

# UniReport



Goethe-Universität | Frankfurt am Main

Satzungen und Ordnungen

## Amendment to the Doctoral Regulations of the Mathematics and Natural Science Faculties of Goethe University Frankfurt

Approved by resolution of the Executive Board of Goethe University Frankfurt on 08.03.2022.

Here: Amendment

By virtue of the resolutions of the faculty councils of the faculties party to the Doctoral Regulations (05, 11-15), the Doctoral Regulations of the Mathematics and Natural Science Faculties of Goethe University Frankfurt of 26 May 1993 (Official Bulletin 1/94, p. 21), last amended on 17 November 2015 (UniReport 4 January 2016), are amended as follows:

### Contents

- Section 1 Right to Confer Doctoral Degrees
- Section 2 Doctoral Committee and Doctoral Studies Office
- Section 3 Requirements for Doctoral Degrees
- Section 4 Acceptance as Doctoral Candidate
- Section 5 Graduate Studies
- Section 6 Thesis
- Section 7 Initiation of the Doctoral Examination Procedure
- Section 8 Thesis Review
- Section 9 Examination Committee
- Section 10 Grading of Doctoral Achievements
- Section 11 Oral Defence and Decision
- Section 12 Repetition
- Section 13 Conferral of the Doctoral Degree
- Section 14 Publication
- Section 15 Withdrawal of the Doctoral Degree
- Section 16 Fees
- Section 17 Honorary Doctoral Degrees
- Section 18 Joint Doctoral Degrees
- Section 19 Inspection
- Section 20 Appeal against Decisions in the Doctoral Examination Procedure
- Section 21 Transitional Provision
- Section 22 Entry into Force

### Annexes

- Annex 1: Template for the title page
- Annex 2: Reverse of the title page
- Annex 3: Examination result certificate
- Annex 4: Doctoral degree certificate

### Section 1 Right to Confer Doctoral Degrees

(1) The Faculty of Physics (13) of Goethe University Frankfurt confers the academic degree of “doctor philosophiae naturalis, Dr. phil. nat.”; the Faculty of Psychology and Sports Sciences (5), of Geosciences and Geography (11), of Computer Science and Mathematics (12), of Biochemistry, Chemistry and Pharmacy (14), and of Biological Sciences (15) of Goethe University Frankfurt confer the academic degree “doctor rerum naturalium, Dr. rer. nat.”. (\* Section 18). The requirement is doctoral achievements in the field of mathematics and natural sciences or in one of the associated subjects, namely at the Faculty of Psychology and Sports Sciences in Psychology, at the Faculty of Geosciences and Geography in Geography, Geosciences, Meteorology and Environmental Sciences, at the Faculty of Computer Science and Mathematics in Bioinformatics, Business Informatics, Didactics of Computer Science, Didactics of Mathematics, Computer Science and Mathematics, at the Faculty of Physics in Didactics of Physics and Physics, at the Faculty of Biochemistry, Chemistry and Pharmacy in Biochemistry, Chemistry, Didactics of Chemistry and Pharmacy, at the Faculty of Biological Sciences in Bioinformatics, Biology and Didactics of Biology.

(2) The doctoral degree is evidence of a special academic qualification that goes beyond the qualification associated with the diploma, master’s degree or state examination.

(3) Doctoral achievements consist of a thesis written by the doctoral candidate in one of the subjects listed in Subsection 1 (Section 6) and a public oral defence (Section 11).

## **Section 2 Doctoral Committee and Doctoral Studies Office**

(1) In each faculty, the Doctoral Committee is the committee responsible for the proper handling and implementation of doctoral degrees. In particular, it decides on the acceptance of doctoral candidates (Section 4), initiation of the doctoral examination procedure (Section 7), appointment of the reviewers (Section 8 Subsection 1) and formation of the Examination Committee (Section 9). The Doctoral Committee may delegate this task in whole or in part to the Dean. Appeals against decisions by the Dean can be lodged with the Doctoral Committee. For Bioinformatics, the Doctoral Committee of that faculty (12 or 15) is responsible in which the respective supervisor is first member.

(2) The Doctoral Committee comprises the Dean as chairperson, three further professors, one research associate and one student who has passed at least the bachelor’s examination. The members and their deputies are elected at the suggestion of the respective group representatives for a term of two years (the student and his/her deputy for one year) by the Faculty Council responsible. When allocating duties, the Dean may also nominate the Dean of Studies or the Vice-Dean to represent himself/herself.

(3) The Doctoral Committee deliberates and decides in closed session. It is quorate if at least half its members are present; it decides by majority vote of the members present. If a member is incapacitated, the deputy member participates and is entitled to vote. Apart from a majority vote of those present, decisions concerning the appointment of reviewers, formation of the Examination Committee and supervision of the doctoral candidate also require a majority vote of the professors on the committee. Secret ballot and abstention in examination matters are excluded.

(4) Rejection notifications in doctoral matters must be substantiated, include information on legal remedies and bear the Dean’s signature.

(5) The faculties referred to in Section 1 establish a joint Doctoral Studies Office for the administrative implementation of doctoral degrees; they may issue rules of procedure regulating, in particular, the appointment of the executive chairperson.

## **Section 3 Requirements for Doctoral Degrees**

(1) The requirement for acceptance as a doctoral candidate is a completed academic university degree of at least eight semesters, as a rule related to the doctoral subject, with a final grade of at

least "Satisfactory". The standard degrees are the master's degree, diploma, the first state examination for teaching at grammar school level, the second part of the examination in accordance with the licensing regulations for pharmacists, or the main examination, part A, for food chemists (university degree).

(2) In conjunction with a separate aptitude test, applicants may also be admitted to a doctoral degree who:

- a) Have completed a university degree in an academic university degree programme not related to the doctoral subject, or
- b) have completed a university degree in less than eight semesters, or
- c) have completed the state examination for teaching in primary schools, lower and intermediate secondary schools (for more details, see Subsection 4), or
- d) hold a degree from a university of applied sciences in the same or a related subject (master's degree, diploma; further details are governed by Subsection 5).

The procedure for ascertaining aptitude is intended to clarify whether an applicant is capable of independent academic work within the framework of a doctoral degree. The Doctoral Committee reviews the applicant's aptitude after inspecting their application documents and previous academic achievements and may make admission conditional on the fulfilment of additional study or examination achievements. These may constitute, in particular, the completion of examinations and attendance of certain courses in the corresponding or comparable master's degree programmes. The faculties may adopt implementing provisions for their respective subjects.

(3) The Doctoral Committee decides on the recognition of foreign degrees. In cases of doubt, the Central Office for Foreign Education is to be consulted; the equivalency agreements approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany and the German Rectors' Conference are to be noted. Subsection 2 applies.

(4) For a doctoral degree in a didactic subject (cf. Section 1 Subsection 1), degrees according to Subsection 2c can also be recognised. Prior to acceptance as a doctoral candidate, the applicant must complete at least two semesters of supplementary subject-specific studies in the master's degree programme and take a final aptitude test or an examination equivalent to this. The aptitude test must be taken before two professors and lasts a total of one hour. The aptitude test must be passed with distinction, i.e. at least "Satisfactory" (3), in the focus areas or examination subjects specified by the Doctoral Committee. It can be repeated once.

(5) An application in accordance with Subsection 2d (completed university degree at a university of applied sciences in the same or a related subject (master's degree, diploma)) must be supported in the form of written recommendations from two professors, of whom at least one is a member of the faculty. On the basis of these recommendations, the Doctoral Committee can make admission to the doctoral degree dependent on the fulfilment of certain conditions in order to ensure that the requirements for academic work are met. These conditions must be met at the latest in the semester preceding the initiation of the doctoral examination procedure.

(6) No person may be admitted to a doctoral degree who:

- a) Already holds a doctoral degree equivalent to the one pursued
- b) Is guilty of deception or attempted deception in conjunction with the admission requirements

## Section 4 Acceptance as Doctoral Candidate

(1) For acceptance as a doctoral candidate, proof is required that the requirements for doctoral degrees specified in Section 3 are met.

(2) Before applying for acceptance as a doctoral candidate, the applicant strives to find a topic for the thesis, if necessary with the assistance of the Doctoral Committee.

(3) The doctoral candidate is supervised during the composition of the doctoral thesis. The title of the thesis is established in consultation with the supervisor. A Supervision Agreement should be concluded. The following come into consideration as supervisors:

- a) Professors
- b) Emeritus or retired professors
- c) Honorary professors of the faculty
- d) Adjunct professors
- e) Junior or qualifying professors
- f) Scholars with a postdoctoral degree (*Habilitation*) working in teaching and research at the faculty
- g) Researchers with a doctoral degree who have distinguished themselves through special academic achievements (Emmy Noether or Heisenberg fellows and comparable junior research group leaders whose achievements have been reviewed in a peer review process)

With the approval of the Doctoral Committee, this can also be another academic member of the faculty who meets the employment requirements in accordance with the Hessian Higher Education Act. These are, e.g.:

- h) Scholars with a doctoral degree who have completed it at least three years earlier and have obtained their doctoral post themselves in a peer review and competitive procedure

In cases (g) and (h), an additional supervisor must be nominated for the doctoral candidate's supervision who possesses the professorial qualifications in accordance with the Hessian Higher Education Act. The requirement to nominate a second supervisor correspondingly applies for retired professors (b) and honorary professors (c).

The supervisor is responsible for the doctoral candidate's academic supervision and for providing the materials needed to conduct the work. A supervision relationship should not be established if it is foreseeable that supervision cannot be guaranteed up until completion of the doctoral examination procedure. It is possible to call in a research associate with a doctoral degree for supervision purposes. The Doctoral Committee must be notified of this in writing.

(4) The topic should be such that the thesis can likely be completed within three years.

(5) Applications for acceptance as doctoral candidate are submitted to the chairperson of the Doctoral Committee responsible. The application must state:

- a) The subject (cf. Section 1 Subsection 1) in which the doctoral degree is to be pursued
- b) The provisional working title of the thesis, naming the scholar who will supervise the thesis

The application must include:

1. The documents necessary as proof that the requirements for doctoral degrees in accordance with Section 3 are met.
2. An explanation of the preliminary working title and a brief work programme.
3. A written statement on previous attempts to earn a doctoral degree.

4. A written declaration on compliance with the principles of academic practice.
5. A statement by the person responsible for the doctoral candidate's supervision on the working title and on the materials required for the practicable implementation of the work.

(6) As a rule, the Doctoral Committee decides on the application within two months. The Dean notifies the applicant of the decision in writing. The application for acceptance as doctoral candidate is to be rejected if:

- a) The requirements according to Section 3 are not met, or
- b) no professor at the faculty is responsible for reviewing the chosen topic; in cases of doubt, the Doctoral Committee decides after hearing the professors in question and the Faculty Council, or
- c) the materials required for the practicable implementation of the work are not available, or
- d) the applicant has already undertaken two unsuccessful attempts at a doctoral degree in the same subject.

(7) Upon acceptance, the applicant is granted the status of doctoral candidate; all doctoral candidates may enrol at Goethe University Frankfurt. The status of doctoral candidate obliges the Doctoral Committee to ensure that the doctoral examination procedure is implemented and the faculty to make its research facilities accessible to the doctoral candidate as far as possible.

(8) The Doctoral Committee keeps a list of the topics it has accepted, which contains, in particular, the names of the doctoral candidates, the date of acceptance, the name of the supervisor and the date of completion of the doctoral examination procedure.

(9) Upon application by the doctoral candidate, his/her supervisor or the chairperson of the Doctoral Committee, the Doctoral Committee may approve a change to the supervision relationship; all parties involved are to be heard.

(10) Upon application by the doctoral candidate, his/her supervisor or the chairperson of the Doctoral Committee, the Doctoral Committee may review the work progress, in consultation with the doctoral candidate and his/her supervisor. If there is no prospect of successful completion of the doctoral thesis after the Doctoral Committee has set a reasonable deadline, the Doctoral Committee should terminate the doctoral relationship. The doctoral candidate and the supervisor are to be notified accordingly in writing. The topic on which the doctoral candidate was working is to be deleted from the list of doctoral topics.

## **Section 5 Graduate Studies**

Since the doctoral degree is related to proof of an academic qualification that goes beyond the diploma, master's degree or state examination, the doctoral candidate should also expand and deepen his/her knowledge in subjects neighbouring their field of work within the framework of graduate studies.

## **Section 6 Thesis**

(1) The thesis must satisfy academic standards and contribute to the progress of scientific knowledge. It must contain a substantial, independent achievement by the doctoral candidate. If the thesis is the result of joint research work, the individual achievements of the doctoral candidate must be clearly distinguishable and assessable and marked as such. They must in themselves satisfy the requirements for a thesis.

(2) The thesis may have been published previously in whole or in part. The thesis may also comprise several articles in the sense of a cumulative thesis; in this case, it must be preceded by a detailed resumé that can be read in its own right. The doctoral candidate's own contribution must be clearly recognisable. The faculties may issue implementing provisions on the quality-related features of the cumulative thesis, in particular with regard to criteria and form.

(3) As a rule, the thesis is to be written in German or English. In addition to the paper form, it must be submitted in a suitable (readable) electronic version for review purposes. The Doctoral Committee may allow the doctoral candidate to present a thesis written in another language if this is objectively justified and possible in organisational terms and the reviewers agree. In any event, an abstract in German or English is required.

(4) The form of the title page should correspond to the template included as Annex 1. The curriculum vitae is to be included on the last page.

### **Section 7 Initiation of the Doctoral Examination Procedure**

(1) Doctoral candidates who meet the requirements according to Section 3 may apply for the initiation of the doctoral examination procedure. The application is to be addressed to the chairperson of the Doctoral Committee. The application must state:

- a) The subject (cf. Section 1 Subsection 1) in which the doctoral degree is to be pursued
- b) The topic of the thesis and the name of the supervisor
- c) The names of the reviewers proposed by the doctoral candidate

(2) The application must include:

- a) A curriculum vitae with photograph, which also provides details of the doctoral candidate's studies and education
- b) The documents necessary as proof that the requirements for doctoral degrees in accordance with Section 3 are met, insofar as these were not presented upon acceptance as doctoral candidate
- c) A written statement on previous doctoral examination procedures
- d) The thesis in five identical copies, in addition a separate summary (cf. Section 8 Subsection 5) of at most two pages. In addition to the paper form, the thesis must be submitted in a suitable (readable) electronic version for review purposes.
- e) A written declaration that the doctoral candidate has written the thesis himself/herself and a statement that he/she has used only the aids or resources indicated in the thesis when preparing it, including a declaration on compliance with the principles of good academic practice
- f) A written declaration by the doctoral candidate that he/she has not availed themselves of a commercial doctoral placement service
- g) A written statement that primary data, if any, will be retained and kept accessible for ten years
- h) If available, a list of academic papers already published
- i) If applicable, proof of the achievements required as part of a doctoral degree
- j) The receipt for the examination fee paid (Section 16)

- (3) The initiation of the doctoral examination procedure is to be refused if:
- a) Incomplete documents are submitted after repeated requests, or
  - b) the doctoral candidate is guilty of deception, in particular in conjunction with the admission requirements or the thesis, or
  - c) the doctoral candidate has attempted the doctoral examination in the respective subject unsuccessfully more than once, or
  - d) no professor at the faculty is responsible for reviewing the chosen topic; in cases of doubt, the Doctoral Committee decides after hearing the professors in question and the Faculty Council, or
  - e) the requirements according to Section 3 or Section 7 Subsection 1 and 2 are not met, or
  - f) the doctoral candidate has already successfully presented the same thesis in another doctoral subject or at another university.
- (4) The application may no longer be withdrawn as soon as one of the reviewers' reports (cf. Section 8) has been presented to the chairperson of the Doctoral Committee. If the doctoral candidate withdraws from the examination thereafter, the doctoral examination procedure is deemed to have ended unsuccessfully.

## Section 8 Thesis Review

- (1) As a rule, the thesis is reviewed by two persons; the persons named in Section 4 Subsection 3 come into consideration for this purpose. One of the reviewers should be the person responsible for supervising the thesis. One of the reviewers must be a professor of the faculty within the meaning of the Hessian Higher Education Act; the Doctoral Committee may derogate from this if, at the time the doctoral candidate was accepted, the supervisor of the thesis was a professor at the faculty within the meaning of the Hessian Higher Education Act and this person is appointed as a reviewer. The doctoral candidate is notified of the names of the reviewers. If a research associate was involved in the candidate's supervision in accordance with Section 4 Subsection 3 (penultimate sentence), he/she has the right to comment in writing on the thesis. The reviewers' reports should be prepared independently of each other.
- (2) As long as the Examination Committee has not reached a decision on the grading of the thesis, the Doctoral Committee may appoint up to two further reviewers with a doctoral degree in justified cases. Reviewers are appointed by the Doctoral Committee with their consent.
- (3) The reviewers' reports should be available one month after the reviewers have received the documents. The Doctoral Committee strives to ensure that the reviewers' reports are presented in good time. The reviewers' reports may also be submitted in English; grading must be in line with the rules of these regulations (Section 10 Subsection 1).
- (4) The reviewers submit proposals for the grading of the thesis in accordance with Section 10 Subsection 1. A grade of "Excellent" (0) requires special justification (Section 10 Subsection 3). The reviewers may suggest changes to the thesis prior to its final printing (Subsection 9 and Section 11 Subsection 9).
- (5) Once the reviewers' reports are available, the professors of the faculties listed in Section 1 are to be granted the right of inspection. The Doctoral Committee sets a time limit for this inspection period of at least four and at most six weeks. The professors of the faculty conferring the doctoral degree and the deans of the other faculties listed in Section 1 are to be notified of the inspection period, enclosing the summary (cf. Section 7 Subsection 2d), and the names of the reviewers and their proposed grades are to be stated.

(6) The professors of the faculties listed in Section 1 have the right to comment in writing on the reviewers' reports, to appeal against the proposed grades and, if necessary, to propose changes to the thesis prior to its final printing (Subsection 9 and Section 11 Subsection 9).

(7) The individual faculties may decide on a circulation procedure with all professors of the faculty for the purpose of inspection within the faculty; in this case, the thesis and reviewers' reports are to be circulated.

(8) If all reviewers propose that the thesis should be rejected ("non rite"/ "Not Sufficient"), the Examination Committee declares that the examination has been failed. If one of the reviewers proposes that the thesis should be rejected, another reviewer is to be appointed by the Doctoral Committee. If this person also proposes that the thesis should be rejected, the Examination Committee declares that the examination has been failed. Section 8 Subsection 2 applies.

(9) If the reviewers or other professors have made suggestions for the final printing of the thesis (Subsection 4 and 6), the Doctoral Committee decides, in agreement with the reviewers and after hearing the doctoral candidate, whether the suggested changes must be implemented and whether this must be done before the oral defence. The requirements are deemed to have been met if the reviewers have given their consent.

## Section 9 Examination Committee

(1) The Doctoral Committee appoints the Examination Committee and sets the examination dates.

(2) The Examination Committee grades the thesis and the oral defence. The grade for the thesis is determined on the basis of the reviewers' reports and after examining any objections and comments that may have been submitted.

(3) The Examination Committee includes the reviewers and two further professors, emeritus or retired professors or honorary professors or other scholars with a postdoctoral degree (*Habilitation*) or their deputies, whereby at least three of the members must be professors within the meaning of the Hessian Higher Education Act. For Bioinformatics, the Examination Committee should always include one member from the other respective faculty (12 or 15). The members of the Examination Committee belonging to the faculty conferring the doctoral degree should have a majority on the committee.

(4) The Doctoral Committee appoints one of the members of the Examination Committee as chairperson.

(5) The members of the Examination Committee are to be given access to the thesis and the reviewers' reports as well as any comments and objections.

(6) The Examination Committee deliberates and decides in closed session. Resolutions are passed by the majority vote of those present. Secret ballot and abstention in examination matters are excluded.

## Section 10 Grading of Doctoral Achievements

(1) Doctoral achievements are graded as follows:

Very Good (magna cum laude) (1)

Good (cum laude) (2)

Sufficient (rite) (3)

Not Sufficient (non rite) (4)

For particularly outstanding achievements, the following distinction can be awarded:

Excellent (summa cum laude) (0)

The numbers serve only as a basis for calculation and do not appear on the doctoral degree certificate. When awarding the grade of “Excellent” for the thesis, a third review should always be obtained; one of the three reviewers’ reports should be that of an external reviewer.

(2) If calculating the average results in fractions, the better grade is given for values up to and including .5, and the worse grade is given for values above .5.

(3) The grade of “Excellent” for the thesis can only be awarded (Section 11 Subsection 5) if all reviewers have proposed this distinction for the thesis.

## **Section 11 Oral Defence and Decision**

(1) The date for the public oral defence is set by the Doctoral Committee in consultation with the members of the Examination Committee and the doctoral candidate. Between one and two hours are foreseen for the oral defence. With the unanimous consent of the Examination Committee, the oral defence may be conducted in a language other than German or English.

(2) The doctoral candidate, the members of the Examination Committee and the deans of the faculties listed in Section 1 are personally invited to the oral defence. The date of the oral defence is announced in these faculties by posting a respective notice.

(3) In the oral defence, the doctoral candidate defends his/her thesis before the Examination Committee; in so doing, he/she should prove his/her academic qualification. The oral defence commences with a report by the doctoral candidate on his/her thesis lasting approximately 15 minutes. The oral defence is a profound academic debate that is intended to show that the doctoral candidate has a command of the subject area from which the thesis originates and is familiar with modern developments in his/her subject. It extends beyond that to selected topics in neighbouring disciplines that are objectively and methodologically related to the field of work. The chairperson of the Examination Committee chairs the oral defence; he/she may allow questions from the audience.

(4) The Doctoral Committee declares the oral defence to have been failed if the doctoral candidate fails to attend the oral defence without good cause or withdraws before the end of the examination. The reason asserted for failing to attend or withdrawing from the examination must be presented in writing to the chairperson of the Doctoral Committee immediately after the reason becomes known and must be made credible. The Doctoral Committee decides whether or not to acknowledge the reason for failing to attend or withdrawing from the examination. If the reason is acknowledged, a new date is set without delay.

(5) As a rule, the Examination Committee convenes immediately after the end of the oral defence in order to establish the grades for the candidate’s achievements in the thesis and the oral defence as well as the overall grade.

(6) The doctoral candidate may only be awarded a doctoral degree if the thesis and the oral defence have each been graded as at least “Sufficient” (rite) (3).

(7) The Examination Committee grades the oral defence in accordance with the grades indicated in Section 10 Subsection 1. The overall grade ensues from two-thirds of the grade for the thesis and one third of the grade awarded by the Examination Committee for the doctoral candidate’s achievement in the oral defence. Section 10 Subsection 2 applies. The overall grade of “Excellent” can only be awarded if both the thesis and the oral defence have been awarded this distinction.

(8) Minutes of the oral defence are to be taken, which must contain the names of the members of the Examination Committee, the duration of the examination, an overview of the contents of the oral defence and the grades.

(9) Following the decision, the chairperson of the Examination Committee informs the doctoral candidate of the result and of any outstanding requirements (Section 8 Subsection 4, 6 and 10) for the

final printing of the deposit copies. After consulting with the doctoral candidate, the Examination Committee sets a deadline for the submission of the revised deposit copies.

(10) The doctoral candidate receives a certificate from the Doctoral Committee containing the examination result (see Annex 3).

## **Section 12 Repetition**

(1) If the thesis has been rejected, only one further attempt at the doctoral degree may be undertaken. The doctoral examination procedure may be initiated at the earliest after one year from the date of the rejection of the thesis.

(2) The oral defence can only be repeated once upon application. This can be done at the earliest after two months and must take place within one year after the date of the first oral defence.

## **Section 13 Conferral of the Doctoral Degree**

(1) After the thesis has been published in the manner described in Section 14, the Dean issues the doctoral degree certificate to the doctoral candidate. The certificate (see Annex 4) contains the subject in which the doctoral degree was pursued, the title as well as the date of the thesis and the overall grade. Its issue date is the day of the oral defence; it bears the seal of the faculty and the Dean's signature. In addition, a certified English translation of the certificate signed by the Dean is issued.

(2) After the certificate has been issued, the doctoral candidate has the right to use the doctor title.

## **Section 14 Publication**

(1) The thesis must be published in book form, as a contribution to an anthology, as a reproduced manuscript, in journals or in electronic form in the version approved by the faculty. Mandatory deposit copies of this version are to be delivered free of charge to University Library within one year after the doctoral degree:

- a) Four copies of the thesis printed in book form for the purpose of distribution, or
- b) three offprints, if the thesis has been published in a journal, or
- c) three copies of the thesis published and distributed by a commercial publisher, provided that evidence of a minimum circulation of 150 copies is provided, or
- d) five copies in copyable typescript together with the master copy and five further copies in the form of microfiches; in this case, the doctoral candidate transfers to the university the right to produce and distribute further copies in the form of microfiches of his/her thesis, or
- e) five CD-ROMs together with four printed copies for archiving, which must be printed on non-ageing, wood-free and acid-free paper and permanently bound, or
- f) an electronic version designated for publication on the internet, of which the data format and the data carrier must be agreed with University Library, together with two copies for archiving, which must be printed on non-ageing, wood-free and acid-free paper and permanently bound.

(2) The deposit copies of the thesis must have a title page in accordance with Annexes 1 and 2. The curriculum vitae must be included at the end.

(3) An abridged or modified version is permissible for the deposit copies indicated in Subsection 1, provided that it does not change the essential contents of the thesis and fully reflects the line of argument; the approval of the Dean and the reviewers is required for this.

### **Section 15 Withdrawal of the Doctoral Degree**

(1) The Doctoral Committee should withdraw the doctoral degree if it transpires that it was obtained through deception or if, after it was conferred, old or new facts become known which would have precluded its conferral. Reference is otherwise made to the statutory regulations.

(2) Before the Doctoral Committee takes a decision on the withdrawal of the doctoral degree, the person concerned is to be given the opportunity to comment on the allegations.

### **Section 16 Fees**

The fee of €150, in the event of repetition €75, must be transferred to the university's bank account before applying for the opening of the doctoral examination procedure.<sup>1</sup>

### **Section 17 Honorary Doctoral Degrees**

(1) For outstanding academic and scientific/technical accomplishments in the subject area of a faculty, the title of "Doctor of Science honoris causa" (Dr. phil. nat. h. c. or Dr. rer. nat. h. c.) can be conferred.

(2) An application for the conferral of an honorary doctoral degree must be submitted to the Faculty Council by at least two professors. It must be justified in writing.

(3) The Faculty Council decides on the initiation of the honorary doctoral degree procedure. To prepare the decision, the Faculty Council appoints a committee consisting of three professors, one academic member and one student member, which as a rule obtains two statements from external reviewers. The professors and doctoral members of the faculty concerned are to be notified of the decision to open the procedure. In addition, the other faculties listed in Section 1 are to be informed.

(4) All professors and doctoral members of the faculties listed in Section 1 are entitled to comment.

(5) Taking into consideration the rules in Section 2 Subsection 3 of these regulations, the Faculty Council decides on the conferral of the degree on the basis of a 2/3 majority vote by the members present with voting rights.

(6) The Dean confers the honorary doctoral degree by presenting a certificate highlighting the degree holder's accomplishments.

### **Section 18 Joint Doctoral Degrees**

(1) These Doctoral Regulations also apply to joint doctoral degrees. Joint doctoral degrees are doctoral examination procedures with another research institution (cooperative doctoral degree) and binational doctoral examination procedures with foreign universities (Cotutelle de Thèse). In particular, the following come into consideration as research institutions in a cooperative doctoral examination procedure:

- a) Universities of applied sciences

<sup>1</sup> The payment request is issued when the application is submitted to the Doctoral Studies Office.

b) Non-university research institutions

(2) The persons named in Section 4 Subsection 3 as well as persons who have comparable academic qualifications come into consideration as supervisors of joint doctoral degrees. One of the supervisors must be a member of the faculty at which the doctoral degree is being pursued. The other supervisor may come from a university of applied sciences, another university or a non-university research institution.

(3) Applicants for joint doctoral degrees must meet both the acceptance requirements at Goethe University Frankfurt and the acceptance requirements of the participating research institution.

(4) Upon successful completion of a joint doctoral examination procedure, a doctoral degree certificate is issued. In the case of a binational doctoral degree (Cotutelle de Thèse), it is to be signed by and bear the seal of both universities; in addition, the certificate must show that it is a jointly conferred doctoral degree within the framework of binational doctoral supervision (Cotutelle de Thèse) and that it does not entitle the holder to use a double doctor title. In the event of a cooperative doctoral degree within the meaning of Subsection 1a and 1b, the certificate may contain the following additional note for the participating cooperation partner:

“The thesis was supervised jointly with (name of cooperation partner). For the support of the thesis (signature of the authorised signatory(ies) of the cooperation partner and logo of the cooperation partner).”

(5) An individual cooperation agreement governs the details regarding the implementation of joint doctoral examination procedures (e.g. the composition of the Examination Committee).

## Section 19 Inspection

The doctoral candidate has the right to inspect all documents related to the doctoral degree after completion of the doctoral examination procedure and, in justified cases, also during the ongoing doctoral examination procedure.

## Section 20 Appeal against Decisions in the Doctoral Examination Procedure

The doctoral candidate may lodge an appeal in writing against incriminating decisions in the doctoral examination procedure within one month of notification. If the appeal is not upheld, the President decides.

## Section 21 Transitional Provision

(1) This amendment applies to all doctoral candidates accepted for a doctoral degree after the entry into force of this amendment to the Doctoral Regulations of the Mathematics and Natural Science Faculties. Doctoral candidates who have already been accepted for a doctoral degree at the Faculty of Biochemistry, Chemistry and Pharmacy of Goethe University Frankfurt at the time of the entry into force of these regulations have the option, upon application, to be awarded the doctoral degree of “Dr. phil. nat.” or “Dr. rer. nat.”. This written application must be submitted to the Doctoral Committee responsible at the faculty at the latest up until the submission of the thesis and no later than two years after the entry into force of this amendment.

(2) For doctoral work carried out so far without supervision, the Doctoral Committee of the faculty concerned appoints a supervisor who meets the requirements according to Section 4 Subsection 3 following a proposal by the doctoral candidate. If no proposal is made within three months after the entry into force of these regulations, the Doctoral Committee of the faculty concerned appoints a supervisor who meets the requirements according to Section 4 Subsection 3.

## Section 22 Entry into Force

(1) These Doctoral Regulations enter into force on the day following their publication in the UniReport of Goethe University Frankfurt following a resolution passed by the Senate and approved by the Executive Board.

(2) If separate Doctoral Regulations enter into force for a faculty, the regulations presented herein remain valid for the other faculties.

Frankfurt am Main

### Legal notice

UniReport Statutes and Regulations is published at irregular intervals and as the occasion demands as a special edition of UniReport. Its circulation is determined separately for each issue.

Publisher The President of Goethe University Frankfurt

*Signed by*  
Professor Sonja Rohrmann  
Dean of the Faculty of Psychology and Sports Sciences

*Signed by*  
Professor Harald Appelshäuser  
Dean of the Faculty of Physics

*Signed by*  
Professor Jürgen Runge  
Dean of the Faculty of Geosciences and Geography

*Signed by*  
Professor Martin Möller  
Dean of the Faculty of Computer Science  
and Mathematics

*Signed by*  
Professor Clemens Glaubitz  
Dean of the Faculty of Biochemistry, Chemistry and Pharmacy  
Sciences

*Signed by*  
Professor Sven Klimpel  
Dean of the Faculty of Biological  
Sciences

**Annex 1: Template for the title page (cf. Section 6 Subsection 4)**

(Title of the thesis)

Thesis

for the award of the degree of  
Doctor of Natural Sciences

presented to the Faculty of XYZ

of Goethe University Frankfurt

by

(author's first and last name)

from (place of birth)

Frankfurt (year of printing)

(D 30)

## Annex 2: Reverse of the title page

Accepted as a thesis by the Faculty of XYZ of

Goethe University Frankfurt.

Dean: ...

Reviewer:

Date of the oral defence:

**Annex 3: Examination result certificate**

(Name of the faculty)  
of Goethe University Frankfurt

Ms/Mr

First and last name

has today completed the doctoral examination procedure in (doctoral subject)

with the overall grade of “(overall grade)”.

The individual examination achievements were graded as follows:

Thesis: “(grade for the thesis)”

Oral defence: “(grade for the oral defence)”

The right to use the title of doctor is not acquired through this examination result certificate but only through the issue of the doctoral degree certificate.

Frankfurt am Main, (date of the oral defence)

The Dean

#### Annex 4: Doctoral degree certificate

The Faculty of XYZ of Goethe University  
Frankfurt confers on

Mr/Ms

First and last name

born on (date) in (place of birth)

the degree of Doctor of Natural Sciences (Dr. rer. nat. / Dr. phil. nat.) in  
(doctoral subject)

by virtue of having proven his/her academic qualification within an orderly doctoral  
examination procedure through the thesis

“Topic of the thesis”

and a public oral defence.

The doctoral achievement was awarded the overall grade of “(overall grade)”.

Frankfurt am Main, (date of the oral defence)

Professor (Dean’s name), Dean