

**Doctoral Degree Regulations
for the Faculties of Natural Science and Technology
at Saarland University**

13 November 2013

Note: This translation is provided for information purposes only. In the event of any discrepancy between the translation and the original German version published in the Official Journal (*Dienstblatt der Hochschulen des Saarlandes*), the provisions of the latter shall prevail.

Pursuant to Section 64 of Statute No. 1556 relating to Saarland University (Saarland University Act; hereafter: 'UG') of 23 June 2004 (Official Saarland Gazette, p. 1782) and with the consent of the University Senate and the University Board, the Faculties of Natural Science and Technology at Saarland University herewith issue the following doctoral degree regulations of the Faculties of Natural Science and Technology (hereafter: 'Regulations').

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**Section 1
General information**

(1) The Faculties of Natural Science and Technology at Saarland University may confer the following doctoral degrees on candidates who have successfully completed doctoral degree studies under the standard regulations:

Doctor of Natural Sciences

Doktorin der Naturwissenschaften (doctrix rerum naturalium – Dr. rer. nat.)

Doktor der Naturwissenschaften (doctor rerum naturalium – Dr. rer. nat.)

Doctor of Philosophy in Natural Sciences

Doktorin der Naturwissenschaftslehre (doctrix philosophiae naturalis – Dr. phil. nat.)

Doktor der Naturwissenschaftslehre (doctor philosophiae naturalis – Dr. phil. nat.)

Doctor of Engineering

Doktorin der Ingenieurwissenschaften (Doktor-Ingenieurin – Dr.-Ing.)

Doktor der Ingenieurwissenschaften (Doktor-Ingenieur – Dr.-Ing.)

They may also confer the following honours in recognition of an individual's outstanding contributions to an academic field or discipline (honorary doctoral degree):

Doctor of Natural Sciences, honoris causa

Ehrendoktorin der Naturwissenschaften (doctrix rerum naturalium honoris causa – Dr. rer. nat. h. c.)

Ehrendoktor der Naturwissenschaften (doctor rerum naturalium honoris causa – Dr. rer. nat. h. c.)

Doctor of Philosophy in Natural Sciences, honoris causa

Ehrendoktorin der Naturwissenschaftslehre (doctrix philosophiae naturalis honoris causa – Dr. phil. nat. h. c.)

Ehrendoktor der Naturwissenschaftslehre (doctor philosophiae naturalis honoris causa – Dr. phil. nat. h. c.)

Doctor of Engineering, honoris causa

Ehrendoktorin der Ingenieurwissenschaften (Doktor-Ingenieurin Ehren halber – Dr.-Ing. E.h.)

Ehrendoktor der Ingenieurwissenschaften (Doktor-Ingenieur Ehren halber – Dr.-Ing. E.h.)

(2) Female candidates can request to have their doctoral title awarded in the masculine form ('Doktor' rather than 'Doktorin').

I. Doctoral degree studies (standard regulations)

**Section 2
The Doctoral Committee**

(1) Matters pertaining to standard doctoral degree studies are administered by the Doctoral Committee on behalf of the respective Faculty of Natural Science and Technology. The examiners assessing a doctoral candidate's academic work need not be members of the Doctoral Committee.

(2) The Doctoral Committee of one of the Faculties of Natural Science and Technology comprises

1. a professor of the faculty as committee Chair,
2. two further professors of the faculty,
3. a member of non-professorial academic staff at the faculty who holds a doctorate.

The members of the Doctoral Committee (as detailed in Paragraphs 2.1 to 2.3) and their deputies are elected for a term of two years by the respective Faculty Boards after being nominated by the relevant groups of faculty members. Re-election is permitted.

(3) The Doctoral Committee is quorate if more than half its members are present and shall make its decisions by a majority vote of members present. In the event of a tie, the committee Chair shall have the casting vote.

(4) Candidates shall be notified in writing of the decisions made by the Doctoral Committee.

(5) The meetings of the Doctoral Committee are not open to the public. Members of the Committee are obliged to maintain confidentiality with regard to committee matters.

Section 3 Admission requirements

(1) Admission to a doctoral studies programme requires that

1. the candidate fulfils the admission requirements as specified in UG Section 64, Paragraph 2,
2. the suitability of the candidate to pursue doctoral studies has been demonstrated,
3. the candidate has been formally entered into the faculty's register of doctoral candidates.

(2) Proof of fulfilment of the admission requirements referred to in Paragraph 1.1 shall be deemed to have been

1. provided in full within the meaning of UG Section 64, Paragraph 2.1.1 by candidates who have completed a Master's degree
 - a) that was awarded for a university course of study lasting at least five years, and
 - b) whose content is of a mathematical, scientific or engineering nature corresponding to a programme of study offered at one of the Faculties of Natural Science and Technology at Saarland University, and
 - c) has a research-oriented profile, and
 - d) requires the completion of a Master's thesis.
2. provided in full within the meaning of UG Section 64, Paragraph 2.1.2 by candidates who have successfully completed the *Diplom* examination or

equivalent final examination at a university or a German higher education institution deemed to have university status after a programme of study that has a standard period of study of at least eight semesters and is of a mathematical, scientific or engineering nature and corresponds to a programme offered at one of the Faculties of Natural Science and Technology at Saarland University.

3. a) provided in full within the meaning of UG Section 64, Paragraph 2.1.2 by candidates who have completed a teacher training degree programme (*Lehramtsstudium*) after at least eight semesters of study, on the condition that the proposed area of doctoral study has a didactic methodological focus and that one of the subjects studied in the teacher training degree corresponds to the subject area of the proposed doctorate.
 - b) in certain exceptional cases, provided in part within the meaning of UG Section 64, Paragraph 2.1.2 by candidates who have completed a teacher training degree programme (*Lehramtsstudium*) after at least six semesters of study, on the condition that the proposed area of doctoral study has a didactic methodological focus and that one of the subjects studied in the teacher training degree corresponds to the subject area of the proposed doctorate.
 - c) provided in part within the meaning of UG Section 64, Paragraph 2.1.2 by candidates who have completed a teacher training degree programme (*Lehramtsstudium*) after at least nine semesters of study, on the condition that one of the subjects studied in the teacher training degree corresponds to the subject area of the proposed doctorate.
4. a) provided in full within the meaning of UG Section 64, Paragraph 2.1.2 by candidates who have completed the second phase of the state-supervised examination in pharmaceutical science pursuant to the German regulations governing the licensing of pharmacists (*Approbationsordnung*).
 - b) provided in part within the meaning of UG Section 64, Paragraph 2.1.2 by candidates who are qualified at a level equivalent to completion of the second phase of the state-supervised examination in pharmaceutical science.
5. provided in part within the meaning of UG Section 64, Paragraph 2.1.3 by candidates who have graduated with distinction from a Bachelor's degree programme, which
 - a) was awarded for a university course of study lasting at least three years, and
 - b) whose content is of a mathematical, scientific or engineering nature corresponding to a programme of study offered at one of the Faculties of Natural Science and Technology at Saarland University, and
 - c) requires the completion of a Bachelor's thesis. In justified cases, the Faculty Board may decide to grant exceptions for doctoral studies in specific disciplines.

A candidate will be deemed to have graduated with distinction if he or she attained a final grade of 1.5 or better (in the German classification system) or if he

or she has been recognized as an outstanding doctoral candidate by the relevant Doctoral Committee.

6. provided in part within the meaning of UG Section 64, Paragraph 2.4 by candidates who have graduated with distinction from a *Diplom* degree programme at a German university of applied sciences (*Fachhochschule*) after completing a programme of study of a mathematical, scientific or engineering nature that corresponds to a programme offered at one of the Faculties of Natural Science and Technology at Saarland University. A candidate will be deemed to have graduated with distinction if he or she attained a final grade of 1.5 or better (in the German classification system) or if he or she has been recognized as an outstanding doctoral candidate by the relevant Doctoral Committee.

In the case of candidates who have gained academic qualifications from other higher education institutions in Germany or abroad, the Doctoral Committee shall decide whether the candidate has met the admission requirements referred to in Paragraph 1.1 after taking into account any course equivalency agreements. If it is uncertain whether a foreign university degree fulfils the admission requirements, the Central Office for Foreign Education Affairs (ZaB – *Zentralstelle für ausländisches Bildungswesen*) at the Standing Conference of the Ministers of Education and Cultural Affairs (*KMK – Kultusministerkonferenz*) should be consulted.

(3) The suitability of the candidate to pursue doctoral studies (see Paragraph 1.2 above) is determined by the Doctoral Committee by means of a subject-specific procedure. The determination of a candidate's suitability assumes that a prior declaration of consent has been issued in accordance with Section 3, Paragraph 7.3.

(4) If the admission requirements referred to in Paragraph 1.1 have only been fulfilled in part and/or if the suitability of the candidate to pursue doctoral studies referred to in Paragraph 1.2 has not been verified conclusively, the Doctoral Committee may make admission to doctoral study dependent on the candidate undertaking courses of preparatory study and/or examinations whose total scope shall not exceed 90 ECTS credits. The scope and type of such preparatory academic study, the relevant criteria and the time allowed shall be specified by the Doctoral Committee.

(5) In accordance with UG Section 64, Paragraph 4, doctoral studies may also be jointly supervised by an appropriately qualified professor at a German university of applied sciences who holds a doctoral degree (joint supervision scheme). If a doctoral candidate is to be jointly supervised, the agreement between the supervising parties shall have been reached before the candidate is entered into the register of doctoral candidates.

(6) The registers of doctoral candidates are kept by the faculties. Those wishing to undertake doctoral studies at one of the faculties shall apply in writing to the relevant faculty to be entered into the register at the beginning of their studies. If the work on a doctoral dissertation is to be supervised by more than one supervisor and if these supervisors belong to different faculties or institutions, it shall be decided at the start of the candidate's doctoral studies at which faculty the entry into the register of doctoral candidates is to be made. This determines which faculty will later be responsible for the assessment and examination phase.

(7) The following documents are to be submitted when applying for entry into the register of doctoral candidates:

1. Documentary proof pursuant to Paragraph 1.1 and 1.2.
2. A statement of the proposed area of doctoral study, which, depending on the questions addressed or methods used, shall be associated with a particular field of academic study represented in the relevant faculty.
3. A written declaration of consent from at least one authorized member or authorized associate member of the faculty or faculties stating that the member or associate member agrees to supervise the candidate's doctoral studies. If a candidate is to be jointly supervised as described in Paragraph 5, a declaration of consent is also required from an appropriately qualified professor (who holds a doctorate) at a university of applied sciences stating that he or she agrees to assist in supervising the candidate's doctoral studies. Members or associate members of the participating faculty or faculties entitled to supervise doctoral candidates are: professors, junior professors, emeritus or retired professors, honorary professors, professors on special contracts, and senior academics qualified to professorial level. The Doctoral Committee may also assign the right to supervise doctoral candidates to a member or associate member of the non-professorial academic staff (who holds a doctorate) at the participating faculty or faculties if such member has been assigned by the Dean of the faculty the task of independently carrying out research and teaching duties and if he or she has been adjudged by an internal or external evaluation procedure to have academic qualifications comparable to those required of a junior professor.
4. A proposal putting forward the name of a potential academic mentor from among those members of the faculty entitled to supervise doctoral candidates (see Paragraph 3 above).
5. A declaration of whether, and if applicable when and with what success the applicant has previously undertaken doctoral studies.
6. The designation of the particular doctoral degree qualification being pursued (see Section 1).

These requirements also apply to doctoral candidates planning to pursue their studies externally, whereby a significant portion of the work for their dissertation will be conducted outside of the participating faculty or faculties.

(8) The decision to enter the applicant into the register of doctoral candidates shall be made by the Chair of the Doctoral Committee or by the Committee itself if so requested by the Chair. The academic mentor shall also be appointed at that time in accordance with the principles of good scientific practice at Saarland University. The applicant will be informed of the decision in writing. If the application is rejected, the letter of notification will contain the reasons for the decision and instructions on the right of appeal.

(9) Once a candidate has been entered into the register of doctoral candidates, the faculty undertakes to ensure that the dissertation will continue to be supervised in the event that the supervisor leaves the university.

Section 4 Obligations

(1) In addition to carrying out research work and compiling a dissertation, doctoral candidates on a faculty's register of doctoral candidates have the following obligations:

1. They shall be formally registered with Saarland University for the entire period of their doctoral studies.
2. They agree to abide by the principles of good scientific practice as set out in the relevant guidelines. A printed copy of these principles as they pertain to Saarland University (see Official Bulletin 2001, p. 342) will be issued to candidates when they are entered into the register of doctoral candidates.
3. When appropriate opportunities arise (e.g. as an author of a scientific paper, or as a speaker at a scientific meeting or conference), doctoral candidates agree to name Saarland University as the university or one of the universities or institutions with which they are associated.
4. The Faculty Board may rule that doctoral candidates are to submit progress monitoring reports, though this may be restricted to specific disciplines. Requests for such progress reports shall be issued by the responsible Doctoral Committee. The Doctoral Committee may delegate its duties regarding progress reports, in particular the issuing of progress report submission requests, to another committee to be designated by the Faculty Board.

(2) In the event of gross violations of the obligations set out in Paragraphs 1.2 and 1.4, the Doctoral Committee may decide to remove a candidate from the faculty's register of doctoral candidates described in Section 3, Paragraph 6 to Paragraph 9. Before any such decision is made, the candidate shall be granted the opportunity to submit a statement in response. The committee shall notify the candidate of its decision and state its reasons.

Section 5 Dissertation

(1) The dissertation shall represent an original and appropriately formulated contribution to scientific research by the doctoral candidate where the subject addressed or the methodology used is associated with a particular field of academic study covered by the relevant faculty or faculties.

(2) The dissertation submitted by the doctoral candidate shall contain no material that was previously submitted for the award of any other degree.

(3) The dissertation should be written in German or English. The candidate may apply to the Doctoral Committee for permission to submit the dissertation in another

language. If the dissertation is submitted in a language other than German or English, it shall contain a detailed summary (approximately two pages in length) in German or English. All dissertations shall contain abstracts in German and English, each of which is not to exceed a length of 1500 characters including spaces.

Section 6 Initiation of the assessment and examination phase

(1) In order to proceed to the assessment and examination phase of their doctoral studies, candidates shall submit a written application to the relevant faculty. Candidates shall have been previously entered into the faculty's register of doctoral candidates. The application shall be submitted together with

1. printed and bound copies of the paginated dissertation (the number of copies required shall be specified by the Doctoral Committee),
2. the declaration of original authorship (see Annex 1),
3. a curriculum vitae and a summary of the candidate's academic background.

The Doctoral Committee can additionally request submission of the dissertation in electronic form with the same content as the printed version referred to in Item 1 above. The electronic version shall be provided in a common file format approved by the Doctoral Committee. Suggestions for the appointment of the examiners who will review and assess the submitted dissertation may be enclosed with the application.

(2) The decision to begin the assessment and examination phase shall be made by the Chair of the Doctoral Committee or by the Committee itself if so requested by the Chair. A decision to reject the application shall always be made by the Doctoral Committee as a whole.

(3) The examiners (Section 8, Paragraph 1) shall be appointed when the assessment and examination phase is initiated. The doctoral candidate shall receive written notification that the assessment and examination phase has been initiated.

(4) The decision to begin the assessment and examination phase can be revoked without notice if it subsequently transpires that essential requirements (as set out in Paragraph 1 and in Section 3, Paragraphs 3, 4 and 6) were not satisfied, or if circumstances arise such that a doctoral degree, if awarded, could be revoked (Section 16, Paragraph 1) on the basis of statutory provisions.

(5) If the candidate withdraws his or her application to initiate the assessment and examination phase, the dissertation shall be deemed not to have been submitted. The application may not be withdrawn once the doctoral candidate has received notification that the dissertation has been rejected or if the defence has begun.

(6) All documents shall become the property of the faculty irrespective of the outcome of the assessment and examination phase. Only in the event that the application is withdrawn in accordance with Paragraph 5 may the doctoral candidate demand the return of the submitted documents with the exception of the formal application.

Section 7
Duration of doctoral study

(1) As a rule, the period of doctoral study, from the date of entry into the register of doctoral candidates to the initiation of the assessment and examination phase (Section 6), should be three years and may exceed five years only in exceptional well-founded cases.

(2) If a period of doctoral study is deemed unjustifiably long, the supervisors are entitled to retract the agreement to provide doctoral supervision as set out in Section 3, Paragraph 7.3.

Section 8
Assessment of the dissertation

(1) Once the assessment and examination phase has been initiated, the Chair of the Doctoral Committee (or the Committee itself, if so requested by the Chair) shall appoint at least two examiners to assess the dissertation, at least one of whom has not supervised the candidate's doctoral studies (see also Paragraph 6.4). The following persons may be appointed as examiners: professors, junior professors, emeritus or retired professors, professors on special contracts, and senior academics qualified to professorial level at a university or equivalent institution of higher education. The Doctoral Committee can also appoint as examiner a member or associate member of non-professorial academic staff at the participating faculty or faculties who holds a doctorate and who has been assigned the right to supervise doctoral candidates by the Doctoral Committee. A specialist at an internationally recognized research institution who is qualified to doctoral level and regarded as outstanding in his or her field, or an appropriately qualified professor at a German university of applied sciences who holds a doctorate may also be appointed as an examiner if approved by the Doctoral Committee. The Doctoral Committee may authorize the Chair in advance to appoint such persons as examiners.

(2) The candidate's supervisors should be appointed as examiners. If the candidate is being supervised under a joint supervision scheme, the participating professor from the university of applied sciences should also be appointed as a thesis examiner in accordance with Paragraph 1.

(3) One of the examiners shall be a professor at the responsible faculty within the meaning of UG Section 32, or shall have accepted the applicant as a doctoral candidate in accordance with the provisions of Section 3, Paragraph 7.3 and shall have been a professor at the responsible faculty at the time the applicant was entered into the register of doctoral candidates. Members or associate members of the faculty who are not professors but who are entitled to supervise doctoral candidates may be treated in this respect as equivalent to professors at the faculty if the Faculty Board so decides.

(4) The assessment of the dissertation should be completed within two months. If an examiner's report has not been received within this period, the Chair of the Doctoral Committee shall extend the deadline by two weeks. If an examiner's report has still not been received even after the extended deadline has passed, the appointment to

examine the dissertation shall be deemed null and void and the Chair of the Doctoral Committee shall appoint a new examiner.

(5) Each examiner shall submit a written assessment of the dissertation and shall recommend whether the dissertation be accepted, returned to the candidate for revision, or rejected. If an examiner proposes that the dissertation be accepted, he or she shall award a grade using the grading scale set out in Section 11, Paragraph 3.

(6) The Chair of the Doctoral Committee shall arrange for a further examination of the dissertation in the following cases:

1. The examiners differ in their opinions as to whether the dissertation should be accepted, returned for revision or rejected, or if the grades awarded differ by more than one full grade.
2. The dissertation has been graded *summa cum laude*; in this case, one of the examiner's reports should be submitted by an external examiner.
3. An examiner has requested that an additional assessment of the thesis be carried out.
4. Several supervisors are involved in supervising the candidate's doctoral studies.

In all other cases, the Doctoral Committee may appoint a further examiner.

(7) A dissertation will be returned to the doctoral candidate for revision if substantial amendments are required to make the dissertation acceptable. The examiner shall indicate in writing the items to be revised and this information shall be forwarded to the doctoral candidate. If the revised dissertation is not re-submitted within one year, the candidate shall be deemed to have failed his or her doctoral degree examination. A dissertation may be returned for revision only once.

(8) The dissertation and the examiners' reports shall be available for inspection by members of the Doctoral Committee and other members of the faculty who are entitled to supervise doctoral candidates for a period of two weeks during the semester (main teaching period) or four weeks during the semester break (non-teaching period). They should acknowledge by signature that they have inspected the dissertation and they may submit a written statement on the dissertation and/or the examiners' reports.

(9) The decision to accept the dissertation, return it to the candidate for revision or reject it shall be made by the Doctoral Committee. The decision of the majority of the examiners shall be the decision of the Doctoral Committee, unless dissenting opinion has been registered within the period specified in Paragraph 8.

(10) If the dissertation is rejected, the candidate shall be deemed to have failed his or her doctoral degree examination. The candidate will receive written notification of the decision from the Chair of the Doctoral Committee. The letter of notification will contain the reasons for the decision and instructions on the right of appeal.

Section 9 The Examination Board

(1) Once the dissertation has been accepted, an oral defence (Section 10) shall be held before an Examination Board. The Examination Board shall include at least two professors of the faculty. With respect to membership of the Examination Board, examiners who were professors at the faculty within the meaning of UG Section 32 at the time the applicant was entered into the register of doctoral candidates shall be treated as equivalent to members of the faculty. The Examination Board shall comprise

1. a professor of the faculty who is not an examiner and who acts as Chair of the Board,
2. the examiners,
3. a member of non-professorial academic staff at the faculty who holds a doctorate.

Upon application to the Doctoral Committee, a member of the academic staff at a cooperating research institution or at another faculty at Saarland University who is qualified to doctoral degree level may be appointed to the Examination Board instead of the member of non-professorial academic staff at the faculty. The list of cooperating research institutions shall be jointly determined by the three Faculties of Natural Science and Technology and shall be binding. The addition of new institutes and research institutions to the list requires the consent of the Faculties of Natural Science and Technology. Any amendments or additions shall be made in writing.

(2) The Chair of the Examination Board and the non-professorial member of the Board (see Paragraphs 1.1 and 1.3 respectively) shall be appointed by the Chair of the Doctoral Committee or by the Doctoral Committee itself if so requested by its Chair.

(3) Should one of the two examiners be unable to continue participating in the assessment and examination phase, a professor or a senior academic qualified to professorial level at the faculty shall be appointed as a replacement member of the Examination Board (Paragraph 1.2). If more than two examiners have been appointed, at least two of them shall continue to participate in the assessment and examination phase.

(4) Members or associate members of the faculty who are not professors but who are entitled to supervise doctoral candidates, as set out in Section 3, Paragraph 7.3, may be treated, in respect of Paragraph 1.1 or of Paragraph 3, as equivalent to faculty professors if the Faculty Board so decides.

Section 10 Oral defence

(1) In addition to the written dissertation, the oral examination in the form of a defence serves to establish the candidate's expertise in their academic field.

(2) The Chair of the Doctoral Committee and the Chair of the Examination Board shall jointly agree on the date of the defence and the former shall publicly announce

the set date one week in advance. If requested by the candidate, the Chair of the Doctoral Committee may exclude the public from the whole or parts of the defence. The request shall be granted if important legal or commercial interests of the candidate would otherwise be at risk. Notwithstanding the foregoing, the defence may be attended by all members of the Doctoral Committee and all members of the faculty who are entitled to supervise doctoral candidates. The defence should be held no later than two months after the dissertation has been accepted.

(3) The defence shall be chaired by the Chair of the Examination Board.

(4) The defence shall begin with a report on the dissertation by the doctoral candidate lasting approximately 30 minutes.

(5) The defence shall cover the scientific ideas, assumptions and methodologies underlying the dissertation as well as questions relating to the subject matter and methods associated with the subject area of the dissertation.

(6) The defence should normally last at least 60 minutes and no longer than 90 minutes.

(7) Both German and English are permitted for the candidate's presentation and for the questions raised during the oral examination if this has been mutually agreed between the candidate and the members of the Examination Board.

(8) Minutes of the proceedings of the defence shall be recorded and signed by the members of the Examination Board.

(9) Should the candidate fail to attend the defence on the date set without good cause, he or she will be deemed to have failed the doctoral degree examination.

The Doctoral Committee shall decide whether to accept the reason given for the candidate's absence.

Section 11 Overall assessment

(1) At the end of the defence, the members of the Examination Board shall deliberate in private and decide whether the candidate has passed the doctoral degree examination, or is required to repeat the defence, or has failed the doctoral degree examination. If the candidate has passed the doctoral degree examination, the Examination Board may impose the condition that minor errors of form or content in the dissertation are to be corrected before the doctorate is conferred. The defence may be repeated only once.

(2) The decision referred to in Paragraph 1 shall be the majority decision of the Examination Board. In the event of a tie, the Chair of the Examination Board shall have the casting vote.

(3) Candidates who have passed their doctoral degree examination shall be awarded one of the following overall grades:

excellent (*summa cum laude*)
 very good (*magna cum laude*)
 good (*cum laude*)
 satisfactory (*rite*)

The overall grade to be awarded shall be determined by the Examination Board by majority vote based on the assessment of the dissertation and the candidate's performance in the defence. In the event of a tie, the Chair of the Examination Board shall have the casting vote. A candidate may only be awarded the grade 'excellent' (*summa cum laude*) if all of the examiners awarded this grade for the dissertation and all the members of the Examination Board vote in favour. The decision concerning the overall grade is to be explained in the minutes.

(4) The decision of the Examination Board referred to in Paragraph 1 shall be publicly announced by the Chair.

Section 12 Academic misconduct

(1) If it is established before the doctoral degree certificate is presented that the candidate made false or misleading statements as part of the admissions procedure or included false or misleading information in the doctoral work presented for assessment and examination, or that essential requirements for admission to the doctoral studies programme were erroneously assumed to have been satisfied, the Doctoral Committee may decide to nullify the results of the assessment and examination phase.

(2) Before any such decision is made, the candidate shall be given the opportunity to make a statement in response. The letter of notification sent to the candidate shall contain the reasons for the decision and instructions on the right of appeal.

Section 13 Reproduction of the dissertation

(1) Candidates who have passed the doctoral degree examination shall deliver two presentation copies of the dissertation to the faculty. The presentation copies are to be produced using a method of reproduction approved by the Doctoral Committee. If the dissertation has not been published in print, the university shall, on delivery of the presentation copies, be granted the right to produce a maximum of one hundred copies of the dissertation. The candidate shall also supply an electronic version of the dissertation in a common file format approved by the Doctoral Committee and shall grant to the university, insofar as this does not conflict with existing legal commitments, the right to reproduce the dissertation (possibly through conversion into another common file format) and to make it publicly accessible in data networks. The candidate shall give written assurance that the electronic version is identical in content to the printed version. The candidate may apply to the Doctoral Committee for exemption from the requirement to supply an electronic version of the dissertation. The Committee may grant exemption where reasonable grounds exist.

(2) Any differences between the reproduced version of the dissertation and the accepted version shall require the consent of the Chair of the Doctoral Committee.

The Chair shall, in particular, decide whether the requirement referred to in Section 11, Paragraph 1 to correct minor errors in the dissertation has been satisfied. If any amendments affect the content of the dissertation, the Chair shall obtain the consent of the examiners.

(3) The title page of the dissertation shall include the place and year of submission and the following text:

'Dissertation zur Erlangung des Grades der Doktorin/des Doktors der Naturwissenschaften der Naturwissenschaftlich-Technischen Fakultäten der Universität des Saarlandes'

[*A dissertation submitted towards the degree Doctor of Natural Sciences (Dr. rer. nat.) of the Faculties of Natural Sciences and Technology of Saarland University*]

or

'Dissertation zur Erlangung des Grades der Doktorin/des Doktors der Ingenieurwissenschaften der Naturwissenschaftlich-Technischen Fakultäten der Universität des Saarlandes'

[*A dissertation submitted towards the degree Doctor of Engineering (Dr.-Ing.) of the Faculties of Natural Sciences and Technology of Saarland University*]

or

'Dissertation zur Erlangung des Grades der Doktorin/des Doktors der Naturwissenschaften der Naturwissenschaftlich-Technischen Fakultäten der Universität des Saarlandes'

[*A dissertation submitted towards the degree Doctor of Philosophy in Natural Sciences (Dr. phil. nat.) of the Faculties of Natural Sciences and Technology of Saarland University*].

The following information shall be placed on the reverse of the title page: the date of the defence, the name of the Dean of the respective faculty and the names of the members of the Examination Board.

(4) The Doctoral Committee may waive the requirements in Paragraph 3 if the dissertation is to be published in a journal or a monograph. Minor deviations from the format described in Paragraph 3 may be permitted by the Chair of the Doctoral Committee.

(5) A doctoral degree may be awarded only after the presentation copies of the dissertation have been delivered.

(6) If the presentation copies are not delivered within one year of the date of the defence, the candidate shall lose all rights acquired from the assessment and examination phase of his or her doctoral studies. The Doctoral Committee may extend the deadline upon formal request.

(7) The candidate may apply to the faculty to request that public access to the content of the dissertation should be delayed by a reasonable period of no longer than two years from the date of the defence. The faculty may grant exemption where reasonable grounds exist. The request shall be granted if important legal or commercial interests of the candidate would otherwise be at risk. The decision on the application shall be made by the Chair of the Doctoral Committee.

Section 14
Doctoral degree certificate

(1) The doctoral degree shall be conferred by the Dean of the faculty by presenting the doctoral degree certificate to the candidate as soon as the requirements of Section 13 have been satisfied. The official date of conferral shall be the date of the defence. The doctoral degree certificate shall bear the date on which the defence was held and the date on which it was signed.

(2) The doctoral degree certificate shall contain the title of the dissertation, the names of the examiners and the overall grade awarded. The certificate shall be signed by the President of Saarland University and the Dean of the respective faculty and shall bear the official faculty seal. If requested, an English translation of the doctoral degree certificate shall be provided.

(3) Once they have taken receipt of their doctoral degree certificate, candidates have the right to use the relevant German academic title (Dr. rer. nat., Dr. phil. nat, or Dr.-Ing.).

Section 15
Ceremonial re-issuing of the doctoral degree certificate

If so requested by the degree holder, or in order to mark a special occasion, the Faculty Board may decide to hold a ceremony to mark the fiftieth anniversary of the conferral of the doctorate at which the Dean re-issues the degree certificate.

Section 16
Revocation of the doctoral degree

(1) The doctoral degree may be revoked by resolution of the Faculty Board if it is established that the degree was acquired by deception or that essential requirements for the conferral of the degree were erroneously assumed to have been satisfied.

(2) Before any such resolution is made, the holder shall be given the opportunity to make a statement in response. The letter of notification sent to the holder shall contain the reasons for the decision and instructions on the right of appeal.

Section 17
Right of appeal

Objections to decisions made pursuant to these Regulations shall be filed in writing with the Dean within one month of the date on which the person objecting received notification of the decision. Appeal decisions will be made by the Faculty Board after consultation with the Doctoral Committee. The deadline for objections will also be deemed to have been observed if the objection is filed with the Faculty Board.

Section 18
Inspection of examination records

Once the assessment and examination phase has been completed, the doctoral candidate shall be granted the right to inspect the examiners' reports (Section 8) and the minutes of the thesis defence (Section 10).

Section 19
Extensions

Periods of maternal leave, periods of parental leave and family obligations (caring for a child or supporting family members with care needs) shall be taken into account when applying any deadline specified in these Regulations.

Section 20
Doctoral studies jointly supervised by a faculty at a foreign university

(1) Doctoral studies that are supervised jointly with a faculty of natural science, technology or engineering at a foreign university shall be subject to these Regulations, unless otherwise provided for in this Section 20 or in any contractual agreement between the parties.

(2) Doctoral degree studies under standard regulations may be jointly supervised with a faculty of natural science, technology or engineering at a foreign university provided that

1. the candidate is required to submit a dissertation and to take an oral examination in order to be awarded a doctorate,
2. no other doctoral degree criteria need to be met,
3. an agreement, approved by the Doctoral Committee, has been reached with the faculty at the foreign university. The agreement should contain detailed provisions on the joint supervision of the candidate, the enrolment of the candidate at a university, and, if necessary, the registration of the working title of the dissertation.

(3) For a candidate to be admitted to a doctoral studies programme jointly supervised by a foreign faculty, the candidate shall have completed a course of study leading to a higher education qualification that entitles the candidate to admission to doctoral studies at the foreign faculty jointly supervising the candidate.

(4) If the official language at the foreign faculty is not German, the dissertation may be submitted in the official language provided that it includes a summary in German. An exemption to this requirement may be included in the agreement referred to in Paragraph 2.3. Furthermore, the agreement may stipulate that the candidate is permitted to submit the dissertation in a language other than German or other than the official language at the foreign faculty, and may specify whether and in which languages summaries of the dissertation are required.

(5) The candidate shall be accepted as a doctoral candidate and shall be supervised by a faculty member from each of the two participating faculties. The names of supervisors shall be stated in the agreement referred to in Paragraph 2.3.

(6) If the oral examination is to be conducted in the form of a defence at Saarland University, the Chair of the Doctoral Committee shall appoint the two supervisors as examiners. In this case, the Examination Board shall comprise at least

1. a professor of the faculty at Saarland University who shall act as Chair of the Board and who shall not be an examiner,
2. the examiners,
3. a suitably qualified member of academic staff from the foreign faculty.

The agreement referred to in Paragraph 2.3 above may provide for a larger Examination Board that includes additional members drawn in equal numbers from the two participating faculties. In individual cases, these additional members may be specialists qualified to doctoral level in the academic field treated in the dissertation who are not members of the participating faculties but who are members or associate members of the participating universities. The Chair and members of the Examination Board shall be appointed by the Chair of the Doctoral Committee. Supplementary provisions may be included in the agreement referred to in Paragraph 2.3. A person who is not a faculty member at one of the participating faculties may only be appointed to the Examination Board with the consent of the Doctoral Committee.

(7) If the oral examination is to be carried out in the form of a defence at Saarland University, the defence shall be conducted in German, English or French.

(8) The assessment of the candidate's performance in the defence and the evaluation of the doctoral dissertation shall also be conducted in accordance with the regulations to which the participating foreign faculty is subject. Whether and to what extent this is to be made apparent when announcing the results or is to be indicated in the doctoral degree certificate shall be decided in accordance with the regulations to which the participating foreign faculty is subject. If the jointly supervised doctoral studies are carried out at the foreign university, the candidate's performance shall also be assessed in accordance with the provisions of Section 11.

(9) The doctoral degree certificate shall bear the official seal of both participating faculties. If the oral examination of the candidate is not held at Saarland University, the information provided on the doctoral degree certificate shall be consistent with the requirements set out in Section 14 as well as with the regulations that apply at the foreign faculty. If separate certificates are issued, both certificates shall clearly indicate that the holder is not permitted to use the associated doctoral degree titles simultaneously. Furthermore, both certificates shall indicate in both languages that the doctoral degree was awarded on the basis of a doctoral study programme supervised jointly by the two participating faculties.

(10) Once they have taken receipt of their doctoral degree certificate, candidates have the right to use the respective German academic title (Dr. rer. nat., Dr. phil. nat. or Dr.-Ing.) in Germany (see Section 14, Paragraph 3) and the corresponding academic title in the country of the participating foreign faculty. The doctoral degree certificate shall contain an addendum stating that the foreign doctoral degree awarded is not an academic title acquired abroad within the meaning of the statute governing the use of academic titles of 7 July, 1939 (RGBl. I p. 985).

(11) The regulations regarding the reproduction of the dissertation and the number of presentation copies required shall be those of the faculty at which the candidate took the oral examination.

II. Honorary doctorate

Section 21

Procedure for awarding an honorary doctorate

(1) Nominations for recipients of honorary doctoral degrees shall be submitted by at least three professors from the nominating faculty and the proposal shall be accompanied by a comprehensive statement in support of the nominee.

(2) The Dean shall inform the Faculty Board at a board meeting that a nomination has been received, stating the name of the nominee and notifying the faculty's Doctoral Committee.

(3) The Faculty Board shall establish a Nomination Committee no earlier than at the board meeting following that in which the nomination was announced. The Nomination Committee shall be chaired by the Dean and shall carry out the preparations necessary for awarding an honorary doctorate. The Nomination Committee shall comprise all professors in the academic field in which the doctorate is to be awarded, at least two professors from the other academic areas represented in the faculty and at least one member of the non-professorial academic staff at the faculty who holds a doctorate. The members of the Doctoral Committee shall be granted the opportunity to participate in the meetings of the Nomination Committee. The Faculty Board shall also appoint at least two external professors as expert advisors.

(4) The Nomination Committee shall discuss the proposal and the documents submitted and shall prepare a draft resolution for the Faculty Board.

(5) The Faculty Board shall decide by secret ballot on whether to accept or reject the draft resolution prepared by the Nomination Committee. A majority of two thirds of the votes cast are required for the resolution to be adopted.

(6) In order to protect the general interests of the University, the faculty shall give the University Senate the opportunity to express its opinion.

(7) The honorary doctorate shall be ceremoniously conferred by the Dean who shall present to the recipient a certificate that highlights their outstanding academic achievements and distinguished service and that is signed by the University President and the Dean and bears the seal of the faculty. Invitations to the award ceremony shall be issued by the Dean.

(8) The provisions of Section 14, Paragraph 3 and Sections 15, 16 and 17 apply analogously.

III. Interim provisions

Section 22 Entry into force

(1) These Regulations shall come into force on the day after they are announced in the Official Bulletin of the Institutions of Higher Education in Saarland (*Dienstblatt der Hochschulen des Saarlandes*). On that same date, the Doctoral Degree Regulations of the Faculties of Natural Science and Technology at Saarland University of 11 January 2007 (Official Bulletin, p. 254) as amended by the Regulations Amending the Doctoral Degree Regulations of the Faculties of Natural Science and Technology at Saarland University of 28 October 2010 (Official Bulletin, p. 668) shall cease to be in force.

(2) For doctoral candidates who were entered into the relevant faculty register of doctoral candidates prior to these Regulations coming into force, the Doctoral Degree Regulations of the Faculties of Natural Science and Technology at Saarland University of 11 January 2007 (Official Bulletin, p. 254) as amended by the Regulations Amending the Doctoral Degree Regulations of the Faculties of Natural Science and Technology at Saarland University of 28 October 2010 (Official Bulletin, p. 668) shall continue to apply. Doctoral degree studies shall be governed by these Regulations if an application to this effect is submitted by the candidate.

(3) The declaration of original authorship (see Annex 1) shall be submitted in all cases.

Saarbrücken, 3 December 2013

The President of Saarland University
Univ.-Prof. Dr. Volker Linneweber

Annex 1

Declaration of original authorship

I hereby declare that this dissertation is my own original work except where otherwise indicated. All data or concepts drawn directly or indirectly from other sources have been correctly acknowledged. This dissertation has not been submitted in its present or similar form to any other academic institution either in Germany or abroad for the award of any other degree.

Place, Date

(Signature)