

# Doctoral degree regulations for the Faculty of Mathematics, Informatics and Natural Sciences of the University of Hamburg

– Authorized by the Faculty Council on 1st December 2010 and approved by the university management on 24th January 2011 –

Including changes authorized by the Faculty Council on 2<sup>nd</sup> May 2012 and 10<sup>th</sup> October 2012 approved by the university management on 4<sup>th</sup> June 2012 and 5<sup>th</sup> November 2012.

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This English version of the doctoral degree regulations for the Faculty of Mathematics, Informatics and Natural Sciences from Dec. 01, 2010, is for information only and is not legally binding.

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## Preamble

The university management of the University of Hamburg has approved on 24<sup>th</sup> January 2011 in accordance with § 108 paragraph 1 of the Hamburg Higher Education Law (HmbHG) as of 18<sup>th</sup> July 2001 (HmbGVBl. p. 171) in the version of 16<sup>th</sup> November 2010 (HmbHGVBl. p. 605) the Doctoral Degree Regulations authorized by the Faculty Council of the Faculty of Mathematics, Informatics and Natural Sciences on 1<sup>st</sup> December 2010 in accordance with § 91 paragraph 2 number 1 HmbHG.

## § 1 Definition of the doctorate and doctoral degree

(1) The Faculty of Mathematics, Informatics and Natural Sciences of the University of Hamburg awards the academic degree of "Doctor of Science" (Doctor rerum naturalium, abbreviated: *Dr. rer. nat.*) as well as a honorary doctorate in the natural sciences, (Doctor rerum naturalium honoris causa, *Dr. rer. nat. h. c.*), for outstanding scientific achievements upon completion of a doctoral procedure in accordance with the regulations below. Upon request, the faculty alternatively awards the "Doctor of Philosophy" (Ph.D.) upon successful completion of doctoral studies in a course program ('Promotionsstudiengang'). In exceptional cases (health sciences, cosmetic sciences), the faculty awards the academic degree "Doctor of Philosophy" (abbreviated *Dr. phil.*).

(2) A doctoral degree testifies to the capacity for in-depth academic work through independent research activities.

(3) Doctoral achievements consist of:

- A written doctoral research work (dissertation) as well as
- the oral defense (disputation).

## § 2 Doctoral committees

(1) The responsible faculty body appoints a faculty-based doctoral committee ("faculty doctoral committee"). The faculty doctoral committee is an examination board in accordance with § 63 Abs. 1 HmbHG i. V. m. §59 HmbHG invested with all the rights and responsibilities described therein. The relevant faculty body defines doctoral subjects and appoints department-specific committees and their chairs upon the recommendations of the departments. In accordance with its responsibilities, the faculty doctoral committee appoints departmental sub-committees ("departmental doctoral committees") in accordance with these doctoral degree regulations. The departmental doctoral committees handle all doctoral procedures at the department level. The faculty doctoral committee consists of the Vice Dean for Research of the Faculty of Mathematics, Informatics and Natural Sciences (MIN faculty), who serves as chair, and the chairs of the department doctoral committees; the graduate school spokespeople, a doctoral candidate admitted to the doctoral procedure, a research assistant holding a doctoral degree as well as deputies. The department doctoral committees consist of four to six professors (professors or members who have completed a '*Habilitation*'), a doctoral candidate admitted to the doctoral procedure, a research assistant holding a doctoral degree as well as depu-

ties. Committee members serve for two years, doctoral candidates for one year. Reelection is permissible. If a member terminates prior to the end of his or her term of office, a successor will be elected to the end of the term of office.

(2) The departmental doctoral committees decide upon the admission of applicants whether or not to accept an applicant's dissertation proposal. They are responsible for advising applicants. In interdisciplinary doctoral procedures, the department doctoral committee ensures that the other disciplines are properly represented. In doubtful cases (interdisciplinary doctoral procedures) the faculty doctoral committee can decide about admission. If a department doctoral committee rules itself unfit for a doctoral procedure, it can forward the respective applications to the faculty doctoral committee.

(3) The faculty doctoral committee meets at least once every semester and, if required, is assembled by the chair within three weeks (in the lecture free period within six weeks). The department doctoral committees meet at least three times every semester (twice within the lecture period and once in the lecture free period). The respective department duly announces the meetings. All applications submitted one week beforehand will be dealt with in the meetings. Doctoral committee meetings are not open to the public.

(4) The departmental doctoral committees may delegate decisions and specific powers, in individual cases or in general, to the chair or revoke these powers at any time. The departmental doctoral committees can implement regulations, which define for example subject-specific tasks that are delegated to the chair in the view of a fast procedure and which decisions can be carried out without formal meetings. The departmental doctoral committees provide regular reports of their work (statistics on procedures, exceptional incidents) to the faculty doctoral committee. If problems or conflicts arise, those people involved consult the faculty doctoral committee.

(5) The faculty doctoral committee is accountable to the responsible faculty body and must inform this body annually of its activities and the activities of the departmental doctoral committees.

### **§ 3 Admission requirements**

(1) Before the start of the doctoral project the application for admission has to be submitted to the departmental doctoral committee.

(2) For admission to the doctoral procedure, applicants must have successfully completed a degree program at a higher education institution within the scope of the German Basic Law in a discipline relevant to the doctoral degree subject:

- A master's in a research-oriented degree program with at least 300 credit points including the basic degree program
- A "Magister" in a degree program at a university or equivalent higher education institution
- A "Diplom" in a degree program at a university or equivalent higher education institution

- The first state teacher's exam for schools of general education or vocational schools or
- The first part of the state exam in Food Science or Pharmacy

(3) After passing a bachelor's exam in a discipline relevant to proposed doctoral studies, an applicant may be accepted ("fast track") if the degree fulfills the departmental doctoral committee's criteria and if the applicant passes an assessment exam conducted by two professors or '*habilitierte*' member of the faculty; at least one professor must represent an area fundamentally relevant to proposed doctoral studies. The departmental doctoral committee decides how the assessment examination should be given. Admission in accordance with this paragraph requires applicants to receive a Master of Science degree from a program relevant to his or her dissertation project and can include further conditions (for example further assessments or to pass certain modules in the master course program within a certain time limit).

(4) If the applicant has a different degree than stipulated in paragraphs 2 or 3, he or she may be admitted to doctoral procedures providing that the applicant has appropriate qualifications for proposed doctoral studies. This applies especially if the applicant holds a Master's degree

- from a degree program with less than 300 credit points including the basic degree program or
- from a non-research-oriented degree program.

The departmental doctoral committee can also require the applicant to acquire further achievements specified by the departmental doctoral committee within a specific period to meet standard university requirements in accordance to the respective university degree described in paragraph 2 or to supplement the proved knowledge and skills of the applicant necessary for the prospective doctorate.

(5) An equivalent degree from a higher education institution outside the scope of German Basic Law may also be accepted as a degree for an academic program in accordance with paragraph 2. In case of doubt regarding equivalency, an equivalency confirmation must be obtained from the "Central Office for Foreign Education" at the office of "The Standing Conference of the Ministers of Education and Cultural Affairs of the Laender in the Federal Republic of Germany." If equivalency cannot be established, the departmental doctoral committee will review whether equivalency may be fulfilled in accordance with paragraph 3.

(6) If the applicant holds a "Diplom" degree from an institution of applied sciences or a "Berufsakademie" (vocational academy) he or she may be admitted if his or her qualification for doctoral studies has been ensured. In particular, a degree from an institution of applied sciences or vocational academy in a subject relevant to the doctoral program and completed with the highest-possible grade in accordance with the respective exam regulations can serve as proof. The departmental doctoral committee decides whether to proceed in particular cases in accordance with paragraph 4.

#### **§ 4 Admission procedure**

(1) Application for admission to the doctoral studies must be submitted to the departmental doctoral committee or, in exceptional cases, to the faculty doctoral committee with the following supporting documents:

- a) Transcripts of certificates and proof of qualification in accordance with § 3,
- b) A tabular resume with an overview of relevant activities and experience with regard to the proposed doctoral project,
- c) Statement attesting as to whether or not the applicant has previously applied for a doctorate or if a doctoral procedure has been or is being pursued at another higher education institution or in another faculty, in which case all details must be provided,
- d) A declaration that the applicant is familiar with valid doctoral degree regulations.

(2) A statement describing the goals and an outline of the research project should be submitted with the application. The breadth and format of the outline is determined by the departmental doctoral committee. The doctoral proposal must be endorsed and supervised by at least one professor (full professor or faculty member with a *'Habilitation'*) of the MIN faculty. This faculty member must also confirm a workplace for the dissertation project. For external dissertation projects, a waiver statement with regard to a workplace in the MIN faculty must be submitted. The outline of the dissertation proposal and declarations are part of the doctoral file. For applicants according to § 3 paragraph 3 the doctoral departmental doctoral committee can agree to the admission (deviant to § 4 paragraph 4b) with the obligation that the outline of the research project and further declarations can be submitted later.

(3) As a rule, the departmental doctoral committee makes decision on the applications for admission in the meeting immediately following receipt of the application. Rejections must be made in writing.

(4) Applications will be rejected if:

- (a) the requirements in accordance with §3 are not fulfilled,
  - (b) the documents in accordance with §4, paragraph 1 and 2 are not provided,
  - (c) a doctoral procedure in the same academic field or subject area has already been successfully completed,
- or
- (d) the departmental doctoral committee and the faculty doctoral committee declare themselves academically unsuitable.

(5) Admission is valid for four years. The dissertation should be submitted to the department doctoral committee within this period, which can be extended upon request. The extension application should be submitted to the departmental doctoral committee three months before the end of the four-year period. The departmental doctoral committee must duly inform both the supervisor and the doctoral candidate of the deadline.

## **§ 5 Enrollment as a doctoral student**

(1) Doctoral candidates must enroll themselves as a doctoral student at the University of Hamburg. This applies also to external dissertation projects. Enrollment must take place latest at the semester following admission.

## **§ 6 Dissertation procedures, supervision and standard period of time for the dissertation**

(1) Once a doctoral candidate has been admitted to doctoral procedures, the faculty assumes responsibility for the supervision and later evaluation of the proposed doctoral work. In addi-

tion, the faculty ensures that the doctoral candidate receives the currently-valid „Richtlinien zur Sicherung guter wissenschaftlicher Praxis und zur Vermeidung wissenschaftlichen Fehlverhaltens an der Universität Hamburg“ (Guidelines to ensure Good Scientific Practice and prevent Academic Misconduct at the University of Hamburg) from 9 September 1999 at the beginning of doctoral procedures.

(2) Upon admission and in accordance with § 4, the departmental doctoral committee appoints upon the recommendation of the applicant

a) at least one supervisor

or

b) a panel of supervisors, consisting of three people, including a chair, a supervisor and a co-supervisor.

(3) Supervisors of a dissertation project are generally professors or ‘*habilitierte*’ members of the faculty. The supervision of a dissertation project is an ongoing obligation and may not be delegated to third-parties. At least one of the supervisors in accordance with paragraph 2 (a) or the supervision panel in accordance with paragraph 2 (b) must be a full-time professor or ‘*habilitierte*’ member with an employment in the MIN faculty, who is also generally appointed to evaluate the dissertation.

(4) Notwithstanding paragraph 3, other people are invested with the rights and duties of professors or ‘*habilitierte*’ members with respect to the faculty’s doctoral procedures:

- Members of non-university institutions who have been granted the right to participate in doctoral procedures as supervisors, evaluators or examiners by the University of Hamburg in cooperation agreements and in agreement with the faculty.
- This also applies to externally-funded junior group leaders who have been accepted into the University of Hamburg and who have been granted per legal contract the right to supervise doctoral candidates by the faculty doctoral committee.
- Scientists with a doctoral degree can in reasonable cases be appointed by the departmental doctoral committee as supervisors, evaluators or examiners in doctoral procedures if they are proven experts on the dissertation project.

(5) If their professional field of activity is largely outside of the State of Hamburg, external supervisors must guarantee that they will regularly supervise and have personal contact with their doctoral candidates. In these cases, at least one supervisor must be a full professor or ‘*habilitierte*’ member of the faculty.

(6) The dissertation topic may be freely chosen, however the choice must be approved by the supervisor. Supervisors and doctoral candidates draw up a supervision agreement, in which the dissertation topic and doctoral procedures are arranged. This includes obligatory and regular exchange upon the progress of the dissertation project and regular feedback on the candidate’s performance and potential.

(7) During doctoral studies, doctoral candidates should report on the progress of their dissertation work in an appropriate framework.

(8) As a rule, the dissertation should be finished within three years (the standard processing time). The departmental doctoral committee determines suitable deadlines for doctoral candidates admitted to doctoral studies in accordance with § 3, paragraph 3.

(9) If a supervisor or doctoral candidate is compelled for significant reasons to terminate the supervising relationship, the supervisor or candidate must inform the chair of the departmental doctoral committee immediately and provide reasons. Once the supervising relationship has been terminated, the doctoral candidate can look for another supervisor. The departmental doctoral committee supports the doctoral candidate in his or her search. If the departmental doctoral committee determines that the supervising relationship has been terminated due to negligence or misconduct on the part of the supervisor, the departmental doctoral committee appoints a new supervisor to oversee the initial dissertation project.

If a new supervisor cannot be found, admission to the dissertation project ends four months following termination of the supervising relationship. If the doctoral candidate intends to submit his or her dissertation within this period, the departmental doctoral committee appoints a professor, in agreement with the doctoral candidate. This professor must submit a written statement to the departmental doctoral committee indicating whether or not the manuscript fulfills dissertation requirements. The departmental doctoral committee rules upon the permissibility of submission on the basis of this statement.

(10) If the supervisor's membership at the University of Hamburg ends, he or she retains the right to supervise an ongoing dissertation until its completion as well as the right to remain a voting member of the doctoral committee for the following four years.

## **§ 7 Dissertation**

(1) The doctoral thesis (dissertation) should attest to the capacity for in-depth, independent research and document progress in scientific knowledge on the basis of notable findings worthy of publication.

(2) A dissertation, which is to be written in German, English or, upon request, in another scientific language, can be submitted as

- a) a dissertation comprised of a single, coherent description of research work and results, or
- b) a cumulative dissertation comprised of individual papers (which are collectively equivalent to a dissertation in accordance with a). The requirements for a cumulative dissertation are specified by the departmental doctoral committee. A cumulative dissertation, which must have an overall title, consists of an introduction and a text which interprets, assesses and discusses the individual papers and their relationship, in addition to the information in accordance with §7, paragraph 5.

(3) For dissertations based on collaboration with other scientists, the doctoral candidate's contribution must be clearly definable and assessable. The doctoral candidate is obligated to state her or his contribution in terms of the conception, the realization and documentation in detail.

(4) Doctoral candidates must reference all forms of resources and aids received and declare upon oath that they have written the dissertation independently and have not used further resources and aids than those stated. The dissertation may not have been already accepted in

an earlier doctoral procedure or evaluated as insufficient in other doctoral procedures. In case of doubt, works from previous doctoral procedures must be submitted for comparison.

(5) The title page of the dissertation must include the name of the author, the name of the faculty and the organizational unit, the phrase „dissertation submitted to the University of Hamburg" and the year of submission. It must also include a cover page with the names of the evaluators. For interdisciplinary dissertations, more than one department may be listed. The appendix must contain a short summary of the results in English and in German as well as a list of any earlier publications derived from the dissertation. Furthermore, the dissertation must contain the necessary subject-specific and legal appendices.

(6) A sufficient number of bound and printed copies of the dissertation and a copy in electronic form must be submitted to the departmental doctoral committee responsible for the dissertation procedure. Each evaluator receives a copy, either in printed or n printed and electronic form, and one copy is kept by the faculty for its archives. The departmental doctoral committee can set rules regarding the format of the dissertation, the number of copies to be submitted and decide which format of the dissertation is send to examiners and members of the examination commission.

## **§ 8 Examination commission**

(1) For each doctoral procedure, the departmental doctoral committee appoints an examination commission after the doctoral candidate has submitted the dissertation. The doctoral candidate can recommend members of the examination commission. The departmental doctoral committee appoints a chair and a vice chair, who must be professors or ‘*habilitierte*’ members of the university. The chair is a professor or ‘*habilitierte*’ member of the faculty. The examination commission appoints a member of the examination commission to take minutes.

(2) The examination commission consists of at least three members invested with the right to supervise doctoral procedures; of these, by the majority professors. There should not be more than one professor in the examination commission who has been relieved of her or his duties or who has retired.

(3) The departmental doctoral committee will replace any members of the examination commission who leave or are hindered for any length of time for important reasons in accordance with measures in paragraph 2.

(4) The duties of the examination commission include:

- a) evaluation of the dissertation based on the submitted evaluations and possible comments in accordance § 9 paragraph 5,
- b) scheduling and carrying out the oral defense (*Disputation*),
- c) evaluating the *Disputation*,
- d) and determining the overall grade, taking into consideration the individual grades for the dissertation and *Disputation* in accordance with §§ 11, 12.

(5) Examination commission meetings are not open to the public.



(6) Decisions are determined in the examination commission by majority. Voting on the dissertation evaluation is done by open ballot; abstaining is not an option. Decisions regarding dissertation evaluation can only be made by all members of the examination commission.

### **§ 9 Evaluation of the dissertation**

(1) After submission of the dissertation, the departmental doctoral committee appoints evaluators for the dissertation.

(2) A supervisor or a member of the supervision panel of the dissertation project is always appointed as one of the evaluators. At least one of the evaluators must be a professor in the faculty. At least one of the evaluators must belong to the area of expertise of the dissertation. If important methodological or subject-specific aspects of the dissertation lie in a field primarily taught by another faculty, another evaluator must be appointed from the respective faculty; section 6 paragraph 4 applies accordingly. The doctoral candidate can recommend evaluators. In as far as possible, this recommendation should be accepted.

(3) The evaluations must be written independently of each other and handed in within six weeks after they are requested. The members of the departmental doctoral committee and examination commission must treat the evaluations confidentially. The evaluations must acknowledge the significance of the dissertation and its results within a larger context and indicate any deficiencies. In the overall evaluation, each evaluator must recommend that the dissertation be accepted with a grade in accordance with § 10 or be rejected. If the evaluation does not clearly indicate the overall assessment, the departmental doctoral committee will return the evaluation for revision.

(4) If the evaluations differ by more than one grade (decimal value 1.0), the departmental doctoral committee can appoint an additional evaluator after consultation with the examination commission. If one of the evaluations gives a grade of “not satisfactory,” a third evaluation will be requested.

(5) The distinction “summa cum laude” will only be granted upon the unanimous recommendation of all evaluators. At least one evaluation must be made by an external evaluator. If only two evaluations are submitted at the beginning of evaluation procedures and these both recommend the distinction of “summa cum laude,” a third, external evaluation must be obtained. This evaluator must be appointed unanimously by the departmental doctoral committee. This evaluator should not have carried out a joint project or publication with either the supervisor of the dissertation or the doctoral candidate within the last five years.

(6) The dissertation is made available to the university public until the oral defense (*Disputation*) is scheduled if this is not expressly prohibited for legal (patent-related) reasons. Anonymous evaluations are available until the oral defense is scheduled in accordance with § 6, paragraphs 3 and 4 and may be viewed by members of the faculty invested with the right to supervise as well as by the doctoral candidate.

### **§ 10 Decision on the dissertation and scheduling of the oral defense (*Disputation*)**

(1) After receiving the evaluation, the examination commission decides on the acceptance or the rejection of the dissertation as well as the admission of the doctoral candidate to the oral

defense and the grading of the dissertation. If the dissertation is accepted, the following grades can be granted:

- Very good (*magna cum laude*, 1.0 or 1.3)
- Good (*cum laude*, 1.7, 2.0 or 2.3)
- Satisfactory (*rite*, 2.7 or 3.0)

(2) The grade “with distinction (*summa cum laude*)” can be awarded in exceptional cases.

The distinction „*summa cum laude*“ can only be granted for a dissertation if the third evaluation recommends this in accordance with § 9, paragraph 5.

(3) If the dissertation has been rejected, the examination commission gives the doctorate a failing grade and states reasons for the decision. It does not schedule an oral defense. The chair of the departmental doctoral committee notifies the doctoral candidate and provides reasons for it in writing.

(4) If a dissertation has been accepted, the examination commission informs the candidate of its decision (including the grade) and sets a date for the oral defense, which also suits the candidate. This should take place within two months after receipt of the last evaluation. Exceptions and reasons for them must be submitted to and decided on by the head of the departmental doctoral committee. The chair of the departmental doctoral committee submits an invitation to the oral defense at the latest one week prior to the defense.

(5) If the doctoral candidate declares his or her decision to forego the oral defense, the doctorate will be graded as failed. The chair of the departmental doctoral committee must notify the doctoral candidate of this in writing.

### **§ 11 Oral defense (*Disputation*)**

(1) The purpose of the oral defense is for the doctoral candidate to demonstrate his or her ability to orally present and discuss scientific problems. The candidate may choose to do the oral defense in either German or English. The departmental doctoral committee decides upon request by the doctoral candidate whether an oral defense can be conducted in another scientific language. The oral defense is open to the university public. If necessary for an orderly oral defense, the chair can exclude the public; the members of the departmental doctoral committee and the respective examination commission do not constitute the public in this context. All examination commission members must take part in the oral defense.

(2) The doctoral candidate presents dissertation results and their significance in the broader disciplinary context in a talk of approximately thirty minutes. Afterwards, the doctoral candidate defends the dissertation and responds to questions from the examination commission members. The questions should address the problems presented in the dissertation and their relationship to larger scientific concerns. Subsequently, the chair of the examination commission may permit questions from the public on the topics of the oral defense. The discussion should last at least thirty minutes but no longer than ninety minutes.

(3) The chair of the examination commission coordinates the scientific discussion and decides on the priority and, if necessary, permissibility of the questions.

(4) The appointed member of the examination commission takes the minutes of the oral defense. These minutes are included in the doctoral degree file and must contain the following:

- Date/time/place of the oral defense
- Attendance list of the examination commission members
- Dissertation grade
- Notes on the main points made in the contributions to the discussion
- Grade for the oral defense
- Overall grade in accordance with § 12
- Any special incidents.

The minutes should be signed by all members of the examination commission.

(5) If the doctoral candidate fails to attend the oral defense and does not provide an excuse, she or he will fail the oral defense and must be notified of this in writing.

#### **§ 12 Decision on the oral defense and doctorate**

(1) Immediately following the oral defense, the examination commission makes decision on acceptance or rejection and grades the successful oral defense in closed session in accordance with § 10, paragraph 1 in meeting that is not open to the public. The examination commission then grants the overall grade using the grading system in accordance with § 10, paragraph 1. In the overall grade, the dissertation is doubly weighted as compared to the oral defense. The overall grading of the doctorate, after rounding the respective weighted average, is determined as follows:

- from 1.00 until less than 1.50: "very good" (*magna cum laude*),
- from 1.50 until less than 2.50: "good" (*cum laude*),
- from 2.50 : "satisfactory" (*rite*).

The grade "with distinction (*summa cum laude*)" may only be given as the overall grade if the dissertation was given this grade and the oral defense was given the grade 1.0. The examination commission informs the candidate of the individual grades for the dissertation and the oral defense, as well as of the overall grade.

(2) After the examination commission has determined the overall grade, the doctoral candidate receives a preliminary certificate, which contains the title of the dissertation, the individual grades for the dissertation and the oral defense and the overall grade. This preliminary certificate does not authorize use of the doctor title.

(3) If the oral defense has been failed, the chair of the departmental doctoral committee must communicate this in writing to the doctoral candidate and include reasons within four weeks. The oral defense may be repeated no earlier than three months and no later than six months following the first oral defense.

(4) If the second oral defense also receives a failing grade, the examination commission declares that the doctoral degree has been failed and gives the reasons for this decision. The chair

of the departmental doctoral committee must notify the candidate in writing within two weeks.

### **§ 13 Dissertation publication and submission requirements**

(1) The dissertation must be published within one year following completion of doctoral studies (paragraph 2). If the dissertation cannot be published within this period, the chair of the departmental doctoral committee can extend the deadline upon request.

(2) The faculty doctoral committee determines, in agreement with the requirements of the State and University Library, how many copies, printed or otherwise, of the dissertation are to be provided by the doctoral candidate. It also determines in what form the printed copies may be replaced by other information carriers in order to fulfill the publishing obligation.

### **§ 14 Doctoral degree certificate**

(1) The doctoral degree certificate is issued in German and, if requested, a copy of the certificates can be issued in English. The certificate contains the name of the faculty, the department, the title of the submitted dissertation, the overall grade as well as the date of the successfully completed oral defense. The certificate will be signed by the dean of the Faculty for Mathematics, Informatics and Natural Sciences as well as the chair of the departmental doctoral committee.

(2) If reasons arise for revoking the doctoral certificate before it has been issued, the certificate will not be presented. In this case, the applicant will be informed of the reasons for refusal to issue the certificate. In addition, he or she will be informed about the possibility of appealing this decision.

(3) The doctoral degree certificate should be issued within three months after notification of the obligation to fulfill the delivery requirement in accordance with § 13. The doctoral certificate entitles its holder to use the academic title of Doctor of Science.

### **§ 15 Filing an appeal and reviewing procedures**

Appeals must be submitted within a month if an explanation of rights of appeal has been issued and (otherwise) within a year following notification by the chair of the examination commission. If the appeal is not recognized by the examination commission, the case must be forwarded to the Appeals Committee of Doctoral Affairs at the University of Hamburg (§ 66 of the Hamburg Higher Education Law of 18 July 2001, in the currently valid version). The doctoral candidate can also appeal the doctoral committee's decision.

### **§ 16 Joint doctorates with foreign institutions**

(1) The doctoral procedures can be pursued jointly with foreign university or equivalent educational or research institutions if

- a) the applicant fulfills the requirements for admission to the doctoral procedure of the Faculty for Mathematics, Informatics and Natural Sciences at the University of Hamburg
- and

b) the foreign institution is entitled with its national legal regulations to award doctorates and the degree conferred by this institution is recognized within the scope of German Basic Law.

(2) Pursuit of a joint doctoral degree must be governed by agreement. The contractual provisions of this agreement must also apply to the doctoral degree regulations herein. To ensure equivalency, the contractual agreement must take the regulations contained herein into consideration. There must be agreement regarding which doctoral degree regulations apply. Foreign doctoral degree regulations must be submitted, if applicable, in German or English in order to determine if they are equivalent to the requirements and procedures detailed in these doctoral degree regulations. If the foreign doctoral degree regulations are to be applied, it must be ascertained that the essential regulations in the doctoral degree regulations of the Faculty for Mathematics, Informatics and Natural Sciences at the University of Hamburg are adhered to.

(3) The doctoral candidate must be admitted to both participating institutions.

(4) The language in which the dissertation can be written need to be contractually agreed upon. The dissertation must include, in addition to the German and English summaries, a summary in the third language, where required.

(5) Each participating higher education institution or equivalent research or educational institution is equally represented by two professors or '*habilitierte*' members in the examination commission. Both evaluators are members of the commission. The commission may be expanded by up to two further professors upon request but equal representation must be maintained. It must be guaranteed that the examination commission members are proficient in the language in which the exams are to be taken.

(6) In case of divergent grading systems, there must be an agreement as to how to ascertain and document a uniform, jointly-awarded grade.

(7) Both universities jointly issue a bilingual doctoral certificate using the template developed by the German Rectors' Conference (*HRK*). This entitles the doctoral candidate to carry the title of "Dr." in either its German or foreign variation. Only one doctor's title, however, is awarded.

### **§ 17 Honorary doctorate**

(1) Upon recommendation by several professors of a department, the expanded departmental board can apply to the departmental doctoral committee to initiate procedures to grant an honorary doctorate. The requirements for granting an honorary doctorate are reviewed by an honorary doctorate commission appointed by the responsible departmental doctoral committee in accordance with §8 and on the basis of three evaluations requested by the departmental doctoral committee. Two of these evaluations must be made by external evaluators.

(2) The honorary doctorate committee submits a proposal to faculty council. Conferral of the honorary doctorate requires a 3/4ths majority of the voting members of the faculty council. The honorary doctorate is granted upon presentation of a certificate issued for this purpose and in which the candidate's achievements are made explicit.

### **§ 18 Revocation of the doctorate**

The revocation of a doctorate is based on legal requirements.

### **§ 19 Closure of doctoral proceedings, withdrawal, and new doctoral proceedings**

(1) If the dissertation was not submitted to the departmental doctoral committee within the appropriate period of time in accordance with § 4 paragraph 5, the doctoral proceeding can be closed after a hearing of the doctoral candidate and his or her supervisor. The chair of the departmental doctoral committee must give reasons for the decision in written form. A renewed application for admission to the doctoral program will not be excluded for that reason.

(2) The doctoral candidate has the right to withdrawal up to the receipt of the first evaluation. The procedural steps taken prior to withdrawal are no longer considered part of the dissertation procedure.

### **§ 20 Enactment, expiration, and interim regulations**

(1) These doctoral degree regulations are resolved upon by the faculty council and authorized by the university management. These rules and regulations come into effect on the day after their publication in the 'Amtlichen Anzeiger der Freien und Hansestadt Hamburg' ('public register of Hamburg'). After this point in time, these regulations apply to all doctoral projects in the Faculty of Mathematics, Informatics and Natural Sciences.

(2) If a candidate has been admitted to a doctoral program in accordance with departmental doctoral regulations in the Faculty of Mathematics, Informatics and Natural Sciences at the University of Hamburg before the regulations contained herein have gone into effect, the candidate can decide upon submission of his or her dissertation whether these or the prior regulations should apply.

Hamburg, 5<sup>th</sup> November 2012

**Universität Hamburg**

## OFFICIAL TRANSLATION OF

**Änderung der Promotionsordnung der Fakultät für  
Mathematik, Informatik und Naturwissenschaften der  
Universität Hamburg vom 1. Dezember 2010 zuletzt  
geändert am 10. Oktober 2012**

Vom 6. Mai 2020

**(Amtliche Bekanntmachung Nr. 45 vom 5. Juni 2020)**

**THIS TRANSLATION IS FOR INFORMATION ONLY –  
ONLY THE GERMAN VERSION SHALL BE LEGALLY  
VALID AND ENFORCEABLE!**

**Amendment to the Doctoral Degree Regulations of the  
Faculty of Mathematics, Informatics and Natural Sciences  
dated 1 December 2010, last amended 10 October 2012**

dated 6 May 2020

On 18 May 2020, in accordance with Section 108 subsection 1 of the Hamburg higher education act (Hamburgisches Hochschulgesetz—HmbHG) dated 18 July 2001 (HmbGVBl. p.171), as amended 24 January 2020 (HmbGVBl. p. 93), the Executive University Board ratified the amendment to the doctoral degree regulations adopted by the Faculty Council of the Faculty of Mathematics, Informatics and Natural Sciences on 6 May 2020 in accordance with Section 91 subsection 2 no. 1 HmbHG.

### I.

The Doctoral Degree Regulations of the Faculty of Mathematics, Informatics and Natural Sciences dated 1 December 2010, last amended on 10 October 2012, are amended as follows:

The following sentence is added to the provision for Section 11 subsection 1:

In exceptional circumstances, the examiners and the doctoral researchers may agree to conduct oral defenses by videoconference. The subject doctoral committee determines whether exceptional circumstances are present.

## II.

This amendment becomes effective on the day following official publication by Universität Hamburg.

Hamburg, 5 June 2020  
**Universität Hamburg**



## OFFICIAL TRANSLATION OF

### **Änderung der Promotionsordnung der Fakultät für Mathematik, Informatik und Naturwissenschaften der Universität Hamburg vom 1. Dezember 2010, zuletzt geändert am 6. Mai 2020**

Vom 15. Dezember 2021

**(Amtliche Bekanntmachung Nr. 27 vom 9. März 2022)**

**THIS TRANSLATION IS FOR INFORMATION ONLY –  
ONLY THE GERMAN VERSION SHALL BE LEGALLY  
VALID AND ENFORCEABLE!**

### **Amendment to the Doctoral Degree Regulations of the Faculty of Mathematics, Informatics and Natural Sciences dated 1 December 2010, last amended 6 May 2020**

**dated 15 December 2021**

On 14 February 2022, in accordance with Section 108 subsection 1 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 18 July 2001 (HmbGVBl. p.171) as amended on 17 June 2021 (HmbGVBl. p.468), the Executive University Board ratified the amendment to the doctoral degree regulations dated 1 December 2010, last updated 6 May 2020, adopted by the Faculty Council of the Faculty of Mathematics, Informatics and Natural Sciences on 15 December 2021 in accordance with Section 91 subsection 2 no. 1 HmbHG.

#### **I.**

The Doctoral Degree Regulations dated 1 December 2010, last amended 6 May 2020, are amended as follows:

1. In Section 4 subsection 3 sentence 2, the words “in writing” are deleted.

2. In Section 4, the following is added as subsection 6:

“The Faculty of Mathematics, Informatics and Natural Sciences at Universität Hamburg processes doctoral procedures electronically. As part of

admission to the doctoral procedure, all parties (i.e., the Faculty of Mathematics, Informatics and Natural Sciences, the doctoral researcher, and all persons involved in procedural or administrative matters of the doctoral procedure) are authorized to communicate by electronic means for its duration (i.e., until issuance of the doctoral diploma, or, where appropriate, termination of the procedure without a doctorate being awarded). This includes the transmission of documents such as letters for informational purposes, official notices, evaluations, and the doctoral dissertation. The same applies to rejections of applications for admission to a doctoral procedure; the Faculty of Mathematics, Informatics and Natural Sciences is authorized to electronically communicate its decision to reject an application.”

3. In Section 6 subsection 9 sentence 6, the words “in writing” are deleted.

4. Section 7 subsection 6 shall read as follows:

“The doctoral dissertation must be submitted electronically to the subject doctoral committee responsible for the doctoral procedure; a printed bound copy must also be submitted. The doctoral candidate must ensure both versions are identical. Each reviewer and each member of the examination commission will receive an electronic copy of the dissertation for assessment, while the printed bound copy remains archived with the faculty. The doctoral researcher must provide an additional printed bound copy should a member of the subject doctoral committee or an assessor so request. This printed copy must contain a declaration written and signed by the doctoral candidate, declaring that the electronic documents provided electronically to the subject doctoral committee and the printed document are identical.

The subject doctoral committee may reach an agreement on the format(s) of the dissertation to be submitted.”

5. In Section 10 subsection 3 sentence 2, the words “in writing” are deleted.

6. In Section 10 subsection 5 sentence 2, the words “in writing” are deleted.

7. In Section 11 subsection 5 sentence 2, the words “in writing” are deleted.

8. In Section 12 subsection 3 sentence 1, the words “in writing” are deleted.

9. In Section 12 subsection 4 sentence 2, the words “in writing” are deleted.

10. In Section 19 subsection 1 sentence 3, the words “in writing” are deleted.

## II.

These amendments become effective on the day following official publication by Universität Hamburg.

Hamburg, 9 March 2022

**Universität Hamburg**