

This English translation is being provided for ease of reading only. Only the German original "*Promotionsordnung des hochschulübergreifenden Promotionszentrums Ingenieurwissenschaften und Informationstechnologien (PZ IWIT) der Hochschulen für angewandte Wissenschaften Hochschule Anhalt, Hochschule Harz und Hochschule Merseburg im Land Sachsen-Anhalt vom 26.05.2021*" is legally binding.

# **Doctoral Regulations of the Inter-University Doctoral Center Engineering Sciences and Information Technologies (PZ IWIT) of Anhalt University of Applied Sciences, Harz University of Applied Sciences and Merseburg University of Applied Sciences in Saxony-Anhalt**

## **of May 26, 2021**

Based on § 18, sentence 6 and § 2, sentence 1 of the Saxony-Anhalt Higher Education Act (HSG LSA) in the version published on December 14, 2010 (GVBl. LSA p. 600, 2011 p. 561), as last amended by Article 1 the Act of January 18, 2021 (GVBl. LSA p. 10), in conjunction with Section II No. 7 of the resolution of the state government on the structure of the state government of Saxony-Anhalt and the delimitation of business areas of May 24/June 7, 2016 (MBI. LSA p. 369, last amended by resolution of July 28, 2020 (MBI. P. 289), and on the basis of the Ordinance on Awarding the Right to Confer Doctorates at Universities of Applied Sciences (HAWPromVO) of May 3, 2021 (GVBl. LSA p. 229) and the Act of Awarding the Right to Confer Doctorates in Social Sciences, Health Sciences and Economics to Magdeburg-Stendal University of Applied Sciences, Harz University of Applied Sciences, Merseburg University of Applied Sciences and Anhalt University of Applied Sciences by the Saxony-Anhalt Ministry of Economics, Science and Digitalization dated May 26, 2021, these universities have issued the following joint doctoral degree regulations:

the following doctoral degree regulations are issued:

### **§ 1 Scope**

The Doctoral Center Engineering Sciences and Information Technologies is institutionally anchored in the inter-university Doctoral Center Engineering Sciences and Information Technologies of Anhalt University of Applied Sciences, Harz University of Applied Sciences and Merseburg University of Applied Sciences in Saxony-Anhalt. The Doctoral Center Engineering Sciences and Information Technologies exercises the right to confer doctorates in accordance with these regulations. Further details are regulated by the statutes of the doctoral center.

### **§ 2 Doctorate**

(1) In accordance with the provisions of these doctoral degree regulations, the partner universities shall confer the academic degree of

Doctor of Engineering Sciences (Dr.-Ing.) or  
Doctor of Natural Sciences (Dr. rer. nat.)

after a proper passage of the doctorate procedure. In the case of interdisciplinary or transdisciplinary research topics, the doctoral committee decides on the assignment to an academic degree according to the thematic focus of the dissertation.

(2) The doctoral achievement consists of an in-depth scientific work (dissertation) and the oral examination in the form of an oral defense of the dissertation and proves the ability to independent scientific work and a special scientific qualification.

(3) Upon presentation of at least three scientific papers, of which the applicant has made the major scientific contribution in at least two, the dissertation may be prepared as a cumulative dissertation upon the proposal of the supervisor. Scientific papers must be published or accepted for publication in peer-reviewed, internationally recognized journals. The basis for evaluating the suitability of the cumulative dissertation is provided by subject-specific journal rankings and/or the impact factors of peer-reviewed journals.

### **§ 3 Responsibilities and organization**

(1) The parties involved in the doctorate procedure are the doctoral committee according to § 4, the supervisors according to § 8, the reviewers according to § 13 and the doctoral panel according to § 16.

(2) A separate doctoral panel is appointed for each doctorate procedure.

(3) Decisions in the doctorate procedure are made by the doctoral committee and the doctoral panel.

(4) The professors admitted as supervisors according to § 8 are responsible for the subject of a doctorate procedure.

### **§ 4 Doctoral committee**

(1) The doctoral committee consists of a chairperson and four assessors, with at least one representative from each partner university being a member of the doctoral committee. The chairperson and the assessors must be professorial members of the Doctoral Center IWIT according to § 3 HAWPromVO. A representative of the doctoral candidates of the doctoral center as well as the Gender Equality Representative of one of the partner universities also belong to the doctoral committee in an advisory capacity.

(2) The chair is taken by the speaker of the center management of the doctoral center, which is elected by the professorial members of the

center.

(3) The members are appointed by the Center Management of the Doctoral Center Engineering Sciences and Information Technologies according to the statutes of the Doctoral Center § 8 for a period of four years.

(4) The doctoral committee decides on all formal procedural matters; in particular, it decides on

1. the acceptance as a doctoral candidate according to § 5,
2. about the admission to the doctorate procedure according to § 12,
3. the appointment of reviewers in accordance with § 13,
4. the acceptance of the dissertation in accordance with § 15,
5. the appointment of the doctoral panel in accordance with § 16,
6. the completion of the doctorate in accordance with § 22.

(5) In addition to the regulations in § 5, section 3, the doctoral committee may define subject-specific regulations regarding the degree and admission requirements necessary for acceptance as a doctoral candidate, as well as additional required ungraded assessments.

(6) The doctoral committee generally meets in face-to-face meetings. The doctoral committee has a quorum if at least half of the duly invited and voting members are present in addition to the chairperson. It decides by simple majority. In the event of a tie, the chairperson shall have the casting vote.

(7) The doctoral committee does not meet in public.

(8) In exceptional cases, the doctoral committee may also pass resolutions outside of meetings - namely within the framework of video or telephone conferences or by circulation. A quorum shall also be deemed to exist without an ordinary summons if the members entitled to vote participate in video or telephone conferences or take part in a circular procedure and do not expressly object to the procedure outside a face-to-face meeting.

### **§ 5 Acceptance as a doctoral candidate**

(1) The application for acceptance as a doctoral candidate must be addressed to the chairperson of the doctoral committee. The application for acceptance must be accompanied by:

1. certified copies of the certificates and documents for the successfully completed university studies according to section 3 below; international (non-German) certificates must be submitted in officially certified translations in German,
2. an overview of life and educational background, copy of identity card or passport,
3. if requested by the doctoral committee, a current police clearance certificate (extract from official police records or similar document drawn up by a competent authority) with the purpose of doctorate, if applicable,
4. a detailed, written exposé for the doctoral project to be worked on independently; the exposé should consist of a proposed topic, the current state of research, the objectives and contribution of the work, a description of the approach and the methods envisaged, as well as a resource and time plan agreed by the supervisors and a statement as to whether the dissertation is to be written in German or English,
5. the written promise of supervision in the form of a doctoral agreement, which also assures compliance with good scientific practice in accordance with the Regulations for Assuring Good Scientific Practice of Anhalt University of Applied Sciences as amended from time to time,
6. Declaration as to whether and with what result acceptance as a doctoral candidate has been applied for at another university or at another doctoral center, or whether a comparable suitability assessment procedure or doctorate procedure at another university or at another doctoral center has been definitively failed.

(2) The doctoral committee decides on the acceptance as a doctoral candidate. Acceptance can be refused by giving reasons.

The application shall be rejected in particular if

1. adequate professional supervision of the dissertation or the provision of the necessary resources is not ensured, or
2. the doctoral center does not have an independent right to confer a doctorate for the subject of the proposed topic of the doctorate, or
3. facts exist that would justify the revocation of the doctoral degree under state law.

(3) Prerequisites for acceptance as a doctoral candidate are:

1. a relevant Master's degree after a course of study with a total of 300 credit points according to ECTS and an overall result with at least the grade 2.0 or an ECTS rank of grade B, or
2. a relevant degree from a German higher education institution that is considered equivalent according to the regulations of the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany (KMK); if the doctoral committee classifies an alternatively equivalent degree from a German higher education institution not sufficiently equivalent, the doctoral committee may impose conditions for acceptance as a doctoral candidate, or
3. a degree obtained in a degree program outside Germany comparable to the qualification under point 1, which also entitles the holder to a doctorate in the country of graduation and is classified as equivalent.

(4) The doctoral committee decides on the equivalence of certificates. The assessment statements of the Central Office for Foreign Education (ZAB) at the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder (KMK) are used for decisions on the equivalence of international certificates.

(5) The doctoral committee decides on exceptions as well as on any necessary recognitions according to § 5 sections 3 and 4. Holders of certificates that are not equivalent may be required to provide supplementary services in the form of subject-related requirements.

(6) If the subject area of the dissertation topic does not correspond to the completed university studies, the doctoral committee may require an additional examination in individual cases in order to promote interdisciplinary and transdisciplinary research. The requirement of the additional examination can be waived if the applicant has worked in the doctoral field for three years after graduation. If necessary, examinations in sub-fields of the respective subject in which the doctoral thesis is to be completed, to be determined by the doctoral committee, must be required as conditions.

(7) If the doctoral committee approves the application for acceptance, the supervision, the examiners' assessment and subsequent implementation of the procedure is guaranteed in accordance with these doctoral degree regulations.

(8) Accepted doctoral candidates may enroll as doctoral candidates at the place of the doctorate, at the university responsible for the subject-specific supervision of the doctorate (hereinafter "supervising university"), which must be affiliated with the doctoral center, from the time of acceptance until completion of the procedure. The supervising university is the university that has the greatest connection to the doctorate procedure. As a rule, this is the university that provides the first supervisor of the doctorate, provided that this supervisor is a professor at one of the universities of the doctoral center.

## **§ 6 Doctoral candidates**

(1) Doctoral candidates complete their dissertation with a publication of their research results complying with the principles of good scientific practice (DE "*wissenschaftliche Arbeit*"). In addition to professional competence, the university must teach them a basic ethical attitude in scientific work, in the responsible handling of results and in cooperation with other scientists.

(2) Doctoral candidates are entitled to regular scientific supervision, advice and support.

(3) Doctoral candidates are required to

1. log and complete documentation as well as store their research results,
2. work responsibly and be collegial,
3. report regularly on the progress of their research to their supervisors,
4. participate in internal seminars.

## **§ 7 Dissertation**

(1) The dissertation, as an independent achievement meeting scientific standards, must contribute to the advancement of scientific knowledge. It must be submitted in German or English. A summary must be included in both German and English.

(2) The dissertation must be accompanied by a list of all sources used and a declaration by the doctoral candidate that they have written the work independently, apart from the help expressly mentioned in it.

(3) Work that has already been submitted for assessment as part of a previous degree (e.g. Bachelor's and Master's theses), will not be accepted as a dissertation. However, results of such examination papers may be used for the dissertation, and the papers in question must be cited in the list of sources.

(4) Parts of the dissertation may have been published in advance. A statement about this must be made in the dissertation paper.

(5) In the case of a cumulative dissertation, the submitted work must include an introduction to the state of the art and the need for research, the dissertation's derived questions, and, according to the inserted publications, a synthesis of the results. Furthermore, a statement on the doctoral candidate's contribution to the publications must be included, see Appendix 1. The statement of the contribution shall be brought to the attention of the concerned co-authors.

(6) The dissertation must contain the essential research data of experimental and statistical nature, which have led to scientific knowledge or which are necessary for the comprehensibility of the scientific method. They should be included as an appendix or deposited in a research data repository.

## **§ 8 Appointment of the guardians**

(1) Dissertations are written under the supervision of a professor (first supervisor) who is a member of the Doctoral Center Engineering Science and Information Technologies (PZ IWIT) thus fulfills the criteria according to § 3 Ordinance on Awarding the Right to Confer Doctorates at Universities of Applied Sciences.(HAWPromVO)

(2) The following persons may be appointed as secondary supervisors:

1. Professors of the Doctoral Center Engineering Science and Information Technologies (PZ IWIT),
2. professors with a doctorate and full-time employment in another discipline at one of the partner universities,
3. retired professors holding a doctorate, temporary professors holding a doctorate, honorary professors holding a doctorate,
4. professors holding a doctorate and employed full-time by another university of applied sciences or university,
5. scientists with a doctorate and corresponding proven scientific qualifications who work for cooperating research partners of Anhalt University of Applied Sciences.

(3) Second supervisor does not have to be a member of the Doctoral Center Engineering Science and Information Technologies (PZ IWIT).

(4) The purpose of the appointment is to ensure that the supervisors have the resources necessary for supervision and can supervise the dissertation to its anticipated completion.

(5) If a supervisor leaves the service before the completion of the doctorate procedure, the supervision can be continued if the supervisor commits himself/herself in writing to the doctoral committee to participate in the doctorate procedure.

(6) In justified cases, the doctoral committee may appoint additional supervisors in the course of the procedure, especially in cases where a supervisor is no longer able to provide supervision. The first supervisor must fulfill the criteria according to § 3 of the Ordinance on Awarding the Right to Confer Doctorates at Universities of Applied Sciences.

## **§ 9 Dissertation Supervision**

(1) The supervisors are responsible for the scientific supervision of the doctoral project. The first supervisor should notify the doctoral committee of the dissertation topic (preliminary working title) as early as possible, even before the applicant applies for acceptance as a doctoral candidate.

(2) Along with the application for acceptance as a doctoral candidate, the applicant must submit the written commitment of the first supervisor in the form of a doctoral agreement to the doctoral committee. The supervisory relationship begins with the acceptance as a doctoral candidate according to § 5.

(3) The principles of the German Council of Science and Humanities (*Wissenschaftsrat*) on "good doctoral studies" relevant to supervision and an examiners' assessment (*Wissenschaftsrat, Positionspapier "Anforderungen an die Qualitätssicherung der Promotion, November 2011"*; Drs. 1704-11) shall be complied with. In particular, supervision includes regular scientific advice and support of doctoral candidates by the supervisors, which are to be regulated in the doctoral agreement.

## **§ 10 Doctoral studies**

(1) The graduate institutions of the universities participating in the doctoral center offer courses and events accompanying doctoral projects. These offer cross-disciplinary support services for the development and deepening of interdisciplinary and methodological competencies, especially for independent scientific research. Participation is not subject to grading and is not included in the calculation of the final grade. Participation is to be included in the progress reporting.

(2) Doctoral candidates are required to attend the course "Introduction to Good Scientific Practice" (*Einführung in die wissenschaftliche Praxis*). In addition, the doctoral committee or the supervisor may require the doctoral candidate to participate in further events of the graduate institutions of the universities participating in the doctoral center.

## **§ 11 Changes, termination of the doctoral relationship**

(1) Doctoral candidates may apply in writing to the doctoral committee for a change in supervision before submitting their dissertation, stating the reasons. If supervision becomes impossible before completion of the dissertation, it is incumbent upon the doctoral committee, at the request of the doctoral candidate, to ensure, as far as possible, that supervision is taken over by another person in accordance with § 8. In cases of conflict, all parties involved shall be given the opportunity to comment in advance.

(2) When taking over care, a new application for acceptance according to § 5 is not required.

(3) Doctoral candidates may apply in writing to the doctoral committee for an interruption or termination of the doctoral relationship before submitting the dissertation, stating the reasons. The interruption may not exceed the period of 10 years. For this purpose, in addition to the statement of reasons, a comprehensive interim report must be submitted by the doctoral candidate to the doctoral committee. The doctorate is then not considered to have failed and a new application is possible.

(4) As a rule, no more than five years should elapse between acceptance as a doctoral candidate and the opening of the doctorate procedure.

(5) Revocation of acceptance as a doctoral candidate is excluded if the doctoral candidate is not responsible for the delay.

These include in particular:

1. Maternity protection according to §§ 3, 4, 6 German Maternity Leave Act,
2. parental leave in accordance with § 15 of the German Federal Parental Allowance and Parental Leave Act,
3. chronic illness or disability i. S. d. § 2 sect.. 1 Social Code IX (SGB),
4. illness of children in need of care and relatives in need of care,
5. periods of fulfillment of the service obligation according to Art. 12 a (1) or (2) of the German Basic Law (*Grundgesetz*) or equivalent voluntary service for a period of up to two years.

## **§ 12 Admission and Initiation of the doctorate procedure**

(1) The doctorate procedure is initiated by a written application of the doctoral candidate, which is to be addressed to the doctoral committee. The doctoral application must be accompanied by:

1. An updated overview of the life and educational history,
2. if applicable, proof of fulfillment of the requirements according to § 5 par. 5 and 6,
3. the doctoral candidate's assurance that the criteria from § 5 continue to be met,
4. the dissertation in written form including appendices in three copies and in electronic form; the title page is to be prepared in accordance with Appendix 2; the electronic version is to be submitted anonymously (without cover page and other passages containing personal data of the doctoral candidate) for the purpose of plagiarism control in a manner determined by the university supervising the doctorate; plagiarism control may be carried out with the help of commissioned third parties,
5. a statement on whether the submitted dissertation has already been submitted in another procedure for obtaining the doctoral degree.

(2) The dissertation must be accompanied by an affidavit (cf. Appendix 3) with the assurance that

1. the dissertation has been prepared independently and without unauthorized outside help and only with the stated aids,
2. all text passages taken verbatim or in spirit from published documents and all information based on oral information are identified as such,
3. the principles of good scientific practice are observed.

(3) The decision on admission to the doctorate procedure is made by the doctoral committee.

(4) Approval shall be refused if the evidence required under section 1 above is not provided or not provided in full.

(5) Approval shall be denied if, at the time of the decision

1. the applicant has already been admitted or is still admitted to the doctorate procedure at another university or another doctoral center with the dissertation, or
2. the dissertation has already been assessed as unsuitable at another university or the examination has not been passed, or
3. facts exist that would justify a withdrawal of the doctoral degree according to state law.

(6) Withdrawal of the doctoral application is permissible with special justification by the applicant and recognition of these reasons by the doctoral committee as long as the doctorate procedure has not been terminated by a negative decision on the dissertation or the oral defense of the dissertation has not begun. In any case, one copy of the submitted dissertation remains with the doctoral files.

## **§ 13 Appointment of the reviewers**

(1) With the admission according to § 12, the doctoral committee appoints at least two reviewers for the dissertation. On the basis of their scientific qualifications, these persons must be in a position to comprehensively assess the dissertation in terms of its subject matter. Supervision and examiners' assessment must be carried out by different persons.

(2) At least one review must be prepared by an external reviewer who fulfills the requirements according to § 3 Ordinance on Awarding the Right to Confer Doctorates at Universities of Applied Sciences (HAWPromVO) or who is a professor at a university. For the external reviewer, the regulations of the German Research Foundation (DFG) for reviewers according to the Guidelines for Safeguarding Good Scientific Practice (DFG, Guidelines for Safeguarding Good Scientific Practice, Bonn, as amended from time to time, also apply.

(3) One of the reviewers must in any case be a full-time professor and member of the joint Doctoral Center Engineering Sciences and Information Technologies (PZ IWIT) of Anhalt University of Applied Sciences, Harz University of Applied Sciences and Merseburg University of Applied Sciences and must belong to the corresponding discipline of the doctoral thesis topic.

- (4) Persons who fulfill the requirements according to § 3 HAWPromVO can be appointed as additional reviewers.
- (5) The doctoral candidate may propose reviewers to the doctoral committee.

#### **§ 14 Examiners' assessment**

(1) Each reviewer prepares a report on the dissertation, which is forwarded to the chairperson of the doctoral committee. In it, the reviewer proposes either acceptance or rejection of the work or, in exceptional cases, its return for amendment or supplementation. Along with the proposal of its acceptance, the dissertation is given one of the following ratings:

- summa cum laude - corresponds to an outstanding, excellent performance (0),
- magna cum laude - corresponds to a very good performance (1),
- cum laude - corresponds to an average, good performance (2),
- rite - corresponds to sufficient performance (3).

With the evaluation "non rite - corresponds to an insufficient performance (4)" the acceptance of the dissertation is rejected.

- (2) If the dissertation is proposed to be returned for changes or additions, the doctoral committee may decide whether the doctoral candidate can be given a deadline to make the changes. After the revision, the reviewers are given the opportunity to comment again within four weeks.
- (3) The examiners' assessments are to be written independently of each other. The assessment result must be comprehensibly justified in each examiner's assessment. If conditions are specified for the publication of the dissertation, these must be concrete and comprehensible. Conditions can be correction, streamlining, or revision instructions.
- (4) If an examiner's assessment is not available within eight weeks after the appointment of the reviewers, the chairperson of the doctoral committee shall seek clarification. If an assessment is not available after a further eight weeks, the doctoral committee may appoint a new reviewer.
- (5) If there is no agreement between the reviewers on the acceptance, rejection or return of the dissertation, a further assessment must be obtained within a reasonable period of time, preferably from a professor at another university in the relevant discipline. The DFG's Guidelines for Safeguarding Good Scientific Practice apply to the reviewer.
- (6) The chairperson of the doctoral committee forwards all examiners' assessments to the members of the doctoral committee and the doctoral panel (§ 16) and informs the professors of the doctoral center that the dissertation and the examiners' assessments are available for inspection for 14 days. Within the inspection period, the named persons may comment in writing on the dissertation made available for inspection.
- (7) The doctoral candidate has the right to inspect the examiners' assessments.

#### **§ 15 Decision on the acceptance of the dissertation**

- (1) After the expiry of the deadline for submission (§ 14, sect. 6), the doctoral committee decides on the acceptance of the dissertation on the basis of the proposals of the reviewers and taking into account any further reviews available in accordance with § 14, sect. 5. The candidate can be heard on this; the decision is made by the doctoral committee.
- (2) After the acceptance of the dissertation, the chairperson of the doctoral committee sets the date of the oral defense of the dissertation. This should be done no later than three months after acceptance of the dissertation.
- (3) The doctoral committee may decide to return the dissertation to the doctoral candidate for amendment or supplementation within a set period of time. The doctoral candidate will be notified in writing of any changes or additions as well as the deadline set. This should not exceed one year. For special reasons, the deadline may be extended. If the doctoral candidate resubmits the dissertation within the deadline, it shall be reassessed and decided upon in accordance with the above provisions; if they fail to meet the deadline, the dissertation shall be deemed to have been rejected and the doctorate procedure shall be deemed to have been concluded unsuccessfully.
- (4) The dissertation is rejected if the majority of the doctoral committee or the majority of all reviewers reject it. The doctoral candidate must be informed of the rejection in writing, stating the reasons. The doctoral candidate may submit a new or an improved dissertation within a period to be determined. Further repetition is not permitted.
- (5) After all examiners' assessments have been submitted, the doctoral committee determines an overall assessment of the dissertation. This is calculated from the arithmetic mean of the individual grades awarded in the assessments. If the calculation of the average results in fractions, the better grade is awarded for values up to 0.5. An overall score of at least "rite" (3) is required for admission to the oral defense of the dissertation.
- (6) The dissertation, together with all examiners' assessments, additional assessments, and statements, will remain on file with the dissertation committee.

## § 16 Doctoral Panel

- (1) The doctoral committee sets up the doctoral panel and appoints a chairperson who is not a member of the group of supervisors or reviewers.
- (2) The doctoral panel consists of at least 6 members who fulfill the requirements according to § 3 HAWPromVO:
  - The chairperson. They are appointed by the doctoral committee;
  - The reviewers of the dissertation;
  - The first supervisor and the second supervisor, provided that they meet the conditions of § 3 HAWPromVO;
  - Further professors of the Doctoral Center Engineering Sciences and Information Technologies (PZ IWIT).

If members of the doctoral panel are unable to attend, the doctoral committee may appoint substitutes, but at least one of the reviewers must always be present.

- (3) The doctoral panel conducts and assesses the oral defense of the dissertation. It decides whether the oral defense of the dissertation is to be repeated and sets the conditions for the publication of the dissertation and the deadline for their fulfillment.

## § 17 Oral defense of the dissertation

- (1) The oral examination is conducted for each doctoral candidate by the doctoral panel in the form of the oral defense of the dissertation.
- (2) The oral defense of the dissertation is open to the partner universities; the date will be announced at least two weeks in advance.
- (3) The doctoral candidate and the members of the doctoral panel are personally invited to this examination.
- (4) The oral defense of the dissertation is conducted by the chairperson of the doctoral panel.
- (5) A record of the course, essential contents and result of the examination shall be prepared by the chairperson and shall remain in the files of the doctoral committee.
- (6) On the appointed examination date, the doctoral candidate shall give a lecture to the university public on their dissertation or on a topic chosen by them from the field of the dissertation before the beginning of the oral defense of the dissertation; the duration of the lecture shall not exceed 30 minutes.
- (7) In the oral defense of the dissertation, the dissertation is defended in front of the doctoral panel in the context of the partner universities. The oral defense of the dissertation discusses the content of the dissertation, includes the examiners' assessments, and also extends to related problems of the subject and adjacent areas of other subjects, as well as to the state of research in them. Active participation in the discussion with the candidate is the responsibility of the members of the doctoral panel. The oral defense of the dissertation usually lasts between 60 to 90 minutes.
- (8) The lecture open to members of the university and the oral defense of the dissertation may be held in English in case of submission of an English-language dissertation, if the doctoral committee has agreed to this. In the case of an English-medium oral defense of the dissertation, the minutes must also be prepared in a German-language version.
- (9) For the calculation of the evaluation of the oral defense of the dissertation, the grades mentioned in § 14, sect. 1 are to be used. Each member assigns a grade. The overall grade of the oral defense of the dissertation is calculated from the arithmetic mean of the individual grades awarded by the members of the doctoral panel. If the calculation of the average results in fractions, the better grade is awarded for values up to 0.5. The oral defense of the dissertation is passed if at least the overall grade "rite" (3) is achieved. The grade of the oral defense of the dissertation is not discussed in public.
- (10) If the doctoral candidate fails the oral defense of the dissertation, only the oral defense of the dissertation has to be repeated. The repetition can be attempted only once, at the earliest three months, at the latest one year after the failed oral defense of the dissertation. In special cases, the deadline may be extended at the applicant's request. If the oral defense of the dissertation is or is deemed to be failed again, the doctorate procedure is concluded unsuccessfully.
- (11) If the doctoral candidate cannot perform the oral defense of the dissertation for reasons for which the doctoral candidate is responsible, or if they declare that they will not perform the oral defense of the dissertation, the doctoral candidate shall fail the oral defense of the dissertation and the doctorate procedure shall be concluded unsuccessfully.

## § 18 Overall assessment

- (1) Immediately after the oral defense of the dissertation, the doctoral panel decides on the result of the oral defense of the dissertation in a non-public session and, if the oral defense of the dissertation is passed, determines the overall assessment of the doctorate on the basis of the examiners' assessments and performance in the oral defense of the dissertation.
- (2) The overall grade is composed of the grade for the dissertation and the grade for the oral defense of the dissertation, with the grade for the dissertation being weighted 2/3 and the grade for the oral defense of the dissertation 1/3. If the calculation of the average results in fractions, the better grade is awarded for values up to 0.5. The following ratings are provided:
  - summa cum laude - corresponds to an outstanding, excellent performance (0),
  - magna cum laude - corresponds to a very good performance (1),
  - cum laude - corresponds to an average, good performance (2),
  - rite - corresponds to sufficient performance (3),
  - non rite - corresponds to unsatisfactory performance (4).

With the evaluation "non rite - corresponds to an insufficient performance (4)" the acceptance of the dissertation is rejected.

- (3) The distinction "summa cum laude" shall only be awarded in the case of exceptionally high scientific achievements and if this distinction has been awarded in all examiners' assessments and by all members of the doctoral panel for the oral defense of the dissertation.
- (4) On the basis of the examiners' assessments, the doctoral panel determines in writing whether and, if so, which conditions are to be fulfilled for the publication of the dissertation.

(5) Following the meeting, the chairperson informs the doctoral candidate of the overall assessment and, if applicable, the conditions for publication and points out that the right to use the doctoral degree does not commence until the doctorate has been completed in accordance with § 22 below. This concludes the doctorate procedure. Doctoral candidates will be withdrawn from university records, if necessary, at the end of the semester in which the overall assessment was communicated.

### **§ 19 Repetition of the doctoral examination**

(1) If the first attempt at a doctorate has failed due to rejection of the dissertation, a new application with submission of a new dissertation is only possible once, and at the earliest after the expiry of one year, calculated from the date of rejection.

(2) If the doctoral achievements have lapsed due to non-fulfillment of the obligation to submit or due to other violations of these doctoral degree regulations, the doctoral committee shall decide whether and under which conditions the doctorate may be repeated. A repetition is excluded if the doctorate has been refused or the doctoral degree has been withdrawn.

### **§ 20 Examination files**

(1) Examination files are confidential and remain on file with the doctoral committee. During the doctorate procedure, only the members of the doctoral committee and the members of the doctoral panel are entitled to inspect the files.

(2) After completion of the doctorate procedure, but at the latest within one year after the completion of the doctorate, the doctoral candidate will be granted access to the examination files, the examiners' assessments and the records of the oral defense of the dissertation upon request.

### **§ 21 Publication of the dissertation**

(1) After passing the examination, the doctoral candidate must publish the dissertation, taking into account the requirements of the doctoral panel; the version to be published must be approved by the chairperson of the doctoral committee. Failure to do so will result in a failed doctorate.

(2) The publication must be marked as a dissertation of the partner university and the doctoral center. The title page shall be designed in accordance with Appendix 4.

(3) The dissertation must be published within one year after passing the oral defense of the dissertation. The dissertation is published by submitting an electronic version - via the doctoral center - to the university library of the supervising university to which he or she belongs, which is granted the right of publication in addition to the German National Library (DNB).

(4) The dissertation will be published on the open access and research data repository of the university libraries in Saxony-Anhalt.

(5) The publication must include an abstract in German and English. The doctoral candidate must assure the conformity of the electronic version with the accepted dissertation. File format and data carrier are to be coordinated with the university library. The submission of files that do not meet the required specifications with regard to file format and data carrier or that otherwise prove to be partially or completely unreadable does not fulfill the publication requirement. In addition to the electronic version, three copies of the dissertation must be submitted as deposit copies and as bound copies for the German National Library (DNB) and the Saxony-Anhalt State Library at the university library of the partner university where the dissertation was conducted.

(6) In justified cases, the deadline for submission may be extended by up to one year by the doctoral committee upon request. If the doctoral candidate fails to comply with the submission deadline in accordance with the above provisions, the doctorate shall be deemed to have been failed.

(7) The doctoral candidate permits the transmission of the dissertation electronically by the university library to the DNB. The doctoral candidate grants the university library and the DNB the simple right to store the dissertation in an electronic archive, to reproduce it for this purpose and, if necessary, to convert it into a format suitable for storage. In addition, the doctoral candidate grants the university library and the DNB the simple right, for the purpose of making the dissertation publicly accessible, to reproduce and disseminate by making them available on their server, as well as to enable the recording of the bibliographic data in databases.

(8) Privacy Consent: The doctoral candidate should always submit the dissertation text and the CV in two separate documents or electronic files. Furthermore, the doctoral candidate consents to the processing of personal data by the DNB. The processing includes in particular the storage of the data in an electronic archive, in the common standards file and the transmission of the data to third parties through the provision of the dissertation by the DNB. This data is conditionally accessible via the website of the German National Library (DNB).

(9) The publication must be identified as a dissertation by an appropriate title page and must contain an abstract of the author's scientific career. The title page shall state:

1. the subject of the dissertation,
2. the name of the doctoral center,
3. the name of the supervising university
4. the name of the doctoral candidate,
5. their previously earned academic degree,
6. title and names and university affiliation of supervisors,
7. title and names and university affiliation of reviewers,
8. submission and review dates,
9. place and year of publication.

Upon request, the doctoral candidate may be exempted from the obligation to list the scientific career in the electronic version or the deposit copies.

### **§ 22 Execution of the doctorate and award of the doctoral degree**



(1) As soon as the obligatory copies of the dissertation have been received by the Doctoral Center Engineering Sciences and Information Technologies in accordance with § 21, the doctorate is completed by handing over or delivery of the doctoral certificate to the doctoral candidate by the supervising university. From this point on, the person now holding the doctorate is entitled to use the doctoral degree.

(2) The doctoral certificate is dated on the day of the oral defense of the dissertation and is issued in triplicate. It bears the signatures of the head of the supervising university and the president or rector of the supervising university and is sealed with the seal of the supervising university. The text of the certificate usually reads (see Appendix 5):

"The University of [NAME], during the term of office of the President/Rector, Prof. Dr. [Name], and the Head of the Doctoral Center Engineering Sciences and Information Technologies, Prof. Dr. [name], awards by this certificate [Mr./Ms.] [name], born on [date] in [place] the academic degree of Doctor [specification], after he/she has proved his/her scientific qualification by his/her dissertation "[title of dissertation]" and by the oral defense of the dissertation in a proper doctorate procedure under supervision of [first supervisor], [second supervisor]. The overall assessment is [grade]."

(3) At the request of the doctoral candidate, the Board of Management (*Präsidium*)/Rector's Office (*Rektorat*) of the supervising university may issue a provisional temporary certificate of graduation. This does not entitle the holder to use the doctoral degree.

### **§ 23 Denial and withdrawal of the doctoral degree**

(1) If, before the doctoral certificate is issued, it is established that essential prerequisites for admission to the doctoral program were erroneously assumed to be met or that the doctoral candidate attempted deception in their performance in the doctorate procedure or violated good scientific practice, completion of the doctorate will be denied. Decisions on the entire process are made by the doctoral committee.

(2) After the doctoral certificate has been issued, the withdrawal of the doctoral degree is governed by the provisions of state law in accordance with § 21 HSG LSA. The return of the doctoral certificate is governed by the provisions of the Administrative Procedure Act of Saxony-Anhalt, as amended.

(3) Prior to the decision on the denial or withdrawal of the doctoral degree, the person concerned shall be given the opportunity to comment on the allegations made within a reasonable period of time.

### **§ 24 Appeal proceedings**

The person concerned may appeal against decisions of the doctoral committee to the doctoral committee or to the president or rector of the supervising university, which is responsible for the execution of the doctorate. If the doctoral committee does not remedy the objection, it forwards it immediately with a statement to the president or rector of the supervising university, which is responsible for the execution of the doctorate, who issues the decision on the objection.

### **§ 25 Continuation regulation doctoral center**

(1) If the number of professors in a department or subject-related doctoral center falls below six in accordance with § 1, no. 1 HAWPromVO, the right to confer doctorates is suspended until a successor has been appointed by the responsible ministry who meets the requirements of § 3 HAWPromVO. To terminate ongoing procedures, professors from other universities who fulfill the requirements of § 3 HAWPromVO can be co-opted in accordance with § 75, sect. 3 HSG LSA.

(2) In the event of the dissolution of the doctoral center or the departure of a supervisor from the doctoral center, ongoing doctorate procedures can be completed. This also applies regardless of the outcome of the evaluation of the right to confer doctorates.

### **§26 Coming into effect**

(1) These doctoral degree regulations shall come into effect after their approval by the president as well as the rectors of the partner universities participating in the doctoral center on the day following the last publication of the regulations in the manner provided for in each case at the partner universities.

(2) Issued on the basis of the resolutions of the Senate of the Harz University of Applied Sciences of March 31, 2021, the Senate of the Merseburg University of Applied Sciences of March 25, 2021 and the Senate of Anhalt University of Applied Sciences of February 24, 2021.

Prof. Dr. Jörg Bagdahn  
Anhalt University of Applied Sciences (partner university)

Prof. Dr. Jörg Kirbs  
Merseburg University of Applied Sciences (partner university)

Prof. Dr. Folker Roland  
Harz University of Applied Sciences (partner university)

Appendix 1: Declaration of the supervisor according to § 2 sect. 3 of the doctoral degree regulations

Name of the doctoral candidate:

Name of the supervisor:

I hereby confirm that the above-mentioned doctoral candidate has contributed significantly (see following list) to the publications/manuscripts printed in the dissertation and that the prerequisites according to § 2 sect. 3 of the doctoral degree regulations of May 26, 2021 have been met.

Title of publication/manuscript	Percentage of the doctoral candidate's volume of this publication/manuscript	Publication status A = published B = accepted for printing but not yet published

**Signature**

**Appendix 2: Title page for the work to be submitted**

**[Dissertation title.]**

**DISSERTATION**

submitted  
to the Doctoral Center Engineering Sciences and Information Technologies at the xxx  
University of Applied Sciences

for obtaining the academic degree of  
Dr.

Submitted by

.....  
(acad. Degree, first name, last name)

[ xxx University of Applied Sciences], .....  
(submission date)

### Appendix 3: Affidavit

I hereby declare that I have prepared this dissertation independently and without unauthorized outside assistance. I have not used any sources or aids other than those indicated and have marked as such all text passages taken verbatim or in spirit from published or unpublished writings and all information based on oral information. Likewise, all materials provided or services rendered by others are identified as such.

.....  
(place, date)

.....  
(signature)

**Appendix 4: Cover page for the deposit copies to be submitted**

[Dissertation title.]

**D I S S E R T A T I O N**

for obtaining the academic degree of  
Dr.

accepted  
at the doctoral center engineering sciences and information technologies at the xxx university

Submitted by

.....  
(acad. Degree First Name Last Name)

Acceptance of the dissertation was recommended by:

1. [Title acad. Degree First Name Last Name, Institution]
2. [Title acad. Degree First Name Last Name, Institution]

The awarding of the academic degree takes place with passing  
the oral defense at ..... with the overall assessment.....

**Appendix 5: Sample  
doctoral certificate**

[Logo of the university in  
question]

## Doctoral Certificate

During the term of office [of the president or rector],

name, first name

Prof. Dr. [Name]

\_\_\_\_\_

name, first name

In the doctoral center Engineering Sciences and Information  
Technologies under the directorate of

Prof. Dr. [Name]

\_\_\_\_\_

**[dd.mm.yyyy, location]**

Date of birth, place of birth

The university shall award the academic degree [of/one]

**Doktorin/Doktors [Dr.-Ing./Dr. rer.  
nat,]**

after he/she has completed a proper doctorate procedure under  
the supervision of

[first supervisor], [second supervisor]

through their dissertation

**"[Dissertation Title]"**

and has proven his/her scientific ability through the oral defense  
of the dissertation.

The overall assessment is [grade].

(Siegel)

