

Doctoral degree regulations of Heidelberg University for the medical faculties for the doctorate Doctor scientiarum humanarum (Dr. sc. hum.)

of 18 January 2022
in the version of 11 May 2022

Based on § 38 of the Act on Higher Education of the Land of Baden Württemberg (*Landeshochschulgesetz* - LHG) of 1 January 2005 (GBl. p. 1), last amended by Article 7 of the Ordinance of 21 December 2021 (GBl. 2022, p. 1, 2), on 10 May 2022 the Senate of Heidelberg University adopted the first amendment to the Doctoral Degree Regulations for the medical faculties for the Doctor scientiarum humanarum (Dr. sc. hum.) of 18 January 2022 (Rector's Gazette of 08 February 2022, no. 01/2022, p. 13 et seq.).

The Rector approved them on 11 May 2022.

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§ 1 Doctorate

- (1) The doctorate is organised by the Medical Faculty Heidelberg or the Medical Faculty Mannheim of Heidelberg University.
- (2) The medical faculties shall award the academic degree of Doctor scientiarum humanarum (Dr. sc. hum.) based on results in the doctoral degree procedure.

- (3) The doctorate will serve as proof of the ability to perform detailed, independent scientific work.
- (4) The medical faculties are committed to the “Guiding Recommendations of the senate of Heidelberg University for the promotion of junior researchers” and the “Guidelines for safeguarding good academic practice” of the DFG (2019), which are implemented in an appropriate manner.

§ 2 Results in the doctoral degree procedure

The results in the doctoral degree procedure comprise:

1. a doctoral thesis assessed at least with sufficient (rite) and
2. an oral examination assessed at least with sufficient (rite), the subject of which includes in particular the doctoral thesis.

§ 3 Doctoral committee

- (1) The voting members of the faculty council of the relevant faculty shall elect a doctoral committee. This committee is responsible for the tasks arising from these doctoral degree regulations and ensures compliance with the provisions of the doctoral degree regulations. The tasks include, for example, decisions on admission to the doctoral degree procedure, the definition of conditions, examination of supervisory capacities and the professional and scientific suitability of the project for the doctorate, appointment of evaluators, approval of the study programme, examination of the doctoral agreement, approval of extensions of deadlines, arbitration of conflicts, decisions in cases of hardship, composition of the examinations committee and chairmanship of the examination as well as the evaluation, acceptance or rejection of the doctoral thesis.
- (2) The doctoral committee shall comprise at least 7 and at most 15 professors or associate professors from the relevant faculty, with the majority of professors being represented. The doctoral committee shall elect a chair and a deputy chair from among its members.
- (3) The doctoral committee is elected for a period of three years. Re-election of individual members is possible. The term of office of the new committee members shall start and the term of office of the previous committee members shall end with the election.
- (4) The chair is responsible for the day-to-day business of the doctoral committee.
- (5) The doctoral committee shall have a quorum if at least half of its voting members are present. The doctoral committee decides by a majority of its members present. The chairperson shall have the casting vote in the case of a tie.

§ 4 Admission requirements

- (1) Doctoral candidates generally can be admitted to the doctoral degree procedure if they have successfully completed
 1. a relevant Master’s degree programme,
 2. a relevant degree programme at a university with a standard period of study of at least four years or

3. a relevant degree programme based on an undergraduate degree programme at a university or another higher education institution with the right to award doctorates with an examination.

- (2) As a rule, only they who can provide evidence of a written thesis and a relevant above-average degree in a degree programme with generally 300 ECTS can be admitted. In justified individual cases where the certificates do not provide sufficient information about the applicant's suitability for the doctorate on their own, the doctoral committee may impose conditions or conduct a knowledge examination.
- (3) Graduates with only a state examination in medicine or dentistry or internationally equivalent degrees are generally excluded from admission to the Dr. sc. hum doctoral degree procedure.

Upon application, particularly qualified applicants with a degree in medicine and an additional relevant, non-clinically focused Master's degree programme (at least 120 ECTS) or with a four-year Bachelor's degree in medicine (at least 180 ECTS) and additionally a relevant, non-clinically oriented Master's degree programme (at least 120 ECTS) may be admitted.

Applicants with a one-year non-clinical Master's degree programme (60 ECTS) may also be admitted subject certain conditions in exceptional cases. In such cases, the doctoral committee will impose the condition that courses with examinations approved by the doctoral committee be completed for further qualification (at least 60 ECTS in total). In such cases, admission will be granted on condition that proof of compliance with conditions is provided within the deadline set by the doctoral committee. If the conditions are not met on time, the conditional admission will be cancelled retroactively.

- (4) In exceptional cases, particularly qualified graduates of a 3-year Bachelor's degree programme at a university or a 4-year Bachelor's degree programme at a university of applied sciences may be admitted if the knowledge of the graduates is comparable to that of Diplom (German university degree) or Master's degree graduates and a written thesis is available. The applicant must submit at least two evaluations from independent professors as proof that confirm that the thesis clearly demonstrates the applicant's scientific ability and meets the requirements of a Master's thesis. The committee will decide on admission to a colloquium in which the special qualification is finally assessed based on these evaluations. The doctoral committee will appoint at least 3 professors to conduct the colloquium. Admission to the doctoral degree procedure requires the unanimous approval of all examiners. The colloquium can be repeated once in total. Failure to pass the repeat colloquium in one of the subjects means failure of the colloquium as a whole.
- (5) Particularly qualified graduates of a diploma programme at a university of applied sciences or a university of cooperative education may also be admitted if an aptitude assessment procedure has been approved and successfully completed. The aptitude assessment procedure is initiated by the responsible doctoral committee and serves as proof of the aptitude required for the doctorate in the doctoral thesis field. The doctoral committee will determine the coursework and examination components required to prove the scientific qualification. The aptitude assessment procedure generally should be completed three semesters after submitting the application. If one or several examinations in the aptitude assessment procedure are not passed, the first repeat examination is permitted after 14 days at the earliest. The examination(s) can be repeated a total of two times. Failure to pass the second repeat examination in one of the subjects means that the aptitude assessment procedure as a whole has not been passed.

- (6) The responsible doctoral committee shall decide on the recognition of examinations and degrees that an applicant has completed at a foreign scientific university after consulting the Central Office for Foreign Education of the Standing Conference of the Ministers of Education and Cultural Affairs.
- (7) Anyone who has already obtained a doctorate in a doctoral degree procedure or an equivalent academic degree (e.g., PhD) will not be admitted to the doctorate for the Dr. sc. hum. degree unless they have completed a second undergraduate course of studies in accordance with paragraphs 1-6.
- (8) Applicants must have a connection to a clinic or institute of the respective medical faculty or a co-opted research institution or an academic teaching hospital of the university or to Heilbronn University of Applied Sciences in the Medical Informatics degree programme. Such affiliation is evidenced by a doctoral agreement in accordance with § 6 (3), usually for at least 3 years. Deviations from the above institutions require the prior approval of the doctoral committee.
- (9) If the doctoral thesis project is performed at an institution that is not assigned to the faculty, a declaration of consent must also be obtained from the person responsible, i.e. usually the head of department of this institution. This shall not apply if it is the office of the supervisor.

§ 5 Application for acceptance as a doctoral candidate

- (1) Acceptance as a doctoral candidate must be applied for from the relevant doctoral committee before starting a doctoral thesis. The application must include:
 - a) proof of having completed a university degree programme or a course of studies at a comparable scientific institution and, if applicable, proof of having successfully completed an aptitude assessment procedure (§ 4),
 - b) the doctoral agreement (§ 6) with details of the individual study programme including the composition of the Thesis Advisory Committee (TAC) and a schedule of the planned TAC meetings (Annex 2),
 - c) the provisional title of the doctoral thesis from a specialisation of the respective medical faculty, with a brief description of the research project in accordance with the requirements of the doctoral committee, as well as a statement that the chosen topic is related to the medical faculty.
 - d) a declaration by the applicant that no doctorate or equivalent academic degree has already been obtained elsewhere based on the degree submitted or that acceptance as a doctoral candidate or the opening of a doctoral degree procedure has been applied for,
 - e) if English/German is not the applicant's native language, proof of corresponding language proficiency must be provided (§ 7 (5)); as a rule, at least CEFR B2 level (Common European Framework of Reference for Languages) must be documented.
 - f) If applicable, copies of ethics votes and / or animal testing authorisations
 - g) copy of identity card / passport

- (2) The doctoral committee decides on acceptance or rejection as a doctoral candidate after conclusion of the doctoral agreement approved by the doctoral committee. The applicant shall be notified of acceptance in writing. A negative decision must include written reasons and must be accompanied by a notice on legal remedies.
- (3) The doctoral candidate must set up an online doctoral file for registration in the central online portal (e.g., heiDOCS) together with the application for acceptance. The data must be kept up to date by the doctoral candidate for the entire duration of the doctorate.
- (4) The doctoral candidate must enrol at Heidelberg University in accordance with § 60 (1) sentence 1b of the Act on Higher Education of the Land of Baden Württemberg following acceptance. This shall not apply to accepted doctoral candidates who are working full-time at Heidelberg University if they have previously declared to the Rectorate in writing that they do not wish to be enrolled.
- (5) The faculty commits to assessing a doctoral thesis with the specified topic as a scientific work and to support the doctoral candidate in the preparation of the doctoral thesis upon acceptance of the applicant as a doctoral candidate.
- (6) The doctoral thesis should be submitted after five years. Otherwise, acceptance as a doctoral candidate will be revoked. The doctoral candidate may submit a justified application for an extension of the deadline.

§ 6 Scientific supervision

- (1) All habilitated members / professors of the Medical Faculty Heidelberg / Medical Faculty Mannheim are authorised to supervise doctoral candidates. The selection of supervisors must fulfil the requirements of LHG § 38 (4) and (6). As a rule, the supervisor must have the *venia legendi* for the major subject (see LHG § 38 (4) and (6)). The right to supervise doctoral candidates can also be transferred to highly qualified doctoral research assistants by the Rector at the suggestion of the faculty.
- (2) University lecturers from universities of applied sciences can be temporarily associated in accordance with the by-laws of Heidelberg University on the association of university lecturers from universities of applied sciences and the subject-specific specifications of the medical faculties of Heidelberg and Mannheim.
- (3) A written doctoral agreement is concluded between the doctoral candidate and the supervisor with the minimum contents in accordance with § 38 (5) sentence 3 LHG (see sample doctoral agreement). The doctoral committee may add further content to this agreement.
- (4) The doctoral committee may set guidelines for doctorates, in which, among other things, the involvement of doctoral candidates in (interdisciplinary) research training groups for doctoral candidates, international doctoral programmes or the implementation of workshops for doctoral candidates in a subject or subject group with presentation of the doctoral projects are prescribed.
- (5) In the case of theses that were not completed under the direct supervision of a faculty member in accordance with para. 1 in a scientific or clinical institution of the faculty, but in an institution that does not belong to the respective medical faculty, the consent of the person responsible in accordance with § 4 (10) of this institution must be available for submission as a doctoral thesis.

- (6) If any disputes arise, the ombudsperson for doctoral candidates at the university or the medical faculties can be involved for mediation.
- (7) In exceptional cases, the doctoral committee may approve a change of scientific supervisor for the doctoral thesis.

§ 7 Doctoral thesis

- (1) The doctoral thesis must meet scientific requirements, be an independent achievement of the doctoral candidate and contribute to the advancement of science.
- (2) In the case of a joint project, the contribution of the doctoral candidate can only be recognised as a doctoral thesis if the contribution is clearly definable and can be assessed on its own and fulfils the requirements for a doctoral thesis.
- (3) In exceptional cases, the doctoral thesis work may also be completed cumulatively upon application to the doctoral committee. The prerequisite is that the publications used cover the results in the doctoral degree procedure and can be clearly assigned to the doctoral candidate. The doctoral committee decides whether the form of the doctoral thesis applied for corresponds to a regular doctoral thesis in quality and scientific respect.
- (4) The results of the doctoral thesis may be published in full or in part before the doctoral examination procedure (§ 8) is opened in agreement with the supervisor. Previously published (partial) results are not excluded from inclusion in the doctoral thesis. In this case, however, the relevant doctoral thesis chapters must be explicitly labelled as already published in accordance with the faculty's guidelines. The publication must be attached to the doctoral thesis.
- (5) The doctoral thesis must be written in German or English.

§ 8 Opening of the doctoral examination procedure

The doctoral examination procedure shall commence upon the request of the doctoral candidate and comprise the assessment of the doctoral thesis (§ 9) and the oral examination (§ 11).

- (1) After completion of the doctoral thesis, but usually 3 years after acceptance as a doctoral candidate, the doctoral candidate submits the doctoral thesis to the doctoral committee and files an application to initiate the doctoral examination procedure.
- (2) The application must be accompanied by the following documents:
 - a) printed copies of the doctoral thesis in the number required by the faculty;
 - b) an affidavit by the applicant in accordance with Annex 3 that they have written the submitted doctoral thesis themselves and that they have not used any sources and aids other than those explicitly specified; as well as a copy of the instruction provided by the University on the significance and criminal consequences of the affidavit signed by the doctoral candidate;
 - c) a declaration as to whether they have applied for a doctoral degree procedure elsewhere and whether the subject of the doctorate has already been used for another examination result;

- d) proposals of the minor subjects and examiners in accordance with § 11 (3);
- e) Electronic copies of the summary and the entire doctoral thesis;
- f) Votum informativum in accordance with § 9 (1), electronically and in the original;
- g) A list of courses attended (referred to as a “blue sheet”) as well as TAC progress reports and the short minutes of the TAC meetings (Annex 2) as part of the individual study programme specified in the approved doctoral agreement in accordance with § 5 (1) (b);
- h) Confirmation from the supervisor that the individual study programme has been complied with.

The doctoral candidate also must submit the following documents:

- a curriculum vitae in tabular form with a description of your professional and scientific career;
 - a declaration of consent that the doctoral thesis may be reviewed for compliance with generally applicable scientific standards using electronic data processing programmes. The doctoral committee shall decide on any exceptions upon written application;
 - Statistical sheet;
 - If applicable, 1 copy each of the publication(s) resulting from the doctoral thesis;
 - Evaluator suggestions.
- (4) If the requirements for admission stated in § 4 and all documents listed in § 8 (2) (a) to (h) have been met, the doctoral candidate will receive a notice on the opening of the doctoral examination procedure.

§ 9 Decision on the doctoral examination procedure

- (1) The doctoral examination procedure is passed if the submitted doctoral thesis in accordance with § 10 and the oral examination in accordance with § 11 have been successfully passed.
- (2) The doctoral examination procedure shall be failed if
 - the requirements for admission specified in § 4 are not met
 - the documents named in § 8 (2) (a) to (h) are not complete
 - more than one unsuccessful attempt at acquiring a doctorate has been made
 - repetition of the doctoral thesis or the oral examination was unsuccessful
 - the doctoral committee decides to reject the doctoral thesis

- There are reasons that would justify the withdrawal of an academic degree, in particular in the case of grossly negligent or wilful violation of the rules of good academic practice.

In this case, the application to initiate the doctoral examination procedure may be rejected or admission to the doctoral examination procedure may be withdrawn.

- (3) In the event of failure, the oral examination result may be repeated once in accordance with § 11 (8).
- (4) If the doctoral thesis or the repetition of the oral examination result has been rejected, the doctoral candidate may reapply for acceptance as a doctoral candidate in accordance with § 5, submitting a new doctoral thesis topic. No further repetitions will be possible.
- (5) If the doctoral degree procedure is terminated, the chair of the doctoral committee will issue a written notice stating the reasons for the termination, which must include information on legal remedies.

§ 10 Review of the doctoral thesis

- (1) After submission of the doctoral thesis and the *Votum informativum*, which is usually prepared by the supervisor, the committee checks compliance with the formal criteria regarding the drafting of the doctoral thesis and the evaluation proposal. They shall appoint two professors or habilitated scientists who are not biased as evaluators without undue delay, one of whom must be a member of the faculty. If the informative vote recommends a grade of *summa cum laude*, the supervisor shall request proposals for 2 external evaluators as well. Professors from the universities of applied sciences and the DHBW can also be appointed as evaluators. The doctoral candidate or the supervisor may propose evaluators to the doctoral committee. This does not constitute a legal claim. The evaluations are to be prepared independently of each other.
- (2) The evaluators propose the acceptance, rejection, or revision of the doctoral thesis. The assessment is performed in accordance with § 12 (2). The evaluations should be available no later than eight weeks after the start of the doctoral degree procedure.
- (3) Once all evaluations have been received, the doctoral committee shall decide on the acceptance of the doctoral thesis. The committee has the right to impose correction conditions. A correction version is usually possible. The decisions of the committee are brought to the attention of the voting members of the faculty council and the evaluations are made available for inspection in the dean's office for 14 days.
- (4) If an evaluation proposes the rejection of the doctoral thesis, the doctoral degree procedure is generally terminated. In this case, the doctoral candidate may request access to the anonymised evaluations. If there are special reasons, the doctoral candidate may apply for a further graded evaluation. The doctoral committee may approve this application and, as a rule, obtain a further independent evaluation. The doctoral committee decides on the final assessment of the doctoral thesis. If an additional evaluation also recommends rejection, the doctoral committee shall terminate the doctoral degree procedure.
- (5) In the event of deficiencies in the content or form of an evaluation, the doctoral committee may request a further evaluation.

- (6) Once the evaluators have been appointed by the doctoral committee, the doctoral candidate may no longer withdraw the application to initiate the doctoral examination procedure.

§ 11 Examination committee and oral doctoral examination

- (1) The doctoral committee appoints an examinations committee consisting of at least four university lecturers or associate professors, provided that the doctoral thesis has not been rejected in accordance with § 9 (6). The members of the examinations committee generally are the supervisor as a representative of the major subject, the examiners of the two minor subjects in accordance with § 11 (3) and the examination chair. The examinations committee is chaired by a member of the relevant doctoral committee. The doctoral candidate has the right to propose the composition of the examinations committee, whose members represent different subject areas; this does not constitute a legal claim. The final composition of the examinations committee is determined by the doctoral committee.
- (2) The chair of the examinations committee shall determine the date for the oral examination in consultation with the members of the examinations committee and the doctoral candidate. The oral examination must take place within six months of acceptance of the doctoral thesis. In justified cases, an extension may be requested before the deadline expires.
- (3) The examination shall include the presentation and defence of the doctoral thesis as well as the general ability of the doctoral candidate to discuss scientific issues in the area of the major subject and the minor subjects. The doctoral candidate chooses the minor subjects from the clinical and medical-theoretical subjects that are represented at the relevant faculty. In the examination, the doctoral candidate demonstrates their ability to perform detailed scientific work.
- (4) The oral examination should last approximately one hour. The presentation of the doctoral thesis takes 15-20 minutes. Minutes of the oral examination must be drawn up.
- (5) The oral examination is open to the university public. Any form of publicity may be limited or excluded upon the request of the doctoral candidate or for other important reasons. The consultation and announcement of the examination result are not public.
- (6) Following the oral examination, the examinations committee determines whether the doctoral candidate has passed the oral examination. The oral examination is only deemed to have been passed if all members of the examinations committee have confirmed at least a satisfactory (rite) performance.
- (7) The examination chair is responsible for ensuring that the examination is conducted properly. They must confirm this in writing in the minutes. If the chair does not confirm that the examination has been conducted properly, the examination must be repeated. The chair is responsible for the minutes.
- (8) If the oral examination has not been passed, it can be repeated once within twelve months. The examinations committee shall set a date for this. The doctoral committee may change the composition of the examinations committee if necessary. If the repeated examination is not passed, the doctorate is rejected, and the doctoral degree procedure is deemed to be terminated.
- (9) In justified individual cases, the doctoral committee may, at the doctoral candidate's

voluntary request, permit the oral examination to be taken electronically via a video and audio connection (video conference / video telephony). This request must also include a request for exclusion of the public and a ban on recording the examination. Data protection and technical regulations must be considered. Further details are regulated by the doctoral committee. Before deciding on the application, the doctoral committee shall obtain the approval of all members of the examinations committee. A supervisor appointed by the doctoral committee must ensure that the oral examination is conducted properly. In justified exceptional cases, an examiner can also be connected to the oral examination via video. The above data protection and technical restrictions apply in this case; furthermore, the doctoral candidate's consent must be obtained in such a case. There is no entitlement to take the oral examination via video call.

§ 12 Overall assessment of the results in the doctoral degree procedure

- (1) If the oral examination is passed, the examinations committee determines the overall assessment based on the assessment proposals of the supervisor and the evaluators for the doctoral thesis and the performance in the oral examination. The grades for the oral examination and the doctoral thesis are included equally in the overall assessment.
- (2) The following rating scale will be used:

for an outstanding achievement	- summa cum laude
for a very good performance	- magna cum laude
for a good performance	- cum laude
for sufficient performance	- rite
for unsatisfactory performance	- non sufficit
- (3) The doctoral candidate shall be informed of the overall assessment without undue delay.
- (4) For the final grade "summa cum laude", the overall grade from the result of the written and oral doctoral degree examination must be "summa cum laude" and both external evaluations must propose that the thesis be assessed with "summa cum laude".

§ 13 Publication

- (1) The doctoral thesis must be published. Publication takes place in agreement with the supervisor. Publication is possible:
 - a) through an electronic publication in Open Access on the university repository / Heidelberg document server HeiDOK operated by the University Library (<http://archiv.ub.uni-heidelberg.de/volltextserver/>). In addition, a printed deposit copy of the accepted doctoral thesis must be submitted to the faculty in bound form, which must be identical to the electronic version. During the submission process, the doctoral candidate must ensure that the electronic version is identical to the printed version.

or

 - b) by publication in a scientific journal in printed and/or electronic form. Three printed copies of the thesis submitted in the doctoral degree procedure must be submitted to the faculty in this case.

or

c) by printing in a publication series or as an independent book in a publisher's bookshop, provided that a minimum print run of 100 copies can be documented. 1 printed copy of the doctoral thesis must be submitted in this case. A lower minimum print run is acceptable if the publisher fulfils further orders via the print-on-demand process. The doctoral candidate is responsible for providing proof of this.

- (2) The faculty may request further copies of the doctoral thesis in addition to this. The number of copies to be submitted is determined by the respective faculty. In addition, a summary of the doctoral thesis must be made available for publication by the faculty. A fee may be charged for this.
- (3) If the doctoral candidate does not meet the publication obligation within one year of the oral examination, all rights acquired through the results in the doctoral degree procedure shall expire. The doctoral committee may extend the deadline upon the request of the doctoral candidate. The chair of the doctoral committee decides on an extension of up to six months, beyond that the doctoral committee decides.
- (4) The faculty shall only make the content of the doctoral thesis publicly accessible after a reasonable period of no more than three years after the date of the oral examination upon request, including reasons, of the doctoral candidate or the supervisor. The application must be granted if important interests of the doctoral candidate, the supervisor or the research institution concerned are jeopardised. The doctoral committee decides on the application.

§ 14 Use of the doctorate, doctoral certificate

- (1) Once all results in the doctoral degree procedure and the publication obligation have been completed, the dean of the responsible medical faculty shall issue the doctoral certificate. This shall conclude the doctoral degree procedure. Only after receiving this degree certificate is the doctoral candidate authorised to use the doctoral title.
- (2) The doctoral certificate shall contain the title of the doctoral thesis as well as the overall grade and, the date of fulfilment of all achievements and obligations in accordance with para. 1 as the date of the doctorate.

§ 15 Conferral of the honorary doctorate (h. c.)

- (1) For outstanding scientific achievements or merits in the field of life sciences, the faculty may, with the approval of the Senate, confer the degree of Doctor scientiarum humanarum honoris causa (Dr. sc. hum. h. c.), provided that a doctorate has not already been obtained at Heidelberg University.
- (2) The award shall require an application from at least two faculty members from among the university lecturers and associate professors. The non-discharged or retired university lecturers and associate professors of the relevant medical faculty, who are also members of the faculty council, decide on the application by a three-quarters majority of the voting members present. The faculty council shall appoint two rapporteurs from among its members to prepare its decision.
- (3) The Dr. sc. hum. h. c. degree is conferred by the presentation of an honorary diploma prepared for this purpose and signed by the Dean, in which the doctoral candidate's achievements are emphasised.

§ 16 Withdrawal and revocation of acceptance; invalidity of results in the doctoral degree procedure

- (1) If it transpires before the doctoral certificate is issued that the doctoral candidate has misled the doctoral committee about an admission requirement or that essential admission requirements (e.g., doctoral agreement not being fulfilled or non-compliance with good academic practice) have been erroneously assumed to have been met, the doctoral committee may revoke admission to the doctoral examination procedure. The same shall apply if any facts become known that would justify revocation of the doctorate under state law. In this case, acceptance as a doctoral candidate may be revoked.
- (2) If it becomes known that the doctoral candidate has cheated in achieving one of the results of the doctoral degree procedure before the doctoral certificate is issued, the doctoral committee may declare this doctoral performance or all previous results in the doctoral degree procedure invalid. The doctoral committee may permanently revoke acceptance as a doctoral candidate in particularly serious cases.
- (3) The person concerned must be heard before a resolution is passed. The decision must be justified in writing.

§ 17 Withdrawal of the doctorate

- (1) The university degree awarded by the medical faculties of Heidelberg and Mannheim may be withdrawn without prejudice to §§ 48 and 49 LVwVFG if the holder has seriously violated the generally recognised principles of good academic practice and honesty through their subsequent conduct. The faculty council of the respective medical faculty decides on the withdrawal.
- (2) The person concerned must be heard before a resolution is passed. The decision must be justified in writing.

§ 18 Exemptions

The doctoral committee may decide by a two-thirds majority of all members present at a duly convened meeting to make exceptions to the above provisions in individual cases - in particular to enable a binational or an intra- or interdisciplinary doctoral degree procedure - provided that this does not conflict with the LHG.

§ 19 Entering into effect, transitional provisions

1. These doctoral degree regulations shall enter into effect on the first day of the month following publication in the Rector's Gazette. The Doctoral Degree Regulations of Heidelberg University for the medical faculties for the Doctor scientiarum humanarum (Dr. sc. hum.) of 14 March 2016 (Rector's Gazette of 31 March 2016, p. 273 et seq.) shall cease to be in effect at the same time.
2. § 8 of the Doctoral Degree Regulations of Heidelberg University for the medical faculties for the Doctor scientiarum humanarum (Dr. sc. hum.) of 14 March 2016 (Rector's Gazette of 31 March 2016, p. 273 et seq.) shall continue to apply for doctoral candidates accepted until 8 February 2022 at the same time. § 9 (2), 2nd indent of the doctoral degree regulations of Heidelberg University for the medical faculties for the Doctor scientiarum humanarum (Dr. sc. hum.) of 18 January 2022 shall not apply in this respect. Doctoral candidates in accordance with sentence 1 may apply to the doctoral committee for the doctoral examination procedure to be opened in accordance with § 8 of the Doctoral Degree Regulations of Heidelberg University for the medical faculties for the Doctor scientiarum humanarum (Dr. sc. hum.) of 18 January 2022.

Heidelberg, 11 May 2022

Professor Dr. Dr. h.c. Bernhard Eitel
Rector

Annex 1 Principles of Heidelberg University for safeguarding good academic practice

Heidelberg University has laid down regulations for cases of academic misconduct in its “By-laws for safeguarding good academic practice and dealing with academic misconduct”. The medical faculties of Heidelberg and Mannheim are explicitly committed to the principles laid down in the by-laws and refer to the respective valid version of these by-laws.

1. Principles of good academic practice

Anyone working in science (including doctoral candidates) are obligated to uphold the principles of good academic practice and to make them tangible by their own example. These principles must be communicated to students and junior researchers. Professors bear particular responsibility for this. According to the recommendations of the DFG (Commission “Self-Regulation in Science”, January 1998), the following general principles apply to good academic practice:

- Observance of the rules of scientific work;
- Documentation of work results, including secure retention of primary data;
- consistent self-criticism with regard to the work results and the conclusions drawn from them;
- Honesty in terms of significance of third-party contributions for one's own work;
- responsible supervision of junior researchers;
- unrestricted coordination of the contributions of all those involved in a research group by the leader;
- publication of the work results and disclosure of all conditions necessary for their realisation.

2. Violation of the rules of good academic practice:

Violations of the rules of good academic practice and, under certain circumstances, scientific fraud, or incitement to scientific fraud, include in particular:

- invention, falsification, and suppression of data;
- plagiarism;
- fraudulent authorship in publications;
- exclusion of authorised authorships;
- lack of or insufficient scientific discussion in the research group;
- inadequate supervision of doctoral candidates;
- loss or inadequate documentation of original data;
- lack of instruction of those involved in the research regarding the rules on good academic practice;
- defamation in relation to good academic practice;
- breach of trust as an evaluator or supervisor.

3. Responsibility for implementing the rules of good academic practice

Every scientist is responsible for their own behaviour in the context of their scientific work. Anyone who leads a research group is responsible for ensuring that the requirements of good academic practice are met within the group they lead and that the rules are adhered to. This requires lively communication within the research group and, in particular, the disclosure of scientific data as part of the ongoing discussion within the group.

It is, therefore, the task of leaders of scientific research groups to ensure that all members of the group are aware of their rights and obligations in terms of good academic practice. They must create the framework conditions to ensure that these rules are followed. It is particularly

important that the hypotheses, theories and, above all, scientific data developed by the individual members of the group are openly discussed and critically examined. Leading a scientific research group requires presence and an overview. Where it is not sufficiently available, management tasks must be delegated.

4. Supervision of doctoral candidates

The supervisor shall work out a written outline of the objectives and realisation of the planned project with the doctoral candidate before the actual work begins. The outline shall contain a written statement that the doctoral candidate has been made aware of the rules of good academic practice by the supervisor. If conflict situations arise between the parties involved during the course of the work, the chair of the doctoral committee or the University's independent ombudsperson for doctoral candidates can be called in to mediate.

5. Documentation obligation

Primary data as the basis for publications remain accessible for ten years on durable and secure media in the research group in which they were generated. The respective scientist is responsible for this. They are responsible for providing evidence of proper recording. Every experiment and every numerical calculation must be recorded in all detailed steps in such a way that, if necessary, an expert can repeat the experiment or retrace the calculation basis. The reproducibility of a scientific experiment is its primary test. The documentation can take the form of an audit-proof electronic laboratory book (keeping an audit-proof laboratory book on the computer) or in the form of log books or workbooks. The latter must have a hard cover and numbered pages; no pages may be removed. They must be stored safely. The loss of originals violates basic rules of scientific diligence and primarily justifies the suspicion of dishonest or grossly negligent behaviour.

If a scientist changes departments, the original data shall generally remain where they were collected. In special individual agreements between the "old department" and the "new department" at which the scientist will be working, the retention of the original data may be regulated differently. The agreement on the whereabouts of the logs must be recorded on the original data carrier and signed by the persons involved.

6. Publications, authorship

Authors of scientific publications are jointly responsible for their content. "Honorary authorship" shall be excluded.

In publications in which new scientific results in particular are presented, the results must be described completely and comprehensibly. Own and third-party preliminary work must be fully and correctly documented (citations). Previously published results must be clearly indicated and repeated as far as this is necessary to acquire an understanding of the context.

Only those authors of an original scientific publication should be listed who have made a significant contribution to the design of the studies or experiments, to the preparation, analysis, and interpretation of the data and to the formulation of the manuscript itself and who have agreed to the joint publication, i.e., who are responsible for it. Other contributions, such as the mere organisational responsibility for the acquisition of funding or the management of a department or organisational unit in which the publication was created, are not in themselves sufficient to justify authorship. The extent of the contribution of doctoral candidates to a publication must be considered - if necessary also through their first authorship.

Annex 2: Study programme

In addition to the research activities of the doctoral thesis, the study programme is designed to offer structured postgraduate training with theoretical and practical learning content. This includes scientific teaching content as well as the training of soft skills and core competences. The study programme is agreed between the supervisor and the doctoral candidate in the doctoral agreement.

The study programme must be submitted in accordance with § 4 upon acceptance for the doctorate and must be approved by the doctoral committee. As a rule, the study programme should comprise a total of 240 hours.

Compulsory events include

- a Thesis Advisory Committee (TAC) selected in consultation with the supervisor, consisting of at least three independent members, usually with a habilitation, but at least with a doctorate. The TAC will usually meet for the first time within the first six months after the start of the doctoral thesis, then halfway through and before the written result in the doctoral degree procedure is completed. As a rule, 1 week before each TAC meeting, the doctoral candidate submits an up-to-date report on the progress of their doctoral project to the TAC. Brief minutes must be prepared for each TAC meeting.
- Courses on good academic practice,
- Literature and research seminars of at least 1-2 weekly contact hours each

Compulsory elective courses (at least one of the following three courses):

- Methods internships and seminars,
- Lab practicals,
- Participation in specialist congresses or doctoral conferences organised by the faculty to present your own work.

The study programme also includes the lecture series of the scientific facilities representing the doctoral subject areas.

Successful participation in the doctoral programme is certified in the doctoral certificate.

Annex 3: Affidavit

The affidavit must be submitted in writing. The possibility of recording the affidavit in writing remains unaffected. The written declaration has the following wording:

“Affidavit

1. I have completed the doctoral thesis I submitted on the topic of

.....
independently.

2. I have only used the sources and aids indicated and have not made use of any unauthorised help from third parties. In particular, I have labelled content taken literally or accordingly from other works as such.

3. I have not yet submitted the thesis or parts of it to another university in Germany or abroad as part of an examination or qualification.

4. I confirm that the above declarations are correct.

5. I am aware of the significance of the affidavit and the consequences under criminal law of an incorrect or incomplete affidavit.

I declare on oath that I have stated the absolute truth to the best of my knowledge and have not concealed anything.

Place and date

Signature