Doctoral Degree Regulations (Statutes)
of the Faculty of Mathematics and Natural Sciences
at Christian-Albrechts-Universität zu Kiel

of
12 May 2009


On the basis of Section 52, paragraph 1 in conjunction with Section 54 paragraph 3 of the Higher Education Act of the State of Schleswig-Holstein (Hochschulgesetz, HSG) in the version published on 28 February 2007 (Schleswig-Holstein Gazette of Laws and Ordinances (GVOBl. Schl.-H.) 2007, p. 184), last amended by Article 8 of the Law Reforming the Regulation of the Rights and Duties of Civil Servants in Schleswig-Holstein (Beamtenrechtsneuregelungsgesetz, LBNeuG) of 26 March 2009 (GVOBl. Schl.-H. p. 93), following the resolution of the convention of the Faculty of Mathematics and Natural Sciences of 9.1.2009, of 28.1.2009 and of 8.5.2009, the following statutes are issued:

Part 1: General Matters

Section 1
Doctorates

(1) The faculty shall award a Doctorate in Natural Sciences (Doctor rerum naturalium, Dr. rer. nat.) on the basis of a scholarly work ('doctoral dissertation') and an oral examination.

(2) Completion of the doctoral dissertation and the oral examination shall be accepted as evidence of particular competence for advanced independent scholarship.

Section 2
Honorary Doctorates

(1) For outstanding academic achievements, the faculty may confer an Honorary Doctorate in Natural Sciences (Doctor rerum naturalium honoris causa, Dr. rer. nat. h. c.) pursuant to Section 54 paragraph 3 HSG and the Constitution of the Christian-Albrechts-Universität zu Kiel.

(2) The procedure for conferral of an honorary doctorate shall consist of the presentation to the honorary degree recipient of a certificate proclaiming his or her accomplishments.
Section 3  
Doctoral Degree Committee

(1) A doctoral degree committee shall be appointed, composed of the following members:
   1. The dean, as chairperson,
   2. the vice deans,
   3. one professor or junior professor from each of the sections,
   4. the chairs of the faculty committees (‘sections’) and
   5. two research associates who hold doctorates.

   In addition, at least one deputy shall be appointed for each member at numbers 3 and 5 above. The members at number 4 above shall be represented by their elected deputies.

(2) The doctoral degree committee shall be responsible for general questions relating to the Doctoral Degree Regulations and for performing the tasks assigned to it in these statutes.

Section 4  
Acceptance as a Doctoral Candidate

(1) On application, a person who intends to complete a doctoral dissertation can be accepted by the faculty as a doctoral candidate. The application for acceptance as a doctoral candidate is to be submitted in writing to the dean.

(2) The requirements for acceptance are
   1. that the prerequisites according to Section 6 or Section 7 have been met,
   2. that specialist evaluation by a member of the Faculty of Mathematics and Natural Sciences is possible, and
   3. that supervision has been arranged.

(3) The dean shall reach a decision on acceptance after consulting the relevant section within the faculty, 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.

(4) Upon acceptance as a doctoral candidate, he or she is enrolled on the Mathematics and Natural Sciences Faculty’s list of doctoral candidates.

(5) The application for acceptance shall be submitted before the commencement of work on the doctoral project.
(6) The application for admission to the doctoral examination procedure shall be made within 8 semesters of acceptance as a doctoral candidate. Candidates who do not enrol for the doctoral degree within this time limit shall be required to attend a counseling interview with the dean.

(7) Acceptance implies the declaration that the prerequisites according to Section 6 or Section 7 have been met at the time of acceptance.

Section 5
Supervision

(1) All professors, all junior professors, all holders of a formal professorial qualification (Habilitation) who regularly teach at the Faculty of Mathematics and Natural Sciences, and members of the faculty who with the dean's agreement independently carry out academic research projects (referred to subsequently as 'professorial staff') shall be entitled to supervise doctoral dissertations. Professorial staff affiliated to the Faculty of Mathematics and Natural Sciences by virtue of secondary appointments shall likewise be entitled to supervise doctoral dissertations. In this case, the second referee must hold a primary appointment as a professor at the Faculty of Mathematics and Natural Sciences.

(2) Retired professors who were members of the faculty immediately prior to their retirement may, with their consent, be appointed by the doctoral degree committee as supervisor in a doctoral degree procedure if the doctoral examination concerns a candidate whose doctoral project the retired professor undertook to supervise prior to his or her retirement.

(3) 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 hold an appropriate qualification as laid down in paragraph (1).

(4) Members of non-university-affiliated research institutes can, with their consent, be appointed by the doctoral degree committee as supervisor for a doctoral degree procedure provided that they hold an appropriate qualification as laid down in paragraph (1).

(5) In the event that the supervisor leaves the Faculty of Mathematics and Natural Sciences, he or she shall normally continue with the supervisory arrangement. Junior professors shall be entitled to see a supervisory arrangement through to its conclusion even if they cease to be employed in higher education.

(6) Supervision may be terminated for an important reason. The decision on this matter rests with the doctoral degree committee.
Part 2: Doctoral Studies and Doctoral Degree Procedure

Section 6
Prerequisites for Admission to the Doctoral Examination Procedure

(1) The requirements for admission to the doctoral examination procedure are:
   1. Completion of a valid degree programme in a Mathematics or Natural Sciences discipline at a university in Germany or an equivalent higher education establishment abroad; the standard course duration shall amount to at least eight semesters. Alternatively, a degree in a different discipline can be acceptable if it clearly relates to the doctoral degree topic.
   2. Evidence of successful completion of the degree programme pursuant to number 1. above; evidence shall be furnished in the form of a degree certificate from a German Diploma, Magister or Master's degree examination, from the first state examination for grammar school teachers (including secondary level II), from part three of the pharmaceutical examination, or any comparable certificate.
   (2) In especially justified exceptional cases, the doctoral degree committee can also recognise other degrees as meeting the prerequisites.
   (3) An applicant shall not be admitted if he or she has definitively failed a doctoral degree or has already embarked on a doctoral degree procedure at the University of Kiel or at another university.
   (4) The application documents specified in Section 9 must have been submitted in their entirety.

Section 7
Admission of University of Applied Sciences (Fachhochschule) Graduates to the Doctoral Examination Procedure

(1) Graduates from a university of applied sciences shall be accepted if they
   1. have completed a valid degree programme at least eight semesters in duration in a Mathematics and Natural Sciences or a Technical Engineering discipline at a university of applied sciences in Germany or an equivalent higher education establishment abroad, and the discipline studied is clearly related to the doctoral degree topic,
   2. have provided evidence of successful completion of the degree programme specified in number 1. above, in the form of a Diploma or Master's degree certificate,
   3. completed the degree programme with an overall grade of at least "very good (1.5 or better)", and
   4. furnish a declaration from a member of the professorial staff stating his or her willingness to supervise the dissertation.
(2) In deviation from paragraph (1), number 3. above, 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.

Section 8
Doctoral Dissertation

(1) The doctoral dissertation must be a scholarly work that advances academic knowledge and is written
independently on the basis of original academic studies.

(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) The doctoral dissertation can be written in German or in English. It shall include an abstract in German
and English of approximately one page in length.

Section 9
Application for Admission to the Doctoral Examination Procedure

The application for admission to the doctoral examination procedure is to be submitted in writing to the dean.
The applicant is to include the following documents with the application:

1. four copies of the doctoral dissertation;
2. a signed declaration containing statements of the following details:
   a) that the dissertation, in form and content and except for advice given by the supervisor,
      constitutes the applicant's own work,
   b) whether the work, in full or in part, has previously been submitted to any other body in the
      course of an examination procedure, or has been published or submitted for publication;
   c) that the work has been undertaken in compliance with the German Research Foundation's
      (Deutsche Forschungsgemeinschaft, DFG) rules of good academic practice;
3. a brief outline of the applicant's academic career including details of nationality, birthplace,
   programmes of study undertaken and number of semesters of study spent at the individual
   universities;
4. evidence of the degree programme specified in Section 6 or Section 7 in the form of the degree
   certificate and any other university reports;
5. a declaration of any previous attempts at doctoral degrees, stating date, faculty or department and
   research topic;
6. a certificate of matriculation, and
7. two suggestions by the supervisor for possible second referees.
Section 10
Disadvantage compensation for Doctoral Candidates with a Disability or a Chronic Illness

(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 chair of the doctoral degree committee can authorise equivalent examinations in a form appropriate to the candidate’s needs.

(2) The university’s disability officer can be involved when the chair 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 11
Admission to the Doctoral Examination Procedure

(1) The decision on admission rests with the dean. In case of refusal, a notification with a written statement of reasons is issued, accompanied by instructions on the legal remedies available.

(2) Admission shall be refused if the prerequisites for admission according to Sections 6 or 7 are not met. Admission can be refused if the application is incomplete.

(3) The application pursuant to Section 9 can be withdrawn as long as the assessment period has not yet begun.

Section 12
Appointment of Referees

(1) Once the applicant is admitted, the dean shall appoint two professorial staff from the faculty as the first and second referees for the doctoral dissertation. The supervisor of the work shall be appointed as the first referee. The second referee 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 to act as the second referee.

(2) The first or the second referee must be a member of the professorial staff holding a primary appointment in the Faculty of Mathematics and Natural Sciences. Staff members holding a secondary appointment are only appointed as referees if they have supervised the doctoral dissertation.
(3) The reports of the first and second referees shall be produced within a period of four weeks from the admission decision. If the doctoral dissertation is recommended for acceptance, they must include a suggested grade pursuant to Section 20 paragraph 1.

(4) If necessary the dean can appoint additional referees and also seek reports from academics not affiliated to the faculty. This shall be done, in particular, if there are substantial divergences between the suggested grades for the work.

Section 13
Acceptance of the Doctoral Dissertation

(1) After submission of the reports, the dissertation and reports shall be exhibited for one week in the Dean's Office for inspection by the professorial staff of the faculty. If at least the greater proportion of the exhibition period falls in the lecture-free period, this period shall be extended to three weeks. The exhibition and the exhibition period are to be announced by the faculty's customary procedure.

(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 there are disagreements between the referees over acceptance, or if an objection is lodged before the deadline, then the doctoral degree committee shall make a decision in consultation with the referees, who have rights to vote on the matter.

(3) If the referees award the grade “With Distinction”, an additional external evaluation shall be obtained. For this purpose the dean requests suggestions of at least two possible external evaluators from the supervisor.

Section 14
Rejection, Reworking and Repetition of the Doctoral Dissertation

(1) If a doctoral 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 doctoral dissertation is also rejected, the examination has been definitively failed.

(3) If a doctoral dissertation is not rejected but is not considered fully satisfactory or is shown to have substantial shortcomings during the defence, then the applicant has the option to rework it and resubmit within one year.
The decision on this shall be reached by the referees, if they are in agreement, and otherwise by the doctoral degree committee composed as laid down in Section 13 paragraph 2 sentence 2. If the doctoral dissertation is not resubmitted within this period, the doctoral degree procedure shall be terminated.

Section 15
Date and Time of the Oral Examination

Once the doctoral dissertation is accepted, the dean shall set a date and time for the oral examination.

Section 16
Examination Committee

(1) For the defence of the doctoral dissertation, the dean shall appoint an examination committee composed of:
   1. a professor from the doctoral degree committee as chairperson,
   2. the first referee and
   3. at least two other members of the professorial staff or adjunct lecturers at Christian-Albrechts-Universität zu Kiel or at another university, one of which can be the second referee.

   The candidate’s suggestions for possible members of the committee should be accepted if 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 and holders of a formal professorial qualification if they are the dissertation supervisor.

(3) The dean shall invite the doctoral degree committee, the examination committee and the professorial staff of the faculty to the examination and to the ceremonial award of the doctoral degree certificates (concluding meeting).

(4) The majority of members of the committee shall belong to the Faculty of Mathematics and Natural Sciences.
Section 17
Oral Examination

(1) The oral examination shall be held in the form of a defence of the doctoral dissertation. On application, the oral examination can be taken in English rather than German.

(2) In the defence of the doctoral dissertation, the examination shall consist of a talk on the dissertation by the doctoral candidate, lasting about 30 minutes, and a discussion between the doctoral candidate and the examination committee, which follows on from and develops the topic of the dissertation and related fields, lasting between 45 and 60 minutes.

(3) The members of the doctoral degree committee shall be entitled to participate in the entire procedure. Members of the examination committee shall be entitled to ask questions during the discussion. After the conclusion of questioning by the committee, the chair can allow questions from others in the audience.

(4) If the doctoral candidate is a graduate of a university of applied sciences, a professor from a university of applied sciences shall, on request, be authorised to attend the dissertation defence and ask questions.

(5) The chairperson shall nominate one of the members according to Section 16 paragraph 1 number 3 above to take the minutes. 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 dissertation defence.

Section 18
Public Nature of the Examination

(1) Dissertation defences are open to the university-affiliated public. On receipt of a reasoned application, the doctoral degree committee can permit a dissertation defence to be held in private session.

(2) Attendance at the deliberations, grading of the oral examination and notification of the candidate as to his or her examination result shall be reserved to the examination committee.

Section 19
Retaking the Oral Examination

(1) If the oral examination is not passed, the applicant shall receive a written notification accompanied by instructions on the legal remedies available. The examination can be retaken once within one year of receiving the notification.

(2) If the applicant does not pass the oral examination on the second attempt, or fails to take the examination by the specified deadline,
the examination has been definitively failed and the doctoral degree procedure shall be terminated. A written notification to this effect shall be issued, accompanied by instructions on the legal remedies available.

Section 20
Overall Grade

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

<table>
<thead>
<tr>
<th>Grade Description</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>With Distinction (Mit Auszeichnung)</td>
<td>0.0</td>
</tr>
<tr>
<td>Very Good (Sehr gut)</td>
<td>1.0</td>
</tr>
<tr>
<td>Good (Gut)</td>
<td>2.0</td>
</tr>
<tr>
<td>Satisfactory (Genügend)</td>
<td>3.0</td>
</tr>
</tbody>
</table>

and for the oral examination, the assessment:

Not passed (Nicht bestanden) (cf. Section 19 and Section 20 paragraph 4).

It is permissible to raise or lower a grade by 0.3 points by adding a “+” or “-”. The grade “With Distinction” cannot be raised or lowered. The grade “Satisfactory” cannot be lowered.

(2) The overall grade shall be obtained by calculating the total of the grade for the doctoral dissertation weighted by a factor of 0.7 plus the grade for the oral examination weighted by a factor of 0.3 and rounding to the first decimal place. This result shall determine the overall grade of the doctoral degree as follows:

<table>
<thead>
<tr>
<th>Grade Description</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>With Distinction (summa cum laude)</td>
<td>where the result is 0.0</td>
</tr>
<tr>
<td>Very Good (magna cum laude)</td>
<td>where the result is 0.1 to 1.5</td>
</tr>
<tr>
<td>Good (cum laude)</td>
<td>where the result is 1.6 to 2.5</td>
</tr>
<tr>
<td>Satisfactory (rite)</td>
<td>where the result is 2.6 to 3.0</td>
</tr>
</tbody>
</table>

(3) Furthermore a decision shall be reached at the end of the defence 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 referees.

The oral examination is passed if the applicant achieves a grade of at least “satisfactory”.
(4) The oral examination is also deemed not to have been passed if the applicant fails to attend the oral examination without giving good reasons for this. The reasons asserted for non-attendance must be notified to the dean immediately in writing, supported by credible evidence. In case of illness, the illness must be confirmed by a doctor’s report.

Part 3: Publication and Conferral

Section 21
Publication of the Doctoral Dissertation

(1) The doctoral dissertation designated as ready for publication shall be lodged with the faculty within one year after the oral examination and made publicly available to the academic 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 work are published in a journal, or
3. four copies, if evidence is furnished of a commercial publisher prepared to distribute 150 copies, or
4. 40 copies in printed or photocopied form 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 law reasons, initially only an abstract shall be published electronically. After two 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 can extend the deadline but only by a maximum of two additional years.
Section 22
Conferral of the Doctoral Degree

(1) After the oral examination 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 taken and the obligatory copies of the doctoral dissertation lodged pursuant to Section 21, the doctoral degree shall be conferred by presentation of the doctoral degree certificate.

(2) The doctoral degree certificate shall be issued in German with the addition of the Latin grades. Two certified copies shall be presented in addition to the original certificate.

(3) On receiving the doctoral degree certificate, the applicant shall become entitled to use the doctoral title. Before this time, the title may not be used in any form, not even as “Dr. des.”.

Part 4: Award of Doctorates under Binational Doctoral Degree Procedures

Section 23
Binational Doctoral Degree Procedure

(1) The Faculty of Mathematics and Natural Sciences can award doctorates jointly with a foreign university on the basis of joint supervision and evaluation of the doctoral 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 a doctorate from the academic partner institution concerned, according to preference. Attention is drawn to the relevant provision in Section 27, paragraph 2.

(2) Further details shall be regulated in a partnership agreement. The agreement shall contain particular provisions on Sections 24 to 27. The doctoral degree committee can permit deviations from these provisions in justified individual cases.
Section 24
Acceptance as a Doctoral Candidate in the Binational Doctoral Degree Procedure

If the candidate satisfies
1. the admission prerequisites pursuant to Section 6 or Section 7 and
2. if the dissertation topic has been agreed with a member of professorial staff at the Faculty of Mathematics and Natural Sciences and with a member of professorial staff at the academic partner institution concerned,

he or she can be accepted as a doctoral candidate within a binational doctoral degree programme.

Section 25
Referees in the Binational Doctoral Degree Procedure

Once the applicant is admitted, the dean shall appoint the member of professorial staff in the faculty who is responsible for supervision as the first referee. The member of professorial staff at the partner institution who is responsible for supervision shall be appointed as the second referee.

Section 26
Language

(1) The doctoral dissertation shall be written in German or in English, or in the language of the academic partner institution concerned. The prerequisite is that a sufficient number of referees with a command of the language in question can be appointed. This provision applies similarly to the oral examination.

(2) The doctoral dissertation shall be accompanied by an abstract in German, in English, and in the language of the academic partner institution concerned.

Section 27
Certificate

(1) After successful completion of the joint doctoral degree procedure, the candidate shall be awarded a doctoral degree certificate issued jointly by the Faculty of Mathematics and Natural Sciences and the academic partner institution concerned.
(2) The doctoral title can 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.

Part 5: Final Provisions

Section 28
Denial and Revocation of the Doctorate

(1) At the instigation of the doctoral degree committee, the faculty convention can, after a hearing 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 prerequisites for admission to the doctorate 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 condition pursuant to Section 40 paragraph 2 number 4 HSG is applicable.

(2) At the instigation of the doctoral degree committee, the faculty convention can, after a hearing with the applicant, 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.

Section 29
Data Collection

In accordance with 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.
These statutes shall take effect on the day after they are announced; at the same time, the Doctoral Degree Regulations (Statutes) of the Faculty of Mathematics and Natural Sciences of the Christian-Albrechts-Universität zu Kiel of 29 September 2005 (NBl. MWV. Schl.-H. p. 939) as amended by statute of 7 September 2006 (NBl. MWV. Schl.-H. p. 578) shall cease to have effect.

Approval pursuant to Section 54, paragraph 3 HSG was granted in writing by the Ministry of Science, Economic Affairs and Transport of the State of Schleswig-Holstein, dated 12.5.2009.

Kiel, 12.5.2009

Prof. Dr. Lutz Kipp
Dean of the Faculty of Mathematics and Natural Sciences
Christian-Albrechts-Universität zu Kiel