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New Version of the General Provisions for Doctoral Degrees at the University of Kassel (AB-PromO) dated 14 July 2021

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Appendices

§ 1 Purpose of the doctorate and doctoral degrees

(1) A doctorate provides evidence of a person's capability to complete in-depth academic work. Proof of the special academic qualification is provided by means of an independent academic piece of work (thesis) and an oral examination in the form of a oral defence. The principles specified by the German Research Association (DFG) and the University of Kassel to ensure good academic practice must be followed during the doctoral procedure.

(2) A doctorate in

- philosophy (Dr. phil.),
- natural sciences (Dr. rer. nat.),
- economics and social sciences (Dr.rer.pol.),
- agricultural sciences (Dr. agr.),
- engineering sciences (Dr.-Ing.),
- law (Dr. jur.)

may be awarded by the faculties at the University of Kassel, once a proper doctoral examination procedure has been completed. The special provisions of the faculties regulate the details.

(3) A faculty may in principle confer various types of doctorates and this is settled in the special provisions according to Section 1. The faculties must ensure that adequate broad specialist skills are available both with regard to the acceptance conditions and the make-up of the doctoral examination committee in order to justify awarding the doctoral degree with the relevant description.

(4) The faculty, in whose specialist area the main academic focus of the thesis lies, shall be technically responsible for the doctoral examination procedure.

§ 2 Doctoral examination committees

(1) Each faculty shall form a doctoral examination committee for its area of responsibility. It shall be responsible for all the doctorates to be awarded within the faculty, provided that Section 4 does not apply. Representatives of the group of professors, the students and the academic members shall belong to the doctoral examination committee in a ratio of 3:1:1. Members, who do not hold a doctoral degree, shall only have an advisory vote for decisions, which exclusively involve individual examination performance.

(2) Representatives of the relevant group on the faculty executive committee shall elect the members of the doctoral examination committee and their deputies.

(3) Regardless of paragraph 1, faculties, which award the same doctorate, may form a joint doctoral examination committee. The ratio of 3:1:1 according to paragraph 1 shall normally apply too. In this case, each faculty shall appoint a professor as a member of the doctoral examination committee;

these members shall be elected by their group on the relevant faculty executive committee. They shall be elected by their relevant group of the faculty executive committee. The academic and student members of the doctoral examination committee shall be elected by means of a joint vote by all the relevant representative groups on the faculty executive committees involved. In justified exceptions (e.g. if only two faculties or four or more are involved), the special provisions of the faculties may regulate the composition of the committee, which may differ from paragraph 1, while still maintaining the majority within the professorial group. The joint doctoral examination committee shall then replace the faculty's doctoral examination committee for this doctoral degree.

(4) The term of office for the student members of the doctoral examination committee shall be one year. The term of office for the other members shall be two years. If no successor has been appointed by the end of members' term of office, the term of office of the members in question shall automatically be extended until the successors have been elected and confirmed, however, for no longer than one year. A term of office differing by one year may also be set as an exception, particularly to guarantee continuity on the committee.

(5) The doctoral examination committee shall particularly handle the following tasks:

- a) deciding whether to accept applicants as doctoral candidates in line with Section 3 in conjunction with Sections 4 and 5;
- b) deciding about any change of supervisor in line with Section 4;
- c) deciding about admission to the main doctoral examination procedure in line with Section 8;
- d) appointing examiners in line with Section 9;
- e) deciding about accepting the thesis in line with Section 11;
- f) appointing the doctoral committee in line with Section 12.

Any decisions taken by the doctoral examination committee shall be communicated to the dean's office. Any decision taken under b) shall be made in agreement with the dean's office.

(6) The doctoral examination committee shall have a quorum if at least half of its members are present. Decisions shall be taken by the majority of the votes of those present. Any abstentions shall count as "no" votes.

(7) The chairperson of the doctoral examination committee shall be elected from the group of professors. The doctoral examination committee may transfer tasks to the chairperson.

§ 3 Acceptance requirements

(1) Any acceptance as a doctoral candidate assumes that

- a) they have a bachelor's or master's degree in a relevant academic field of specialisation from a university; evidence must be provided of having gained at least 300 credit points overall according to the European Credit Transfer System (ECTS),
- b) they have completed a university degree with a normal study period of at least eight semesters

(Magister, Diplom, state exam) in a relevant academic field of specialisation or

c) they have a degree from a course, which builds on a first degree course, in a relevant academic field of specialisation at a university or a different higher education institution with the right to award doctorates.

If the candidate has achieved less than 300 credit points in line with sentence a) or if the normal study period in line with sentence b) is less than eight semesters, the doctoral examination committee may link any acceptance of the doctoral candidate to conditions, which normally have to be fulfilled within two years, or at the latest when an application is made for the main doctoral examination procedure in line with Section 8. This includes attending units of instruction or completing coursework and examinations. Upon application, appropriate coursework and examinations, which is/are completed at a university in Germany or abroad, may be credited, if no major differences exist. The doctoral examination committee shall determine the content and scope on an individual basis.

(2) If there is no qualifying degree in line with paragraph 1, the doctoral examination committee may initiate an assessment of eligibility. The assessment of eligibility process is used to determine whether applicants are qualified to complete academic work independently in the form of a doctorate. In this case, the assessment of eligibility process involves completing coursework and examinations and attending units of instruction. The rules in the relevant master's degree examination regulations for the doctoral subject that is being sought or the examination regulations of an equivalent master's degree course shall apply here. More details about the process for assessing eligibility must be regulated in the special provisions of the faculties. The scope of the assessment of eligibility process should normally not exceed 60 CPs. The results of the assessment of eligibility process should normally be determined after two semesters.

The following can also be admitted for a doctoral degree in conjunction with an assessment of eligibility:

- a) applicants, who have completed a university degree with less than eight semesters or
- b) applicants, who have completed a degree from a university of applied sciences (master's, Diplom) in a relevant academic area of specialisation or
- c) particularly gifted applicants with a bachelor's degree at a university in a relevant academic area of specialisation or
- d) particularly gifted applicants who have completed a short academic course at a university leading to a Diplom I or Diplom degree in a relevant area of specialisation.

Being particularly gifted in line with c) and d) is normally the case if the appropriate university degree has been gained with the final grade of "excellent"; the special provisions of the faculties may set other regulations in this regard.

e) applicants with an artistic or design degree,

which was completed at a school of art or an art university, which is entitled to award doctorates, provided that evidence of coursework and examinations can be offered.

The acceptance as a doctoral candidate is then issued under the condition that the assessment of eligibility process is successfully completed. The eligibility assessment process shall end when the assessment leads to a grade of "suitable" or "unsuitable". If the conditions have not been met, acceptance shall be revoked by a formal decision.

(3) If the specialist skills are missing for those changing subject, despite them having a degree that qualifies them for a doctoral course according to paragraph 1. The following persons changing subject may be admitted to a doctoral course:

- a) applicants with a master's degree in line with paragraph 1 a), who do not have a bachelor's or equivalent degree in an academic area of specialisation, or
- b) applicants with a master's degree in line with paragraph 1, which was not gained in a relevant area of specialisation, or
- c) applicants, whose bachelor's or master's degree was not gained in a relevant area of specialisation.

The doctoral examination committee may link the acceptance of the doctoral candidate to conditions involving no more than 30 credits and these normally have to be met within two years, at the latest when application is made for the main doctoral examination procedure in line with Section 8. This may particularly involve providing evidence of successfully having attended units of instruction and completing individual examinations. Appropriate coursework and examinations, which have been completed at a university in Germany or abroad, may be credited, if requested, if no major differences exist. The doctoral examination committee shall determine the content and scope on an individual basis. The special provisions of the faculties may provide more detailed regulations in this regard.

(4) Examinations, which have been completed at universities abroad, shall be recognised if they are of equivalent value. The equivalence agreements approved by the German conference of education ministers and the German conference of university rectors shall determine whether equivalence exists or not. In other matters, the Central Office for Foreign Education may become involved if there are any doubts about equivalence. The doctoral examination committee shall make a decision about equivalence after hearing the responsible specialist representatives from the faculty. If any minor differences have been found in the performance in the university education, this may be compensated for by additional credits in line with the relevant examination regulations in a manner similar to paragraph 2. If the shortcomings are significant, paragraph 3 shall be used accordingly. If the equivalence agreements recommend acceptance according to paragraphs 2 and 3, reasons must be recorded in the candidate's file if this recommendation is not followed.

(5) Specific foreign language skills and/or a minimum grade in a university degree may be required for the doctoral examination process. The faculties may make decisions about the relevance of the area of specialisation according to paragraphs 1 - 3. The special provisions of the faculties provide more details about this.

(6) It is possible to forego the requirement for an eligibility assessment test according to paragraph 2 or conditions for those changing subject in line with paragraph 3, if the proven degree course in combination with the additionally acquired relevant academic skills and capabilities can be viewed as adequate specialist qualifications for the planned doctoral project. The doctoral examination committee shall determine this.

§ 4 Supervising the thesis

(1) Applicants may freely select the subject of their thesis within the disciplines represented in research and teaching at the University of Kassel in conjunction with at least one supervisor. The following shall be entitled to act as supervisors:

- a) professors from the responsible faculty, who have been appointed in line with Sections 61 or 64 of the Hesse Higher Education Act,
- b) junior professors from the responsible faculty within the W 1 salary bracket (Hesse Salaries Act) and
- c) limited-term professors from the responsible faculty,
- d) private lecturers from the responsible faculty if they have a special connection with the University of Kassel. A special connection particularly exists if they are involved in teaching/research activities and scholarships or because of a service or employment relationship;
- e) academics holding a doctorate, who have proven their suitability through their special academic work (renowned academic publications, Emmy Noether fellows and other heads of young academic groups, who have been appointed on the basis of an external peer review procedure). The responsible doctoral examination committee shall determine whether the conditions have been met. The doctoral examination committee shall decide about any exceptions from the possibility of having just one supervisor.

(2) If a second supervisor is appointed, who meets the professorial conditions in line with Section 62 of the Hesse Higher Education Act, the following shall also be entitled to act as supervisors:

- a) senior professors from the responsible faculty,
- b) retired, honorary and deputy professors as well as private lecturers, to whom Section 4 Para. 1 d) applies.

(3) The rules in Section 19 Para. 5 shall apply to supervising cooperative doctorates.

(4) Organising the supervision relationship as well as the rights and obligations of those involved shall be mutually settled by those involved within the supervision agenda. The supervision agenda creates binding general conditions for supervising a doctoral degree and must meet the principles of good academic practice. Once the supervision relationship has been clarified, which not only involves assessing the professional responsibility, but also the existing infrastructure and capacity, the dean's office shall recommend that the application for acceptance as a doctoral candidate is accepted or

rejected in line with Section 5. If a recommendation for acceptance is given, the dean's office shall guarantee that supervision shall be provided for the planned work by the faculty.

(5) The doctoral examination committee working in conjunction with the dean's office shall decide about any change in supervisor or the ending of the doctoral relationship. The reasons for this must be communicated to the doctoral examination committee in writing before the main doctoral examination procedure is initiated. In cases involving any conflict, an opportunity must be given for all those involved to issue a statement. If there is a change in supervisor, the supervision agenda must be adapted accordingly. The doctoral examination committee must ensure that follow-up supervision is organised.

If a different member of the group of professors takes over the role of supervisor, a new application for acceptance is not necessary in line with Section 5.

§ 5 The procedure for acceptance as a doctoral candidate

(1) The application for acceptance as a doctoral candidate must be sent in writing to the doctoral examination committee that is responsible for the doctorate degree in question, specifying the responsible faculty and the subject of the doctorate through the doctoral office.

(2) The following must be attached to the application:

a) the working title and written presentation of the problem being tackled in the planned work, which reveals the major academic focus. Statements should be made about the following in the work description:

- the current state of research and
- the goal of the planned research work and
- the work programme with a timetable;

b) evidence that the acceptance conditions in line with Section 3 have been met; the necessary certificates and documents must be submitted as certified copies;

c) a CV in tabular form and, if relevant, a list of academic publications;

d) an explanation about whether a doctoral examination process has already been completed or applied for and what the results were;

e) confirmation from the supervisors in line with Section 4 that they are supervising the project;

f) a copy of the supervision agenda in line with Section 4 Para. 4;

g) a copy of the person's ID card or passport.

Certificates and documents, which have not been issued in German or English, must be submitted in German or English with the certified translation.

(3) If a thesis is to be prepared as part of joint research work, the following must be attached to the application too:

- the names, academic degrees and addresses of those involved in the joint research work,

- details about whether one of those involved in the procedure for joint research work has already applied for or completed a doctorate or post-doctoral lecturing qualification and
- the specific presentation of their personal contribution to the joint work.

(4) If the conditions in paragraph 2 have been met and if the academic supervision has been guaranteed in line with Section 4, the doctoral examination committee shall decide whether to accept the doctoral candidate. If the doctoral examination committee decides to accept the candidate, it guarantees that the thesis will be examined at a later date. Once a candidate has been accepted, the faculty must do everything in its power to support the doctoral project.

(5) The doctoral examination committee's decision shall be communicated to the applicant in a letter of notification. If the candidate has been rejected, the notification must contain the reasons for the rejection and include instructions about appealing against the decision. An application for acceptance as a doctoral candidate must be rejected if

- a) the conditions in Section 3 have not been met,
- b) supervision is not guaranteed in line with Section 4 or
- c) a doctorate has not been finally passed in the relevant subject at the University of Kassel or some other university or
- d) a doctorate has already been awarded for the intended subject or
- e) the candidate has been guilty of fraud or attempted fraud in conjunction with the conditions of admission.

(6) Acceptance as a doctoral candidate is restricted to five years and expires if an application in line with Section 8 has not been made within this five years. The period starts on the date that the notification of acceptance has been received. If requested, acceptance can be extended for up to two years, if the academic supervision can still be guaranteed; the application should be made to the doctoral examination committee three months before the expiry of the deadline. The special provisions of the faculties may envisage other deadlines, but they should not exceed seven years overall. The extension of the deadline may be connected to conditions in the special provisions of the faculties. Once acceptance has expired according to sentence 1, the University of Kassel's obligations to the doctoral candidate in line with paragraph 4 and Section 4 Para. 2 shall also end.

(7) In well-founded cases, doctoral candidates may apply to shift the academic focus of their thesis and/or their doctoral degree and/or the faculty before initiating the main procedure in line with Section 8 Para. 3. Notification must be immediately sent to the doctoral examination committee. The doctoral examination committee shall then make its decision again in line with paragraph 5. doctoral candidates may withdraw from the doctoral examination procedure until they have received a decision without the degree having been finally graded as "failed".

§ 6 The thesis

(1) The thesis must meet scientific standards and make a contribution to advancing academic

knowledge. It must be an independent academic work. If the thesis has been written on the basis of joint research work, the individual performance of the doctoral candidate must be clearly definable and assessable.

(2) The thesis should be written in German or English. It may also be completed in a different language with the agreement of the doctoral examination committee and in consultation with the supervisors. If the thesis is written in a language other than German, the doctoral candidate must attach a detailed summary in German to the thesis.

(3) The results of any personal examination work performed in the past may be used for the thesis. Parts of the thesis may be published in advance. Evidence of both must be provided in the thesis.

(4) The thesis must contain documentation about the material used and this must comply with the relevant academic working principles and the professional standards. It may be attached as an annex. Sources and aids, which have been used for the work, must be specified in the thesis according to the subject-specific quotation rules.

(5) The special provisions of the faculties may adopt regulations that the primary data is made available to the supervisor in a suitable form if he or she requests this.

§ 7 A cumulative thesis

(1) The special provisions of the faculties' doctoral regulations may envisage a cumulative thesis. If the doctoral examination committee agrees, a cumulative thesis may be accepted in this case and include several academic contributions. Section 5 shall apply accordingly.

(2) The relevant rules, which must be envisaged for the specific subject, must aim to:

- a) meet the standards for quality assurance to ensure that the cumulative thesis has the same quality as a monograph thesis,
- b) enable subject-specific rules, but still consider general standards in the relevant subject;
- c) create procedural reliability for all those involved;
- d) prevent any conflicts of interest.

(3) Subject-specific rules must take into consideration the following requirements:

- a) If they exist, recommendations and standards from the relevant responsible professional society or the relevant responsible professional association must be followed. This may also create subsequent changes in the subject-specialist rules. If this is the case, temporary rules must be defined.
- b) The contributions must be related from a subject/content point of view and be associated with the field of the doctoral degree. They must be brought together in one thesis. In addition to having a common title, it is necessary to embed the content in an overall general presentation (introduction, connecting passages and classifying the work in the development of research, taking into consideration the latest state of research) and have a cohesive bibliography.

c) The subject-specific rules must contain a statement about whether and to what degree one person, who is the co-author of the contributions that have been included, can be considered as an examiner in the doctoral procedure.

d) The subject-specific rules must contain a statement about the number of contributions used and – if envisaged – the weighting scheme for the different types of contributions. They must also contain a statement about whether and to what degree contributions, which have already been published or have definitely been accepted for publication, must be used to fulfil this criterion. There must also be clarification relevant to the subject about which examination procedures or which publication media should be considered.

(4) The written assessment of a cumulative thesis should provide details about the proportion completed by the doctoral candidate in the contributions that have been submitted. The examiners must vote on whether the publications that have been submitted are equivalent to a monograph thesis in terms of their type and scope, when taking into consideration the proportion completed by the co-authors and award a grade after considering this aspect.

§ 8 Application for admission to the main doctoral procedure

(1) The application for admission to the main doctoral examination procedure must be sent to the responsible doctoral examination committee in writing. The following documents must be attached to the application:

a) at least six bound copies of the thesis; the doctoral examination committee may demand more copies, particularly if it appoints more than two examiners. Each copy must have a title page. The special provisions of the faculties may envisage the submission of further bound copies in a departure from this rule, particularly in the case of cumulative theses in line with Section 7,

b) one electronic version of the thesis per submitted copy of the thesis on an archiving data storage medium. The electronic version is not necessary if the thesis has been uploaded on to a server envisaged for this purpose. If necessary, any electronic and audiovisual documents contained in the files must be attached to each of the bound copies on a portable storage medium in line with paragraph a),

c) a declaration about whether a doctorate was planned at an earlier stage, specifying the time, university, subject of the thesis and results of this attempt, if relevant,

d) a signed guarantee in line with Annex 6 that the doctoral candidate has independently completed the thesis,

e) if any results of examination work completed in the past have been used for the thesis in line with Section 6 Para. 3 or if parts of the thesis have already been published in advance, a declaration to this intent must be handed in,

f) evidence of the assessment of the eligibility process according to Section 3 Para. 1 – 4 or evidence that the conditions have been met in line with Section 5 Para. 7.

(2) If no acceptance procedure in line with Section 5 has been completed, the following documents must also be attached:

- a) evidence that the acceptance conditions have been met in line with Section 3 Para. 1 a) or b); the necessary certificates and documents must be submitted in the form of certified copies,
- b) a CV in tabular form and, if necessary, a list of the academic publications,
- c) a copy of the person's ID card or passport.

Section 5 Para. 2 sentence 2 shall apply accordingly.

(3) The doctoral examination committee shall decide about admitting the doctoral candidate for a doctoral degree and initiating the main doctoral procedure. Admission may be refused if the documents mentioned in paragraph 2 have not been subsequently submitted on time after an appropriate deadline has been set by the doctoral examination committee. In the cases covered by paragraph 2, admission may also be refused if no faculty is responsible for the topic or the applicant has not met the acceptance conditions according to Section 3. If the acceptance conditions according to Section 3 have been partly met, the doctoral examination committee may express its support for admission on condition that evidence of coursework and credits must be provided within an appropriate period of time. The doctoral examination committee must refuse admission in the cases covered by Section 5 Para. 5.

(4) The application may only be withdrawn on one occasion. Any withdrawal shall be excluded if an examiner's report is already available or at least two weeks have elapsed since the initiation of the main doctoral procedure.

§ 9 Examining the thesis

(1) The doctoral examination committee shall appoint at least two representatives from the subject area to examine the thesis; they must be in a position to comprehensively evaluate the specialist subject matter in the thesis on the basis of their academic expertise – if necessary, by working together. The supervisor(s) must propose to the doctoral examination committee at least two suitable specialist representatives to be appointed according to sentence 1; supervisors may also be considered as examiners. If other examiners are stipulated according to the special provisions of the faculties, suitable specialist representatives must be suggested by the supervisor(s) for this purpose too. The appointment is made in consultation with the dean's office. Doctoral candidates may submit a suggestion for the appointment of the first examiner; the doctoral examination committee normally complies with this suggestion. If the subject matter of the research work makes it necessary, the doctoral examination committee may appoint up to two more examiners for the evaluation procedure in line with paragraph 2.

(2) In addition to Section 4 Para. 1 and Para. 2, the following may be appointed as examiners:

- professors at the University of Kassel from a different faculty,
- professors, who do not work at the University of Kassel, provided that they are involved in

conducting full-time research at universities or research institutes,

- academics with a university teaching qualification, provided that they are involved in full-time research and/or teaching at universities or research institutes and
- academics with a doctorate, provided that they are involved in full-time research and/or teaching at universities or research institutes.

(3) At least one examiner must be working as a professorial member of the faculty, in which the doctorate is being completed. Professors in the sense of sentence 1 may include professors who have been released from their obligations or who have retired, if they were appointed as a supervisor for the thesis in line with Section 4 during their membership within the faculty and admission to the main doctoral examination procedure according to Section 8 was applied for within three years after the start of their retirement. In the case of senior professors, this period of time starts when their senior professor position ends.

(4) The examiners' reports must be prepared independently of each other. The assessments make a suggestion about whether the doctoral examination committee should accept or reject the thesis. The evaluation process shall take place in line with Section 14. Reasons for the result of the evaluation must be clearly provided in each examiner's report. The doctoral examination committee should receive the assessments at the latest ten weeks after the thesis has been sent to the examiners. The examiners' reports must be written in German or English.

(5) If conditions have been set for printing the thesis, they must be specified in a supplementary sheet to the assessment. The conditions must be specific and clearly formulated. Any conditions in the sense of sentence 1 may involve instructions regarding corrections, straightening out the text or making minor revisions.

(6) If two assessments differ from each other by two or more individual grades in line with Section 14 Para. 1, the doctoral examination committee shall commission a further examiner. A further examiner's report must also be submitted if one of the assessments has awarded the "failed" grade for the thesis.

(7) If the thesis has been accepted in line with Section 11, doctoral candidates shall receive copies of the examiners' reports in line with paragraph 4 and Section 10 Para. 2 for confidential and exclusive use within the doctoral procedure. Any use of examiners' reports that have been made available in line with sentence 1 beyond the doctoral examination procedure shall not be permitted. This shall not apply if the examiner has given permission in writing and it describes how and to what degree the assessment may be used outside the doctoral examination procedure.

§ 10 Putting the thesis on display

(1) If the majority of the examiners' reports recommend acceptance, all the assessments shall be put on display together with the thesis for a period of 14 calendar days in the dean's office of the

responsible faculty for inspection by the members, who may also be examiners in line with Section 9 Para. 2, or the electronic, audiovisual documents shall be made available for people to access. Members of the faculties, who represent related topic areas, shall also be able to inspect the work, provided that they meet the conditions in Section 9 Para. 2. The process of putting the thesis on display must be suitably publicised within the university. In justified cases, the period of time may be extended for no longer than 14 more calendar days if a professor in the faculty requests this. The application for any extension must be received by the doctoral examination committee at the latest three working days before the end of the display period. The thesis may be put on display in electronic form to cater for data protection issues.

(2) Members of the faculty or members of other faculties, who could be appointed as examiners in line with Section 9 Para. 2 and are entitled to inspect the work according to paragraph 1, may lodge an objection to the grading of the thesis in the form of a further assessment. The further assessment, which must contain a grade in line with Section 14, must be submitted to the doctoral examination committee within the time when the thesis is put on display. Any persons, who have submitted further examiners' reports, must be given an opportunity to support their assessment to the doctoral examination committee before the oral examination.

3) The doctoral candidate shall have the right to make a written statement about the assessments. The statement must be forwarded to the examiners and recorded in the doctoral files. If the doctoral candidate so wishes, the statement may also be put on display within the university in line with paragraph 1. If this is the case, a new procedure for putting the thesis on display must be initiated.

§ 11 Accepting the thesis

(1) Once the period for putting the thesis on display has expired, the doctoral examination committee shall normally decide whether to accept the thesis on the basis of the examiners' reports and any other assessments, which may have become necessary, within a period of four weeks. The further assessments may be included in the decision and determining the grade for the thesis, if the doctoral examination committee so decides. The thesis will normally be accepted if the majority of the examiners' reports have at least awarded the grade "passed". In justified cases, the doctoral examination committee may make a different decision. The doctoral examination committee may obtain further examiners' reports before making its decision. In any cases, where the condition determined in the first half of Sentence 1 in Section 10 Para. 1 has not been met and the thesis has not been put on display according to Section 10, the doctoral examination committee shall make its decision in line with sentences 3 – 5 once the examiners' reports have been received.

(2) If the thesis has not been accepted, the doctoral candidate may apply to revise the text on one occasion on the basis of the assessments. The doctoral examination committee shall set an appropriate period of time for the revision work. The application must be made to the doctoral examination committee within three months of the notification that the thesis has not been accepted. In justified exceptional cases, this period of time may be extended. The revised thesis is normally evaluated by the examiners who have already been appointed.

(3) If any acceptance of the thesis has been rejected and no application for revision has been made within the period of time mentioned in paragraph 2, the doctoral examination committee shall determine that the doctoral examination process has been unsuccessfully concluded. The doctoral examination committee shall send notification of this and include instructions about appealing against the decision.

(4) A rejected thesis shall remain in the doctoral files with all the assessments.

§ 12 The Doctoral committee

(1) The doctoral examination committee shall appoint a doctoral committee for the oral defence at the latest when the thesis has been accepted and shall appoint one of its members as the chairperson. One of the examiners normally assumes the position of chairperson.

(2) The doctoral committee shall consist of the examiners as well as two or three other members according to Section 9 Para. 2. The majority of the doctoral committee members must be professors who are conducting full-time research or teaching at a university.

§ 13 The oral defence

(1) The thesis must be defended in the presence of the doctoral committee during the oral defence. The oral defence shall also cover selected problems in the subject area and related fields in other subjects as well as the state of research within them.

(2) The oral defence shall normally take place in the presence of the doctoral committee within eight weeks of the time after the thesis has been put on display. The dean's office in the responsible faculty shall set the date after the expiry of the period for putting the thesis on display. If a joint thesis has been written in line with Section 6 Para. 1 Sentence 3, the oral defence should normally be combined.

(3) The oral defence shall take place within the university. It shall take place at the earliest one week after the examination date has been announced. In justified exceptional cases, the period between announcing the examination date and the oral exam may be less than one week. If the doctoral candidate so requests, the chairperson may allow non-members of the university to be present. If any disruptions take place, the chairperson may exclude members of the public. The only people allowed to speak shall be the doctoral candidate and the members of the doctoral committee and the appointed external experts in line with Section 19. The chairperson may extend the right to speak to other people.

(4) The oral defence shall normally take 90 minutes for the candidate; the time may not exceed two hours. If theses have been combined according to Section 2 Sentence 3, each candidate must be given an adequate opportunity to defend his or her thesis for at least one hour.

(5) The oral defence has been passed if the majority of the members of the doctoral committee have at least awarded an individual grade of "passed" according to Section 14 Para. 1. If the exam has been passed according to sentence 1, the doctoral committee shall determine the overall grade according to Section 14 Para. 3 and decide on the grade for the thesis if it has been graded differently by the

examiners according to Section 9 Para. 1 (appointed examiners) and the further examiners included in the procedure according to Section 11 Para. 1 Sentence 2. If the oral defence has been passed, the doctoral examination procedure is normally viewed as having been completed in the sense of Section 24 Para.1 and 2 of the Hesse Higher Education Act in conjunction with Section 2 Para. 1 of the Act Covering Temporary Work Contracts in the Academic World.

(6) Official records shall be kept about the oral exam. The records shall contain details about:

- a) the time and place of the oral defence,
- b) the name of the candidate as well as the names of the members of the doctoral committee,
- c) the subject matter and how the oral defence proceeded,
- d) the individual grades awarded for the thesis by the appointed examiners in line with Section 9 Para. 1 as well as the other assessments included in the process according to Section 11 Para. 1 Sentence 2,
- e) the individual grades awarded for the oral defence by the members of the doctoral committee,
- f) the overall grade for the doctoral examination procedure,
- g) the signatures of the members of the doctoral committee.

(7) The results must be communicated to the candidate immediately by means of certification in line with Annexes 7 – 9.

(8) If the oral defence has not been passed, it may be repeated on one occasion within one year. The doctoral examination committee shall send notification of this and include instructions about appealing against the decision. The application for admission to the repeat exam must be sent to the doctoral examination committee. In special exceptional cases, the deadline may be extended, if a request is made for this.

The entire doctoral examination procedure has been unsuccessfully concluded if the application for a repeat oral defence has not been made or the exam has not been passed for the second time. The doctoral examination committee shall send notification of this and include instructions about appealing against the decision.

(9) In justified exceptional cases, the chairperson may decide, with the approval of the candidate and all the other members of the committee, that one or more members of the doctoral examination committee or even the candidate himself or herself, if notification is provided earlier that participation in the meeting is not possible, shall be regarded as present, if it is possible to establish a connection with the help of the technical equipment that is available to transmit vision and sound material (video conference) and this guarantees that the examination proceedings can be fully observed. Reasons must be provided for a well-founded exception in the records according to paragraph 6 and this particularly applies if the member is spending time abroad or travel would be associated with disproportionate costs. If the candidate is linked up using technical means, his or her identity must be confirmed by the video image and presentation of an official ID document and verbal assurances must

be obtained that he/she is in the room alone and is not using any unauthorised aids. If the oral defence has to be broken off for technical reasons, it shall be regarded as not having been taken. The chairperson shall decide this. Consultations regarding the grade and entering details in the records shall take place without the candidate.

10) If the candidate misses the date for the oral examination, the exam shall be regarded as not having been passed. If valid reasons are asserted for missing the occasion, these reasons must be immediately presented to the chairperson of the doctoral committee and demonstrated in a credible manner. A doctor's certificate must be presented if sickness is the reason for this. If the chairperson of the doctoral committee recognises the reasons, a new appointment must be arranged. Any examination results, which already exist, must be credited if this is the case. If the reasons are not credible, the oral defence shall be regarded as having been failed. The doctoral examination committee shall send notification of this and include instructions about appealing against the decision.

§ 14 Assessing the Doctoral performance

(1) The following individual grades shall be used to assess the thesis and the oral defence:

Grade 0.7 (with distinction)

Grade 1 (excellent)

Grade 2 (good)

Grade 3 (passed)

Grade 4 (failed)

(2) If the assessment of the individual grades for the thesis and oral defence according to paragraph 1 are different, the grades may be raised or lowered by 0.3 to intermediate values: "excellent" increased by 0.3, "good" lowered or increased by 0.3, "passed" lowered by 0.3. The grades 3.3, 3.7 and 4.3 are not possible.

(3) Determining the overall grade for the thesis results from the arithmetical average of the individual grades awarded by the examiners. The arithmetical average of the grades leads to the following classification for the thesis:

If the average figure is up to 0.99 = "with distinction" (summa cum laude)

If the average figure is more than 0.99 up to 1.50 = "excellent" (magna cum laude)

If the average figure is more than 1.50 up to 2.50 = "good" (cum laude)

If the average figure is more than 2.50 up to 3.50 = "passed" (rite).

(4) An overall grade must be formed. The grades for the overall grade are:

"with distinction" (summa cum laude),

"excellent" (magna cum laude),

"good" (cum laude),

“passed” (rite).

When forming the overall grade, the non-rounded arithmetical average of the individual grades for the thesis according to paragraph 3 sentence 1 are included at double their value and the non-rounded arithmetical average of the individual grades for the oral defence at their simple value. The resulting arithmetical overall grade is assigned according to the grades in sentence 1 as follows:

If the average figure is up to 0.99 = “with distinction” (summa cum laude); the individual grade of 0.7 (“with distinction”) must have been awarded at least once for this assessment of the thesis.

If the average figure is more than 0.99 up to 1.50 = “excellent” (magna cum laude)

If the average is more than 1.50 up to 2.50 = “good” (cum laude)

If the average is more than 2.50 up to 3.50 = “passed” (rite)

If the average is more than 3.50 = “failed” (non rite).

If the doctoral certificate is issued in English, the overall grade shall be represented according to the following scale:

Up to 0.99 – With highest honour

More than 0.99 up to 1.50 - With great honour

More than 1.50 up to 2.50 – With honour

More than 2.50 up to 3.50 – Passed

§ 15 Compensating for any disadvantages

If a doctoral candidate can credibly prove that he/she is unable to fully or partly complete the examination in the envisaged form because of:

- a) a serious or chronic illness or a disability in the sense of Section 2 Para. 1 of the Social Security Statute Book IX,
- b) a sickness in children needing to be looked after or in relatives requiring nursing care,
- c) maternity leave or parental leave,

he or she shall be allowed to produce the doctoral work during an extended examination period. It may be necessary to demand a doctor’s certificate.

§ 16 Publishing the thesis

(1) Once the thesis has been passed, the doctoral candidate is obliged to publish the thesis, taking into consideration the conditions that have been imposed. Publication must contain the following features: a thesis at the University of Kassel, an indication of the faculty, the author as well as the date of the oral defence. For theses completed within the ecological agricultural sciences faculty, the thesis site, Witzenhausen, must be specified too.

(2) The manuscript envisaged for publication must be submitted to the dean’s office of the responsible faculty prior to publication. The dean’s office or a special representative appointed by the dean’s office

shall check whether any shortcomings indicated in the assessments or conditions for printing have been eliminated or met and shall issue permission for printing if the conditions have been satisfied. If the manuscript that is submitted or the electronic and/or audiovisual documents differ(s) from the thesis, written approval from the examiners must be obtained before permission for printing is issued. The doctoral candidate shall be obliged to present a declaration with a precise list of the major discrepancies to the dean's office if there are any major discrepancies according to sentence 3. Sentence 3 shall also apply if the publication of the thesis is to take place in a different language. The publication of the thesis must correspond to the version authorised for printing in terms of its content.

(3) The thesis must be made available to the academic world in an appropriate manner. Permissible publication forms are:

- a) primary publication on the university's server for written work (KOBRA) or
- b) printing house publication as a book publication or
- c) printing house publication as an online publication or
- d) a cumulative thesis or
- e) publication in a specialist journal.

(4) Evidence of proper publication in line with paragraph 3 must be sent to the University Library free of charge. The following are regarded as evidence:

a) Publication of the thesis on the university's server for written work. This means that evidence of publication according to paragraph 3 sentence a) has been provided. This shall also apply to second publications of publications according to paragraph 3 sentence b), c), d) and e).

b) In the case of book publications according to paragraph 3 sentence b): by handing in 6 publishing house copies and the assurance from the publishing house that copies will be available for five years. It is possible to forego the printed copies and minimum delivery time if second or parallel publication takes place on the university's server for written work.

c) In the case of online publications according to paragraph 3 sentence c): by handing in 2 printed copies and specifying the quotable Internet address; it must be possible to gain access to the publication on the Internet for at least five years. The doctoral candidate must also provide evidence to the University of Kassel that free, irrevocable and unlimited usage rights are granted to the University of Kassel in the publishing house agreement. The publishing house must guarantee permanent, barrier-free access for members of the University of Kassel and users of the University and State Library in Kassel. It is possible to forego the printed copies and granting the usage rights if second or parallel publication takes place on the university's server for written work.

d) Cumulative thesis according to paragraph 3 sentence d) must be published on the university's server for written work. If no publishing house licence has been issued for individual content, this must be removed from the complete document and replaced by the appropriate bibliographical reference. The rules in paragraph 4 sentence b) shall apply to any publishing house publication as a book publication.

e) In the case of publications in a specialist journal according to paragraph 3 sentence e) in printed form: 2 copies of the specialist journal must be submitted. If publication takes place in an online specialist journal, 2 printed copies of the article must be submitted and the quotable Internet address specified. It is possible to forego the printed copies if secondary or parallel publication takes place on the university's server for written work.

(5) If paragraph 3 sentence b) applies by way of exception, submitting a publishing house agreement from a recognised specialist publishing house with the publication date as well as the publishing house's guarantee that the work will be published and the declaration that six mandatory copies will be sent to the doctoral office as the equivalent to submitting the mandatory copies. The doctoral examination committee shall determine this.

(6) When publishing magazine articles, it is possible to submit an assurance from a publishing house that it will publish the article (following the peer review procedure) with the publication date, as an exception. This assurance from the publishing house shall include sending the two copies of the printed articles in the publishing house layout to the university library according to paragraph 3 sentence e).

(7) The doctoral candidate must submit a summary of the thesis approved by the first examiner comprising not more than one page in German and English as well as another language, if relevant.

(8) The thesis must be published within two years of the conclusion of the oral defence and evidence of this must be provided by delivering mandatory copies in line with paragraphs 3, 4, 5 or 6. The doctoral examination committee may extend this deadline by no more than one year if a well-founded application is made for this purpose.

(9) If an application is jointly made by the doctoral candidate and the supervisor to the University Library, the latter may initially refrain from publication in any form after the mandatory copies have been sent, if this kind of publication obstructs any publication in an academic journal or the application for a patent. The publication shall take place as soon as the period for submitting the document according to paragraph 7 sentence 1 has elapsed. In exceptional cases, the doctoral examination committee may grant a further postponement of one year. The University Library must be notified of this at the latest two weeks before the expiry of the deadline according to paragraph 7; otherwise, publication will take place.

(10) The special provisions of the faculties may contain a stipulation regarding subsidies to cover printing costs.

§ 17 Awarding the Doctoral degree

(1) As soon as the mandatory copies and the prescribed summaries of the thesis have been handed in at the business office of the doctoral examination committees, the doctoral examination shall be completed when the doctoral degree certificate is handed out to the candidate by the responsible dean.

(2) The doctoral degree certificate shall be handed over with the date of the oral examination. The copy of the certificate shall be written in German and English. The doctoral degree certificate shall be signed by the President of the University of Kassel and the dean of the responsible faculty and provided with the seal of the University of Kassel. Section 19 Para. 10 shall apply to any cooperative doctorates and binational doctorates. The doctoral candidate shall only be entitled to use the title “Dr” after the doctoral degree certificate has been handed over. Samples of the documents are listed in Annexes 1 – 5.

§ 18 An honorary doctorate

(1) Honorary doctorates (Dr.phil. h.c., Dr.rer.pol. h.c., Dr.rer.nat. h.c., Dr.agr. h.c., Dr.jur. h.c., Dr.-Ing. E.h.) may be awarded for outstanding academic or academic/artistic work in one academic field.

(2) Professors, who have been appointed at the responsible faculty, may make the application to the dean’s office to award an honorary doctorate. If the faculty executive committee agrees with the application to initiate this kind of procedure, the dean’s office shall appoint a committee. It shall include three members of the professors’ group, one academic member as well as the chairperson of the doctoral examination committee that is responsible for the subject. The committee must obtain at least two assessments. Examiners in line with Section 9 Para. 2 Sentence 1 shall be appointed by the dean’s office. One examiner must be a member of the University of Kassel or an employee at a different university. Once the assessments have been submitted, the committee shall draw up a written statement, which shall be submitted to the faculty executive committee as well as the doctoral examination committee to act as the basis for their discussions.

(3) Once the doctoral examination committee has conducted its hearing, the faculty executive committee shall make a decision about the honorary doctorate degree. The doctorate degree may only be awarded if at least two thirds of the members entitled to take part in the ballot vote in favour of awarding the degree.

(4) If the Senate agrees with a majority of two thirds of the members present, the dean’s office shall complete the honorary doctorate degree by handing over a certificate completed for this purpose according to Annex 5.

§ 19 Cooperative doctorates and binational doctorates

(1) Cooperative doctorates may be completed and involve at least two faculties or involve a different higher education institution. If a different higher education institution is involved and has the right to award doctorates, assurances must be provided that the acceptance and admission conditions of the

universities involved are equivalent.

(2) A joint doctoral examination procedure with a foreign university, which has the right to award doctorates, assumes that an agreement exists to cover the cross-border co-supervision or an individual cooperation agreement has been signed with a foreign university, which has the right to award doctorates, to complete a binational doctorate. The national laws must be followed in each case.

(3) Applicants for a binational doctorate with a university, which is located abroad and has the right to award doctorates, must meet both the acceptance conditions at the University of Kassel and the acceptance conditions at the university involved.

(4) The thesis may either be submitted to the University of Kassel or the other university involved, depending on the agreement. If it is submitted to the other university involved, at least two copies must be handed in at the University of Kassel.

(5) The thesis shall either be supervised by a professor at the University of Kassel or a professor at the other university involved.

(6) In a departure from Section 12 Paragraph 1, the joint doctoral examination committee shall appoint at least one professor from the faculties involved as examiners in this procedure in line with Section 2 Paragraph 3.

(7) In the case of any cooperative doctorates or binational doctorates, the responsible doctoral examination committee in the faculty shall be complemented by the same number of members of the faculty involved or the other university involved. Separate discussions and decision-making procedures are permissible.

(8) The doctoral examination committee shall then consist of the examiners as well as one other member of the faculties involved in each case. If an external expert has to be part of the doctoral examination committee in the doctoral regulations of the universities involved, the number of members on the doctoral examination committee shall be increased by one external expert from the universities involved. This person may not be a member of the universities involved.

(9) If the thesis is not accepted by one of the universities involved, the joint doctoral examination committee shall end.

(10) After successfully concluding the doctoral examination procedure with joint supervision with a foreign university, which has the right to award doctorates, a combined doctoral degree certificate, which has been signed by both universities, shall be issued according to Annexes 3 or 4. The doctoral degree certificate shall be signed by the senior officers of the universities involved or the President of the University of Kassel as well as by the dean of the faculties involved and provided with the seals of both universities or the seal of the University of Kassel. The completion of a binational doctoral examination procedure as well as the name of the leading faculty or leading university must be clearly specified on the certificate. If the doctoral degree certificate is issued by the state according to the national regulations of the foreign university, a doctoral degree certificate may be issued by the University of Kassel as well. In this case, the foreign state certificate and the German certificate must

contain the information that each of the two certificates shall only be valid in conjunction with the other one and the doctoral degree has been awarded on the basis of a binational doctoral examination procedure.

(11) If there are agreements with the universities involved about the joint doctoral examination procedure, it is possible to deviate from the rules in Sections 4 – 13 in justified exceptional cases.

§ 20 Doctoral studies programme

(1) The faculties should offer courses leading to a doctoral degree involving 15 – 30 credits according to ECTS.

(2) If requested, the faculty may issue certification about the doctoral studies programme. This should include the following:

- a) in-depth studies in the doctoral subject up to 60 credits and/or
- b) research-oriented post-graduate training up to 60 credits and/or
- c) university educational qualifications up to 60 credits and
- d) a thesis and oral defence up to 180 credits.

The certification may provide documentation of work involving up to 300 credits according to ECTS. Any work, which has been specified in the notification of acceptance as a condition in the form of coursework and examination work that needs to be completed according to Section 3 in conjunction with Section 4 of the General Provisions for Doctoral Degrees, may not be certified as doctoral degree study work.

(3) The relevant examination regulations for the main subject examination must be followed accordingly for the in-depth coursework in the doctoral subject according to paragraph 2 a). The research-oriented post-graduate training shall involve participating in doctoral candidate and/or research seminars and/or the Graduate School as well as preparing for the research topic. The special provisions of the faculties shall specify matters in greater detail.

(4) Coursework and examination work completed in the past or research work in line with paragraph 2 a) and b) may be credited.

§ 21 Inspecting files

The candidate's right to inspect files shall be determined by the statutory regulations in the Hesse Administration Procedure Act.

§ 22 Denying and revoking a Doctoral Degree

(1) The completion of the doctoral degree process shall be refused if any of the following have been discovered before the doctoral degree certificate has been handed over:

- a) essential conditions for admission to the doctoral examination procedure have been mistakenly accepted as being in existence or
- b) the doctoral candidate has tried to commit fraud in his or her work during the doctoral examination procedure or has done so or
- c) the doctoral candidate has tried to commit a different, serious case of inappropriate academic behaviour or has done so.

The doctoral examination committee shall make this decision.

(2) If the non-acceptance of the thesis is based on a particularly serious case of fraud, the doctoral examination committee may refuse an application to revise the thesis according to Section 11 Para. 2.

(3) A doctorate, which has been awarded, should be revoked if

- a) it was gained through deceptive means or
- b) it was obtained by a different, serious case of inappropriate academic behaviour or
- c) if old or new facts come to light, which would have precluded the awarding of the degree.

(4) The doctoral examination committee of the faculty, which decided to award the doctoral degree, is responsible for revoking the doctoral degree. If a responsible doctoral examination committee cannot be identified in line with this, the university management shall determine which department is responsible for the doctoral examination committee.

(5) If there are any indications for refusing or revoking a doctoral degree according to paragraphs 1 and 3, the responsible doctoral examination committee shall determine the facts of the case in conjunction with the dean's office. The dean's office shall immediately inform the President and the investigating committee to guarantee good academic practice as well as the doctorate office that investigations have been initiated. Once the investigation by the doctoral examination committee has been completed, the person involved must be given an opportunity within an appropriate period of time to express his or her opinion about the accusations that have been made to the doctoral examination committee. The doctoral examination committee shall then present its report about the course and the results of the investigation procedure to the investigation committee to guarantee good academic practice. The investigation committee to guarantee good academic practice shall then provide the doctoral examination committee with a statement about the course of the procedure. The doctoral examination committee shall then make its decision. The doctoral examination committee may ask for a statement from the examiners and supervisors during each stage of the procedure.

(6) The title should be revoked before or after awarding an honorary doctoral degree if the person involved has tried to commit a serious case of inappropriate academic behaviour or has actually done so.

The faculty executive committee in the faculty, which had decided to award the honorary doctorate, shall be responsible for denying or revoking an honorary doctoral degree. If there are any indications for denying or revoking the honorary doctoral degree, the responsible faculty executive committee shall investigate the facts of the case in conjunction with the dean's office. The dean's office shall immediately inform the Senate and the investigation committee for guaranteeing good academic practice as well as the doctorate office that investigations have been initiated. The faculty executive committee shall be asked for a statement as part of the investigations. Once the investigations have been completed by the faculty executive committee, the person involved must be given an opportunity within an appropriate period of time to express his or her opinion about the accusations that have been made to the faculty executive committee. The faculty executive committee shall then present its report about the course and the results of the investigation procedure to the investigation committee to guarantee good academic practice. The investigation committee to guarantee good academic practice shall then provide the faculty executive committee with a statement about the course of the procedure. The faculty executive committee shall then make its decision.

(7) In other matters, revoking a doctoral degree shall be governed by the statutory regulations.

§ 23 Objection proceedings

The person involved may lodge objection proceedings against decisions made by the doctoral examination committee with the doctoral examination committee or with the President of the University of Kassel. If the doctoral committee does not resolve the objection, it shall immediately forward it to the President of the University of Kassel together with a statement; the latter shall then make a decision about the objection.

§ 24 Special provisions of the faculties

The faculties shall publish special provisions to complement the general regulations.

§ 25 Temporary regulations

In the case of candidates, who made their application for acceptance as a doctoral candidate in line with Section 4 of the General Regulations for Doctoral Degrees at the University of Kassel dated 18 May 2016 before these regulations came into force, the rules for the acceptance conditions shall continue to apply until they expire on 31 December 2028. In the case of doctoral candidates, who apply to initiate the main examination procedure by submitting their thesis according to Section 6 Para. 1 or Para. 2 before these regulations come into force, the General Regulations for Doctoral Degrees at the University of Kassel dated 18 May 2016 shall continue to apply.

§ 26 Taking effect, ceasing to be valid

(1) These regulations shall come into force on the day after they have been published in the official gazette of the University of Kassel.

(2) The General Regulations for Doctoral Degrees at the University of Kassel dated 18 May 2016 in the version that includes the amendments dated 17 April 2020, 28 July 2020, 2 February 2021 and 5 May 2021 shall cease to be valid and expire on 31 December 2028.

Annexes

Annex 1: Example of a Doctoral degree certificate in German

Annex 2: Example of a Doctoral degree certificate in English

Annex 3: Example of a Doctoral degree certificate for a cooperative doctoral degree in German Annex

4: Example of a Doctoral degree certificate for a cooperative doctoral degree in English Annex 5:

Example of an honorary doctoral certificate

Annex 6: Declaration according to Section 8 Para. 1 Sentence 2 d) in German

Annex 7: Declaration according to Section 8 Para. 1 Sentence 2 d) in English

Annex 8: oral defence certificate in German/English

Kassel, (date)

The President of the University of Kassel Prof.

Dr. Reiner Finkeldey

Annex 1: The text of the Doctoral certificate in German is as follows:

Der Fachbereich

[Fachbereich] der Universität Kassel

verleiht

[Vorname Name]

geboren am [TT. Monat JJJ] in [Ort]

den Doktorgrad der

[Doktorgrad] (Dr. __)

nachdem in einem ordnungsgemäßen Promotionsverfahren durch die Dissertation **[Titel**

der Dissertation]

mit der Note

[Prädikat] (lat. Bezeichnung)

sowie durch die Disputation die wissenschaftliche Befähigung nachgewiesen und aufgrund dieser Leistungen die Gesamtnote

„[Prädikat]“

(lat. Bezeichnung)

erteilt wurde.

Kassel, den [TT. Monat JJJ]

Die Präsidentin/Der Präsident

Die Dekanin/Der Dekan

Annex 2: The text of the Doctoral certificate in English is as follows:

The Faculty of

[] at the **University of Kassel**

confers upon

[first name, surname]

born on [DD.MM.YYYY] in [place]

the degree of

[Doctoral degree] (Latin description).

Having completed the formal academic procedure for being awarded a doctorate by achieving the grade of

[grade] (Latin description)

in the dissertation entitled

[title of the dissertation]

as well as a successful oral defence thereof, the candidate has proven his or her academic ability and, based on this, achieved the overall grade of

“grade“

(Latin description)

Kassel, [DD month YYYY]

The President

The Dean

Annex 3: The text for the Doctoral degree certificate for a cooperative doctoral degree in German is as follows:

Der Fachbereich

[Fachbereich] der Universität Kassel

und der Fachbereich / die Fakultät [Fachbereich / Fakultät] der [Universität] verleihen

[Vorname Name]

geboren am [TT. Monat JJJ] in [Ort]den

Doktorgrad der

[Doktorgrad] (Dr. _____)

nachdem in einem ordnungsgemäßen, von beiden Universitäten / Hochschulen (Fachbereichen / Fakultäten) betreuten Promotionsverfahren durch die Dissertation

[Titel der Dissertation]

mit der Note

[Prädikat] (lat. Bezeichnung)

sowie durch die Disputation die wissenschaftliche Befähigung nachgewiesen und aufgrunddieser Leistungen die Gesamtnote

„**[Prädikat]**“

(lat. Bezeichnung)

erteilt wurde.

Kassel, den [TT. Monat JJJ]

[Ort], den [TT. Monat JJJ]

Die Präsidentin/Der Präsident

Die Präsidentin/Der Präsident

Die Dekanin / Der Dekan

Die Dekanin / Der Dekan

Zusatz bei binationalen Kooperationspromotionen:

[Vorname Name] hat das Recht, den Doktorgrad in der deutschen Form oder in der landesspezifischen Form der beteiligten Universität/Hochschule zu führen. Die Führung des Doktorgrades in der Bundesrepublik Deutschland bedarf keiner weiteren staatlichen Genehmigung. Im Übrigen gelten die Gesetze des Landes der beteiligten Universitäten zur Führung von Doktorgraden.

Anlage 4: The text for the Doctoral degree certificate for cooperative doctoral degrees in English is as follows:

The Faculty of
[.....] at the **University of Kassel**
and the Faculty of [.....] at the [University of]

confer upon

[first name, surname]
born on [DD month YYYY] in [place]

the degree of
[Doctorate] (Latin description).

Having completed the formal academic procedure for being awarded a doctorate in joint supervision by both universities by achieving the grade of

[grade] (Latin description)

in the dissertation entitled

[title of the dissertation]

as well as a successful oral defence thereof, the candidate has proven the academic ability and, based on this, achieved the overall grade of

“grade”

(Latin description)

Kassel, [DD month YYYY]

[place], [DD month YYYY]

The President

The President

The Dean

The Dean

Supplement for binational Doctoral degrees

[First name, surname] has the right to use the title “Doctor” either in the German form or in the specific form of the participating university. No further governmental approval is necessary to use the title “Doctor” in the Federal Republic of Germany. Apart from this, the laws of the country of the participating universities shall apply with regard to the right to use the title “Doctor”.

Annex 5: The text for the certificate for an honorary doctorate in German is as follows:

Der Fachbereich

[Fachbereich] der Universität Kassel

verleiht

[Vorname Name]

die Würde des

Doktorgrades der [Doktorgrad] ehrenhalber (Dr. _____ h.c. / Dr. Ing. E.h.)

in Anerkennung der hervorragenden wissenschaftlichen / wissenschaftlich-künstlerischen Leistungen [Schwerpunkt / Fachgebiet].

Kassel, den [TT. Monat JJJJ]

Die Präsidentin / Der Präsident

Die Dekanin / Der Dekan

Annex 6: The text for the declaration according to Section 8 Para. 1 Sentence 2 d) of the General Regulations for Doctoral Degrees in German is as follows:

Erklärung gemäß § 8 der Allgemeinen Bestimmungen für Promotionen der Universität Kassel vom 14.07.2021.

1. Bei der eingereichten Dissertation zu dem Thema
[Titel]
handelt es sich um meine eigenständig erbrachte Leistung.
2. Anderer als der von mir angegebenen Quellen und Hilfsmittel habe ich mich nicht bedient. Insbesondere habe ich wörtlich oder sinngemäß aus anderen veröffentlichten oder unveröffentlichten Werken übernommene Inhalte als solche kenntlich gemacht.
3. Die Dissertation oder Teile davon habe ich
[Zutreffendes bitte ankreuzen]

bislang nicht an einer Hochschule des In- oder Auslands als Bestandteil einer Prüfungs- oder Qualifikationsleistung vorgelegt.

wie folgt an einer Hochschule des In- oder Auslands als Bestandteil einer Prüfungs- oder Qualifikationsleistung vorgelegt:

Titel der Arbeit:

Hochschule und Jahr:

Art der Prüfungs- oder Qualifikationsleistung:

Veröffentlicht in:

Es handelt sich dabei um folgenden Teil der Dissertation:
[Angabe in der Dissertation]

4. Die abgegebenen digitalen Versionen stimmen mit den abgegebenen schriftlichen Versionen überein.
5. Ich habe mich keiner unzulässigen Hilfe Dritter bedient und insbesondere die Hilfe einer kommerziellen Promotionsberatung nicht in Anspruch genommen.
6. Im Fall einer kumulativen Dissertation: Die Mitwirkung von Koautoren habe ich durch eine von diesen unterschriebene Erklärung dokumentiert. Eine Übersicht, in der die einzelnen Beiträge nach Ko-Autoren und deren Anteil aufgeführt sind, füge ich anbei.
7. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Datum

Unterschrift

Anlage 7: The text for the declaration according to Section 8 Para. 1 Sentence 2 d) of the General Regulations for Doctoral Degrees in English is as follows:

Declaration in accordance with Section 8 of the General Regulations for Doctoral Degrees at the University of Kassel dated DD.MM.2021.

1. I hereby provide assurance that the submitted dissertation
[Title]
is the product of my work alone.
2. I affirm that I have not used any sources or aids other than those explicitly cited. All the passages that are taken from published or unpublished writings, either word-for-word or paraphrased, have been clearly identified as such.
3. Please indicate where applicable The
dissertation or parts of it
 has/have not been used in another doctoral or qualification process in Germany or abroad.

 has/have been submitted in another doctoral or qualification process in Germany or abroad: Title:
University and year of submission:
Type of examination or qualification work:
Published in:

The submission refers to the following part(s) of the dissertation:
[Part(s) of the dissertation]
4. Both the digital version and the written copies that have been submitted are identical.
5. Third parties were not involved in drafting the content of this dissertation; in particular, I did not employ the assistance of a commercial dissertation advisor.
6. In case of a cumulative dissertation: I have documented the participation of co-authors by attaching a written statement signed by all the co-authors and it outlines which parts of jointly written contributions are attributed to which co-authors.
7. I confirm the correctness of the above mentioned statements.

Date

Signature

Anlage 8: Der Text der Erklärung in deutsch-englischer Version gemäß § 13 Abs. 7 AB-PromO lautet:

Bescheinigung gemäß § 13 Abs. 7 der Allgemeinen Bestimmungen für Promotionen an der Universität Kassel

In accordance with Section 13, Para. 7 of the General Regulations for Doctoral Degrees at the University of Kassel, this is to certify that

[Name Vorname]

geboren am (*born on*) [DD month YYYY] in [place]

hat die Disputation erfolgreich abgeschlossen.

has successfully completed the oral defence.

Datum der Disputation (*Date of the oral defence*): [TT. Monat JJJJ]

Thema der Dissertation (*Subject of the dissertation*):

[Titel der Dissertation]

Dissertationsnote: [Note]

(Grade for the thesis)

Gesamtnote: [Gesamtnote]

(Overall grade)

[Vorname Name] erhält nach Veröffentlichung der Dissertation die Doktorurkunde, die auf den Tag der Disputation ausgestellt wird, ausgehändigt. Erst ab diesem Zeitpunkt darf der Doktorgrad geführt werden.

[First name, surname] is being awarded the Doctoral examination certificate following the publication of the dissertation, which will be made out on the day of the disputation. The doctoral degree is conferred only from this point onwards.

Vorsitz der Promotionskommission: [Name]

(Chairperson of the doctoral examination committee)

Die Dekanin/Der Dekan des Fachbereichs: [Name] (*Dean of the Faculty*)

Kassel/Witzenhausen, den (*dated*) [TT. Monat Jahr]

