

Unofficial Version – Faculty of Medicine (Reading Version)

Regulations governing doctoral studies for the Faculty of Medicine of the University of Freiburg (2020)

At its meeting on 25 November 2020, the senate of the University of Freiburg established the following statutes on the basis of section 38 para. 4 sentence 1 of the Baden-Württemberg State Higher Education Act (*Landeshochschulgesetz – LHG*) of 1 January 2005 (Federal Law Gazette, page 1), last amended by Article 1 of the relevant Act of 24 June 2020 (Federal Law Gazette, page 426).

The rector approved these statutes on 8 December 2020.

Contents

Section 1	Purpose of the Doctorate and Awarding of the Doctoral Degree
Section 2	Doctoral Committee
Section 3	Assessors; Examiners
Section 4	Doctoral Supervision; Supervision Agreement
Section 5	Requirements for Admission as a Doctoral Student
Section 6	Provisional Admission
Section 7	Acceptance as a Doctoral Student
Section 8	Initiation of the Doctoral Process
Section 9	Dissertation
Section 10	Assessment of the Dissertation
Section 11	Oral Examination
Section 12	Failure and Repeat of the Oral Examination
Section 13	Total Mark for the Doctorate
Section 14	Publication of the Dissertation
Section 15	Completion of the Doctorate and Certificate
Section 16	Withdrawal from Oral Examination
Section 17	Revocation and Cancellation of Admission to the Doctoral Program; Invalidity of Doctoral Achievement
Section 18	Divestment of the Doctoral Degree
Section 19	Procedural Faults and Objection
Section 20	Ombudsman Procedure
Section 21	Protection Periods
Section 22	Compensatory Support Measures for Disadvantaged Students
Section 23	Retention of the Examination Documents
Section 24	Inspection of the Examination Documents
Section 25	Doctoral Degree with Joint Supervision from other Universities
Section 26	Doctoral Students' Convention
Section 27	Honorary Doctorates
Section 28	Commencement

Annex 1 Declaration of Oath
Annex 2 Assessment Criteria

Section 1 Purpose of the Doctorate and Awarding of the Doctoral Degree

- (1) The purpose of the doctorate is to demonstrate an aptitude for in-depth academic work in a field of study falling within the scope of the Faculty of Medicine. The doctorate shall be granted on the basis of academic work carried out independently (dissertation) and an oral examination serving to defend the dissertation among other things.
- (2) Upon the successful completion of the examination process, the Faculty of Medicine shall award the student the academic title of a doctor of medicine (doctor medicinae, or Dr med. for short) or doctor of dental medicine (doctor medicinae dentariae, or Dr med. dent. for short).
- (3) The doctorate must be completed within five years. In justified cases, the doctoral committee may grant an extension of up to two years provided that the student has applied for such an extension before the end of the original five-year period, setting out the reasons for the extension and including an opinion from her or his responsible supervisor. After the maximum permitted period in which to complete the doctorate has lapsed, the student's admission or provisional admission shall expire unless they have already initiated the doctoral process (*Promotionsverfahren*). Protection periods and leaves of absence as set out in section 21 below shall not count towards the duration of the doctorate.
- (4) Individuals accepted as doctoral students shall be enrolled at the university in accordance with section 60 para. 1 sentence 1 letter b) of the State Higher Education Act; this shall not apply to doctoral students employed at the university or Medical Center as their main profession, provided that they notify the Rectorate in writing in advance that they do not wish to be enrolled. Sentence 1 above shall also apply to doctoral students who have been provisionally admitted to a doctorate in accordance with section 6 below. Doctoral students accepted prior to 30 March 2018 shall be entitled, but not obliged, to enrol at the university. Doctoral students who choose not to enrol shall be required to register.

Section 2 Doctoral Committee

- (1) The doctoral committee is responsible for organisational matters relating to the doctorate, in particular deciding on the acceptance of doctoral students, appointing supervisors, initiation of the doctoral process (*Promotionsverfahren*), appointing assessors, appointing members of the examination commission ensuring the timely initiation of the doctoral process (*Promotionsverfahren*), including documenting the number of doctoral students in its area of responsibility, as well as undertaking all tasks assigned to it by these doctoral degree regulations. The responsibilities of the chairperson of the doctoral committee shall otherwise remain unaffected by these regulations.

- (2) The members of the doctoral committee shall be elected by the faculty council. The doctoral committee shall consist of five members working as university lecturers (*Hochschullehrer*innen*), adjunct professors (*Außerplanmäßige Professor*innen*) or associate professors (*Privatdozent*innen*) at the University of Freiburg Faculty of Medicine or Medical Center as their main profession.

At least two members of the doctoral committee must be professors.

- (3) The doctoral committee shall be appointed for four years and may be reappointed. The term of the committee shall always end at the same time as the election period of the faculty council of the Faculty of Medicine.
- (4) The faculty council shall elect from among the members of the doctoral committee one professor or adjunct professor (*außerplanmäßige*r Professor*in*) from the Faculty of Medicine to be chairperson; the chairperson must be employed at the Faculty of Medicine as their main profession. Another elected member of the doctoral committee shall be elected as deputy chairperson.
- (5) For each member of the doctoral committee, a deputy shall be elected by the faculty council who meets the requirements of section 2 para. 2 sentence 2 above.
- (6) The dean may take part in meetings of the doctoral committee as a voting member provided that she or he is not a member of the doctoral committee.
- (7) The doctoral committee shall generally provide advice and take decisions during duly convened, chaired meetings; its meetings shall be closed to the public. The doctoral committee shall have a quorum if all members have been duly invited and the majority of members are present and entitled to vote. Unless otherwise decided, decisions shall be passed by a simple majority of the votes cast. In the event of a tie, the chairperson shall cast the deciding vote. Decisions may also be taken by means of a written or electronic procedure provided that no members object thereto and at least two thirds of the members take part. Members shall not be permitted to abstain from voting or vote secretly on examination-related matters or, in particular, on decisions pertaining to the divestment of the doctoral degree.
- (8) The members of the doctoral committee and their deputies shall be obliged to maintain confidentiality where examination matters are concerned or a decision to maintain confidentiality has been made on a particular matter. The duty of confidentiality shall also be extended to advice documents issued; members shall continue to be bound by this duty even after their membership on the doctoral committee has ended.
- (9) The doctoral committee ensure the transparency and quality of grading. It shall draw up a report for the faculty council on measures taken to ensure transparency and quality every five years; the report shall be sent by the dean to the Prorector for research, who shall make it accessible to the other faculties with a view to exchanging experience and continuing to develop quality assurance measures.
- (10) The doctoral committee may transfer certain tasks to the chairperson or their deputy on a revocable basis; this shall not apply to decisions pertaining to the acceptance of doctoral students, the withdrawal and cancellation of such acceptance, the invalidity of doctoral achievements (*Promotionsleistungen*), the divestment of a doctoral degree, or objections.
- (11) The doctoral committee is an authority in terms of the Administrative Procedural Law and the Administration Process Law.

Section 3 Assessors; Examiners

- (1) The following persons may in principle be appointed as assessors on a dissertation or examiners for the viva voce examination: university lecturers (*Hochschullehrer*innen*), honorary university professors (*Honorarprofessor*innen*), adjunct professors (*Außerplanmäßige Professor*innen*), associate professors (*Privatdozent*innen*) and associate university lecturers (*Hochschullehrer*innen*) co-opted to or associated with the Faculty of Medicine. Professors from the Faculty of Medicine who have been relieved of their duties or have retired may be appointed as assessors or examiners for doctoral projects that have already been started, provided that they are still appointed as responsible supervisors for these doctoral projects at the time they are relieved of their duties or retire in accordance with section 4 paras. 4 and 5 below.
- (2) The doctoral committee may, on request, grant working group leaders with a specific aptitude for academic work employed at the Faculty of Medicine as their main profession, or other researchers employed at the Faculty of Medicine as their main profession who have been recognised for their academic work during competitions, the right to supervise doctoral students (befristetes Promotionsrecht) and appoint them as assessor or examiners for a doctorate. This is subject to the provision of proof of the specific aptitude for academic work, namely through a dissertation of outstanding quality or at least equivalent academic work, as well as an external evaluation by a recognised research institution. The obligation for an external evaluation shall be deemed to have been satisfied in the case of junior research group leaders in the Emmy Noether Programme of the Deutsche Forschungsgemeinschaft (DFG), candidates at the Margarethe von Wrangell-Habitationsprogramm für Frauen (Margarete von Wrangell Habilitation Programme for Women) for the State of Baden-Württemberg and researchers receiving funding through the DFG Heisenberg Programme.
- (3) Furthermore, the doctoral committee may also appoint as assessors or examiners university lecturers (*Hochschullehrer*innen*), honorary university professors (*Honorarprofessor*innen*), adjunct professors (*Außerplanmäßige Professor*innen*) or associate professors (*Privatdozent*innen*) from other faculties of the University of Freiburg or other universities in Germany or abroad, or academic staff at research institutions. For interdisciplinary dissertations or dissertations on subjects falling within the scope of multiple faculties, employees from other faculties should also be appointed as assessors and examiners. The requirements set out in para. 2 above shall apply accordingly.
- (4) At least one of the assessors must be a university lecturer (*Hochschullehrer*in*), honorary university professor (*Honorarprofessor*in*) or associate professor (*Privatdozent*in*) employed at the University of Freiburg Faculty of Medicine as their main profession. Assessors may not be from the same hospital or institute of the Medical Center – University of Freiburg or University of Freiburg.
- (5) The assessors and examiners involved must not represent the same academic subject.
- (6) The doctoral student may suggest an assessor; the doctoral committee shall not be bound by such a suggestion.

Section 4 Doctoral Supervision; Supervision Agreement

- (1) The doctoral committee shall appoint a responsible supervisor for each doctoral student, as well as an additional supervisor.
- (2) The responsible supervisor must fulfil the requirements for an assessor set out in section 3 para. 1 or 2 above. Section 3 para. 4 sentence 1 above shall apply mutatis mutandis.
- (3) Persons who meet the requirements for assessors set out in section 3 paras. 1 to 3 above may be appointed as additional academic supervisors (second supervisors). If a junior researcher who has not received a Habilitation pursuant to section 3 para. 2 above is appointed as a responsible supervisor, a second supervisor must be appointed who meets the requirements set out under section 3 para. 1 sentence 1 above. If a university lecturer associated with the Faculty of Medicine (*assoziierte*r Hochschullehrer*in*) is appointed as a supervisor, a university lecturer (*Hochschullehrer*in*) from the Faculty of Medicine must be appointed as an additional supervisor in accordance with section 4 para. 1 sentence 2 of the University of Freiburg statutes pertaining to associate university lecturers at universities of applied sciences (*Assoziierungssatzung*; Official Announcements, Issue 50, No. 42, pages 189–192) in the currently applicable version.
- (4) Should a university lecturer (*Hochschullehrer*in*) or associate professor (*Privatdozent*in*) appointed as a supervisor leave the Faculty of Medicine, she or he may continue to exercise related rights and obligations up to three years thereafter; in justified cases, the doctoral committee may extend this time limit to a maximum of five years.
- (5) Professors from the Faculty of Medicine who have been relieved of their duties or have retired may not be appointed as supervisors. Pursuant to para. 4 above, they may complete their supervision of doctoral projects that had already started at the time they were relieved of their duties or retired.
- (6) In supervising the doctoral student's work, the responsible supervisor and additional supervisor shall coordinate with one another in terms of quality and timings.
- (7) Future supervisors and future doctoral students shall conclude a binding written supervision agreement during a face-to-face meeting, using a form provided by the Faculty of Medicine. This agreement shall contain, at a minimum, the following information:
 1. the names of the doctoral student and supervisors;
 2. the working title of the dissertation;
 3. the objective and hypothesis of the doctoral project;
 4. a time and research plan for the dissertation;
 5. a rolling timetable, setting out regular supervisory discussions and progress reports, adapted to the dissertation project and personal circumstances of the doctoral student;
 6. information on the individual's course of studies;

7. a mutual obligation to observe the rules for good scientific practice with regard to joint ownership of copyright over publications arising from the doctoral project, particularly the rules set out under section 4 of the Regulations of the University of Freiburg on Safeguarding Academic Integrity dated 10 June 2011 (*Ordnung der Albert-Ludwigs-Universität zur Sicherung der Redlichkeit in der Wissenschaft*; Official Announcements, Issue 42, No. 38, pages 395–399) in the currently applicable version;
 8. rules on resolving disputes;
 9. the assessment periods to be determined when submitting the dissertation.
- (8) The supervision agreement shall only become valid when the individual in question is accepted as a doctoral student.

Section 5 Requirements for Admission as a Doctoral Student

- (1) To fulfil the admissions requirements of a doctorate, the applicant must:
1. have successfully completed studies in human or dental medicine at a German university;
 - a) to become a doctor of medicine, have passed the medical examination (*Ärztliche Prüfung*) pursuant to the Licensing Regulations for Physicians (*Approbationsordnung für Ärzte, ÄApprO*); or
 - b) to become a doctor of dental medicine, have passed the dental examination (*Zahnärztliche Prüfung*) set out in the former Licensing Regulations for Dentists (*Approbationsordnung für Zahnärzte, ZÄPrO*) or the new Licensing Regulations for Dentists (*Approbationsordnung für Zahnärzte und Zahnärztinnen, ZApprO*);
 2. not have already been accepted as a doctoral student in the same academic subject at another faculty or university; and not have already passed a corresponding doctoral examination at a university in the same academic subject; and
 3. not have seriously breached the generally recognised rules of good scientific practice and integrity.
- (2) Foreign educational qualifications must be approved by the doctoral committee. Applicants who do not meet the requirements set out under section 5 para. 1 number 1 above may still be admitted to a doctorate by the doctoral committee if they can:
1. prove that they have completed the number of semesters required to participate in the medical or dental examination (*Ärztliche/Zahnärztliche Prüfung*) at a German or equivalent foreign faculty of medicine or comparable academic institution; and
 2. prove that they have passed final medical or dental examinations abroad that are equivalent to the medical or dental examination set out in section 5 para. 1 number 1 above. The doctoral committee shall decide on the recognition of final medical or dental examinations. As a matter of principle, it shall suffice in this regard if an applicant has a German licence to practice medicine or dental medicine (*Approbation*) pursuant to the Licensing Regulations for Physicians (*Approbationsordnung für Ärzte, ÄApprO*) or the new or former Licensing Regulations for Dentists (*Approbationsordnung für Zahnärzte (ZÄPrO) or Approbationsordnung für Zahnärzte und Zahnärztinnen (ZApprO)*) and can demonstrate that the final medical or dental examinations entitle the applicant to

undertake a doctorate in the country in which they were taken. If these requirements are not met, the doctoral committee shall determine whether foreign educational qualifications can be deemed to be equivalent to the medical or dental examinations (*Ärztliche/Zahnärztliche Prüfung*) on the basis of equivalence agreements approved by the Standing Conference of the Ministers of Education (*Kultusministerkonferenz*) and Cultural Affairs and German Rectors' Conference (*Hochschulrektorenkonferenz*) as well as arrangements made within the scope of university partnerships. The Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany (*Zentralstelle für ausländisches Bildungswesen*) shall be consulted in the event of any doubts as to the equivalence of foreign qualifications. If the equivalence of a foreign educational qualification cannot be determined because no evidence could be provided of having passed specific assessments (*Studien- und Prüfungsleistungen*), an applicant may still be admitted to a doctorate if, based on evaluation proposals issued by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany (*Zentralstelle für ausländisches Bildungswesen*), it is possible for the applicant to undergo an aptitude assessment to demonstrate these missing elements at a later date and the applicant successfully passes this assessment; the assessment period may not exceed two semesters. The aptitude assessment can be retaken once within six months.

- (3) The applicant must have studied medicine or dental medicine at the University of Freiburg Faculty of Medicine for at least two consecutive semesters or have spent one year conducting academic research in an area related to the Faculty of Medicine (compulsory semesters). The doctoral committee may waive these requirements in justified exceptional cases (waiving of compulsory semesters). The doctoral committee shall set out the rules pertaining to waiving the compulsory semesters in its implementing regulations.

Section 6 Provisional Admission

- (1) Individuals who are enrolled in human medicine or dental medicine studies at the University of Freiburg and have passed the first stage of the medical examination pursuant to the Licensing Regulations for Physicians (*Erster Abschnitt der Ärztlichen Prüfung gemäß der Approbationsordnung für Ärzte (ÄApprO)*), the preliminary dental examination pursuant to the former Licensing Regulations for Dentists (*Erster Abschnitt der Zahnärztlichen Approbationsordnung für Zahnärzte (ZÄPrO)*) or the first stage of the dental examination pursuant to the new Licensing Regulations for Dentists (*Erster Abschnitt der Zahnärztlichen Prüfung gemäß der Approbationsordnung für Zahnärzte und Zahnärztinnen (ZApprO)*) may be provisionally admitted to a doctorate, in deviation from section 5 para. 1 number 1 above.
- (2) Upon passing the medical or dental examination (*Ärztliche/Zahnärztliche Prüfung*), the applicant shall be considered to have satisfied the admissions requirements for the doctorate pursuant to section 5 para. 1 number 1 above. The doctorate may be completed in accordance with section 15 para. 2 sentence 3 below. The applicant must submit to the doctoral committee proof of passing the medical or dental examination (*Ärztliche/Zahnärztliche Prüfung*) without delay.

- (3) If an applicant who has been granted provisional admission to a doctorate fails the medical or dental examination (Ärztliche/Zahnärztliche Prüfung) on her or his final attempt, this shall render the provisional admission invalid.
- (4) The provisions of these doctoral degree regulations shall otherwise apply.

Section 7 Acceptance as a Doctoral Student

- (1) Individuals intending to produce a dissertation who meet the admissions requirements set out in section 5 or pursuant to section 5 and section 6 para. 1 above should apply for acceptance as a doctoral student at the earliest opportunity by submitting a written application, describing the topic of the dissertation, to the doctoral committee. If the topic of the dissertation covers a variety of subjects and if it is taught within different faculties, the application only needs to be made to one of the faculties concerned. For such dissertations covering a variety of subjects, the relevant doctoral degree shall only be awarded by one of the faculties concerned. This is to be decided by these faculties before an individual is accepted as a doctoral student.
- (2) The following documents must be enclosed with the application:
 1. proof that the admissions requirements for the doctorate have been fulfilled pursuant to section 5 para. 1 number 1 or para. 2 above, or section 6 para. 1 above; in the event that a doctorate is undertaken alongside studies, additional proof of current enrolment in medical or dental medicine studies at the University of Freiburg must be submitted;
 2. proof that the requirements under section 5 para. 3 above have been met, generally through a certificate detailing academic achievements/courses to date (Studienverlaufsbescheinigung) if the requirements under section 6 para. 1 above are met;
 3. the supervision agreement pursuant to section 4 para. 7 above;
 4. a declaration that the applicant knows the applicable doctoral degree regulations of the Faculty of Medicine for the title of doctor of medicine (Dr med.) and doctor of dental medicine (Dr med. dent.);
 5. an up-to-date curriculum vitae describing the applicant's personal and professional history;
 6. a declaration on current or previous applications to complete a doctorate, stating when, for which topic and to which faculty or department the application was made, as appropriate explaining why the doctorate was not completed or, for any doctorates already awarded, presenting an officially certified copy of the relevant certificates;
 7. for foreign applicants, proof of adequate German or English language skills where necessary (general language proficiency level of at least B2 according to the Common European Framework of Reference for Languages and a medical language proficiency level of C1 according to the Common European Framework of Reference for Languages);
 8. a declaration that the applicant has never seriously breached the generally recognised rules of good scientific practice and integrity. Such a breach shall be deemed to exist in particular if inaccurate information has been provided intentionally or due to gross negligence in a context of academic importance, the intellectual property rights of others have been breached or another person's ability to conduct research activities has been significantly impaired.

- (3) The doctoral committee shall generally make a decision on an application within three months, for doctoral programmes by the start of the programme in question. The applicant shall not be accepted as a doctoral student if:
1. the admissions requirements set out in section 5 above or in section 5 and section 6 para. 1 above have not been met;
 2. the proposed dissertation topic does not fall within one of the specialist areas of the Faculty of Medicine or there is no faculty member who meets the requirements of section 3 para. 1 or 2 above able to expertly assess the dissertation topic;
 3. none of the responsible faculty members pursuant to section 3 paras. 1 or 2 above consider the topic chosen to be worthy of pursuing or the applicant's previous experience to be adequate; or
 4. there is a chance that the equipment and resources needed to implement the planned project will not be available.
- (4) Applicants accepted as doctoral students and therefore admitted or provisionally admitted to a doctorate will be notified thereof in writing. When deciding on the acceptance of an applicant, the doctoral committee shall appoint the persons specified in the supervision agreement as the responsible and additional supervisors. If the doctoral committee decides to reject an application for acceptance as a doctoral student, it shall explain the reasons for its decision in writing and include a statement on legal remedies.
- (5) The responsible or additional supervisor shall ensure that the doctoral student is aware of the rules for good scientific practice.
- (6) Acceptance as a doctoral student may be revoked if, in particular:
1. the supervision agreement (section 4 para. 7 above) is invalid or cancelled;
 2. reasons that would justify revoking the acceptance as a doctoral student emerge later;
 3. there is no prospect that the dissertation can be successfully completed within an appropriate period of time; or
 4. the doctoral student seriously breaches her or his obligations as set out in the supervision agreement (section 4 para. 7 above).

Acceptance as a doctoral student pursuant to sentence 1 number 4 above may only be revoked if an ombudsman procedure has been carried out to no avail and a new supervision agreement has not been agreed.

- (7) By accepting an applicant as a doctoral student, the Faculty of Medicine declares that it is basically ready to evaluate a dissertation on the intended topic as a piece of academic work. The acceptance as doctoral student obliges the faculty to supervise the doctoral student in an academic sense.
- (8) Acceptance as a doctoral student shall not legally entitle the student to initiate the doctoral process (*Promotionsverfahren*).
- (9) Two years after a student has been accepted as a doctoral student, the responsible supervisor shall review whether the doctoral project can be continued and share her or his findings with the doctoral committee in writing.

Section 8 Initiation of the Doctoral Process

- (1) In order to initiate the doctoral process (*Promotionsverfahren*), the doctoral student must continue to meet the admissions requirements for the doctorate specified in section 5 above or in section 5 and section 6 para. 1 above. Applications to initiate the doctoral process (*Promotionsverfahren*) (evaluation of the dissertation and oral examination) must be submitted to the doctoral committee in writing. There must be at least one year between a student being accepted as a doctoral student and submitting an application to initiate the doctoral process (*Promotionsverfahren*).
- (2) The application must include the following documents:
 1. the decision confirming acceptance as a doctoral student pursuant to section 7 para. 4 sentence 1 above;
 2. the current version of the supervision agreement pursuant to section 4 para. 7 above; including proof of participation in the individual course of studies as agreed in the supervision agreement or proof of fulfilment of other conditions set out in the supervision agreement;
 3. proof that the requirements under section 5 para. 1 or 2 or section 6 para. 1 above have been met;
 4. an up-to-date curriculum vitae describing the applicant's personal and professional history;
 5. the dissertation in electronic form on the prescribed data carrier and in the prescribed file format;
 6. where appropriate, publications by the applicant arising from the dissertation or approved as a manuscript for printing;
 7. where appropriate, a German-language summary of the dissertation approved by the responsible supervisor;
 8. a declaration on any current or previous applications to complete a doctorate, specifying the place, date, university and dissertation topic, as well as, for any doctorates already awarded, an officially certified copy of the relevant certificates;
 9. a declaration of oath pursuant to annex 1 to these doctoral degree regulations;
 10. a copy, signed by the doctoral student, of the Faculty of Medicine's directions on the importance and criminal implications of the declaration of oath;
 11. where appropriate, a complete list of academic publications and presentations;
 12. if the doctoral student has cooperated with others on a research topic (group work), a report by the doctoral student on how this cooperation worked, information on the individual contribution of the doctoral student to the joint work, information on the names, academic titles and addresses of the persons involved in the group work, as well as information on whether and, if appropriate, which persons have previously applied to initiate the doctoral process (*Promotionsverfahren*) for their doctorate or Habilitation using parts of the joint work presented;
 13. if the doctoral student has carried out doctoral studies or participated in a structured doctoral programme, proof of achievements made;
 14. a declaration that the applicant has never seriously breached the generally recognised rules of good scientific practice and integrity. Such a breach shall be deemed to exist in particular if inaccurate information has been provided intentionally or due to gross negligence in a context of academic importance, the intellectual property rights of others have been breached or another person's ability to conduct research activities has been significantly impaired.

- (3) Applications may only be withdrawn once, by submitting a written declaration to this effect. Applications may not be withdrawn if the doctoral committee has already obtained an assessment or more than four weeks have passed since the assessors or the examination commission were appointed.
- (4) An application that meets the requirements of paras. 1 and 2 above may only be withdrawn if there are legal reasons rendering it possible for the doctoral degree to be revoked. The doctoral committee shall decide on this.
- (5) The doctoral committee shall decide on whether a student shall be permitted to initiate the doctoral process (*Promotionsverfahren*). The doctoral committee may transfer the responsibility of deciding on applications that do not present any particular difficulties to the chairperson. The doctoral student shall be notified of permission to initiate the doctoral process (*Promotionsverfahren*) in writing. If this application is rejected, the doctoral committee must set out the reasons for its decision in writing and provide to the doctoral student information on legal remedies.

Section 9 Dissertation

- (1) The dissertation must prove the doctoral student's ability to independently conduct in-depth academic work and contribute substantially to advancements in scientific knowledge. The dissertation must meet academic standards in form and content. Academic statements contained in the dissertation must be precise and reduced to the essential.
- (2) The dissertation must be prepared as a monograph. In deviation from sentence 1 above, the doctoral committee may also, upon request, permit the doctoral student to submit several related academic papers as a cumulative dissertation. Such a request must be made as early as possible. Papers by the doctoral student that are submitted as a cumulative dissertation must include at least two papers that have been published or approved for publication in peer-reviewed, internationally recognised specialist journals and address a common academic issue. The doctoral student must have made a substantial contribution to at least one of these papers; none of the papers submitted may form part of another dissertation included as part of an ongoing or completed doctoral process (*Promotionsverfahren*) of the doctoral student. The doctoral student must start by providing a detailed description of the papers, providing a critical assessment of the research topics and key findings from the publications in the context of academic literature on the topic, as well as, where necessary, an assessment of the doctoral student's own individual contribution and the contribution of the other authors involved in the individual publications. In the case of joint research, it must be possible to clearly identify and assess the doctoral student's individual contribution.
- (3) If the dissertation is based on analysis carried out in the context of joint research, it must be possible to clearly identify and assess the doctoral student's individual contribution. Any third-party expertise used must be clearly indicated.
- (4) Experimental dissertations must provide sufficient insight into the conceptualisation of the work and how it was conducted so as to enable the individual contribution of the doctoral student to be assessed.
- (5) The dissertation must contain a title page based on the template provided by the Faculty of Medicine, a table of contents, a summary and a detailed bibliography of sources and literature used. The Faculty of Medicine's drafting guidelines must be observed.

- (6) The dissertation must be written in German. In exceptional cases, the doctoral committee may allow the dissertation to be written in English provided that this does not hinder its assessment within the faculty. In this case, a German summary must be appended to the dissertation.
- (7) The results of the dissertation may already be published; in this case, the doctoral student must at least be the co-author of the publication in question. For monographs, as a general rule when an application to initiate the doctoral process (*Zulassung zum Promotionsverfahren*) is made, no more than three years may have passed since the publication of the results.

Section 10 Assessment of the Dissertation

- (1) Once a doctoral student has been permitted to initiate the doctoral process (*Zulassung zum Promotionsverfahren*), the doctoral committee shall appoint a primary and secondary assessor to assess the dissertation. The primary assessor shall be a university lecturer (*Hochschullehrer*in*), an adjunct professor (*Außerplanmäßige*r Professor*in*) or an associate professor (*Privatdozent*in*) from the Faculty of Medicine. The responsible supervisor shall generally be appointed as the primary assessor. Persons acting as additional academic assessors (second assessors) for a doctorate or who are co-authors of a publication that stemmed from the subject matter of the dissertation

or a manuscript stemming from the subject matter of the dissertation that is planned for publication, has been submitted or has been approved may not be appointed as secondary assessors.

- (2) The assessors shall verify whether the dissertation submitted can be approved as doctoral achievement (*Promotionsleistung*), whether it must be rejected or whether it needs to be returned to the doctoral student for revision. In their written, reasoned assessments, they shall assess the doctoral student's scientific achievement. These assessments must generally be submitted to the doctoral committee two months after their appointment. Unless the assessors recommend that the dissertation be returned for revision, the work shall be evaluated using the following marks and predicates:

1.0	summa cum laude	: with highest honours
1.3, 1.7	magna cum laude	: with great honours
2.0, 2.3, 2.7	cum laude	: with honours
3.0, 3.3, 3.7, 4.0	rite	: duly conferred
5.0	non probatum	: insufficient

- (3) When grading the dissertation, the assessors must base their assessment on the criteria set out in annex 2 to these doctoral degree regulations. The doctoral committee may reject assessments that do not take these criteria into account and request the assessors to revise the assessment in accordance with the criteria set out in annex 2 within a reasonable deadline.
- (4) On a reasoned proposal by one of the assessors, the chairperson of the doctoral committee may return the dissertation to the doctoral student for revision, to be completed within a reasonable deadline to be determined by the doctoral committee. In exceptional cases, the doctoral committee may decide to extend this deadline in response to a reasoned proposal by the doctoral student. If this deadline expires without the dissertation having been revised and resubmitted, the dissertation shall be deemed rejected. The dissertation may only be returned for revision once.

- (5) After the assessments have been submitted, the dissertation will be made available for perusal in the dean's office administration together with the assessments for at least two weeks while the university is in lecture time or for at least three weeks while the university is not in lecture time. This period should not exceed four weeks. The dissertation and assessments may additionally or instead be made available electronically. The chairperson of the doctoral committee shall notify the faculty members entitled to take part in the doctorate examination process of the time and place of the possibility of inspection in writing or electronically. These persons shall have the right to object to the acceptance, rejection or grading of the dissertation in writing until the end of the inspection period. Objections must be substantiated in writing within one week after being lodged.
- (6) The doctoral committee shall then decide whether to reject these objections or to appoint a third assessor; it may consult the current assessors beforehand. Any third assessor appointed must meet the requirements set out under section 3 para. 3 above. This third assessor must also examine the two assessments submitted initially. The third assessor must then submit her or his assessment within two months.
- (7) Should the two initially appointed assessors issue different recommendations on whether the dissertation should be approved or rejected, or should their assessments differ by more than one grade level (predicate), the doctoral committee shall appoint a third assessor; section 10 para. 6 sentences 2 to 4 above shall apply *mutatis mutandis*.
- (8) The total mark "summa cum laude" shall be awarded on the basis of particularly high criteria pursuant to annex 2 to these doctoral degree regulations. If the two assessments initially submitted both recommend the total mark "summa cum laude", the doctoral committee shall obtain a third assessment. Section 10 para. 6 sentences 2 to 4 above shall apply *mutatis mutandis*. Before the two assessments initially submitted are presented to the third assessor, the names of the initial two assessors shall be anonymised. If several elements are present that make it necessary to appoint a third assessor, only one further assessor shall be appointed.
- (9) If the assessors all recommend the approval of the dissertation, the dissertation shall be approved thereby if no objections have been lodged or any objections have been rejected by the doctoral committee. If the assessors all recommend the rejection of the dissertation, the dissertation shall be thereby rejected. In all other cases, the doctoral committee shall determine whether to approve or reject the dissertation on the basis of the assessments at its disposal and the recommended marks therein.
- (10) The overall dissertation mark is the mean value of the marks awarded by the individual assessors, taking into account just the first decimal place after the comma; all other places are disregarded without rounding up or down. The total marks (predicates) for an approved dissertation are:
- summa cum laude if the average mark
is 1.0,

magna cum laude if the average mark
is between 1.0 and 1.9
cum laude if the average mark is
between 1.9 and 2.9,
rite if the average mark is
between 2.9 and 4.0.

If the dissertation has been approved by the majority of the assessors, but the mean value of the marks awarded by the assessors is higher than 4.0, the total mark for the dissertation shall be rounded down to 4.0.

- (11) The assessors may request that doctoral students make revisions to their dissertation before publication; the doctoral process (*Promotionsverfahren*) shall only be completed once these revisions have been made.
- (12) If the approval of the work as a dissertation is rejected, the doctoral process (*Promotionsverfahren*) shall end unsuccessfully. The doctoral student shall receive written notice of this from the doctoral committee, which shall include the reasons for the rejection and set out legal statement of appeal rights. In this case, the doctoral student shall have one chance to apply to recommence the doctoral process (*Promotionsverfahren*) with a dissertation on another topic, and not before the expiry of one year. If this dissertation is also rejected, the doctoral student shall have definitively failed the doctoral examination.

Section 11 Oral Examination

- (1) Doctoral students whose dissertation has been accepted and graded with the mark “rite” or higher shall be permitted to take part in the oral examination by the doctoral committee, which shall appoint an examination commission.
- (2) The examination commission shall consist of the primary and secondary assessors, as well as an additional examiner for the oral examination, who may not concomitantly be an assessor. In addition, the doctoral committee shall appoint an observer – who must have at least a doctoral degree – who shall take minutes on the decisions of the examination commission and the main topics and findings of the oral examination. The minutes shall be signed by the assessors and the observer. The chairperson of the examination commission shall be a member of the examination commission appointed by the doctoral committee. The responsible supervisor of the dissertation may not be appointed as the chairperson. The majority of the examination commission members must belong to the Faculty of Medicine. If a member of the examination commission is unable to take part in the oral examination for justified reasons, the doctoral committee shall appoint in their place another person who meets the requirements under section 3 paras. 1 to 3 above.
- (3) The chairperson of the examination commission shall set a date for the oral examination in consultation with the other examiners and the student. The chairperson of the examination commission shall notify the Faculty of Medicine’s Office of Doctoral Affairs (*Promotionsbüro*) of the date of the oral examination four weeks in advance. The oral examination may take place at the earliest four weeks after the decision to approve the dissertation has been announced and at the latest one year thereafter. A notice shall be posted announcing the date of the oral examination at least two weeks before it is scheduled to take place.

- (4) The oral examination, in which the doctoral student is required to prove her or his ability to explain academic problems verbally, shall be held in German or English. The oral examination consists of an examination on the subject of the dissertation which is also covered in the dissertation, and an examination on the fundamentals of related fields. The oral examination shall commence with a presentation on the topic of the dissertation lasting for around 20 minutes.
- (5) The oral examination shall last for around 60 minutes. Only members of the examination commission shall be entitled to ask questions.
- (6) The oral examination shall take place on the premises of the University of Freiburg or the Faculty of Medicine of the University of Freiburg, the Medical Center – University of Freiburg or the University Heart Center Freiburg – Bad Krozingen.
- (7) The oral examination shall be open to faculty members. At the request of the doctoral student, the chairperson of the examination commission may permit guests from outside of the faculty to attend the examination. The public shall be excluded from attending the examination if there is good cause or at the doctoral student's request. Deliberation and disclosure of the examination results shall be exempt from being attended by the public.
- (8) Directly after the oral examination, the examination commission shall hold a meeting closed to the public to mark the doctoral student's performance in the oral examination. Each member of the examination commission shall individually submit their assessment of the doctoral student's performance in the oral examination in the form of a mark pursuant to section 10 para. 2 above. The overall mark for the oral examination shall be the mean value of these individual assessments. Section 10 para. 11 sentences 2 and 3 above shall apply *mutatis mutandis*. The oral examination shall be deemed to have been passed if a mark of at least 4.0 is awarded.
- (9) The members of the examination commission shall be obliged to keep confidential facts that become known to them during the non-public meetings unless such facts are already common knowledge or too insignificant to require confidentiality. Confidentiality obligations arising from the employment contract shall remain unaffected.

Section 12 Failure and Repeat of the Oral Examination

- (1) If the doctoral student fails the oral examination or if it is deemed to have been failed, the doctoral committee shall inform the doctoral student of this outcome in writing, setting out the reasons and providing a statement of legal appeal rights.
- (2) The oral examination may be retaken once within one year after the examination decision becomes legally valid. Applications to repeat the examination must be submitted to the doctoral committee no earlier than two months after the examination decision is announced.
- (3) If the doctoral student does not submit an application to repeat the oral examination within a year after the examination decision becomes valid or the doctoral student repeats and fails the oral examination again, the doctoral process (*Promotionsverfahren*) shall end unsuccessfully and the doctoral student shall have definitively failed the doctoral examination. In justified cases, the doctoral committee may extend the deadline for repeating the oral examination at the doctoral student's request.

- (4) If the doctoral process (*Promotionsverfahren*) ends unsuccessfully, the doctoral committee shall notify the doctoral student thereof in writing, setting out the reasons for this accompanied by a legal statement of appeal rights.

Section 13 Total Mark for the Doctorate

- (1) If the doctoral student passes the oral examination, the doctoral committee shall determine the overall mark and the corresponding total mark (predicate) for the doctorate.
- (2) The overall mark for the doctorate shall be the weighted mean value of the overall mark awarded for the dissertation determined pursuant to section 10 para. 11 above and the final mark awarded for the oral examination determined pursuant to section 11 para. 8 above. The overall dissertation mark shall be weighted twice and the overall oral examination mark once. Section 10 para. 11 sentences 2 and 3 above shall apply accordingly.
- (3) Once the total mark for the doctorate (predicate) has been determined, the doctoral student shall be notified of the outcome of the doctorate process.

Section 14 Publication of the Dissertation

- (1) Once the total mark for the doctorate has been determined, a certain number of copies ("mandatory copies") of the dissertation must be made available to the scientific community, within twelve months, in an appropriate manner by means of duplication and distribution:
 1. when the doctoral process (*Promotionsverfahren*) is begun on the basis of section 5 para. 1 or 2 after the oral examination has been passed
 2. when the doctoral process (*Promotionsverfahren*) is begun on the basis of section 6 para. 1 after passing the third stage of the medical examination pursuant to the Licensing Regulations for Physicians (*Dritter Abschnitt der Ärztlichen Prüfung gemäß der Approbationsordnung für Ärzte (ÄApprO)*), the dental examination pursuant to the former Licensing Regulations for Dentists (*Zahnärztliche Prüfung gemäß der Approbationsordnung für Zahnärzte (ZÄPro)*) or the third stage of the dental examination pursuant to the new Licensing Regulations for Dentists (*Dritter Abschnitt der Zahnärztlichen Prüfung gemäß der Approbationsordnung für Zahnärzte und Zahnärztinnen (ZApprO)*)including, where appropriate, with any changes requested by the assessor.
- (2) Prior to publication, the dissertation must be presented to the primary assessor, who shall issue her or his permission for it to be printed. This permission shall be issued using a form and stored in the doctorate files. If the primary assessor rejects the version planned for publication, the doctoral student may request the doctoral committee to review this decision.
- (3) A summary of the dissertation approved by the primary assessor of no more than one DIN A4 page in length must be incorporated into the text of the mandatory copies. In particularly justified exceptional cases, the summary may be enclosed with the dissertation text without being incorporated into it.
- (4) The doctoral student shall be deemed to have satisfied the publication obligations upon delivering the following number of mandatory copies, printed on permanent, wood-free and acid-free paper and durably bound, to the Faculty of Medicine free of charge:

1. for electronic publications via the University Library Freiburg research information system "FreiDok plus": two copies printed on paper in copy-ready typescript together with an electronic version submitted in a file format and on a data carrier that meet University Library Freiburg requirements; the doctoral student must ensure that the electronic version corresponds to the paper copies in terms of content and formatting;
2. for publications through a commercial publisher in bookstores with proof of a minimum print run of 150 copies and a note indicating that the publication is a dissertation, specifying the place of the dissertation in the legal information: two copies;
3. for publications of individual papers as a cumulative dissertation in academic journals: two copies of the entire dissertation printed on paper.

The University Library Freiburg shall receive one of the copies provided to the faculty. In the case of sentence 1 number 1 above, the doctoral student shall transfer to the University of Freiburg the right to produce and distribute further copies of her or his dissertation, or to make it available on its computer networks, within the scope of the University Library Freiburg's statutory duties.

- (5) The back of the title page on the mandatory copies must include the names of the assessors and the dean, as well as the date of the oral examination (serving as the date for the doctorate); section 15 para. 1 sentence 5 below shall apply *mutatis mutandis*. Should the title be changed at a later time, reference must be made to the title of the dissertation as it was submitted at the time.
- (6) If the doctoral student fails to obtain printing permission from the primary assessor, or misses the deadline according to section 14 para. 1 above, all rights acquired through the doctoral examination shall expire; if a doctoral degree certificate has already been issued, this shall be confiscated. In justified cases, the doctoral committee may extend the deadline pursuant to section 14 para. 1 above by up to one year if a request is submitted prior to expiry thereof.

Section 15 Completion of the Doctorate and Certificate

- (1) The doctorate shall be completed upon the issuance of the certificate. The doctoral degree certificate shall be signed by the rector of the University of Freiburg and the dean of the Faculty of Medicine and feature the seal of the Faculty of Medicine. It shall contain details of the doctoral degree achieved as well as the total mark achieved, the title and total mark of the dissertation and the name, date of birth and place of birth of the person receiving the doctorate. The date of the oral examination shall be given as the date of the doctorate. In deviation from sentence 4 above, the date of the third stage of the medical examination pursuant to the Licensing Regulations for Physicians (*Dritter Abschnitt der Ärztlichen Prüfung gemäß der Approbationsordnung für Ärzte (ÄApprO)*), the date of the dental examination pursuant to the former Licensing Regulations for Dentists (*Zahnärztliche Prüfung gemäß der Approbationsordnung für Zahnärzte (ZÄPrO)*) or the date of the third stage of the dental examination pursuant to the new Licensing Regulations for Dentists (*Dritter Abschnitt der Zahnärztlichen Prüfung gemäß der Approbationsordnung für Zahnärzte und Zahnärztinnen (ZApprO)*) shall be given as the date of the doctorate if the full oral examination took place prior to such time.

- (2) The doctoral degree certificate shall only be issued when the doctoral student has supplied the mandatory copies of the dissertation to the Faculty of Medicine pursuant to section 14 para. 4 above. In deviation from sentence 1, in the event that the copies are supplied pursuant to section 14 para. 4 sentence 1 number 2, the doctoral committee may, at the request of the doctoral student, decide to issue the doctoral degree certificate before such time provided that there is evidence of a valid publishing agreement, the publishing company and the doctoral committee are in possession of a copy of the manuscript that is ready for printing, and the publishing company explicitly states that the relevant financing has been secured and the mandatory copies will be printed and supplied to the faculty free of charge. In the event that a doctorate is undertaken alongside studies pursuant to section 6 above, the certificate shall only be issued after the doctoral student has passed the third stage of the medical examination pursuant to the Licensing Regulations for Physicians (*Dritter Abschnitt der Ärztlichen Prüfung gemäß der Approbationsordnung für Ärzte (ÄApprO)*), the date of the dental examination pursuant to the former Licensing Regulations for Dentists (*Zahnärztliche Prüfung gemäß der Approbationsordnung für Zahnärzte (ZÄPrO)*) or the date of the third stage of the dental examination pursuant to the new Licensing Regulations for Dentists (*Dritter Abschnitt der Zahnärztlichen Prüfung gemäß der Approbationsordnung für Zahnärzte und Zahnärztinnen (ZApprO)*).
- (3) The doctoral degree certificate shall be issued in an appropriate form. Until such point, the doctoral student may request to receive a provisional certificate stating that she or he has passed the doctoral examination. This shall specify the title and evaluation of the dissertation, the evaluation of the oral examination and the overall evaluation of the doctoral achievements (*Promotionsleistungen*).
- (4) Before the doctoral degree certificate is issued, the doctoral student shall not be entitled to use the title of doctor, not even with a caveat.
- (5) Codes of practice based on international agreements shall remained unaffected.

Section 16 Withdrawal from Oral Examination

- (1) The doctoral student shall be deemed to have withdrawn from the oral examination if she or he fails to take part in the oral examination in part or in full.
- (2) If the doctoral student is unable to take part in the oral examination due to illness or for another good cause, her or his withdrawal shall be approved following a written request to the doctoral committee specifying the reasons for the withdrawal and including any suitable documentation without delay. In the event of withdrawal due to illness, the doctoral student shall include a doctor's letter with the request containing the medical information necessary to establish that the doctoral student is unable to take the examination on medical grounds.
- (3) If the doctoral committee approves the withdrawal, a new examination date shall be set. If the withdrawal is not approved, the oral examination shall be deemed to not have been passed.

Section 17 Revocation and Cancellation of Admission to the Doctoral Program; Invalidity of Doctoral Achievement

- (1) If, before the doctoral degree certificate is issued, the doctoral student is found to have provided misleading information in relation to the admissions requirements pursuant to section 5 or section 6 para. 1 above, or significant admissions requirements that were presumed to have been fulfilled are found not to have been met, the doctoral student's admission or provisional admission to the doctorate may be withdrawn. The same shall apply if facts become known that would justify the revocation of the doctoral degree pursuant to section 36 para. 7 of the Federal State Higher Education Act.
- (2) If, before the doctoral degree certificate is issued, the doctoral student is found to have provided misleading information in relation to a doctoral achievement (*Promotionsleistung*), some or all of the doctoral achievements (*Promotionsleistungen*) may be deemed invalid; in serious cases, admission or provisional admission to the doctorate may be withdrawn.
- (3) The doctoral student shall have the opportunity to comment before a decision is made pursuant to section 17 paras. 1 or 2 above. The reasons for the decision shall be set out in writing and instructions on the right to appeal provided to the doctoral student.

Section 18 Divestment of the Doctoral Degree

- (1) Divestment of the doctoral degree shall be based on section 36 para. 7 of the State Higher Education Act and section 48 of the Law on Administrative Proceedings for Baden-Württemberg (*Landesverwaltungsverfahrensgesetz*).
- (2) If the requirements for permission to initiate the doctoral process (*Promotionsverfahren*) are found not to have been met but the applicant did not intend to provide misleading information, and this fact only becomes known after the doctoral degree certificate has been issued, this situation shall be remedied by the fact that the doctoral student has passed the doctoral examination.
- (3) Before a decision is made on the divestment of a doctoral degree, the person concerned shall have the opportunity to comment. The doctoral committee shall set out the reasons for the decision in writing and provide to the person concerned instructions on the right to appeal.
- (4) If a doctoral degree is divested, any doctoral degree certificates already issued shall be confiscated.
- (5) The rector may notify German universities entitled to award doctorates of the divestment together with any necessary details.

Section 19 Procedural Faults and Objection

- (1) Procedural faults in the doctoral process (*Promotionsverfahren*) must be reported to the doctoral committee without delay.
- (2) Affected parties may file a complaint against decisions based on these doctoral degree regulations that result in a disadvantage for them. Complaints must be sent to the doctoral committee in writing within one month after notification of the decision in question. The doctoral committee shall decide on the objection, if necessary after consulting the examination board.
- (3) The provisions of the Code of Administrative Court Procedure (*Verwaltungsgerichtsordnung*) shall apply to objections made.

Section 20 Ombudsman Procedure

- (1) In the event of any conflicts arising from the supervision process or dissertation work, the ombudspersons appointed by the senate of the University of Freiburg shall be the contact persons for doctoral students admitted to a doctorate at the Faculty of Medicine in accordance with these regulations, as well as the contact persons for their supervisors.
- (2) The ombudsman procedure shall be carried out in accordance with the relevant statutes of the University of Freiburg.

Section 21 Protection Periods

- (1) At the request of the doctoral student, the protection periods pursuant to section 3 of the German Act on the Protection of Mothers at Work, in Training and at University (*Gesetz zum Schutz von Müttern bei der Arbeit, in der Ausbildung und im Studium – Mutterschutzgesetz – MuSchG*) of 23 May 1917 (Federal Law Gazette Part I, page 1228) in the applicable version shall be taken into account. The doctoral student must include the necessary proof together with any request made. Periods pertaining to the protection of mothers before and after childbirth (*Mutterschutzfristen*) shall be excluded from any periods or deadlines set out in these doctoral degree regulations.
- (2) Likewise, periods pertaining to parental leave set out in section 15 paras. 1 to 3 of the Federal Parental Allowance and Parental Leave Act (*Bundeselterngeld- und Elternzeitgesetz – BEEG*) in the version promulgated on 27 January 2015 (Federal Law Gazette Part I, page 33) in the applicable version shall be taken into account upon request. The doctoral student must notify the doctoral committee in writing, providing any necessary documentation, of the period during which she or he wishes to take parental leave at least four weeks before this period is due to commence. The doctoral committee shall verify whether the legal requirements entitling employees to parental leave have been met and inform the doctoral student of its findings, as well as of any resulting changes to examination periods or other time periods.
- (3) Doctoral students shall be entitled to make use of protection arrangements to care for a close relative within the meaning of section 7 para. 3 of the German Nursing Care Leave Act (*Pflegezeitgesetz – PflegeZG*) of 28 May 2008 (Federal Law Gazette Part I, pages 874, 896) in the applicable version who is in permanent need of care within the meaning of sections 14 and 15 of the Eleventh Book of the Social Security Code (*SGB XI*) of 26 May 1994 (Federal Law Gazette Part I, pages 1014, 1015) in the applicable version.

Section 22 Compensatory Support Measures for Disadvantaged Students

- (1) Doctoral students with a disability or chronic illness hindering their ability to meet the doctoral degree requirements in terms of doctoral achievements (*Promotionsleistungen*) shall be granted appropriate support to compensate for disadvantages following a request to the doctoral committee. The doctoral committee shall determine the form and scope of the support measure to be taken on the basis of the severity of the disability or illness in question, proof of which must be provided. Support measures may include extending the examination deadlines set out in these doctoral degree regulations by an appropriate amount of time; in addition to or instead of this, appropriate support measures may also be granted in another form.
- (2) Applications to be granted support measures must be submitted no later than when an application is filed to initiate the doctoral process (*Promotionsverfahren*). A medical certificate attesting to the disability or illness within the meaning of section 22 para. 1 sentence 1 above must be provided, containing the medical facts necessary for an assessment to be made. The doctoral committee may, as a general rule or in an individual case, request to see a certificate from a doctor it appoints.
- (3) In cases under dispute, the student representative for disabilities or chronic illnesses may be consulted before the doctoral committee makes its decision pursuant to section 22 para. 1 sentence 2 above.

Section 23 Retention of the Examination Documents

- (1) After the successful completion of the doctoral process (*Promotionsverfahren*), the examination documents (*Prüfungsunterlagen*) including the dissertation shall be included in the Faculty of Medicine's files.
- (2) If the dissertation is rejected or the doctoral examination is not passed and the doctoral student has no further chances to retake the examination, the dissertation and all assessments shall remain on file within the faculty.
- (3) The faculty shall retain the examination documents (*Prüfungsunterlagen*) for five years. Once the retention period has expired, the examination documents (*Prüfungsunterlagen*) shall be transferred to the university's archives pursuant to section 23 para. 1 above and the examination documents (*Prüfungsunterlagen*) pursuant to section 23 para. 2 above shall be offered to the university's archives.

Section 24 Inspection of the Examination Documents

The doctoral student shall be permitted, upon request, to inspect the examination documents (*Prüfungsunterlagen*) within one year after completing the doctoral process (*Promotionsverfahren*). The chairperson of the doctoral committee shall determine the time and place of the inspection.

Section 25 Doctoral Degree with Joint Supervision from Other Universities

- (1) Joint doctoral processes (*Promotionsverfahren*) conducted with one or more other universities entitled to award doctorates in Germany or abroad shall be based on an agreement between the University of Freiburg and the universities concerned. This cooperation agreement shall be signed by the doctoral student and, on behalf of the University of Freiburg, by the supervisor, the chairperson of the doctoral committee and the rector. The cooperation agreement shall cover the following elements in particular:
 1. the organisation of the supervision of the doctoral student in the academic sense;
 2. the minimum research stay requirements at partner universities;
 3. examination modalities, including the language to be used, the appointment of the examination commission and the marking system to be used;
 4. the modalities pertaining to the awarding of the doctoral degree;
 5. the obligation to publish the dissertation;
 6. the coverage of travel expenses.
- (2) The general terms of these regulations shall apply to doctorates offered by the University of Freiburg and jointly supervised by other universities entitled to do so, unless other regulations have been agreed below.
- (3) The doctoral student shall be supervised by an academic lecturer from one of the other participating universities and an academic lecturer from the Faculty of Medicine who meets the requirements set out in section 3 para. 1 sentence 1 above.
- (4) The doctoral student shall decide, in consultation with the dissertation supervisor, at which of the universities involved they would like to undergo the doctoral process (*Promotionsverfahren*).
- (5) The faculties and universities involved shall be included on the back of the dissertation title page.
- (6) The regulations of the university at which the doctoral process (*Promotionsverfahren*) is undertaken shall apply to the assessment of the dissertation, the oral examination, the determination of the total mark of the doctorate and the repeating of the doctorate, alongside the following conditions:
 1. If the doctoral process (*Promotionsverfahren*) is not carried out at the University of Freiburg, at least one subject representative from the University of Freiburg Faculty of Medicine must be involved in the process at another university who fulfils the requirements set out in section 3 para. 1 above.
 2. If the doctoral process (*Promotionsverfahren*) is carried out at the University of Freiburg, at least one representative from the other university or universities involved who meets the requirements set out in section 3 para. 3 above shall be appointed as an assessor or examiner.

- (7) The doctoral degree certificate shall contain the names and signatures of the designated persons from the universities involved pursuant to these doctoral degree regulations and feature the seal of the Faculty of Medicine and the seal(s) of the other university or universities or faculty or faculties involved. It shall include the academic title of doctor of medicine or doctor of dental medicine and the corresponding academic title of the other university or universities involved. It shall also include the information that the doctorate was supervised by the University of Freiburg and another university or universities. Section 25 para. 7 sentences 1 to 3 above shall apply accordingly if two doctoral degree certificates are issued.
- (8) Upon receiving the doctoral degree certificate, the holder of the degree shall be entitled to use the title of doctor in the Federal Republic of Germany and, if the doctorate is undertaken jointly with another university outside of Germany, the equivalent academic title in the country in which that university is located. The doctoral student shall only be entitled to use one doctoral title.
- (9) In relation to the publication of the dissertation and the number of mandatory copies to be provided, the cooperation agreement may refer to the rights of the other university or universities involved. It must be ensured that the Faculty of Medicine receives at least two copies of the dissertation.

Section 26 Doctoral Students' Convention

- (1) Doctoral students admitted to a doctorate at the Faculty of Medicine shall form a Doctoral Students' Convention.
- (2) The Doctoral Students' Convention may advise on matters relevant to the doctoral students and issue recommendations to the university bodies. Draft doctoral degree regulations shall be made available to the Doctoral Students' Convention for its comments, which shall be included with the senate documents.
- (3) The Doctoral Students' Convention shall prepare rules of procedure and elect a board. The rules of procedure, decided by the Doctoral Students' Convention on the basis of a majority of its members present, shall set out further information on the organisational set-up of the Doctoral Students' Convention and the election process for the board.
- (4) A member of the board of the Doctoral Students' Convention may take part in meetings of the faculty council debating draft versions of the doctoral degree regulations in an advisory capacity.

Section 27 Honorary Doctorates

- (1) In rare cases, the Faculty of Medicine may award the honorary title of doctor of medicine (Doctor medicinae honoris causa, or Dr med. h.c. in short) or honorary title of doctor of dental medicine (Doctor medicinae dentariae honoris causa, or Dr med. dent. h.c. in short) to honour outstanding academic achievements in a field falling within the scope of the Faculty of Medicine. Honorary doctorates may not be awarded to members of the Faculty of Medicine.
- (2) The faculty council shall decide, in consultation with the senate, on the conferral of honorary doctorates as well as on the divestment of honorary doctoral titles, applying, by analogy, section 18 above.
- (3) Applications for honorary doctorates may be submitted in writing to the chairperson of the doctoral committee by any university lecturer (*Hochschullehrer*in*), adjunct professor (Außerplanmäßige*r Professor*in) or associate professor (Privatdozent*in) employed at the Faculty of Medicine as their main profession. The application must include:
 1. a biography of the person nominated to receive the honorary doctorate;
 2. a list of publications by the person nominated to receive the honorary doctorate;
 3. detailed justification; and
 4. a draft version of the certificate.

After ensuring that the application is complete, the chairperson of the doctoral committee shall forward the application to the faculty council.

- (4) The dean shall appoint a committee to verify whether the requirements for the honorary doctorate have been met and prepare an assessment to assist the faculty council in making a decision. The committee shall consist of: the applicant or one of the applicants acting as a representative, as well as three additional university lecturers (Hochschullehrer*innen) or associate professors (Außerplanmäßige Professor*innen) who are members of the faculty council.
- (5) The faculty council shall make a decision on the application, taking into account the committee's assessment, based on a two-thirds majority of the votes cast by members who are eligible to vote.
- (6) The person nominated for an honorary doctorate shall only be informed of the intended honorary doctorate after the process has been completed. The honorary doctorate shall be offered to said person by the dean.
- (7) The honorary doctorate shall be conferred in a ceremony, in which the dean will present the certificate in the presence of faculty members. The academic merits of the person nominated for an honorary doctorate shall appear on the certificate. The certificate shall be signed by the rector and the dean and feature the seal of the Faculty of Medicine.

Section 28 Commencement

- (1) These doctoral degree regulations shall enter into force on 1 April 2021. These regulations shall replace the doctoral degree regulations of the University of Freiburg Faculty of Medicine of 14 June 1984 (W. u. K. 1984, No. 8, page 374, dated 20 August 1984), last amended on 30 November 2011 (Official Announcements, Issue 42, No. 107, pages 972–974).
- (2) The regulations previously in force shall apply to doctoral students who, at the time these doctoral degree regulations enter into force, were admitted to the doctoral examination pursuant to section 8 of the doctoral degree regulations of the University of Freiburg Faculty of Medicine of 14 June 1984 or have already submitted an application for admission to the doctoral examination at this time.
- (3) The regulations previously in force shall also apply to doctoral students already admitted to a doctorate pursuant to section 5 of the doctoral degree regulations of the University of Freiburg Faculty of Medicine of 14 June 1984 or provisionally admitted to a doctorate pursuant to section 6 of those regulations who have not yet applied for admission to the doctoral examination pursuant to section 8 of those regulations, unless the doctoral student explicitly requests to apply these updated doctoral degree regulations. In this case, the doctoral student shall be required to submit a corresponding written declaration to the Faculty of Medicine's Office of Doctoral Affairs (*Promotionsbüro*) by 30 September 2021 at the latest; this declaration shall be irrevocable.
- (4) In the cases of section 28 paras. 2 and 3 above, the doctoral student shall have up to 31 March 2028 to complete the submission and examination process, pursuant to the doctoral degree regulations of the University of Freiburg Faculty of Medicine of 14 June 1984 (cut-off period).

Freiburg, 8 December 2020

Prof. Dr
Kerstin
Krieglstein
Rector

Annex 1

(to section 8
para. 2
number 10
above)

Declaration of Oath

As a general rule, the declaration of oath is to be submitted in writing. This shall not affect the possibility of stating the declaration of oath orally on the record. The written declaration shall be worded as follows:

“Declaration of oath

pursuant to section 8 para. 2 number 10 of the doctoral degree regulations of the University of Freiburg Faculty of Medicine

1. I hereby affirm that the dissertation on the topic

represents my own work and that

2. I have used no sources and aids other than those indicated, or sought unauthorised help from third parties. All passages quoted from other works or paraphrased have been properly cited and attributed.

3. I hereby declare that the
dissertation or parts
thereof (*please tick as appropriate*)

- ☐ has/have not been submitted as part of an assessment (*Prüfungsleistung*) or qualification achievement (*Qualifikationsleistung*) at a university in Germany or abroad.
- ☐ was/were previously submitted as part of an assessment (*Prüfungsleistung*) or qualification achievement (*Qualifikationsleistung*) at a university in Germany or abroad in the following situation:

Title of the work presented elsewhere:

Name of the relevant university:

Year of submission:

Type of examination assessment (*Prüfungsleistung*) or qualification achievement (*Qualifikationsleistung*):

4. I hereby confirm that the declarations made above are accurate.

5. I understand the significance of the declaration of oath and I am aware of the criminal consequences of providing an incorrect or incomplete declaration of oath.

I hereby affirm in lieu of an oath that, to the best of my knowledge, I have told the truth and not withheld any information.

Place and date

Signature“

Annex 2

(to

section

10 para.

3

sentence

1 above)

Assessm

ent

criteria

I. Categorisation of dissertations

1. **Experimental dissertations:** Experimental dissertations are defined as studies in which the influencing factors forming the subject of the study are manipulated by the investigator herself or himself or according to a process defined by the investigator, such as in vitro experiments, animal testing and ex vivo studies on human material.
2. **Clinical dissertations:** Clinical dissertations are defined as studies in which the influencing factors are only established (observed) and documented or analysed in a standardised manner, such as case-control studies or cohort studies.
3. **Theoretical dissertations:** Theoretical dissertations are defined as discussing a model for explaining or classifying relationships or links. They may be based on recognised empirical methods, classifications, tests or other decision-making procedures.

II. General assessment criteria

When assessing the dissertation, the assessors shall take into account the following criteria:

1. The doctoral student's ability to undertake academic work and think critically, including the ability to independently develop solutions to the problems presented on the basis of findings from literature and methodological principles imparted by the supervisors.
2. Whether the doctoral student has produced a demonstrable, citable and peer-reviewed publication of the academic results of the dissertation in an internationally renowned academic journal, including whether the doctoral student is the first author or a co-author. No evaluation with a certain total mark can be derived from the authorship or the co-authorship.
3. The suitability of the methods applied for gathering and critically assessing data and information, and interpreting them.
4. The academic relevance of the dissertation work.
5. The personal dedication and activity with which the task presented was overcome, the suitability of the planning of the work, the appropriateness with which the project was structured and the timely completion of the work.
6. Editorial aspects of the dissertation: the length and proportion of the thesis; and

the presentation of the fundamentals, the subject being studied, the methods applied, the results (including tables and figures) and literature, style and linguistic expression.

III. Specific assessment criteria

1. The total mark "summa cum laude" shall be awarded for:

- a) experimental dissertations that pursue very challenging objectives and are expected to make a fundamental and causal contribution to new insights, biological mechanisms or physiological factors; that are based on new and/or complex and elaborate methods developed and planned through independent work;
and that lay the groundwork for a very high level of insight, an innovation and/or further experimental or clinical implications;
- b) clinical dissertations that pursue very challenging objectives and are expected to make a fundamental and causal contribution to improving diagnostics and treatments; and are based on a clinical study designed and coordinated through independent work, as well as data collected and analysed independently, laying the groundwork for a very high level of insight, an innovation and/or further clinical implications;
- c) theoretical dissertations that pursue very challenging objectives and are expected to make a fundamental and causal contribution to improving scientific, epidemiological and/or biometric issues or topics; pursue methodologically innovative approaches; develop new techniques; and are based on a complex assessment and analysis carried out independently, laying the groundwork for a very high level of insight with predictable implications for further academic investigations.

2. The total mark "magna cum laude" shall be awarded for:

- a) experimental dissertations that address a challenging topic; are expected to make a significant contribution to science; draw on complex methodologies developed and applied independently; and provide a high level of insight, independently developed solutions and/or an innovation;
- b) clinical dissertations that pursue a challenging objective to improve diagnostics or treatments; include an independently designed study, independently collected data and an independent analysis; and provide a high level of insight, independently developed solutions and/or an innovation;
- c) theoretical dissertations that are challenging and original; draw on a complex methodology and an independently developed perspective to provide a high level of insight, as well as independently developed solutions and/or an innovation.

3. The total mark "cum laude" shall be awarded for:

- a) experimental dissertations that address a moderately challenging topic; establish causal links; are based on challenging, sometimes established methods; and provide a moderate level of insight;
- b) clinical dissertations that address a moderately challenging topic; cover topics that span beyond case histories; contribute to new diagnostics or treatments; require comprehensive data analysis (such as statistics); and provide a moderate level of scientific insight;

- c) theoretical dissertations that address a moderately challenging topic; are based on new or significantly modified methods; and use independently developed solutions to provide a moderate level of insight.
4. The total mark "rite" shall be awarded for:
- a) experimental dissertations that address an easy topic and are largely descriptive in nature; are based on methods developed in the laboratory; and provide a low level of insight;
 - b) clinical dissertations that address an easy topic and are largely descriptive in nature; analyse data from existing documents; and provide a low level of insight (such as simple case compilations or case histories for rare cases); and
 - c) theoretical dissertations that largely reference other works; are based on existing methodologies; and provide a low level of insight.