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Doctoral regulations
for the Faculty of Biology, Chemistry & Earth Sciences
at the University of Bayreuth
dated 25 January 2021
in the version dated 30 March 2023

Article 13 para 1 sentence 2 in conjunction with Article 64 para 1 sentence 5 of the Bavarian Higher Education Act (*BayHSchG*) forms the basis for the following doctoral regulations for the Faculty of Biology, Chemistry & Earth issued by the University of Bayreuth.

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Section I: General provisions

§ 1

Doctoral degree

- (1) ¹The University of Bayreuth awards the academic degree of Doktor der Naturwissenschaften (Dr. rer. nat.) through the Faculty of Biology, Chemistry & Earth Sciences on the basis of doctoral achievements in the subjects of biology or chemistry or Earth sciences. ²The degree may be awarded either as "Doktorin" or "Doktor". ³The abbreviated form remains unchanged.
- (2) According to Art. 97 para 1 BayHSchG, the doctorate serves as proof of an independent academic achievement, which must go considerably beyond the achievements required in § 4 for acceptance to the doctorate.
- (3) The doctoral examination consists of an academic work (dissertation) written by the doctoral researcher and an oral examination (colloquium).
- (4) ¹The University of Bayreuth, by way of the Faculty of Biology, Chemistry & Earth Sciences, awards the honorary degree of "Doktor der Naturwissenschaften ehrenhalber" (Dr. rer. nat. h. c.) in accordance with § 18 as a rare distinction to individuals who have rendered outstanding scientific achievements in the subjects of biology, chemistry, or Earth sciences. ²Para 3 sentences 2 and 3 apply mutatis mutandis.

§ 2

Examination authorization

¹In accordance with these doctoral degree regulations, authorised examiners (Art. 85 para 1 BayHIG) are full-time and part-time university lecturers (Art. 19 para 1 Sentences 1 and 3 BayHIG), professors who have been released from their duties or have retired (Art. 19 para 1 Sentence 4 BayHIG) as well as other authorized examiners of the Faculty of Biology, Chemistry & Earth Sciences in accordance with § 4 of the University Examiner Ordinance (HSchPrüferV). ²The decision as to whether a justified case pursuant to § 4 sentence 3 HSchPrüferV exists shall be made by the dean in consultation with the doctoral committee. ³Teaching staff from other faculties of the University of Bayreuth or other German or foreign universities may also be appointed as examiners by the dean, provided they fulfil the qualification requirements specified in Art. 85 para 1 BayHIG in conjunction with § 4 HSchPrüferV or equivalent requirements. ⁴The dean is responsible for assessing equivalence. ⁵For doctorates carried out jointly with universities of applied science/HAWs, § 19 and, in the case of binational doctorates, Section V of the present regulations shall apply.

§ 3

Doctoral committee and extended doctoral committee

- (1) ¹The doctoral committees shall be responsible for acceptance for doctoral studies and for conducting the doctoral examination process. ²A doctoral committee shall be formed for each of the subjects biology, chemistry and Earth sciences.
- (2) ¹The doctoral committees consist of the dean or his/her deputy as chairperson and four authorized examiners for the subjects biology and Earth sciences and five authorized examiners for the subject chemistry. ²They are elected by the faculty council for a period of two years.
- (3) ¹A doctoral committee constitutes a quorum if all members have been duly invited and the majority of the members are present and entitled to vote; it passes its resolutions by a majority of the votes cast. ²Vote abstention, secret voting, and proxy voting are prohibited. ³If votes are equally divided among its members, the chairperson's vote shall be decisive.
- (4) ¹The decisions of the doctoral committee shall be communicated to the applicant/ doctoral researcher in writing. ²Notices of denial are to include a rationale and information on how to appeal.
- (5) ¹The extended doctoral committee is composed of all the faculty's lecturers who are authorized to administer examinations. ²It makes decisions in the cases referred to in §12 para 5 and §18 para 2 and 3. ³The dean acts as chairperson. ⁴It shall be convened within 14 days of a member's request. ⁵Paragraphs 3 and 4 apply mutatis mutandis. ⁶If the extended doctoral committee decides on a request in accordance with § 18, the decision shall require the approval of two thirds of the lecturers authorized to administer examinations.
- (6) Exclusion due to personal involvement is based on Art. 51 para 2 BayHIG, taking into account Art. 20 and Art. 21 BayVwVfG.

Section II: The ordinary doctorate

§ 4

Application for acceptance for doctoral research

- (1) In order to be accepted for doctoral research, the applicant must fulfil the following requirements:
1. They must have completed a subject-related university degree; the standard qualification is the university Diplom or Magister examination, the master's examination or the first state examination for teaching at Gymnasien. The doctoral committee can also recognize other degrees and degrees in related subjects as sufficient prerequisites for the doctorate and, if necessary, require additional components. It also decides on the recognition of foreign degrees. In these cases, the doctoral committee decides according to the principle of equivalence, taking into account Art. 86 BayHIG. The Central Office for Foreign Educational Credentials ("Zentralstelle für ausländisches Bildungswesen") may be contacted if there is doubt concerning equivalency. The requirement according to sentence 1 is considered to be fulfilled if the applicant has passed the doctoral aptitude assessment according to § 6.
 2. He or she must not have failed this or any other similar doctoral examination on the final attempt.
 3. The applicant must have concluded a supervisory agreement in accordance with § 7 with an instructor authorized to administer examinations in accordance with § 2 sentence 1; there is no entitlement to the conclusion of a supervisory agreement.
 4. He or she must not have shown himself or herself to be unworthy of holding a doctoral degree by his or her conduct.
 5. He or she must not have not already been accepted to doctoral studies at a different body that awards doctoral degrees in the same subject, whether at the University of Bayreuth or a different higher education institution.
- (2) ¹Acceptance for doctoral research must be applied for in writing to the dean. ²The application is to be accompanied by the documents required to prove the prerequisites specified in para 1. ³With the application the applicant must register online and the Dean's Office confirms the registration as an applicant at the Faculty of Biology, Chemistry & Earth Sciences.
- (3) The doctorate begins with the receipt of the written confirmation of acceptance as a doctoral researcher sent by the dean.

§ 5

Statistical requirements

- (1) ¹With the application for acceptance for doctoral studies, personal data of the doctoral researcher will be collected, automatically stored, and processed by the responsible faculty in accordance with the survey characteristics regulated in § 5 of the Higher Education Statistics Act (HStatG) dated 2 November 1990 (as amended) for the purpose of fulfilling the legal duties as well as for the purpose of legislation and planning in the higher education sector in accordance with § 1 para 1 HStatG in the context of doctoral studies. ²In this respect, the applicant is obligated to cooperate and to provide personal data (Art. 7 para 2 sentence 4 BayHIG).
- (2) ¹Regular transmission or forwarding to the Bavarian State Office for Statistics is carried out with regard to the survey characteristics of the Higher Education Statistics Act of 2 November 1990 as well as to the university administration for the purpose of presenting the higher education statistics. ²The use and processing of personal data is subject to the requirements of Art. 7 BayHIG.

§ 6

Doctoral aptitude assessment

- (1) Admission to the doctoral aptitude assessment requires that the applicant does not fulfil the prerequisites specified in § 4 para 1 number 1 and that
 1. he or she has completed a relevant Diplom or Magister programme at a university of applied science with an overall grade of at least 2,0 or a relevant bachelor's programme at a university or university of applied sciences within the standard period of study with an overall grade of 1,0,
 2. he or she has written a bachelor's, Diplom or Magister thesis which has been assessed with the grade "very good",
 3. he or she has not yet undergone a relevant doctoral aptitude assessment or a comparable examination at another German higher education institution without success,
 4. a counselling interview has taken place with the applicant, which is conducted and recorded by an instructor authorized to administer examinations who was appointed by the doctoral committee.
- (2) ¹The application for admission to the doctoral aptitude assessment must be submitted in writing to the dean. ²The applicant must enclose the following documents with the application:
 1. proof of meeting the admission requirements specified in para 1 numbers 1, 2, and 4;
 2. a statement as to the subject area in which he/she is pursuing a doctorate;
 3. a statement as to whether he/she has already taken a doctoral aptitude assessment or a comparable examination at another German higher education institution.

- ³In addition, the applicant may submit further documents that can be used to prove subject-related qualifications beyond the academic degrees.
- (3) ¹The doctoral committee decides on admission to the doctoral aptitude assessment. ²Admission is to be refused if
1. the admission requirements stipulated in para 1 are not fulfilled, or
 2. the applicant has shown himself/herself to be unworthy of holding the doctoral degree due to his/her conduct, or
 3. the applicant does not submit the documents and declarations mentioned in para 2 sentence 2 in full.
- (4) In the doctoral aptitude assessment, the applicant must prove that he/she has the subject knowledge and scientific aptitude required for a doctorate.
- (5) ¹The doctoral aptitude assessment consists of an oral examination of approximately one hour before an examination board. ²The examination board is made up of three authorized examiners from the Faculty of Biology, Chemistry & Earth Sciences; the doctoral supervisor is not a member of the examination board. ³The dean appoints the examination board and appoints an examiner as chairperson ⁴He/she sets the date of the examination and invites the members of the examination board and the applicant to the appointment in writing with one week's notice. ⁵§ 14 para 7 applies mutatis mutandis.
- (6) ¹No grades are awarded in the doctoral aptitude assessment. ²The examination board will determine whether the applicant's performance meets the requirements according to para 4. ³If the performance does not meet these requirements, the doctoral aptitude assessment is failed. ⁴Minutes are taken of the examination and signed by the chairperson and the examiners. ⁵§ 9 para 3 sentence 2 applies mutatis mutandis.
- (7) ¹Any doctoral aptitude assessment that was failed on the first attempt can be repeated once. ²The application for admission to the re-examination must be submitted within one year after notification of the failure of the examination, unless the dean grants the applicant a period of grace due to special reasons for which he/she is not responsible.
- (8) After successfully passing the aptitude assessment and fulfilling the requirements according to § 4 para 1 numbers 2 to 5 of the present regulations, the applicant receives written confirmation of acceptance for doctoral studies from the faculty.

§ 7

Supervision and supervisory agreement

- (1) ¹The doctorate is supervised by an instructor authorized to administer examinations. ²The latter and the applicant shall set out the key points of the doctoral relationship in a written supervisory agreement.
- (2) ¹If the supervisor leaves the group of persons according to § 2 sentence 1, he/she can continue the supervision for up to two years after his/her departure if he/she remains entitled to administer examinations under the conditions of Art. 85 para 1 BayHIG in conjunction with § 4 HSchPrüferV. ²The dean may extend the period given in sentence 1 by a maximum of two years if there are important reasons for doing so.
- (3) If the supervisor of a doctorate can no longer continue supervising it, the doctoral committee will ensure that the doctorate continues to be supervised as far as possible.
- (4) ¹In the case of doctorates with universities of applied science/HAWs (§ 19), the dissertation is supervised equally by the participating teaching staff of the university of applied science/HAW and the university who are authorized to administer examinations, and the supervisory agreement is concluded jointly between them and the doctoral researcher. ²Para 1 and para 2 apply *mutatis mutandis*.
- (5) ¹The completion of a doctorate outside the Faculty of Biology, Chemistry & Earth Sciences is only permitted if a teaching staff member of the faculty who is authorised to administer examinations in accordance with § 2 agrees to supervise the doctorate. ²This person represents the doctorate before the faculty, concludes the supervisory agreement in accordance with paragraph 1 and prepares one of the reviews.

§ 8

Application for admission to the doctoral examination process

¹Admission to the doctoral examination process must be applied for in writing to the dean and requires acceptance for the doctorate. ²The application must include:

1. six identical copies of the dissertation, which must meet the requirements according to § 11,
2. a German and an English abstract of no more than 800 words, with the title in a form specified by the dean and suitable for electronic delivery,
3. an affirmation in lieu of an oath that the doctoral researcher has written the thesis independently and has not used any sources or aids other than those indicated by him/her (cf. Art. 97 para 1 sentence 8 BayHIG) as well as an updated declaration that he/she has not yet submitted the thesis for the award of an academic degree and that he/she has not yet failed this or a similar doctoral examination on the final attempt,

4. a declaration that the assistance of commercial doctoral consultants or intermediaries or similar service providers has not been used in the past and will not be used in the future,
5. a curriculum vitae of the doctoral researcher providing information in particular about his/her educational background,
6. and an official certificate of good conduct. In the case of foreign citizens, a certificate recognized as equivalent by the University of Bayreuth must be submitted. This can be an extract from the criminal record from one's home country, a certificate of good conduct, or a comparable document. If the doctoral researcher is enrolled or is a public servant, the certificate of good conduct can be waived.
7. the electronic version of the dissertation, the form of which is specified by the dean, as well as a declaration of consent by the doctoral researcher that the electronic version of the dissertation can be subjected to a separate review while safeguarding his/her copyright and data protection;
8. a declaration of consent by the doctoral researcher that in the event of suspected scientific misconduct investigations may be carried out by internal university bodies of academic self-regulation;
9. proof of any additional components to be completed in accordance with § 4 para 1 number 1.

§ 9

Decision on acceptance for doctoral research and admission to the doctoral examination process

- (1) Acceptance for doctoral studies is to be refused if the requirements specified in § 4 para 1 are not fulfilled.
- (2) Admission to the doctoral examination process is to be refused if
 1. acceptance for doctoral studies has not been granted or
 2. the documents required under § 8 are incomplete, or
 3. the applicant has shown himself/herself to be unworthy of holding the doctoral degree due to his/her conduct, or
- (3) ¹The doctoral committee should decide on the applications of the applicant/doctoral researcher within one month. ²The decisions on the applications for acceptance for doctoral studies and for admission to the doctoral examination process are communicated to the applicant/doctoral researcher in accordance with § 3 para 4. ³In the doctoral examination process, the dean should ensure that the period between the application for admission to the doctoral examination process and the final colloquium does not exceed four months.

§ 10

Withdrawal

¹The doctoral researcher may withdraw from the doctorate at any time, provided that no application for admission to the doctoral examination process has been submitted. ²The request for withdrawal must be submitted in writing to the dean. ³Upon confirmation of withdrawal by the dean, the supervisory agreement shall be deemed to have been terminated.

§ 11

Dissertation

- (1) ¹The dissertation must represent an independent academic achievement and contribute to solving scholarly questions. ²It should lead to new scientific knowledge. ³It must present the results achieved in an appropriate form.
- (2) ¹The dissertation must be signed and submitted in typescript; it must be bound, paginated, and provided with a table of contents and contain a German and English abstract of no more than 800 words providing information on the problem and results. ²The literature used as well as any other aids are to be stated in full; passages taken verbatim or almost verbatim from the literature are to be identified. ³The title page must state the title of the dissertation, that it is a dissertation, and the name and place of birth of the doctoral researcher.
- (3) If an already published work is submitted as a dissertation, the corresponding number of copies of the printed work may be used instead of the typed copies.
- (4) ¹Several individual works of a doctoral candidate can also be combined into one dissertation (cumulative dissertation). ²In this case, the connection between the individual pieces of work and the doctoral candidate's own contribution should be presented in a detailed summary. ³The decision as to whether a cumulative dissertation is deemed suitable shall be taken by the doctoral committee.
- (5) ¹The dissertation may be written in German or English. ²In the case of a cumulative dissertations, publications in either language are permitted.

§ 12

Assessment of the dissertation

- (1) ¹After admission to the doctoral examination process, the dean shall immediately appoint at least two lecturers authorized to administer examinations as reviewers to assess the dissertation on the recommendation of the doctoral committee. ²One of the reviewers must be a lecturer of the Faculty of Biology, Chemistry & Earth Sciences who is authorized to administer examinations and at least one reviewer must be a professor within the meaning of Art. 19 para.1 sentence 1 BayHIG

who is authorized to administer examinations in accordance with § 2. ³In the case of doctorates with universities of applied science/HAWs (§ 19), the two equal supervisors of the university of applied science and the university are generally appointed as reviewers.

- (2) ¹As a rule, each reviewer submits a written review of the dissertation within one month, but no later than two months after admission to the doctoral examination process, and proposes to the dean that the dissertation be accepted or rejected. ²Each reviewer evaluates the dissertation and awards a grade according to the following scheme:

sehr gut [very good]	= 1 =	particularly commendable work;
gut [good]	= 2 =	above-average work;
befriedigend [satisfactory]	= 3 =	work that meets the average requirements;
unzulänglich [unsatisfactory]	= 4 =	work suffering from significant deficiencies, which is no longer usable overall.

³The use of the intermediate grades 1.3, 1.7, 2.3, 2.7 is permitted.

⁴In special cases, the predicate

ausgezeichnet [excellent] = very outstanding work

may be awarded. ⁵When calculating the grade, this predicate is used with the value 0.

- (3) ¹The dean appoints an additional reviewer at the suggestion of the doctoral committee if the reviews differ by more than one grade. ²If the dissertation was reviewed by more than one supervisor, the dean shall appoint an additional reviewer. ³If the dissertation is graded "excellent" overall, the dean may appoint an additional reviewer at the suggestion of the doctoral committee. ⁴The same applies if a reviewer proposes the appointment of an additional reviewer.

- (4) The dean may appoint additional reviewers at any time during the process in consultation with the doctoral committee if this appears necessary to ensure a proper assessment.

- (5) ¹The dean informs the members of the extended doctoral committee in an appropriate manner about the receipt of the reviews and the grades of the reviewers. ²The abstract of the dissertation is sent with the notification. ³Upon justified request, the electronic version of the dissertation will be sent after consultation with the signatories of the supervisory agreement, whereby copyrights and data protection must be respected. ⁴The dean shall make the dissertation and the reports available for inspection by the extended doctoral committee in the dean's office for a period of two weeks. ⁵The members of the extended doctoral committee may submit a written statement to the dean or raise an objection against the thesis within the display period. ⁶The doctoral committee will deliberate on statements and objections received in due time. ⁷It will give the doctoral researcher and the supervisor the opportunity to comment. ⁸Afterwards, it can either unanimously reject the objections, or it can return the dissertation for revision, or it can obtain one or more further reviews via the dean.

- (6) ¹If the dissertation is proposed for acceptance by all reviewers and has not been returned by the doctoral committee for revision, it is accepted. ²If it is rejected by all reviewers, it is rejected. ³If there is no unanimity among the reviewers on the acceptance or rejection of the dissertation, the

decision will be made by the doctoral committee.⁴In the evaluation of the dissertation, the arithmetic mean of the individual grades awarded in the reviews is calculated and only the first decimal place is taken into account without rounding.⁵If this results in an overall grade of less than 3 for an accepted dissertation, the dissertation will be graded 3.

- (7) ¹If the dissertation is rejected, the doctoral researcher may submit a new dissertation within two years of the announcement of rejection. ²Paragraphs 1 to 6 shall apply to the further procedure. ³If the doctoral researcher does not submit a new dissertation within the period specified in sentence 1 or if the new dissertation is also rejected, the doctoral examination process is terminated without success. ⁴§ 9 para 3 sentence 2 applies mutatis mutandis. ⁵The doctoral committee may return a dissertation to the doctoral researcher for revision if it should be rejected. ⁶In this case, the doctoral researcher may also submit a new dissertation instead of the revision. ⁷The revised or new dissertation must be submitted to the doctoral committee within the period specified in sentence 1. ⁸A revised dissertation will be assessed by the reviewers appointed for the original dissertation, insofar as they are still available; in all other respects, paragraphs 1 - 6 apply. ⁹If the doctoral researcher does not submit the revised or the new dissertation in due time or if the revised or the new dissertation is also rejected, the doctoral examination process is terminated without success. ¹⁰§ 9 para 3 sentence 2 applies mutatis mutandis.
- (8) ¹If the reviewers or the members of the doctoral committee identify deficiencies in the dissertation that do not justify rejection of the work, the doctoral researcher may be required to make appropriate corrections. ²When the deposit copies are submitted, the reviewers confirm that the corrections have been made.

§ 13

Board of examiners

- (1) ¹Within a reasonable period of time after acceptance of the dissertation in accordance with § 12 para 6 sentence 1 of the present regulations, a scientific colloquium (§ 14) will take place before the board of examiners. ²The board of examiners consists of:
1. an authorized examiner from the Faculty of Biology, Chemistry & Earth Sciences, who may not be a reviewer, as chairperson,
 2. the reviewers, whereby reviewers within the meaning of § 12 para 3 and 4 are free to participate in the colloquium,
 3. at least one other instructor authorized to administer examinations within the meaning of § 2.
- ³If a reviewer within the meaning of sentence 2 number 2 is prevented from taking part in the rest of the process, then, if this results in fewer than two reviewers taking part, an instructor authorized to administer examinations within the meaning of § 2 will be appointed as a member of the board of examiners in his/her place.

- (2) ¹The chairperson and the other members of the board of examiners are appointed by the dean on the recommendation of the doctoral committee immediately after admission to the doctoral examination process. ²The doctoral candidate will be informed in writing of the composition of the board of examiners.

§ 14

Colloquium

- (1) The colloquium is a scientific discussion about the dissertation and related subject areas.
- (2) ¹The dean will determine the date of the colloquium in consultation with the chair of examiners. ²The doctoral researcher and the members of the board of examiners are to be invited in writing at least 14 days before the start of the colloquium. ³The doctoral committee may shorten this deadline in agreement with the doctoral researcher.
- (3) ¹The colloquium lasts at least sixty, but no more than one hundred and twenty minutes and is open to the all members of the University. ²It is held in German or English. ³The colloquium is divided into a presentation on the dissertation of approx. 20 minutes up to a maximum of 30 minutes and a scientific discussion. ⁴The colloquium is chaired by the chair of examiners. ⁵In addition to the members of the board of examiners, all lecturers authorized to administer examinations within the meaning of § 2 will be invited to the colloquium. ⁶The doctoral researcher may decide within one week after the summons that the public is to be excluded. ⁷The supervisor according to § 7 may request the exclusion of the public if patent law concerns are affected.
- (4) ¹In justified exceptional cases, in particular in the case of binational doctorates (Section V), the dean upon request of the relevant doctoral committee may approve the participation of individual examiners in the colloquium via video conference. ²Prior to approval, the written consent of the doctoral researcher must be obtained. ³The majority of the examiners and all examiners who are members of the University of Bayreuth must be present in person. ⁴Compliance with data protection regulations is required, in particular the use of secure transmission paths such as DFN for the video conference. ⁵The chairperson shall ensure that the colloquium is conducted in an orderly manner.
- (5) ¹A record sheet must be made of the course of the colloquium and the determination of the overall grade of the doctorate. ²The record sheet must contain information on
1. the date of the colloquium,
 2. the names of the chairperson and the other examiners,
 3. the name of the doctoral candidate,
 4. the topic of the examination,

5. the grades of the dissertation and the colloquium as well as the final grade of the doctorate according to § 15.

³The record sheet is to be signed by the chairperson and the examiners.

- (6) ¹The grading of the colloquium takes place after a joint, non-public discussion between the examiners and is based on the grading scale according to § 12 para 2 sentences 2 to 5. ²In the evaluation of the dissertation, the arithmetic mean of the individual grades is calculated and only the first decimal place is taken into account without rounding. ³If a doctoral candidate does not achieve at least the grade "satisfactory" (3.0) in the colloquium, the colloquium is failed.
- (7) ¹The doctoral researcher may repeat the failed colloquium once. ²The request for repetition must be submitted to the dean within one year after notification of having failed the colloquium. ³In exceptional cases, the dean may permit, with the approval of the doctoral committee, a second repetition of the failed colloquium; the doctoral researcher must submit an application to this effect to the dean within six months of being notified of the repeated failure of the colloquium. ⁴The doctoral examination process will be terminated without success if the doctoral researcher does not submit a request for repetition within the deadlines specified in sentences 2 and 3 or if the doctoral committee does not permit a second repetition of the colloquium or if the doctoral researcher fails the colloquium even on the second repetition; § 9 para 3 sentence 2 shall apply mutatis mutandis.
- (8) ¹If the doctoral candidate does not appear at the date of the colloquium or withdraws from the colloquium after it has begun, he/she must immediately notify the dean in writing of the reasons for the delay or withdrawal and provide credible evidence. ²In the event of illness of the doctoral candidate, the dean may request the submission of a medical certificate or a certificate from a public health officer. ³If the doctoral candidate is not responsible for the reasons for the failure or withdrawal, the dean will set a new date in accordance with para 2. ⁴If the doctoral candidate does not immediately report and substantiate the reasons for non-appearance or withdrawal in accordance with sentence 1 or is responsible for these reasons, the colloquium shall be deemed to have been failed; § 9 para 3 sentence 2 shall apply mutatis mutandis.

§ 15

Final grade of the doctorate

- (1) If the colloquium is passed, the board of examiners determines the final grade of the doctorate.
- (2) ¹The final grade of the doctorate is calculated as follows: First, the arithmetic means of the individual grades of the dissertation and the colloquium are calculated separately. ²The calculated value is cut off after the first decimal place without rounding. ³The double value for the dissertation and the single value for the colloquium are then added up and divided by three. ⁴The calculated total value is truncated after the first decimal place without rounding. ⁵The following grading scale applies to the final grade:

- | | |
|------------|------------------------------------|
| 0 | summa cum laude (with distinction) |
| 0.1 to 1.5 | magna cum laude (very good) |
| 1.6 to 2.5 | cum laude (good) |
| 2.6 to 3.0 | rite (satisfactory) |
- (3) The final grade is to be announced orally to the doctoral researcher by the chair of examiners following the colloquium.
- (4) ¹The dean shall issue the doctoral candidate with a written interim report on the result of the examination. ²This interim notification does not entitle the holder to bear the doctoral title.

§ 16

Publication of the dissertation

- (1) ¹After successful completion of the colloquium, the doctoral researcher must make the dissertation available to the scientific public through reproduction and distribution. ²Theses already published in accordance with § 11 para 3 do not have to be published again.
- (2) ¹Prior to publication of the dissertation, printing approval must be obtained (§12 para 8 sentence 2). ²With the delivery of the electronic version or the deposit copies, the doctoral researcher must submit a written declaration that the electronic version or the deposit copies are identical in content to the version for which printing permission was granted.
- (3) ¹For the purpose of publication, the doctoral researcher must deliver the prescribed number of copies free of charge to the dean within one year after the colloquium according to the type of publication chosen by him/her. ²This shall also apply, with a time limit that may deviate from sentence 1, in the event of an approved suspension of publication in accordance with § 17 para 2.

³The following publication types can be selected:

1. 40 copies in book or photographic print for the purpose of distribution.
2. six copies if the dissertation is published essentially unabridged in a scientific journal.
3. six copies if a commercial publisher assumes the distribution via the book trade. The publication must have an ISBN or ISSN number and be marked as a dissertation on the back of the title page, stating the location of the dissertation.
4. Three copies in printed, bound form and an electronic version, the data format and type of data transfer of which must be agreed with the University Library of the University of Bayreuth. The publication must include an abstract in German and one in the English language. The doctoral researcher grants the University Library of the University of Bayreuth and the DDB (Die Deutsche Bibliothek) the right to store the electronic version, to publish it in data networks for an unlimited period of time, and to make it accessible to other databases. The doctoral researcher is obligated to check the metadata and the network version of his/her

dissertation for completeness, correctness, and readability after processing by the University Library. The submission of files that do not meet the required specifications with regard to file format and data transmission will not be deemed to constitute publication.

- (4) The doctoral researcher grants the University of Bayreuth the right in writing to publish his/her name, the topic of the dissertation, the abstract, the date of submission and the date of the colloquium and, in the event that he/she has chosen a type of publication in accordance with para 3 number 1, also the right to produce and distribute further copies of his/her dissertation.
- (5) The doctoral committee may extend the deadline for the delivery of the deposit copies at the request of the doctoral researcher.
- (6) If the doctoral researcher misses the deadline for the delivery of the deposit copies through their own fault, all rights acquired through the successful completion of the examination process expire; ²§ 9 para 3 sentence 2 applies mutatis mutandis.
- (7) In the cases of para 3 numbers 2 and 3, the dean may consider the deadline for delivery to have been met if the publication of the dissertation and the delivery of the deposit copies appear to be sufficiently assured by a binding declaration from the editor of the journal or the publisher.

§ 17

Diploma and completion of the doctorate

- (1) ¹If the requirements specified in § 16 are met, the Faculty of Biology, Chemistry & Earth Sciences issues a certificate in German stating that the person has passed the doctoral examination. ²In addition, an English translation will be produced.
- (2) If the content of the dissertation is related to an intended or completed application for a patent or publication in scientific journals, the doctoral committee can suspend the publication of the dissertation for up to two years upon justified application by the doctoral researcher or the supervisor, without affecting the completion of doctorate.
- (3) ¹The diploma confirms successful completion of the doctorate and contains
 - the name of the university and the faculty,
 - the first and last names of the doctoral researcher, date and place of birth,
 - the degree conferred,
 - the title of the dissertation,
 - the date of the colloquium,
 - the final grade of the doctorate,
 - the name and signature of the President of the University of Bayreuth and the dean of the faculty,
 - the seal of the University of Bayreuth.

²In the case of doctorates awarded in cooperation with universities of applied science/HAWs (§ 19), the university of applied science involved must also be stated on the diploma. ³The date of the certificate is the date of the colloquium.

- (4) ¹The certificate will be issued by the dean together with the English translation. ²The doctorate is completed and the doctorate is finished with the handing over of the certificate; the doctoral researcher thereby receives the right to use the doctoral degree according to § 1.

Section III: Honorary doctorate

§ 18

Honorary doctorate

- (1) ¹The faculty may award honorary doctorates (Dr. rer. pol. h.c.) for exceptional academic achievements in the subjects of biology, chemistry or earth sciences. ²§ 1 para 1 sentence 2 and sentence 3 applies mutatis mutandis. ³The honorary doctorate procedure is to be initiated on the basis of a justified request by at least three instructors authorized to administer examinations. ⁴The request must be submitted in writing to the dean.
- (2) ¹The faculty council appoints at least two lecturers who are competent in the subject and who are authorized to administer examinations to review the extraordinary academic achievement of the person to be honoured. ²The proposal and the reviews are to be submitted to the members of the faculty council and the extended doctoral committee. ³These may submit a written statement within one month.
- (3) ¹The faculty council makes a decision regarding the award of the honorary doctorate upon request of the extended doctoral committee. ²The decision is made in the light of the request and the expert opinions and comments submitted.
- (4) ¹The President of the University of Bayreuth and the dean of the Faculty of Biology, Chemistry & Earth Sciences shall confer the honorary doctorate by presenting the honoured person with a certificate. ²The certificate is to acknowledge the scientific achievements of the honoured person.

Section IV: Cooperation with universities of applied sciences (HAWs)

§ 19

Cooperation with universities of applied science (HAWs)

¹The Faculty of Biology, Chemistry & Earth Sciences enables the cooperative execution of doctorates with universities of applied science/HAWs and/or joint doctorates with Bavarian higher education institutions in accordance with the agreement between Bavarian higher education institutions dated 19 October 2015 within the framework of the provisions of the present doctoral regulations. ²The University of Bayreuth is in charge of cooperative doctorates and joint doctorates.

Section V: Binational doctorates

§ 20

General information

- (1) ¹The doctoral degree may also be awarded within the framework of joint supervision with a foreign academic institution (partner institution). ²This presupposes that
1. an agreement regarding the cross-border joint supervision of the doctorate has been concluded with the partner institution and approved by the dean and the doctoral committee,
 2. the partner institution is authorized to award doctorates according to its national legislation and the academic degree to be awarded by it would have to be recognized in the area of application of the Higher Education Framework Act,
 3. the doctoral researcher fulfils the requirements for acceptance for the doctorate and for admission to the doctoral examination process both according to the present doctoral regulations (§§ 4, 8, and 9) and according to the corresponding regulations of the partner institution.
- (2) ¹The dissertation is jointly supervised by a supervisor in accordance with § 7 para 1 and a member of the partner institution who is authorized to administer examinations in accordance with the regulations there and can be submitted to the Faculty of Biology, Chemistry & Earth Sciences or to the partner institution. ²The details of the joint supervision are to be set out in the agreement pursuant to para 1 sentence 2 number 1. ³A dissertation which has already been submitted to one of the participating educational institutions and accepted or rejected prior to the conclusion of an agreement in accordance with para 1 sentence 2 number 1 may not be the subject of a joint doctoral procedure.

- (3) The grading of the doctoral performance is carried out according to the regulations of the institution at which the dissertation is submitted; the other institution determines the equivalent grades according to its doctoral regulations.

§ 21

Examination process at the University of Bayreuth

- (1) ¹If the dissertation is to be submitted to the Faculty of Biology, Chemistry & Earth Sciences, § 11 and § 12 apply to the dissertation and its assessment. ²The supervisors of the dissertation according to § 20 para 2 sentence 1 should normally be appointed as reviewers.
- (2) ¹If the dissertation has been accepted in the process pursuant to § 12, it is forwarded to the partner institution for approval of the progress of the doctoral examination. ²If the partner institution gives its consent, the oral examination takes place in accordance with § 13 and §14. ³If the supervisor of the dissertation from the partner institution is not a member of the examination committee in accordance with § 13 para 1 sentence 2 number 2, his/her appointment as a member of the examination committee or the substitute appointment of another member of the partner institution who is entitled to administer examinations in accordance with the provisions of that section is to be provided for in the agreement in accordance with § 20 para 1 sentence 2 number 1.
- (3) ¹If the dissertation has been accepted by the University of Bayreuth's Faculty of Biology, Chemistry & Earth Sciences but the agreement to continue the examination has been refused by the partner institution, the joint process is terminated; the doctoral examination is continued according to the provisions of the present doctoral regulations. ²Sentence 1 applies accordingly if the oral examination is assessed as failed by the partner institution.
- (4) Publication of the dissertation and the delivery of the deposit copies shall be governed by § 16 and the supplementary agreements made in accordance with § 20 para 1 sentence 2 number 1.

§ 22

Examination process at the partner institution

- (1) ¹If the dissertation is to be submitted at the partner institution, the doctoral regulations of the partner institution apply to the examination procedure. ²The agreement in accordance with § 18 para 1 sentence 2 number 1 shall provide for the appointment of the supervisor in accordance with § 18 para 2 sentence 1 from the Faculty of Biology, Chemistry & Earth Sciences at the University of Bayreuth or, if this supervisor cannot be called upon, of another lecturer from the Faculty of Biology, Chemistry & Earth Sciences at the University of Bayreuth who is authorized to administer examinations in accordance with the present doctoral regulations, as a reviewer for the assessment of the dissertation.

- (2) ¹If the dissertation has been accepted by the partner institution, it is forwarded to the extended doctoral committee for approval of the progress of the doctoral examination. § 12 para 5 sentences 4 - 8 apply mutatis mutandis. ²If the Faculty of Biology, Chemistry & Earth Sciences gives its consent, the oral examination takes place at the partner institution in accordance with its regulations. ³In the agreement pursuant to § 20 para 1 sentence 2 number 1, it must be stipulated that in this case the supervisor pursuant to § 20 para 2 sentence 1 from the Faculty of Biology, Chemistry & Earth Sciences or, if this is not possible, another instructor from the Faculty of Biology, Chemistry & Earth Sciences who is authorized to administer examinations pursuant to the present doctoral regulations must be a member of the committee conducting the oral examination.
- (3) ¹If the dissertation is accepted at the partner institution but the Faculty of Biology, Chemistry & Earth Sciences refuses to approve the continuation of the examination, the joint process is terminated. ²The doctoral examination can be continued according to the regulations of the partner institution. ³Sentences 1 and 2 apply accordingly if the oral examination is assessed as failed by the Faculty of Biology, Chemistry & Earth Sciences.
- (4) ¹For the publication of the dissertation and the delivery of the deposit copies, the regulations applicable to the partner institution apply. ²The agreement in accordance with § 20 para 1 sentence 2 number 1 also specifies how many copies are to be made available to the Faculty of Biology, Chemistry & Earth Sciences; alternatively, publication of the dissertation may be approved analogously to § 16 para 3 sentence 3 numbers 1 to 4. ³In any case, one electronic copy of the dissertation remains in the examination files. ⁴The issuing of the diploma for the doctorate to be provided in accordance with § 23 shall be made dependent on the fulfilment of the delivery obligations.

§ 23

Joint diploma

- (1) ¹After the successful completion of a joint doctoral examination process, the Faculty of Biology, Chemistry & Earth Sciences and the partner institution will issue a joint diploma on the award of the doctoral degree, indicating that the doctoral degree was awarded under joint supervision. ²The diploma bears the signatures and seals required under the provisions of the present doctoral regulations and the regulations of the partner institution.
- (2) Instead of a joint diploma, individual diplomas of the Faculty of Biology, Chemistry & Earth Sciences and of the partner institution can be used, which clearly show that both diplomas together constitute a joint doctoral diploma.
- (3) The joint doctoral diploma shows that the bearer of the doctoral title is entitled to use the doctoral degree in Germany in accordance with § 1 para 1 and the doctoral degree awarded there in the foreign country.

- (4) ¹Further details on the form of the diploma are regulated by the agreement pursuant to § 20 para 1 sentence 2 number 1. ²The grade equivalence can also be taken from it. ³On the joint doctoral diploma, the equivalent foreign grade should be listed with the corresponding marking.

Section VI: Other provisions, entry into force and transitional provisions

§ 24

Invalidating the doctorate

- (1) ¹If it becomes apparent before the diploma is issued that the doctoral researcher has cheated in the doctoral examination, the dean will declare all previously acquired qualifications invalid and discontinue the process. ²Before making such a decision, the dean will obtain the opinion of the doctoral committee.
- (2) ¹If the deception or other illegality only becomes known after the diploma has been issued, the doctoral examination can be subsequently declared failed by the dean. ²Before making such a decision, the dean will obtain the opinion of the doctoral committee. ³Withdrawal of the doctoral degree is governed by the statutory provisions (Art. 48 BayVwVfG). ⁴The person concerned must be given the opportunity to comment before the decision is made (Art. 28 BayVwVfG). ⁵With regard to the definiteness, form, and justification of the decision, the provisions on the conclusion of administrative acts (Art. 35 et seq. BayVwVfG) are to be observed.
- (3) ¹In the case of suspected academic misconduct, the dean and the doctoral committee will only make a joint decision once the committee for academic integrity has submitted its report. ²If the dean and the doctoral committee have already decided in advance in special cases, the further referral by the committee for academic integrity remains unaffected. ³A declared renunciation of the doctoral degree shall have no influence on the initiation and progress of the process pursuant to sentences 1 and 2.
- (4) In the event of failure of the doctoral examination in accordance with para 2 sentence 1, the doctoral diploma shall be withdrawn.
- (5) In all other respects, the withdrawal of the doctoral degree is governed by Art. 101 BayHIG in conjunction with the relevant provisions of the BayVwVfG.

§ 25

Access to examination documents

¹After completion of the doctorate, the doctoral researcher may inspect the doctoral documents. ²The time and place for granting access to the documents is determined by the dean. ³The request must be submitted to the dean within one month after completion of the doctorate. ⁴In these as well as other

cases in which a request for access is made, the inspection procedure is governed by Art. 29 et seq. BayVwVfG.

§ 26

Consideration of protective provisions

- (1) ¹The utilization of protection periods of the Maternity Protection Act (MuSchG) shall be guaranteed. ²Upon request, the claiming of parental leave in accordance with the Federal Parental Allowance and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetz), as well as periods for the care of a close relative within the meaning of § 7 para 3 of the Nursing Care Act who is in need of care within the meaning of § 14 and § 15 of the Eleventh Book of the Social Code (Sozialgesetzbuch), shall be guaranteed. ³The appropriate evidence must be furnished; any changes in status are to be reported immediately.
- (2) ¹Upon request, periods during which the doctoral studies cannot be pursued or can only be pursued to a very limited extent for reasons for which the doctoral researcher is not responsible will not be counted towards deadlines. ²Corresponding evidence must be furnished; medical certificates must be presented in the case of illness. ³Any changes in status are to be reported immediately.

§ 27

Consideration of special needs of by people with disabilities or chronic illness and in special life circumstances

- (1) ¹For the sake of ensuring equal opportunities, the particular needs of applicants/doctoral researchers with disabilities or chronic illnesses under the terms of the Bavarian Equal Opportunities for Disabled Persons Act are to be appropriately accommodated. ²Upon written request by the applicant/doctoral researcher, the dean in consultation with the doctoral committee shall determine on the basis of the degree of disability or chronic illness in what form the examination is to be taken; alternatively, an extension or other reasonable accommodations may be granted. ³Proof of the examination disability or chronic illness must be furnished in the form of a medical certificate stating that, due to a long-term or permanent disability or chronic illness, the examination cannot be taken in whole or in part in the intended form. ⁴The request must be included with the application for acceptance for doctoral research. ⁵If the request is submitted later, it shall only be valid for subsequent assessment components.
- (2) ¹Applicants/doctoral candidates in special circumstances may apply to the dean for reasonable accommodations in accordance with para. 1. ²The dean shall decide on the existence of a special life situation and the extent of reasonable accommodations in consultation with the doctoral committee.

§ 28

Effective date, transitional provisions

- (1) The present doctoral regulations come into force on 26 January 2021; at the same time, the doctoral regulations for the Faculty of Biology, Chemistry & Earth Sciences dated 15 September 2017 (AB UBT 2017/062) cease to apply.*)
- (2) For doctoral candidates who have already received a confirmation of supervision before the Doctoral Regulations for the Faculty of Biology, Chemistry and Earth Sciences of 15 September 2017 come into force, § 28 para 2 of the Doctoral Regulations for the Faculty of Biology, Chemistry and Earth Sciences of 15 September 2017 shall continue to apply.

*) The set of amendments dated 30 March 2023 contains the following provisions with regard to the effective date:

The present regulations shall take effect on 31 March 2023.