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Doctoral Degree Regulations of the Faculties of the Engineering Campus of Otto von Guericke University Magdeburg (OVGU)

Based on § 18 paragraph 8 of the Higher Education Act of the state of Saxony-Anhalt (HSG LSA) as amended in the announcement dated 1 July 2021 (Law & Ordinance Gazette LSA No. 2021, pp. 368, 369), the following Doctoral Degree Regulations are hereby enacted for the Faculty of Electrical Engineering and Information Technology, the Faculty of Mechanical Engineering and the Faculty of Process and Systems Engineering:

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Part 1 - General Provisions

§ 1 Basic Principles

(1) A doctoral degree serves to demonstrate a scholar's ability to achieve, through independent scientific work, results that contribute to the development of their particular branch of science as well as its theories and methods.

(2) The Faculty of Electrical Engineering and Information Technology, the Faculty of Mechanical Engineering and the Faculty of Process and Systems Engineering (Engineering Campus faculties) have drawn up these joint Doctoral Degree Regulations. Based on these regulations, each one will individually award for their subject area the academic degree of "Doctor of Engineering" ("Dr.-Ing.") or, in a scientific field (here: Chemistry), the academic degree of "Doctor rerum naturalium" ("Dr. rer. nat.").

(3) The degrees specified in § 1, para. 2 can only be awarded once for a particular subject area.

§ 2 Doctoral Degree Requirements

The requirements for the awarding of a doctoral degree are as follows:

1. a written scientific paper (dissertation) in accordance with § 13,
2. a public defense (doctoral colloquium) in accordance with § 17.

Part 2 - Participants

§ 3 Doctoral Students

(1) Upon acceptance of a doctoral research project by the faculty in which the project is to be supervised (supervising faculty), applicants become doctoral candidates (doctoral students). The supervising faculty keeps a register of doctoral students.

(2) Any memberships or rights conferred by status are not granted solely upon acceptance. This does not include the right to elect members or to serve as a member of the doctoral students' representative body in accordance with the regulations applicable to them.

(3) Doctoral students may enroll as postgraduate students in accordance with the general regulations.

§ 4 Supervisors

(1) A doctoral research project may be supervised by a professor, a junior professor, an adjunct professor, a supernumerary professor or a retired professor from the supervising faculty. Supervisors may also be professors from other faculties or a university of applied sciences within the framework of cooperative dissertation evaluation processes in accordance with § 25, provided that they have been co-opted in accordance with the provisions applicable to the supervising faculty.

(2) Upon application, a junior research group leader from the supervising faculty may supervise a doctoral candidate. Junior research group leaders as defined in these regulations have themselves obtained a doctoral degree and have been appointed to an academic leadership position in one of the supervising faculties or an extramural research institution cooperating with them following a competitive selection process involving external expert assessors.

§ 5 Faculty Council and Doctoral Committee

(1) The Faculty Council of the supervising faculty adjudicates on all matters concerning the dissertation evaluation process (by resolution), provided that in accordance with these regulations these matters are not assigned to other participants, and in particular regarding:

1. acceptance as a doctoral candidate and admission to the dissertation evaluation process, including the issuing of conditions pursuant to § 10,
2. the implementation of aptitude testing pursuant to § 9,
3. the initiation of the dissertation evaluation process pursuant to § 12,
4. the appointing of the doctoral committee responsible for the individual doctoral research project and its members pursuant to § 6,
5. the appointing of the assessors for the individual doctoral research project pursuant to § 7,
6. the completion of the doctoral dissertation evaluation process in accordance with § 15, para. 6 and § 18, para. 4,
7. the conferral of the academic title and overall grading of the doctoral work in accordance with § 20,
8. the conferral of an honorary doctorate pursuant to § 27,
9. the discontinuation of the doctoral dissertation evaluation process in accordance with § 28,
10. the revocation and withdrawal of the conferred academic title pursuant to § 29.

(2) The faculty council may, by resolution, transfer the right to make decisions from paragraph 1 either individually or altogether to a doctoral committee established by it in accordance with the respective faculty regulations. In this case, the doctoral committee shall take the place of the faculty council nominated in these regulations for individual procedural steps and decisions.

§ 6 Doctoral Committee

(1) The doctoral committee is appointed for each dissertation evaluation process at the same time as a decision is made concerning the initiation of said process. It will consist of at least three members: one chairperson, who is appointed from the group of individuals entitled to supervise a research project pursuant to § 4, and at least two expert assessors in accordance with § 7. At least one member of the doctoral committee will belong primarily to the supervising faculty.

(2) In particular, the tasks of the doctoral committee include:

1. determining whether or not to accept the dissertation and continue the procedure or not to accept it on the basis of the expert assessors' report and any objections received after being publicly displayed,
2. the holding of the doctoral colloquium including its assessment,
3. the recommendation concerning the conferral of the academic title and the overall grading to the faculty council on the basis of the expert assessors' report and the evaluation of the doctoral colloquium and
4. the specifying of conditions if a revision of the dissertation is recommended in accordance with § 14, para. 1 and/or upon acceptance of the dissertation in accordance with § 15, para. 4.

§ 7 Expert Assessors

(1) The field of work of all expert assessors selected must relate to the content of the doctoral research project. The supervisor, as an expert assessor, shall belong to the doctoral committee.

The following may be appointed as expert assessors:

1. individuals who, in accordance with § 4, are entitled to supervise a doctoral research project,
2. members of the group of individuals in accordance with § 4, para. 1 from other faculties of OVGU or from other universities with the right to award doctorates in Germany or abroad,
3. professors from universities of applied sciences,
4. honorary professors,
5. retired university lecturers as defined by the HSG LSA,
6. individuals with post-doctoral qualifications (a habilitation) from other universities or universities of applied sciences,
7. individuals holding a doctorate with experience in professional practice, who are not members of the university, however only alongside the appointment of two professors.

(2) At least one expert assessor must, as a professor with the right to award doctorates, be a member of another faculty at OVGU or another university.

(3) The members of the faculties of the Engineering Campus appointed as expert assessors are obliged to draw up an expert assessors' report. They may only be released from this obligation by application to the responsible faculty council and only if there is good cause. The application must be made immediately upon becoming aware of the circumstances that constitute good cause.

Part 3 - Admission

§ 8 Admission Requirements

(1) Any student may be admitted to a doctoral degree program that has completed a Master's degree in an engineering, natural science or mathematics subject at a university or university of applied sciences with an overall grade of a least "good" (up to and including 2.54), or who has completed a relevant "Diplom" or "Magister" program with equivalent success. The faculty council will decide upon any exceptions.

(2) Particularly able holders of a Bachelor's degree in the subject areas specified in paragraph 1 may in specific exceptional cases be admitted to a doctoral program by means of an aptitude assessment test in accordance with § 9 without first obtaining a higher degree.

(3) In order for admission to be granted, a supervisor as defined in § 4 must declare that they are prepared to academically supervise the applicant.

(4) If admission is applied for on the basis of a university degree obtained outside of the scope of validity of the German Basic Constitutional Law, the degree obtained must be equivalent to the degrees mentioned in paragraphs 1 and 2 and qualify the holder to pursue a doctoral study program in the country of origin. The decision will be made by the faculty council of the supervising faculty on the basis of an evaluation by the body responsible for equivalence checks within the Department of Academic Affairs at OVGU or the Central Office for Foreign Education (ZAB). Furthermore, the provisions of the law regarding the Convention dated 11 April 1997 on the Recognition of Qualifications in the Higher Education Sector in the European Region (known as the Lisbon Convention) apply (Federal Law Gazette 2007 IL, pp. 712, 713).

§ 9 Assessment of Aptitude

(1) An application must be made to the faculty council of the supervising faculty via the Dean to initiate the aptitude assessment process in accordance with § 8 paragraph 2. The aptitude assessment test is intended to determine the candidate's ability to conduct independent academic work. If such an application is received, the faculty council will determine the aptitude of the applicant in accordance with the following regulations, and in particular

1. determining the presence of special aptitude in accordance with paragraph 2,
2. establishing that no grounds for exclusion apply in accordance with paragraph 3 and
3. stipulating the subject-related modules in accordance with paragraph 4.

The aptitude assessment process may be defined in greater detail by the faculties of the Engineering Campus in a regulation.

(2) Special aptitude and exceptional circumstances as defined by § 8 paragraph 2 are generally only deemed to apply if the relevant degree program

1. was completed within the standard study duration,
2. with an overall grading of "excellent" and
3. existing academic maturity can be demonstrated by means of at least one further academic achievement alongside the final thesis in the form of a published specialist article in the subject area of the intended doctoral research project in a publication medium with academic quality control, either as sole or lead author.

(3) Anyone who has already unsuccessfully taken part in an aptitude test is excluded from undertaking another one. This includes unsuccessful aptitude tests at other universities or in other faculties at OVGU, irrespective of whether repetitions are permitted by their regulations.

(4) If the faculty council determines that a candidate has a special aptitude in accordance with § 9, para 2, the candidate will be admitted to the doctoral study program with the proviso that they successfully complete two modules at the level of a Master's study program each with a minimum grade of "good". The faculty council will stipulate the modules. The applicant will be notified by the Dean of their conditional admission and the modules that must be completed. The certificates with the results of the module examinations must be presented to the Dean's office in the supervising faculty by the applicant within one year of them being notified of their conditional admission. The deadline of one year may, upon application by the candidate, be extended, if they are able to credibly demonstrate reasons for the delay that are beyond their control. A module examination may not be repeated.

(5) Written confirmation of the outcome of the aptitude assessment test must be issued by the Dean. In the event of a failure to pass the assessment, the notification must be justified, furnished with instructions on how to appeal, and announced.

§ 10 Acceptance as a Doctoral Candidate

(1) Anyone intending to undertake a doctoral study program, must apply as early as possible in writing to the supervising faculty for acceptance as a doctoral candidate. The faculty council is responsible for admission decisions.

(2) When applying for admission using Appendix 1, the following must be submitted:

1. the name and a brief description of the topic of the prospective dissertation along with a declaration that it will be completed within the next six years,
2. the form for the registration of doctoral candidates in line with Appendix 2 with a letter of intent from a supervisor in which he/she declares whether or not, under his/her supervision, cumulative doctoral studies are possible,
3. the supervision agreement between the supervisor and the doctoral student in accordance with the recommendations of the OVG Graduate Academy (template in Appendix 3),

4. evidence that they meet the admission requirements (§ 8),
5. a curriculum vitae in tabular form,
6. a description of their academic career including evidence of any additional studies or examinations already completed and
7. a declaration as to whether previously or simultaneously another application has been made for admission to a doctoral study program or an application has been made to commence the dissertation evaluation process at another university or in another faculty, alongside a statement concerning the outcome, and in particular complete information about any dissertation evaluation procedures that have already been unsuccessfully undertaken.

(3) Acceptance is finalized by admission to a doctoral study program and enrollment in the register of doctoral students. Admission may be subject to conditions. The applicant will be notified of these conditions by the Dean of the supervising faculty.

(4) Acceptance to the program may be refused if

1. none of the individuals authorized in accordance with § 4 declare themselves ready to accept the role of supervisor,
2. the requisite material and human resources may not be available in the supervising faculty to enable the project to be completed, especially in accordance with § 11 or
3. the admission requirements are not met, or it cannot be proved that they have been met.

The refusal must be justified in writing, furnished with instructions on how to appeal, and announced by the Dean.

(5) Admission to a doctoral study program may only be revoked for (a) compelling reason(s). Examples of compelling reasons include:

1. the doctoral student failing to meet a doctoral study-related requirement laid down by the supervisor, doctoral committee or faculty council, in particular completion, the presentation of interim results, participation in doctoral candidate seminars or similar, within a reasonable time frame and after a reasonable extension period has elapsed to no avail,
2. if, depending on the research topic, within a period of three years after admission as a doctoral student no progression in the work is discernible and a submission of the dissertation for the initiation of the assessment procedure does not appear sufficiently likely, even in the next two years, unless credible reasons that justify the status of the project are given,
3. the period for completion of the dissertation after admission has expired and no extension has been granted in accordance with § 11, paragraph 2.

§ 11 Rights and Obligations

(1) Upon admission, the doctoral student is entitled, in accordance with a doctoral studies agreement that must be concluded, to adequate support for his/her doctoral research project. There is no entitlement to the provision or establishment of an employment position.

(2) The doctoral student is obliged to pursue their research project continuously and to complete the dissertation within a period of six years from admission. The period may be extended if the supervising person is of the opinion that the dissertation can be completed in a reasonable further period of time to be determined.

(3) Further details shall be set out in the doctoral study agreement.

Part 4 - Dissertation Evaluation Process

Section 1 - Initiation

§ 12 Initiation Proceedings

(1) The doctoral candidate must apply in writing to the Dean of the supervising faculty to initiate the dissertation evaluation process.

(2) The following must be appended to the application:

1. four written, bound copies of the dissertation and one electronic version in a searchable, copyable, printable and customary format, e.g. pdf, as well as an assurance that the printed and electronic versions of the dissertation are identical,
2. a written sworn declaration in either German or English in line with the template in Appendix 4 that the dissertation was written independently, that the tools and sources used are listed in full and in the event that the dissertation was co-authored, in particular in the context of a cumulative dissertation, that the doctoral student's designated own contribution is correct and complete,
3. a curriculum vitae in tabular form,
4. a list of the publications and information about the extent to which the dissertation or parts thereof have already been published or are to be published,
5. suggested expert assessors and
6. a written declaration in accordance with the template in Appendix 5 that the doctoral student has not been convicted of any criminal offenses with an academic connection nor that they have been either accused or suspected of such an offense. Specifically, there is an academic connection if the offense
 - a) bears an immediate relationship to the specialist scientific qualification associated with the doctoral degree,
 - b) is likely to compromise the viability and credibility of the scientific enterprise,
 - c) constitutes academic misconduct because standards and principles of academic work were violated in a deliberate or grossly negligent manner.
7. consent for the use of electronic tools to detect any attempts at deception and the processing of personal data in order to verify the submitted electronic version of the dissertation as required.

The documents submitted in accordance with this paragraph 2 shall become the property of OVGU.

(3) The application to initiate the dissertation evaluation process may be withdrawn, provided that the process has not already commenced. In this case the application shall be deemed not to have been made.

(4) The faculty council of the supervising faculty shall adjudicate upon the initiation of the dissertation evaluation process. If the council approves the application, it will appoint the doctoral committee and will notify the doctoral student of the commencement of the process at the same time as naming the members of the doctoral committee and the expert assessors. The process may not be initiated if

1. the admission requirements have not been met or demonstrably met or in the event of a prior acceptance are no longer met,
2. the initiation requirements in accordance with paragraph 2 have not been met or demonstrably met.

Any refusal must be justified in writing, furnished with instructions on how to appeal and announced by the Dean.

Section 2 - Doctoral Work

§ 13 Dissertation

(1) Evidence of the competence of the candidate pursuant to § 1, para. 1 must be submitted with the dissertation.

(2) The dissertation is a written, academic and generally monographic thesis in either the German or English language. It represents an academic achievement by the doctoral student based on independent scientific research. The dissertation is an individual achievement. A joint thesis is inadmissible, subject to the scope of application of paragraph 3. The dissertation may not, in its entirety, be published prior to the conclusion of the process.

(3) As an exception to paragraph 2, the dissertation may also be produced cumulatively. For this, the agreement of the supervising person in their letter of intent pursuant to § 10, para. 2, line 2 and the faculty council is required; there is no automatic entitlement to this. A cumulative dissertation must contain at least three thematically related contributions, which must have been published by the doctoral student either as sole or lead author or that have been accepted for publication. A list of the approved journals for the respective subject areas is determined by the faculty council of the supervising faculty by resolution. In the case of co-authorship, the doctoral student's own contribution as an individual scientific achievement must be substantial and clearly defined and assessable. Upon submission of the dissertation, the date of publication may not generally be longer ago than six years beforehand. All contributions must fit together within a single conceptual framework that comprises the following aspects:

1. an informative introduction of at least 40 pages, in which the scientific questions upon which the publications are based are set out,
2. connecting passages between the specialist contributions,
3. a concluding reflection in which the author's own results are contextualized in the current specialist context and
4. a bibliography.

The introduction, connecting passages, conclusion and the individual specialist contributions must be identifiable. § 12, para. 2 applies accordingly for cumulative dissertations.

(4) A dissertation that has already been rejected may not be resubmitted unless it was rejected by another faculty or university due to it not having authority to assess the dissertation or the dissertation not being in its subject area.

(5) The title page of the dissertation must be set out in accordance with the template in Appendix 6. The dissertation must be written in either German or English. In either case, a summary must be provided in German.

§ 14 Expert Assessor's Report

(1) Each expert assessor provides a written report regarding the dissertation which contains a recommendation about its acceptance or rejection. The expert assessors may also recommend that the dissertation be revised in accordance with § 16.

(2) If the assessors recommend that the dissertation be accepted, it must be assigned a grade in the report subject to the terms of paragraph 3 in accordance with the following grading scale:

- magna cum laude (very good)
- cum laude (good)
- rite (sufficient).

If making a recommendation to reject the dissertation, a grade of "non sufficit" (inadequate) must be assigned. In the process, for the purposes of establishing average grades as set out in these regulations, "magna cum laude" equates to a value of 1.0, "cum laude" a value of 2.0, "rite" 3.0 and "non sufficit" 4.0.

(3) The reports must be delivered within three months of being requested by the Dean of the supervising faculty and submitted to the Chair of the appointed doctoral committee. Should the deadline be missed for reasons beyond its control, the faculty council may replace an expert assessor.

§ 15 Acceptance of Dissertation

(1) The doctoral committee will decide whether to accept the dissertation entailing the continuation of the process for awarding a doctorate or to reject it on the basis of the expert assessors' reports.

(2) If at least two reports recommend acceptance, the doctoral committee will display the dissertation and the expert reports, initially for a period of two weeks in the supervising faculty (display period), or will make it accessible in another manner to those who are entitled to inspect it. The start and end dates of this period must be documented. At the beginning of the period, those individuals entitled to inspect the dissertation must be notified of the fact that it is available to view and invited to do so, and if there are any objections to its being accepted, to lodge them with the doctoral committee with justifications in written or text form within the display period. The members of the council and all members of the supervising faculty who are qualified to supervise a doctoral research project in accordance with § 4 are entitled to inspect the dissertation. The doctoral student is entitled to inspect the expert assessors' reports for the purposes of preparing for the doctoral colloquium, without, however, being able to raise any objections to them.

(3) If any objections are raised, these will be verified by the chair of the doctoral committee.. The doctoral committee will stipulate the further course of action; in particular, the expert assessors may be called upon to address the objections in a supplement to the report and to reevaluate the dissertation.

(4) The doctoral committee may associate the acceptance of the dissertation with conditions, provided that the results of the expert assessors' reports or the objections raised relate to the presentation of the deposit copies and not to the scientific content of the dissertation.

(5) The Dean will notify the doctoral student of the acceptance of the dissertation including disclosure of the evaluations from the assessors' reports and the continuation of the process for awarding the doctorate.

(6) If a report recommends the rejection of the dissertation, the faculty council may decide to obtain an additional report. The dissertation will not be accepted if at least two reports recommend that it be rejected. The doctoral committee will approve the rejection of the dissertation by resolution and submit the proceedings to the faculty council of the supervising faculty for its decision. If so resolved by the faculty council, the dissertation evaluation process will be terminated. The termination must be justified to the applicant in writing, furnished with instructions on how to appeal and announced by the Dean. The dissertation and the expert assessors' reports will remain in the office of the Dean.

(7) An individual may apply to repeat the doctoral dissertation evaluation process no sooner than six months after being notified of the rejection of their dissertation and the termination of the previous evaluation process. The rules regarding admission and initiation of the process apply again. A dissertation that has not been accepted in accordance with these regulations may not be resubmitted. This also applies to dissertations not accepted by other universities or other faculties at OVGU. Excluded from this are dissertations that were rejected pursuant to § 13, para. 4.

§ 16 Procedure in Case of Rejection

(1) At the suggestion of one report, the doctoral committee may resolve with a simple majority to reject the dissertation once and return it to the doctoral student for revision. In so doing, at the same time, a reasonable deadline must be set for its resubmission. The doctoral student must be notified of this resolution in writing; however the resolution may not be independently appealed.

(2) If the dissertation is revised and resubmitted, this version will become the subject of the process going forward. It will be reassessed by the expert assessors, evaluated, and a recommendation made regarding its acceptance or rejection. The appointed expert assessors and doctoral committee will remain in this capacity.

(3) If the revised dissertation is not resubmitted, or not resubmitted in due time, the first submitted version of the dissertation will remain the subject of the evaluation process.

§ 17 Doctoral colloquium

(1) If the doctoral dissertation evaluation process is continued, a public doctoral colloquium will be held. The chair of the doctoral committee will set the date and place and invite the members of the doctoral committee and the doctoral student with at least 14 days' notice. The date and place of the colloquium, the name of the doctoral student and the subject of the dissertation must be published within the university at least 14 days before the due date.

(2) The colloquium must be held in either German or English. It will consist of a presentation by the doctoral candidate of 30 minutes' duration about the content of the dissertation and a subsequent discussion to defend the dissertation with the members of the doctoral committee. Afterwards, all those present may ask questions regarding the content of the dissertation. The doctoral colloquium will be led by the chair of the doctoral committee.

(3) Following the colloquium, the doctoral committee will report on its assessment. In the process, each member will separately assess the doctoral work on the basis of the grading scale as set out in § 14, para. 2. In the event that there is a difference between the evaluations, the grade for the colloquium will be determined on the basis of the arithmetic average of the individual evaluations. Only the first decimal place will be taken into account for the average grade determined in this way. All further decimal places will be ignored without rounding. The doctoral colloquium will be deemed to have been passed if the average grade amounts to 3.5 or better and the work is assessed by at least two members of the committee with a grade of at least "rite" (sufficient). In this case, the process will continue in accordance with § 19.

(4) Minutes must be drawn up concerning the course of the doctoral colloquium and the assessment. The deliberations of the doctoral committee pursuant to paragraph 3 are not held in public.

§ 18 Failure of the Doctoral Colloquium

(1) The doctoral colloquium will be deemed to have been failed if the average mark is higher than 3.5 or the work is graded as "non sufficit" by two members of the committee. The doctoral committee will notify the Dean of the supervising faculty of the result and present the minutes in accordance with § 17, para. 4. The decision must then be communicated with reasons in writing to the doctoral student, furnished with instructions on how to appeal and announced by the Dean.

(2) The doctoral colloquium shall be deemed to have been failed if the doctoral student fails to attend on the appointed day and time. However this shall not apply if the reasons for failing to attend are beyond the student's control. In this case, provided that the doctoral student applies immediately after the obstacle to attendance has been removed and states credible reasons for their failure to appear through no fault of their own, a new date may be set, and the process continued in accordance with § 17, para. 1.

(3) If the doctoral colloquium is failed, then it may be repeated once. The doctoral student may apply to repeat the colloquium within a period of six months after the date set in accordance with paragraph 1. An extension to the application deadline is possible if there are compelling reasons. An extension must be requested from the doctoral committee within the original deadline; the existence of the compelling reasons must be credibly substantiated. § 17 applies accordingly for the repeat attempt.

(4) If no application for a repeat attempt is made or none is made in due time, or the doctoral colloquium is also failed upon the repeat attempt, then the assessment process will be terminated. It will be concluded with the overall grading of “non sufficit” (inadequate) by resolution of the doctoral committee and presented to the faculty council for confirmation of the termination. Otherwise, paragraph 1 applies accordingly.

§ 19 Assessment of Doctoral Work and Overall Grading

(1) In the event that the doctoral colloquium is passed, the doctoral committee shall decide immediately after its conclusion *in camera* upon a recommendation to be made to the faculty council regarding the assessment of the doctoral work in the form of a final mark. A record of the consultation must be drawn up, which must also include the assessments from the expert reports.

(2) The arithmetic average of the individual grades from the expert assessors' reports accounts for three quarters (3/4) of the final mark and the overall grade for the doctoral colloquium accounts for one quarter (1/4). § 17, para. 3, sentences 4 and 5 apply accordingly. The following average grades will result in the following classifications:

from 1.0 up to and including 1.5: magna cum laude (very good)

over 1.5 up to and including 2.5: cum laude (good)

over 2.5: rite (sufficient).

(3) If all aspects of the doctoral work are evaluated with the individual grade “magna cum laude” and the arithmetic average of all of the grades is thus exactly 1.0, the final mark “summa cum laude” (excellent) may be recommended, provided that the doctoral committee decides unanimously to do so and at least one expert report has recommended such a grade.

(4) The overall grading is provisional and may only be communicated to the doctoral student subject to ratification by the faculty council.

Section 3 - Execution and Completion of the Process

§ 20 Award

(1) The faculty council makes the decision regarding the award of the academic title and the final grade upon the recommendation of the doctoral committee. In the process, the chair of the doctoral committee will report upon the course and significant contents of the doctoral dissertation evaluation process. Subject to paragraph 4, the decision will be shared with the doctoral student.

(2) It is not permissible to award an academic title with conditions.

(3) The presentation of the doctoral degree certificate and the associated right to bear the title of Doctor must take place in compliance with § 22.

(4) If the decision is made to refuse to award the academic title, this decision must be justified in writing to the doctoral student, furnished with instructions on how to appeal and announced by the Dean.

§ 21 Deposit Copies and Publication

(1) After being notified in accordance with § 20, para. 1, the doctoral student is obliged to publish their dissertation and to this end to supply the university library at OVGU with the mandatory deposit copies in accordance with paragraph 2. This applies irrespective of whether the dissertation was written individually (by a sole author) or cumulatively (by several authors).

(2) The deposit copies must be the same version as that approved by the doctoral committee. Any materials submitted with the dissertation for the evaluation process, such as photographs, charts, maps, data series or similar must also form part of the deposit copies. Using the template for a title page in accordance with Appendix 7, the following must be supplied free of charge to the university library:

1. upon publication without a publishers or journal publication:
20 printed, permanently and durably bound copies for which the university library has been granted, free of charge, the simple right of use in the context of its statutory duties to produce additional copies of the work and to disseminate it via data networks;
2. upon publication by a commercial publisher:
 - a) six bound copies stating the ISBN - in the case of a printing subsidy from public funds, five additional copies - accompanied by the publishing contract with a guaranteed minimum print run of 150 publisher's copies;
 - b) print-on demand processes are permitted subject to compliance with the minimum print run in accordance with letter a), if the publication is generally obtainable as is customary in the industry and is carried in bibliographically relevant catalogs, especially in the catalog of the German National Library and the German Directory of Books in Print (VLB);
3. in the case of an electronic publication:
 - a) six printed, permanently and durably bound copies,
 - b) an electronic version in a generally customary file format that can be saved, printed and read any number of times, including the creation of electronically usable bookmarks and tables of contents, without curriculum vitae, acknowledgments or similar personal details and
 - c) the granting, free of charge, to the university library of the simple right of use in order to fulfill its statutory duties to be able to publish the electronic version via data networks;

The current version of the regulations concerning the delivery of deposit copies to the university library at OVGU in the context of doctoral and habilitation proceedings also applies.

(3) The doctoral student must demonstrate to the Dean of the supervising faculty within a period of six months after notification in accordance with § 20, para. 1 that they have properly submitted the deposit copies by presenting to him or her the submission receipt from the university library at OVGU. This deadline may be extended once by three months before its expiry. The reasons for having been unable to comply with the deadline must be set out in credible fashion.

(4) If the deposit copies are not submitted or not submitted properly, completely or in due time, including the submission of the necessary declarations concerning copyright, rights of use or other rights, the awarding of the academic title in accordance with § 20 will expire and the doctoral degree process will cease and be terminated without being completed in accordance with § 28.

§ 22 Doctoral Degree Certificate, Completion of Doctorate

(1) Upon the handing over of the doctoral degree certificate by the Dean to the doctoral candidate, the doctoral studies are deemed to be complete, and the process concluded. The doctoral degree certificate may only be issued after delivery of the deposit copies and proof being provided thereof in accordance with § 21.

(2) The doctoral degree certificate will be drawn up in accordance with the template contained in Appendix 8. It will carry the date of the doctoral colloquium.

(3) The right to use the academic title of Doctor is only granted upon presentation of the doctoral degree certificate. The doctoral dissertation evaluation process is then complete.

§ 23 Inspection of Doctoral Degree Files

(1) The doctoral degree documents will be collated into a doctoral degree file by no later than the discontinuation, termination or conclusion of the doctoral dissertation evaluation process. The file must, specifically, contain:

- the application to initiate the doctoral dissertation evaluation process,
- evidence of admission, including any aptitude assessments,
- the appointments of the expert assessors and the members of the doctoral committee,
- the dissertation,
- the expert assessors' reports,
- the documents from the doctoral colloquium,
- the minutes from the doctoral committee and
- resolutions or other decisions in the course of the process plus related written correspondence.

The file will be kept by the Dean of the supervising faculty.

(2) The doctoral student may apply in writing to the Dean to inspect the doctoral degree file within three months of the discontinuation, termination or conclusion of the doctoral degree process. The time and place of the inspection will be set by the Dean. The right to inspect may be granted with supervision. The file will not be sent to the applicant.

Part 5 - Special Procedures and Forms of Doctorate

§ 24 Doctoral Study Program

(1) Each faculty may set up a doctoral study program. It will still be possible to obtain an individual doctorate after pursuing a program of this nature.

(2) Only individuals who, taking into account the requirements set out in § 18, para. 2, sentence 4 HSG LSA, have completed a university degree as defined by § 8, para. 1, may be admitted to a doctoral study program. In the case of a degree in accordance with §8, para. 2, the aptitude assessment examination in accordance with §9 must have been passed.

(3) The doctoral study program must have its own separate regulations.

§ 25 Cooperative Processes with Universities of Applied Sciences

(1) Under the leadership of one of the faculties of the Engineering Campus, a cooperative doctoral studies process may be conducted with a university of applied sciences. The academic title will be awarded by one of the faculties named in these regulations. It will be the supervising faculty as defined in these regulations. Furthermore, § 18a, para. 1 HSG LSA applies.

(2) The supervision of the cooperative doctoral studies process and its doctoral students, including the admission, participation, other rights and obligations may be supplemented by a doctoral research training group. This is governed in greater detail by a separate regulation.

§ 26 Binational Doctoral Study Process (Cotutelle de thèse)

- (1) The doctoral study process can, based on these regulations and an agreement to be made for the specific case, be carried out with a foreign university, which is entitled to award doctoral degrees in accordance with its own national laws and where the academic degree to be awarded would be recognized in the scope of the German Basic Constitutional Law.
- (2) The agreement will be concluded between the supervising faculty and the comparable structural entity at the other university or the university itself as well as the doctoral student. It requires the approval of the faculty council and is deemed to be a doctoral study agreement as defined by § 11. It should contain regulations concerning the division of time spent at each university working on the research project, the supervision, expert assessment, number of members of the doctoral committee, the doctoral colloquium, the evaluation including comparability of grading, publication, execution, issuing of the doctoral degree certificate and other certificates, costs and who will bear them.
- (3) The doctoral degree certificate (cf. in this regard the template in Appendix 9) must contain a remark to the effect that the doctoral degree that has been awarded was undertaken in the context of a joint doctoral dissertation evaluation process. It is possible for the degree to be awarded jointly. Only one title may be awarded. If the foreign university is also to issue a certificate, then both certificates must state that they are only valid in conjunction with the other and that the holder of the certificate has the right to use the academic title of Doctor either in German or the foreign language form. In both certificates, the binational character of the jointly supervised doctoral degree and, where applicable, the joint awarding of the doctoral degree must be mentioned. For OVGU, the supervising faculty will maintain a doctoral degree file in which in particular the agreement must be contained.

§ 27 Honorary Doctorates

- (1) Each faculty in the Engineering Campus may award the academic title “Honorary Doctor of Engineering” (Dr.-Ing. E. h.) or “Doctor of Natural Sciences honoris causa” (Dr. rer. nat. h. c.) as a rare accolade for outstanding academic achievements in the development of science and technology or society. The individual being thus honored may not be a member of OVGU.
- (2) The application for an honorary doctorate of this kind must be submitted by at least three people from the group of those authorized in accordance with § 4 to supervise doctorates to the Dean of the faculty awarding the title.
- (3) The application must be appraised by an honors committee to be appointed by the faculty council. The committee must consist of five members from the group of individuals described in § 4. The chairperson must be a professor in the faculty awarding the title. The committee will produce a written report on the individual to be honored and their academic achievements or merits. To this end it will obtain at least two expert assessors’ reports, which may not be produced by members of OVGU. § 7, para. 2 applies for the expert assessors, providing that, based on their academic, professional or social background, they are capable of producing an assessment of this kind. The faculty council will only scrutinize the proposal further if the honors committee submits a proposed resolution to it in which demonstrably at least four of the five members support the honorary doctorate, together with a report. Otherwise the process will be discontinued; paragraph 7 applies accordingly.
- (4) The Dean will notify the members of the faculty council with a reasonable notice period in advance of the session, that there must be a consultation and decision made upon receipt of the application for awarding an honorary doctorate. The application and the report of the honors committee will be displayed at the same time in the Office of the Dean for confidential inspection by the members of the faculty council.
- (5) Following a non-public reading of the report by the honors committee and a secret vote, the faculty council will then pass a resolution regarding the awarding of the honor. The acceptance of the application requires a simple majority of the faculty council members present.

(6) Following acceptance of the application by the faculty council, the honorary doctorate must be implemented by the Dean. The certificate to be issued must be drawn up in accordance with the template in Appendix 10, signed by the President and the Dean, and then presented.

(7) If the application is not accepted by the faculty council, the process will be discontinued. The applicants must be notified. An identical application may only be made at the earliest after five years.

Part 6 - Discontinuation, Revocation and Withdrawal

§ 28 Discontinuation of the Process and Invalidity of the Doctoral Work

(1) The process for awarding a doctorate will be discontinued if the doctoral student opts not to pursue it. This renunciation, which may not be revoked, may be declared at any stage during the process up until the start of the doctoral colloquium. Paragraph 3 applies subject to the fact that the discontinuation of the process is determined on the basis of renunciation by the student.

(2) Up until the presentation of the doctoral degree certificate, the process for awarding the doctorate may be discontinued where good cause exists to do so, and in particular if

1. the doctoral student attempts or has attempted deception upon admission or submission of the doctoral work, or surreptitiously attempts or has attempted to exert influence upon their supervisor, the expert assessors or the members of the doctoral committee,
2. important conditions for admission to doctoral studies have not been met, irrespective of whether the doctoral student made a mistake, or
3. the conditions of publication in accordance with § 21 are not met.

(3) The Dean of the supervising faculty must notify the doctoral student of the intention to discontinue the process following the expiry of the deadline(s) or findings in accordance with paragraph 2. He or she must be given a reasonable amount of time to comment. Thereafter the faculty council will decide whether to discontinue the process.

(4) If the process is discontinued, the decision must be justified in writing to the doctoral student, the explanation furnished with instructions on how to appeal and be announced by the Dean. Any doctoral work already completed will become invalid. Provisions may be included in the doctoral agreements regarding any other legal consequences.

§ 29 Withdrawal of the Academic Title

(1) The doctoral title may be withdrawn, notwithstanding the provisions of § 21 HSG LSA and the provisions set out in the Administrative Procedure Act concerning the revocation of a legal administrative act, if

1. retrospectively facts become known that would have justified a discontinuation in accordance with § 28, para. 2, nos. 4 and 5, and in particular, the doctoral work or academic degree was obtained by deception, threats, bribery, facilitation against payment or granting of other benefits,
2. the holder is convicted of a criminal offense with an academic connection as defined by § 12, para. 2, no. 6, irrespective of whether this act took place before or after the degree was awarded,
3. the holder is convicted of a criminal offense, in the preparation or perpetration of which they misused the doctorate.

(2) For the procedure for withdrawal, § 28, paragraphs 3 and 4 apply accordingly.

(3) Upon announcement of the decision, the doctoral work will become invalid. The doctoral degree certificate will be revoked and must be returned. Copies or transcriptions of the certificate may no longer be used and must be destroyed. The individual may not continue to use the title of “Doctor”.

(4) The regulations set out in these paragraphs apply analogously for binational doctorates in accordance with § 26 and honorary doctorates in accordance with § 27. In the case of a binational doctorate, it is sufficient for one of the awarding universities to withdraw the academic title. The approval or a separate act of revocation is not required.

Part 7 - Closing Provisions

§ 30 Protective Provisions and Compensation for Disadvantage

(1) Through analogous application of § 13 para. 3 HSG LSA, the protective periods set out in the Maternity Protection Act, parental leave periods in accordance with the applicable Federal Parental Allowance and Parental Leave Act as well as periods allowable for actual time spent caring for close relatives in accordance with the applicable Home Care Leave Act and in accordance with the Family Care Leave Act will be taken into consideration upon formal request.

(2) With a view to protecting equality of opportunity, reasonable regard must be given to doctoral students with disabilities or chronic illnesses. Upon formal request and provision of evidence of the specific disadvantage, the Dean may stipulate compensation for disadvantage, in particular for any examinations to be completed in accordance with these regulations.

§ 31 Appeal Procedure

It is possible to appeal against any decisions that may have an adverse effect on the individual concerned. Any objection must be lodged within a deadline of one month after notification by the Dean of the supervising faculty. If the Dean does not address the objection, it may be presented to the faculty council for a decision. A decision to remedy the objection or refuse the appeal will be issued by the Dean of the supervising faculty.

§ 32 Transitional Arrangements

(1) Any doctoral dissertation evaluation processes initiated or applied for before these regulations entered into force, will be continued under the regulations in force in the supervising faculty at the time of the initiation or application.

(2) Any doctoral students already admitted to a program of doctoral studies upon entry into force of these regulations, may, within two years of them entering into force, apply irrevocably to the Dean to initiate and implement a doctoral dissertation evaluation process in accordance with the regulations that were in force at the time of their admission. If no application is made, or such an application is not made within the deadline, the dissertation evaluation process will be initiated and implemented in accordance with these regulations. If admission as a doctoral candidate has been applied for but no decision has yet been made upon entry into force of these regulations, sentences 1 and 2 apply accordingly.

(3) Notwithstanding the provision set out in paragraph 2, doctoral agreements must be concluded between the supervising faculty and the doctoral students who are not pursuing their doctoral studies in accordance with these regulations, and the names of the doctoral students must be inscribed in the register of doctoral students.

§ 33 Entry in to Force, Annulment

(1) These doctoral degree regulations will enter into force on the day after they are published in the official announcements of OVGU.

(2) Simultaneously, the Doctoral Degree Regulations of the Faculty of Process and Systems Engineering as amended by the announcement dated 24 April 2018 (Official Announcement No. 35/2018) and the joint Doctoral Degree Regulations of the Faculty of Electrical Engineering and Information Technology and the Faculty of Mechanical Engineering as amended by the announcement dated 6 May 2013 (Official Announcement No. 13/2013) will be annulled.

Issued on the basis of resolutions by the extended faculty councils

- of the Faculty of Electrical Engineering and Information Technology dated 01 Mar 2023,
- of the Faculty of Mechanical Engineering dated 01 Mar 2023 and
- of the Faculty of Process and Systems Engineering dated 07 Mar 2023

Magdeburg, 12 June 2023

Professor Dr.-Ing. Jens Strackeljahn

President of Otto von Guericke University Magdeburg

Appendices