

**Doctoral Degree Regulations
of the Faculty of Mathematics and Natural Sciences
and the Faculty of Engineering
at the Christian-Albrechts-Universität zu Kiel**

of 31 August 2012

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Based on Section 52 (1) of the Schleswig-Holstein Higher Education Act (HSG) of 28 February 2007 (GVOBl. Schleswig-Holstein, page 184), most recently amended by Article 1 of the Act of 4 February 2011 (GVOBl. Schleswig-Holstein, page 34, corrected GVOBl. Schleswig-Holstein, page 67), after a resolution was passed by the Convention of the Faculty of Mathematics and Natural Sciences of 16 May 2012 and the Convention of the Faculty of Engineering of 25 January 2012 the following Doctoral Degree Regulations were issued:

Preamble

The Faculty of Mathematics and Natural Sciences and the Faculty of Engineering at the Christian-Albrechts-Universität zu Kiel adopt the following joint Doctoral Degree Regulations. Unless stated otherwise, the faculty or its bodies where the doctoral candidate registers his/her dissertation project is responsible for the entire doctoral degree procedure up to the conferral of the doctoral degree. The faculty where the doctoral degree procedure is initiated shall hereafter be referred to as the "Faculty".

Section 1: General Matters

§ 1 – Doctoral degree

- (1) The Faculty awards a Doctorate in Natural Sciences (Dr. rer. nat.) or in Engineering (Dr.-Ing.) on the basis of a scholarly work (dissertation) and an oral examination (defence of the doctoral dissertation – disputation).
- (2) Completion of the doctoral dissertation and the disputation shall be accepted as evidence of particular competence for advanced independent work in a mathematic, natural scientific or engineering discipline.

§ 2 – Honorary doctorate

- (1) For outstanding scholarly achievements, for particular technical achievements or for particular personal merits of an exceptional nature in academic subjects supported by the faculties, the Faculty of Mathematics and Natural Sciences may award an Honorary Doctorate in Natural Sciences (Dr. rer. nat. h. c.) and the Faculty of Engineering may award an Honorary Doctorate in Engineering (Dr.-Ing. E. h.) pursuant to Section 54 (3) of the Schleswig-Holstein Higher Education Act (HSG) and the Constitution of Christian-Albrechts-Universität zu Kiel.
- (2) Such a procedure may only be initiated if proposed by at least one professor of the faculty concerned. An application needs to be filed with the chairperson of the Doctoral Degree Committee.
- (3) The proposal must be submitted to the Faculty Convention, which will then set up a committee consisting of at least five professors, including those professors who put forward the proposal.
- (4) The committee shall review the documents submitted by the proposers and draft a statement on the merits of the person to be honoured. If the committee recommends that the Honorary Doctorate be awarded, it will at the same time prepare a speech for the award ceremony.
- (5) Based on the statement referred to in the previous Para. 4, the Faculty Convention shall decide whether or not to award the Honorary Doctorate by way of a secret vote. A majority of two thirds of the votes of all members with voting rights is required for approval.
- (6) Following approval by the University Senate, the Dean shall hand the Certificate, which contains an abridged version of the Honorary Doctorate speech, to the person being honoured, and thus the Honorary Doctorate is awarded.

§ 3 – Doctoral Degree Committee

- (1) A Doctoral Degree Committee is appointed for each faculty and is composed of the following members:
 1. The Dean, as Chairperson;
 2. one professor from each section of the Faculty of Mathematics and Natural Sciences and from each institute of the Faculty of Engineering;
 3. two postdoctoral staff members from the own faculty; and
 4. a professor from the other faculty.

In addition, one deputy shall be appointed for each member at numbers 2 and 4 above.

- (2) The Doctoral Degree Committee is responsible for general questions relating to doctoral degrees and performing any duties accorded to it under these statutes.
- (3) The member's voting right pursuant to Para. 1 No. 4 is restricted in the Faculty of Mathematics and Natural Sciences to procedures leading to a Doctorate in Engineering (Dr.-Ing.), and procedures leading to a Doctorate in Natural Sciences (Dr. rer. nat.) in the Faculty of Engineering.
- (4) The meetings of the Doctoral Degree Committee are private and called by the Chairperson. The Doctoral Degree Committee constitutes a quorum if all members are invited and more than half of the members with voting rights are present. Decisions are made on the basis of the votes of the majority of those members present. If the vote is tied, the Chairperson has the casting vote.
- (5) Decisions concerning minor affairs may also be made in writing by way of a circular procedure, if no member of the Doctoral Degree Committee objects to this.

§ 4 – Acceptance as a doctoral candidate

- (1) On application, a person who intends to complete a doctoral thesis can be accepted by the Faculty as a doctoral candidate (entry into the doctoral degree list). The application for acceptance as a doctoral candidate must be submitted in writing to the Dean.
- (2) The application for acceptance shall be submitted before the commencement of work on the doctoral project.
- (3) Requirements for acceptance are:
 1. the fulfilment of preconditions pursuant to § 6 (1) to (4);
 2. that specialist evaluation by a member of the Faculty is possible; and
 3. that supervision by an authorised supervisor pursuant to § 5 (1) is ensured.

Graduates whose dissertations are checked to ensure their subjects tie in with those of the Faculty (cf. § 6 (1)) before the doctoral examination procedure is begun (cf. § 8) may be accepted as doctoral candidates without such acceptance also constituting a right to admission to the doctoral examination procedure in this Faculty.

- (4) The Dean shall reach a decision on acceptance, and shall notify the candidate of the outcome in writing within a period of no more than two months. A rejection shall be accompanied by a written statement of reasons along with instructions on the legal remedies available.
- (5) Acceptance as a doctoral candidate is not synonymous with admission to the doctoral examination procedure (§ 8 and § 9).

The application for admission to the doctoral examination procedure shall be made within eight semesters of acceptance as a doctoral candidate. Candidates who do not register for their doctoral degree within this period may be invited by the Dean to attend a counselling interview.

§ 5 – Supervision of the doctoral degree

- (1) The following persons are entitled to supervise dissertations:
 1. All professors, all junior professors, all honorary professors, all extraordinary professors, all private lecturers, who are primary or secondary members of the Faculty, as well as
 2. Members of the Faculty who, with the Dean's approval, carry out independent academic research projects, e.g. leaders of an Emmy-Noether group for young researchers, (hereafter referred to as authorised supervisors).
- (2) Members of the professorial staff of other faculties or other universities can, with their consent, be appointed by the Doctoral Degree Committee as supervisor for a doctoral degree procedure provided that they have the appropriate specialist expertise as laid down in paragraph (1).
- (3) Members of non-university research institutions can be appointed as supervisors of a doctoral degree procedure with the approval of the Doctoral Degree Committee if they have appropriate qualifications pursuant to Para. 1 as well as the right specialist expertise, e.g. Max Planck research group leaders.

For information purposes only, the German original is binding.

- (4) In the event that the supervisor leaves the Faculty, he or she shall normally continue with the supervisory arrangement. Junior professors and private lecturers shall be entitled to see a supervisory arrangement through to its conclusion even if they cease to be employed in higher education.
- (5) If the supervisor of a doctoral project is not a full-time professor of the Faculty, the second examiner must be.
- (6) Supervision may be terminated for good cause. The decision on this matter rests with the Doctoral Degree Committee.
- (7) If the supervisor is not or no longer able to supervise the doctoral degree, the Doctoral Degree Committee shall, at the request of the doctoral candidate, ensure that supervision of the dissertation continues within the scope of the Faculty's capabilities.

Section 2: Doctoral Studies and Doctoral Degree Procedure

§ 6 – Requirements for admission to the doctoral examination procedure

- (1) Requirements for admission to the doctoral examination procedure for a Doctorate in Natural Sciences (Dr. rer. nat.) or Doctorate in Engineering (Dr.-Ing.) include the successful completion of a degree programme covering a standard period of study of at least eight semesters at a German university, German university of applied sciences or other equivalent foreign institution of higher education. Successful completion of the degree programme is evidenced by the following degree certificates:
 1. Master of Science (M. Sc.) or Master of Engineering (M. Eng.) or comparable Diplom certificate;
 2. First State Examination for the career of teachers in secondary education (including upper secondary education) or Master of Education (M. Ed.) with a master thesis on a subject in the field of natural sciences, mathematics, computer sciences or relevant didactics;
 3. Second part of the pharmaceutical examination or pharmacist licence; or
 4. Master of Arts (M.A.) or Master of Science (M. Sc.) in Geography.

In exceptional cases for which special reasons are given, the Doctoral Degree Committee may recognise a Bachelor of Science (B. Sc.) or Bachelor of Engineering (B. Eng.) degree as a requirement for admission.

For all other degrees, the Doctoral Degree Committee shall check dissertations to ensure their subjects tie in with those of the Faculty before the doctoral examination procedure (cf. § 8) can be initiated. Where a doctorate for the other faculty is to be awarded, the other faculty must be involved to an appropriate extent.

- (2) A Diplom degree programme at a university of applied sciences must have been completed with an overall grade of "very good (1.5 or better)". In deviation from this rule, admission may be granted with the consent of the Doctoral Degree Committee if evidence of particular qualification is furnished in the form of two evaluations requested by the Dean.
- (3) In addition, graduates from universities of applied sciences holding a Diplom degree must submit a declaration by a professor stating that he or she supervises the dissertation.
- (4) An applicant shall not be admitted if he or she has irrevocably failed a doctoral degree or has already embarked on a doctoral degree procedure at Kiel University or at another university.
- (5) The application documents specified in § 8 must have been submitted in their entirety.

§ 7 – Dissertation requirements

- (1) The doctoral dissertation must be a scholarly work that promotes academic knowledge and is written independently on the basis of the doctoral candidate's own new academic achievements and knowledge.
- (2) Works already published or manuscripts previously submitted may be incorporated into the doctoral dissertation. Where published works are collaborations between several authors, the doctoral candidate's own contribution shall be clearly identified.
- (3) His or her own Diplom, Bachelor's or Master's thesis may not be incorporated into the doctoral dissertation.
- (4) The doctoral dissertation must be produced in German or English. It shall include an abstract in German and English of approximately one page in length. The Doctoral Degree Committee shall decide on exceptions to this rule.

§ 8 – Application for admission to the doctoral examination procedure

The application for admission to the doctoral examination procedure must be submitted in writing to the Dean.

The applicant must include the following documents with the application:

1. four copies of the dissertation into which a signed declaration confirming the following must be bound:
 - a) that apart from the supervisor's guidance the content and design of the thesis is all the doctoral candidate's own work,
 - b) whether the thesis has already been submitted either partially or wholly as part of a doctoral degree to another examining body and whether it has been published or submitted for publication;
 - c) that the thesis has been prepared subject to the Rules of Good Scientific Practice of the German Research Foundation;as well as the dissertation in electronic format for procedures at the Faculty of Engineering;
2. a brief outline of the applicant's academic career including details of nationality, place of birth, degree programmes undertaken and number of semesters of study spent at individual universities;
3. supporting documents for the degrees listed as a requirement under § 6 in the form of a degree certificate and any other university certificates;
4. information on the intended doctorate, Dr. rer. nat. or Dr.-Ing.;
5. a declaration of any previous attempts at doctoral degrees, stating date, faculty or department and research topic;
6. a current certificate of good conduct;
7. two persons suggested by the supervisor as possible second examiner; and
8. a letter written by the supervisor on the doctoral candidate's own contribution to publications that are the work of several authors.

§ 9 – Admission to the doctoral examination procedure

- (1) The decision on admission rests with the Dean. In case of rejection, the doctoral candidate shall be notified in writing, with reasons for this decision, along with instructions on the right to appeal.
- (2) Admission is to be refused if admission requirements are not fulfilled in accordance with § 6. Admission can be refused if the application is incomplete.
- (3) The application pursuant to § 8 can be withdrawn as long as the assessment period has not yet begun.

§ 10 – Appointment of examiners

- (1) If the applicant is admitted, the Dean shall appoint two authorised supervisors as the first and second examiner for the dissertation.

The supervisor of the dissertation shall be appointed first examiner. The second examiner shall be selected by the Dean from the two options suggested by the supervisor. The Dean can ask a member of another faculty or another university (with qualifications pursuant to § 5) to prepare the second examiners' report. This may also be a person who is not an authorised supervisor, but is someone with academic expertise.
- (2) One of the examiners must be a full-time professor at the Faculty. Staff members holding a secondary appointment are only appointed as first examiners if they have supervised the doctoral dissertation.
- (3) After appointing the examiners, the Chairperson of the Doctoral Degree Committee shall inform the applicant of the examiners' names.
- (4) The examiners' reports are to be produced within a period of six weeks after the admission decision has been made. If the doctoral dissertation is recommended for acceptance, they must include a suggested grade pursuant to § 17 (1).
- (5) If required, the Dean can appoint other examiners and obtain examiners' reports by academics outside the Faculty. This must be done if suggested grades for the dissertation differ considerably or if the dissertation is to be rated an outstanding academic achievement.

§ 11 – Acceptance of the dissertation

- (1) After the report has been submitted, it shall be exhibited together with the dissertation at the Dean's Office for the duration of one week for inspection by the Faculty's authorised supervisors and members of the Faculty's Doctoral Degree Committee. If at least the greater proportion of the exhibition period falls in the lecture-free period, this period shall be extended to three weeks. If the dissertation submitted was to lead to a doctoral degree from the other faculty, it shall also be exhibited in the other faculty's Dean's Office for perusal by that faculty's authorised supervisors and the Doctoral Degree Committee. The exhibition and the exhibition period are to be announced in line with the Faculty's customary practice.
- (2) If the dissertation received a grade of at least "satisfactory" and no objection is lodged during the exhibition period, the doctoral dissertation shall be deemed to have been accepted by the Faculty. If a difference of opinion arises between examiners as to whether the dissertation should be accepted, the Doctoral Degree Committee shall decide in consultation with the examiners, who have voting rights in this regard.
- (3) If an objection is lodged by an authorised supervisor or a member of the other faculty's Doctoral Degree Committee against proposals made in the examiners' reports for procedures in
 - a) the Faculty of Mathematics and Natural Sciences leading to a Doctorate in Engineering (Dr.-Ing.) and
 - b) the Faculty of Engineering leading to a Doctorate in Natural Sciences (Dr. rer. nat.)a joint committee consisting of members of both Doctoral Degree Committees shall rule on the objection. This committee is made up of six professors and four members of academic staff, with equal numbers of members derived from the two faculties. The objection and reasons for it must be submitted in writing to the Dean of the Faculty through which the procedure was initiated, as he or she is the Chairperson of the committee with voting rights. The examiners may be consulted but are not permitted to become members of the committee.
- (4) If both examiners decide on the grade "with distinction", another external report must be obtained. The Dean shall ask the supervisor to propose at least two possible external examiners for this purpose.
- (5) If both examiners recommend that the dissertation be rejected, § 12 (1) shall apply.
- (6) If both examiners recommend that the dissertation be returned for revision, § 12 (3) shall apply.

§ 12 – Rejection, revision and repetition of the dissertation

- (1) If a dissertation is rejected, then the doctoral degree procedure shall be terminated. The rejected work and the reports shall be retained on file by the Faculty. A written notification to this effect shall be issued, accompanied by instructions on the legal remedies available.
- (2) The applicant can apply for admission to a second doctoral degree procedure with a different dissertation topic. If this dissertation is also rejected, the candidate has then irrevocably failed the examination.
- (3) If a doctoral dissertation is not rejected but is not considered fully satisfactory or is shown to have substantial shortcomings during the defence of the dissertation (disputation), then the applicant has the option to revise and resubmit it within one year. The decision on this is made by the Doctoral Degree Committee, composed pursuant to § 11 (2) Clause 2. If the doctoral dissertation is not resubmitted within this period, the doctoral degree procedure shall be terminated.

§ 13 – Date for the defence of the doctoral dissertation (disputation)

If the dissertation is accepted, the Dean shall set the date for the defence of the doctoral dissertation (disputation) and send the applicant a written invitation. If possible, the disputation is to be held during term time and at the latest six weeks after acceptance of the dissertation.

§ 14 – Examination Committee

- (1) For the defence of the doctoral dissertation (disputation), the Dean shall appoint an Examination Committee composed of:
 1. a professor from the Doctoral Degree Committee or a chairperson of a departmental committee or his or her deputy for procedures at the Faculty of Mathematics and Natural Sciences; or an authorised supervisor within the meaning of § 5 (1) for procedures at the Faculty of Engineering, as Chairperson. An examiner may not be appointed as the chairperson of the Examination Committee;
 2. the supervisor (first examiner) and

3. at least two other professors or private lecturers from Kiel University or another university, one of whom can be the second examiner.
4. In the case of doctoral degrees for graduates of universities of applied sciences, a university of applied sciences professor can be appointed member of the Examination Committee if none of the examiners is a university of applied sciences professor.

The candidate's suggestions for possible members of the committee should be accepted where possible. The Chairperson shall not be a member of the department in which the doctoral dissertation was written.

- (2) The professorial staff shall be obliged to assist as examiners in the doctoral degree procedure. The same applies to honorary professors, full-time professors and private lecturers, if they are dissertation supervisors.
- (3) The majority of the committee's members shall be members of the Faculty awarding the doctorate.
- (4) In the case of procedures leading to a Dr. rer. nat. at the Faculty of Engineering or a Dr.-Ing. at the Faculty of Mathematics and Natural Sciences, at least one full-time professor of the other Faculty must be a member of the Examination Committee.
- (5) The Dean shall invite the Faculty's Doctoral Degree Committee, the Examination Committee, as well as the authorised supervisors pursuant to § 5 (1) to the examination and the doctorate award ceremony.

§ 15 – Conducting the defence of the doctoral dissertation (disputation)

- (1) The disputation must be conducted in German or English.
- (2) The disputation is made up of two sections that are held back-to-back:
 1. a presentation by the doctoral candidate about the dissertation, lasting around 30 minutes, as well as
 2. a discussion following immediately on from this between the doctoral candidate and the Doctoral Degree Committee on the dissertation topic and related subject areas, lasting between 45 and 60 minutes.
- (3) The Chairperson shall appoint one of the members pursuant to § 14 (1) No. 3 as the minute taker. The defence proceedings shall be documented in the minutes, which are to be signed by the members of the Examination Committee. The minutes must provide a record of the main contents and the outcome of the disputation.
- (4) The members of both Doctoral Degree Committees shall be entitled to participate in the entire procedure and ask questions during the discussion. The Chairperson may allow members of the audience to ask questions.
- (5) If a committee member is unable to attend on the day of the disputation, the Chairperson of the Examination Committee may appoint another professor from the Faculty as a member of the committee. The supervisor pursuant to § 5 (1) may only be replaced in exceptional cases by resolution of the Doctoral Degree Committee.
- (6) If the disputation cannot be held due to absence, the Chairperson of the Examination Committee shall set a new date for it to be held as soon as possible thereafter.
- (7) Disputations are open to the university-affiliated public. If requested for good cause, the Doctoral Degree Committee may allow a disputation to be held in private session.
- (8) A private closing meeting of the Examination Committee is held directly following the disputation. Members of both Examination Committees may attend and are entitled to speak at the closing meeting. Attendance at the deliberations, grading of the disputation and notification of the candidate as to his or her examination result shall be reserved to the Examination Committee.
- (9) If the candidate's performance at the oral examination was satisfactory, the Examination Committee shall determine the overall grade for the doctoral degree, taking into account the grades for the dissertation and the disputation.

§16 – Repeating the defence of the doctoral dissertation (disputation)

- (1) If the applicant failed the disputation, he or she shall receive written notification of this from the Dean, accompanied by instructions on the right to appeal. The disputation can be repeated within one year of receipt of this written notification.
- (2) If the applicant fails the repeat disputation, or does not complete the repeat disputation within the set period, he or she has irrevocably failed and the doctoral degree procedure shall be terminated. Written notification to this effect shall be issued, accompanied by instructions on the right to appeal.

§ 17 – Overall grade

- (1) The permitted grades and suggested grades for the doctoral dissertation and the oral examination are:

With Distinction (<i>Mit Auszeichnung</i>)	0.0
Very Good (<i>Sehr gut</i>)	1.0
Good (<i>Gut</i>)	2.0
Satisfactory (<i>Genügend</i>)	3.0

as well as the grade for the disputation:

Failed (*Nicht bestanden*) (cf. § 16 as well as § 17 (4)).

A grade may be raised or lowered by the value of 0.3 by adding a “+” or “-” respectively. The grade “With Distinction” cannot be raised or lowered. The grade “Satisfactory” cannot be lowered. If the examiners’ reports on the dissertation give different grades, the Examination Committee must agree on one grade for the dissertation and not by calculating the average grade. The dissertation may only be awarded the grade “With Distinction” if this grade is proposed unanimously in all the reports.

- (2) The overall grade shall be obtained by calculating the total of the grade for the dissertation weighted by a factor of 0.6 plus the grade for the disputation weighted by a factor of 0.4 and rounding to the first decimal place. This result shall determine the overall grade of the doctoral degree as follows:

With Distinction	(<i>summa cum laude</i>)	at a value of 0.0
Very Good	(<i>magna cum laude</i>)	at a value of 0.1 to 1.5
Good	(<i>cum laude</i>)	at a value of 1.6 to 2.5
Satisfactory	(<i>rite</i>)	at a value of 2.6 to 3.0.

- (3) Furthermore a decision shall be reached at the end of the disputation as to whether the doctoral dissertation is ready for publication. If it has not been designated as ready for publication, its readiness for publication after completion of the required amendments shall be determined by the Dean after a hearing with the examiners.

The applicant is considered to have passed the disputation if he or she attains a grade of at least “Satisfactory”.

- (4) The applicant is considered to have failed the disputation if he or she receives a proper invitation but does not attend and does not provide compelling reasons for his or her absence. The Dean must be notified immediately in writing of reasons for non-attendance, supported by credible evidence. In case of illness, the illness must be confirmed by a doctor’s report.
- (5) Following the disputation, the applicant shall be entitled to peruse the examiners’ reports on the dissertation.

§ 18 – Compensation of handicaps for disabled or chronically ill doctoral candidates

- (1) If a candidate provides credible evidence that, owing to a chronic illness or a disability, he or she is not in a position to meet all or some of the doctoral examination requirements in the prescribed form, the Chairperson of the Doctoral Degree Committee can authorise equivalent examinations in a form appropriate to the candidate’s needs.
- (2) The university’s representative body for the disabled can be involved when the Chairperson of the Doctoral Degree Committee takes decisions pursuant to paragraph 1.
- (3) Suitable documentation shall be submitted as credible evidence of a chronic illness or a disability.

Section 3: Publication and conferral

§ 19 – Publication of the dissertation

- (1) The doctoral dissertation designated as ready for printing shall be lodged with the Faculty within one year after the disputation at the latest and made publicly available to the scientific community in an appropriate way. This requirement is fulfilled if, in addition to the copy required for the examination files, the author also supplies free of charge:

1. four copies, with simultaneous publication in generally accessible electronic media via the university library (in this case the files to be submitted to the university library must be formatted according to its specifications) or via a preprint server; or
2. four copies, if the main parts of the paper are published in a journal; or
3. four copies, if a commercial publisher will distribute the dissertation via the bookselling trade and evidence is provided of a minimum edition of at least 150 copies; or
4. 40 copies in printed or photocopied format for the purpose of distribution.

Prior to publication in electronic form, the written consent of the supervisor shall be obtained. If electronic publication should not be possible for copyright or patent reasons, initially only an abstract shall be published electronically. After three years have elapsed, the entire work must be published.

- (2) The copies to be supplied shall be made identifiable as a doctoral dissertation.
- (3) If the applicant fails to meet the deadlines laid down in paragraph 1, then all rights acquired as a result of the examination shall lapse. In exceptional cases the Dean may extend the deadline by a maximum of two additional years.

§ 20 – Conferral of the doctoral degree and doctoral degree certificate

- (1) After the disputation has been passed, at the presentation of the doctoral degree certificate the doctoral candidate gives a pledge to the Dean, sealed with a handshake, in the following words:

“I pledge to uphold the honour of the academic degree which the Faculty will confer upon me and to the best of my knowledge and conscience to seek and profess the truth.”

After this pledge has been made and the obligatory copies of the doctoral dissertation lodged pursuant to § 19, the doctoral degree shall be conferred by presentation of the doctoral degree certificate.

- (2) The doctoral degree certificate states the dissertation’s title and grade, the grade awarded for the disputation, as well as the overall grade of the doctoral degree. It is written in German with Latin terms for the overall grade added, bears the official seal of the Faculty, with the signature of the Dean and the date on which all requirements for obtaining the doctoral degree were met. Two certified copies shall be presented in addition to the original certificate.
- (3) Once the candidate has received his or her doctoral degree certificate, he or she is entitled to hold a doctoral degree title. Up to this point, the candidate is not permitted to use the doctoral degree title in any form.

Section 4: Awarding of doctorates under binational doctoral degree procedures

§ 21 – Binational doctoral degree procedure

- (1) The Faculty can award doctorates jointly with a foreign university or an officially recognised institution of higher education on the basis of joint supervision and evaluation of the dissertation and a jointly conducted final oral examination. The doctoral title to be used may either take the form of a doctorate from the Faculty of Mathematics and Natural Sciences (Dr. rer. nat.) or of the Faculty of Engineering (Dr.-Ing.) or of a doctorate from the academic partner institution concerned, according to preference. Attention is drawn to the relevant provision in § 25 (2).
- (2) Further details shall be regulated in a partnership agreement. The agreement shall contain particular provisions on § 11 as well as § 21 to § 25. The Doctoral Degree Committee may permit deviations from these provisions in justified individual cases.

§ 22 – Acceptance as doctoral candidate in the binational doctoral degree procedure

If the candidate

1. satisfies the admission requirements pursuant to § 6 and
2. has agreed his or her dissertation topic with an authorised supervisor from the Faculty of Mathematics and Natural Sciences or the Faculty of Engineering as well as an authorised supervisor from the relevant academic partner institution,

he or she can be accepted as a doctoral candidate of a binational doctoral degree procedure.

§ 23 – Examiners in binational doctoral degree procedures

If the applicant is accepted, the Dean shall appoint the supervisor from the Faculty as the first examiner. The supervisor from the partner institution shall be appointed as the second examiner.

§ 25 – Certificate

- (1) On successful completion of the joint doctoral degree procedure the Faculty shall produce the doctoral degree certificate, which shall also state the name of the relevant academic partner institution.
- (2) The doctorate may be used in its German form. Alternatively, the degree title conferred abroad can be used under the conditions laid down in Section 57 HSG without individually obtaining the Ministry's consent.

Section 5: Final provisions

§ 26 – Denial and revocation of the doctorate

- (1) At the instigation of the Doctoral Degree Committee, the Faculty Convention can, following consultation with the applicant and prior to presentation of the doctoral degree certificate, declare the doctoral examination results invalid if it is found
 1. that the applicant was guilty of deception or attempted deception in connection with his or her evidence of doctoral studies, or that important doctoral degree admission requirements were erroneously assumed to have been met, or
 2. that the applicant has been sentenced to a term of imprisonment of more than one year for a crime committed with intent and the conviction is not yet spent, or
 3. that the applicant is not capable of performing an official function (§ 40 (2) No. 4 HSG).
- (2) At the instigation of the Doctoral Degree Committee, the Faculty Convention can, after a hearing with the doctor, revoke a doctorate, if
 1. the conditions in paragraph 1 apply; or
 2. the conditions in paragraph 1 numbers 2 or 3 subsequently take effect;
 3. grossly negligent academic behaviour is discovered subsequently.

§ 27 – Data collection

Pursuant to Section 45 HSG the Faculty collects such personal data from doctoral applicants and doctoral candidates as are necessary pursuant to these Doctoral Degree Regulations and the Higher Education Statistics Act (*Hochschulstatistikgesetz*, HStatG) for the legal discharge of its duties.

§ 28 – Exceptions

At the instigation of the Doctoral Degree Committee, the Faculty Convention can deviate from the provisions set out in these Doctoral Degree Regulations in justified exceptional cases.

This applies especially to the admission requirements under § 4. However, the requirement of a satisfactory dissertation and a satisfactory disputation cannot be waived.

§ 29 – Entry into force und transitional provisions

- (1) These Doctoral Degree Regulations shall enter into force on the day of their publication; simultaneously the Doctoral Degree Regulations of the Faculty of Mathematics and Natural Sciences of Christian-Albrechts-Universität zu Kiel of 12 May 2009 (NBl. MWV Schl.-H., p. 21), last amended by the regulations of 19 November 2011 (NBl. MWV. Schl.-H., p. 46) and the Doctoral Degree Regulations of the Faculty of Engineering of Christian-Albrechts-Universität zu Kiel of 12 May 2011 (NBl. MWV. Schl.-H. p. 51), shall expire.
- (2) The Doctoral Degree Regulations that expire pursuant to paragraph 1 shall continue to apply to doctoral candidates accepted before these Doctoral Degree Regulations enter into force. These candidates may apply to do their doctoral degree according to the new Doctoral Degree Regulations.

The Doctoral Degree Committee of either faculty may apply to make changes to these Doctoral Degree Regulations at any time and changes must be agreed by the Faculty Conventions of both faculties.

If both faculties cannot reach an agreement on the change applied for, agreement may be postponed for good cause until the end of the semester. In this case, the Doctoral Degree Regulations shall expire at the end of the semester or at the latest when the faculties have produced their own or joint new Doctoral Degree Regulations.

Permission pursuant to Section 54 (3) HSG was granted by the University Board of Kiel University in its letter of 30 August 2012.

Kiel, 31 August 2012

- *signed* -

Prof. Dr Wolfgang J. Duschl
Dean of the Faculty of Mathematics and Natural Sciences
at Christian-Albrechts-Universität zu Kiel

- *signed* -

Prof. Dr Wilhelm Hasselbring
Dean of the Faculty of Engineering
at the Christian-Albrechts-Universität zu Kiel