutes and a scientific discussion. 4The colloquium is chaired by the chair of examiners. 5In addition to the members of the board of examiners, all instructors authorized to administer examinations within the meaning of § 2 will be invited to the colloquium. 6The doctoral researcher may decide within one week after the summons that the public is to be excluded. 7The supervisor according to § 7 may request the exclusion of the public if patent law concerns are affected.
- (4) 1In justified exceptional cases, in particular in the case of binational doctorates (Section V), the dean may approve the participation of individual examiners in the colloquium via video conference upon request by the responsible doctoral committee. 2Prior to approval, the written consent of the doctoral researcher must be obtained. 3The majority of the examiners and all examiners who are members of the University of Bayreuth must be present in person. 4Compliance with data protection regulations is required, in particular the use of secure transmission paths such as DFN for the video conference. 5The chairperson shall ensure that the colloquium is conducted in an orderly manner.
- (5) 1A record sheet must be made of the course of the colloquium and the determination of the overall grade of the doctorate. 2The record sheet must contain information on
1. the date of the colloquium,
  2. the names of the chairperson and the other examiners,
  3. the name of the doctoral researcher,
  4. the topic of the examination,
  5. the grades of the dissertation and the colloquium as well as the overall grade of the doctorate according to § 15.
- 3The record sheet is to be signed by the chairperson and the examiners.
- (6) 1The grading of the colloquium takes place after a joint, non-public discussion between the examiners and is based on the grading scale according to § 12 para 2 sentences 2 to 5. 2In the evaluation of the dissertation, the arithmetic mean of the individual grades is calculated and only the first decimal place is taken into account without rounding. 3If a doctoral candidate does not achieve at least the grade "satisfactory" (3.0) in the colloquium, the colloquium is failed.
- (7) 1The doctoral candidate may repeat the failed colloquium once. 2The request for repetition must be submitted to the dean within one year after notification of having failed the colloquium. 3In exceptional cases, the dean, in consultation with the doctoral committee, may allow a second repetition of the failed colloquium; a request for this by the doctoral researcher must be submitted in writing



to the dean within six months after notification of the repeated failure of the colloquium. <sup>4</sup>The doctoral examination process will be terminated without success if the doctoral researcher does not submit a request for repetition within the deadlines specified in sentences 2 and 3 or if the doctoral committee does not permit a second repetition of the colloquium or if the doctoral researcher fails the colloquium even on the second repetition; § 9 para 3 sentence 2 shall apply *mutatis mutandis*.

- (8) <sup>1</sup>If the doctoral candidate does not appear at the date of the colloquium or withdraws from the colloquium after it has begun, he/she must immediately notify the dean in writing of the reasons for the delay or withdrawal and provide credible evidence. <sup>2</sup>In case of illness of the doctoral candidate, the dean may require the submission of an official medical certificate. <sup>3</sup>If the doctoral candidate is not responsible for the reasons for the failure or withdrawal, the dean will set a new date in accordance with para 2. <sup>4</sup>If the doctoral candidate does not immediately report and substantiate the reasons for non-appearance or withdrawal in accordance with sentence 1 or is responsible for these reasons, the colloquium shall be deemed to have been failed; § 9 para 3 sentence 2 shall apply *mutatis mutandis*.

## § 15

### Final grade of the doctorate

- (1) If the colloquium is passed, the board of examiners determines the overall grade of the doctorate.
- (2) <sup>1</sup>The overall grade of the doctorate is calculated as follows: First, the arithmetic means of the individual grades of the dissertation and the colloquium are calculated separately. <sup>2</sup>The calculated value is truncated after the first decimal place without rounding. <sup>3</sup>The double value for the dissertation and the single value for the colloquium are then added up and divided by three. <sup>4</sup>The calculated total value is truncated after the first decimal place without rounding. <sup>5</sup>The grading scale applies to the overall grade:
- |            |                                    |
|------------|------------------------------------|
| 0          | summa cum laude (with distinction) |
| 0.1 to 1.5 | magna cum laude (very good)        |
| 1.6 to 2.5 | cum laude (good)                   |
| 2.6 to 3.0 | rite (satisfactory)                |
- (3) The overall grade is to be announced orally to the doctoral researcher by the chair of examiners following the colloquium.
- (4) <sup>1</sup>The dean issues the doctoral researcher with a written interim report on the result of the examination. <sup>2</sup>This interim decision does not entitle the holder to use the doctoral degree.

## § 16

### Publication of the dissertation

- (1) 1After successful completion of the colloquium, the doctoral researcher must make the dissertation available to the scientific public through reproduction and distribution. 2Theses already published in accordance with § 11 para 3 do not have to be published again.
- (2) 1Prior to publication of the dissertation, permission to print must be obtained (§12, para 8, sentence 2). 2With the delivery of the electronic version or the deposit copies, the doctoral researcher must submit a written declaration that the electronic version or the deposit copies are identical in content to the version for which printing permission was granted.
- (3) 1For the purpose of publication, the doctoral researcher must deliver the prescribed number of copies free of charge to the dean within one year after the colloquium according to the type of publication chosen by him/her. 2This shall also apply, with a time limit that may deviate from sentence 1, in the event of an approved suspension of publication in accordance with § 17 para 2  
3The following publication types can be selected:
  1. 40 copies in book or photographic print for the purpose of distribution.
  2. six copies if the dissertation is published essentially unabridged in a scientific journal.
  3. six copies if a commercial publisher assumes the distribution via the book trade. The publication must have an ISBN or ISSN number and be marked as a dissertation on the back of the title page, stating the location of the dissertation.
  4. Three copies in printed, bound form and an electronic version, the data format and type of data transfer of which must be agreed with the University Library of the University of Bayreuth. The publication must include an abstract in German and one in the English language. The doctoral researcher grants the University Library of the University of Bayreuth and the DDB (Die Deutsche Bibliothek) the right to store the electronic version, to publish it in data networks for an unlimited period of time, and to make it accessible to other databases. The doctoral researcher is obligated to check the metadata and the network version of his/her dissertation for completeness, correctness, and readability after processing by the University Library. The submission of files that do not meet the required specifications with regard to file format and data transmission will not be deemed to constitute publication.

- (4) The doctoral researcher grants the University of Bayreuth the right in writing to publish his/her name, the topic of the dissertation, the abstract, the date of submission and the date of the colloquium and, in the event that he/she has chosen a type of publication in accordance with para 3 number 1, also the right to produce and distribute further copies of his/her dissertation.
- (5) The doctoral committee may extend the deadline for the delivery of the deposit copies at the request of the doctoral researcher.
- (6) If the doctoral researcher misses the deadline for the delivery of the deposit copies through his/her own fault, all rights acquired through the successful completion of the examination process expire. § 9 para 3 sentence 2 applies *mutatis mutandis*.
- (7) In the cases of para 3 numbers 2 and 3, the dean may consider the deadline for delivery to have been met if the publication of the dissertation and the delivery of the deposit copies appear to be sufficiently assured by a binding declaration from the editor of the journal or the publisher.

## § 17

### Diploma and completion of the doctorate

- (1) If the requirements specified in § 16 are met, the Faculty of Biology, Chemistry & Earth Sciences issues a certificate in German stating that the person has passed the doctoral examination. In addition, an English translation will be produced.
- (2) If the content of the dissertation is related to an intended or completed application for a patent or publication in scientific journals, the doctoral committee can suspend the publication of the dissertation for up to two years upon justified application by the doctoral researcher or the supervisor, without affecting the completion of the doctorate.
- (3) The certificate confirms the successful graduation and contains
  - the name of the university and the faculty,
  - the first and last names of the doctoral researcher, date and place of birth,
  - the degree conferred
  - the title of the dissertation,
  - the date of the colloquium,
  - the overall grade of the doctorate,
  - the name and signature of the President of the University of Bayreuth and the dean of the faculty,
  - the seal of the University of Bayreuth.

2In the case of doctorates awarded in cooperation with universities of applied science/HAWs (§ 19), the university of applied science/HAW involved must also be stated on the diploma. 3The date of the certificate is the date of the colloquium.

- (4) 1The certificate will be issued by the dean together with the English translation. 2The doctorate is completed and the doctorate is finished with the handing over of the certificate; the doctoral researcher thereby receives the right to use the doctoral degree according to § 1.

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

#### **§ 18**

#### **Honorary doctorate**

- (1) 1The faculty may award an honorary doctorate (Dr. rer. nat. h. c.) for exceptional scientific achievements in the subjects of biology, chemistry, or Earth sciences. 2§ 1 para 1 sentence 2 and sentence 3 applies *mutatis mutandis*. 3The honorary doctorate procedure is to be initiated on the basis of a justified request by at least three instructors authorized to administer examinations. 4The application must be addressed to the dean.
- (2) 1The faculty council appoints at least two lecturers who are competent in the subject and who are authorized to administer examinations to review the extraordinary academic achievement of the person to be honoured. 2The proposal and the expert opinions are to be submitted to the members of the faculty council and the extended doctoral committee. 3These may submit a written statement within one month.
- (3) 1The faculty council makes a decision regarding the award of the honorary doctorate upon request of the extended doctoral committee. 2The decision is made in the light of the request and the expert opinions and comments submitted.
- (4) 1The President of the University of Bayreuth and the dean of the Faculty of Biology, Chemistry & Earth Sciences confer the honorary doctorate on the honoured person by awarding a certificate. 2The certificate is to acknowledge the scientific achievements of the honoured person.

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

**§ 19**

**Cooperation with universities of applied science**  
**(HAWs)**

1 Faculty of Biology, Chemistry & Earth Sciences enables the cooperative execution of doctorates with universities of applied science/HAWs and/or joint doctorates with Bavarian higher education institutions in accordance with the agreement between Bavarian higher education institutions dated 19 October 2015 within the framework of the provisions of the present doctoral regulations. 2The University of Bayreuth is in charge of cooperative doctorates and joint doctorates.

**Section V: Binational doctorates**

**§ 20**

**General Information**

- (1) 1The doctoral degree can also be awarded within the framework of joint supervision with a foreign academic institution (partner institution). 2This presupposes that
1. an agreement regarding the cross-border joint supervision of the doctorate has been concluded with the partner institution and approved by the dean and the doctoral committee,
  2. the partner institution is authorized to award doctorates according to its national legislation and the academic degree to be awarded by it would have to be recognized in the area of application of the Higher Education Framework Act,
  3. the doctoral researcher fulfils the requirements for acceptance for the doctorate and for admission to the doctoral examination process both according to the present doctoral regulations (§§ 4, 8, and 9) and according to the corresponding regulations of the partner institution.
- (2) 1The dissertation is jointly supervised by a supervisor in accordance with § 7 para 1 and a member of the partner institution who is authorized to administer examinations in accordance with the regulations there and can be submitted to the Faculty of Biology, Chemistry & Earth Sciences or to the partner institution. 2The details of the joint supervision are to be set out in the agreement pursuant to para 1 sentence 2 number 1. 3A dissertation which has already been submitted to one of the participating educational institutions prior to the conclusion of an agreement pursuant to para 1 sentence 2 number 1

and accepted or rejected cannot be the subject of a joint doctoral examination process.

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

## **§ 21**

### **Examination process at the University of Bayreuth**

- (1) 1If the dissertation is to be submitted to the Faculty of Biology, Chemistry & Earth Sciences, §11 and §12 apply to the dissertation and its assessment. 2The supervisors of the dissertation according to § 20 para 2 sentence 1 should normally be appointed as reviewers.
- (2) 1If the dissertation has been accepted in the process pursuant to § 12, it is forwarded to the partner institution for approval of the progress of the doctoral examination. 2If the partner institution gives its consent, the oral examination takes place in accordance with § 13 and §14. 3If the supervisor of the dissertation from the partner institution is not a member of the examination committee in accordance with § 13 para 1 sentence 2 number 2, his/her appointment as a member of the examination committee or the substitute appointment of another member of the partner institution who is entitled to administer examinations in accordance with the provisions of that section is to be provided for in the agreement in accordance with § 20 para 1 sentence 2 number 1.
- (3) 1If the dissertation has been accepted by the Faculty of Biology, Chemistry & Earth Sciences, but the agreement to continue the examination has been refused by the partner institution, the joint process is terminated; the doctoral examination is continued according to the provisions of the present doctoral regulations. 2Sentence 1 applies accordingly if the oral examination is assessed as failed by the partner institution.
- (4) The publication of the dissertation and the delivery of the deposit copies are in accordance with § 16 as well as the supplementary agreements made pursuant to § 20 para 1 sentence 2, number 1.

## **§ 22**

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

- (1) 1If the dissertation is to be submitted at the partner institution, the doctoral regulations of the partner institution apply to the examination procedure. 2In the agreement pursuant to § 20 para 1 sentence 2 number 1, the appointment of the supervisor pursuant to § 20 para 2 sentence 1 from the Faculty of Biology, Chemistry & Earth Sciences or, if the latter cannot be consulted, another instructor from the Faculty of Biology, Chemistry & Earth Science authorized to administer examinations pursuant to the present doctoral regulations, is to

be appointed as a reviewer for the evaluation of the dissertation.

- (2) 1If the dissertation has been accepted by the partner institution pursuant to §12, it is forwarded to the extended doctoral committee for approval of the progress of the doctoral examination. § 12 para 5 sentence 3 and sentence 8 applies *mutatis mutandis*. 2If the Faculty of Biology, Chemistry & Earth Sciences gives its consent, the oral examination takes place at the partner institution in accordance with its regulations. 3In the agreement pursuant to § 20 para 1 sentence 2 number 1, it must be stipulated that in this case the supervisor pursuant to § 20 para 2 sentence 1 from the Faculty of Biology, Chemistry & Earth Sciences or, if this is not possible, another instructor from the Faculty of Biology, Chemistry & Earth Sciences who is authorized to administer examinations pursuant to the present doctoral regulations must be a member of the committee conducting the oral examination.
- (3) 1If the dissertation is accepted at the partner institution but the Faculty of Biology, Chemistry & Earth Sciences refuses to approve the continuation of the examination, the joint process is terminated. 2The doctoral examination can be continued according to the regulations of the partner institution. 3Sentences 1 and 2 apply accordingly if the oral examination is assessed as failed by the Faculty of Biology, Chemistry & Earth Sciences.
- (4) 1For the publication of the dissertation and the delivery of the deposit copies, the regulations applicable to the partner institution apply. 2The agreement in accordance with § 20 para 1 sentence 2 number 1 also specifies how many copies are to be made available to the Faculty of Biology, Chemistry & Earth Sciences; alternatively, publication of the dissertation may be approved analogously to § 16 para 3 sentence 3 numbers 1 to 4. 3In any case, an electronic copy of the dissertation remains in the examination files. 4The issuing of the doctoral certificate to be provided in accordance with § 23 shall be made dependent on the fulfilment of the delivery obligations.

## § 23

### Joint diploma

- (1) 1After the successful completion of a joint doctoral examination process, the Faculty of Biology, Chemistry & Earth Sciences and the partner institution will issue a joint diploma on the award of the doctoral degree, indicating that the doctoral degree was awarded under joint supervision. 2The certificate bears the signatures and seals required under the provisions of the present doctoral regulations and the regulations of the partner institution.

- (2) Instead of a joint diploma, individual diplomas of the Faculty of Biology, Chemistry & Earth Sciences and of the partner institution can be used, which clearly show that both diplomas together constitute a joint doctoral diploma.
- (3) The joint doctoral diploma shows that the bearer of the doctoral title is entitled to use the doctoral degree in Germany in accordance with § 1 para 1 and the doctoral degree awarded there in the foreign country.
- (4) <sup>1</sup>Further details on the form of the diploma are regulated by the agreement pursuant to §20 para 1 sentence 2 number 1. <sup>2</sup>The grade equivalence can also be taken from it. <sup>3</sup>On the joint doctoral diploma, the equivalent foreign grade should be listed with the corresponding marking.

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

### **§ 24**

#### **Invalidating the doctorate**

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



- (4) In the event of failure of the doctoral examination in accordance with para 2 sentence 1, the doctoral diploma shall be withdrawn.
- (5) In all other respects, the withdrawal of the doctoral degree is governed by Art. 69 BayHSchG in conjunction with the relevant provisions of the BayVwVfG.

## **§ 25**

### **Access to examination documents**

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

## **§ 26**

### **Consideration of extenuating life circumstances**

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

## **§ 27**

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

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

## **§ 28**

### **Effective dates, transitional provisions**

- (1) The present doctoral regulations come into force on 26 January 2021; at the same time, the doctoral regulations for the Faculty of Biology, Chemistry & Earth Sciences dated 15 September 2017 (AB UBT 2017/062) cease to apply.
- (2) For doctoral researchers who have already received a confirmation of supervision before the doctoral regulations for the Faculty of Biology, Chemistry & Earth Sciences of 15 September 2017 come into force, § 28 para 2 of the doctoral regulations for the Faculty of Biology, Chemistry & Earth Sciences of 15 September 2017 continues to apply.

Issued on the basis of a decision made by the University of Bayreuth's Senate on 13 January 2021 and approved by the President of the University of Bayreuth on 20 January 2021, Ref. No. A 3518 - I/1

Bayreuth, 25 January 2021

[seal]

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

These regulations were enacted at the University on 25 January 2021.

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

Bayreuth, 25 January 2021

[seal]

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