

DISCLAIMER
This translation is intended solely to allow English-speaking persons a better understanding of the Doctoral Regulations. Only the German version is legally binding.

**DOCTORAL REGULATIONS
OF THE
FACULTY OF MATHEMATICS AND NATURAL SCIENCES
OF
HEINRICH HEINE UNIVERSITY DÜSSELDORF
OF 15.06.2018**

Pursuant to § 2 (4) and § 67 (3) Sentence 2 of the Law on the Universities in the Federal State of North Rhine-Westphalia (NRW University Act) of 16.09.2014 (NRW Gazette of Laws and Ordinances 2014, p. 547), last amended on 07.04.2017 (NRW Gazette of Laws and Ordinances 2017, p. 414), Heinrich Heine University Düsseldorf has issued the following Doctoral Regulations:

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§ 1

Doctoral degrees

- 1) The Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf confers the degree of "Doctor of Natural Sciences" (doctor rerum naturalium - Dr. rer. nat.) on the basis of a regular doctoral examination procedure; alternatively, the degree of "Doctor of Philosophy (Ph. D.) in Natural Sciences" can be conferred at the request of the doctoral researcher. Evidence of the scientific qualification required for the conferral of the doctoral degree is attested by doctoral examination achievements. These comprise a scientific paper (thesis) in a discipline represented at the Faculty (Biology, Chemistry, Computer Science, Mathematics, Pharmacy, Physics or Psychology) and its oral defence.

- 2) The Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf may confer the degree of "Honorary Doctor of Natural Sciences" (Dr. rer. nat. h. c.) in recognition of special services to the sciences represented at this Faculty.

§ 2

Admission conditions

- 1) In accordance with § 67 (4) of the University Act (Hochschulgesetz), a candidate may be admitted to doctoral studies who provides evidence of one of the following:
 - a. A qualification following completion of a relevant university study programme with a regular period of study of at least eight semesters, for which a title other than "Bachelor" is awarded.
 - b. A qualification following completion of a relevant Masters study programme within the meaning of § 61 (2) Sentence 2 of the University Act.

- 2) Relevant qualifications within the meaning of (1) are diplomas from scientific higher education institutions in the Federal Republic of Germany as well as Masters degrees from higher education institutions in the Federal Republic of Germany in a study programme which is also offered at the Faculty of Mathematics and Natural Sciences of Heinrich Heine University. Relevant qualifications within the meaning of (1) are also Part 2 of the State Examination in Pharmacy or the First State Examination in Teaching (grammar school or upper secondary level), if the dissertation for this examination was produced in a subject in which a study programme is offered at the Faculty of Mathematics and Natural Sciences.

- 3) Relevant qualifications within the meaning of (1) are qualifications from those study programmes referred to in (2) at higher education institutions outside the territorial and temporal jurisdiction of the Basic Law of the Federal Republic of Germany in accordance with § 63 a of the University Act. This must be verified by parties proficient in the subject in which the qualification was earned.

- 4) Also recognised as relevant qualifications within the meaning of (1) are qualifications other than those referred to in (2) if they were earned at higher education institutions in the Federal Republic of Germany and if evidence is provided of suitable preparation for the theme of the doctoral research project either through the study programme alone or through the study programme in combination with studies in preparation of the doctoral research project. This must be verified by parties proficient in the respective doctoral subject (§ 4 (5)).

5) Relevant qualifications within the meaning of (1) are qualifications other than those referred to in (2) that were earned at higher education institutions outside the territorial and temporal jurisdiction of the Basic Law of the Federal Republic of Germany in accordance with § 63 a of the University Act and if evidence is provided of suitable preparation for the theme of the doctoral research project either through the study programme alone or through the study programme in combination with studies in preparation of the doctoral research project. This must be verified by parties proficient in the respective doctoral subject (§4 (5)).

6) Admission in accordance with (3), (4) or (5) can be made conditional upon appropriate studies being conducted in preparation of the doctoral research project. Their purpose is to attest the candidate's suitability for doctoral studies. They should last no longer than four semesters. The scale and content of these studies as well as the number and type of performance records and examination achievements to be produced are to be specified under consideration of the studies already conducted and of relevance for the doctoral research project, whereby the provisions of the examination regulations concerning advanced level and Masters studies in the Faculty's study programmes apply *mutatis mutandis*.

7) In accordance with § 67 (4) of the University Act, a candidate may also be admitted to doctoral studies who provides evidence of:

- a. A qualification following completion of a relevant study programme at a higher education institution other than specified in (1) to (4) with a regular period of study of at least six semesters.
- b. Completion of this study programme with ECTS grade A or, if this is not foreseen for the study programme, evidence of being amongst the best 10 % of his or her year or, if neither the ECTS grade nor the candidate's relative place in the year can be determined, completion of the study programme with the grade of 1.5 or higher.
- c. Subsequent and appropriate studies in preparation of the doctoral research project. These are conducted within a relevant Masters study programme at Heinrich Heine University Düsseldorf. Evidence of these preparatory studies is deemed as furnished if the candidate is rated as excellent in the Masters study programme within a year in accordance with the rules defined in Annex 1 of these Doctoral Regulations. Upon application, the Dean may recognise an equivalent examination achievement.

8) Should it emerge prior to the issue of the doctoral degree certificate that the conditions for admission to doctoral studies are not fulfilled, the doctoral degree is not conferred.

§ 3

Supervision of the doctoral research project

1) The doctoral researcher is supported in his or her doctoral studies by a supervisor. The doctoral researcher's work should be performed in ongoing consultation with the supervisor, at whose request the doctoral researcher must provide detailed account at any time about the progress of his or her work.

2) The supervisor must work at the Faculty and belong to the group of professors or have habilitated at the Faculty or be head of an externally funded junior research group. Upon application, the Dean may assign further persons with the supervision of doctoral research projects.

- 3) In the case of cooperative doctoral degrees with other universities, a further supervisor can be assigned. Eligible to supervise doctoral researchers are professors at the university whose special achievements in the area of research have been established beforehand by the Faculty Council of the Faculty of Mathematics and Natural Sciences. The Faculty Council decides on the basis of the list of publications, academic career, an overview of research activities and a vote by the department with which the professor from the university is cooperating in the doctoral examination procedure.
- 4) The doctoral researcher is supported in his or her doctoral studies by a mentor. The mentor must be independent of the supervisor. His or her task is to give the doctoral researcher additional advice and to act as mediator in conflicts between the supervisor and the doctoral researcher.
- 5) The mentor must belong to the group of persons referred to in § 3 (2). If the supervisor does not work at the Faculty or is not a full-time professor, the mentor must be a full-time professor and work at the Faculty.
- 6) A doctoral researcher may change his or her mentor. The Dean must be notified by the doctoral researcher without delay of such a change and the following information provided:
 - a. The name of the previous mentor.
 - b. The name of the new mentor as well as a declaration by the mentor in which he or she affirms that he or she is willing to function as mentor.
- 7) At the latest three months after commencing work on the thesis, the doctoral researcher holds a meeting with his or her supervisor and mentor. Further persons may participate in this meeting. As a result of this consultation, the doctoral researcher concludes a written Supervision Agreement with the supervisor in which their mutual expectations are clearly defined. The Supervision Agreement in particular includes the following information:
 - a. A list of the conditions which, in the supervisor's opinion, must be fulfilled for a successful doctoral research project.
 - b. An estimated time schedule for fulfilling these conditions.
 - c. Intended objectives for the first year of work on the thesis.
 - d. Details of the doctoral researcher's financial plan.

The Supervision Agreement is signed by all persons who participated in the meeting. Each of these persons receives a copy of the signed Supervision Agreement.

- 8) During work on the thesis, the doctoral researcher, the supervisor and the mentor meet at least once a year in order to compile a joint Progress Report. Further persons may participate in this meeting. The Progress Report describes, in particular, which objectives have been fulfilled since the Supervision Agreement was established or since the last Progress Report was compiled and which objectives are intended for the coming year. In addition, the Progress Report documents changes in the information described in (7) b and d, insofar as any have occurred since the Supervision Agreement was established or the last Progress Report was compiled. The Progress Report is signed by all persons who participated in the meeting. Each of these persons receives a copy of the Progress Report.

9) In justified exceptions, the Dean may rule on the supervision of a thesis, its accompaniment by a mentor, the compilation of Supervision Agreements and the compilation of Progress Reports by way of derogation from (2), (3), (4), (6) and (7).

§ 4 Admission to doctoral studies

1) At the latest three months after commencing work on the thesis, the doctoral researcher must register his or her doctoral research project in writing with the Dean. In justified exceptions and with the Dean's consent, registration of the doctoral research project may also take place at a later date. The following documents must be submitted at the time of registration:

- a. Curriculum vitae in German or English, which contains precise details of the candidate's previous education and studies.
- b. The Supervision Agreement signed by the doctoral researcher, the supervisor and the mentor in accordance with § 67 (2) of the University Act.

2) For the purpose of establishing whether recognition is possible or not in accordance with § 2 (3), (4) or (5) and to fulfil legal obligations, the following personal data are collected, automatically stored and processed by the Dean's Office of the Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf:

- Identity card or passport (only for the purpose of establishing the applicant's identity)
- Birth/marriage certificate
- Curriculum vitae
- German "Abitur" certificate or a comparable university entrance qualification
- Final university certificate
- Overview of study contents
- Abstract from the relevant dissertations (Bachelor/Masters/Diploma)
- Letter from the first supervisor
- English language certificate
- Short description of the proposed doctoral research project
- Confirmation from a professor that he or she is willing to co-supervise the doctoral research project

3) If the requirements in accordance with § 2 are not met, admission to doctoral studies is refused. The doctoral researcher, the supervisor and the mentor are notified in writing of this decision.

4) Decisions on appropriate requirements concerning studies in preparation of the doctoral research project in accordance with § 2 (4) and (5) c as well as on the recognition of relevant qualifications in accordance with § 2 (3) lie with the Dean.

5) If the applicant is admitted to doctoral studies, he or she receives written notification of his or her admission and of the Dean's decision in accordance with (3) as well as instructions on the safeguarding of good scientific practice at Heinrich Heine University Düsseldorf. In addition, the thesis is attributed to a doctoral subject in accordance with § 1 as follows:

- a. If the supervisor is a member or affiliate of the Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf, the doctoral subject is the subject represented by the supervisor.

- b. The doctoral subject is otherwise the subject represented by the mentor.

The applicant confirms in writing both receipt of the documents and the attributing of his or her thesis to the respective doctoral subject.

6) When admitting an applicant to doctoral studies and to fulfil legal obligations in the framework of the doctoral examination procedure, the following personal data are collected, automatically stored and processed by the Dean's Office of the Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf:

- a. Personal details (title, name, date of birth, email address, telephone number).
- b. Information about the thesis (doctoral subject, theme, supervisor, mentor).

After the end of the doctoral examination procedure, the data referred to above can be stored and used for the purpose of informing involved parties.

7) In accordance with § 67 (5) of the University Act, all doctoral researchers are obliged to enrol at the University and to remain enrolled as doctoral researcher or auditing doctoral researcher for the full duration of their doctoral studies. Enrolment as doctoral researcher or auditing doctoral researcher is conditional on admission to doctoral studies by the Faculty of Mathematics and Natural Sciences.

8) The doctoral researcher may de-register with the Dean prior to submitting his or her application for admission to doctoral studies. In this case, no attempt to earn a doctoral degree is deemed to have been undertaken.

§ 5

Application for admission to the doctoral examination procedure

1) A doctoral researcher admitted to doctoral studies may apply to the Dean in writing for admission to the doctoral examination procedure. The application must include:

- a. Three bound or stapled paper copies of the thesis, one copy of the thesis in electronic form for the purpose of screening it for plagiarism and additionally a summary in paper form of one A4 page.
- b. An affidavit with the following wording: "I declare under oath that I have produced my thesis independently and without any undue assistance by third parties under consideration of the 'Principles for the Safeguarding of Good Scientific Practice at Heinrich Heine University Düsseldorf'".
- c. A declaration by the applicant whether he or she has already presented the thesis to another faculty; the declaration must also include details of all previous successful and unsuccessful attempts to earn a doctoral degree.
- d. A declaration by the supervisor of the thesis that the intended doctoral research project and the proposal for its examination have been made known to the full-time professors in this subject.
- e. A declaration by the doctoral researcher on whether the oral defence will be conducted in German or English.
- f. A declaration on whether the public is to be excluded from the examination in the framework of the oral defence in accordance with § 9 (4) and whether in accordance with § 9 (4) an application is submitted to exclude the public from the presentation.
- g. Curriculum vitae in German or English, which contains precise details of the applicant's previous education and studies.

- h. Birth certificate or the applicant's marriage certificate in the case of a change of name.
- i. Evidence of participation in the course "Introduction to Good Scientific Practice" organised by the Faculty of Mathematics and Natural Sciences or an equivalent course. Where necessary, the Dean decides about the equivalence of such a course.
- j. A statement on whether the doctoral degree of "Doctor of Natural Sciences" (doctor rerum naturalium - Dr. rer. nat.) or the doctoral degree of "Doctor of Philosophy (Ph. D.) in Natural Sciences" is to be conferred.

2) Admission may only be refused if the documents and declarations submitted are incomplete, incorrect or inconsistent with the provisions of these Doctoral Regulations or if previous unsuccessful attempts to earn a doctoral degree have been undertaken.

§ 6 Thesis

- 1) The thesis should be scientifically noteworthy and substantiate the ability of the author or authoress for independent research work and commensurate presentation of the research results.
- 2) The theme of the thesis is selected by the doctoral researcher in consultation with the supervisor.
- 3) Manuscripts of which the doctoral researcher is the author or authoress and to which he or she has contributed a considerable part may be included in the thesis in their original or an adapted form, even if the manuscript has further authors or authoresses. Such parts of a manuscript which have been reproduced or adapted must be clearly marked in the thesis. All manuscripts used in this manner must be fully referenced with all co-authors in the annex to the thesis and the contribution of the doctoral researcher to the content of the manuscript must be explicitly indicated. In so doing, the specific contribution of the doctoral researcher to the manuscript must be described; the simple stating of percentages is insufficient. The supervisor must confirm in writing that this information is credible. The doctoral researcher is personally responsible for ensuring that no infringement of copyright occurs when including texts taken from elsewhere.
- 4) The thesis must be written in either German or English. The title page of the thesis and the second page must be structured according to Annex 2 and Annex 3 of these Regulations. The thesis must include a summary.
- 5) As a rule, experimental work for a thesis must be conducted at Heinrich Heine University Düsseldorf. With the agreement of the supervisor, experimental work may also be conducted at an institution outside Heinrich Heine University Düsseldorf.

§ 7

Examiner reports and acceptance of the thesis

- 1) The Dean assigns at least two and at most four persons with the examination of the thesis. This group of persons must include the supervisor. If the supervisor is not a full-time professor and member of the Faculty, another of the examiners must be a full-time professor and member of the Faculty. In particularly justified exceptions, the Dean may govern differently from the rule described in the previous sentence.

2) The examiner reports must be presented within three months of their assignment in the form of a duly substantiated assessment. They must end with the decision on whether the thesis is scientifically noteworthy within the meaning of § 6 (1) and substantiates the ability of the author or authoress for independent research work and commensurate presentation of the research results. In the case of a positive decision, the work must be awarded one of the following grades: "Excellent", "Very Good" (1), "Good" (2) or "Sufficient" (3). For the purpose of differentiation, the gradations 1.3 / 1.7 / 2.3 and 2.7 may be used.

3) Acceptance of the thesis may be made conditional on its revision, which must take place within a time period set by the Dean. The original version must be submitted again together with the revised version, indicating the examiners' comments and requests for corrections. (2) applies accordingly for the examiner reports for the revised version.

4) The doctoral examination file with the examiner reports is made available for inspection in the Dean's Office for 12 days during the lecture period or 18 days in the lecture-free period. In addition to those persons assigned with the examination of the thesis, the doctoral researcher is entitled to inspect the file as well as all members of the group of persons referred to in § 3 (2).

All persons in the respective doctoral subject who are entitled to inspect the file are notified by email of the commencement of the inspection period. Should the decision in at least one of the examiner reports be that the thesis does not represent an achievement of "Sufficient" within the meaning of § 6 (1), this fact is explicitly indicated in the email.

5) Should the decision in all examiner reports in accordance with (2) be that the thesis represents a sufficient achievement within the meaning of § 6 (1) and if no justified objection against its acceptance is raised at the Dean's Office by a member of the group of persons described in § 3 (2) within two days after the end of the inspection period, the thesis is accepted.

6) Should the decision in at least one of the examiner reports in accordance with (2) be that the thesis fails to represent a sufficient achievement within the meaning of § 6 (1) and if no justified objection against its rejection is raised at the Dean's Office by the doctoral researcher or by a person assigned with the examination or by a member of the group of persons described in § 3 (2) within two days after the end of the consultation period, the thesis is rejected.

7) In the case of an objection in accordance with (5) or (6), the Dean requests that all examiners review their reports. The examiners may then revise their reports. If necessary, further examiner reports must be obtained. On the basis of all the examiner reports, the Dean decides whether the thesis is accepted or rejected.

8) If any of the examiner reports requested for the thesis cannot be produced or not produced in time or if the proposed grades deviate from each other by a full grade or more, the Dean may assign one or more further persons with the examination of the thesis. In this case, (5) to (7) apply accordingly.

9) The applicant must be notified immediately and in writing of the acceptance or rejection of the thesis. In the case of its rejection, such notification must bear reference to the provisions of § 11 (1) regarding repetition of the thesis.

§ 8

Examining Board and time and date of the oral defence

- 1) Following acceptance of the thesis, the Dean appoints an Examining Board for the oral defence. With regard to its composition, the supervisor makes known his or her proposal beforehand in writing in the respective doctoral subject and in accordance with the following provisions. The Dean chairs the Examining Board or appoints as chairperson a full-time professor and member of the Faculty as his or her representative. The Examining Board always includes those members or affiliates of Heinrich Heine University assigned with the examination of the thesis. Upon their request, examiners who are not members or affiliates of Heinrich Heine University are also part of the Examining Board. As a rule, the Examining Board also includes three, at least however two further members of the Faculty of Mathematics and Natural Sciences, who are either a full-time professor or have habilitated or are head of an externally funded junior research group. A maximum of two persons may be members of the Examining Board who are not members of the Faculty of Mathematics and Natural Sciences.

- 2) The Dean sets the time and date for the oral defence, invites the doctoral researcher and ensures that the examiners are notified. The oral defence must take place by the latest six months after acceptance of the thesis, otherwise it is deemed not to have been passed, unless the delay is for reasons for which the doctoral researcher is not accountable. In this case, an appropriate extension must be granted. The time and date of the oral defence are made known to the Faculty at the latest 14 days prior to the scheduled oral defence during the lecture period and at the latest 20 days during the lecture-free period and the group of persons in the respective doctoral subject as listed in § 3 (2) are notified by email.

- 3) The Dean or his or her representative nominated in accordance with (1) can change the Examining Board in agreement with the doctoral researcher if the doctoral examination procedure cannot otherwise continue within a reasonable time period.

§ 9

Oral defence

- 1) The oral defence is conducted before a panel of examiners by the Examining Board as an individual examination in English or German.

- 2) If at least one of the examiners has decided on the grade of "Excellent" or "Satisfactory" or there is a deviation between the examiner reports of at least one grade, the Examining Board discusses the examiner reports in closed session prior to the oral defence.

- 3) The oral defence comprises a presentation by the doctoral researcher lasting a maximum of 30 minutes and a question session conducted by the Examining Board lasting at least 30 minutes. Questions should be posed to the examinee in the framework of this examination which are related to the theme treated in the thesis or in the presentation. The chairperson of the Examining Board informs the persons present that visual and sound recordings during the oral defence are not permitted.

- 4) The oral defence is in general open to the public. The doctoral researcher may exclude the public from that part of the oral defence in which he or she is interviewed by the Examining Board by making a corresponding declaration in accordance with § 5 (1) f. Furthermore, the doctoral researcher may also apply in this declaration for the public to be excluded during his or her presentation. The Dean decides whether the public is excluded from the presentation. The Dean will grant the examinee's request in particular when intellectual property rights in the framework of patent applications or the rights of third parties are

jeopardised by a public presentation. All members of the group of persons referred to in § 3 (2) may participate as observers in an oral defence, even if the public has been excluded.

5) A transcript is recorded during the oral defence, which documents the Examining Board's questions in the form of brief notes. These brief notes are kept by a member of the Examining Board.

§ 10

Assessment of doctoral examination achievements

1) Immediately after the end of the oral defence, the fully assembled Examining Board discusses in closed session whether the oral defence has been passed. It is deemed not to have been passed if the doctoral researcher does not appear for the oral defence without due reason or discontinues it. If the oral defence is deemed to have been passed, the Examining Board decides in the same sitting on the grades for the thesis and the oral defence and establishes the overall grade for the doctoral degree.

2) The possible grades for the thesis are "Excellent", "Very Good", "Good" or "Sufficient". When setting the grade for the thesis, the examiner reports must be taken into consideration. The grade of "Excellent" may only be awarded, if at least three examiner reports have been submitted, if the grade of "Excellent" has been proposed for the thesis in all examiner reports and if not all examiner reports have been produced by members or affiliates of Heinrich Heine University Düsseldorf.

3) The possible grades for an examinee's achievement in a passed oral defence are "Excellent", "Very Good", "Good" or "Sufficient". For the grade of "Excellent", the agreement of two thirds of the members of the Examining Board is necessary.

4) The overall grade is set by the Examining Board under consideration of the grades for the oral defence and for the thesis and can be "summa cum laude" (Excellent), "magna cum laude" (Very Good), "cum laude" (Good) or "rite" (Sufficient). Should there be no consensus on the overall grade, a vote is held and a decision reached by simple majority. In the event of a tie, the chairperson has the casting vote. If the grade for the oral defence deviates by more than one grade from that awarded for the thesis, the overall grade cannot not be the grade awarded for the thesis. The overall grade of "summa cum laude" can only be awarded if the thesis was graded as "Excellent" and if two thirds of the members of the Examining Board agree.

5) The examinee must be notified orally and as far as possible immediately of the result of the oral defence and of the grades awarded in the case that the examination has been passed. If the examination has been passed, the provisions regarding the publication of the thesis in § 12 and the commencement of the examinee's right to use the doctor title in § 13 (2) must be indicated; in the event that the examination has not been passed, the provisions regarding repetition of the examination in § 11 (2) must be indicated.

§ 11

Repetition of doctoral examinations

1) If the thesis has been rejected, a new thesis may be presented once. The new thesis must contain extensive changes in comparison to the rejected one or else treat a different theme; § 6 applies analogously. Doctoral researchers who wish to make use of the possibility to present a new thesis must notify the Dean's Office in writing of this intention within three months after the rejection of the thesis. The new thesis may be submitted at the earliest after one year following rejection of the first thesis. Following consultation with the supervisor, the Dean may shorten the waiting period for presenting the new thesis. All

documents and declarations in accordance with § 5 (1) a to k must be submitted again completely together with the new thesis; reference must be made under c to the rejection of the first thesis. Analogously to § 5 (2), the Dean decides on a candidate's admission to the doctoral examination procedure with a new thesis. Once a candidate has been admitted, the procedure continues in accordance with §§ 6 to 10 of these Regulations.

2) A failed oral defence may be repeated once. It must be repeated at the earliest three months and at the latest six months after the failed oral defence. In particularly justified exceptions and following consultation with the supervisor and the doctoral researcher, the Dean may prolong the deadline for repeating the oral defence by a time period to be established in each individual case. §§ 8 to 10 apply analogously for the repeat examination.

§ 12

Publication of the thesis

1) The examiners consent – if necessary following modifications to the thesis - to the printing of the thesis using the certificate of revision (Annex 4), which is submitted to the Dean. Permission to print the thesis is granted by the Dean after the oral defence has been passed and as soon as the certificates of revision from all examiners have been presented. Permission to print may also be granted in exceptional cases even if not all certificates of revision have been submitted and the applicant is not accountable for this.

2) Already published articles that have been included in full in the thesis may be bound into the version of the thesis intended for publication in the form of a reference.

3) The thesis must be published within one year after passing the oral defence. Publication of the thesis takes place through the delivery of:

- a. An electronic version to the University and State Library, whereby the data format and the data medium must be agreed with the University and State Library, two bound copies of the thesis to the University and State Library, to which the right is also conferred to produce further copies of the thesis in the context of its legal obligations as a university library and to disseminate these as well as make them available in data networks.
- b. One bound copy of the thesis each to the first examiner and the second examiner.

The format specifications of the University and State Library must be respected.

A receipt from the University and State Library confirming that it has received the bound copies and the electronic version of the thesis as well as formless confirmation from the examiners that they have received the prescribed number of copies of the thesis must be presented to the Dean's Office. Upon request, the Dean may approve a prolongation of the deadline set for the publication of the thesis.

4) In exceptional cases, e.g. for patent legislation reasons which must be presented to the Dean for inspection, the supervisor may arrange for postponement of the publication of the thesis by the University and State Library of one year. Theses marked with such a restriction must be deposited at the University and State Library and the agreed obligations for confidentiality observed. At the request of the supervisor, the Dean decides on the prolongation of the deadlines specified above. The doctoral researcher verifies that he or she has submitted the thesis by presenting written confirmation to the Dean's Office from the

University and State Library.

§ 13

Completion of the doctoral examination procedure

- 1) Once permission to print has been granted and the thesis subsequently submitted to the University and State Library and this has been duly confirmed in accordance with § 12, a doctoral degree certificate is issued, in which the grades for the thesis and for the oral defence are recorded and the overall grade in accordance with § 10 (4) is indicated in Latin. The certificate bears the date of the oral defence, is signed by the Dean and issued to the applicant. With this act, the doctoral examination procedure is successfully completed and the applicant has earned his or her doctoral degree.

- 2) Having earned his or her doctoral degree, the graduate is entitled to use the doctor title. Prior use of this title or similar designations is not permitted.

- 3) The attempt to earn a doctoral degree is deemed not to have been undertaken in any of the following cases:
 - a. The applicant withdraws from the procedure before the decision on the acceptance of the thesis or else withdraws before the commencement of the oral defence in the event that it has been accepted.
 - b. The Dean revokes admission to the doctoral examination procedure during the procedure itself because important admission requirements are no longer fulfilled or were not fulfilled from the outset and were erroneously accepted as being fulfilled.
 - c. Continuation of the doctoral examination procedure is not possible for reasons for which the applicant is not accountable.

- 4) The doctoral examination procedure ends and is deemed as unsuccessful in any of the following cases:
 - a. The applicant declares his or her withdrawal later than one of the deadlines listed in (3).
 - b. The thesis was rejected and applicant fails to announce by due date his or her intention to repeat the thesis or admission to the doctoral examination procedure with the new thesis fails (§ 11 (1)) or the new thesis is also rejected.
 - c. The applicant fails the oral defence again at the second attempt.
 - d. The applicant fails to keep to a deadline specified in these Regulations or by the Dean despite a reminder and possible extension and is accountable for this.
 - e. The Dean revokes admission to the doctoral examination procedure during the procedure itself because the applicant is guilty of deception when providing evidence of whether he or she fulfils the admission conditions.
 - f. The Examining Board declares the doctoral examination achievements to be invalid prior to issuing the doctoral degree certificate because the applicant is guilty of deception when providing evidence of these achievements.
 - g. The Dean has established that the doctoral examination procedure cannot be continued in compliance with the provisions of these Regulations for reasons for which the applicant is accountable.

§ 14
Honorary doctoral degrees

The Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf may confer an honorary doctoral degree (Dr. rer. nat. h. c.) for outstanding scientific achievements or other excellent services in ideological support of science. This decision is made by the Faculty Council following a proposal by two full-time professors who are Faculty members. The proposal must bear reference to one or more of the disciplines represented at the Faculty (§ 1 Sentence 3) to which the honorary doctoral degree is to be attributed. The Faculty Council votes on the proposal. All members of the group of professors in the discipline or disciplines named must be invited to the vote and hold voting rights in addition to the members of the Faculty Council who hold a doctoral degree. The decision on the honorary doctoral degree requires a majority of two thirds of the members with voting rights who are present. With this decision, the honorary doctoral degree takes effect; a corresponding certificate is issued.

§ 15
Deception and withdrawal of the doctoral degree

- 1) The doctoral degree is not conferred if it emerges prior to the issue of the doctoral degree certificate that the applicant is guilty of serious scientific misconduct. This decision lies with the Dean in consensus with the examiners and having heard the doctoral researcher.
- 2) Following the issue of the doctoral degree certificate, the doctoral degree can be withdrawn if it emerges that it has been obtained through serious scientific misconduct or through the provision of incorrect information regarding fulfilment of the requirements related to the doctoral examination procedure.
- 3) Following the issue of the doctoral degree certificate, the doctoral degree can be withdrawn if it emerges that it has been obtained through wilful deception, threat or bribery or if it has been misused for the preparation or committing of a criminal act. This also applies for honorary doctoral degrees.
- 4) If the Dean becomes aware that circumstances may exist which would lead to the withdrawal of the doctoral degree in accordance with (2) or (3), proceedings for its withdrawal are initiated. These proceedings comprise two stages:
 - a. The purpose of the first stage is a preliminary investigation and the prevention of false accusations. In this stage, the Dean examines whether a suspicion can be substantiated to such a degree that further investigations appear necessary or whether the suspicion is groundless. The Doctoral Studies Committee described in § 16 advises the Dean in these investigations. During the preliminary investigation, the doctoral researcher concerned is given the opportunity to comment. Following the preliminary investigation, the Dean reports to the Faculty Council on the results of the preliminary investigation. The members of the Faculty Council who hold a doctoral degree and have voting rights and the members of the Faculty Council with voting rights who have been admitted to doctoral studies in accordance with § 4 then decide either to terminate the proceedings without withdrawal of the doctoral degree or to continue with the second stage of the proceedings. In the case of binational doctoral degrees or double degrees, the university involved is informed that proceedings have been initiated.
 - b. The purpose of the second stage is the comprehensive and impartial investigation of all relevant facts and the concluding decision on the withdrawal of the doctoral degree. To this

purpose, the members of the Faculty Council referred to in (4a) appoint at least two and at most four rapporteurs. At least one person appointed as a rapporteur may not be a member of Heinrich Heine University Düsseldorf. The persons appointed as rapporteurs each compile a report independently of each other and on the basis of documents made available to them and their own investigations. The report presents all the facts which are relevant in the rapporteur's opinion and weights them. The doctoral researcher concerned is given the opportunity to inspect the reports and the opportunity to comment. Under consideration of all the information then available, the members of the Faculty Council referred to in (4a) decide on the withdrawal of the doctoral degree. The rules of the Administrative Procedure Act of the State of North Rhine-Westphalia, in particular concerning the cancellation of administrative acts, otherwise apply.

In the case of binational doctoral degrees or double degrees, the university involved is informed of the outcome of the proceedings.

§ 16

Doctoral Studies Committee

1. At the request of the Dean, the Doctoral Studies Committee advises him or her concerning matters related to doctoral studies at the Faculty of Mathematics and Natural Sciences at Heinrich Heine University Düsseldorf.
2. The Doctoral Studies Committee advises the Dean in the preparation of a degree withdrawal procedure in accordance with § 15 (4) a.
3. The Doctoral Studies Committee comprises:
 - a. The elected members of the Dean's Office.
 - b. One representative each from the group of full-time professors of each scientific institution at the Faculty. These representatives are appointed by means of a board election at the respective scientific institution. Their term of office is two years. In the event that a representative withdraws from office prematurely, a successor is elected for the remaining part of the term of office. The representatives from this group may be identical to the elected members of the Dean's Office.
 - c. Three representatives from the group of doctoral researchers at the Faculty. These representatives are appointed by means of an election at a full assembly of all doctoral researchers at the Faculty who have been admitted to doctoral studies. Their term of office is two years. In the event that a representative withdraws prematurely, a successor is elected for the remaining part of the term of office at the next full assembly of doctoral researchers.
 - d. The chairperson of iGRAD.
 - e. The executive coordinator of iGRAD.
4. The Dean must exclude members of the Doctoral Studies Committee from advising on an issue if they are not impartial. Equally excluded are members directly involved in a doctoral examination procedure which is the object of the consultation as well as the respective doctoral researchers.

§ 17

Special rights of the Dean

- 1) If the conducting or continuation of a doctoral examination procedure in accordance with the provisions of these Regulations is impossible due to special circumstances, the Dean decides how to proceed in a way which complies as far as possible with these Regulations.
- 2) If the Dean is not impartial with regard to a doctoral examination procedure, the rights described in these Regulations pass in the case of this doctoral examination procedure to the Vice-Dean. This particularly applies in cases where the Dean is directly involved in the doctoral examination procedure as supervisor or mentor. If the Vice-Dean is not impartial in this doctoral examination procedure either, the rights described in these Regulations pass to the Dean of Studies.
- 3) The doctoral researcher, the examiners, the members of the Examining Board and the members of the Faculty Council who hold a doctoral degree may appeal against all procedural decisions by the Dean, the Vice-Dean and the Dean of Studies made in conjunction with a doctoral examination procedure. In such cases, the members of the Faculty Council who hold a doctoral degree and have voting rights and the members of the Faculty Council with voting rights who have been admitted to doctoral studies in accordance with § 4 decide on the issue concerned. An appeal must be submitted to the Dean's Office in good time before the next session of the Faculty Council, at which it can be attended to.

§ 18

Binational doctoral degrees and double doctoral degrees

- 1) The requirements resulting from these Regulations with regard to the procedure for and content of doctoral degrees also apply for binational doctoral degrees and double doctoral degrees.
- 2) It is possible for framework agreements to be concluded between Heinrich Heine University Düsseldorf and a university in Germany or abroad that govern further details.
- 3) It is furthermore possible in individual cases to allow exceptions in the framework of a Contract of Cooperation for a joint doctoral examination procedure to be concluded separately for each individual doctoral researcher between Heinrich Heine University Düsseldorf and a foreign university, insofar as the special procedure for a binational doctoral degree makes this necessary.
- 4) All framework agreements and exceptions require the agreement of the majority of the members of the Faculty Council referred to in § 17 (3) Sentence 2.

§ 19

Retention of records

The Faculty retains the records from completed doctoral examination procedures for a period of 50 years. At the end of this period, they are offered to the University Archive for further retention.

§ 20

Transitional provisions

Doctoral studies to which the doctoral researcher was admitted in accordance with § 4 at the time of the

entry into force of these Doctoral Regulations will be completed in the first 6 years following the entry into force of these Regulations in accordance with the previously valid regulations. Upon application by the doctoral researcher, these doctoral studies may also be completed in accordance with the Regulations described here. Any documents which in this case might be missing must be submitted to the Dean's Office together with the application.

§ 21
Entry into force

These Regulations enter into force on the day following their publication in the Official Bulletin of Heinrich Heine University Düsseldorf.

Issued on the basis of the resolution of the Faculty Council of the Faculty of Mathematics and Natural Sciences of 08.05.2018.

Düsseldorf, 15.06.2018

President of Heinrich Heine University Düsseldorf

Professor Anja Steinbeck

Annex 1 to the Doctoral Regulations

Fast-track doctoral degrees

Pursuant to § 2 (5) and (6) of the Doctoral Regulations of the Faculty of Mathematics and Natural Sciences, graduates of a Bachelor degree programme may be admitted to doctoral studies if:

- The overall grade of the Bachelor degree is 1.5 or higher.
- Studies in the framework of a Masters degree programme are undertaken in preparation of the doctoral research project.
- It can be established within a year that the candidate has demonstrated an excellent academic performance in the framework of the Masters degree programme.

These rules for establishing a candidate's excellence are specific to the respective Masters degree programme and are included in the annex to the Doctoral Regulations.

These rules are as follows:

Masters degree programme in Biochemistry:

- Passes in the three compulsory modules in the Masters degree programme in Biochemistry (45 CPs) with an average overall grade of 1.5 or higher.

Masters degree programme in Biology:

- Completion of two B modules (14 CPs each) at different institutes
- Completion of practical projects (6 weeks each, 7 CPs each) with different supervisors
- Holding of a scientific lecture in front of the Masters Selection Board
- Average overall grade: 1.5 or higher

Masters degree programme in Chemistry:

- At least 42 CPs earned in modules in the M.Sc. degree programme in Chemistry with an average overall grade of 1.5 or higher. These achievements should be produced in the compulsory modules in the M.Sc. degree programme in Chemistry.
- Alternatively, there is the possibility to substitute the compulsory modules in the area of the planned doctoral thesis (Inorganic Chemistry / Structural Chemistry / Bioinorganic Chemistry or Organic Chemistry / Macromolecular Chemistry / Bioorganic Chemistry / Biochemistry or Physical Chemistry / Theoretical Chemistry / Biophysical Chemistry) with required elective modules.

Masters degree programme in Computer Science:

- Passes in the specialisation and required elective modules required in the Masters degree programme in Computer Science (2 specialisation modules with 15 CPs each; 2 required elective modules with 15 CPs each) with excellent achievements (i.e. graded as "Very good").

Masters degree programme in Mathematics:

- At least 36 CPs earned in modules in the Masters degree programme in Mathematics with an average overall grade of 1.5 or higher.
- Of these CPs, at least 9 CPs each must be earned in the areas of Pure Mathematics and Applied Mathematics.

Masters degree programme in Physics:

Conditions:

- At least 60 CPs must have been earned, of which at least 48 CPs graded with an average of 1.5 or higher. Courses at other universities which are recognised as equivalent are taken into consideration. It

is recommended that fast-track doctoral researchers attend courses in Physics during their doctoral studies on a scale of at least 12 CPs.

- The candidate submits a formless application for his or her examination to the chairperson of the Examining Board in the corresponding M.Sc. degree programme (Physics or Medical Physics).
- The chairperson appoints an Examining Board, which comprises the chairperson of the M.Sc. Examinations Committee (or his or her deputy), as well as one professor each from Experimental Physics and Theoretical Physics.
- The examination comprises a 45-minute public lecture by the candidate, the theme of which is set by the Examining Board by majority vote and of which the candidate is notified at least three weeks before the examination. The lecture is followed by a round of questions by the members of the Examining Board lasting at least 15 minutes.
- Immediately afterwards, the Examining Board confers in closed session and informs the candidate of the examination result.
- The theme of the lecture, the questions and the examination result are recorded and the candidate and the Dean's Office are informed accordingly.
- The examination may be repeated once.

In all other subjects at the Faculty, fast-track doctoral degrees are ruled out for graduates of Bachelor degree programmes.

Annex 2 to the Doctoral Regulations

Title of the thesis

Inaugural thesis presented to the Faculty of Mathematics and Natural Sciences
of Heinrich Heine University Düsseldorf
for the degree of
Doctor of Natural Sciences / Doctor of Philosophy in Natural Sciences
by

First name/Family name

from (place of birth)

Place/month/year

Annex 3 to the Doctoral Regulations

From the Department/Institute of
of Heinrich Heine University Düsseldorf

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Heinrich Heine University Düsseldorf

Examiners:

1.

2.

Date of the oral defence:
(please leave blank when submitting your thesis)

Annex 4 to the Doctoral Regulations

Certificate of Revision

I herewith certify that the original version of the thesis by

Ms./Mr.

with the title

has been presented to me and I have no objection to the printing of this thesis.

Place/date

(Examiner's signature and department stamp)

Please return the signed certificate of revision to the:

**Faculty of Mathematics and Natural Sciences
of Heinrich Heine University Düsseldorf
THE DEAN**

Universitätsstr. 1, 40225 Düsseldorf