



**Doctoral degree regulations of Ulm University for the Medical
Faculty regarding the award of doctoral degrees in Human
Biology (Dr. biol. hum.)
of 24 November 2016**

Based on §§ 38 (4) sentence 1 of the federal state higher education act Baden-Württemberg (LHG) in the version of article 1 of the third law on changes to higher education regulations (*Drittes Hochschulrechtsänderungsgesetz- 3. HRÄG*), last amended by article 2 of the law promoting equal opportunities for men and women in the public sector in Baden-Württemberg and amending the LHG of 23 February 2016 (law gazette p. 108f), the Senate of Ulm University, with the consent of the Medical Faculty, adopted the following Subject-specific doctoral degree regulations in its meeting on 9 November 2016. The President gave his consent on 24 November 2016 in accordance with § 38 (4) sentence 1 LHG.

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Preliminary remark on language use

According to article 3 (2) Basic Law, men and women have equal rights; male designations of persons and positions used in these regulations apply equally to men and women.

§ 1 Scope of application of the Subject-specific doctoral degree regulations

These Subject-specific doctoral degree regulations apply in conjunction with the Regulatory framework for doctoral studies of Ulm University as amended and serve as a supplement to this Regulatory framework for doctoral studies. They are structured analogously. Hence, some sections contain no further provisions.

§ 1 a Doctoral degree regulations of the Faculties

§ 2 Doctoral degrees

By way of regular doctoral procedure in compliance with these regulations in the Medical Faculty, Ulm University awards the academic degree of Doctor of Human Biology (Doctor *biologiae humanum* – Dr. *biol. hum.*) as well as, under § 2 (3) of the Regulatory framework for doctoral studies, the title of honorary doctor (Doctor *honoris causa* – Dr. *h. c.*).

§ 3 Doctoral studies

The time limit for doctoral studies is five years.

§ 4 Doctoral committee, appeals authority

- (1) The Faculty Council appoints the doctoral committee. The doctoral committee consists of six habilitated members. Four of these should be members of the Medical Faculty and two should be members of other Faculties of Ulm University. The term of office of the committee is in line with the term of office of the dean.
- (2) The Faculty Council appoints one of the committee members as chair and a further member as deputy chair.
- (3) A quorum exists if half or more of the members of the doctoral committee are in attendance.

§ 5 Supervisor, reviewers (examiners)

- (1) Professors who are no longer serving or who have retired can be appointed as examiners of a doctoral thesis.
- (2) If the supervisor of the doctoral thesis is a member of Ulm University but is not employed full time either at Ulm University or Ulm University Hospital, the other reviewer of the doctoral thesis is to be a full time employee of Ulm University or Ulm University Hospital.

§ 6 Admission requirements for doctoral studies

- (1) An outstanding university bachelor's degree according to § 6 (2) sentence 3 of the Regulatory framework for doctoral studies is given if the graduate counts among the best five per cent of their graduation year. In justified cases, the doctoral committee can tie admission to doctoral studies to a condition as defined in § 36 (2) LVwVfG.
- (2) Further admission requirements in addition to those indicated in § 6 (1) sentence 1 of the Regulatory framework for doctoral studies are:
 - The study subject must be a suitable basis for scientific work in the field of Human Biology. This does not include a degree in medicine or dentistry.
 - Academic studies must have been concluded with an overall grade of 2.0 or better.

§ 7 Admission to doctoral studies and acceptance as a doctoral candidate

§ 8 Commencement of the doctoral procedure (submission of the doctoral thesis and oral examination)

- (1) The application for commencement of the doctoral procedure must be addressed to the doctoral committee (Dr. biol. hum.) of the Medical Faculty.
- (2) The following documents must be submitted together with the application for commencement of the doctoral procedure:
 - doctoral thesis in seven copies and in electronic form,
 - an up-to-date, signed and dated CV showing professional and scientific career,
 - certificates of all academic examinations in single copy; the doctoral committee may, in individual cases, request to be shown the original copies,
 - suggestions regarding reviewers and examiners to be selected,
 - an affirmation in lieu of an oath stating that scientific results were achieved independently in compliance with Annex 1 and 1a,
 - a statement declaring that the submitted work was not previously submitted in the same or a similar form in a doctoral procedure in Germany or abroad.
 - a statement on previously passed or failed doctoral examinations specifying the respective higher education institutions as well as topic, place and time of the examinations,
 - a statement declaring that the doctoral candidate is not presently admitted to any further doctoral procedures or as a doctoral candidate and has not applied to be admitted to such,

- a statement confirming that the Medical Faculty's "*Merkblatt für Doktorandinnen und Doktoranden*" (instruction sheet for doctoral candidates) as amended was observed,
- proof of participation in a minimum 2-hour seminar with a focus on "copyright".

§ 9 Examination board

- (1) The examination board is composed of seven members, i.e., the reviewers of the doctoral thesis (the supervisor is usually the first reviewer), three members of the doctoral committee and two teachers authorised to conduct doctoral procedures who are not identical with the reviewers (selected examiners). The selected examiners should not be members of the same institute/clinic of the Medical Faculty of Ulm University. They may be members of another Faculty of Ulm University or any other higher education institution in Germany or abroad entitled to award doctoral degrees. If further reviewers are appointed, they may contribute as further examiners. The majority of members must belong to Ulm University. The chair of the doctoral committee chairs the examination board. A quorum exists if half or more of the members of the examination board are in attendance. The examination board decides on the oral examination. The reviewers of the doctoral thesis are not entitled to vote.
- (2) If the examiners are prevented from attending the examination, the doctoral committee entrusts the examiners with finding substitutes for them in agreement with the chair of the doctoral committee.

§ 10 Doctoral thesis

- (1) The doctoral thesis must be written in German or in English.
- (2) It is permissible that parts of the work have already been accepted for publication or published. The doctoral thesis can be a single piece of work (monograph) or a thesis by publication as defined in paragraphs 3 and 4.
- (3) In case of already published work, copyright and rights of use must be observed.
- (4) Prerequisites for a thesis by publication:
 - A thesis by publication consists of a minimum of three original papers published in respected, peer-reviewed, scientific publication media or accepted for publication; two of these must be as sole first author and the third publication must be as minimum 30 % co-author. The publications must be placed into the scientific context by means of an approx. 20-page summary. If parts of a publication were co-authored, the individual contribution of the doctoral candidate must be clearly delimitable and assessable in all publications.
 - A thesis by publication requires the consent of the doctoral committee. Co-authored publications require details regarding names, academic titles, addresses of contributors as well as, if possible, information on who of these, if any, have already applied for or completed doctoral procedures and used parts of the submitted work for this purpose. Furthermore, the authorship of the respective parts must be confirmed in writing by both the doctoral candidate and, as far as possible, the co-authors.

§ 11 Assessment of the doctoral thesis

- (1) The doctoral thesis is reviewed by two or more reviewers working independently. The first reviewer must be a member of the Medical Faculty of Ulm University. The second reviewer should not be a member of the same institute/clinic at the Medical Faculty of Ulm University or, respectively, Ulm University Hospital as the first reviewer. He or she can be a member of another Faculty of Ulm University or any other German or foreign higher education institution entitled to award doctorates.
- (2) The appointment as a reviewer can be declined only for good cause.
- (3) A further external examiner is appointed if the reviewers of the doctoral thesis propose the qualification “summa cum laude” but one or more of the reviewers assess the work as “not sufficient” or if the difference between the grades is two or more.
- (4) The reviewers are recommended to review the doctoral thesis within six week. The reviewers must submit a written substantiated assessment to the doctoral committee within three months of their appointment. After the period defined in sentence 2, the chair of the doctoral committee is to send a written reminder asking for submission of the assessments; in case of a considerable delay, the appointment of the reviewer is revoked. In this case, the doctoral committee looks for a new reviewer.
- (5) Each reviewer must submit a substantiated, independent assessment of the doctoral thesis to the doctoral committee, recommend acceptance or rejection of the thesis and propose a grade. To be accepted, the doctoral thesis must manifest the doctoral candidate’s ability to perform in-depth scientific work and constitute a considerable contribution to progress in the scientific state of the art.
- (6) Doctoral theses can be awarded the following
 - grades: excellent = 1 = magna cum laude;
 - good = 2 = cum laude;
 - sufficient = 3 = rite;
 - insufficient = 4 = non
 - sufficit;The intermediate grades 1.3, 1.7, 2.3 and 2.7 are also allowed.

Outstanding doctoral theses can also be awarded the qualification “summa cum laude”. The proposal must be explained.

§ 12 Oral examination

- (1) The oral examination takes the form of a colloquium, lasts up to 70 minutes and is conducted either in German or in English as agreed by the examiners and the doctoral candidate. To begin with, the doctoral candidate gives a 20-minute talk about his/her doctoral thesis. The aim is to show if the doctoral candidate masters the field of the doctoral thesis and can place the thesis in a scientific context with other relevant scientific fields. In general, in the colloquium doctoral candidates are to demonstrate their ability to orally discuss scientific issues.

- (2) The doctoral candidate is notified in writing of the date of the oral examination in good time. The period from this notification to the examination date should not be less than 14 days.
- (3) Directly after the oral examination, the members of the examination committee consult on the oral achievement of the doctoral candidate. All members except the reviewer individually propose their grades. The grading scale under § 11 (6) of these regulations applies.
- (4) The colloquium is failed if two or more members of the doctoral committee assess the oral doctoral achievement as insufficient.
- (5) Higher education teachers as defined in § 44 (1) no 1 LHG and habilitated scientific members of the Medical Faculty who are full time employees of Ulm University are invited to attend the oral examination.

§ 13 Repeat oral examination

§ 14 Overall grade of doctoral studies

- (1) The overall grade of successful doctoral studies is determined by the doctoral committee in the final consultation following the oral examination. The overall grade is the weighted mean of the grade awarded for the doctoral thesis (this has a weight of two even in case of more than two reviewers) and the final grade of the oral examination with a weight of 1. For an overall assessment of the doctoral achievement, it is established that in case of a weighted mean smaller than 1.5, the overall grade is excellent (*magna cum laude*), in case of 1.5 to smaller than 2.5, the overall grade is good (*cum laude*) and in case of 2.5 to 3.0, the overall grade is pass (*rite*). The calculation of the average considers the first decimal after the point; all further decimals are omitted. The numerals serve the purpose of calculation only and do not appear in the certificate.
- (2) In exceptional cases, the overall grade of “with distinction” (*summa cum laude*) is determined if
 - all reviewers of the doctoral thesis proposed the grade “*summa cum laude*”,
 - essential parts of the doctoral thesis with the doctoral candidate as first author have been accepted as original research by a respected, peer-reviewed scientific publication medium, and
 - the examination board also assesses the oral examination as “*summa com laude*” by unanimous decision.

§ 15 Award of the doctoral degree and degree certificate

§ 16 Publication of the doctoral thesis

§ 17 Non-attendance, withdrawal and inability to take an exam

§ 18 Deception and breach of regulations

§ 19 Withdrawal/revocation of a doctoral degree

§ 20 Exam inspection

§ 21 Procedural shortcomings and objection

§ 22 Retention of examination documents

§ 23 Doctoral studies supervised jointly with another foreign higher education institution

- (1) A doctoral procedure conducted jointly with a foreign higher education institution further requires that
 1. the doctoral candidate fulfils the requirements for admission to the doctoral procedure (§ 7) and acceptance as doctoral candidate at Ulm University, and
 2. the foreign higher education institution is entitled to award doctoral degrees and the academic degree awarded by it is recognised under § 37 LHG.
- (2) As stipulated in the agreement, the main responsibility can lie with Ulm University or the foreign higher education institution. The agreement must have provisions regarding the number of copies (§ 8) and, in case of success, deposit copies (§ 16) to be submitted. The doctoral candidate receives a copy of the agreement.
- (3) The doctoral thesis must be submitted to the higher education institution with main responsibility. A doctoral thesis submitted to and accepted or rejected by one of the participating higher education institutions before the conclusion of an agreement cannot be the object of a joint doctoral procedure.
- (4) During the doctoral studies, both a higher education teacher from Ulm University and one from the foreign higher education institution supervise the doctoral candidate. Further details regarding this joint supervision are stipulated in the agreement. Both supervisors also serve as reviewers. Should the assessments not be in German or English, the institution with main responsibility sees to it that translations into one of these two languages are submitted. Upon receipt of the assessments, these are submitted to both higher education institutions together with the doctoral thesis. The higher education institutions independently decide on acceptance and grade of the thesis. The grading follows the respective provisions of each higher education institution (subject-specific doctoral degree regulations). If either of the higher education institutions rejects the doctoral thesis, the joint procedure is terminated. If the doctoral thesis was only rejected by the foreign higher education institution, the procedure can be continued at Ulm University under the provisions of these doctoral degree regulations.
- (5) If the doctoral thesis was accepted by both higher education institutions, the institution with main responsibility conducts the oral examination. Equal participation of both higher education institutions in the examination board is to be ensured. If the representatives of one of the two higher education institutions reject acceptance of the achievement in the colloquium, the joint procedure is terminated; paragraph 5 sentence 9 apply accordingly.
- (6) After the successful completion of the doctoral procedure in joint supervision with a foreign higher education institution, one of the two institutions hands over the doctoral degree certificate signed by both higher education institutions; it shows that the doctoral degree was awarded jointly by both participating institutions in recognition of a scientific achievement. The agreement provides that any additionally awarded foreign certificate makes a reference to the joint doctoral procedure with Ulm University.

§ 24 Honorary doctorate

§ 25 Compensation for disadvantages

§ 26 Effective date and transitional provisions

- (1) These regulations come into effect on the day after their publication in the Official Bulletin (*Amtliche Bekanntmachungen*) of Ulm University. At the same time, subject to the provisions in paragraphs 2 and 3 of the Doctoral degree regulations of Ulm for the Medical Faculty on the award of doctoral degrees in Human Biology (Dr. biol. hum.) of 16 July 2008, published in the Official Bulletin of Ulm University no 17 of 23 July 2008 cease to be effective.
- (2) Doctoral candidates who have already applied for commencement of the doctoral procedure when these Subject-specific doctoral degree regulations come into effect are covered by the previous doctoral degree regulations according to para. 1 sentence 2 except for the provisions regarding the doctoral committee.
- (3) Doctoral candidates already admitted and accepted as doctoral candidates on the effective date of these Subject-specific doctoral degree regulations may, upon request, complete their doctoral procedure under the previous doctoral degree regulations in compliance with para. 1 sentence 2. This request must be submitted to the doctoral committee within six months of the effective date of these Subject-specific doctoral degree regulations. Even if this request is granted, the appointment, composition and required quorum of the doctoral committee is still governed exclusively by § 4 of these regulations..

Ulm, 24 Nov 2016

signed

Prof. Dr. Michael Weber

-President-

Affirmation in lieu of an oath

Information

The Medical Faculty requires an affirmation in lieu of an oath regarding the independent achievement of scientific results to ascertain convincingly that the doctoral candidate achieved the scientific results independently.

As the legislator attaches special importance to the affirmation in lieu of an oath and its consequences can be quite significant, the legislator penalises making false affirmations in lieu of an oath. If the affirmation made was deliberately (i.e., knowingly) false, this is punishable by up to three years' imprisonment or a fine.

Negligently making a false affirmation (i.e., affirmation although you should have recognised that it was not accurate) is punishable by up to one year's imprisonment or a fine.

The respective penal provisions can be found in § 156 StGB (German Criminal Code) (false affirmation in lieu of an oath) and in § 161 StGB (negligent perjury, negligent false affirmation in lieu of an oath).

§ 156 StGB (German Criminal Code): False Affirmations in Lieu of an Oath

Whoever, before a public authority competent to administer affirmations in lieu of an oath, falsely makes such an affirmation or falsely testifies while referring to such an affirmation, shall be punished with imprisonment for not more than three years or a fine.

§ 161 StGB (German Criminal Code): Negligent perjury, negligent false affirmation in lieu of an oath

- (1) If a person negligently commits one of the offences listed in sections 154 to 156, the penalty shall be imprisonment not exceeding one year or a fine.
- (2) The offender shall be exempt from liability if he corrects his false testimony in time. The provisions of section 158 (2) and (3) shall apply mutatis mutandis.

Acknowledged

Place, date

Signature

Affirmation in lieu of an oath pursuant to § 8

- 1. The doctoral thesis I submitted on the topic

.....
.....

was prepared and written independently by me.

- 2. I have used only the sources and aids indicated and have received no inadmissible assistance from third parties. In particular, I have cited all content adopted verbatim or rephrased from other works as such.
- 3. The thesis or parts thereof have been submitted as follows / have not yet been submitted¹ to any German or foreign higher education institution as part of an examination/qualification achievement.

Title of the work:

Higher education institution and year:.....

Type of examination or qualification achievement:

- 4. I confirm that the above declaration is correct.
- 5. I am aware of the significance of an affirmation in lieu of an oath and the criminal law consequences of making an incorrect or incomplete affirmation in lieu of an oath.

I affirm in lieu of an oath that, to the best of my knowledge, I have told nothing but the truth and have not omitted any information

Place, date

Signature

¹ Please delete as applicable. If applicable, please indicate the title of the work submitted elsewhere, the higher education institution, the year of submission and the type of examination or qualification achievement. .