

## **OFFICIAL TRANSLATION OF**

### **“Promotionsordnung der Fakultät für Mathematik, Informatik und Naturwissenschaften der Universität Hamburg” (Amtliche Bekanntmachung Nr. 23, vom 10. Mai 2019)**

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ONLY THE GERMAN VERSION SHALL BE LEGALLY  
VALID AND ENFORCEABLE!**

### **Doctoral Degree Regulations of the Faculty of Mathematics, Informatics and Natural Sciences at Universität Hamburg**

**dated 2 May 2018**

On 25 February 2019 in accordance with Section 108 subsection 1 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 18 July 2001 (HmbHGVBL. p. 171) as amended 28 November 2017 (HmbGVBl. p. 365), the Executive University Board of Universität Hamburg ratified the Doctoral Degree Regulations that were adopted by the Faculty Council of the Faculty of Mathematics, Informatics and Natural Sciences on 2 May 2018 pursuant to Section 91 subsection 2 no. 1 HmbHG.

#### **Section 1**

##### **Definition of doctoral studies and doctoral degree**

(1) The Faculty of Mathematics, Informatics and Natural Sciences at Universität Hamburg will confer the academic degree of Doctor of Natural Sciences (abbreviated: Dr. rer. nat.) as well as an honorary doctorate (abbreviated: Dr. rer. nat. h.c. as well as Dr. phil. h.c.) for special scholarly achievements on the basis of a doctoral procedure in accordance with the following provisions. Upon application, the Faculty will confer the academic degree Doctor of Philosophy (abbreviated: PhD) in lieu of the academic degree Doctor of Natural Sciences upon documentation of the successful completion of doctoral studies within the framework of a doctoral degree program in accordance with Section 70 subsection 5 HmbHG. In exceptional cases (health sciences or cosmetics science), the Faculty will confer the academic degree of Doctor of Philosophy (abbreviated: Dr. phil.).

(2) Doctoral studies evince the capacity for in-depth scholarly work through independent research.

(3) Doctoral work consists of

- a written doctoral dissertation
- and
- its oral defense

## **Section 2**

### **Doctoral committees**

(1) The Office of the Dean shall establish a Faculty Doctoral Committee. The Faculty Doctoral Committee shall act as an examinations board in accordance with Section 63 subsection 1 HmbHG in conjunction with Section 59 HmbHG possessing the competencies described therein. The Office of the Dean shall define doctoral subjects in consultation with the departments and as a rule shall set up department-specific subcommittees upon recommendation of the departments and appoint the chairs thereof. The Faculty Doctoral Committee shall delegate the exercise of its responsibilities to the department-specific subcommittees (subject doctoral committees) pursuant to the provisions of these Doctoral Degree Regulations. The subject doctoral committees shall process all doctoral procedures at the department level. The chairs of the subject doctoral committees, the spokesperson from the Graduate School, a doctoral candidate who has been admitted to a doctorate, and a research associate with a doctoral degree as well as a respective alternate for each shall comprise the Faculty Doctoral Committee. The Office of the Dean shall appoint a vice dean, who shall possess voting rights as chair of the Faculty Doctoral Committee. In addition, a member from each responsible administrative office may participate in an advisory capacity. The subject doctoral committees shall be comprised of four to six members who have completed a *Habilitation* or university teachers, a doctoral candidate who has been admitted to a doctorate, and a research associate with a doctoral degree as well as at least one alternate for each member of the committee. In addition, a member from each responsible administrative office may participate in an advisory capacity. Committee members shall have a two-year term of office, except for the doctoral candidate committee member, who shall have a one-year term of office. A member may serve for more than one term of office. A successor shall be appointed for any remaining term of office if a member should prematurely resign.

(2) Subject doctoral committees shall decide on the admission of applicants to the doctoral procedure. They must deliberate on all applicants. In the case of

interdisciplinary doctoral projects, the subject doctoral committee shall ensure the appropriate participation of the other disciplines in the assessment. In cases of doubt (interdisciplinary doctorates), the Faculty Doctoral Committee can decide on admission. If a subject doctoral committee does not consider itself qualified for a doctoral procedure, it can forward the corresponding applications to the Faculty Doctoral Committee.

(3) The Faculty Doctoral Committee shall meet at least once per semester and where necessity requires be convened by the chair upon three weeks' notice (during the reading period upon six weeks' notice). The subject doctoral committees shall convene regularly. The dates of the meetings must be announced well in advance in each department. All complete applications that are received one week before the date of the meeting shall be added to the agenda of the meeting. Doctoral committee meetings shall not be open to the public.

(4) Subject doctoral committees may promulgate their own specific rules of order and procedure that, for example, set forth which tasks the chair shall perform in order to ensure the expeditious realization of doctorates and which decisions can be made without formal meetings. The subject doctoral committees shall regularly report to the Faculty Doctoral Committee on their work (statistics on procedures, as well as any unusual or particular events). If problems or difficulties arise, the parties involved may consult the Faculty Doctoral Committee.

(5) The Faculty Doctoral Committee is accountable to the Office of the Dean. The Faculty Doctoral Committee shall report annually, for example, within the scope of the annual reports from the Office of the Dean.

### **Section 3** **Supervisors, assessors, and examination commission members**

The provisions regarding supervision, assessment, and examination commission membership are applicable to the following groups of individuals<sup>1</sup>:

a) university teachers and senior professors, as well as faculty members of the Faculty of Mathematics, Informatics and Natural Sciences who have completed a *Habilitation*

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<sup>1</sup> General rules and regulations regarding examiners are set forth in Section 64 HmbHG.

- b) university teachers appointed in the Faculty of Mathematics, Informatics and Natural Sciences who have temporarily assumed full-time duties in the university administration
- c) jointly appointed university teachers of the Faculty of Mathematics, Informatics and Natural Sciences who are on leave and employed at a non-university institution within the scope of their appointment
- d) members of non-university research and education institutions who in consultation with the Office of the Dean of the Faculty of Mathematics, Informatics and Natural Sciences have been personally granted the right to participate in doctoral procedures as supervisors, assessors, and/or examiners by Universität Hamburg within the scope of cooperation agreements
- e) professors nominated personally by subject doctoral committees in consultation with the Office of the Dean of the Faculty of Mathematics, Informatics and Natural Sciences pursuant to Section 17 subsection 1 HmbHG who have been conferred the academic title of professor by Universität Hamburg through the Faculty of Mathematics, Informatics and Natural Sciences and who are members or affiliates of Universität Hamburg pursuant to Section 2 subsections 1 and 2 of the Universität Hamburg Statutes
- f) university teachers appointed in the Faculty of Mathematics, Informatics and Natural Sciences who are on temporary leave or have been dispatched to a post outside of Universität Hamburg
- g) retired university teachers from the Faculty of Mathematics, Informatics and Natural Sciences
- h) university teachers, as well as members from other faculties of Universität Hamburg who have completed a *Habilitation*
- i) *Privatdozenten* personally nominated by subject doctoral committees in consultation with the Office of the Dean of the Faculty of Mathematics, Informatics and Natural Sciences pursuant to Section 17 subsection 2 HmbHG who have been conferred a teaching authorization as a *Privatdozent* by Universität Hamburg through the Faculty of Mathematics, Informatics and Natural Sciences and who are affiliates of Universität Hamburg pursuant to Section 2 subsection 2 of the Universität Hamburg Statutes
- j) early career research group leaders who have been selected through a procedure that includes a public announcement and in particular an assessment procedure for which Universität Hamburg is the hosting institution and who, in consultation with the Faculty Doctoral Committee and the Office of the Dean of Mathematics, Informatics and Natural Sciences, have been conferred the right within the scope of an agreement to guide doctoral candidates through a doctorate
- k) persons nominated by the subject doctoral committees of the Faculty of Mathematics, Informatics and Natural Sciences who can be regarded as equivalent to

members who have completed a *Habilitation* and university teachers, such as members who have completed a *Habilitation* and university teachers from other domestic or international higher education institutions or non-university research institutions, provided that they have been proven to be qualified for the doctoral subject

l) in justified cases, scientists or scholars nominated by the subject doctoral committees of the Faculty of Mathematics, Informatics and Natural Sciences who have doctorates, provided that they have been proven to be qualified to supervise the proposed doctoral dissertation project

Further specifics are governed in Section 7 subsection 3, Section 9 subsections 1 and 2, and Section 10 subsection 2.

#### **Section 4 Admission requirements**

(1) An application for admission to the doctoral procedure must be submitted to the responsible subject doctoral committee before work on the doctoral dissertation project commences.

(2) Generally, the prerequisite for admission to the doctoral procedure is the successful completion of a degree program from a higher education institution within the purview of [German] constitutional law that is relevant to the doctoral dissertation project by completing or passing

- a research-orientated master's degree program usually encompassing a total of 300 ECTS credits including those earned in an undergraduate degree program;
- a *Magister* in a degree program at a university or equivalent higher education institution;
- a *Diplom* in a degree program at a university or equivalent higher education institution;
- the first state examination for teaching training in general education or vocational schools, or
- a *Staatsexamen* (state examination) for the subjects food chemistry or pharmacy.

(3) An applicant may eligible for (fast track) admission upon obtaining a bachelor's degree in a degree program that is materially relevant to the doctoral dissertation project, provided that the degree corresponds to the criteria established by the subject doctoral committee and an assessment review has been successfully conducted by at least two faculty members who have completed a *Habilitation* or full-time university

teachers, of which one must be a professor from a discipline central to the doctoral dissertation project. The subject doctoral committee will decide on the form of assessment. Admission pursuant to the provisions of this subsection is subject to the condition that the applicant acquires a master's degree in a subject relevant to the doctoral dissertation project within the framework of the doctoral procedure and may also be contingent on the satisfaction of additional conditions (e.g., the submission of proof of course completion or that particular module examinations from a master's degree program have been passed within a set period of time).

(4) If the applicant has a degree other than those specified in subsections 2 and 3 above, then he or she may be admitted to the doctoral procedure, provided that the educational qualification qualifies the applicant for the doctoral subject. This shall especially apply if the applicant has completed a master's degree program

- in a degree program that encompasses less than 300 ECTS credits including those earned in an undergraduate degree program or
- in a non-research-orientated degree program.

The subject doctoral committee may admit these applicants to the doctoral procedure on the condition that before commencement of the doctoral project proof of specified course completion within a set period of time be presented in accordance with the requirements set by the subject doctoral committees, the completion of which is customary in the required higher education degree program set forth in subsection 2 herein or is necessary to supplement the knowledge and skills demonstrated by the applicant for the intended doctorate.

(5) Comparable coursework and examination criteria equivalent to the requirements set forth in subsection 2 herein for a degree conferred by a higher education institution not within the purview of [German] constitutional law will also be recognized as equivalent. If there is some doubt as to equivalence, then a certificate of equivalence must be obtained from the Zentralstelle für ausländisches Bildungswesen (Central Office for Foreign Education) at the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany. If equivalence is not recognized, the subject doctoral committee will review the matter in order to determine whether or not the satisfaction of the conditions outlined in Section 3 would be enough to establish equivalence.

(6) If the applicant has been conferred a *Diplom* from a degree program at a university of applied sciences or vocational academy, he or she may be admitted, provided that the educational qualification qualifies the applicant for the doctoral

subject. Applicants may demonstrate their aptitude by furnishing proof of receiving the best overall grade in a final examination at a university of applied sciences or vocational academy in a degree program relevant to the doctoral dissertation project in accordance with the grading scale set forth in the respective examination regulations. The subject doctoral committee shall decide on a case-by-case basis whether or not to proceed in accordance with subsection 4 herein.

## **Section 5 Admission procedure**

(1) Applications for admission to the doctoral procedure must be submitted with the following supporting documents to the subject doctoral committee or in exceptional cases to the Faculty Doctoral Committee:

- a) degree certificates, diplomas, and proof of qualifications necessary pursuant to Section 4 herein
- b) a tabular curriculum vitae with a summary of pertinent activities and experience related to the proposed doctoral dissertation project and where applicable a list of publications
- c) a statement attesting to whether the applicant has previously submitted an application for admission to a doctoral procedure, or whether a doctoral procedure is currently being or has been pursued at another higher education institution or in another faculty; where applicable provide all details of previous doctoral applications or projects
- d) a statement that the applicant is familiar with the applicable doctoral degree regulations, and
- e) a statement acknowledging that the applicant has read and understood the Bylaws for Safeguarding Good Scientific Practice and Avoiding Scientific Misconduct at Universität Hamburg

The doctoral candidate and the supervisor shall execute a supervision agreement, wherein the topic of the doctoral dissertation and methodology must be stipulated. The applicant is at liberty to choose the topic of the doctoral dissertation project; however, this choice must be agreed to by the supervisor.

(2) A presentation of the topic and an outline of the research project must accompany the admission application. The subject doctoral committees shall determine the scope and format of the outline. The doctoral dissertation project must be supervised by at least one supervisor; this is governed in more detail in Section 7 subsection 3.

A supervisor must confirm the availability of a workstation for the doctoral dissertation project. For doctoral dissertation projects carried out externally, a signed waiver for a workstation at the Faculty of Mathematics, Informatics and Natural Sciences must be included in the doctoral file. A presentation and explanation of the doctoral dissertation project are required for the doctoral file. The responsible subject doctoral committee may decide to impose a condition on applicants who are to be admitted pursuant to Section 4 subsection 3 (in deviation to Section 5 subsection 4 b) to subsequently submit the presentation, outline, and explanation by a specific deadline.

(3) The subject doctoral committee will generally decide on applications for admission to the doctoral procedure at the meeting subsequent to the receipt of the application. If an application is rejected, this must be stated in writing setting forth the reasons therefor.

(4) Applications to the doctoral procedure will be rejected if

- a) the requirements set forth in Section 4 are not satisfied,
  - b) supporting documents pursuant to subsections 1 and 2 hereof are missing,
  - c) a doctoral procedure in the respective discipline or subdiscipline has already been successfully completed,
- or
- d) the subject doctoral committee and the Faculty Doctoral Committee declare themselves not competent for the subject matter of the proposed project.

(5) The doctoral dissertation should generally be completed within three years. Admission shall be valid for an initial period of four years. The doctoral dissertation should be submitted to the subject doctoral committee within this period. Upon the submission of a request setting forth the reasons therefor, the time period may be extended. Any request for more time must be submitted to the subject doctoral committee at the latest three months prior to the expiry of the four-year period. The subject doctoral committee must notify the supervisor and the doctoral candidate of this deadline well before it expires. The subject doctoral committee is responsible for granting or denying any extensions of time with respect to admission.

## **Section 6**

### **Enrollment as a student in a doctoral degree program**

Doctoral candidates must enroll at Universität Hamburg as a doctoral student by the conclusion of the doctoral procedure. This also applies to doctoral dissertation projects



carried out externally. Enrollment must take place no later than the semester following admission. Admission shall be rescinded if a student does not enroll.

### **Section 7**

#### **Undertaking the doctoral dissertation project, supervision, and standard completion time**

(1) Once a doctoral candidate has been admitted to the doctoral procedure, the Faculty is then responsible for warranting the supervision and later evaluation of the doctoral dissertation project.

(2) Upon admission, the subject doctoral committee shall appoint pursuant to Section 5 and on recommendation by the applicant either

a) a supervisor and where applicable a co-supervisor

or

b) a three-member supervisory commission panel comprised of a chair, a supervisor, and a co-supervisor.

(3) The supervisor pursuant to subsection 2 (a) or subsection 2 (b) should generally be an academic pursuant to Section 3 a). (4) In justified exceptional cases, the supervisor pursuant to subsection 2 (a) or subsection 2 (b) may be an academic in accordance with Section 3 b) to e). Co-supervisors pursuant to subsection 2 (a) or subsection 2 (b) may be academics in accordance with Section 3 a) to l). An academic pursuant to Section 3 a) to h) shall sit as chair per subsection 2 (b).

(4) The supervision of a doctoral dissertation project is an ongoing obligation of the supervisor and may not be delegated. Supervisors must provide structured supervision. This includes, *inter alia*, mandatory and regular meetings to discuss the progress of the doctoral dissertation project and periodic feedback about the doctoral candidate's performance and potential. There must be personal contact with the doctoral candidate and guidance on complying with the rules of good scientific practice.

(5) The doctoral dissertation should generally be completed within three years (standard completion time). The subject doctoral committee shall set corresponding individualized deadlines for doctoral candidates who have been admitted to the doctoral procedure pursuant to Section 4 subsection 3 herein. German regulations regarding the protection of mothers at work and during training or studies (Gesetz zum Schutz von Müttern bei der Arbeit, in der Ausbildung und im Studium, MuSchG) must be taken into account. The same shall also apply to deadlines in accordance with

the federal parental allowance and parental leave act (Gesetz zum Elterngeld und zur Elternzeit, BEEG). The standard completion time shall be extended by the respective term of statutory maternity leave and/or parental leave.

(6) If for substantial reasons a supervisor or the doctoral candidate feels compelled to terminate the supervisory relationship during the course of dissertation work, then they must inform the chair of the subject doctoral committee in writing of the reasons therefor without undue delay. Upon termination of the supervisory relationship, the doctoral candidate may search for a new supervisor. The subject doctoral committee shall assist the doctoral candidate with his or her search.

If the subject doctoral committee ascertains that the termination of the supervisory relationship is attributable to clear failings or misconduct of the supervisor, the subject doctoral committee shall provide a new supervisor who shall supervise and continue with the project. The doctoral candidate must participate and assist in the search for a new supervisor, and where appropriate accept reasonable modifications to the project.

Admission to the doctoral procedure shall be rescinded four months after the termination of the supervisory relationship if no new supervisor can be found. If the doctoral candidate plans to submit the doctoral dissertation within this period, the subject doctoral committee shall nominate a university teacher pursuant to Section 3 a) upon consultation with the doctoral candidate who, upon reviewing the dissertation intended to be submitted shall furnish the subject doctoral committee with a written opinion about whether the manuscript satisfies the requirements of a doctoral dissertation. Based on this opinion, the subject doctoral committee shall render a decision about the admissibility of the submission.

(7) Once a supervisor is no longer a member of or affiliated with Universität Hamburg, he or she shall retain the right for four years thereafter to supervise a doctoral dissertation project that has commenced through to its completion, undertake the assessment of the dissertation, and remain a voting member of the examination commission.

## **Section 8** **Doctoral dissertations**

(1) The written doctoral dissertation is the documentation of the aptitude for independent and in-depth scholarly work and the advancement of scholarship with noteworthy results meriting publication.

(2) A doctoral dissertation composed in German, English, or upon request in another research language may be submitted as:

a) a dissertation comprised of a single coherent description of research work and results

or

b) a dissertation by publication comprised of individual papers that collectively are equivalent to a dissertation pursuant to letter a). The subject doctoral committees shall establish requirements for a dissertation by publication. In addition to the designated information from the individual papers set forth in Section 8 subsection 5, a dissertation by publication must have an overarching title and consist of an introduction and synthesized essay that comprehensively interprets, evaluates, and discusses the individual papers and related essays included in the cumulative work.

(3) When doctoral dissertations are produced in collaboration with other scholars, the doctoral candidate's contribution must be clearly definable and assessable. The doctoral candidate must indicate in detail his or her contribution to the conception, realization, and composition of the work.

(4) Doctoral candidates must cite all resources and aids, and affirm in an affidavit that they independently produced the scholarly work. They must affirm to have written the doctoral dissertation themselves and to have used no other resources. The doctoral dissertation may not have been accepted as part of any previous doctoral procedure or graded as insufficient. In cases of doubt, work submitted in previous doctoral procedures must be submitted for comparison.

(5) The dissertation must have a title page with the name of the author, its designation as a doctoral dissertation submitted to the specific faculty and organizational unit at Universität Hamburg, the year of the submission, and a cover page with space provided for the names of the assessors. Interdisciplinary doctoral dissertations may also name more than one organizational unit. The doctoral dissertation must be accompanied by a short summary of results in both English and German and a list of any prior publications ensuing from it. Moreover, the doctoral dissertation must contain the requisite subject-specific or legal supplements.

(6) The typewritten doctoral dissertation must be submitted in electronic form to the subject doctoral committee responsible for the doctoral procedure along with a sufficient number of bound copies. The candidate must warrant that both forms are identical. Each assessor and each member of the examination commission shall receive a bound and electronic copy or only an electronic copy, and one copy shall be

deposited with the Faculty and archived. The subject doctoral committee may establish rules for the format of the doctoral dissertation, determine the number of copies to be submitted, and decide in what form copies must be sent to assessors and members of the examination commission.

(7) Upon the doctoral candidate's request, the subject doctoral committee shall decide on suitable measures to compensate for disadvantages of disabled doctoral candidates pursuant to Section 60 subsection 2 no. 15 HmbHG with respect to the written dissertation.

### **Section 9 Examination commission**

(1) For each doctoral procedure, the responsible subject doctoral committee shall establish an examination commission once the doctoral candidate has submitted the dissertation. The doctoral candidate is entitled to recommend members for the examination commission. The subject doctoral committee shall appoint a chair and vice-chair who must be academics pursuant to Section 3 a) or Section 3 c). The examination commission shall appoint an examination commission member as its secretary.

(2) The examination commission shall be comprised of at least three persons who are authorized to supervise doctoral procedures, of which the majority must be academics pursuant to Section 3 a) to e). At least one member of the examination commission must be a university teacher from the Faculty of Mathematics, Informatics and Natural Sciences pursuant to Section 3 a). No more than one retired academic may be a part of the examination commission.

(3) The subject doctoral committee shall supplement the examination commission in accordance with the conditions set forth in subsection 2 above if any member should retire from the commission or for compelling reasons be unable to discharge his or her duties.

(4) The examination commission's duties are to

- a) evaluate the dissertation based on the submitted assessments and any written positions submitted pursuant to Section 10 subsection 5 herein,
- b) conduct the oral defense,
- c) evaluate the oral defense, and

d) assign an overall final grade, which takes into account the individual grades for the dissertation and oral defense pursuant to Section 11 and Section 13

(5) Examination commission meetings shall not be open to the public.

(6) Examination commission decisions shall be made upon the decision of the majority of the members. All votes on evaluations of performance shall be cast by open ballot and no abstentions shall be permissible. Decisions on the evaluation of performance may only be made upon participation of all examination commission members. At least a two-thirds majority is required for any decision regarding the award of the grade *summa cum laude*.

#### **Section 10 Evaluation of the doctoral dissertation**

(1) The subject doctoral committee shall promptly appoint at least two assessors for the doctoral dissertation after the doctoral candidate has submitted it.

(2) Generally, one supervisor or one co-supervisor of the doctoral dissertation project pursuant to Section 7 subsection 2 (a) or (b) should be appointed as an assessor. Assessments shall be prepared by academics in accordance with Section 3 a) to l). One assessment must be prepared by an academic pursuant to Section 3 a) to e). As a rule, at least one assessor will be from the group set forth in Section 3 a). At least one assessor must be an authority in the subject matter of the doctoral dissertation. If material methodological or substantive aspects of the dissertation concern a field of study that is principally taught at another faculty, then one assessor should be from this faculty pursuant to Section 3 h). The doctoral candidate may recommend assessors. A recommendation is to be effectuated to the extent tenable and possible.

(3) The assessments must be composed independently of each other and submitted within six weeks of the request therefor. The members of the subject doctoral committee and the examination commission must keep and treat the assessments confidentially. The assessments must acknowledge the significance of the dissertation and its results and findings within a larger context and indicate any shortcomings. In the overall assessment, each assessor shall either recommend accepting the dissertation upon specifying a grade therefor in accordance with Section 11 herein or rejecting the dissertation. If the requisite evaluations are not clear in an assessment, the subject doctoral committee shall return the assessment for revision.

(4) If the evaluations in the assessments deviate from each other by more than one full grade (decimal value 1.0), the subject doctoral committee may appoint an additional assessor upon consultation with the members of the examination commission. If one of the two assessments has evaluated the work as “insufficient,” a third assessment must be obtained.

(5) The grade of *summa cum laude* shall only be awarded on the basis of the unanimous agreement of all assessors. This shall require at least three assessments, one of which must be from an external source. Additional assessments may be commissioned, as appropriate. The subject doctoral committee shall decide on the person who shall prepare the external assessment; this decision must be made by the committee without any dissenting vote. In the last five years, this person should not have had a joint project or publication with either the supervisor of the doctoral dissertation or the doctoral candidate.

(6) In justified exceptional cases, the subject doctoral committee may commission an additional assessment if the examination commission does not believe that it is in a position to determine the overall grade of the doctoral dissertation on the basis of the assessments submitted.

(7) Upon written recommendation by an assessor, the work may be returned ungraded to the applicant by the examination commission for revision. This event must be reported to the subject doctoral committee. The changes within the scope of any revision must concern clearly defined, precisely formulated topics or issues from the dissertation and should not result in substantial changes to the work. The aforementioned procedure shall once again be implemented after the submission of the new draft. The new assessments may not contain any requests for modification.

(8) The assessments shall be made available to the university public for inspection and review one week before the oral defense, unless this would be expressly prohibited—for example for patent law reasons. The assessments in an anonymized form shall be made available to the academics set forth in Section 3 a) and b), the supervisors, the co-supervisors, the chair pursuant to Section 7 subsection 2 (b), the assessors, and the doctoral candidate for inspection and review one week before the oral defense.

## Section 11

### Decision about approval of the doctoral dissertation and scheduling the oral defense

(1) After the assessments have been submitted, the examination commission shall decide whether to accept or reject the doctoral dissertation and admit the doctoral candidate to the oral defense as well as the assignment of a grade to the dissertation.

It shall use the following grading scale, provided that the doctoral dissertation has been approved and accepted:

- very good (*magna cum laude* 1.0 or 1.3)
- good (*cum laude* 1.7, 2.0, or 2.3)
- sufficient (*rite* 2.7 or 3.0)

(2) In exceptional cases, the grade “with distinction” (*summa cum laude*) may also be awarded.

The grade of *summa cum laude* for a doctoral dissertation may only be awarded if all assessments submitted pursuant to Section 10 subsection 5 recommend this grade.

(3) In the event the doctoral dissertation is rejected, the examination commission shall, without scheduling an oral defense, declare the doctoral degree as failed and set forth the reasons for the decision. The chair of the subject doctoral committee shall inform the doctoral candidate in writing about the rejection and specify the reasons for the examination commission’s decision.

(4) If the doctoral dissertation is accepted and approved, the examination commission shall inform the doctoral candidate of its decision (including the grade) and together with the doctoral candidate schedule a date for the oral defense. The oral defense should be held within two months of receipt of the last assessment. Upon request, the chair of the subject doctoral committee shall make a decision on any justified exceptions. The chair of the subject doctoral committee shall provide notice and invitation to the oral defense no later than one week before the date scheduled for the oral defense.

(5) The doctoral candidate shall fail the doctoral degree if he or she decides not to orally defend the doctoral dissertation. The chair of the subject doctoral committee must inform the doctoral candidate about this in writing.

## **Section 12**

### **Oral defense**

(1) The purpose of the oral defense is to allow the doctoral candidate to demonstrate his or her aptitude for oral recitation and discussion of scholarly problems. The oral defense may be conducted in German or English at the doctoral candidate's discretion. Upon the doctoral candidate's request, the subject doctoral committee shall decide on conducting the oral defense in another academic language. The oral defense shall be open to the university public. The chair may exclude the public to the extent this is required for the proper conduct of the oral defense. The members of the Faculty Doctoral Committee and the responsible subject doctoral committee are not considered members of the public in this regard. Examination commission members must attend the oral defense.

(2) The doctoral candidate must present the results of the dissertation and their significance in the broader context of the subject in a presentation lasting approximately half an hour. Subsequently, the doctoral candidate shall defend the doctoral dissertation and answer questions posed by members of the examination commission. Questions should also relate to the relevance of the problems of the dissertation in larger scholarly contexts. Subsequently, the chair of the examination commission can allow questions from the university public on the topic of the oral defense. Questioning should last a minimum of 30 minutes and a maximum of 90 minutes.

(3) The examination commission chair shall coordinate the scholarly discussion and shall decide on the priority and, if necessary, the permissibility of the questions.

(4) The secretary shall keep the minutes of the oral defense. A transcript of the minutes shall be placed in the doctoral file. Minutes must contain the following information:

- a) date, time, and location of the oral defense
- b) attendance list of the examination commission members
- c) the doctoral dissertation grade
- d) bullet point information about the questions
- e) the oral defense grade
- f) denomination and numerical value of the overall grade in accordance with Section 13
- g) unusual or particular events

All members of the examination commission must sign the transcript of the minutes.



(5) The doctoral candidate shall be deemed to have failed the oral defense if he or she fails to attend without a valid excuse. The responsible subject doctoral committee must inform the doctoral candidate about this in writing.

(6) Upon the doctoral candidate's request, the subject doctoral committee shall decide on suitable measures to compensate for disadvantages of disabled doctoral candidates pursuant to Section 60 subsection 2 no. 15 HmbHG with respect to the oral defense.

### **Section 13** **Decision about the oral defense and doctorate**

(1) Immediately following the oral defense, the examination commission shall evaluate it in a closed session, and, providing that the oral defense has been successfully passed, assign it a grade in accordance with the grading standards set forth in Section 11 subsection 1 herein. The examination commission shall then award an overall grade in accordance with the grading standards set forth in Section 11 subsection 1 herein. When calculating the overall grade, the evaluation of the dissertation shall receive twice the weight of the oral defense grade. The final grade for the doctorate shall be based on the correspondingly rounded weighted-average as follows:

from 1.00 to less than 1.50: "very good" (*magna cum laude*)

from 1.50 to less than 2.50: "good" (*cum laude*)

from 2.50: "sufficient" (*rite*)

The overall grade "with distinction" (*summa cum laude*) may only be awarded if the dissertation was awarded this grade and the oral defense received the grade 1.0. The examination commission will inform the doctoral candidate of the individual grades for the dissertation and oral defense as well as of the overall final grade.

(2) After the examination commission has assigned the final grade, the doctoral candidate shall receive a provisional diploma containing the title of the doctoral dissertation, the individual grades for the dissertation and oral defense, and the overall final grade. This provisional diploma does not entitle the holder to use the doctor title.

(3) If the doctoral candidate fails the oral defense, then within four weeks the chair of the subject doctoral committee shall inform the doctoral candidate of this decision,

setting forth the reasons therefor in writing. The oral defense may be repeated once no earlier than three months and no later than six months thereafter.

(4) If the doctoral candidate fails the second oral defense attempt, the examination commission shall upon setting forth the reasons therefor declare that the candidate has failed the doctoral degree. Within two weeks, the chair of the subject doctoral committee shall inform the doctoral candidate of this decision in writing.

#### **Section 14 Publication and submission obligations**

(1) The doctoral dissertation must be published within one year of completing the doctorate (subsection 2). If the dissertation cannot be published within the time frame fixed therefor, the chair of the subject doctoral committee may grant an extension upon submission of a well-grounded petition therefor.

(2) The Faculty Doctoral Committee shall decide in accordance with State and University Library requirements on how many printed or reproduced copies of the doctoral dissertation must be submitted by the doctoral candidate. The Committee shall also determine in what form printed copies may be substituted with other information media in order to comply with the candidate's publication obligations.

(3) The doctoral dissertation must be published in the version that was ultimately evaluated. Upon the submission of a petition therefor, the doctoral candidate may publish a version that deviates from the original, provided that any changes are only editorial in nature. The chair of the examination commission must appoint one of the assessors or a member of the examination commission to review and assent to such changes.

#### **Section 15 Diploma**

(1) A diploma conferring the doctorate will be issued in German. An English translation may be issued on request. In addition to the doctoral candidate's personal details, the diploma shall contain information pertaining to the doctoral subject, title of the doctoral dissertation submitted, the final grade, the academic title conferred, and the date the oral defense was successfully completed. An addendum shall be attached to the diploma in which the individual grades (grades for the dissertation and oral defense), the overall final grade, and the names of the assessors shall be specified.

(2) The dean of the Faculty of Mathematics, Informatics and Natural Sciences and the chair of the subject doctoral committee shall sign the diploma conferring the doctorate. The diploma shall be affixed with the seal from Universität Hamburg. The Universität Hamburg president may also sign the diploma. The addendum shall be signed and affixed with a seal by the chair of the subject doctoral committee.

(3) The diploma will not be awarded to the applicant if, before being conferred, it becomes apparent that conditions have been met that warrant divestiture of the doctorate. In such an event, the applicant shall be notified about the reasons underlying the decision not to tender the diploma. Moreover, the applicant shall be informed about his or her option to appeal this decision.

(4) The diploma should be issued within four weeks but in no event later than three months subsequent to the receipt of the notification that the publication obligations pursuant to Section 14 herein have been discharged. The diploma conferring the doctorate shall entitle the person to use the doctor title.

#### **Section 16 Appeal and procedural review**

A doctoral candidate may submit an appeal of any decision reached by the examination commission or subject doctoral committee to the chair of the examination commission or subject doctoral committee within one month of the respective decision, provided that the doctoral candidate has been given information about his or her legal remedies; otherwise, he or she shall have one year from the date of notification of any decision to submit an appeal. If an appeal is denied relief by the examination commission or subject doctoral committee, the matter shall be remitted to the Doctoral Degree Appeals Committee at the University for a decision (Section 66 HmbHG from 18 July 2001 as amended).

#### **Section 17 Joint doctoral degrees with foreign institutions**

(1) The doctoral procedure may be completed in a joint program with foreign universities or equivalent higher education and research institutions if

(a) the applicant meets the requirements for admission to the Faculty of Mathematics, Informatics and Natural Sciences' doctoral procedure at Universität Hamburg  
and

b) the foreign institution may according to its national laws and regulations confer a doctorate, which degree so conferred by this institution would be subject to recognition within the scope of the German Constitution.

(2) The implementation of a joint doctoral procedure must be contractually stipulated. The contractual provisions of the agreement shall apply in addition to the provisions contained in these Doctoral Degree Regulations. Upon executing the agreement, the provisions contained in these Doctoral Degree Regulations must be taken into consideration with respect to ensuring equivalence of the requirements and procedure. It must be mutually determined which doctoral degree rules and regulations shall apply. Where applicable, a German or English translation of the foreign doctoral degree regulations must be submitted in order to determine whether these regulations are equivalent to the Faculty's Doctoral Degree Regulations with respect to requirements and procedures. If the foreign doctoral degree regulations prevail, then assurance must be had that the essential provisions of the Doctoral Degree Regulations for the Faculty of Mathematics, Informatics and Natural Sciences at Universität Hamburg will likewise be complied with. The Faculty Doctoral Committee must be included in the drafting process for any agreement.

(3) The doctoral candidate must be admitted to both participating institutions as a doctoral student.

(4) The languages in which the doctoral dissertation may be written must be contractually stipulated. If applicable, the dissertation must also have a summary prepared in the third language in addition to German and English.

(5) There must be equal representation in the examination commission. This shall be determined upon agreement by both institutions, and the commission shall be comprised of at least four members including the doctoral studies supervisor, provided that this does not contravene any valid provision in the doctoral degree regulations of either institution. External assessors who are not members of either partner institution may participate in the examination commission.

The provisions set forth in Sections 7, 9, and 10 shall apply *mutatis mutandis* to supervisors, co-supervisors, assessors, and examination commission members appointed by Universität Hamburg. Supervisors, assessors, and examination commission members appointed by the partner institution must be academics who are authorized to supervise doctoral procedures and conduct examinations.

(6) The doctoral candidate and his or her supervisor must submit an application for a joint doctoral degree with the foreign institution within the first year after admission to the doctoral procedure.

(7) Universität Hamburg and the foreign higher education institution or equivalent educational or research institution shall jointly award a bilingual diploma conferring the doctorate according to the template developed by the German Rectors' Conference (HRK). This will entitle the doctoral candidate to carry the academic title in either its German or foreign variation. However, only one doctorate will be conferred.

### **Section 18 Honorary doctorates**

(1) Upon the recommendation of several university teachers in a department, the responsible department can request that the subject doctoral committee initiate procedures to award an honorary doctorate. The subject doctoral committee receives three assessments and appoints an honorary doctorate commission pursuant to Section 9 to review the conditions for awarding an honorary doctorate. Two of these assessments should be prepared by external assessors.

(2) The honorary doctorate commission shall forward a draft resolution to the Faculty Council. The awarding of an honorary doctorate requires a three-fourths majority of Faculty Council members with voting rights. Conferral takes place when a certificate listing the recipient's accomplishments is handed over.

### **Section 19 Divestiture of the doctoral degree**

Legal provisions shall apply to the divestiture of a doctoral degree.

### **Section 20 Discontinuing the doctoral procedure and withdrawal**

(1) If the doctoral dissertation is not submitted to the subject doctoral committee within the permissible period pursuant to Section 5 subsection 5, the subject doctoral committee may discontinue the procedure. The doctoral candidate and the supervisor shall be given an opportunity to be heard on the matter. Reasons for dismissal must be set forth in the administrative notice of discontinuance (Einstellungsbescheid). The administrative notice of discontinuance must be prepared in writing by the chair of

the subject doctoral committee. This will not bar any reapplication for admission to the doctoral procedure.

(2) The doctoral candidate may withdraw any time prior to the receipt of the first assessment. All procedural steps completed up until the withdrawal will no longer count as part of the dissertation procedure after the withdrawal.

### **Section 21** **Legal effect, repeal, and interim regulations**

These Faculty Doctoral Degree Regulations shall become effective at the beginning of the ensuing semester subsequent to their official publication by Universität Hamburg. All doctoral project applications for the Faculty of Mathematics, Informatics and Natural Sciences shall be subject to these Regulations after this date. Upon a joint application with their supervisors, doctoral candidates who have already been admitted may continue their doctoral procedure in accordance with the provisions of these Doctoral Degree Regulations.

Hamburg, 10 May 2019  
**Universität Hamburg**