

# UNIVERSITY OF KONSTANZ

## General Provisions of Doctoral Regulations

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(as of 22 June 2015)

The German version of this document is the only *legally binding version*. This English translation is for your convenience only.

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#### **Note:**

**Please also note the department-specific regulations (in the German version)**

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**A. General Provisions**

**§ 1 Objective and Duration of Doctoral Studies, Doctoral Degrees, Enrolment, Exmatriculation, Doctoral Supervision Agreement, Duty to Cooperate, Doctoral Students' Conventions**

- (1) The objective of doctoral studies is to establish the doctoral candidate's ability to carry out independent scientific work.
- (2) Upon proper completion of the doctoral programme, including a final examination according to the relevant department's regulations, the University of Konstanz shall award one of the following academic degrees:

Doctor of Natural Science:                      Doctor rerum naturalium (Dr.rer.nat.),

Doctor of Social Science:                      Doctor rerum socialium (Dr.rer.soc.),

Doctor of Economics:                          Doctor rerum politicarum (Dr.rer.pol.),

Doctor of Law:                                    Doctor juris (Dr.jur.),

Doctor of Philosophy:                          Doctor philosophiae (Dr.phil.),

Doctor of Engineering Sciences (Dr.-Ing.)

or a "Doctor of Philosophy" (Ph.D.) (see attachment 8).

If the doctoral candidate has already earned an identical doctoral degree in the same doctoral subject at this or another institution of higher education, this title cannot be awarded anew. The Doctoral Committee decides about exceptions.

- (3) The University of Konstanz can award any of these degrees as an honorary degree (honoris causa; h.c.).
- (4) The provisions in these regulations apply likewise for transnational doctoral examination procedures. Special procedural rules according to international agreements, however, shall not be affected.
- (5) Candidates who have been accepted in a doctoral programme at the University of Konstanz will be enrolled at the University of Konstanz. Others who are writing a doctoral thesis and have been accepted as a doctoral candidate may apply for enrolment. In both cases they will remain enrolled for the duration of the doctoral studies.

- (6) The doctoral studies will be terminated, irrespective of the regulations in §§ 16 and 17, if one of the following applies:
1. Acceptance as a doctoral candidate is revoked (§ 5 para. 6 and 7)
  2. The application for acceptance is revoked (§ 5 para. 7 last sentence)
  3. The application for commencement of the doctoral examination process is revoked (§ 6 para. 3)
  4. The application for commencement of the doctoral examination process is rejected (§ 6 para. 4)
  5. The doctoral thesis is rejected (§ 8 para. 8 and 9)
  6. The oral examination has successfully been completed (§§ 9 ff. in conjunction with § 8 para. 8)
  7. The oral examination has finally been failed
- (7) Upon termination of the doctoral studies, enrolled doctoral students will be exmatriculated at the end of the current semester (§ 62 para. 3 No. 1 in conjunction with § 60 para 2 No. 9 *Landeshochschulgesetz* (state law on education) in conjunction with § 1 para. 5 and 6). The provisions of § 8 of the Admission and Enrolment Requirements of the University of Konstanz remain unaffected.
- (8) Department-specific provisions can specify that acceptance in a doctoral programme in the relevant university department is prerequisite for admission as a doctoral candidate. In such cases, the relevant examination regulations may stipulate that a "Doctor of Philosophy" (Ph.D.) be awarded rather than any of the other degrees listed in § 1 (2) above.
- ((9) Before a doctoral candidate is accepted, he/she will conclude a doctoral supervision agreement with the supervisor. The contents of this agreement shall include, but not be limited to, the following:
- the topic of the doctoral thesis (possibly a working title as well)
  - details about the individual programme of studies if the doctoral candidate does not participate in a structured doctoral programme
  - the thesis project and continually adapted schedules for supervision talks and progress reports
  - the evaluation period that will be determined upon handing in the doctoral thesis
  - mutual obligations based on the principles of good scientific practice,
  - provisions for the handling of conflicts and disputes.
- (10) Doctoral candidates are required to check the correctness of the data the university collected upon acceptance, once per year on request. Moreover they have to inform the university about any changes as well as confirm the continuation or termination of the planned doctorate.
- (11) Department-specific provisions specify an obligatory minimum time period between acceptance as a doctoral candidate and submission of an application for commencement of the doctoral examination process pursuant to § 6.

- (12) In each faculty the doctoral candidates accepted form a Doctoral Students' Convention.

### **§ 2 Doctoral Programme Coordinator; Doctoral Committee**

- (1) Unless stated otherwise, the head of the department in question, as doctoral programme coordinator for that department, shall handle the day-to-day business associated with the candidate's programme, using the services of the *Zentrales Prüfungsamt* (Central Examination Office) of the university. If appropriate, he or she can request a decision from the Doctoral Committee regarding particular matters. If electronic processing of personal data and documents is required for the candidate's doctoral examination process, this shall be permitted.
- (2) The Doctoral Committee is made up of the professors who are employed full-time at the University of Konstanz and the teachers and lecturers in the particular department. The head of department will act as chair of the Doctoral Committee. Notwithstanding the above, department-specific provisions can stipulate that the Doctoral Committee be comprised of a different combination of the persons named in the first sentence of this section.
- (3) Alternatively, the faculty council may choose, on application from multiple departments, to set up a joint Doctoral Committee. Such a joint committee would be chaired by a department head from one of the departments involved, and shall include at least four additional members. Each department council shall make an equal number of committee members available for the two-year period, from among the department's staff of full-time professors as well as university lecturers and *Privatdozenten* (lecturers).

### **§ 3 Admission Requirements**

- (1) Prerequisite for admission to the doctoral examination process is the successful completion of one of the following:
1. A master's programme at a German university, or
  2. A study programme at a university, a *Pädagogische Hochschule* (teacher training college) or art academy, with a standard period of study of at least four years or
  3. An advanced study programme that followed on an undergraduate programme at a university, *Pädagogische Hochschule* or other institution of higher education that has the right to award doctoral degrees.
- (2) Pursuant to § 38 Sec. 4, second sentence of the *Landeshochschulgesetz* (state law on education), department-specific provisions may stipulate the following additional admission requirements:
1. Certain examination results in the completed study programme;
  2. A subject-specific final examination;
  3. Admission to a doctoral programme;
  4. Admission to a graduate school.

- (3) Degrees earned at a state, or state-accredited, institution of higher education in another country shall be recognised provided that the skills thus acquired do not differ significantly from those of the study programmes or degrees for which they serve as a substitute. The Doctoral Committee decides whether the degree can be recognised, taking into account the recommendations of the Standing Conference of the Ministers of Education and Cultural Affairs of Germany. Further details may be stipulated in the department-specific provisions.
- (4) Particularly highly qualified holders of '*Diplom*'-degrees from a *Fachhochschule* (university of applied sciences) or a *Berufsakademie* (university of cooperative education), as well as graduates from the *Notarakademie* (Notarial Academy) of Baden-Württemberg, may be admitted to doctoral studies by the Doctoral Committee if they have shown, by means of an aptitude test, that they are capable of working in accordance with scientific methods in the intended thesis field to the same extent as degree holders as described above in Sec. 1, Nos. 1 to 3. Prerequisite for admission to the aptitude test process is that the candidate completed the final examination with outstanding results, and that admission is supported by a professor, university lecturer or *Privatdozent* (lecturer) in the relevant department at the University of Konstanz, who also agrees to supervise the candidate's doctoral studies. The form and duration of the aptitude test process are specified in the department-specific provisions. The aptitude test process shall in general not exceed two semesters in length.
- (5) Notwithstanding the provisions in Sec. 1 above, a particularly highly qualified holder of a degree from a 3-year bachelor's programme at a university, *Pädagogische Hochschule* (teacher training college) or art academy can, under certain conditions, be admitted to doctoral studies. Further details are stipulated in the department-specific provisions.

#### § 4 Preliminary Examination

- (1) If the candidate does not meet the admission requirements set out in § 3 Sec. 1 through 4, he or she can be admitted only under exceptional circumstances. In this case, the candidate's level of knowledge must be determined in a preliminary examination that corresponds to the required final examination.
- (2) The preliminary examination consists of a colloquium of at least one hour and/or documented examination results from a relevant study programme at the University of Konstanz. At least two of the colloquium examiners must be professors. The provisions of § 10 and § 11 (below) shall apply accordingly. Details, in particular concerning the examination results to be produced, are specified in the department-specific provisions.
- (3) The Doctoral Committee decides about admission to the preliminary examination and appoints the examiners for the colloquium.

### § 5 Acceptance as a Doctoral Candidate

- (1) A prospective candidate who meets the admission requirements set out in § 3 and § 4 above shall apply to the head of the particular department for acceptance as a doctoral candidate.
- (2) The following must be submitted with the application:
  1. Documentation of meeting the admission requirements pursuant to Section 1;
  2. Statement of the proposed topic and of the desired supervisor;
  3. Curriculum vitae outlining personal and professional background and development;
  4. Declaration on prior or current applications for doctoral programmes. This declaration shall detail when, on what topic and in which department the doctoral programme was applied for, as well as the reason the programme was not completed, in addition to an attested certificate regarding any doctorate already awarded, (if applicable);
  5. Declaration of whether and to what extent the candidate has already submitted a written paper within the scope of an academic final examination (*Diplom, Magister, master's, or state examination*) of which the stated thesis topic, in the same or a similar form, was the subject in whole or part;
  6. The doctoral supervision agreement according to § 1 para. 9, signed by the candidate and the supervisor

If stipulated in the department-specific provisions,

  7. and if the candidate's first language is not German or he/she did not graduate from school in Germany: documentation of adequate German language skills.
- (3) Acceptance as a doctoral candidate must be denied in the following cases:
  - a) if the proposed topic is not within the competence of the particular department or if there is no professor, university lecturer or *Privatdozent* (lecturer) in the particular department qualified to judge a thesis on the proposed topic;
  - b) if no professor, university lecturer or *Privatdozent* involved thinks the proposed topic merits a doctoral thesis, or is appropriate to the candidate's educational background. If the rejected candidate remonstrates, the Doctoral Committee shall decide the matter;
  - c) if there is reason to believe that the contents of the proposed thesis have already been submitted as a doctoral thesis in another department.
- (4) The Doctoral Committee decides whether admission shall be granted; a circulation process can be used to make that decision. Moreover, the Committee may task the head of department to take acceptance decisions in simple cases. Only the Doctoral Committee can decide on rejections. Accepting a doctoral candidate is an expression of the department's willingness to assess the doctoral thesis on the proposed topic as a scientific dissertation and to support the candidate in his or her preparation of the thesis. The candidate is assigned at least one supervi-

sor with expert skills to provide adequate supervision of the doctoral thesis. The following can act as a supervisor: university teachers, *Privatdozent* (lecturer) or others entitled to hold examinations, as well as professors from a *Hochschule für angewandte Wissenschaften* (university of applied sciences) or a *Duale Hochschule Baden-Württemberg* (Cooperative State University). If the supervisor is not a member of the University of Konstanz, the doctoral candidate will be assigned an additional supervisor from among the persons entitled to hold examinations at the University of Konstanz. For the relationship of the doctoral candidate to the university, § 1 Sec. 5 and Sec. 9 apply.

- (5) In case of conflicts the parties involved can contact the ombudsperson for doctoral affairs.
- (6) The acceptance shall be rescinded if
  1. admission to a doctoral programme expires, or
  2. the candidate does not complete the coursework and academic performance assessments of the doctoral programme (except the doctoral thesis) within five years and the circumstances were within the candidate's control, or
  3. the membership in a graduate's programme at the University of Konstanz ends prematurely, because it has been determined (according to the current regulations) that continuing the doctoral project does not make sense, or
  4. any of the department-specific requirements (§ 6 Sec. 2 No. 13 or 15) on the commencement of the doctoral examination process are not met.
- (7) Additionally, the supervisor can, for good reason, request that acceptance be rescinded, particularly if the doctoral candidate has not performed his/her duties as set out in the doctoral supervision agreement. Said request, with statement of reason(s), shall be directed to the head of the department. The head of department shall decide on the outcome of this request. The provisions of § 2 Sec. 1, third sentence, shall remain unaffected. Under certain exceptional circumstances, the Doctoral Committee may revoke the acceptance on request of the head of department if sufficient reason exists. The doctoral candidate shall be notified in writing of the decision. The right of the prospective candidate to withdraw his or her application for acceptance as a doctoral candidate remains unaffected.

### **§ 6 Application for Commencement of the Doctoral Examination Process**

- (1) The application for commencement of the doctoral examination process is to be filed with the *Zentrales Prüfungsamt* (Central Examination Office); that office handles the subsequent administrative processes.
- (2) The application must include the following:
  1. Candidate's address, thesis title; doctoral degree sought, supervisory department and supervising professor, university lecturer or *Privatdozent* (lecturer);
  2. Documentation of meeting the admission requirements pursuant to § 3 and § 4,
  3. Documentation of the acceptance as a doctoral candidate

4. Curriculum vitae outlining personal and professional background and development;
5. Declaration on prior or current applications for doctoral studies, and, if applicable, an attested certificate regarding any doctorate already awarded;
6. Four bound copies (paper format: DIN A4) of the thesis (§ 8 Sec. 2); the *Zentrales Prüfungsamt* (Central Examination Office) may require additional copies.
7. An electronic copy of the thesis (PDF file), (§ 8 Sec. 2), the *Zentrales Prüfungsamt* determines the details;
8. An affirmation in lieu of oath (see Appendix 1, § 6);
9. A copy of the instructions provided by the university regarding the significance and the penal consequences of the affirmation in lieu of oath, signed by the candidate (see Appendix 2, § 6);
10. If applicable, the proposed topic (§ 13) or special areas (§ 14). If the department-specific provisions allow the doctoral candidate to choose the form of the oral examination (pursuant to § 9), an explanation which form is chosen, including the proposed topic or special areas if applicable.
11. Suggestions for appointment of examiners, of which at least one shall be nominated,

If stipulated in the department-specific provisions,

12. and, if the candidate's first language is not German or he/she did not graduate from school in Germany: documentation of adequate German language skills.
  13. Statement from the head of department regarding a talk given by the candidate to the relevant department about the significant results of his or her thesis.
  14. If the candidate attends a doctoral programme: documentation of the coursework and academic performance assessments required.
  15. Documentation of additional coursework.
- (3) The application can be withdrawn only once. Withdrawal is not permitted if a review has already been submitted or if a period of two weeks or more has elapsed since the appointment of the examination committee.
  - (4) Immediately after formally checking the application, the head of department decides on the commencement of the doctoral examination process. In particular, he or she shall check whether the proposed thesis lies within the competence of the specified department. In cases of doubt, the Doctoral Committee shall decide.

### **§ 7 Examination Committee**

- (1) An examination committee conducts the doctoral examination. The head of department appoints this committee when the decision is made regarding the commencement of the doctoral examination process. In cases of doubt, the Doctoral Committee shall decide.



- (2) The examination committee consist of at least three professors, university lecturers or *Privatdozenten* (lecturers), or junior professors. In certain special cases, the following may also be appointed: professors of a *Hochschule für angewandte Wissenschaften* (university of applied sciences) or a *Duale Hochschule Baden-Württemberg* (Cooperative State University) or other persons with a qualification equal to a junior professor. The Doctoral Committee decides on the equivalency of qualification regarding these committee members. The majority of examination committee members must be members of the University of Konstanz. For a colloquium on the doctoral thesis pursuant to § 12, the department-specific provisions can stipulate that an external member shall be appointed to the examination committee.
- (3) The head of department appoints a committee chairperson and at least two thesis referees, chosen from the committee members. The second referee should be named at as early a stage as possible. Furthermore, he or she shall name at least three examiners for the oral examination, who must represent at least two different scientific fields (cf. § 14 Sec. 1). If sufficient reason is shown for doing so, a committee member from outside the subject area can also be appointed as an oral examiner. The committee chairperson can simultaneously act as an oral examiner. If more than two referees are appointed, the majority of them must be University of Konstanz members.
- (4) The supervisor of the doctoral thesis should be appointed as a referee; he or she cannot act as committee chairperson.
- (5) Professors, university lecturers or a *Privatdozent* who have left the University of Konstanz remain equivalent to members of the University of Konstanz in this sense and for this purpose for a period of no more than two years; in exceptional cases, this period can be extended to a total of no more than three years, subject to the approval of the Doctoral Committee.

### **§ 8 Doctoral Thesis**

- (1) The doctoral thesis must be the candidate's own work. Furthermore, it must be an appropriately formulated and scientifically noteworthy contribution to scientific research. As a rule, the thesis must be written in German. Department-specific provisions can also permit submission of a thesis written in a modern foreign language. In such cases, a German-language summary must be submitted together with the foreign-language version. Further details are specified in the department-specific provisions.
- (2) The thesis must have a title page, a table of contents, a brief summary and a detailed bibliography of the sources and references used. A previously published paper by the candidate may be submitted if no more than three years have elapsed since its publication.
- (3) The department-specific provisions can specify that multiple contiguous papers by the candidate may be submitted as the thesis if the requirements set out in Sections 1 and 2 are met. In case the research was performed by more than one person, it must be possible to clearly delineate the work carried out by the candidate for separate evaluation. The department-specific provisions can determine

further requirements for a cumulative thesis. The provisions of § 6 Sec. 2 No. 6 shall remain unaffected.

- (4) Detailed reports giving reasons for the conclusions reached shall be written by the referees independently of one another and submitted to the *Zentrales Prüfungsamt* (Central Examination Office) no later than three months following the appointment as referee.
- (5) The reports must include the referees' approval or rejection of the thesis. The following evaluation standards shall be applied in the event of approval:

excellent =		0
very good	=	1
good	=	2
satisfactory	=	3

Half-marks may be given.

The "excellent" grade shall be awarded only if the candidate's work is of particularly high quality.

The grade for a rejected thesis is as follows: unsatisfactory = 4

A third assessment shall be obtained if the two grades given differ by more than a full grade.

Department-specific provisions can specify that a third report shall be obtained if the average grade is 0.5 or higher, as well as that the third report shall be prepared by a qualified referee from outside the University of Konstanz if the two referees appointed pursuant to § 7 Sec. 3 are both members of the University of Konstanz staff.

- (6) If the thesis is accepted, the *Zentrales Prüfungsamt* (Central Examination Office) shall inform the relevant department, indicating the referees' names, that the referees' reports and the thesis will be open to inspection at the *Zentrales Prüfungsamt* for a period of two weeks or, outside of the semester, for six weeks. This inspection period will extend beyond two weeks into the semester if it began outside the semester. In certain cases the department-specific provisions can determine a shorter inspection period. The doctoral candidate may submit a written request to shorten or eliminate the inspection period if sufficient reason is given; e.g., for the protection of intellectual property rights. This request has to be submitted to the *Zentrales Prüfungsamt* when applying for commencement of the doctoral examination process, and must be approved by the head of the relevant department. In this case, the head of department shall inform the *Zentrales Prüfungsamt*. Professors, junior professors, university lecturers or a *Privatdozent* (lecturer) as well as the doctoral candidate, if his or her oral examination includes a colloquium on the doctoral thesis, may inspect the thesis during this period. They can give notice, up to the end of the inspection period, of the intent to submit a detailed opinion in writing. The opinion shall be submitted to the *Zentrales Prüfungsamt* no later than one week after such notice has been given. If an opinion is submitted, the Doctoral Committee shall determine the subsequent procedure.

The Committee may

- a) ignore the submitted opinion, or
  - b) obtain a supplemental opinion from the thesis referees and appoint up to two additional referees to submit reports on the thesis. These referees may be appointed as oral examiners.
- (7) Whether to accept or reject the thesis shall be determined by the majority opinion among the referees. If there is no majority, the Doctoral Committee shall appoint an additional referee. His or her report pursuant to Sec. 4 and 5 shall be decisive.
- (8) The grade awarded to the accepted thesis is yielded by the arithmetic mean of the grades given by each of the referees. The final grade shall be calculated to two decimal places. Additional decimal places shall be discarded. The grades are as follows:

under	0.50		excellent	
	0.50	to	1.50	very good
	1.51	to	2.50	good
	2.51	to	3.50	satisfactory

In these cases the thesis is accepted.

from 3.51 on      unsatisfactory

In this case the thesis is rejected.

- (9) If the thesis is rejected, the candidate's entire doctoral examination process is concluded. The committee decides whether the candidate shall be permitted to re-work and then re-submit the thesis with a new application for admission to the doctoral examination. The examination office shall inform the candidate in writing and provide the referees' reports. One copy of the rejected thesis shall remain on file.

## § 9 General Rules for the Oral Examination

- (1) The oral examination is carried out in the form of a thesis defence or extended colloquium on the thesis and a maximum of three hypotheses or special areas (§ 12, § 13 and § 14). If not otherwise specified, it shall be carried out as an individual examination. The permissible form of examination is specified in the department-specific provisions.
- (2) The oral examination shall take place within a period of no less than two weeks and no more than eight weeks following the end of the inspection period. On application from the candidate, the oral examination can take place at an earlier point than specified above, provided all members of the examination committee agree to the scheduling. The oral examination lasts for a period from one to two hours. In case a department permits the extended colloquium on the doctoral thesis (according to Sec. 1), the examination time shall be evenly divided between the individual hypotheses or special areas. The department-specific provisions may determine another division of the examination time. Those provisions

can also specify that, if external examiners have been appointed, the oral thesis examination may be carried out with the aid of electronic communications media.

- (3) Members of the Doctoral Committee have the right to be present and ask questions during the oral examination. In proportion to the space available, others may be present; in particular doctoral candidates, students and academic staff members. If sufficient reason is given, the persons described above in the first and second sentences of this section may be excluded from the proceedings; those described in the second sentence may be excluded on application from the candidate. The right to be present and ask questions described in the first sentence can be denied by department-specific provisions. The right to discuss and determine the grades to be given and the examination result is reserved to the examination committee.
- (4) The committee chairperson shall lead the examination; he or she shall ensure that procedures are followed properly and that minutes of the examination are taken. After the conclusion of the oral examination and consultation on the overall result, he or she shall inform the candidate orally of the overall result.
- (5) The oral examination shall be carried out in the German language. In case the candidate has attended an English-language doctoral programme, the examination language shall be English. The candidate can submit a request to the chairperson and with the approval of all examination committee members, the doctoral committee can decide to hold the oral examination in a modern foreign language.

### **§ 10 Re-sitting the Oral Examination**

- (1) If the candidate fails the oral examination, the *Prüfungsamt* (Examination Office) shall issue written notice of this fact. The examination can be repeated once; no earlier than six months and no later than one year afterwards.
- (2) The candidate's entire doctoral examination process shall be ended without success if an application to re-sit the oral examination is not filed within one year or if the candidate fails the second oral examination.

### **§ 11 Default and Withdrawal**

- (1) If the candidate does not appear at the appointed time and place for the oral examination or if he or she withdraws from the examination before it begins, the examination shall be deemed to have been failed.
- (2) If the candidate can provide convincing reasons for withdrawing from or missing the examination, he or she must inform the chairperson of the examination committee of these reasons, and provide credible evidence of them, without delay. In the case of illness, the candidate must present a medical certificate to the committee chairperson.
- (3) If the committee chairperson accepts the reasons given, the oral examination shall be rescheduled. In this case, exam results acquired up to that point shall be credited to the candidate. If the reasons given by the candidate are not found to

be convincing, the examination shall be deemed to have been failed. The provisions of § 10 shall apply accordingly.

### **§ 12 Colloquium on the Doctoral Thesis**

- (1) The colloquium on the doctoral thesis shall be opened with a report from the candidate on the significant foundation, contents and results of the thesis. The presentation shall be directly followed by a discussion of issues that are connected with the thesis as regards their methods and content. The discussion can be expanded to include general questions relating to the field in which the thesis is based. The duration of the candidate's report should not exceed one-third of the total time allowed for oral examination.
- (2) Following the oral examination, each examiner shall award grades in accordance with § 8 Sec. 5. Afterwards, the arithmetic mean of all grades and of the overall grade for the oral examination shall be determined in accordance with § 8 Sec. 8. The oral examination is passed if the arithmetic mean of the overall grades is 3.50 or better.

### **§ 13 Extended colloquium on the thesis and hypotheses**

- (1) A hypothesis is a well-founded analysis or assertion of a particular issue in a given field. The candidate shall present brief written explanations on each hypothesis in which he or she shall state the position of the hypothesis within the scientific discourse, analyse the significance of the hypothesis, and outline the direction to be taken in justifying the hypothesis.
- (2) In his or her application for admission to the doctoral examination (§ 6 Sec. 2 No. 10) the candidate shall propose the hypotheses to be treated. They must provide a basis for a colloquium on at least two fields which are not closely related. Generally they should enable a scientific debate, with expert questions, that goes beyond the field of the thesis.
- (3) The examination committee can reject unsuitable hypotheses on application by one of its members. In this case, the examination office shall issue written notice including the reasons for rejection. The candidate must supply alternate hypotheses to replace rejected hypotheses within two weeks.
- (4) Each hypothesis can be briefly substantiated. The colloquium must be thematically oriented to the hypothesis.
- (5) Following the oral examination, each examiner shall award grades for the defence of each hypothesis in accordance with § 8 Sec. 5. Then the arithmetic means are calculated for each hypothesis and the overall grade is ascertained in accordance with § 8 Sec. 8. Then the grade for the thesis defence is calculated in accordance with § 12 Sec. 2, sentences 1 and 2. The oral examination is passed if the arithmetic mean of the overall grades for the thesis defence and for each hypothesis totals 3.50 or better. The department-specific provisions may specify a different way of determining the grades for the oral examination.

**§ 14 Extended colloquium on the thesis and special areas**

- (1) A "special area" as the term is used in these Doctoral Regulations means a part of a scientific field. A field is defined as part of a discipline that is represented in research and education at the University of Konstanz in the form of a department.
- (2) In his or her application for admission to the doctoral examination (§ 6 Sec. 2 No. 10) the candidate shall propose the special area(s) to be treated. At least one of the special areas proposed must come from a field other than the field in which the thesis is based. Department-specific provisions specify whether it may be defined as a special area for this purpose, how many special areas are required, and the areas or fields of which the special area can or must be a part.
- (3) The examination committee can reject some or all of the proposed special areas. In this case, the *Prüfungsamts* (Examination Office) shall issue written notice including the reasons for rejection. The candidate must propose a new special area/new special areas within two weeks.
- (4) Following the oral examination, each examiner awards grades for each special subject in accordance with § 8 Sec. 5; then the arithmetic means are calculated for each special subject and the overall grade is ascertained in accordance with § 8 Sec. 8. Then the grade for the thesis defence is determined according to § 12 Sec. 2, sentences 1 and 2. The oral examination is passed if the arithmetic mean of the overall grades for the thesis defence and the individual special areas totals 3.50 or better. The department-specific provisions may specify a different way of determining the grades for the oral examination.

**§ 15 Grade Awarded to the Doctorate**

- (1) Following the oral examination, the examination committee shall determine the overall result of the doctoral studies and award one of the following grades:

summa cum laude	(excellent)
magna cum laude	(very good)
cum laude	(good)
rite	(satisfactory)
- (2) The grade is yielded by the arithmetic mean of the following:
  - a) the overall grade for the doctoral thesis (§ 8 Sec. 8, and
  - b) the overall grade for the oral examination (§ 12 Sec. 2 or § 13 Sec. 5 or § 14 Sec. 4, each in connection with § 8 Sec. 8
- (3) The grade for the doctoral thesis carries twice the weight of the grade for the oral examination. The final grade shall be calculated to two decimal places. Additional decimal places shall be discarded.

(4) The grade is:

below 0.50	=	summa cum laude
0.50 to 1.50	=	magna cum laude
1.51 to 2.50	=	cum laude
2.51 to 3.50	=	rite

(5) If the candidate attended a doctoral programme, the department-specific provisions may permit the option of replacing, for calculation of the grade, the overall grade for the oral examination in whole or part with the overall grade for examination results earned in the doctoral programme.

### **§ 16 Acquisition of the Doctoral Degree**

- (1) The candidate is not permitted to append the title of "Dr" to his or her name until he or she has personally received the document certifying that the doctoral examinations have been successfully completed (hereinafter "the degree certificate"). Before that time, the candidate shall receive a certificate indicating that the examinations have been completed.
- (2) The degree certificate shows the grades received for the doctoral studies, the title of the thesis, the grade awarded to the thesis and the scientific fields addressed in the oral examination. If the candidate attended a doctoral programme, the department-specific regulations can determine that the scientific fields of academic performance assessments in the *Promotionskolleg* (graduate school) be listed instead of, or in addition to, the fields of the oral examination. The degree certificate shall bear the date on which the last examination was held, the university seal, and the signatures of the rector and the head of the relevant department. Special procedural rules according to international agreements, however, shall not be affected.
- (3) The head of department presents the degree certificate to the candidate only after the requirements for delivery of documents have been met (see § 17 Sec. 2). The presentation should be made in a fitting manner.
- (4) The head of department can translate or arrange the translation of the certificate of completion of doctoral examinations, or the degree certificate, into English. The signature of the head of the of the *Zentrales Prüfungsamt* (Central Examination Office) shall confirm the correctness of the translation.

### **§ 17 Publication and Submission of the Thesis**

- (1) The thesis must be published by the doctoral candidate, in the version approved by the referees, within two years following the oral examination (see Sec. 2). If the thesis is not published within this period, the candidate forfeits all rights attained through the examination. Upon prior application, the head of department can extend the time limit in justified cases. If one of the referees does not approve the version to be published because it does not match the version assessed, or deviates unacceptably, the Doctoral Committee shall make the final

- decision. The presentation copies must be printed on non-aging paper (use of recycled paper or acidic paper is not permitted).
- (2) Presentation copies must be delivered to the university library free of charge upon publication. The following four options for publication are permissible and the following has to be observed when handing in the presentations copies:
1. If a commercial publisher assumes the task of distribution to book dealers and a minimum print run of 150 copies is proved, six copies of the book must be delivered to the university library. Delivery is deemed to have been made if the publisher makes a binding statement to the *Zentrals Prüfungsamt* (Central Examination Office) to the effect that both the printing of the thesis and the financing thereof are assured, and that the required copies will be sent to the thesis section of the university library immediately and without charge; and provided that all necessary approvals of the release for printing from the reviewer and the referees have been filed with the *Zentrales Prüfungsamt*.
  2. In case of reproduction by means of the customary methods (letter press, image printing or microfiche), the doctoral candidate must deliver 40 presentation copies to the university library. If the doctoral programme was in the field of chemistry, publication in the form of microfiche is not permitted.
  3. If the thesis is published in a scientific journal, six reprints from this journal as well as six copies of the complete thesis must be delivered to the university library. This form of publication, however, is not possible in the field of law.
  4. If the thesis is published in electronic form on the internet or other comparable network, it must be made available to the university library in electronic form as well. The formatting requirements set out by the library must be observed. The library shall promptly publish the thesis in the network. On request to the library and with the supervisor's consent, the thesis may be published at a later time. Another four copies of the entire thesis printed on paper using one of the customary methods named above must be delivered to the library as well. Department-specific provisions can specify further details.
- (3) If published in book form, the following information must be added to the title: Doctoral Thesis of the University of Konstanz; names of the referees and date of the oral examination. Alternatively, this note can be printed on the back of the title page or in a foreword; if published in a journal, this information can be provided in a footnote. Rather than adding this note, a special title page designed by the University of Konstanz can be used; this special title page is mandatory for other forms of publication.
- (4) The three thesis copies submitted with the application go to the university library and the first two referees. The candidate must furthermore provide each of the referees with copies of the published thesis, as described in Sec. 2 above.
- (5) In case of Sec. 2 No. 1 sentence 2 and No. 4 sentence 4 the publication duty is fulfilled if the thesis is published within two years after submission. Upon prior application, the head of department can extend the time limit in justified cases. Otherwise, the candidate forfeits all rights attained through the examination.



### **§ 18 Honorary Doctorate**

- (1) Honorary doctorates are awarded in recognition of outstanding scientific achievement.
- (2) The faculty council accepts recommendations and makes the final decision on the awarding of honorary degrees. Professors and those members who hold doctorates are entitled to vote. Prerequisite for the award is a detailed application supported by at least three professors, university lecturers or *Privatdozent (lecturer)*, or a ruling by one of the department councils of the corresponding faculty; two-thirds of all faculty council members who have votes must approve.
- (3) The awarding of an honorary doctorate must also be approved by the Senate of the University of Konstanz.
- (4) The honorary doctorate is awarded by presenting a specially prepared degree document which highlights the meritoriousness of the recipient. The degree certificate shall be signed and presented by the rector and the dean of the relevant faculty.

### **§ 19 Revocation and Attempt to Deceive**

- (1) If it is discovered before the degree certificate is presented that the candidate is guilty of deceit within the scope of the doctoral achievements, or that significant prerequisites for conferring the doctorate have been mistakenly assumed to be given, the doctorate shall be declared invalid. This decision is up to the Doctoral Committee.
- (2) Under certain conditions defined by law, the doctoral degree can be revoked. This decision is up to the Doctoral Committee.

### **§ 20 Protest and Inspection of Records**

- (1) The candidate's right to inspect records is defined in accordance with the relevant laws (cf. § 29 of the *LVwVfG* (state law on administrative procedures)).
- (2) Upon filing of an admissible protest by the candidate (§ 68 ff of the *VwGO* (German Code of Administrative Court Procedure)), the Doctoral Committee shall check whether statutory provisions have been violated. The responsibilities for subsequent decisions required within the scope of the candidate's doctoral programme remain intact. The Vice Rector of Study Programmes shall issue notice taking into account the decisions made.

### **§ 21 Effective Date and Interim Regulations**

- (1) This revised version of the Doctoral Regulations (hereinafter "new version") goes into effect on the day on which it is announced in the *Amtlichen Bekanntmachungen* (official bulletin-hereinafter: *Amtl. Bekm.*) of the University of Konstanz. The previously valid version of the Doctoral Regulations dated 07 August 2013 (*Amtl. Bekm.* no. 80/2013), as amended 16 March 2015 (*Amtl. Bekm.* no. 11/2015) expires with the exceptions listed below in Sections 2 to 4.

- (2) For doctoral candidates who were accepted as such before the new version went into effect, the following interim regulations shall apply:
1. § 5 Sec. 6 and 7 of the new version apply only on the condition that the maximum duration of the doctoral programme (cf. § 1 Sec. 5 of the previous version of 07 August 2013 (*Amtl. Bekm.* no. 80/2013), as amended 16 March 2015 (*Amtl. Bekm.* no. 11/2015), or the version of 16 August 2006 (*Amtl. Bekm.* no. 31/2006), as amended on 19 April 2013 (*Amtl. Bekm.* no. 43/2013) had already been exceeded at the time the new version came into effect. Otherwise, § 5 Sec. 1, third sentence, applies as specified in the version of 16 August 2006 (*Amtl. Bekm.* no. 31/2006), as amended on 19 April 2013 (*Amtl. Bekm.* Nr. 43/2013); deviating from this, § 5 Sec. 6 No. 2 of the new version does not apply.
  2. § 1 Sec. 9 and § 5 Sec. 2 No. 6 of the new version do not apply.
- (3) Doctoral candidates who applied for commencement of the doctoral examination process before the new version went into effect, can submit a request (by 31 March 2016 at the latest) to take the oral doctoral examination according to the previous regulations.
- (4) § 15 Sec. 3 does not apply for doctoral candidates who were accepted before 8 August 2013 (the date the doctoral regulations in the version of 7 August 2013 came into effect). Instead, § 15 Sec. 3 of the previous version of 16 August 2006 applies (*Amtl. Bekm.* no. 31/2006), as amended on 19 April 2013 (*Amtl. Bekm.* no. 43/2013), in connection with the corresponding department-specific regulations valid until 7 August 2013.
- (5) Deviating from Sec. 2 and 4, doctoral candidates accepted before the new version came into effect who have not yet applied for commencement of the doctoral examination process can continue, on request, their doctoral studies according to the regulations of this new version and also conclude a doctoral supervision agreement with their supervisor.

## **Appendices**

### **Note**

These regulations were published in the *Amtlichen Bekanntmachungen* (Official Bulletin) of the University of Konstanz No. 32/2015 of 22 June 2015..

The German version of this document is the only *legally binding version*. This English translation is for your convenience only.

**Appendix 1 to § 6 General Provisions of Doctoral Regulations (Affirmation in Lieu of Oath)**

The affirmation in lieu of oath shall generally be submitted in writing. The option of having an affirmation in lieu of oath recorded for transcription remains unaffected. The written affirmation shall be worded as follows:

Affirmation in lieu of oath

Pursuant to § 6 of the Doctoral Regulations of the University of Konstanz

1. The doctoral thesis submitted on the following topic:

.....  
is my own work.

2. I have used only the sources and aids indicated, and have not received assistance from unauthorised third parties. In particular, texts or ideas that were obtained from other works have been identified as such.

3. The work or parts of the work have already been/have<sup>1</sup>never been submitted to an institution of higher education in Germany or abroad as part of an examination or qualification procedure

Title of the work .....  
institution                      of                      higher                      education                      and  
year:.....  
type                                      of                                      examination                                      or  
qualification procedure.....

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4. I hereby affirm that the above statements are true and correct.

5. I am aware of the significance of the affirmation in lieu of oath and the consequences under the penal code of giving an incorrect or incomplete affirmation in lieu of oath.

I hereby affirm that I have stated the truth to the best of my knowledge and have concealed nothing.

Place and date .....

Signature \_\_\_\_\_

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<sup>1</sup> Delete as appropriate. If the work has already been submitted, complete the fields indicating the title of the submitted work, the college or university, the year in which it was submitted, and the type of examination or qualification procedure.

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## **Appendix 2 to § 6 General Provisions of Doctoral Regulations**

### **Affirmation in lieu of oath**

#### **Legal Consequences**

The universities in Baden-Württemberg require an affirmation in lieu of oath regarding the originality of the work as a credible assurance that the doctoral candidate carried out the scientific accomplishment through his or her own efforts.

Because the legislative body attributes a special significance to the affirmation in lieu of oath, and because the affirmation can have considerable consequences, the making of a false affirmation is punishable by law. If the false affirmation is made deliberately (i.e. knowingly), the penalty may be imprisonment for up to three years or a fine.

A false affirmation made through negligence (i.e. the declarant should have known that the declaration was not in accordance with the facts), the penalty may be imprisonment for up to one year or a fine.

The relevant penal provisions are set out in § 156 (false affirmation in lieu of oath) and in § 161 *StGB* (German Criminal Code) (negligent false affirmation in lieu of oath).

#### **§ 156 *StGB*: False Affirmation in Lieu of Oath**

Whosoever before a public authority competent to administer sworn affidavits, falsely makes such an affidavit or falsely testifies while referring to such an affidavit shall be liable to imprisonment not exceeding three years or a fine.

#### **§ 161 *StGB*: Negligent False Affirmation in Lieu of Oath**

Sec. 1: If a person commits one of the offences listed in § 154 to § 156 negligently, the penalty shall be imprisonment not exceeding one year or a fine.

Sec. 2: Offenders shall be exempt from liability if correct their false testimony in time. The provisions of § 158 (2) and (3) shall apply accordingly.

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**Place, date, signature**