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## **General doctoral degree regulations**

**Universität Regensburg**

**(RPromO)**

**From January 16, 2023**

On the basis of Art. 9 Clause 1 in conjunction with Art. 97 Para. 1 Clause 6 and Art. 84 Para. 2 Clause 1 of the Bavarian higher education innovation act (BayHIG) in the currently valid versions, Universität Regensburg decrees the following statute:

Preliminary remarks on language:

All terms in these regulations relating to posts, people and functions are valid for all genders. This holds even should a masculine or feminine form be used.

## Contents

### **I. General regulations**

- § 1 Aims and scope of application
- § 2 Doctorate
- § 3 Doctoral degrees
- § 4 Doctoral bodies, competence and tasks
- § 5 Supervisors, examiners, those eligible to take part
- § 6 Procedural principles, making determinations
- § 7 Recusal due to personal involvement, duty of confidentiality
- § 8 Consideration for special circumstances, reasonable adjustments

### **II. Acceptance to a doctoral program**

- § 9 General provisions for doctorates
- § 10 Doctoral suitability test
- § 11 Acceptance as doctoral candidate
- § 12 Data acquisition, enrollment

### **III. The doctoral process**

- § 13 Supervision
- § 14 Colloquium
- § 15 The dissertation
- § 16 Admission to the doctoral process
- § 17 Evaluation of the dissertation
- § 18 Steps taken after acceptance or rejection
- § 19 The oral examination
- § 20 The use of audio-visual telecommunications media; electronic remote examinations
- § 21 Overall grade of the doctorate, announcement of the examination result
- § 22 Conclusion of the doctoral process, publication, obligatory submission of copies
- § 23 Diploma and conferring the doctorate
- § 24 Retaking the doctoral examination
- § 25 Procedural deficiencies
- § 26 Inspection of examination documents

### **IV. Invalidity, revocation and withdrawal of the doctoral degree**

- § 27 Cheating, invalidity of doctoral performance
- § 28 Revocation of a doctoral degree

### **V. Doctorates in cooperation with universities of applied sciences and art colleges**

- § 29 Cooperative doctoral processes and consortial doctorates

### **VI. Doctorates within the framework of joint supervision with a university or institution abroad (Cotutelle)**

- § 30 Joint supervision of doctoral project (Cotutelle)
- § 31 General examination regulations for bi-national doctoral processes
- § 32 Examination processes at Universität Regensburg
- § 33 Examination processes at the partner institution
- § 34 Diploma
- § 35 Publication, obligatory submission of copies

### **VII. Honorary doctorates**

§ 36 Honorary doctorates

**VIII. Final provisions**

§ 37 Entry into force and transitional arrangements

**Appendix 1** Template for a supervision agreement

**Appendix 2** Template for the title page of a dissertation / template for the rear of the title page

**Appendix 3** Declaration in lieu of oath

**Appendix 4** Diploma template

## **I. General regulations**

### **§ 1**

#### **Aims and scope of application**

- (1) These regulations collect principles and procedural rules for doctorates taken at Universität Regensburg, and expresses the university's responsibility in this regard.
- (2) <sup>1</sup>They are valid for all doctoral processes taking place at Universität Regensburg, and are complemented by the doctoral degree regulations of the faculties (henceforth referred to with the abbreviation FPromO), these latter containing contents and requirements for the doctoral processes specific to the subjects involved. <sup>2</sup>The FPromO complement or can complement these general regulations if and insofar as these regulations offer such a possibility. <sup>3</sup>The FPromO in force depends on the doctoral degree aimed for and the faculty carrying out the process.

### **§ 2**

#### **Doctorate**

- (1) <sup>1</sup>A doctorate serves as evidence of the ability to conduct in-depth academic work in one of the subjects named in the FPromO. <sup>2</sup>It is based on:
1. the curricula of the research training group (Para. 2) or the achievements regulated by the supervision agreement,
  2. an independent academic work (dissertation),
  3. an oral examination and
  4. the publication of the dissertation.
- (2) <sup>1</sup>The FPromO can rule that an orderly doctoral process must take place within the framework of a graduate school, and that the applicant pass through a structured program attending the preparation of the dissertation. <sup>3</sup>The contents and further details of the doctoral program are regulated by the FPromO.
- (3) The Universität Regensburg Regulations for Ensuring Good Academic Practice (GWP-Ordnung) is to be observed throughout the doctoral process.

### **§ 3**

#### **Doctoral degree**

- (1) <sup>1</sup>Universität Regensburg awards the following doctoral degrees in accordance with the RPromO and the relevant FPromO based on a properly conducted doctoral process:  
Dr.-Ing., Dr. jur., Dr. med., Dr. med. dent., Dr. phil., Dr. phil. nat., Dr. rer. nat., Dr. rer. physiol., Dr. rer. pol., Dr. sc. hum. und Dr. theol.
- <sup>2</sup>The FPromO contain detailed regulations.
- <sup>3</sup>The title awarded can be "Doktor" or "Doktorin"; the abbreviation being identical in either case.
- <sup>4</sup>Except in the case of an honorary doctorate, a doctoral degree of a specific denotation can only be awarded once.
- (2) An honorary doctoral degree can also be awarded (§ 36).

## § 4 Doctoral bodies, competence and tasks

- (1) <sup>1</sup>The FPromO provides for the forming of a doctoral committee for the organization and carrying out of the doctoral process. <sup>2</sup>The doctoral committee consists of the chair, a deputy and a fixed number of further persons who are qualified to conduct doctorates in the sense of § 5 Para. 1 No. 1.
- (2) <sup>1</sup>If a joint FPromO is issued for more than one faculty, it may provide for the forming of separate doctoral committees for each faculty, these committees being competent for the doctoral processes of candidates assigned to their faculties. <sup>2</sup>Should a faculty award several different doctor titles, the FPromO may provide for the forming of different doctoral committees tied to different doctor titles.
- (3) <sup>1</sup>The doctoral committee has a quorum if all members have been invited properly and the majority of the members are present and entitled to vote. <sup>2</sup>It passes decisions on the basis of a simple majority. <sup>3</sup>When a vote is tied, the chair has the casting vote. <sup>4</sup>The doctoral committee can assign the continuing business of the organization and carrying out of doctoral processes to the chair with a resolution which can be revoked at any time. <sup>5</sup>Matters which can be regulated by the faculty board or dean instead of the doctoral committee are to be identified in the FPromO.
- (4) <sup>1</sup>Every doctoral process is supervised by a person qualified to conduct doctorates, qualified in the subject, and who declares themselves willing (first supervisor). <sup>2</sup>In addition to the first supervisor, at least one further person can be named as a supervisor. <sup>3</sup>The number and selection of the supervisors should depend on the topic and methods of the doctoral project and the academic and organizational environment of the doctoral candidate and should guarantee the best possible support for the doctoral project.
- (5) <sup>1</sup>Alongside the academic supervision provided by the supervisors, where necessary subject-specific graduate schools with structured programs support doctoral candidates to take responsibility for their own academic work, the observance of good academic practice and their further careers. <sup>2</sup>Prerequisites for and conditions of participation are determined in the FPromO.
- (6) The competent doctoral committee ascertains the academic competence of the supervision for each doctoral process, and determines, for each doctoral process, a subject-relevant examination board generally consisting of the following members:
1. a chair, qualified to conduct doctorates, who may not also be a referee;
  2. two referees
  3. where necessary one or more further examiners qualified to conduct doctorates who may belong to different subject groups than the referees.
- <sup>2</sup>In addition, further members may be added to the examination board insofar as this seems sensible for academic reasons. <sup>3</sup>If the oral examination relates to several subjects (Rigorosum), then each subject will be assigned a separate examiner.
- (7) <sup>1</sup>Further details on the composition, competence, and tasks of the doctoral committee and further doctoral bodies is regulated by the FPromO. <sup>2</sup>Notwithstanding this, the decision on withdrawal of a doctoral title under § 27 Para. 3 remains with the faculty board.

## **§ 5**

### **Supervisors, examiners, those eligible to take part**

- (1) The following persons are qualified to supervise and examine doctorates - should they have the academic expertise for the doctoral project:
  1. <sup>1</sup>A professor or associate professor ("Hochschullehrer" in accordance with 2 Para. 3 Clause 1 of the Bavarian university staff act (BayHSchPG)), whose main occupation is at Universität Regensburg. <sup>2</sup>In the case of temporary employment, the doctoral committee must ensure the continuity of the doctoral process.
  2. Universität Regensburg professors who have been released from their duties and retired professors who were members or associate members (Zweitmitglied) of the faculty carrying out the doctorate.
- (2) The following persons can also generally be tasked with the supervision, refereeing and examining doctorates in accordance with the FPromO:
  1. those employed as professors or staff with habilitation working part-time at Universität Regensburg and particularly well-qualified persons with doctorates (in particular heads of junior research groups at Universität Regensburg), who, due to their activity at Universität Regensburg or in a research institution connected to Universität Regensburg are able to ensure continual supervision for the doctoral project;
  2. persons from other universities qualified to conduct doctorates, insofar as external co-supervision of the doctoral project has been agreed.
- (3) In accordance with further stipulations of these regulations and the FPromO, the persons named in Para. 1 and 2 belonging to another foreign academic institution of higher education may also be named as supervisors and examiners.
- (4) For cooperative doctorates (§ 29), professors from universities of applied sciences and art colleges can be named as supervisors and examiners.
- (5) One of the persons appointed as supervisors must belong to the group named in Para. 1 No. 1.
- (6) Honorary professors, who work or worked for corporations and who have an interest in the doctorate or the research performed within the doctorate, may not be involved supervision or decisions on performance in an industrial doctorate.
- (7) <sup>1</sup>The members of the faculty or institute carrying out the doctorate who are qualified to conduct doctorates are entitled to participate in the display of the dissertation (§ 18 Para. 1). <sup>2</sup>They are informed of the display of a dissertation and have the right to make a statement in reference to the assessment.
- (8) If a referee is unable to undertake their duties over a longer period of time, the doctoral committee can dismiss them (§ 17 Para. 1 Clause 4) and appoint a new referee; if the referee is only unable to undertake their duties temporarily these duties remain with them, and they can resume their work when they are no longer impeded.

## **§ 6**

### **Procedural principles, making determinations**

- (1) <sup>1</sup>The faculties are responsible for the arrangement and carrying out of the administrative and legal examination processes in the doctoral process. <sup>2</sup>They ensure that the principles of good academic practice are imparted.
- (2) The faculties collect, in accordance with the university's stipulations, all the data relevant for the doctoral process concerning the status and progression of doctorates (e.g. number of doctoral candidates, periods of doctorates, doctoral processes) in order to provide a basis for planning of measures to improve the conditions under which doctorates take place, and they keep this data up-to-date to further the tasks of Universität Regensburg.
- (3) <sup>1</sup>The faculty administrations document the doctoral processes. <sup>2</sup>The documentation includes, in particular,
1. documents submitted,
  2. formal decisions and notifications,
  3. referees reports and examination records,
  4. a copy of the submitted dissertation,
  5. a digital copy of the submitted dissertation,
  6. where necessary, records relating to the results (see the UR Regulations for Ensuring Good Academic Practice).
- <sup>3</sup>The documents are to be kept by the office making the file for at least ten years after the completion of the process; permanent archiving takes place in the University Archives in accordance with the requirements of the Bavarian archive law (Bayerisches Archivgesetz.)
- (4) <sup>1</sup>The doctoral bodies ensure an orderly, sound and timely procedure. <sup>2</sup>All decisions of the doctoral bodies will be communicated to applicants and candidates in writing. <sup>3</sup>Decisions which are detrimental to an applicant or candidate are to be justified and supplied with information on the possibilities of contestation and appeal.
- (5) <sup>1</sup>The examination bodies make their decisions in meetings, as a basic principle, which can also take place in an electronic form. <sup>2</sup>Votes are also allowed by written consent in lieu of a meeting. <sup>9</sup>For examination decisions as part of a doctoral procedure, abstention, secret votes and transfer of voting rights are not permitted. <sup>4</sup>Otherwise, § 72 of the Constitution of Universität Regensburg holds for the procedures of decision making in the doctoral bodies. <sup>5</sup>The chair can be assigned to conduct business as part of the organization and carrying out of examination procedures by a decision of the collegial organ. Such a decision can be revoked at any time.

## **§ 7**

### **Recusal due to personal involvement, duty of confidentiality**

- (1) A recusal from debate and voting in the doctoral committee or from examination activity due to personal involvement is prescribed according to Art. 51 Para. 2 BayHIG.
- (2) The duty of confidentiality of the members of the doctoral committee, the supervisors, examiners, the examination observers and other persons involved with examinations is determined by Art. 26 Para. 2 Clause 3 BayHIG.

## § 8

### Consideration for special circumstances, reasonable adjustments

- (1) <sup>1</sup>The FPromO and graduate schools regulate special measures to support doctoral candidates with children or close dependents with need of care, with illnesses / lost work time significant for the doctorate, or, for example those with special needs arising from disability or chronic illness, insofar as these circumstances can influence the orderly carrying out of the doctoral process. <sup>2</sup>The following paragraphs remain unaffected.
- (2) <sup>1</sup>Should there be periods of study during which work on doctoral activities is not possible or only possible in a very limited way for reasons beyond the candidate's control, upon request, this time will not be included in calculations of examination and appointments. <sup>2</sup>Alongside illness, the following count as reasons beyond a candidate's control:
- claims for protection periods conforming to the valid version of §§ 3, 4, 6 and 8 of the maternity protection law (Mutterschutzgesetz) of May 23, 2017, in the currently valid version;
  - a period of an employment ban in accordance with §§ 4, 5, 6, 10 Para. 3, 13 and 16 of the maternity protection law from May 23, 2017, in the currently valid version,
  - the periods in the valid versions of the laws for parental benefits and parental leave from December 5, 2006;
  - providing nursing care at home for dependents with severe illness.
- <sup>3</sup>Appropriate documentation, in particular through medical certificates, in case of doubt official medical certificates are to be kept; changes in the conditions are to be disclosed without delay.
- (3) <sup>1</sup>In particular, pregnant students may, on request, have a break in their oral examination, if it is established that an examination of the length proposed can, due to the pregnancy, not be taken. <sup>2</sup>A medical certificate is to be provided. <sup>3</sup>Para. 5 applies similarly.
- (4) <sup>1</sup>In the oral examination, the type and difficulty of a certified disability or chronic illness which does not concern the scope of the skills and knowledge to be examined is to be taken into account. <sup>2</sup>Abandoning the oral examination, or changing to a different form of examination running contrary to the aims of an oral examination is not allowed. <sup>3</sup>The decision on suitable reasonable adjustments is made by the chair of the examination board. <sup>4</sup>The decision is to be communicated to the candidate in good time before the oral examination.
- (5) <sup>1</sup>The chair of the examination board makes decisions on cases according to Para. 3 and 4 upon written request which includes a medical certificate and has to be made in good time, in cases of Para. 4, generally four weeks before the oral examination at the latest; and informs the examination candidate of the decision in writing. <sup>2</sup>In cases coming under Para. 4, before a rejection is decided upon, the senate's Representative for Students with Disability or Chronic Illness must be heard. <sup>3</sup>Notifications from the doctoral committee are to be presented when registering and taking the oral examination.
- (6) Paragraphs 3 to 5 hold for any additional qualifying steps provided for in the FPromO (e.g. colloquium) similarly.

## II. Acceptance to a doctoral program



## § 9 General provisions for doctorates

- (1) Acceptance to a doctoral program requires the following, irrespective of further demands in accordance with the relevant FPromO:
1. the applicant fulfills the qualitative entrance prerequisites in accordance with Para. 2,
  2. the subject of the dissertation project is represented by one or more authorized examiners at Universität Regensburg.,
  3. the applicant has not already passed a doctoral examination for the doctoral title aimed for,
  4. the applicant has not already conclusively failed a doctoral examination for the doctoral title aimed for.
- (2) The applicant must demonstrate the following:
1. <sup>1</sup>An academic degree marked with particular success or equivalent qualification in the subject relevant for the doctoral project; the FPromO sets out minimum requirements for the determination of particular success. <sup>2</sup>The programs which are to be considered are also regulated by the FPromO.
    - a) This generally takes place via certification of a master's degree awarded by a university or university of applied sciences, a diplom degree from a university or state examination with a standard period of study of at least nine semesters.
    - b) If an applicant makes a justified application, in agreement with the subject representatives, a degree can be recognized as a prerequisite in another subject. In this case, the applicant can be accepted as a doctoral candidate if they show the necessary prior knowledge for work on the dissertation and the subject representatives support the acceptance as a doctoral candidate, specifying the special grounds. The FPromO contains further details.
    - c) If all the other qualification prerequisites in accordance with these doctoral regulations and the relevant FPromO are fulfilled, the competent doctoral committee can provisionally accept an applicant with a first degree qualifying the holder professionally (bachelor's degree, state examination with less than nine semesters of regular study time) as doctoral candidates insofar as it can be demonstrated that the applicant has great academic potential. <sup>2</sup>Acceptance is then provisional and with a stipulation (requirement) set by the doctoral committee for course and examination credits to be successfully completed within a certain time frame.
    - d) The particular academic suitability in accordance with letter c clause 1 can also be determined by particular achievements such as excellent theses, publications, involvement in doctoral excellence programs or research/training or further education cooperation; this is decided by the doctoral committee subject to the requirements of the FPromO.
    - e) For acceptance as candidates for Dr. med and Dr. med. dent. it is sufficient to have completed the first section of the medicine examination or dentistry examination, respectively.
  2. <sup>1</sup>Where applicable proof of language skills which, in accordance with the stipulations of the FPromO, are necessary for the academic work in the particular subject. <sup>2</sup>If a master's or equivalent degree which was obtained abroad fulfills a prerequisite for taking up a doctorate, the applicant must demonstrate good skills in the German or English language (level B2 or C1 of CEFR, depending on the subject).
- (3) <sup>1</sup>Study periods, course and examination credits which have been completed at other institutes of higher education both in Germany and abroad count towards the acceptance, unless there is a significant difference in regards to the skills gained (learning outcomes). <sup>2</sup>This decision is incumbent on the relevant doctoral committee. <sup>3</sup>In cases of doubt, advice can be obtained from the central office for foreign education systems (Zentralstelle für ausländisches Bildungswesen).

- (4) <sup>1</sup>The FPromO can provide for exceptions to the requirement for particular success in an examination in the sense of Para. 2 No. 1 Clause 1 insofar as the applicant has shown their particular academic suitability in one of the ways regulated by the FPromO. <sup>2</sup>The FPromO also regulates alternative access possibilities (e.g. fast track) and where appropriate the necessary qualification phases.

## **§ 10** **Doctoral suitability test**

- (1) <sup>1</sup>The FPromO can provide for a doctoral suitability test when degrees have been obtained abroad or their suitability to be recognized in accordance with the valid legal regulations (including the Convention on the Recognition of Qualifications concerning Higher Education in the European Region - Lisbon Convention, the European Convention on the Academic Recognition of University Qualifications, and bilateral equivalence agreements) cannot be determined beyond doubt, and can determine the type and extent of such tests. <sup>2</sup>This also applies when the minimum conditions for determining a particularly successful degree have not been fulfilled.
- (2) <sup>1</sup>The application to admission for the doctoral suitability test is to be made in writing via the faculty administration to the doctoral committee. <sup>2</sup>The application is to include the documents and declarations listed in § 11 Para. 2. <sup>3</sup>Furthermore, the applicant must declare, in writing, whether they have already undertaken a doctoral suitability test and if so, what the result was. <sup>4</sup>The **FPromO** can provide for a requirement to submit further documents of declarations.
- (3) <sup>1</sup>The doctoral committee decides who is admitted to the doctoral suitability test. <sup>2</sup>Admission is to be refused if the applicant does not fulfill the admission requirements set out in Para. 1, or the documents and declarations in Para. 2 are not complete.
- (4) If, after being admitted to the doctoral suitability test, the applicant withdraws from it, it counts as not passed unless the applicant asserts and demonstrates in writing that this is due to reasons beyond their control, and the doctoral committee accepts this.
- (5) If a doctoral suitability test is not passed or counts as not passed, it can be retaken once.

## **§ 11** **Acceptance as doctoral candidate**

- (1) <sup>1</sup>The doctoral committee decides on acceptance as a doctoral candidate. <sup>2</sup>An applicant is accepted when the prerequisites according to § 9 are fulfilled or the doctoral suitability test is passed, and there are no grounds to withhold acceptance. <sup>3</sup>Acceptance as a doctoral candidate is a prerequisite for admission to the doctoral process (§ 16).
- (2) <sup>1</sup>The applicant has to make a written application for acceptance as a doctoral candidate indicating the proposed doctoral project (subject, working title, synopsis) and supervisor(s). This doctoral application is to be sent via the faculty administration to the chair of the relevant doctoral committee. <sup>2</sup>The application is to include the following details and documents:
1. a resume in the German or English language, giving particular details of the applicant's education; the FPromO may allow resumes in other languages;
  2. where appropriate, documentation of qualification for admission to institutions of higher education;

3. documentation of the fulfilling of the prerequisites named in § 9 Para. 2; the successful degree in the subject is to be shown via degree certificate, diploma, where appropriate diploma supplement, transcript of records and/or student course record book;
4. documentation of all further academic, state or church degrees and examinations taken;
5. a declaration that there are no academically relevant offenses or previous convictions;
6. a report of earlier doctoral process undertaken by the applicant including, in particular, declarations about
  - a) whether a doctoral examination for the doctoral degree has already been passed,
  - b) whether a doctoral process for the same doctoral degree has been applied for but not yet completed at another faculty or university,
  - c) whether the doctoral project has been presented in another examination process which was conclusively failed, whether presented in the same or a different form; for earlier or other doctoral attempts, the place, time, institution of higher education, and the title of the dissertation are to be given;
7. a signed supervision agreement in the sense of § 13 Para. 3 Clause 4.

<sup>3</sup>The FPromO can stipulate that further documents are to be submitted; it can also give further details of how the doctoral project in Clause 1 is to be presented.

- (3) If the applicant cannot provide the documents in accordance with Para. 2 in the way prescribed through no fault of their own, the doctoral committee may allow the applicant to give proofs in another manner.
- (4) Admission is to be withheld should
  1. the documentation in accordance with Para. 2 be incomplete and it not be possible to give proofs in another way in accordance with Para. 3;
  2. the subject of the doctoral project not be represented at the faculty applied for by a person qualified to conduct doctorates;
  3.
    - a) the applicant already have the doctoral title applied for;
    - b) the applicant have applied for a doctoral process for the same doctoral title at another faculty or university which is not yet completed;
    - c) the doctoral project have already been presented in another examination process which was conclusively failed, whether presented in the same or a different form;
  4. the conditions of Art. 101 Clause 1 BayHIG for the revocation of the doctoral degree be fulfilled.
- (5) An applicant can be provisionally accepted in the following cases:
  1. If Judgment has not yet been reached on the equivalence of qualifications, but a positive response from the Central Office for Foreign Education Systems or the relevant doctoral committee is to be expected, acceptance can be provisionally granted before the final decision on equivalence under the condition that the degree is then recognized as equivalent. If the equivalence of the degrees is not recognized, then the conditional acceptance is retroactively canceled.
  2. In cases of § 9 Para. 2 No. 1 Clause 2 letter c.
  3. If the faculty carrying out the doctorate provides for a qualification measure with the character of an examination (§ 14) for the doctoral phase.
- (6) If the FPromO provides for the possibility of provisional acceptance under further conditions, the fulfillment of such conditions as the completion of additional courses or examinations should, as a basic principle, take no longer than one year.

- (7) The doctoral committee should make a decision on an applicant's application within two months at the latest.
- (8) The final notification (where appropriate confirmation of the fulfillment of the conditions) is to be sent in writing, and, when positive, also contain notification of the appointment of the supervisors.
- (9) <sup>1</sup>If, two years after acceptance as a doctoral candidate, no progression of the work can be detected, the doctoral committee can, in agreement with the supervisors, revoke the acceptance. <sup>2</sup>Before such a decision is taken, the doctoral candidate is given the opportunity to make a statement. <sup>3</sup>If the applicant objects to the revocation, the doctoral committee sets a reasonable deadline for the submission of the dissertation or documentation of the progression of the work. <sup>4</sup>If the doctoral project is not pursued, the faculty revokes the acceptance as a doctoral candidate and informs those involved in the doctoral project. <sup>5</sup>A discontinuation of a doctoral project before admission to the doctoral process (§ 16) is not to be evaluated as not passing the process.

## **§ 12**

### **Data acquisition, enrollment**

- (1) The acceptance is to be recorded centrally in a standardized manner in accordance with the stipulations of the law on statistics for higher education (HStatG).
- (2) <sup>1</sup>The doctoral candidate may, immediately after acceptance and within the enrollment deadline, register as a doctoral student in accordance with Art. 94 Para. 3. Clause 1 No. 3 BayHIG, submitting such further documentation as may be necessary for this. <sup>2</sup>The faculty or graduate school is to be informed of the enrollment. <sup>3</sup>A termination of enrollment in accordance with Art. 94 Para. 3 Clause 2 BayHIG has no effect on the acceptance of the doctoral candidate or the further progress of the doctorate.

## **III. The doctoral process**

### **§ 13**

#### **Supervision**

- (1) The dissertation is prepared under the supervision of a supervisor (single supervision) or several persons with the right to supervise (multiple supervision).
- (2) <sup>1</sup>Alongside the direct imparting of subject and methodological understanding, the supervision is primarily about supervising the progress of the doctorate. <sup>2</sup>This includes:
1. detailed advice on delimitation of the doctoral topic, academic relevance and estimating risk;
  2. support on structuring the content and timing of the doctoral phase so it has a reasonable time-frame;
  3. monitoring the doctoral candidate's research process;
  4. giving feedback on the state of the doctoral candidate's research and the results obtained;
  5. discussion on further research planning;
  6. imparting and monitoring good academic practice;
  7. support in induction into the national and international academic community;
  8. advice on sensible qualifications and suitable professional career steps.
- <sup>2</sup>The supervisors bear in mind the general conditions for carrying out the doctoral project. <sup>3</sup>The measures determined by the supervision agreement may not have the character of an examination.
- (3) <sup>1</sup>Before the commencement of the supervision, the supervisor(s) and doctoral candidate must clarify their motives, aims and expectations. <sup>2</sup>The extent of the supervision and its suitable form, and the respective rights and responsibilities of the parties are to be laid down in writing in a supervision agreement, and are to be updated throughout the course of the doctorate. <sup>3</sup>The supervision agreement takes into account the different traditions of the subjects and the different situations of doctoral candidates (family obligations, professional occupations) and formulates concrete expectations based on these. <sup>4</sup>A "supervision agreement for qualification projects at Universität Regensburg" that fulfills the requirements for doctorates must contain at least the following points (a template is contained in Appendix 1):
1. name of the supervisor(s);
  2. obligation to present a provisional schedule at the start of the doctoral phase;

3. obligation to present a certificate or proof of participation in a training course on good academic practice in accordance with Universität Regensburg's current Regulations for Ensuring Good Academic Practice at the beginning of the doctoral phase;
4. where applicable, specification of a qualification plan or recommendations for preparation for the career aimed;
5. details on the type of financing of the doctoral project (private, third-party funds, stipend, position available for researchers working toward academic qualification);
6. regulation of regular project-related discussion;
7. content which the **FPromO** wants taken into account;
8. regulation on dissolution of the supervision agreement.

<sup>5</sup>The supervision agreement is to be signed by all supervisors and the doctoral candidate; this also applies when there is a change of supervisor. <sup>6</sup>A copy of the agreement and every update to it will be kept in the doctoral file in the relevant faculty administration.

- (4) <sup>1</sup>The doctoral candidate can, in justified cases, apply for a change of supervisor in writing to the doctoral committee. <sup>2</sup>The doctoral committee decides on appointing a new supervisor and informs the doctoral candidate and the previous and future supervisors.
- (5) The supervision ends either with the successful conclusion of the doctoral project or the dissolution of the supervision agreement as regulated by the supervision agreement itself.

## § 14 Colloquium

- (1) <sup>1</sup>The FPromO can provide for the doctoral candidate completing a colloquium as a further qualification step during the doctoral process, in addition to the written dissertation (§ 15) and oral examination (§ 19). <sup>2</sup>The colloquium should ensure that the doctoral candidate is conversant with the state of research in their discipline and can contextualize the topic of the dissertation in a wider academic context.
- (2) <sup>1</sup>The colloquium should take place twelve months before the submission of the dissertation, at the latest. <sup>2</sup>The doctoral committee may, upon application by the doctoral candidate, allow a deviation from this deadline.
- (3) <sup>1</sup>The colloquium is open to all members of the university and generally consists of a lecture (talk, presentation) by the candidate on fundamental subject-specific or methodological questions relating to their dissertation topic, followed by an academic discussion. <sup>2</sup>It takes place between the candidate, the supervisors and further members of the doctoral committee.
- (4) <sup>1</sup>The colloquium is passed should the examiners determined by the doctoral committee, generally the supervisors, confirm this on the basis of the lecture and discussion. Otherwise it is not passed. <sup>2</sup>The colloquium counts as taken and not passed should the doctoral candidate not turn up at the appointed date and time, unless the examination has been missed for reasons beyond the candidate's control. The reasons are to be asserted and supported by the candidate without delay.
- (5) <sup>1</sup>If a candidate does not pass the colloquium, they may make one more attempt. <sup>2</sup>A second retake is precluded. <sup>3</sup>Not passing the colloquium ends the doctoral process.

- (6) The FPromO gives further detailed regulations on the form, extent and progression of the colloquium.

## **§ 15** **The dissertation**

- (1) The dissertation is to show the ability of the doctoral candidate to complete academic work independently and clearly present the results. It must make a new and advanced academic contribution.
- (2) <sup>1</sup>The FPromO regulates whether, and under what conditions a series of publications (cumulative doctorate) or other written work, for example a joint dissertation, may be submitted instead of a monograph. <sup>2</sup>Minimum standards are to be given relating to the questions raised, the number of articles, the publication media, the role of the author and the state of the publication. <sup>3</sup>In addition, the requirements for the content-related exposition and the structure of the compilation should be defined. <sup>4</sup>For cases of split first-authorship or coauthorship, it must be determined, in accordance with § 8 of the UR Regulations for Ensuring Good Academic Practice, what extent of authorship must be attributable so that an article can be recognized in a cumulative dissertation.
- (3) <sup>1</sup>One's own work which has already been used for qualification purposes may not be submitted as the dissertation. <sup>2</sup>The advance publication of parts of the work intended to be part of the dissertation is allowed insofar as this is indicated at the start of the doctoral process, and cited correctly and attested in the dissertation. <sup>3</sup>When publishing in advance of the dissertation, the doctoral candidate is responsible that the contractual agreement with regards to copyright law does not conflict with publication in a doctoral process; the doctoral committee can demand documentation of the fulfillment of this obligation.
- (4) <sup>1</sup>If an industrial doctorate takes place in a company, it is important that an academically qualified contact person in the company is named and made available for the university supervisor. <sup>2</sup>The UR Regulations for Ensuring Good Academic Practice are to be heeded. <sup>3</sup>The FPromO contain detailed regulations.
- (5) <sup>1</sup>The dissertation is generally written in the German or English language. <sup>2</sup>It may, in accordance with the FPromO, also be written in another language. <sup>3</sup>Here, it must be ensured that the text can be evaluated and that this evaluation is presented in German or English.
- (6) <sup>1</sup>The dissertation is written in a printable form, has page numbering and is submitted as a bound copy. <sup>2</sup>The dissertation is to contain a table of contents, title and synopsis or abstract. <sup>3</sup>The title page (see the template in the appendix) must detail: the institution in which the dissertation was prepared and the supervision, and which academic degree is aimed for. <sup>4</sup>A foreign language dissertation is also to be provided with a German or English title. <sup>5</sup>A dissertation written in a language other than German or English is to contain a synopsis or abstract in German or English. <sup>6</sup>The synopsis or abstract describes the question raised in the project, the methods used and the research results of the doctoral candidate, and discusses these results within the framework of current research on the topic of the dissertation. <sup>7</sup>The literature used and other resources are to be fully detailed.

**§ 16**  
**Admission to the doctoral process**

- (1) Admission to the doctoral process requires acceptance as a doctoral candidate in accordance with § 11 Para. 1 Clause 3.
- (2) <sup>1</sup>The application for admission to the doctoral process is to be submitted to the chair of the doctoral committee in writing. <sup>2</sup>The application must contain the designation of the doctoral degree aimed for and the title of the dissertation. <sup>3</sup>The application must contain the following documents:
1. at least three printed and bound copies of the dissertation and an identical electronic version which can be read and searched;
  2. an up-to-date resume;
  3. a complete and current list of all the author's academic publications;
  4. a declaration that there are no academically relevant offenses or previous convictions;
  5. documentation of the completion of the qualification measures set out in the supervision agreement;
  6. when acceptance as a doctoral candidate was conditional (§ 11 Para. 5 and 6), documentation that the conditions have been fulfilled;
  7. an affirmation in lieu of an oath that the dissertation and its documented academic content has been completed independently and without impermissible aid from third parties (see the template in Appendix 3);
  8. a declaration that the printed version of the dissertation is identical with the electronic version;
  9. a declaration that
    - a) where appropriate, transparency and strict honesty relating to the contribution of cooperating partners and persons who have been involved in the project has been maintained; and
    - b) additional rules existing in individual subject areas have been suitably taken into account;
  10. a declaration that the doctoral candidate recognizes that the doctoral degree may only be used after the diploma is handed out and that the rights obtained expire should the dissertation not be published properly, including the submission of the obligatory copies in good time;
  11. a declaration of whether the doctoral degree should be awarded in its masculine or feminine form and in German or Latin.
- <sup>4</sup>The FPromO can stipulate that further documents or declarations must be submitted. <sup>5</sup>This includes, for example, declarations of the part of authorship attributable to the candidate in cases of split authorship in accordance with § 8 of the UR Regulations for Ensuring Good Academic Practice.
- (3) <sup>1</sup>The doctoral committee decides on admission, generally within two months. <sup>2</sup>The doctoral candidate is to be informed of the decision in writing.
- (4) Admission to the doctoral process can be withheld if
1. the documents required in Para. 2 are incomplete or not correct;
  2. a reason for withholding admission in accordance with § 11 Para. 4 arises subsequently or already exists;
  3. the rules of good academic practice have not been observed.
- (5) The application for admission can be withdrawn by the doctoral candidate in writing if they have not received a decision on admission.



## § 17 Evaluation of the dissertation

- (1) <sup>1</sup>After determination that the admission requirements have been fulfilled, the chair of the doctoral committee or the dean appoints two referees for the dissertation, taking into consideration the suggestion of the doctoral candidate. <sup>2</sup>When appointing the referees, any concerns about conflicts of interest in accordance with § 7 Para. 2 of the UR Regulations for Ensuring Good Academic Practice must be taken into account. <sup>3</sup>The doctoral committee must withdraw the appointment should the referee not fulfill the preconditions for the appointment or should they fail to be fulfilled at a later date. <sup>4</sup>The doctoral committee can also withdraw an appointment as referee by showing good cause. <sup>5</sup>The decision to withdraw an appointment is given in writing showing cause. The referee is to be heard before the decision is made.
- (2) <sup>1</sup>The referees judge the dissertation independently in written referee's reports and recommend acceptance or rejection. <sup>2</sup>The referee's reports should be presented within three months. The **FPromO** can shorten this deadline. <sup>3</sup>The referees reports can contain guidance on possible editing and changes that are necessary before publication of the dissertation.
- (3) <sup>1</sup>The referees suggest a grade for the dissertation (and its acceptance or rejection) in accordance with the following scale:
- "summa cum laude" (0) = excellent = an outstanding dissertation;
  - "magna cum laude" (1) = incredibly good = a dissertation deserving particular recognition;
  - "cum laude" (2) = good = an above average dissertation;
  - "rite" (3) = satisfactory = a dissertation meeting the average requirements;
  - "insufficenter" (4) = inadequate = a dissertation with significant problems, overall insufficient
- <sup>2</sup>If there is a faculty-specific grading scale, it will be regulated by the FPromO. <sup>3</sup>The FPromO can also provide for differentiated evaluation of the individual grades by raising or sinking them by 0.3; grades below 4.0 are not awarded.
- (4) <sup>1</sup>The chair of the doctoral committee or dean will appoint a further referee if
1. both referees recommend the grade "summa cum laude",
  2. the dissertation is rejected by one or both referees,
  3. the grades recommended differ by more than one grade.
  4. this is deemed necessary for subject-related reasons by both referees or the doctoral committee.
- <sup>2</sup>The FPromO can regulate further cases in which an additional referee's report will be required. <sup>3</sup>The additional referee's report can be designated a head referee's report which compares the existing referee's reports, with reference to the dissertation, for plausibility. <sup>4</sup>The FPromO gives further regulations on the procedure when an additional referee is appointed.
- (5) A dissertation may only be awarded the examination grade "summa cum laude" if the following conditions are met:
1. The dissertation is characterized by a high degree of originality and academic maturity.
  2. A further referee agrees with the unanimous evaluation of the original two referees. The FPromO regulates further requirements of these referees' reports.
- (6) <sup>1</sup>The FPromO can provide for another option beyond acceptance or rejection of the dissertation, namely that, should both referees recommend it, the chair of the doctoral committee returns the dissertation to the doctoral candidate to make improvements. <sup>2</sup>Should only one referee suggest

returning the dissertation, the doctoral committee decides on the outcome. <sup>3</sup>One copy of the returned dissertation and the electronic version remain in the doctoral file.

- (7) <sup>1</sup>If the returned dissertation is resubmitted, the process is based on paragraphs 2 on. <sup>2</sup>Every referee must review the dissertation again and suggest acceptance or rejection; a further return of the dissertation for editing is precluded. <sup>3</sup>If the doctoral candidate does not resubmit the dissertation within one year, it counts as rejected.

## **§ 18**

### **Steps taken after acceptance or rejection**

- (1) <sup>1</sup>After all the referee's reports have been received, the dissertation and the referee's reports are to be displayed in the faculty administration for at least 14 days during the lecture period or 28 days during the lecture-free period. <sup>2</sup>They should also be electronically displayed; in this case, suitable measures are to be taken to protect the dissertation and further documents in accordance with Clause 1 from unauthorized access and dissemination. <sup>3</sup>Members of the faculty or institution carrying out the doctorate who are eligible to take part in the process are notified in writing or electronically of the place and time of the display. <sup>4</sup>Those notified have the right to make a written justified statement during the display period.
- (2) <sup>1</sup>After the display has finished, the doctoral committee decides on the acceptance or rejection of the dissertation. <sup>3</sup>Statements made in accordance with Para. 1 Clause 4 are to be taken into account appropriately.
- (3) <sup>1</sup>If the referees unanimously recommend the acceptance of the dissertation, it is to be accepted unless a written justified statement in favor of rejection is given by one of those eligible to take part (§ 5 Para. 7) within the display period.
- (4) <sup>1</sup>If no statement recommending rejection is given during the display period, then the dissertation is awarded the grade obtained as the arithmetic mean of the two individual grades rounded to two decimal places.
- (5) <sup>1</sup>If a statement recommending rejection is given, then the doctoral committee decides whether the dissertation should be accepted or rejected. <sup>2</sup>The doctoral committee can obtain further evaluations before making its decisions. <sup>3</sup>In this case, the FPromO regulates the calculation of the grade and further steps.
- (6) <sup>1</sup>The chair of the doctoral committee informs the doctoral candidate without delay about the acceptance of the dissertation and determination of the grade. <sup>2</sup>After this, the candidate is to be allowed access to the referee's reports. <sup>3</sup>The doctoral process continues in accordance with § 19 when the dissertation is accepted.
- (7) <sup>1</sup>If the doctoral committee rejects the dissertation, then the doctoral process is ended with the result not passed. <sup>2</sup>The doctoral candidate is informed of the rejection by the chair of the doctoral committee without delay. <sup>3</sup>A rejected dissertation, together with all referee's reports remains in the faculties files and is registered.

## § 19 The oral examination

- (1) <sup>1</sup>In the oral examination, the doctoral candidate should demonstrate their fundamental academic training and ability to discuss academic problems within their area of expertise. <sup>2</sup>The examination should take place three months after the acceptance of the dissertation at the latest.
- (2) <sup>1</sup>The appointed date and time for the examination is decided by the chair of the doctoral committee. <sup>2</sup>They invite the doctoral candidate in writing 14 days before the examination starts at the latest. <sup>3</sup>The invitation is made subject to change in the composition of the commission or scheduling due to reasons such as illness.
- (3) <sup>1</sup>The chair of the doctoral committee appoints the persons listed in § 4 Para. 6 to the examination board. <sup>2</sup>It is possible to appoint replacements in advance.
- (4) <sup>1</sup>The examination date and time will be made public in the faculty. <sup>2</sup>The FPromO can allow a larger selection of people in the audience. <sup>2</sup>In special cases, an oral examination made be made open to all members of the university via video conference, or restricted. This decision is made by the doctoral committee. <sup>3</sup>The provisions of § 20 Para. 3 apply. <sup>4</sup>The advice of the examination board and the examination result are not made public. <sup>5</sup>The recording, saving or other reproduction of the examination with pictures or sound is prohibited.
- (5) <sup>1</sup>The oral examination generally takes place in the German or English language. <sup>2</sup>The FPromO may allow further foreign languages.
- (6) <sup>1</sup>The FPromO determines in which form, disputation or rigorosum, the examination takes place. <sup>2</sup>The FPromO determines the type, duration and further details of the examination.
- (7) In a disputation, every examiner awards a grade, whereas in a rigorosum, a grade is recorded for every subject, in accordance with § 17 Para. 3.
- (8) <sup>1</sup>A record of the oral examination is kept. <sup>2</sup>It contains the place, time and duration of the examination; its subject matter and result (including the grade of the dissertation and the overall grade of the doctorate); the names of the examiners and where necessary the observers, and the candidate; and any special incidents. <sup>3</sup>If audio-visual telecommunication aids are used to carry out the examination as an electronic remote examination in accordance with § 20, the record notes this. <sup>4</sup>The record is signed by the person keeping it and the examiners.
- (9) <sup>1</sup>The oral examination is passed if the candidate, in accordance with the regulations of FPromO, obtains the evaluation "rite" or "sufficient" in every part of the oral examination. <sup>2</sup>The overall grade of the oral examination is the arithmetic mean of the individual grades. <sup>3</sup>If one of the examiners evaluates the oral performance with the grade "insufficenter", then the examination board determines, by majority vote, whether the examination has been passed. <sup>4</sup>If the exam is determined to be passed, then the oral examination is evaluated with the overall grade 4.0.
- (10) The oral examination is not passed when at least two examiners award the grade "insufficenter".
- (11) <sup>1</sup>If the candidate declares their withdrawal from the examination after it has started for reasons attributable to him or herself, or misses the whole examination or part thereof for reasons attributable to him or herself should the examination have several parts, then the examination

in question is considered not passed. <sup>2</sup>The reasons invoked for withdrawal or non-attendance must be detailed in writing and sent with documentation to the chair of the examination board without delay. <sup>3</sup>For non-attendance this generally means before the start of the examination, for withdrawal, before the end of the oral examination (with a note being made in the record of the examination). <sup>4</sup>If the candidate is unable to take the examination due to illness, then a medical certificate is to be presented, which as a basic principle is to be based on a medical examination which takes place on the day of the inability to take the exam invoked. <sup>5</sup>In case of doubt, an official medical certificate can be demanded. <sup>6</sup>If the doctoral committee accepts the reasons, then the legal consequences from Clause 1 are not triggered, and a new date and time will be appointed for the examination.

- (12) <sup>1</sup>Following the oral examination, the chair of the examination board ascertains the overall grade of the oral examination and informs the candidate. <sup>2</sup>If the oral exam counts as not passed, then the chair of the doctoral committee informs the candidate in writing including the information that the examination may be retaken once within one year (§ 24).

## **§ 20**

### **The use of audio-visual telecommunications media; electronic remote examinations**

- (1) <sup>1</sup>The oral examination be carried out using audio-visual telecommunications media, in accordance with the regulations in Para. 2 to 4, or, in exceptional cases also as an online remote examination, in accordance with Para. 5. <sup>2</sup>This is decided by the examination board in agreement with the doctoral committee.
- (2) <sup>1</sup>In agreement with the candidate, examiners can attend the oral examination via video conferencing. <sup>2</sup>The agreement is to be granted before the examination in writing, and it to be included in the examination documents. <sup>3</sup>As a basic principle, the majority of the examination board must be present in the examination room.
- (3) <sup>1</sup>Suitable technical measures are to be taken to ensure that the transmission procedures used will provide for communication between all those taking part in the examination, with both sound and vision; in particular, it must be ensured that the member who is physically located elsewhere is able to perceive the progression of the examination, the candidate and other persons taking part in the examination. <sup>2</sup>The use of transmission processes which make the proceedings public to a greater extent than provided for by these RPromO or the FPromO are impermissible. <sup>3</sup>The transmission should be protected from access by unauthorized persons by suitable technical processes.
- (4) <sup>1</sup>Oral examinations in accordance with these regulations can generally only take place in suitable rooms at Universität Regensburg or the University Hospital so as to ensure the necessary infrastructure. <sup>2</sup>The member of the examination board who is not physically present should remain in an environment with the technical infrastructure corresponding with that available at Universität Regensburg, at a minimum, for the duration of the examination. <sup>3</sup>Before the start of the oral examination, the identification of the member of the examination board who is not physically present will take place.
- (5) Carrying out the oral examination as an electronic remote examination is governed by the following regulations: Ordnung für die Durchführung von elektronischen Prüfungen (e-Prüfungen) und Prüfungen im Antwort-Wahl-Verfahren sowie von Online-Distanzprüfungen (elektronische

Fernprüfungen) und weiteren alternativen Prüfungsformaten als Ersatz für Präsenzprüfungen an der Universität Regensburg (Rahmenprüfungsordnung) in the version in force at the time, on the basis of the Bavarian regulations (Bayerischen Fernprüfungserprobungsverordnung, BayFEV).

## § 21

### Overall grade of the doctorate, announcement of the examination result

- (1) <sup>1</sup>The doctoral examination is passed when the dissertation is accepted and the oral examination is passed, <sup>2</sup>The chair of the examination board determines the overall grade of the doctorate. <sup>3</sup>This is calculated as the weighted arithmetic mean, with the grade for the dissertation having weight two and the grade for the oral examination having weight one; only two decimal places are used, even for interim results. <sup>4</sup>The overall grade is determined according to this mean via the following schema

0.00 = summa cum laude  
from 0.01 to 1.50 = magna cum laude  
from 1.51 to 2.50 = cum laude  
from 2.51 to 3.50 = rite

<sup>5</sup>The **FPromO** can set out different weighting, different means of dealing with decimal places, and another grading scale.

- (2) <sup>1</sup>Within four weeks of the determination of the overall grade of the doctorate, the candidate is sent a provisional grade certificate dated with the date of the last examination taken, by the chair of the doctoral committee. <sup>2</sup>This contains the overall grade, the grade of the dissertation and the grade of the oral examination; it does not entitle the holder to use the doctoral title.

## § 22

### Conclusion of the doctoral process, publication, obligatory submission of copies

- (1) After passing the oral examination, the candidate is required to make the dissertation available to the scientific community by duplication and distribution, and to bear the costs of this themselves.
- (2) The publication must be marked as a dissertation of Universität Regensburg and contain the details of the referees and date of the oral examination.
- (3) The version published must be that accepted by the referees and the doctoral committee, taking into consideration all requirements; it can also consist of several sequential parts.
- (4) <sup>1</sup>The publication is carried out by submitting the following obligatory copies of the dissertation and using one of the following publication formats:
- 1 five printed copies, should the complete work, marked as the dissertation, be published as a book with an ISBN by a publisher and the publisher confirms the minimum circulation of 150 copies or makes it available as a permanently available e-book; or
  2. three printed, bound copies of a dissertation published digitally on the publication server of the University Library; in this case, the candidate transfers the university the right to copy the work, provide it in data networks and convert it to other formats as part of its statutory duties.
- <sup>2</sup>In any case, one printed copy of the dissertation remains in the Universität Regensburg files.
- <sup>3</sup>The **FPromO** may set out alternative publication rules.

- (5) <sup>1</sup>If it is a cumulative dissertation, the individual parts which have been accepted for publication and which have already been printed or appeared in electronic journals are excepted from the publication obligations of Para. 1. <sup>2</sup>The accompanying texts giving the introduction, context of the publications and/or classification of the results in the academic context must be published alongside citations to the individual publications.
- (6) <sup>1</sup>The publication and provision of obligatory copies should be completed within two years of the day the oral examination was passed. <sup>2</sup>The **FPromO** can allow the extension of this deadline. <sup>3</sup>If the candidate does not meet the deadlines set out in the **FPromO**, the doctoral committee decides on the loss of all rights gained by the examination.
- (7) <sup>1</sup>The competent doctoral committee may also consider the requirements of Para. 1 as fulfilled if there is a delay of the dissertation becoming publicly available due to a registration process under patent law or publication in an academic journal. <sup>2</sup>A condition for this is that the time at which the dissertation will become, at the latest, publicly available is due to a restriction notice, and that the publication can be independently published by the University Library. <sup>3</sup>A candidate and supervisor can apply for a restriction notice lasting one year using the form provided by the university and submitted to the competent doctoral committee; one-year extensions can be granted; the maximum total length of a restriction notice is five years. <sup>4</sup>The grant is to be submitted with the publication contract to the University Library. <sup>5</sup>The **FPromO** includes detailed regulations here.

### § 23

#### Diploma and conferring the doctorate

- (1) <sup>1</sup>After all the obligations have been fulfilled, the doctorate will be conferred to the candidate by issuing the doctoral diploma. <sup>2</sup>The issuing of the diploma confers to the doctoral graduate the right to use the doctoral title; the right to temporary provisional use of the title is in accordance with Para. 4.
- (2) <sup>1</sup>The doctoral diploma (see the template provided in **Appendix 4**) confirms the successful doctorate, giving the title of the dissertation, the date of the oral examination and the overall grade. <sup>2</sup>It is signed by the dean of the faculty carrying out the doctorate. <sup>3</sup>In other respects, the **FPromO** regulates the form and content of the doctoral diploma. <sup>4</sup>It can provide for the provision of a certificate in addition to the diploma.
- (3) <sup>1</sup>The doctoral diploma is prepared in the German language, or, at the request of the candidate, in Latin. <sup>2</sup>Universität Regensburg includes an English-language copy of the doctoral diploma and an additional description (diploma supplement) which must contain the qualification gained by the degree and the university conferring it.
- (4) <sup>1</sup>Upon application, the doctoral committee can confer the right to use the title temporarily if the candidate can show a valid contract with a publisher. <sup>2</sup>A temporary certificate is created for this purpose. <sup>3</sup>This certificate can be extended if good cause is demonstrated. <sup>4</sup>This cause is to be asserted and supplied with supporting documentation by the candidate.

### § 24

#### Retaking the doctoral examination

- (1) <sup>1</sup>If the dissertation is rejected and thus not passed, the doctoral candidate may once, within two years of the notification of the rejection, make a new application for admission by submitting a new dissertation. <sup>6</sup>If the candidate does not submit a new dissertation for reasons attributable to themselves, or the new dissertation is rejected, then the doctoral process ends conclusively without success. <sup>3</sup>A second retake is impermissible.
- (2) <sup>1</sup>If the oral examination is not passed or counts as not passed, then, upon application within one year, it can be retaken once. <sup>2</sup>The application for admission to the retake is to be submitted to the chair of the doctoral committee within one month of the notification that the first was not passed. <sup>5</sup>Upon justified application by the candidate, the doctoral committee can shorten or lengthen the deadline for retaking. <sup>6</sup>The **FPromO** can set differing retake deadlines.
- (3) <sup>1</sup>If the candidate does not submit an application to retake within the deadline named in Para. 2 Clause 1 or the retake of the oral examination is also not passed, then the doctoral process ends conclusively without success. <sup>2</sup>A second retake is impermissible.
- (4) A voluntary retake of the dissertation or oral examination is not permitted.

## **§ 25 Procedural deficiencies**

- (1) Deficiencies in the doctoral process must be lodged with the chair of the doctoral committee without delay.
- (2) If the oral examination process turns out to have contained deficiencies which might have influenced the examination results, upon request from a candidate or instituted ex officio, it is to be directed that the examination or individual parts thereof are retaken.

## **§ 26 Inspection of examinations**

<sup>1</sup>The candidate has the right to view the examination material following the conclusion of the doctoral process. <sup>2</sup>The **FPromO** can regulate further detail on how this proceeds.

## **IV. Invalidity, revocation and withdrawal of the doctoral degree**

### **§ 27 Cheating, invalidity of doctoral performance**

- (1) Should the prerequisites for admission to the doctorate not be fulfilled, without the applicant wishing to deceive, and should this only become known afterwards, then this flaw is remedied by the passing of the doctoral examination.
- (2) <sup>1</sup>If, before the doctoral diploma is issued, it becomes clear that the prerequisites for admission to the doctoral process were not fulfilled or that the candidate has cheated in the preparation of the dissertation or that the rules of academic work have been seriously broken, the doctoral committee declares the examination not passed (cf. § 10 to 12 of the UR Regulations for Ensuring Good Academic Practice). <sup>2</sup>Before the decision is made, the applicant is given the opportunity to make a statement.

- (3) <sup>1</sup>If it becomes clear after the fact that the prerequisites for admission to the doctoral process were not fulfilled due to the untruthful or incomplete information given by the candidate, or that the candidate used impermissible aids when writing the dissertation or at the oral examination, or that other cheating or other serious breach of the rules of academic work have taken place, the faculty board can declare the doctoral title invalid retroactively.
- (4) Insofar as an examination is not passed due to a decision made under Para. 3, and the doctoral title is declared invalid, the doctoral diploma is to be recovered.
- (5) Suspicion of academic misconduct is dealt with in accordance with the UR Regulations for Ensuring Good Academic Practice.
- (6) The revocation of the doctoral degree is governed by Art. 48 BayVwVfG.

**§ 28**  
**Revocation of a doctoral degree**

Art. 101 BayHIG governs the revocation of a doctoral degree.



## **V. Doctorates in cooperation with universities of applied sciences and art colleges**

### **§ 29**

#### **Cooperative doctoral processes and consortial doctorates**

- (1) <sup>1</sup>Professors from universities of applied sciences and art colleges can be named as supervisors and examiners in a cooperative doctorate (Art. 97 Para. 1 Clause 5 BayHIG). <sup>2</sup>Supervising a doctoral project requires the doctoral committee to determine, in advance, that the doctoral project will have subject-specific and continual support. <sup>3</sup>The **FPromO** can contain further regulations on cooperative doctorates.
- (2) <sup>1</sup>Para. 1 applies similarly for consortial doctorates. <sup>2</sup>Further details are set out in a cooperation agreement.
- (3) All the decisions to be made and measures in the aforementioned procedures must be in keeping with Universität Regensburg being an agency of doctoral law.

## **VI. Doctorates within the framework of joint supervision with a university or institution abroad (Cotutelle)**

### **§ 30**

#### **Joint supervision of doctoral project (Cotutelle)**

- (1) <sup>1</sup>The doctoral degree can also be awarded within the framework of joint supervision with an academic institution abroad that has the right to confer doctorates (partner institution) (Cotutelle). <sup>2</sup>The requires that:
1. A cooperation agreement on cross-border co-supervision of the double doctorate project has been signed with the foreign university / faculty which regulates
    - a) an at least six-month stay at the partner institution;
    - b) joint supervision;
    - c) as far as possible, parity in the composition of the examination board;
    - d) the grade equivalence of the individual grades for the doctoral activities (§ 31 Para. 1 Clauses 5 and 6 are to be heeded); and
    - e) the naming of the partner institutions involved on the doctoral diploma or reciprocal referencing for individual diplomas.
  2. Acceptance to a doctoral program both at Universität Regensburg and at the university / faculty abroad.
- (2) <sup>1</sup>If there is a cooperative project between several international institutions, then supervision and carrying out a doctoral process with several partner institutions is also possible insofar as the conditions set out in Para. 1 are fulfilled for all partner institutions. <sup>2</sup>In particular, the concrete participation of the individual institutions in the process and the significant (procedural) regulations in place must be regulated explicitly in the agreement. <sup>3</sup>All the institutions involved must be included in the examination process.
- (3) All publications and contributions to meetings and conference which stem from the supervised dissertation have to include the universities involved as the authors affiliation.

## § 31

### General examination regulations for bi-national doctoral processes

- (1) <sup>1</sup>The dissertation is submitted to Universität Regensburg or the partner institution. <sup>2</sup>A dissertation which has already been submitted to another university and been either accepted or rejected may not be resubmitted. <sup>3</sup>The evaluations or grades are to be determined in accordance with the regulations of the institution to which the dissertation was submitted. <sup>4</sup>The other institution determines the grades which are equivalent in accordance with their own doctoral degree regulations. <sup>5</sup>Insofar as the partner institution does not award detailed grades for passes comparable to § 17 Para. 3 Clause 1 as part of its rules, but only evaluates them as "passed", detailed grades must be identified for Universität Regensburg. <sup>6</sup>The regulations on calculating the overall grade given in these regulations or the **FPromO** remain unaffected by the agreement.
- (2) <sup>1</sup>Upon application, the doctoral committee can determine that the dissertation may be submitted in the language of the country or the language of teaching of the university. <sup>2</sup>In this case, a detailed summary of the dissertation is to be submitted in German or English. <sup>3</sup>The referees' reports are to be submitted in English or German translation.
- (3) If the dissertation is rejected at one of the universities/institutions, then the joint process is ended, and the doctoral process will continue in accordance with the general provisions of the other university.
- (4) The agreement from § 30 Para. 1 Clause 2 No. 1 can determine that the oral examination is to take place at one or the other of the partner institutions in accordance with the regulations there.
- (5) The oral examination is conducted in German, English, and/or the language of the country or language of teaching of the partner university or institution.

## § 32

### Examination processes at Universität Regensburg

- (1) <sup>1</sup>When working on the doctorate, the candidate will be supervised by a professor or associate professor at Universität Regensburg and at the other university. <sup>2</sup>These doctoral degree regulations and the **FPromO** apply to the procedure. <sup>3</sup>Both supervisors are generally referees in the sense of § 17 Para. 1. <sup>4</sup>Further details of joint supervision is regulated in the agreement from § 30 Para. 1 Clause 2 No. 1.
- (2) <sup>1</sup>If the dissertation is accepted by the relevant faculty of Universität Regensburg, then it will be circulated to the other university/institute for approval on the continuation of the procedure. <sup>2</sup>If the other university approves of the continuation of the process, then the oral examination will take place at Universität Regensburg in accordance with § 19 irrespective of § 31 Para. 4.
- (3) The examination board for the oral examination can, in this case, alongside the supervisor from the other university/institution, also contain members of this university/institution who are authorized examiners in accordance with the regulations valid there.
- (4) If the dissertation has been accepted at Universität Regensburg but approval for the continuation of the process is rejected by the other university/institution, then the rules of § 31 Para. 3 apply.

### **§ 33**

#### **Examination processes at the partner institution**

- (1) <sup>1</sup>When working on the doctorate, the candidate will be supervised by a professor or associate professor at the other university and at Universität Regensburg. <sup>2</sup>The rules of the other university/institution apply to the process. <sup>3</sup>Both supervisors are generally referees in the sense of § 17 Para. 1. <sup>4</sup>Further details of joint supervision is regulated in the agreement from § 30 Para. 1 Clause 2 No. 1.
- (2) <sup>1</sup>If the dissertation is accepted by the relevant faculty of the other university/institute, then it will be circulated to Universität Regensburg for approval on the continuation of the procedure. <sup>2</sup>If the competent faculty of Universität Regensburg approves of the continuation of the process, then the oral examination will take place at the other university/faculty in accordance with the regulations in place there and § 19, irrespective of § 31 Para. 4.
- (3) The examination board for the oral examination should include the supervisor from Regensburg as an examiner.
- (4) If the dissertation has been accepted at the other university/institute but approval for the continuation of the process is rejected by the other Universität Regensburg, then the rules of § 31 Para. 3 apply.

### **§ 34**

#### **Diploma**

- (1) After carrying out a joint doctoral process, the faculty of Universität Regensburg carrying out the doctorate and the partner institution each issue a diploma in which it is made clear that both diplomas are only valid together.
- (2) <sup>1</sup>Instead of individual diplomas, a joint diploma certifying the conferring of the doctoral title can be issued which informs the reader that the doctorate took place under joint supervision. <sup>2</sup>It bears the signatures and stamps necessary to fulfill both these regulations and those of the partner institution.
- (3) The joint doctoral diploma indicates that the doctoral graduate has the right to use the German doctoral title in Germany and - where relevant - in the foreign country the doctoral title conferred there.
- (4) <sup>1</sup>Detailed arrangements for the individual diplomas or joint diploma are regulated in the agreement from arise from § 30 Abs. 1 Clause 2 No. 1. <sup>2</sup>The joint doctoral diploma should detail the equivalent evaluations of the partner universities involved, appropriately labeled.

### **§ 35**

#### **Publication, obligatory submission of copies**

<sup>1</sup>Regardless of whether the process takes place at Universität Regensburg (§ 32) or the partner university/institution (§ 33), the provisions of the particular university / partner institution and the agreement from § 30 Para. 1 Clause 2 No. 1 apply primarily for the duplication and publication of the dissertation, including the obligatory submission of copies. <sup>2</sup>The aims of the publication of the

dissertation are to be heeded and followed; the relevant faculty of Universität Regensburg can, therefore, make the creation of the doctoral diploma to be issued in accordance with § 34 notwithstanding Clause 1 dependent on the relevant duplication and publication requirements for the doctoral candidate in accordance with § 22.

## **VII. Honorary doctorates**

### **§ 36**

#### **Honorary doctorates**

- (1) Persons who have performed exceptionally academically, technically, medically or artistically and do not have a work relationship with Universität Regensburg can be granted, as a rare accolade, the title and dignity of an honorary doctorate ("doctor honoris causa", Dr. h. c.).
- (2) <sup>1</sup>An honorary doctorate requires an application with justification, supported by at least three-quarters of the professors of the faculty (or faculties if more than one faculty is involved in the application) carrying out the doctorate. <sup>2</sup>The application is to be submitted to the dean. <sup>3</sup>The application's justification is to detail the academic, technical, medical or artistic work on which the application is based. <sup>4</sup>It is to show why the work is exceptional. <sup>5</sup>Insofar as documentation of the work is available, these are to be provided. <sup>6</sup>An honorary doctorate based on other merits is impermissible.
- (3) The doctoral committee give their view on whether exceptional academic, technical, medical or artistic work has been shown, and, for this purpose, obtains at least two referee's reports from professors responsible for the subject area.
- (4) <sup>1</sup>If the doctoral committee decided that the prerequisites for an honorary doctorate are not fulfilled, the application will not be pursued. <sup>2</sup>If the doctoral committee supports the application, it is submitted to the faculty board(s) of the faculty or faculties carrying out the doctorate for a decision. The statement of the doctoral committee and the referee's reports are included in this submission.
- (5) The application is accepted if the majority of the member of the faculty board who are qualified to conduct doctorates vote for it, otherwise the application is rejected.
- (6) <sup>1</sup>The honorary doctorate is awarded at a ceremony by the handing over of the honorary diploma by the dean. <sup>2</sup>The diploma is to detail the special academic work of the person honored.

## **VIII. Final provisions**

### **§ 37**

#### **Entry into force and transitional arrangements**

- (1) <sup>1</sup>These regulations come into effect the day after their announcement. <sup>2</sup>Simultaneously, the honorary doctoral degree regulations at Universität Regensburg lose their validity.
- (2) <sup>1</sup>They apply for all doctoral candidates who are accepted to undertake doctorates after this date. <sup>2</sup>Doctoral candidates who were accepted before this time, can, upon written request to the doctoral committee, continue the doctoral process under these regulations; the written request is to

be submitted by the start of the doctoral process. <sup>3</sup>Doctoral candidates who have already been admitted to the doctoral process complete it under the previous rules of the relevant **FPromO**.

(3) Para. 2 applies only insofar as the relevant FPromO was already issued or aligned in pursuance of these RPromO; otherwise the previous FPromO alone is valid, however only until July 31, 2025, at the latest.

(4) Notwithstanding the previous paragraphs, these regulations are not valid for doctoral processes towards the awarding the academic degree Doctor of Theology (Dr. theol.); for this, only the doctoral degree regulations of the Faculty of Catholic Theology of Universität Regensburg from December 1, 2000, apply, in the version applicable at the time.

Issued on the basis of the decision of the Senate of Universität Regensburg from November 2022 and the approval of the President of Universität Regensburg given on January 16, 2023.

Regensburg, January 16, 2023  
Universität Regensburg  
President

Prof. Dr. Udo Hebel

This statute was laid down on January 16, 2023, in the university. It was announced with notices in the university on January 16, 2023. The promulgation date is, therefore, January 16, 2016.

**Appendix 1**  
**TEMPLATE FOR A SUPERVISION AGREEMENT**

**Supervision agreement**

(for application for acceptance as a doctoral candidate in accordance with § 11 Para. 2 Clause 2 No. 7 of the General Doctoral Degree Regulations of Universität Regensburg (Rahmenpromotionsordnung der Universität Regensburg))

.....(name of doctoral candidate) and  
Prof./PD Dr. .... (name of supervisor) and, if applicable,  
Prof./PD Dr. .... (name of second supervisor)

conclude the following agreement:

..... (name of doctoral candidate) intends to write a dissertation, at the  
Faculty of .....  
of Universität Regensburg in the subject ..... with the title:

.....  
.....

The following is agreed for this purpose:

- (1) The doctoral candidate will create, in consultation with the supervisor, a work plan and schedule within the first three months of their acceptance as a doctoral candidate. Insofar as significant changes are needed at a later date, the candidate will inform the supervisor in good time.
- (2) All parties keep in regular contact (once a semester where possible) about the progress and interim results.
- (3) Before the application for admission to the doctoral process in accordance with § 16 RPromO, the doctoral candidate must present their project at least once to the academic community (colloquium for doctoral students or academic conference).
- (4) During the course of the doctorate, the doctoral candidate will complete the following: \*\*  
.....  
.....
- (5) The supervisor undertakes to supply regular subject-specific advice. They check on the progression of the work and support the doctoral candidate on their path to academic independence and in planning their career.
- (6) The relationship between candidate and supervisor agreed here lasts for as long as the candidate is considered a doctoral candidate by the faculty; it is not dependent on the duration of any financial support for the doctoral project or employment. The supervision agreement continues should the supervisor leave Universität Regensburg unless another equivalent supervision agreement takes its place.
- (7) The signatories undertake to comply with the principles of good academic practice.

Regensburg, .....

.....  
Doctoral candidate

.....  
Supervisor

---

\*\* Additional requirements, such as language courses, stays abroad or special regulations for someone switching from another field or program, can be defined in section (4).

## Appendix 2

### A. TEMPLATE FOR THE DISSERTATION TITLE PAGE

Title \_\_\_\_\_

Dissertation to obtain a doctorate from

the Faculty of \_\_\_\_\_ at Universität Regensburg

submitted by

\_\_\_\_\_ forename and surname, from

\_\_\_\_\_ place of birth, home country or place of residence

\_\_\_\_\_ year of submission of the dissertation to the Faculty

\_\_\_\_\_

[*where relevant*: Within the framework of joint supervision between the Faculty of \_\_\_\_\_ at Universität Regensburg and Faculty of \_\_\_\_\_ at \_\_\_\_\_.]

Regensburg \_\_\_\_\_ year

### B. TEMPLATE FOR THE REAR OF THE TITLE PAGE

Referee (supervisor):

Referee:

**Appendix 3**  
**DECLARATION IN LIEU OF OATH**

I hereby declare in lieu of oath that I have prepared this dissertation without the unauthorized assistance of third parties and without the use of resources other than those indicated. Text passages, data, images or graphics taken directly or indirectly from other sources are marked with a reference to the source.

The following persons have assisted me in the selection and evaluation of the following material in the manner described in return for payment/without payment; this is also explicitly shown at the relevant places in the dissertation:

1. ....
2. ....
3. ....
- .....

No further persons were involved in the substantive production of this dissertation. In particular, I have not made use of the paid assistance of a doctoral advisor or other persons for this purpose. No one has received any money or non-monetary payment, either directly or indirectly, for work related to the content of the submitted dissertation.

The dissertation has not been submitted in the same or similar form to another examining authority, neither in Germany nor abroad.

[*where relevant*: Within the framework of joint supervision with a university abroad, the dissertation has been simultaneously submitted to ..... university/faculty.]

I affirm in lieu of oath that to the best of my knowledge I have told the whole truth and have not concealed anything.

Before making the above affirmation in lieu of oath, I was informed of the significance of the affirmation in lieu of an oath and the penal consequences of an incorrect or incomplete affirmation in lieu of an oath.

Place, date, signature

Signature of the person receiving the affirmation in lieu of an oath



**Appendix 4**  
**DIPLOMA TEMPLATE**

Universität Regensburg, via the Faculty of .....,  
under the dean Professor .....  
awards ..... (doctor's name) born in .....

THE DEGREE DOCTOR OF PHILOSOPHY (Dr. phil.)

after demonstration of his/her academic abilities upon due completion of the doctoral procedure  
with both

the dissertation graded .... [Latin designation] ([numerical form]) ....

with the topic .....

and the oral examination taken on ..... in the subject

.....

graded ... [Latin designation] ...

resulting in an overall grade of ... [lateinische Bezeichnung] ...

[*where relevant*: Within the framework of joint supervision between the Faculty of \_\_\_\_\_ at  
Universität Regensburg and Faculty of \_\_\_\_\_ at \_\_\_\_\_.]

Regensburg, ... [Datum der Disputation] ...

The Dean of the Faculty of .....