

**This translation has no legal validity; it serves merely as an aid to understanding the German original. Only the regulations in German published in the State Bulletin (Staatsanzeiger) have legal validity.**

Public Notification  
**of the Revised Version of the Doctoral Degree Regulations  
of Departments 17 to 22  
Mathematics, Physics, Chemistry and  
Pharmacy, Biology, Geosciences  
of the Johannes Gutenberg University in Mainz  
dated 30 April 1990**

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*amended by the Ordinances*

*dated 4 May 1993 (StAnz. p. 537),*

*dated 16 June 1994 (StAnz. p. 965),*

*dated 27 September 1999 (StAnz. p. 1762),*

*dated 28 December 1999 (StAnz. p. 98),*

*dated 17 June 2002 (StAnz. p. 1665),*

*dated 22 December 2003 (StAnz. p. 139),*

*dated 28 September 2004 (StAnz. p. 1420)].*

Notification of the text of the Doctoral Degree Regulations of Departments 17 to 22 of the Johannes Gutenberg University Mainz dated 15 August 1975 (StAnz. 1975 p. 721) following revision in accordance with

1. the amendments to the Doctoral Degree Regulations of the Departments of Mathematics, Physics, Chemistry, Pharmacy, Biology, and Geosciences of the Johannes Gutenberg University dated 8 October 1981 (StAnz. 1981 p. 962, corrected in StAnz. 1982 p. 318),
2. Article 1 of the Ordinance for Amendment of the Doctoral Degree Regulations of Departments 17 to 22 (Mathematics, Physics, Chemistry, Pharmacy, Biology, and Geosciences) of the Johannes Gutenberg University dated 17 November 1983 (StAnz. 1983 p. 1077),
3. Article 1 of the Ordinance for Amendment of the Doctoral Degree Regulations of Departments 17 to 22 (Mathematics, Physics, Chemistry, Pharmacy, Biology, and Geosciences) of the Johannes Gutenberg University dated 23 December 1985 (StAnz. 1986 p. 72),
4. Article 1 of the Ordinance for Amendment of the Doctoral Degree Regulations of Departments 17 to 22 (Mathematics, Physics, Chemistry, Pharmacy, Biology, and Geosciences) of the Johannes Gutenberg University dated 22 May 1986 (StAnz. 1986 p. 596), and
5. Article 1 of the Ordinance for Amendment of the Doctoral Degree Regulations of Departments 17 to 22 (Mathematics, Physics, Chemistry and Pharmacy, Biology, Geosciences) of the Johannes Gutenberg University dated 12 January 1990 (StAnz. 1990 p. 173),

is herewith made.

Mainz, 30 April 1990

The Chairman  
of the Joint Committee  
of Departments 17 to 22  
of the Johannes Gutenberg University Mainz

Professor  
Wolfgang Börsch-Supan  
**Doctoral Degree Regulations**  
**of Departments**

**17 Mathematics und Computer Science**

**18 Physics**

**19 Chemistry and Pharmacy**

**21 Biology**

**22 Geosciences**

**of the Johannes Gutenberg University Mainz**

**dated 30 April 1990**

## **I. Preamble**

The academic title of Dr rer. nat. shall be awarded to candidates who have acquired academic accomplishments that, in terms of knowledge and capabilities, exceed those imparted during a main course of study at an institution of higher education. To qualify, candidates must demonstrate that they have a thorough understanding of the relevant academic discipline across its entire spectrum, that they have a general understanding of certain related academic disciplines, and that they are capable of self-reliant and independent academic work.

## **II. Doctoral Degree**

### Art. 1

Doctor of Natural Sciences

The academic title of Doctor of Natural Sciences (Doctor rerum naturalium, Dr rer. nat.) is conferred jointly by the Departments of Biology, Chemistry and Pharmacy, Geosciences, Mathematics and Computer Science, and Physics of the Johannes Gutenberg University Mainz.

### Art. 2

Academic requirements

In order to qualify for a doctoral degree, candidates must complete a written academic treatise (dissertation) and submit to an oral examination.

### III. Boards

#### Art. 3

##### Joint Doctoral Candidate Admissions Board

(1) The departments specified in Art. 1 form a Joint Doctoral Candidate Admissions Board according to Art. 83 Section 1 in connection with Art. 67 Section 3 of the German legislation governing higher education (HochSchG). The Board shall consist of three professors, a member of the student body, one academic faculty member of each department, and one member of the non-academic personnel to represent all departments.

(2) The Joint Doctoral Candidate Admissions Board shall decide on all questions relating to interdisciplinary and formal aspects of the Doctoral Degree Regulations. All queries of the departments authorized to conduct the doctoral degree assessment that relate to the procedure are also to be dealt with by the Board. However, the Board is not authorized to make decisions relating to the grading of the candidate's performance. The Board shall also decide

- a) which department shall be responsible for the procedure in cases in which it is not possible to clearly assign the dissertation to one particular discipline (Art. 4 Section 2),
- b) on the conferral of distinctions per Arts. 34 and 35,
- c) whether a doctoral degree assessment shall be declared invalid and whether a conferred doctoral degree should be withdrawn per Arts. 36 and 38, and
- d) on proposals regarding the amendment of the Doctoral Degree Regulations.

Proposals for the amendment of the Doctoral Degree Regulations must be submitted by a member of one of the department councils of the departments specified in Art. 1. Professors of Departments 17 to 22 who are not members of the Joint Doctoral Candidate Admissions Board as defined in Art. 1 Section 1 shall also be entitled to take part in the decision-making process regarding proposed amendments to the Doctoral Degree Regulations (Art. 35 Sections 3 and 7 HochSchG); with regard to the requirements for a quorum stipulated in Art. 34 Section 1 Sentence 1 HochSchG, these persons shall be considered to form part of the Joint Doctoral Candidate Admissions Board only in so far as they are present at the relevant sittings and take part in the voting procedure (Art. 26 Section 6 HochSchG).

(3) The chairperson of the Joint Doctoral Candidate Admissions Board must be directly informed of the admission of applicants as doctoral degree candidates. The Joint Doctoral Candidate Admissions Board shall meet at least once every semester.

(4) The doctoral degree assessment procedures are conducted within each of the individual departments.

(5) University lecturers shall be considered to be on equal terms with professors with regard to the responsibilities for the procedure and queries relating to aspects of the Doctoral Degree Regulations.

#### Art. 4

##### Responsible department

(1) The department responsible for the doctoral degree assessment procedure shall be that department with at least one professor representing the discipline that is the subject of the dissertation.

(2) Where it is not possible to clearly assign the dissertation to a department in accordance with

Section 1, the Joint Doctoral Candidate Admissions Board shall decide whether the dissertation can be assigned to one of the departments specified in Art.1, and it shall decide which department shall be responsible for the doctoral degree assessment procedure, as the case may be. Standardized special regulations may be included in Appendix II to help deal with frequently occurring problematic cases of this nature.

#### Art. 5

#### Responsibilities within departments

(1) The corresponding dean shall decide whether applicants shall be admitted as doctoral degree candidates and shall appoint the members of the Board of Examiners. The department council in question is to be notified of the admission of an applicant as a doctoral degree candidate. The dean shall appoint the chairperson and, where appropriate, shall also be entitled to appoint members or deputy members to the Board of Examiners in addition to those required by Art. 21 Section 2.

(2) The department council can appoint an academic faculty member or establish a permanent committee of academics to provide support to the dean in the decision-making process described in Section 1.

### **IV. Admission as doctoral degree candidate**

#### Art. 6

#### Application for admission

(1) The applicant must submit a written application for admission as a doctoral degree candidate to the dean of the relevant department using the standard form. This must be accompanied by

- a) documentation showing the applicant's academic qualifications,
- b) the preliminary working title of the dissertation and consent of the dissertation supervisor, and
- c) a declaration by the first reviewer and as a rule also by the second reviewer that they are willing to act as examiners.

(2) The applicant must also supply a written personal statement showing whether he/she has completed or attempted to complete a doctoral degree assessment procedure in another faculty or in another department. Where appropriate, the subject, place, and time should also be specified.

#### Art. 7

#### Admission requirements

(1) To be admitted as a doctoral degree candidate, an applicant must have successfully acquired a qualification from a university or an equivalent institution of higher education in a scientific discipline that will normally need to be related to the proposed subject of the doctoral degree. The standard period of study required for the conferral of the qualification must be at least eight semesters. Qualifications that are recognized are:

- a. the diploma examination, or
- b. the completion of the Second Part of the Pharmaceutical Examination, or
- c. the Master's examination as defined in Art. 7 c, or
- d. the First State Examination for Teaching at Secondary Schools (Erste Staatsprüfung für das Lehramt an Gymnasien) together with a Magister examination, assuming that the thesis was prepared in the relevant discipline and the requirements of Section 2 are met.

(2) If the qualification takes the form of that specified in Section 1 lit. d, the department council may require the applicant to undertake a further course of study to acquire additional qualifications to ensure comparability of the applicant's qualifications with those specified in lit. a and b.

(3) The relevant department council shall decide whether qualifications other than those specified in Section 1 (particularly qualifications obtained outside Germany and qualifications obtained in a discipline that is not the subject of the doctoral degree) entitle an applicant to be admitted as a doctoral degree candidate. The council shall also specify what additional qualifications the applicant must provide in order to be considered as a candidate for a doctoral degree.

Art. 7 a

Admission of specially qualified university of applied sciences graduates

(1) In place of the qualifications specified in Art. 7 Section 1, a degree awarded by a university of applied sciences in Germany in the discipline in which the applicant intends to complete the doctoral degree may be accepted.

(2) Applicants as defined in Section 1 may only be admitted as doctoral degree candidates if:

- a) they are able to demonstrate that their qualification has been graded as "very good" or that they hold an equivalent university of applied sciences qualification. In certain circumstances, such applicants may be admitted as doctoral degree candidates if their overall grade is "good" (2.0) but their diploma thesis is graded "very good" and they have shown that they have the necessary abilities to attain a doctoral degree,
- b) they have been enrolled or audited a class in the academic discipline in question for at least two semesters at the Johannes Gutenberg University Mainz,
- c) they have attended a counseling session on potential requirements and obligations,
- d) they have demonstrated their academic knowledge and abilities in the form of an accepted written thesis that had to be produced within a period of four months. The subject of this thesis should be closely related to that of the proposed dissertation. The dean shall appoint the thesis supervisor and the thesis reviewer. Applicants whose first thesis is rejected shall be permitted to have a second but final attempt at submitting a thesis that is acceptable,
- e) they are able to demonstrate the acquirement of the required academic knowledge and skills as defined by the relevant department through successful participation in two mandatory courses with two relevant course certificates, obtained in consultation with the relevant subject representative,
- f) they are able to demonstrate the acquirement of essential knowledge and skills in the discipline in a subsequent oral examination to last approximately one hour. This acquirement of essential knowledge and skills relates to the qualifying minimum two semester course of study defined in lit. b above. The oral examination is to be conducted by at least two authorized examiners of the discipline in which the applicant intends to obtain a doctoral degree. Applicants shall be permitted to retake this examination once.

(3) Applicants must also meet the requirements of Arts. 6, 8, 9, and 10.

Art. 7 b

Admission of applicants with Bachelor's or Baccalaureate degrees

The requirements of Art. 7a shall apply.

Art. 7 c  
Admission of applicants with Master's degrees

A Master's degree conferred by a university or university of applied sciences shall be considered equivalent to a diploma or a Magister degree conferred by a university. If the Master's degree is in a discipline other than that in which the applicant intends to obtain a doctoral degree, the relevant department council shall have the right to require additional qualifications from the applicant in accordance with Art. 7 Section 2.

Art. 8  
Dissertation agreement

(1) Under normal circumstances, a preliminary working title for the dissertation will be agreed between the applicant and a professor of the relevant department or another person habilitated at Mainz University who undertakes teaching duties (supervisor). This academic shall undertake the supervision of the doctoral degree candidate and shall procure, where necessary, a suitable work station for the candidate.

(2) Applicants who are unable to obtain a working title for their dissertation by these means may apply to the dean of the relevant department for the assignment of a supervisor. The dean shall appoint a suitable supervisor in such cases.

(3) The working title for the dissertation should be such that it is possible, under the given circumstance, to complete the dissertation within a period of two years.

(4) Whether and to what extent emeritus or other retired professors and honorary professors can set subjects for dissertations shall be decided by the department council following consultation with the professors of the discipline in question and the chairperson of the Joint Doctoral Candidate Admissions Board.

(5) If the subject is set in accord with a professor who is not a member of the department responsible for the procedure, a professor of this department will generally also be appointed to act as additional supervisor.

(6) The candidate must conduct any required experimental research at an institute of the Johannes Gutenberg University. Under certain circumstances and following consultation with the professors of the discipline and the chairperson of the Joint Doctoral Candidate Admissions Board, doctoral degree candidates may be permitted to conduct the research required for a dissertation outside these institutes. A standard form of permission for use in such cases may be included in Appendix II.

Art. 9  
Combination of subjects  
(deleted)

Art. 10  
Admission of doctoral degree candidates

(1) The dean shall decide on the basis of the documentation submitted whether an applicant can be admitted as doctoral degree candidate. The facilities and resources available to the department in question must also be taken into consideration. The dean shall inform the department council of the

decision reached.

Applicants shall be sent a standard form to notify them of the outcome of their application.

Reasons must be provided if an application is rejected.

(2) When a department accepts an applicant as a doctoral degree candidate, it also guarantees that the candidate's performance will be subsequently assessed.

(3) Candidates who are not employees of the Johannes Gutenberg University must be matriculated at Mainz University while preparing their dissertation. Requests for exemption from this requirement shall be considered by the dean of the department in question.

(4) If a chosen supervisor or examiner of a candidate ceases to be a member of the academic faculty staff of the Johannes Gutenberg University after the candidate has been accepted, the supervisor or examiner will usually be permitted to continue in this capacity for up to four semesters after leaving. The approval of the relevant department council shall be required if this period is to be extended. If such an examiner is no longer prepared to act as examiner in the oral examination per Art. 21 Section 1, or if the period of four semesters is exceeded and no extension is authorized, the candidates shall be asked to propose other examiners according to Art. 21.

## **V. Admission to the procedure**

### **Art. 11 Application**

(1) The procedure commences with the submission of the application to be accepted as doctoral degree candidate.

(2) The application for admission must be made using the printed form provided and directed to the relevant department and submitted personally to the dean.

The application must propose the title of the dissertation and the names of members to be appointed to the Board of Examination to be constituted per Art. 21 Section 2.

(3) The following documentation must accompany the application:

- a) a curriculum vitae with photograph of the applicant that, in addition to the standard details, also provides information on the applicant's educational qualifications, nationality, and address;
- b) the certificate showing that the applicant has been accepted as a doctoral degree candidate;
- c) four copies of the dissertation in English or German. The copies of the dissertation must be bound and must each have a title sheet, pagination, an abstract, a list of references, and a CV of the author (if the dissertation has already been published in whole or part, the same number of copies of these publications will also be required);
- d) a signed declaration on the printed form
  - aa) confirming that the candidate has prepared the dissertation unaided and has cited all references used for the dissertation;
  - bb) stating whether the dissertation has been formerly submitted as part of another examination;
  - cc) confirming that the candidate has not submitted this treatise or parts thereof as a dissertation to another faculty or department;
- e) records of study or similar evidence of courses attended as well as exercise, practical course, and seminar credit certificates demonstrating completion of the additional study requirements (where

- necessary), and state and university examination certificates;
- f) a police certificate of good conduct (this shall not be required if the applicant is employed in the German civil service at the time of submission of the application);
  - g) a receipt confirming payment of the fees for the procedure.

Art. 12  
Doctoral fee

A fee for the procedure will be charged in accordance with the relevant state regulations.

Art. 13  
Admission to the procedure

- (1) The dean shall decide on the basis of the documentation submitted whether an applicant shall be admitted as a doctoral degree candidate and shall appoint reviewers for the dissertation. The dean shall inform the department council of the decision reached.
- (2) The dean shall inform the doctoral candidate, the chairperson of the Joint Doctoral Candidate Admissions Board, and, where necessary, the supervisor of the decision. Reasons must be provided for the rejection of an application.
- (3) Applications for admission to the procedure may only be withdrawn with the authorization of the relevant department council.

**VI. Dissertation**

Art. 14  
Dissertation requirements

- (1) The dissertation must be produced by the candidate himself/herself unaided. It must conform to the academic standards of the mathematical-scientific disciplines. It must provide new academic insights that justify its publication.
- (2) If an academic aspect is jointly researched by more than one doctoral degree candidate in a team, each candidate must personally submit as a dissertation an individual research paper in which the significance of the research for science is specified. The actual contribution made by each candidate to the research project must be clearly defined.
- (3) Candidates may not submit a dissertation which was already accepted as a dissertation by another faculty or department or was returned as inadequate by another faculty or department.

Art. 15  
Reviewers

- (1) As soon as a candidate has been admitted to the doctoral degree assessment procedure, the dean



shall appoint at least two dissertation reviewers. If the candidate already has a supervisor per Art. 8 Section 1, this supervisor shall act as one of the reviewers; the same shall be the case where Art. 8 Section 5 applies. At least one of the reviewers must hold a lecturing qualification in the department as defined in Art. 46 HochSchG.

(2) Candidates may propose that a representative of the discipline who has agreed to act as reviewer be appointed for this purpose. The proposal must be justified.

(3) Where appropriate, the dean may appoint an additional or replacement reviewer prior to the scheduling of the date for the oral examination. Candidates also have the right to petition the dean in this regard. The department council must be subsequently notified.

(4) The dean shall supply a copy of the dissertation to each of the reviewers.

#### Art. 16 Reviews

(1) The reviewers shall supply substantiated reviews to the dean, and shall propose the acceptance or rejection of the dissertation. An accepted dissertation is to be awarded one of the following grades:

- excellent
- very good (1)
- good (2)
- satisfactory (3)

Intermediate grades between 1 and 3 may also be awarded.

(2) If the grades awarded by the reviewers vary by more than one whole grade, at least three reviews shall be required.

(3) The grade "excellent" may only be awarded to particularly outstanding dissertations. If two reviewers propose awarding the grade "excellent", the dean shall obtain a further review, per Art. 15 Section 3, from an external reviewer.

#### Art. 17 Acceptance of the dissertation

(1) If all reviewers have proposed the acceptance of the dissertation, the dean shall provide the members of the departments involved in the procedure access to the dissertation for 14 days during semester times or for a period of four weeks in total.

(2) During this same period, the members of the relevant department council, the Joint Doctoral Candidate Admissions Board, the professors, and the habilitated personnel of the relevant department shall have access to the dissertation reviews.

(3) Within the specified access periods, the persons specified in Section 2 shall have the right to lodge a written objection to the grade awarded to a dissertation with the dean. Should any such objections be lodged, the relevant department council shall decide whether this justifies the rejection of the dissertation or whether the dissertation should be returned for revision. The procedures specified in Arts. 18 and 19 should be employed accordingly.

(4) A dissertation shall be adjudged to have been accepted if its acceptance has been proposed by the reviewers, and any objections lodged in accordance with Section 3 have not resulted in its rejection and no additional requirements with regard to revision or supplementation per Art. 18 Section 1 have been specified.

(5) When a dissertation has been accepted, the relevant dean shall on request inform the candidate of the grades proposed by the reviewers.

#### Art. 18

##### Revision of the dissertation

(1) If a dissertation proves to have deficiencies that are not serious enough to justify rejection but prevent its being accepted, the revision or supplementation of the dissertation can be required.

(2) In consultation with the reviewers, the dean will set an appropriate deadline for the return of the revised dissertation. In particularly extenuating circumstances it is possible to permit a one-off postponement of this deadline. If the candidate is unable to resubmit the dissertation by the specified deadline, the dissertation shall be adjudged to have been rejected.

#### Art. 19

##### Rejection of the dissertation

(1) If one of the appointed reviewers proposes the rejection of a dissertation, the dean shall inform the doctoral degree candidate, the members of the department council, the members of the Joint Doctoral Candidate Admissions Board, and the professors and the habilitated personnel of the relevant department, and shall further inform these that the dissertation will be available for examination in the Office of the Deanery for a period of four weeks.

(2) The dissertation shall be adjudged to have been rejected if none of the persons specified in Art. 17 Section 2 provides a reasoned objection to the rejection of the dissertation.

(3) Where an objection to the rejection of a dissertation is made, the relevant department council shall decide whether the dissertation should be accepted or rejected. In order to facilitate the decision-making process, the dean can obtain a further review (candidates shall have the right to petition the dean for this purpose), if necessary from an external reviewer. This review must take into account the reviews that have already been submitted.

#### Art. 20

##### Consequences of the rejection of a dissertation

(1) If a dissertation is rejected, the doctoral degree assessment procedure shall be terminated and the candidate shall be adjudged to have "failed".

(2) The dean shall inform the department council, the chairperson of the Joint Doctoral Candidate Admissions Board, and the doctoral degree candidate of this and of the assessment of the dissertation in writing.

(3) A rejected dissertation with all reviews shall be retained with the records of the Office of the Deanery of the relevant department. Any fees already paid will not be reimbursed.

## VII. Oral examination

### Art. 21 Board of Examiners

(1) After acceptance of a dissertation, the dean of the relevant department shall appoint the Board of Examiners per Section 2 for the oral examination, and shall schedule the date of the examination in consultation with the members of the Board of Examiners and the doctoral degree candidate. The provisions of Art. 5 Section 1 Sentence 1 shall apply accordingly. Authorized to act as examiners are all professors, junior professors, university lecturers, supernumerary professors, associate professors, and habilitated personnel who undertake teaching duties, and, with the authorization of the relevant department, honorary professors of the Johannes Gutenberg University Mainz.

(2) The Board of Examiners shall consist of:

- a) one of the reviewers, two additional examiners from the personnel listed in Section 1 from the relevant department (one of whom should be the second reviewer if possible), and a fourth examiner from the personnel listed in Section 1 who should represent a discipline that is not immediately related to the subject of the dissertation.
- b) The chairperson shall be one of these examiners but may not be one of the reviewers. The chairperson shall be a member of the academic faculty of the relevant department.

The relevant dean also has the right to appoint to the Board of Examiners additional examiners from other German and foreign universities or from equivalent institutions of higher education, particularly in cases in which the procedure involves more than one institution of higher education. These additional examiners must hold qualifications equivalent to those of the persons specified in Section 1 Sentence 3.

(3) In the case of supraregional doctoral degree assessment procedures, professors from all universities involved must be appointed as examiners to assess the oral and written work of the candidate. Further details should be specified in a cooperation agreement.

### Art. 22 Examination subjects (deleted)

### Art. 23 Colloquium

(1) The oral examination shall take the form of a colloquium. The candidate shall be required to provide an oral defense of his/her dissertation lasting approximately 30 minutes. This shall be followed by a disputation with the members of the Board of Examiners to last some 30 - 60 minutes. The chairperson shall permit other persons who hold a doctoral degree and who are present in the auditorium to ask questions of the candidate. At the candidate's wish, the colloquium may be held in English. The disputation should cover a wider field than that covered by the dissertation. The oral examination must be scheduled within six months of the termination of the public display of the dissertation and its reviews.

(2) All members of the department(s) involved and all members of the Joint Doctoral Candidate Admissions Board may attend the colloquium. If this is likely to prevent the colloquium being conducted in due and proper form, the chairperson of the Board of Examiners can exclude these

other persons. Candidates have the right to petition the chairperson to exclude other persons. If so requested by the candidate, the dean may exclude students from the colloquium if this is considered justified. The request must be submitted with the application for admission to the doctoral degree assessment procedure.

(3) A record of the course of the colloquium is to be kept and this record is to be signed by the members of the Board of Examiners. The record must show the main aspects dealt with in the oral examination and the result of the examination.

#### Art. 24

##### Evaluation of the oral examination

(1) On completion of the colloquium, the Board of Examiners shall decide in camera whether the performance of the candidate was acceptable for the award of a doctorate and on the grade to be awarded for the oral examination.

(2) Assuming the candidate has passed the examination, the following grades are to be used:

- excellent
- very good (1)
- good (2)
- satisfactory (3)

Intermediate grades between 1 and 3 may also be awarded.

(3) The grade "excellent" may only be awarded for particularly outstanding performances during the oral examination. All members of the Board of Examiners must agree to award this grade.

(4) The grade "very good" may only be awarded if all members of the Board of Examiners agree to this or a maximum of one member objects to this.

(5) The candidate shall be adjudged to have failed the oral examination if at least two members of the Board of Examiners constituted in accordance with Art. 21 Section 2 award the grade "fail".

#### Art. 25

##### Failure to attend the oral examination

Candidates who fail to attend the oral examination at the date and time specified shall be adjudged to have failed the oral examination. If a candidate is prevented from attending for a justified reason, the dean shall set a new date and time for the oral examination. In this case, the candidate shall not be considered to be retaking the oral examination.

#### Art. 26

##### Retaking the oral examination

(1) Candidates who fail the oral examination shall be provided to retake the oral examination. No additional attempt at the oral examination shall be permitted. This repeat examination shall be, in terms of duration and subject, identical to the first. The provisions of Arts. 21 - 25 shall apply accordingly. However, a candidate retaking the examination may not be awarded the grade "excellent".

The Board of Examiners shall specify two deadlines, within which period the examination is to be retaken.

(2) The chairperson of the Board of Examiners shall inform the candidate in writing of these deadlines and of the reasons for failure.

(3) Candidates must apply to the relevant dean to retake the oral examination, supplying the communication provided by the chairperson.

(4) If one or more of the examiners leave the faculty of the Johannes Gutenberg University before the date of the repeat examination, Art. 10 Section 4 shall apply accordingly.

(5) If a candidate provides a written waiver of the right to retake the oral examination, this waiver shall be considered irrevocable.

(6) If the application to retake the oral examination is not submitted by the deadline set by the Board of Examiners, if the candidate fails the retake of the examination or if the candidate waives their right to retake the examination, it shall be adjudged that the candidate has failed the doctoral degree assessment procedure. The provisions of Art. 20 Section 3 apply accordingly.

### **VIII. Successful conclusion of the doctoral degree assessment procedure**

#### **Art. 27 Overall grade**

(1) The Board of Examiners shall award an overall grade for the doctoral degree in a sitting to be held in camera. The grade(s) awarded to the dissertation by the reviewers and the grade awarded to the oral examination are to be more or less equally weighted. The following grades are to be awarded:

- excellent (summa cum laude)
- very good (magna cum laude)
- good (cum laude)
- fair/pass (rite)

The assessments of the oral and written performance of the candidate are to be noted in German, while the resultant overall grade is to be noted in German and Latin in the doctoral diploma. Intermediate grades may be awarded to the oral and written performance of a candidate.

(2) The grade "excellent" (summa cum laude) can only be awarded if at least three reviews of the dissertation were obtained and the oral examination was awarded the grade "excellent". This assumes that the above requirements are met and all reviewers have proposed grading the dissertation as "excellent". If, however, only one of the reviewers has proposed grading the dissertation as "very good", the Board of Examiners shall decide whether to award a grade of "very good" or "excellent".

(3) Candidates who successfully complete the doctoral degree assessment procedure will be issued with a certificate by the relevant dean confirming that they have successfully completed the procedure. This preliminary certificate does not entitle candidates to use the academic title of doctor.

#### **Art. 28 Printing of the dissertation**

(1) The doctoral candidate must arrange for the printing of the dissertation in case it is not already available in a printed form distributed by a publisher at the time of submission of their application for admission as a doctoral degree candidate. This also applies to any sections of the dissertation that

have not yet been published in this form. The Board of Examiners may make recommendations for revisions before printing. Dissertations that are reproduced in microfiche form shall be considered to have been printed.

(2) All candidates are obligated to provide the required number of printed copies of the dissertation (presentations copies) specified in Art. 30 in the form specified in Art. 29 within one year of completing the oral examination.

(3) The relevant dean may, under certain circumstances, extend the deadline for the delivery of the required number of printed copies of the dissertation by up to one year if so requested by the candidate. The request must be made prior to expiry of the first deadline, and a written justification for the postponement must be provided; where necessary, a written agreement to print the dissertation by a publisher or printer will also be required. Please also see, in this connection, Art. 31 Section 2.

(4) With the approval of all those involved in the procedure, extracts of a dissertation may be published in academic journals prior to completion of or during the doctoral degree assessment procedure. It must be made apparent in such publications that these represent excerpts of an as yet uncompleted dissertation. Publication in this form will not be accepted as a dissertation.

#### Art. 29

##### Required form of the printed dissertation

(1) The required copies must be provided in the following form: the recto of the title sheet must have the layout shown in Appendix II; the verso must show the names of the reviewers who proposed acceptance of the dissertation, the date of the oral examination; the curriculum vitae updated as at the time of printing must be included at the end of the dissertation.

(2) If the dissertation has already been published as a stand-alone book outside a dissertation series or as a journal article (journal articles), the relevant pages must be bound in the copies supplied in accordance with Section 1. Where one or more journal articles have been included, the detailed bibliography of the off print (with the information "off print from...") is to be shown on the verso of the dissertation title sheet, assuming this information has not been printed on the first page of the journal article(s) by the publisher.

(3) Already published sections of a dissertation must be combined with remaining sections of the dissertation in a single volume or book.

(4) In addition, an abstract of the dissertation approved by the first reviewer that extends for no more than one page shall also be required.

#### Art. 30

##### Required number of dissertation copies

The dissertation must be supplied in printed form (four copies on non-aging wood-free and acid-free paper) and in an electronic form (complete text) in a medium and format specified by the University Library. An abstract of up to 200 words in German and English is also to be provided in electronic form to the University Library. The dissertation must be identified as a dissertation submitted to the Johannes Gutenberg University Mainz by inclusion of "Angabe D77" (e.g. in a footnote).

Art. 31  
Doctoral diploma

- (1) Immediately following the provision of the required copies of the dissertation, the procedure is completed by the award of the doctoral diploma.
- (2) If the printed dissertation is to be commercially distributed as a monograph or a journal article, the dean may finalize the degree procedure once the candidate is able to supply a written agreement by a publisher or a printer to print the dissertation. The acceptance of the manuscript must be confirmed therein. However, where Art. 30 Section 4 applies, this shall only be possible when copies of the unabridged version are made available.
- (3) The doctoral diploma shall show the title of the dissertation, the overall grade in German and Latin, the grades awarded for the dissertation and oral examination in German, and the date of the oral examination. Intermediate grades may be awarded to the oral and written performance of candidate. The doctoral diploma will be signed by the president and the dean of the corresponding department and shall bear the official seal of the Johannes Gutenberg University (see example in Appendix III).
- (4) On being awarded his/her doctoral diploma, the candidate is entitled to use the title of Doctor of Natural Sciences (Dr. rer. nat.). This concludes the doctoral degree procedure.

Art. 32  
Right of access to records

Degree holders retain the right to view their assessment records in the Office of the Dean for a period of one year following completion of the procedure per Art. 20 Section 1, Art. 26 Section 6, Art. 31 Section 4 or Art. 36.

Art. 33  
Objection proceedings

- (1) The candidate retains the right to lodge objections to any of the decisions made in connection with his/her application to be admitted as doctoral candidate and made during the assessment procedure itself.
- (2) The Joint Doctoral Candidate Admissions Board shall decide whether objections made by the candidate to the invalidation of the assessment procedure per Art. 36 and to the withdrawal of a conferred doctoral degree per Art. 38 Section 2 are justified.  
The Board of Examiners shall decide whether objections to the overall grade awarded per Art. 27 are justified.  
The corresponding department council shall decide on the applicant's further objections against decisions relating to his/her application to be admitted as doctoral degree candidate and made during the assessment procedure itself.

**IX. Distinctions**

Art. 34  
Renewal of the doctoral diploma

The doctoral diploma can be re-awarded on the 50th anniversary of the original award if this is considered appropriate in view of the outstanding academic performance or close relationship of the degree holder with the Johannes Gutenberg University Mainz.

Art. 35  
Honorary doctorates

(1) The Joint Doctoral Candidate Admissions Board shall be entitled to award the title and dignity of Doctor rerum naturalium (of Natural Sciences) honoris causa (Dr. rer. nat. h. c.) in special cases. Honorary doctorates may be awarded for outstanding achievements in the field of mathematics and the natural sciences to a scientist working beyond his/her special field of expertise and as an award to honor the outstanding lifetime work of an individual in the academic field. The person being so honored must not be a member of the academic faculty of the Johannes Gutenberg University.

(2) The award of an honorary doctorate is to be proposed by one of the department councils of the departments specified in Art. 1. The proposal is to be considered and voted on in two duly constituted sittings of the Joint Doctoral Candidate Admissions Board. The proposal shall be adjudged to be approved if the majority (per Art. 34 UG) vote in its favor in the first sitting and four-fifths of the members present and eligible to vote or the majority of the members of the Joint Doctoral Candidate Admissions Board vote in its favor in the second sitting.

(3) The honorary doctorate shall be bestowed during a special ceremony in which tribute will be paid to the academic achievements, per Section 1, of the person being honored.

**X. Invalidity of the procedure and withdrawal of a conferred doctoral degree**

Art. 36  
Invalidity

Should it come to light prior to the presentation of the diploma that the candidate has deliberately falsified his/her performance during the procedure, or that it has been erroneously assumed that major requirements for admission to the procedure were in place, the Joint Doctoral Candidate Admissions Board shall have the right to declare the examination null and void and, if necessary, to terminate the procedure.

Art. 37  
Revision of assessments

(1) Decisions made with regard to the accreditation and assessment of the performance of a candidate can be revised if it is subsequently revealed that a candidate deliberately created a false impression of the real situation or deliberately exploited any false notions that arose, and these false impressions or notions influenced the decisions. The relevant department council shall be responsible for revising decisions in such cases after the candidate involved has been given the opportunity to present his/her case in writing.

(2) Typographic and printing errors as well as similar obvious mistakes present in the documentation and records of the written and oral parts of the doctoral degree assessment procedure and in the doctoral diploma shall be corrected by the dean on request.



Art. 38  
Withdrawal of a conferred doctoral degree

- (1) Doctoral degrees are to be withdrawn in accordance with the provisions of the existing legislation.
- (2) The Joint Doctoral Candidate Admissions Board shall decide whether a conferred doctoral degree is to be withdrawn.
- (3) All German institutions of higher education that have the right to award lecturing qualifications must be notified of the withdrawal of a doctoral degree.

**XI. Transitional and concluding provisions \*)**

Art. 39

- (1) These Doctoral Degree Regulations shall come into force on the day following their publication in the Official Gazette of the State of Rhineland-Palatinate.
- (2) Applicants who apply for admission as candidates for a doctoral degree prior to the enactment of these regulations shall have the right to specify whether the procedure is to be conducted in accordance with the previous regulations or in accordance with the regulations set out herein.

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\*) This provision applies to the enactment of the Doctoral Degree Regulations in their original version dated 15 August 1975.

**Appendix I *deleted***

**Appendix II**

Special regulations pertaining to Art. 4 Section 2 and Art. 8 Section 6

- (1) With reference to Art. 14 Section 2 , the following special regulations shall apply to the subject Biochemistry:

The Department of Biology may also oversee assessment procedures relating to the award of a doctorate in Biochemistry.

- (2) With reference to Art. 8 Section 6, the following special exception shall apply to the Max Planck Institutes for Chemistry (Otto Hahn Institute) and for Polymer Research in Mainz:

Research work that is to be submitted as a dissertation to one of the departments specified in Art.1 can, with the approval of the dean of the relevant department, be carried out in the facilities of the Otto Hahn Institute or of the Max Planck Institute for Polymer Research.

**Appendix III**

- (1) Model layout for the title page of the dissertation

" ..... (title) ....."

Dissertation

submitted to attain the academic degree

"Doctor  
of Natural Sciences"

at the Department of.....

of the Johannes Gutenberg University  
Mainz

(forename and surname of the candidate)

born in .....

Mainz, (date) .....

(2) Model layout for a doctoral diploma

THE DEPARTMENT OF .....

of the

JOHANNES GUTENBERG UNIVERSITY

MAINZ

herewith confers

Ms./Mrs./Mr.

.....(name) .....

born on.....in .....

in recognition of his/her dissertation

" ..... (title of the dissertation) ....."

and the successful completion

of the oral examination

the degree of

"DOCTOR

OF NATURAL SCIENCES"

(doctor rerum naturalium)

with the overall grade:

.....

Grade awarded to the dissertation:

Grade awarded to the oral examination:

Mainz, date .....

(date of the oral examination)

President

Dean of the Department

.....

Official Seal  
*of the Johannes Gutenberg University*