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**Regulations for
Doctoral Studies at
Bayreuth Graduate School
of Mathematical and Natural Sciences
(BayNAT)**

of 15 September 2017

Pursuant to Article 13(1) sentence 2 in conjunction with Article 64(1) sentence 5 of the Bavarian Higher Education Act (Bayerisches Hochschulgesetz – BayHSchG), the University of Bayreuth hereby issues the following Regulations for Doctoral Studies at the Bayreuth Graduate School of Mathematical and Natural Sciences at the University of Bayreuth (hereinafter referred to as BayNAT):

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Part I: General provisions

Section 1

Academic title of “Doktor”

- (1) ¹The University of Bayreuth awards the academic title of “*Doktor der Naturwissenschaften*” (Dr. rer. nat.) through BayNAT. The title can be awarded as “Doktorin” or “Doktor”. The abbreviated form remains unchanged.
- (2) Pursuant to Article 64(1) of the Bavarian Higher Education Act (Bayerisches Hochschulgesetz – BayHSchG), the award of doctoral degrees serves as evidence for having completed independent academic research in a scope that substantially exceeds the requirements set forth in Section 4 hereof for acceptance as doctoral candidate.
- (3) The award of a doctoral degree requires the doctoral student to write an academic research paper (thesis), pass an oral examination (thesis defence) and to have successfully completed the courses specified by BayNAT for the individual doctoral programmes, as evidenced by the assessment components awarded.
- (4) ¹As set forth in Section 18 hereof, the University of Bayreuth awards the academic title of a honorary doctoral degree “*Doktor der Naturwissenschaften ehrenhalber*” (Dr. rer. nat. h. c.) through BayNAT in exceptional cases in which individuals earn this title on the basis of outstanding academic achievements. Paragraph 1 sentences 2 and 3 shall apply accordingly.

Section 2

Entitlement to administer examinations

¹The lecturers who are entitled to administer examinations pursuant to these Regulations are professors according to the definitions in Article 2(3) sentence 1 of the Bavarian Higher Education Employment Act (Bayerisches Hochschulpersonalgesetz – BayHSchPG), professors who have qualified for release from duty, retired professors (cf. Article 13 BayHSchPG) and all other lecturers entitled to administer examinations pursuant to Section 4 of the Higher Education Examiners Act (Hochschulprüferverordnung – HSchPrüferV) who are members of BayNAT. ²The director, in consultation with the executive board of the doctoral programme involved, decides whether a justified case exists within the meaning of Section 4(3) of the Higher Education Examiners Act (HSchPrüferV). ³Lecturers from other faculties at the University of Bayreuth or other German or international institutions of higher education may also be appointed as examiners by the director, provided they meet the requirements specified in Article 62(1) of the Bavarian Higher Education Act (BayHSchG) in conjunction with Section 4 of the Higher Education Examiners Act (HSchPrüferV) or other equivalent qualification requirements. ⁴The director is

responsible for determining the equivalence of these requirements. §20 hereof applies with respect to doctoral studies carried out in cooperation with universities of applied sciences (Fachhochschulen/HAWs) and Part V of these Regulations applies to “binational” doctoral studies (joint programmes with foreign universities).

Section 3

Execution of the examination process in the doctoral programmes

- (1) Unless otherwise stipulated in these Regulations for the Award of Doctoral Degrees, the executive board for the doctoral programme concerned is responsible for granting admission to doctoral studies and for executing the doctoral examination process on behalf of the director of the Graduate School pursuant to Section 4 of the BayNAT regulations.
- (2) ¹The executive board of the respective doctoral programme assumes the duties of a doctoral committee. ²The director of BayNAT is entitled to participate in the meetings of the executive board.
- (3) ¹The decisions of the executive board must be conveyed in writing to the applicant or the doctoral student by the director or his or her deputy. ²Decisions having adverse effects must be justified and must include information on the available legal remedies.
- (4) Exclusion on the basis of personal involvement is governed by Article 41(2) of the Bavarian Higher Education Act (BayHSchG) in conjunction with Articles 20 and Article 21 of the Bavarian Administrative Procedures Act (Bayerischen Verwaltungsverfahrensgesetzes – BayVwVfG)

Part II: Regular procedure for obtaining a doctoral degree

Section 4

Request for acceptance as doctoral candidate

- (1) Applicants for a doctoral studies programme must fulfil the following requirements:
 1. The applicant must have completed a programme of university studies in a subject that is related to the doctoral programme concerned, generally by having passed a university examination for the award of a “Diplom”, “Magister” or master’s degree or the First State Examination for qualification to teach at a German Gymnasium (advanced secondary school). The executive board of a doctoral programme may also accept other types of degrees from institutions of higher learning as well as degrees in related subjects as sufficient for meeting the doctoral programme requirements; it may also place additional requirements on applicants in certain cases. The executive board also decides on the recognition of degrees from institutions of higher education outside of Germany based on the principle of equivalence in accordance with Article

63 of the Bavarian Higher Education Act (BayHSchG). In cases of uncertainty regarding equivalence, the Central Office for Foreign Education (ZAB) may be consulted. The requirements set forth in sentence 1 above are considered as having been met, if the applicant passes the eligibility test for pursuing doctoral studies pursuant to Section 7 hereof.

2. The applicant may not have failed that test or a similar type of doctoral examination with final effect.
 3. The applicant must have signed a supervision agreement pursuant to Section 8 hereof with a lecturer entitled to administer examinations pursuant to Section 2 sentence 1 hereof; however, the applicant is not automatically entitled to sign a supervision agreement.
 4. The applicant may not have proven herself or himself unworthy of holding the title of "Doktor" through his or her conduct.
 5. He or she may not have already been admitted to another doctoral programme at BayNAT or have been accepted to pursue a doctorate with the same subject at another institution.
- (2) ¹Fast-track admission: As an alternative to para. 1 No. 1 above, applicants may also apply for acceptance as doctoral candidates if they have earned a degree from an institution of higher education in a subject related to the doctoral programme, exhibited well-above-average performance in so doing and, at the time of submission of the application, have acquired at least 27 credits in a master's programme at the University of Bayreuth that is related to the doctoral programme. ²The doctoral student and a lecturer entitled to administer examinations pursuant to Section 2 of these Regulations must submit the application for fast-track admission to doctoral studies in writing to the executive board of the doctoral programme concerned. ³Approval of the application may be made contingent upon the completion of further requirements. ⁴Applicants for fast-track admission must undergo an eligibility test process, which is governed by the regulations for the individual doctoral programmes. ⁵At least 60 credits must have been earned in the master's programme by the time of admission to the doctoral examination process. ⁶Conferral of the academic degree of "Master of Science" is based on the examination regulations for the relevant master's programme pursued at one of the faculties of the Bayreuth Graduate School for Natural Sciences (BayNAT).
- (3) Requests for acceptance as doctoral candidate must be submitted in writing to the chair of the relevant executive board. ²Evidence of having met the requirements specified in para. 1 above must be submitted together with the application in the form of the necessary documents. ³Upon submitting the application, the applicant must register online; the Dean's Office of Faculty I or II of the University of Bayreuth then confirms the applicant's registration to BayNAT.

- (4) Doctoral studies commence on the date of written confirmation of acceptance as doctoral candidate by the director of BayNAT.

Section 5

Statistical requirements

- (1) ¹To implement the university's data collection requirements as set forth in the Higher Education Statistics Act (Hochschulstatistikgesetz – HStatG) of 2 November 1990 as currently amended, the doctoral student's personal data as specified in Section 5 of the Higher Education Statistics Act is collected, automatically saved and processed upon submission of the application for acceptance as doctoral candidate for the purpose of fulfilling the statutory requirements and for purposes of legislation and planning in higher education pursuant to Section 1(1) sentences 1 and 2 of the Higher Education Statistics Act – by the faculty of which the head of the relevant executive board is a member. ²The applicant is obligated to cooperate and to provide his or her personal data (Article 10(2) sentence 3 BayHSchG) to this extent.
- (2) ¹The data to be collected pursuant to the Higher Education Statistics Act (HStatG) of 2 November 1990 is submitted regularly to the Statistics Office of the State of Bavaria and to university administrators for the purpose of presenting higher education statistics. ²Personal data is utilized and processed as stipulated in Article 10 of the Bavarian Higher Education Act (BayHSchG).

Section 6

Mentoring committee

- (1) ¹For each doctoral student, the director appoints a mentoring committee, generally consisting of three persons. ²The mentoring committee must include at least one professor of the Graduate School in accordance with Article 2(1) No. 1 of the Bavarian Higher Education Employment Act (BayHSchPG). ³An external mentor may be appointed upon request; the director decides whether to approve the request. ⁴The mentoring committee is generally chaired by the professor with whom the supervision agreement pursuant to Section 8 hereof was concluded. ⁵If a member of the mentoring committee is no longer able to carry out his or her supervision activities, the director shall appoint a replacement at the suggestion of the executive board responsible for the relevant doctoral programme.

- (2) ¹The mentoring committee is responsible for supervising the doctoral student in his or her research and in selecting courses and possible study abroad opportunities as well as for making suggestions relating to the approval of requirements stipulated by the doctoral programme. ²To this end, the mentoring committee meets with the doctoral student on a regular basis.

Section 7

Eligibility test for doctoral studies

- (1) Unless otherwise provided for in the regulations of the doctoral programme concerned, applicants will be admitted to the eligibility test for doctoral studies if they have not met the requirements of Section 4(1) No. 1 hereof and
1. have earned a relevant “Diplom” or “Magister” degree from a university of applied sciences (Fachhochschule) with a final grade of 2.0 or higher or have earned a relevant bachelor's degree from a university or a university of applied sciences with a final grade of 1.0 without exceeding the official duration of the programme;
 2. have written a bachelor's, “Diplom” or “Magister” thesis that was awarded a grade of “very good”;
 3. have not failed a relevant eligibility test for doctoral studies or a similar test at another German institution of higher education;
 4. have participated in an advisory meeting with a lecturer appointed by the executive board who is entitled to administer examinations, whereby the lecturer must keep a record of the meeting.
- (2) ¹Applications for admission to the eligibility test for doctoral studies must be submitted in writing to the head of the executive board. ²Applicants must include the following documents with their applications:
1. documentation of having met the admission requirements specified in para. 1 Nos. 1, 2 and 4 above;
 2. a statement indicating whether the applicant has previously taken an eligibility test for doctoral studies or a similar test at another institution of higher education.
- ³Applicants may also submit additional documentation of any qualifications related to their fields of study that go beyond the requirements of the degree earned.

- (3) ¹The executive board of the respective doctoral programme is responsible for making the decision on admission. ²Admission is to be denied if
1. the requirements for admission set forth in para. 1 above have not been met or
 2. the applicant has proven himself or herself unworthy of holding the title of "Doktor" through his or her conduct or
 3. the applicant has not provided all of the documentation specified in para. 2 sentence 2 above.
- (4) The applicant must prove by way of the eligibility test for doctoral studies that he or she has the subject-matter knowledge necessary for pursuing doctoral studies and is capable of conducting the necessary independent research.
- (5) ¹Unless otherwise provided for in the regulations of the doctoral programme concerned, the eligibility test for doctoral studies consists of an oral examination before an examination committee lasting approximately one hour. ²The examination committee is composed of three lecturers from the relevant doctoral programme who are entitled to administer examinations. ³The head of the executive board of the doctoral programme appoints the examination committee and selects an examiner to chair the committee. ⁴He or she sets the examination date and invites the members of the examination committee and the applicant to the examination with one week's notice. ⁵Section 15(7) hereof applies accordingly.
- (6) ¹The eligibility test of for doctoral studies is not graded. ²The examination committee decides whether the applicant has met the requirements specified in para. 4 above. ³If it determines that the requirements have not been met, the eligibility test for doctoral studies is regarded as failed. ⁴A record of the examination must be prepared and signed by the chair and the examiners. ⁵Section 10(3) sentence 2 hereof applies accordingly.
- (7) ¹A failed eligibility test for doctoral studies may be repeated once. ²The application for admission to a repeat eligibility test must be submitted within one year of notification of not having passed the test, unless the head of the executive board grants the applicant a grace period due to special circumstances or events outside of the applicant's control.
- (8) Once the applicant has passed the eligibility test and met the requirements specified in Section 4(1) Nos. 2 through 5 of these Regulations, he or she shall receive written confirmation from BayNAT of his or her admission to the doctoral programme.

Section 8 Supervision and supervision agreement

- (1) ¹Doctoral studies are supervised by a lecturer entitled to administer examinations. ²The key aspects of the doctoral studies relationship are specified in a written supervision agreement between the applicant and this lecturer. ³The supervisor informs the executive board of the doctoral programme if the applicant terminates doctoral studies.
- (2) ¹Should the supervisor cease to be a member the group of lecturers entitled to administer examinations pursuant to Section 2(1) hereof, the supervisor may continue his or her supervision activities for up to two years afterwards, provided he or she remains entitled to administer examinations in accordance with Article 62(1) of the Bavarian Higher Education Act (BayHSchG) in conjunction with Section 4 of the Higher Education Examiners Act (HSchPrüferV). ²In well-justified cases, the director of BayNAT may extend the time period pursuant to sentence 1 above by up to a maximum of two years .
- (3) If a supervisor is unable to continue supervising a student's doctoral research, the executive board of the doctoral programme will arrange for a continuation of supervision insofar as possible.
- (4) ¹If doctoral studies are pursued in cooperation with a university of applied sciences (Fachhochschulen/HAW; Section 20 hereof), the thesis will be supervised on equal terms by the lecturers of the university of applied sciences and the university who are entitled to administer examinations, and the supervision agreement will be concluded jointly between those parties and the applicant. ²Paras. 1 and 2 above apply accordingly.

Section 9 Application for admission to the doctoral examination process

¹Applications for admission to the doctoral examination process must be submitted in writing to the director of BayNAT; acceptance as doctoral candidate is a prerequisite for submission. ²The application must include the following:

1. six identical copies of the student's thesis, which must fulfil the requirements of Section 12 hereof;
2. a summary in both German and English not to exceed 800 words, including the title, in a form specified by the director of BayNAT that is suitable for electronic distribution;

3. a sworn statement from the doctoral student assuring that the thesis is the product of independent, self-directed study and does not rely on any sources or aids other than those specified (cf. Article 64(1) sentence 6 BayHSchG) as well as an updated statement to the effect that he or she has not previously submitted the thesis for the purpose of obtaining an academic degree and that he or she has never failed this or any other similar type of doctoral examination;
4. a statement indicating that no assistance has been received from professional thesis consultants/coaches or similar service providers, nor will recourse be taken to any such assistance in the future;
5. a CV from the doctoral student with particular emphasis on his or her educational path;
6. an official certificate of good conduct (amtliches Führungszeugnis). Applicants from outside of Germany may submit documentation deemed by the University of Bayreuth to be equivalent, such as an excerpt from the criminal registry of the applicant's home country, a certificate of good character or similar official documentation. If the doctoral student is registered as a student at Bayreuth University or is employed by the State of Bavaria, no certificate of good conduct is required.
7. an electronic copy of the thesis along with a statement of consent from the doctoral student permitting the electronic copy of the thesis to be subjected to a special review, taking account of the student's copyright and data protection rights;
8. a statement of consent from the applicant indicating that in the event of suspicion of academic misconduct, the university will be permitted to investigate the matter itself by conducting an internal review;
9. documentation of having met the requirements specified in the regulations of the doctoral programme concerned;
10. documentation of having met any other requirements according to Section 4(1) No. 1 hereof.

Section 10

Decision on acceptance as doctoral candidate and admission to the doctoral examination process

- (1) Acceptance as doctoral candidate must be denied if the requirements specified in Section 4(1) hereof have not been met.

- (2) Admission to the doctoral examination process must be denied if
1. acceptance as doctoral candidate has not been granted; or
 2. the documentation required under Section 9 hereof is incomplete; or
 3. the doctoral student has proven himself or herself unworthy of holding the title of “Doktor” through his or her conduct.
- (3) ¹The executive board is expected to decide on the applications submitted by the applicant/the doctoral student within one month. ²The applicant/the doctoral student will be notified of decisions on applications for acceptance as doctoral candidate and to the doctoral examination process pursuant to Section 3(3) hereof. ³With respect to the doctoral examination process, the chair of the executive board is expected to strive to ensure that no more than four months pass between submission of the application for admission to the doctoral examination process and the final thesis defence.

Section 11

Withdrawal from the doctoral programme

¹A doctoral student may withdraw from the doctoral programme at any time prior to submission of the application for admission to the doctoral examination process. ²Withdrawal requests must be submitted in writing to the director of BayNAT. ³The director informs the student’s mentors of the receipt of the withdrawal request and allows them to comment on the request within two weeks. ⁴The supervision agreement is regarded as terminated once the director has confirmed the request following expiration of the two-week period.

Section 12

Thesis

- (1) ¹The thesis must be the product of the doctoral student’s independent academic research and contribute to solving a problem in scientific research. ²It should present new scientific findings. ³The results achieved must be presented in a suitable form.

- (2) ¹The thesis must be signed and submitted in typescript; it must also be bound, paginated and contain a table of contents as well as a summary of no more than 800 words in both German and English that describes the problem studied and the findings obtained. ²All literature or other sources used must be disclosed in full; any wording that is a direct or near-direct quote must be indicated. ³The title sheet must indicate the title of the thesis and the fact that the work is a thesis as well as the name and place of birth of the doctoral student. ⁴The executive board of the doctoral programme may supply additional recommendations for the design of title sheets for theses written for its programme. ⁵The thesis must additionally be presented in electronic form, as specified by the director of BayNAT.
- (3) If a published study is submitted as a thesis, the relevant number of author's copies of the printed work may be submitted in lieu of typewritten copies.
- (4) ¹Individual research papers produced by the doctoral student may also be combined into a thesis (cumulative thesis). ²In this case, a thorough summary of the common theme of the individual papers should be included along with information on the doctoral student's own contribution. ³The executive board of the doctoral programme decides on the suitability of the cumulative thesis. ⁴The requirements may be set down in the regulations applicable to the doctoral programme.
- (5) ¹The thesis must be written either in German or English. ²In the event of cumulative theses, publications in both languages are permitted.

Section 13

Evaluation of the thesis

- (1) ¹After admittance to the doctoral examination process has been granted, the director of BayNAT immediately appoints – at the suggestion of the executive board of the doctoral programme – at least two lecturers to review the thesis, each of whom is entitled to administer examinations. ²One of the thesis reviewers must be a lecturer, entitled to administer examinations, in the doctoral programme concerned, and at least one of the reviewers must be a lecturer entitled to administer examinations in accordance with Article 2(1) No. 1 of the Bavarian Higher Education Employment Act (BayHSchPG). ³When doctoral studies are pursued in cooperation with a university of applied sciences (Fachhochschulen/HAW; Section 20 hereof), the standard procedure is to appoint two reviewers having equal rights, one from the university of applied sciences and one from the University.

- (2) ¹Each of the reviewers submits his or her written opinion on the thesis – generally within one month of the student’s admission to the doctoral examination process, or no later than within two months – and recommends acceptance or rejection of the thesis to the director. ²Each reviewer assesses the thesis and rates it in accordance with the following scale:
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| very good | = 1 = a work worthy of special recognition; |
| good | = 2 = an above-average work; |
| satisfactory | = 3 = a work meeting the average requirements; |
| insufficient | = 4 = the work shows significant deficiencies and is overall unsuitable |
- ³Intermediate grades may be given (1.3, 1.7, 2.3, 2.7).
⁴Special cases may warrant giving a grade of excellent = an absolutely outstanding achievement.
⁵Grades of “excellent” carry a numerical value of 0.
- (3) ¹In the event the two reviewers issue grades that differ by more than one full grade, the director of BayNAT will appoint an additional reviewer at the suggestion of the executive board of the doctoral programme. ²The same applies if a reviewer suggests appointing an additional reviewer. ³If the thesis was assessed by more than one supervising person, the director will appoint an additional reviewer. ⁴If a thesis earns an overall grade of “excellent”, the director may appoint an additional reviewer at the suggestion of the executive board of the doctoral programme concerned.
- (4) The director may at any time appoint additional reviewers in consultation with the executive board of the doctoral programme concerned.
- (5) ¹The director notifies the BayNAT Graduate School members entitled to administer examinations in a suitable manner of receipt of the reviews and the grades issued by the reviewers. ²An abstract of the thesis is sent along with this notification. ³If a justified request is received, an electronic version of the thesis will be sent after consulting with the signatories of the supervision agreement, whereby all copyright and data protection rights must be observed. ⁴The director makes the thesis and the reviews available for inspection by the members of the BayNAT Graduate School for two weeks in the Dean’s Office of the faculty responsible for the doctoral programme. ⁵The members of the BayNAT Graduate School may submit an opinion on or objection to the thesis to the director in writing within this inspection period. ⁶The executive board of the doctoral programme concerned consults on any opinions or objections submitted prior to the end of the inspection period. ⁷It gives the doctoral student and his or her supervisor the opportunity to comment. ⁸The executive board may then either reject the objection unanimously or return the thesis for modification, or it may obtain one or more additional reviews via the director.
- (6) ¹If all reviewers recommend accepting the thesis and it is not returned by the executive board for revision, the thesis is accepted. ²If all reviewers reject the thesis, it is rejected. ³If

- the reviewers are unable to agree unanimously on acceptance or rejection of the thesis, the executive board decides. ⁴When assessing the thesis, the arithmetic mean of the individual grades awarded in the reviews is calculated and any digits in the resulting figure that follow the first digit after the decimal point are dropped without rounding. ⁵If this process results in a final grade worse than 3 for an accepted thesis, the thesis will be awarded a grade of 3.
- (7) ¹If the thesis is rejected, the doctoral student may submit a new thesis within two years of the announcement of the rejection. ²Paras. 1 through 6 above apply to the further process. ³If the doctoral student does not submit a new thesis within the period specified in sentence 1 above or if the new thesis is rejected, the doctoral examination process terminates without success. ⁴Section 10(3) sentence 2 hereof applies accordingly. ⁵The executive board may return a thesis that would have to be rejected to the doctoral student for revision. ⁶In this case, the doctoral student may submit a new thesis instead of undertaking the revision. ⁷The revised or new thesis must be submitted to the executive board within the period specified in sentence 1 above. ⁸Revised theses are assessed by the reviewers appointed for the original thesis, provided they are still available; paras. 1 to 6 above apply in other respects. ⁹If the doctoral student does not submit a revised or new thesis within the period specified, or if the revised or new thesis is also rejected, the doctoral examination process terminates without success. ¹⁰Section 10(3) sentence 2 hereof applies accordingly.
- (8) ¹If the reviewers or the members of the executive board of the doctoral programme concerned find deficiencies in the thesis, but those deficiencies are not severe enough to justify rejecting the work, the doctoral student may be requested to make the corresponding corrections. ²When the required copies of the thesis are submitted, the reviewers confirm that the corrections have been made.

Section 14 Board of examiners

- (1) ¹Within a reasonable period after acceptance of the thesis pursuant to Section 13(6) of these Regulations, a thesis defence (Section 15 hereof) is held before the board of examiners. ²The board of examiners is made up of the following individuals:
1. a lecturer entitled to administer examinations in accordance with Article 62 of the Bavarian Higher Education Act (BayHSchG) – who may not be a reviewer – as chair;
 2. the reviewers, whereby the participation in the thesis defence of reviewers within the meaning of Section 13(3) and (4) hereof is voluntary;
 3. an additional lecturer entitled to administer examinations within the meaning of Section 2 hereof.
- ³If a reviewer according to sentence 2 No. 2 above is prevented from taking part in the further process and this results in fewer than two reviewers being involved, a lecturer entitled to administer examinations according to Section 2 hereof will be appointed as a member of the board of examiners to replace this reviewer.
- (2) ¹The director appoints the chair and the other members of the board of examiners at the suggestion of the executive board immediately after acceptance of the thesis. ²The doctoral student is informed of the composition of the board of examiners in writing.

Section 15 Thesis defence

- (1) The thesis defence involves an academic discussion of the thesis and related subject areas.
- (2) ¹The date of the thesis defence is set by the director in consultation with the chair of examiners. ²The doctoral student and the members of the board of examiners must be invited to the thesis defence in writing at least 14 days in advance. ³The executive board may specify a shorter period in consultation with the applicant.
- (3) ¹The thesis defence lasts for no less than 60 and no more than 120 minutes and is open to the entire university. ²It is conducted in either German or English. ³The thesis defence is divided into a presentation on the thesis lasting approximately 20 to 30 minutes (maximum) and an academic discussion. ⁴It is headed by the chair of examiners. ⁵In addition to the members of the board of examiners, all lecturers entitled to administer examinations within the meaning of Section 2 hereof are invited to attend the thesis defence. ⁶The doctoral student has one week after the invitation has been issued to decide whether he or she wishes to exclude the public. ⁷The supervisor pursuant to Section 8 hereof may petition to exclude the public if issues involving patent rights will be addressed.

- (4) ¹The thesis defence is graded on the basis of a joint discussion between the examiners that is not open to the public, and in accordance with the scale pursuant to Section 13(2) sentences 2 to 5 hereof. ²To assess the thesis defence, the arithmetic average of the individual grades awarded is calculated, and any digits of the resulting figure that follow the first digit after the decimal point are dropped without rounding. ³To pass the thesis defence, the doctoral student must attain a grade of at least “satisfactory” (3.0).
- (5) ¹A written record of the thesis defence must be prepared; it must describe the order of events and the calculation of the final grade for the doctorate. ²The record must include the following information:
1. the date of the thesis defence;
 2. the names of the chair and the other examiners;
 3. the name of the doctoral student;
 4. the subject matter of the examination;
 5. the grade awarded for the thesis and the thesis defence as well as the final grade for the doctorate pursuant to Section 16 hereof.
- ³The written record must be signed by the chair and the examiners.
- (6) ¹If the doctoral student does not pass the thesis defence, it may be repeated once. ²Applications for repeat defences must be submitted to the director within one year of notification of not having passed the thesis defence. ³In exceptional cases, the director may permit a second repetition of the failed thesis defence in consultation with the executive board; the doctoral student must submit any such application within six months of notification of having failed the thesis defence a second time. ⁴The doctoral examination process is terminated without success if the doctoral student does not submit an application for a repeat thesis defence within the periods specified in sentences 2 and 3 above, if the executive board does not permit the thesis defence to be repeated a second time or if the doctoral student does not pass the second time either; Section 10(3) sentence 2 hereof applies accordingly.

- (7) ¹If the doctoral student does not appear at the thesis defence or withdraws from the defence after it has commenced, he or she must notify the director of the reasons for his or her non-appearance or withdrawal immediately in writing and ensure that such reasons are credible. ²In the event of illness on the part of the doctoral student, the director may require that a medical doctor's attest be presented. ³If the reasons for the non-appearance or withdrawal are beyond the control of the doctoral student, the director will set a new date pursuant to para. 2 above. ⁴If the doctoral student does not immediately notify the director of the reasons for his or her non-appearance or withdrawal pursuant to sentence 1, or does not ensure that such reasons are credible, or bears responsibility for the non-appearance or withdrawal, the thesis defence is regarded as failed; Section 10(3) sentence 2 hereof applies accordingly.

Section 16

Final grade for the doctorate

- (1) If the doctoral student passes the thesis defence, the board of examiners calculates a final grade for the doctorate.
- (2) ¹The final grade for the doctorate is calculated as follows: First, the arithmetic average of the grades awarded for the thesis and the grades awarded for the thesis defence is computed for each separately. ²The two resulting figures are cut off after the first decimal place without rounding. ³Next, the figure for the thesis is doubled, added to the (unchanged) figure for the thesis defence, and divided by three. ⁴The resulting total is cut off after the first decimal place without rounding. ⁵The following assessment scale applies to the final grade:
- | | | |
|-----|----|---|
| 0 | | summa cum laude (with highest honours) |
| 0.1 | to | 1.5 magna cum laude (with great honour) |
| 1.6 | to | 2.5 cum laude (with honour) |
| 2.6 | to | 3.0 rite (duly conferred) |
- (3) The final grade will be communicated to the doctoral student upon conclusion of the thesis defence by the chair of examiners.
- (4) ¹The director will provide the doctoral student with a temporary certificate indicating the result of the examination, if successful. ²The temporary certificate does not entitle the doctoral student to bear the title of "Doktor".

Section 17 Publication of the thesis

- (1) 1The doctoral student must make the thesis available to the scientific community by reproduction and distribution. 2Works that have already been published pursuant to Section 12(3) hereof need not be republished.

- (2) 1For publication purposes, the doctoral student must deliver the prescribed number of copies to the director at no charge within one year of the thesis defence in accordance with the type of publication selected by the doctoral student. 2The following types of publication are available:
 1. 40 copies as books or photo prints for distribution purposes;
 2. 6 copies if the thesis is to be published in predominantly unabridged form in a scientific journal;
 3. 6 copies if a commercial publisher takes responsibility for distribution via the book trade. The publication must bear an ISBN or ISSN number, and the reverse side of the title page must designate the work as a thesis and specify the thesis location.
 4. 3 bound and printed copies and one electronic version whose data format and type of data transmission must be coordinated with the University Library of the University of Bayreuth. The publication must include an abstract in German and English. The doctoral student must provide written assurance that the electronic version corresponds with the accepted thesis, including the revisions pursuant to Section 13(8) hereof, and grant the University Library of the University of Bayreuth and the Deutsche Digitale Bibliothek (DDB) the right to store this version, to publish it in data networks for an unlimited period and to allow other databases to access it. The doctoral student is obligated to review the metadata and the electronic version of his or her thesis for completeness, accuracy and readability after processing by the university library. Submission of files that do not meet the required specifications for file format and data transmission will not count as publication.

- (3) The doctoral student must give the University of Bayreuth written permission to publish – including in data networks – his or her name, the topic of the thesis, the thesis abstract, the date of submission and the date of the thesis defence; in the event he or she has selected a publication type pursuant to para. 2(1) above, the doctoral student must also assign the right to produce and distribute additional copies of the thesis.

- (4) Upon request by the doctoral student, the executive board may extend the deadline for delivering the required copies.
- (5) ¹If the doctoral student fails to meet the deadline for delivery of the required copies for reasons for which he or she is accountable, all rights acquired through successful completion of the examination process will be extinguished. ²Section 10(3) sentence 2 hereof applies accordingly.
- (6) In the event of para. 2 Nos. 2 and 3 above, the director may deem the delivery deadline to have been met if publication of the thesis and delivery of the required copies appears sufficiently certain based on a binding statement from the editor of the journal or from the publisher.

Section 18

Doctoral diploma and conferral of the doctoral degree

- (1) ¹If the requirements of Section 17 hereof have been fulfilled, BayNAT will issue a diploma in German as documentation of having passed the thesis defence. ²An English translation will be additionally prepared.
- (2) ¹The diploma confirms the successful completion of doctoral studies and includes
 - the name of the University and BayNAT;
 - the full name of the degree holder and his or her date and place of birth;
 - the academic degree awarded;
 - the title of the thesis;
 - the date of the thesis defence;
 - the final grade for the doctorate;
 - the name and signature of the President of the University of Bayreuth and the director of BayNAT;
 - the seal of the University of Bayreuth.

²In the case of doctoral studies pursued in cooperation with a university of applied sciences (Fachhochschulen/HAW; Section 20 hereof), the name of the university of applied sciences must also be indicated. ³The diploma date is the date of the thesis defence.
- (3) ¹The diploma will be handed out by the director together with the English translation. ²Once the diploma has been handed over, the doctoral programme is completed and the doctoral degree is conferred; the student has earned the right to bear the title of "Doktor" in accordance with Section 1 hereof.

Part III: Award of honorary doctoral degrees

Section 19

Award of honorary doctoral degrees

- (1) ¹The process of conferring an honorary doctoral degree is initiated upon submission of a substantiated proposal by at least three BayNAT professors pursuant to Article 2(1) sentence 1 No. 1 of the Bavarian Higher Education Employment Act (BayHSchPG). ²The proposal must be submitted in writing to the director of BayNAT.
- (2) ¹The director passes the proposal on to the chairs of the executive boards of the BayNAT doctoral programmes and calls a meeting with them. ²The meeting of the chairs of the executive boards of BayNAT's doctoral programmes appoints at least two BayNAT professors pursuant to Article 2(1) sentence 1 No. 1 of the Bavarian Higher Education Employment Act (BayHSchPG) who are related in their academic discipline to evaluate the scientific and academic achievements attained by the individual to be honoured. ³The reviews should be completed within two months. ⁴Once the reviews are available, the proposal and the reviews are laid out for inspection in the Dean's Office of Faculties I and II of the University of Bayreuth for eight weeks, where they are available to all BayNAT lecturers entitled to administer examinations. ⁵The director informs all BayNAT lecturers entitled to administer examinations of the start of the display period. ⁶The lecturers may submit their written opinions within this display period.
- (3) ¹The meeting of the chairs of the executive boards of the BayNAT doctoral programmes decides on the award of the honorary doctoral degree. ²The decision takes the professors' reviews into account as well as any opinions submitted pursuant to para. 2 sentence 3 above.
- (4) ¹The President and the director confer the doctoral degree by presenting a diploma to the individual receiving the honour. ²The diploma must identify the scientific and academic achievement of the individual on whom the honour is bestowed.

**Part IV: Cooperation with universities of applied sciences
(HAWs)**

Section 20

Cooperation with universities of applied sciences (Fachhochschulen/HAWs)

1 Within the framework of these Regulations for the Award of Doctoral Degrees, BayNAT enables participation in doctoral studies in cooperation with universities of applied sciences (Fachhochschulen/HAWs) and the award of joint doctoral degrees based on the agreement of 19 October 2015 by and between Bavarian institutions of higher education. 2 The University of Bayreuth is the institution in charge where cooperative doctoral studies and the conferral of joint degrees are concerned.

Part V: Binational doctoral studies

Section 21

General

- (1) 1 The degree of “Doktor” may also be awarded when supervision occurs in cooperation with an academic institution outside of Germany (partner institution). 2 The prerequisites for this are as follows:
1. that an agreement on binational, joint supervision of doctoral studies approved by the director and the executive board has been concluded with the partner institution;
 2. that the partner institution is entitled to confer doctorate degrees pursuant to its national legislation and the degrees to be conferred by this institution would be recognized in the area of applicability of the German Higher Education Framework Act (Hochschulrahmengesetz – HRG);
 3. that the doctoral student has met the requirements for acceptance as doctoral candidate and for admission to the doctoral examination process pursuant to these Regulations for the Award of Doctoral Degrees (Sections 4, 9 and 10 hereof) as well as pursuant to the relevant regulations issued by the partner institution.

- (2) ¹The thesis is supervised jointly by one supervisor pursuant to Section 8(1) hereof and one member of the partner institution entitled to administer examinations in accordance with that institution's regulations, and can be submitted to BayNAT or to the partner institution. ²The specific terms of the joint supervision are governed by the agreement referred to in para. 1 sentence 2 No. 1 above. ³Any theses submitted to one of the educational institutions concerned, and either accepted or rejected prior to conclusion of an agreement in accordance with para. 1 sentence 2 No. 1 above, cannot be used for the purposes of a joint doctoral examination process.
- (3) The thesis will be graded in accordance with the regulations of the institution to which it is submitted; the other institution then calculates the equivalent grades pursuant to its regulations for the award of doctoral degrees.

Section 22

Examination process of BayNAT at the University of Bayreuth

- (1) ¹If the thesis is to be submitted to BayNAT, Sections 12 and 13 hereof apply to the thesis and its evaluation. ²The supervisors of the thesis in accordance with Section 21(2) sentence 1 hereof should generally be appointed as reviewers.
- (2) ¹If the thesis is accepted under the process pursuant to Section 13 hereof, it will be sent to the partner institution for the purpose of obtaining its consent to the continuation of the doctoral examination process. ²If the partner institution gives its consent, the thesis defence pursuant to Sections 14 and 15 hereof will be conducted. ³Unless the thesis supervisor from the partner institution is already on the board of examiners pursuant to Section 14(1) sentence 2 No. 2 hereof, he or she – or alternatively, another member of the partner institution who is entitled to administer examinations under the regulations thereof – must be appointed as a member of the board of examiners in the agreement pursuant to Section 21(1) sentence 2 No. 1 hereof.
- (3) ¹If the thesis has been accepted by BayNAT, but the partner institution does not consent to continuing the examination process, the joint process will be terminated and the doctoral examination will continue in accordance with the provisions of these Regulations for the Award of Doctoral Degrees. ²Sentence 1 above also applies in the event the partner institution deems the thesis defence to have been failed.
- (4) Publication of the thesis and delivery of the required copies are governed by Section 17 hereof in conjunction with the additional agreements concluded pursuant to Section 21(1) sentence 2 No. 1 hereof.

Section 23

Examination process at the partner institution

- (1) ¹If the thesis is to be submitted to the partner institution, the examination process will take place in accordance with the partner institution's regulations for the award of doctoral degrees. ²The agreement pursuant to Section 21(1) sentence 2 No. 1 hereof must provide for appointment of the BayNAT supervisor pursuant to Section 21(2) sentence 1 hereof as the reviewer tasked with assessing the thesis or, if that person cannot be called upon, for appointment of another lecturer from BayNAT who is entitled to administer examinations under these Regulations for the Award of Doctoral Degrees.
- (2) ¹If the thesis is accepted by the partner institution, it will be sent to BayNAT to obtain its consent to continue the examination process. ²Section 13(5) sentences 4 through 8 hereof apply accordingly. ³If BayNAT grants this consent, the thesis defence will be held at the partner institution subject to the provisions thereof. ⁴In this case, the agreement pursuant to Section 21(1) sentence 2 No. 1 hereof must stipulate that the BayNAT supervisor pursuant Section 21(2) sentence 1 hereof be a member of the committee hearing the thesis defence as an examiner or, if that person cannot be called upon, that another lecturer from BayNAT who is entitled to administer examinations under these Regulations for the Award of Doctoral Degrees fulfil this role.
- (3) ¹If the thesis is accepted by the partner institution but BayNAT does not consent to continuation of the examination process, the joint process will be terminated. ²The thesis defence may be continued in accordance with the provisions of the partner institution. ³Sentences 1 and 2 above apply in the event BayNAT deems the thesis defence to have been failed.
- (4) ¹The relevant provisions of the partner institution apply to publication of the thesis and delivery of the required copies. ²The agreement pursuant to Section 21(1) sentence 2 No. 1 hereof must moreover stipulate the number of copies to be provided to BayNAT; alternatively, publication of the thesis as specified in Section 17(2) sentence 2 Nos. 1 through 4 hereof may be approved. ³In any case, one copy of the thesis will remain with the examination files. ⁴Preparation of the doctoral diploma to be conferred pursuant to Section 24 hereof depends on fulfilment of all delivery obligations.

Section 24 Joint diploma

- (1) ¹Following successful completion of a joint doctoral examination process, BayNAT and the partner institution will issue a joint diploma indicating that the title of “Doktor” has been conferred in a joint supervision process. ²This diploma will bear the signatures and seals required under these Regulations for the Award of Doctoral Degrees as well as those of the partner institution.
- (2) In lieu of a joint diploma, BayNAT and the partner institution may issue separate diplomas which clearly indicate that the two diplomas together represent a joint doctoral degree.
- (3) The joint doctoral diploma must indicate that the degree holder is entitled to bear the title of “Doktor” in Germany pursuant to Section 1(1) hereof and to bear the equivalent title awarded by the partner institution in the other country.
- (4) ¹The details of the diploma design are governed by the agreement pursuant to Section 21(1) sentence 2 No. 1 hereof. ²That agreement also covers grade equivalence. ³The joint doctoral diploma should specify the equivalent grade in the other country with the corresponding designation.

Part VI: Additional regulations, entry into force and transitional provisions

Section 25 Invalidity of the doctoral degree

- (1) ¹Should it emerge prior to handing over the diploma that the doctoral student cheated during his or her doctoral studies, the director will declare all rights acquired thus far to be invalid and will terminate the process. ²The director must obtain the opinion of the executive board prior to taking any such decision.
- (2) ¹If the deception or other unlawful action is not discovered until after the diploma has been handed over, the director may retroactively declare the thesis defence to have been failed. ²The director must obtain the opinion of the executive board prior to taking any such decision. ³Revocation of the title of “Doktor” is governed by the statutory provisions (Article 48 of the Bavarian Administrative Procedures Act, BayVwVfG, as currently amended). ⁴Prior to any such decision, the individual concerned must be given the opportunity to respond to the allegations (Article 28 BayVwVfG). ⁵With respect to the clarity, form and substantiation of the decision, the provisions of the accomplishment of administrative acts (Article 35 et seq. BayVwVfG) must be adhered to.

- (3) ¹In the event of suspicion of academic misconduct, the director and the executive board of the doctoral programme concerned will, as a rule, await the report from the “Committee on Self-Control in Science” before making their joint decision. ²Should the director and the executive board decide in advance in certain cases, this decision will not impact the committee’s investigation. ³Express waiver of the right to bear the title of “Doktor” will not affect the initiation or continuation of the process described in sentences 1 and 2 above.
- (4) If the student does not pass the thesis defence pursuant to para. 2 sentence 1 above, the doctoral diploma must be confiscated.
- (5) In other respects, revocation of the title of “Doktor” is governed by Article 69 of the Bavarian Higher Education Act (BayHSchG) in conjunction with the relevant provisions of the Bavarian Administrative Procedures Act (BayVwVfG).

Section 26

Right of inspection

¹After the completion of doctoral studies, the doctoral student may inspect the related documents. ²The director determines the time and place of the inspection. ³The request must be submitted to the director within one month of completion of doctoral studies. ⁴In this and other instances in which a request for inspection is submitted, the process is governed by Article 29 et seq. of the Bavarian Administrative Procedures Act (BayVwVfG).

Section 27

Consideration of special circumstances

- (1) ¹Upon request, the protective rights provided for in Sections 3, 4, 6 and 8 of the law governing the protection of working mothers (Mutterschutzgesetz – MuSchG) of 20 June 2002 (BGBl I p. 2318) as currently amended, the time periods stipulated in the Parental Allowances and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetz – BEEG) of 5 December 2006 (BGBl I p. 2748) as currently amended and the time periods specified for the care of a close relative within the meaning of Section 7(3) of the Home Care Leave Act (Pflegezeitgesetz – PflegeZG) of 28 May 2008 (BGBl I pp. 874, 896) as currently amended, and which pertain to a close relative who requires care as defined in

Sections 14 and 15 of the Eleventh Book of the Code of Social Law (Sozialgesetzbuch, Elftes Buch (SGS XI)) of 26 May 1994 (BGBl I. p. 1014, 1015) as currently amended, must be upheld with respect to dates and deadlines. ²The relevant documentation must be kept; any changes in requirements must be communicated without delay.

- (2) ¹Upon request, time periods in which – for reasons outside of the control of the doctoral student – it was not possible for the doctoral student to pursue doctoral studies, or only possible to a very limited extent, will not be counted towards deadlines. ²The relevant documentation must be kept; doctor's attestations must be presented in the event of illness. ³Any changes in requirements must be communicated without delay.

Section 28

Consideration of the special needs of persons with disabilities

¹The special situation of applicants or doctoral students with disabilities must be given adequate consideration in order to ensure that those persons are afforded equal opportunity. ²Upon written request by the applicant or the doctoral student, the director will determine, in consultation with the executive board, the form in which the applicant or doctoral student may meet his or her examination requirements, or will grant an extension of the period for completing his or her research or another type of compensation for disadvantages depending on the documented degree of inability to sit the examination. ³As evidence of inability to attend the thesis defence, the applicant or the doctoral student must provide a doctor's attest stating that he or she is either entirely or partially unable to participate in the thesis defence in the manner foreseen due to a long-lasting or permanent disability. This request must be attached to the request for acceptance as doctoral candidate; if the request is submitted later, it will only apply to future requirements.

Section 29

Entry into force, transitional provisions

- (1) These Regulations for the Award of Doctoral Degrees took effect on 16 September 2017, upon which the BayNAT Regulations for the Award of Doctoral Degrees of 20 March 2014 ceased to be valid.
- (2) ¹With respect to doctoral students who had already received confirmation of supervision prior to the effective date of these Regulations for the Award of Doctoral Degrees, the provisions of these Regulations apply subject to the following:
- the "confirmation of supervision" replaces the supervision agreement to be concluded in accordance with Section 4(1) No. 3 in conjunction with Section 8 of these Regulations;
 - proof of having met the requirements of Section 4(1) Nos. 1, 2 and 4 hereof must be supplied by these doctoral students together with the application for admission to the doctoral examination process pursuant to Section 9 hereof.
- ²The executive board may decide in advance on an application to be submitted to the director by the doctoral student. ³In other respects, Section 10(1) and para. 2(2) hereof apply accordingly.

Issued on the basis of the resolution adopted by the Senate of the University of Bayreuth on 24 May 2017 and the approval of the President of the University of Bayreuth granted on 14 September 2017
Ref. No. A 3519 - AL I.

Bayreuth, 15 September 2017

[*university seal*]
UNIVERSITY OF
BAYREUTH –
THE PRESIDENT

[*signature*]
Professor Dr. Stefan Leible

These Regulations were recorded on 15 September 2017 at the university.
Such recording was announced on 15 September 2017 by way of posting at the University. The date of announcement is 15 September 2017.