

Doctoral Degree Regulations of the Medical Faculties of Heidelberg University for Awarding of the Doctoral Degree in Medicine or Dentistry (*Dr. med.* or *Dr. med. dent.*)

of 02 November 2015

Based on § 32 and § 38 (4) of the Act on Higher Education of the Land of Baden Württemberg (*Landeshochschulgesetz* - LHG), last amended by the Third Act Amending Provisions of Higher Education (*Drittes Hochschulrechtsänderungsgesetz* - 3. HRÄG) of 1 April 2014 (GBl. of 8 April 2014, p. 99), the Senate of Heidelberg University adopted the following doctoral degree regulations on 27 October 2015.

The Rector approved them on 02 November 2015.

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§ 1 Doctorate

- (1) The medical faculties award the academic degree of Doctor of Medicine (*Dr. med.*) or Doctor of Dentistry (*Dr. med. dent.*) based on results in the doctoral degree procedure or on an honorary basis.

- (2) The medical faculties are committed to the guiding recommendations of the Senate of Heidelberg University for the promotion of junior researchers and implement them in an appropriate manner in accordance with the principles for safeguarding good academic practice.

§ 2 Results in the doctoral degree procedure

- (1) The results in the doctoral degree procedure comprise development of new scientific findings and serves as proof of the ability to perform independent scientific work. It may be necessary to gain practical experience in the institutions assigned to the faculty or, by prior arrangement, also outside the faculty to acquire all required results in the doctoral degree procedure.
- (2) The results in the doctoral degree procedure shall be rendered by completion of an independent scientific paper (doctoral thesis) and an oral examination. Its main objects include the doctoral thesis.

§ 3 Decision-making bodies for doctorates

- (1) Decisions within the scope of the doctoral degree procedure shall be made by the doctoral conference, unless otherwise specified.
- (2) The members of the doctoral conference are the non-discharged or retired professors and associate professor of the respective faculty of Medicine who are members of the faculty council and who are entitled to vote, as well as the chair of the doctoral committee or their deputy. The chair of the doctoral conference is the dean, or a representative appointed by them.
- (3) The doctoral conference shall elect a doctoral committee that comprises at least 6 members from among the professors and associate professor of the relevant medical faculty who are not dismissed or retired. The term of office of the members is three years, re-election is possible. The respective committee elects a chair and a deputy chair from among its members.
- (4) The doctoral conference shall assign tasks to the doctoral committee in accordance with §§ 5 to 11.
- (5) The doctoral conference shall establish criteria for the assessment of doctoral theses.

§ 4 Admission requirements for doctoral studies

- (1) Anyone who has successfully passed the examination in medicine or dentistry required by the licensing regulations for doctors or examination rules and regulations for dentists after completing their course of studies and submits the documents specified in § 5 (2) may be admitted to the doctoral degree procedure. Approval must be refused if:
 - a doctoral degree or an equivalent academic degree has already been obtained in Germany or abroad based on the degree submitted,

- more than one unsuccessful attempt at acquiring a doctorate has already been made.
- (2) An application for provisional admission to the doctorate may be made in derogation from para. 1 after passing the first section of the medical examination in accordance with ÄAppO or the preliminary dental examination in accordance with ZÄPrO or an equivalent examination before successfully completing the course of studies in medicine or dentistry. A provisional admission shall be rendered invalid if the examination in medicine or dentistry is definitively failed in accordance with the examination rules and regulations for medicine or dentistry. Proof of passing the degree examination must be provided within 5 years of admission. Prior to the expiry of this deadline, the period in which proof of passing the degree examination must be provided may be extended upon request in justified cases. If proof of passing the degree examination is not provided within 5 years of admission and if this period is not extended in accordance with the above regulation, the provisional admission becomes invalid and Heidelberg University is not obligated to continue to retain, assess, or archive the documents submitted in the admission procedure.
 - (3) Joint doctoral theses are not permitted.
 - (4) 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) Applicants who have completed their examinations abroad may be admitted to the doctoral examination procedure if they have passed a foreign examination in medicine or dentistry that is considered equivalent to the German examination in terms of previous education and study programme requirements. The dean shall decide on the recognition of the equivalence of the training or foreign examinations after consulting the Central Office for Foreign Education of the Standing Conference of the Ministers of Education and Cultural Affairs in Bonn or another corresponding examination centre that can determine the equivalence.
 - (6) On the recommendation of the doctoral committee, the Dean may impose conditions (e.g., aptitude tests in certain specialities in medicine or dentistry) for admission to the doctoral degree procedure in the absence of equivalence and admit the applicant to the doctoral degree procedure after passing the aptitude test. The aptitude test may be repeated once.
 - (7) In justified cases, the dean may make a language proficiency test in the language of the doctoral thesis a condition.

§ 5 Registration and acceptance as a doctoral candidate

- (1) An application for acceptance as a doctoral candidate must be submitted to the chair of the doctoral committee. The doctoral committee decides on acceptance.

(2) The application for admission to the doctoral degree procedure must be accompanied by the following documents:

1. indication of the intended subject for the doctoral thesis with a brief concept,
2. a confirmation of supervision by a supervisor in accordance with § 6 (1), which must be documented by a doctoral agreement in accordance with § 6 (2).
3. in the case of a doctorate during the course of study, proof of having passed the 1st stage of the preliminary examination in medicine or dentistry or an equivalent examination as well as a current certificate of enrolment in medicine or dentistry.
4. If applicable, a declaration in accordance with § 4 (4).

(3) Acceptance may be refused if

1. the documents are incomplete,
2. the topic chosen for the doctoral thesis is obviously unsuitable or the topic does not fall within the faculty's remit,
3. there are any reasons that would justify withdrawal of an academic degree or if an academic degree has been withdrawn.

(4) The doctoral candidate must create an online doctoral file by registering in the central online portal 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.

(5) A decision on the application generally should be made within six weeks during the lecture period. The applicant must be informed of the rejection of the application in writing, stating the reasons and providing a legal remedy.

(6) Upon acceptance as a doctoral candidate, the faculty commits to assessing the doctoral thesis as scientific work and to supporting the doctoral candidate in the preparation of the doctoral thesis for a period of five years. The period may be extended in justified cases upon application to the doctoral committee.

(7) There must be at least one year between the application for acceptance as a doctoral candidate and the application for admission to the doctoral examination.

§ 6 Scientific supervision of the doctoral candidate

(1) Any professors and associate professors affiliated with the medical faculty Heidelberg or the Medical Faculty Mannheim can supervise doctoral candidates. In the interest of an objective assessment of results in the doctoral degree procedure, a family or partnership relationship excludes the assumption of supervision. The right to supervise doctoral candidates can also be transferred to qualified research assistants (e.g., heads of junior research groups) by the Rector at the suggestion of the faculty. The principles of the guiding

recommendations of the senate of Heidelberg University for the promotion of junior researchers must be observed.

- (2) The doctoral candidate and the supervisor shall conclude a written doctoral agreement with the minimum content specified by the respective medical faculty in accordance with § 38 (5) sentence 3 LHG. Details of the doctoral agreement are governed by the implementation regulations of the respective medical faculty.
- (3) The faculty council may stipulate guidelines for doctorates that, among other things, stipulate the involvement of doctoral candidates in research training groups for doctoral candidates or doctoral programmes or the organisation of workshops for doctoral candidates in a subject or subject group with presentation of the doctoral projects.
- (4) 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 (4) of this institution must be available for submission as a doctoral thesis.
- (5) In the event of disputes, the University's ombudsperson for doctoral candidates may be called upon to mediate.

§ 7 Doctoral thesis

- (1) The doctoral thesis must meet scientific standards and demonstrate the doctoral candidate's ability to perform independent scientific work in the doctoral subject.
- (2) If the expertise of third parties was utilised in the context of the scientific work, this or the doctoral candidate's own contribution must be clearly indicated.
- (3) The doctoral thesis generally must be written in German or English.
- (4) Content of the doctoral thesis may already be published. The doctoral candidate must be at least a co-author of the publication in question.
- (5) At the request of the doctoral supervisor, a cumulative doctoral thesis is possible in individual cases. At least two peer-reviewed publications on related topics in leading international academic journals with the doctoral candidate as first author must be submitted as written results in the doctoral degree procedure for the Dr. med. and Dr. med. dent. degrees. At least one of the two papers must be an original publication; the second paper can also be an evaluation article. The doctoral committee decides on the recognition of the academic journal. Publications with shared first authorship are not recognised. None of the publications submitted for the cumulative doctoral thesis may be the subject of another (ongoing or completed) doctoral degree procedure. The cumulative doctorate must be accompanied by a detailed introduction presenting the publications in the context of the doctoral candidate's scientific work and

the research group. The doctoral candidate must submit an official report regarding their contribution to the publication for each publication. The doctoral candidate must have been responsible for significantly more than 50% of the preparation of the results and the writing of the discussion (in the case of original publications) or the writing of the text (in the case of evaluations). This information must be confirmed in writing by all co-authors and the doctoral supervisor.

§ 8 Admission to the doctoral examination

- (1) After completion of the doctoral thesis, but at the earliest one year after acceptance as a doctoral candidate, the doctoral candidate shall apply to the doctoral committee in writing for admission to the doctoral examination. The application must include:
1. Copies of the doctoral thesis in the number required by the responsible faculty and an electronic version of the doctoral thesis;
 2. A declaration that the electronic version and the paper version of the doctoral thesis are identical;
 3. the diploma for passing of the examination in medicine or dentistry or an application in accordance with § 4 (2);
 4. a curriculum vitae;
 5. any publications of the applicant resulting from the doctoral thesis or accepted for printing as a manuscript;
 6. if applicable, proof of additional required results in accordance with § 6 (3);
 7. a declaration by the applicant that they have not previously applied for or undergone a doctoral degree procedure at any other institution based on the submitted or intended degree (§ 4 (2)). In the case of an unfinished or rejected doctoral degree procedure, the doctoral topic and the university concerned must be named;
 8. an affidavit in accordance with Annex 2 of these doctoral degree regulations that must normally be submitted in writing;
 9. a copy of the instruction provided by the university on the significance and criminal consequences of the affidavit, signed by the applicant;
 10. if applicable, a declaration by the applicant that the guidelines of the applicable animal protection legislation have been complied with (approved animal experiment application) or that the legally required favourable official report of the ethics committee has been obtained. Copies of the authorisation(s) must be submitted;
 11. A summary of the doctoral thesis in German and/or English in the number of copies required by the responsible faculty;
 12. a declaration of consent that the doctoral thesis may be checked for compliance with generally applicable scientific standards using electronic data processing programmes. The doctoral committee shall decide on any exceptions upon written application.
- (2) The decision on admission to the doctoral examination shall usually be made by the doctoral committee within six weeks.

- (3) The admission shall be refused if
1. the requirements for admission to the doctorate are not met;
 2. the documents listed in para. 1 are not complete;
 3. the doctoral thesis does not fall within the scientific field of medicine or is not related to it;
 4. there are any facts that would prevent the award of a doctoral degree or justify the withdrawal of an academic degree under state law;
 5. the applicant has already obtained a doctoral degree in the relevant specialisation (medicine or dentistry) or
 6. the applicant has obtained an equivalent doctoral degree abroad in the relevant specialisation (medicine or dentistry).
 7. the applicant has already made more than one unsuccessful attempt at acquiring a doctorate.
- (4) The applicant must be notified of any rejection of the application for admission in writing, stating the reasons and providing information on legal remedies.
- (5) After admission to the examination, the doctoral candidate may withdraw the submitted doctoral thesis as long as the doctoral conference has not yet made a final decision. The statement must be addressed to the doctoral committee. In this case, the doctoral degree procedure will be ceased.

§ 9 Review of the doctoral thesis

- (1) After admission to the doctoral examination (§ 8), the doctoral thesis must be reviewed in writing by at least two professors or associate professors, at least one of whom must be a member of the relevant faculty. The supervisor of the doctoral thesis shall generally act as the first evaluator. This shall also apply if they are no longer a member of the faculty. Further - also external - evaluators may be appointed by the doctoral committee and, in the case of topics from borderline areas, may also belong to another faculty. Professors from the universities of applied sciences and the DHBW can also be appointed as additional evaluators.
- (2) As a rule, the evaluators should be appointed within two months of submission of the thesis, but at the latest at the next meeting of the doctoral committee following the expiry of this period.
- (3) The evaluators shall assess the objective, execution and scientific statement of the doctoral thesis and propose its acceptance or rejection to the doctoral committee. If the doctoral thesis is accepted, they evaluate it in accordance with the criteria laid down by the doctoral conference (§ 3 (5)). They may recommend conditions for the final version of the doctoral thesis. The doctoral committee sets appropriate deadlines for the preparation of the evaluations.
- (4) The doctoral committee may obtain further evaluations and stipulate conditions for the correction of the doctoral thesis. The written doctoral performance must be assessed in accordance with the criteria defined by the doctoral conference

(§ 3 (5)). The doctoral committee shall obtain two additional external evaluations for an assessment of the doctoral thesis with the grade “summa cum laude”.

§ 10 Admission to the oral examination

- (1) The doctoral committee shall submit a grade proposal for the doctoral thesis, taking into account the evaluations obtained (§ 9). If the doctoral committee recommends a grade of at least “rite” for the doctoral thesis, the doctoral candidate is admitted to the oral examination (§ 11). After a successful oral examination, the doctoral committee submits the doctoral thesis to the doctoral conference for acceptance with a recommendation on the grading of the overall examination result. In the period between admission to the oral examination and the passing of the resolution, the doctoral theses can be inspected by the members of the doctoral conference at the faculty office. If the doctoral committee does not recommend at least a grade of “rite” for a doctoral thesis, this vote is submitted to the doctoral conference for a decision.
- (2) If the doctoral thesis is rejected by the doctoral conference, the doctoral degree procedure shall be terminated and the procedure shall be deemed an unsuccessful attempt at acquiring a doctorate. The rejection must be notified to the applicant in writing, stating the reasons and providing information on legal remedies.

§ 11 Result of the oral doctoral degree examination

- (1) If the doctoral committee recommends a grade of at least “rite” for the doctoral thesis, the chair of the doctoral committee shall appoint two examiners for the oral examination from among the professors and associate professor of the faculty and appoint one of them as chair.
- (2) The examination is conducted by at least two examiners who, if they belong to the same organisational unit, do not represent the same subject area. The supervisor can be an examiner, even if they are no longer a member of the faculty.
- (3) The chair of the examinations committee shall determine the date for the defence in consultation with the second examiner and the candidate. If the candidate does not appear on the set date, the examination is deemed to have been failed. A new date will be set in the event of a missed appointment through no fault of one’s own. If one of the examiners does not appear on the scheduled date, a new date will be set.
- (4) The oral examination must be taken no later than twelve months after submission of the proposed grade for the doctoral thesis by the doctoral committee (§ 10 (1)). In justified cases, an extension can be requested from the doctoral committee. If the oral examination is not taken, the results in the doctoral degree procedure has not been completed and the doctoral degree procedure is terminated. The written part of the course that has already been completed is

forfeited. The terminated procedure is categorised as an unsuccessful attempt at acquiring a doctorate.

- (5) The oral examination is open to the university public and lasts a maximum of 60 minutes. The consultation and announcement of the result are not public. Only the examiners may ask the doctoral candidate questions. The audience may be excluded for important reasons, e.g., to ensure the undisturbed progress of the examination.
- (6) The oral examination is held in the form of a defence with a short presentation by the doctoral candidate and subsequent questioning by the examiners. The content of the examination is the doctoral thesis as well as the fundamentals of the related specialisations. Minutes of the oral examination must be taken. Following the oral examination, the examiners meet for a non-public consultation and decide on the assessment of the oral examination result. The entire examination will be assessed as “passed” or “failed”. The examination is only passed if all examiners grade it as “passed”. The two examiners may also each make a recommendation to the doctoral committee regarding the grading of the overall results in the doctoral degree procedure (in accordance with § 12).
- (7) If the candidate fails the oral examination, they may repeat it once within six months. This deadline may be extended by means of a request including a statement of reasons. The application must be submitted to the doctoral committee within six months of the oral examination. If the candidate also fails the repeat examination, the doctoral degree procedure is terminated and the procedure is deemed an unsuccessful attempt at acquiring a doctorate. The doctoral candidate must be notified in writing of the termination of the doctoral degree procedure and provided with a legal remedy.

§ 12 Assessment of the results in the doctoral degree procedure

The doctoral conference decides on the grading of all results in the doctoral degree procedure based on the doctoral committee’s grade proposal (§ 10 (1)). The following grades are awarded:

- | | |
|-------------------------------|------------------|
| - for excellent results: | summa cum laude; |
| - for very good results: | magna cum laude; |
| - for good results: | cum laude; |
| - for sufficient results: | rite; |
| - for unsatisfactory results: | non sufficit |

Intermediate grades are not permitted.

§ 13 Publication of the doctoral thesis

- (1) After completion of the doctoral degree procedure, the doctoral thesis must be published. Publication is possible:
 1. by duplication in the reproduction process. In this case, five deposit copies must be submitted to the University Library (UB).

2. by 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/> The doctoral candidate thus transfers the right to publish the electronic version in data networks to the University Library and the DDB (Die Deutsche Bibliothek) in Frankfurt/Leipzig. In addition, 3 printed, text-identical deposit copies must be submitted to the University Library. Other forms of electronic publication must be agreed with the University Library.
 3. 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. In this case, 3 deposit copies must be submitted to the University Library. A lower minimum print run is acceptable if the publisher fulfils further orders via the print-on-demand process. The doctoral candidate shall be responsible for providing proof of this.
 4. in a scientific journal in printed and/or electronic form. In this case, 3 copies of the thesis submitted in the doctoral degree procedure must be provided to the University Library. The doctoral committee reserves the right to decide which publication series, publishers, scientific journals, or collective works are suitable for publication.
- (2) Further copies of the doctoral thesis must be provided to the faculty. The number shall be determined by the respective faculty. In addition, a summary of the doctoral thesis must be made available on an electronic data carrier for publication by the faculty. A fee may be charged for this.

§ 14 Conferral of the doctoral degree in medicine or dentistry

- (1) If the candidate has successfully completed the doctoral degree procedure, they will be awarded the doctoral degree by handing over or delivering the doctoral certificate. The doctoral degree procedure will be successfully completed as soon as
1. the doctoral thesis was assessed at least as rite by the doctoral conference,
 2. the oral examination according to § 11 has been passed,
 3. the examination in medicine or dentistry conducted in accordance with the licensing regulations for doctors or the examination rules and regulations for dentists has been passed or the requirements under § 4 (5) and (6) are met,
 4. all required documents have been submitted to the faculty,
 5. and the obligation to publish has been complied with.

The degree certificate contains the title of the doctoral thesis and the grade and states the date on which the doctoral degree procedure was successfully completed as date of the doctorate. It will be signed by the dean of the relevant faculty.

- (2) The right to use the doctoral degree is only acquired upon receipt of the doctoral certificate.

§ 15 Conferral of an honorary doctorate in medicine or dentistry (h. c.)

- (1) The faculty may award the degree of Doctor of Medicine or Doctor of Dentistry (Dr. med. h. c. / Dr. med. dent. h. c.) on an honorary basis for outstanding achievements in the fields of medicine or dentistry, including their border areas with the approval of the Senate, provided that the doctorate in medicine or dentistry 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. med. h.c. or the Dr. med. dent. h. c. degrees are conferred by presentation of the degree certificate prepared for this purpose and signed by the Dean, in which the doctoral candidate's achievements shall be emphasised.

§ 16 Withdrawal of approval; invalidity of results in the doctoral degree procedure

- (1) If it becomes known before the doctoral certificate is issued that the candidate has misled the doctoral committee about an admission requirement or forged it or that essential admission requirements have been incorrectly assumed to have been met, admission to the doctoral degree procedure may be withdrawn. The same shall apply if any facts become known that would justify revocation of the doctorate under state law.
- (2) If it becomes apparent before the doctoral certificate is issued that the candidate has cheated in a doctoral performance, individual or all results in the doctoral degree procedure may be declared invalid. In serious cases, admission to the doctoral degree procedure may be withdrawn.
- (3) Decisions in accordance with paragraphs 1 and 2 shall be made by the doctoral conference. The person concerned must be heard before the resolution is passed. The decision must be substantiated and sent to the person concerned with information on legal remedies in writing.

§ 17 Withdrawal of the doctorate

- (1) Withdrawal of the doctorate shall be subject to the provisions of state law. The doctoral conference is responsible if there are no provisions on responsibility.
- (2) The person concerned must be heard before the resolution is passed. The decision must be substantiated and sent to the person concerned with information on legal remedies.
- (3) Paragraphs 1 and 2 shall apply accordingly to the withdrawal of an honorary doctorate.

§ 18 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. At the same time, the doctoral degree regulations of the Medical Faculties of Heidelberg University for obtaining the doctorate in medicine or dentistry (Dr. med. or Dr. med. dent.) of 22 September 2006 (Rector's Gazette of 29 September 2006, p. 715) shall cease to be in effect.
- (2) For doctoral candidates who have already applied for admission to the doctoral examination at the time these doctoral degree regulations enter into effect, the doctoral degree regulations of 22 September 2006 shall apply. Upon application, the doctoral degree regulations in accordance with paragraph 1 shall apply, as far as the Act on Higher Education of the Land of Baden Württemberg does not conflict with them.

Heidelberg, 02 November 2015

Professor Dr. rer. nat. Bernhard Eitel
Rector

Annex 1

Principles of the medical faculties of Heidelberg University for safeguarding good academic practice

This text uses the recommendations of the German Research Foundation (DFG) and the German Rectors' Conference (HRK) on this topic.

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:

- 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 the persons 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. Record or work logs must have a hard cover and numbered pages; no pages may be removed. They must be stored safely. The loss of originals from the lab violates basic rules of scientific diligence and primarily justifies the suspicion of dishonest or grossly negligent behaviour.

If a researcher changes institutions, the original data generally remains where it was collected. In special individual agreements between the “old institution” and the “new institution” at which the researcher 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

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

“Affidavit

1. The doctoral thesis 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.

Title of the work:

University and year:

Type of examination or qualification achievement:

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

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