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Subject:

Doctoral Regulations

of Faculty IV –

Faculty of Natural Sciences and Technology

of the

University of Siegen

Dated 12 December 2024

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Pursuant to Section 2(4) and Section 67(3) of the Act on Higher Education Institutions in the State of North Rhine-Westphalia (Higher Education Act – HG) of 16 September 2014 (GV. NRW. p. 547), as last amended by Article 1 of the Act of 29 October 2024 (GV. NRW. p. 704), the University of Siegen has adopted the following Doctoral Regulations:

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§ 1

Right to Award Doctorates

- (1) Faculty IV – Faculty of Natural Sciences and Engineering confers the degree of Doctor of Natural Sciences (Dr. rer. nat.), Doctor of Engineering (Dr.-Ing.), Doctor of Education (Dr. paed.) and a Doctor of Philosophy (Dr. phil.) on the basis of an academic thesis (dissertation) written by the candidate and an oral examination.
- (2) The Faculty may confer the degree of Doctor of Natural Sciences honoris causa (Dr. rer. nat. h. c.), Doctor of Engineering honoris causa (Dr.-Ing. E. h.), Doctor of Education honoris causa (Dr. paed. h. c.) and an honorary Doctor of Philosophy (Dr. phil. h. c.) (§ 17).

§ 2

Requirements for a doctoral degree

- (1) A prerequisite for a doctoral degree is a degree in an engineering, natural sciences or mathematics programme
 - a) following a relevant university course of study with a standard duration of at least eight semesters, for which a degree other than a 'Bachelor' is awarded, or
 - b) following a relevant higher education programme with a standard duration of at least six semesters, followed by appropriate preparatory studies in the subjects relevant to the doctoral degree, or
 - c) a Master's degree programme within the meaning of Section 61(2), second sentence, of the Higher Education Act (HG).

The degree must have been awarded a grade of 'good' or higher. A prerequisite for the doctoral programme is also an in-depth knowledge of the subject matter in which the doctoral research is to be carried out. This knowledge is demonstrated by the modules or courses successfully completed during the course of study. Should such in-depth knowledge not have been acquired, admission may be subject to conditions requiring the completion of additional work. Further details are set out in paragraph 3.

- (2) Foreign examinations are recognised provided they correspond to a German final examination as set out in paragraph 1. The equivalence of foreign examinations is determined by the International Office on the basis of the equivalence agreements approved by the KMK and the HRK. In cases of doubt regarding equivalence, the Central Office for Foreign Education must be consulted. The final decision is taken by the Doctoral Committee of Faculty IV – Faculty of Natural Sciences and Technology. Admission may be subject to conditions requiring the completion of additional work. Further details are set out in paragraph 3.
- (3) The completion of additional coursework serves to demonstrate suitability for the doctoral programme. These requirements are determined by the Doctoral Committee in the preliminary procedure in accordance with Section 4, pursuant to Section 6(4)(c), on the basis of the candidate's knowledge, and are communicated to the candidate in writing. The requirements shall not exceed 30 credit points, or 60 credit points in the case of applicants under Section 2(1)(b). Further details may be regulated by cooperation agreements between the University of Siegen and another higher education institution, provided that the Doctoral Committee has approved such an agreement.
- (4) If the subject of the degree referred to in paragraph 1 or 2 does not correspond to the intended doctoral degree, the doctoral programme is only possible if the subject is related to the doctoral subject. If this is the case, the Doctoral Committee shall have the

right to amend the intended doctoral degree or to make admission subject to the completion of additional requirements. Further details are set out in paragraph 3.

- (5) In justified exceptional cases, a degree graded 'satisfactory' as referred to in paragraph 1 may also be recognised as a prerequisite for doctoral study. The Doctoral Committee shall decide on any such application in preliminary proceedings in accordance with § 4. Admission may be subject to conditions requiring the completion of additional work. Further details are set out in paragraph 3.
- (6) The Faculty's Doctoral Committee shall decide on a case-by-case basis on the admission of applicants who have already been awarded a doctorate. Multiple doctorates of the same degree are not permitted.

§ 3

Eligibility to Supervise Doctoral Theses

Those entitled to supervise doctoral candidates are professors holding the qualification specified in Section 36(1)(4) of the Higher Education Act (HG), university lecturers holding the qualification specified in

§ 36(1)(4) of the Higher Education Act (HG), those who have completed their habilitation, and junior professors following a positive evaluation. Upon application, a junior professor may, in justified exceptional cases, be granted the authority to supervise doctoral candidates prior to a positive evaluation. The decision is taken by the Faculty Council. Furthermore, professors holding the qualification specified in Section 36(1)(5) of the Higher Education Act (HG), with additional recognised research achievements in accordance with the decision of the Founding Senate of 8 February 1982, are authorised to award doctoral degrees. In addition, within the framework of a cooperation with a university of applied sciences, academic staff employed there are also authorised to supervise doctoral theses, provided they have demonstrated their academic achievements and have been approved by the Faculty Council. Honorary professors may be granted the right to supervise doctoral theses; the Faculty Council decides on the application.

§ 4

Application for Admission

- (1) Before the doctoral procedure commences, the prospective doctoral candidate must submit an application for admission as a doctoral candidate to the Chair of the Doctoral Committee. The application must specify the subject area of the doctoral thesis, the provisional title of the thesis, the doctoral degree to be awarded and the supervisor. Where applicable, the supervisor shall draw up a proposed list of courses for the additional requirements to be fulfilled to the extent specified in § 2(3). A supervision agreement between the supervisor and the doctoral candidate must, as a matter of principle, be concluded and attached to the application.

The following must also be attached to the application:

- a) Proof of a degree in accordance with Section 2(1) to (2),
- b) a brief description of the research topic to be addressed,
- c) a tabular curriculum vitae,
- d) a declaration of consent from the supervisor,
- e) an assessment by the supervisor as to whether the relevant degree is of sufficient quality and breadth for the doctoral subject

- f) and a fully completed questionnaire for doctoral examination candidates.
- (2) Supervisors must be authorised to award doctorates in accordance with Section 3 and must teach the doctoral subject or parts thereof. The doctoral thesis is supervised by one, or at most two,

supervisors. At least one of them must be a member of the University of Siegen. Retired professors of the University of Siegen may continue to supervise doctoral candidates for up to five years after retirement. After the five-year period has elapsed, retired professors may also be approved as supervisors upon application. In this case, a second supervisor who is a member of the University of Siegen and is not retired must be appointed. The Doctoral Committee decides on the application.

- (3) Authorisation is initially limited to six years from the date of authorisation. Doctoral candidates may apply to the Doctoral Committee for an extension of the authorisation for a further two years within a period commencing six months before the expiry of this term, in writing and accompanied by the written consent of the supervisor as well as a work plan and timetable approved by that person. A further extension is possible for two additional years at a time, subject to the relevant procedure.
- (4) The Doctoral Committee decides on the acceptance or rejection of the application by a simple majority. In the event of a tied vote, the application is deemed to have been rejected. In cases of uncertainty, the matter is discussed with the supervisor. The applicant is notified of the decision in writing without delay. In the event of rejection, the reason must be stated. Where applicable, a decision must be made regarding additional requirements in accordance with § 2(3). Approval may only be refused if the conditions set out in § 2 are not met, if the subject matter of the doctoral thesis cannot be assigned to the faculty (§ 1(1)), or if no supervisor can be found for the doctoral programme.

§ 5

Requirements for the Doctorate

- (1) The doctoral programme is intended to demonstrate specialised academic knowledge and skills, as well as the ability to carry out independent academic work. The requirements for the doctoral degree consist of a dissertation and an oral examination.
- (2) The doctoral thesis must represent an independent, advanced contribution to research in the relevant academic discipline or to the didactics of that discipline, and must demonstrate the candidate's ability to address an academic problem appropriately and to present the results in a suitable manner. The doctoral thesis should be written in German or English.
- (3) Parts of a group project may also be used for the doctoral thesis. In this case, the doctoral candidate's thesis must clearly identify their contribution to the group project and meet the criteria set out in paragraph 2.
- (4) At least three previously published or accepted publications containing substantial contributions by the doctoral candidate – as evidenced, as a rule, by the candidate's status as first author – may be submitted as a cumulative thesis. The individual contributions must be intrinsically linked and connected by an overarching research question. The publications must have been published in internationally recognised journals or at internationally recognised conferences, or accepted for publication, and must generally not be more than five years old; furthermore, the publications must have previously undergone a peer-review process. Where there are multiple authors, the doctoral candidate's contribution must be clearly documented in order to enable an assessment of their ability to carry out independent academic work. The cumulative dissertation must be preceded by an introduction that refers to the articles as a whole and explains the overarching research question of the doctoral thesis. Furthermore, a comprehensive documentation must set out the contribution made by the doctoral candidates, both individually and collectively, towards answering this research question. For the

, further, unpublished descriptions of the methods and procedures must be attached where necessary.

- (5) Prior publication of content from the thesis does not preclude its acceptance as a doctoral thesis.
- (6) The oral examination consists of a public presentation by the doctoral candidate on the content and findings of the dissertation. This is followed by a defence. Further details are set out in § 11. The defence takes the form of an examination discussion, taking into account the current state of research in the relevant subject area.

§ 6

Doctoral Committee

- (1) The Faculty Council elects the members of a committee responsible for conducting the doctoral procedures (Doctoral Committee) and the subject-specific committees, as well as a deputy for each member of the Doctoral Committee and the subject-specific committees.
- (2) The Doctoral Committee comprises the Chair and two deputies, who must be professors, two further professors, a research assistant and a postgraduate student. Overall, the Doctoral Committee must ensure a majority of professors authorised to award doctorates in accordance with § 3, sentence 1.

The Chair and the two Deputy Chairs are elected by the Faculty Council. Each of the three fields – Doctor of Engineering, Doctor of Natural Sciences and the joint field of Doctor of Education and Doctor of Philosophy – must be represented by the Chair or a Deputy Chair.

University lecturers and research assistants are elected for a term of two years; students are elected for one year. Re-election is permitted. Care should be taken during the elections to ensure balanced representation of all disciplines on the Doctoral Committee.

The Doctoral Committee has a quorum if the Chair or one of their deputies and at least three other members are present.

- (3) The Doctoral Committee is supported by three subject committees: one for the fields of Doctor of Engineering, one for the fields of Doctor of Natural Sciences, and a joint subject committee for the fields of Doctor of Education and Doctor of Philosophy. The members of the subject committees should each come from the relevant fields.

Each specialist committee comprises a chairperson and two deputy chairpersons, who must be professors, as well as one further professor, one research assistant and one postgraduate student. Furthermore, the chair and the two deputy chairs of the doctoral committee are ex officio members of each subject committee with voting rights.

The chair of a subject committee is, in each case, the chair or deputy chair of the doctoral committee falling within the subject committee's area of responsibility. The two deputy chairs are elected by the Faculty Council.

Professors and research staff are elected for a term of two years; students for one year. Re-election is permitted.

A subject committee has a quorum if the chair of the subject committee or one of their deputies and at least three other members are present.

- (4) In the context of its procedural management, the Doctoral Committee is responsible in particular for the following tasks:
- a) Deciding on the admission of doctoral candidates in accordance with Section 4(3),
 - b) determining the equivalence of foreign examinations in accordance with Section 2(2),
 - c) the determination of additional prior academic achievements in accordance with Section 2(3), following consultation with representatives of the doctoral subject area,
 - d) deciding on the commencement of the doctoral procedure, where appropriate after consulting representatives of the doctoral subject area,
 - e) the selection of examiners and members of the doctoral committee in accordance with Section 8(3) to (5) and the appointment of the chairperson,
 - f) the appointment of further examiners in accordance with Section 10(7),
 - g) the decision in the event of failure to attend the oral examination in accordance with Section 11(1),
 - h) the decision as to which doctoral degree is to be awarded; and
 - i) deciding on appeals lodged by the candidate against decisions taken during the doctoral procedure.

Tasks (a) to (h) may be delegated to the subject committees.

§ 7

Application to commence proceedings

- (1) The doctoral candidate shall submit the application to commence proceedings to the Chair of the doctoral committee via the Dean.
- (2) The application to commence proceedings must be accompanied by the following documents:
 - a) a declaration that the doctoral candidate is familiar with the applicable doctoral regulations and accepts them,
 - b) the written notification from the doctoral committee regarding admission as a doctoral candidate in the preliminary stage in accordance with § 4(3) and, where applicable, regarding the required achievements in accordance with § 2(3),
 - c) where applicable, evidence of additional achievements in accordance with Section 2(3),
 - d) a tabular curriculum vitae,
 - e) five copies of the doctoral thesis, either handwritten or typed, each bearing a cover page in accordance with the template available from the Dean's Office and containing an abstract in German and English,
 - f) a digital version of the dissertation,
 - g) a proposal for at least two examiners in accordance with Section 8(3) and (4),

- h) a declaration signed by the supervisor stating that they consent to the submission of the dissertation and that this work is expected to meet the requirements set out in Section 5(2),
 - i) a proposal for the other members of the doctoral examination board,
 - j) the names, academic degrees and addresses of other researchers, insofar as the dissertation utilises research findings obtained in collaboration with these researchers,
 - k) a statement by the doctoral candidate as to whether they have previously applied for, or are simultaneously applying for, a doctoral programme at another higher education institution or at another faculty, including, where applicable, full details of the outcome of such an application,
 - l) proof of registration, which must not be more than three months old,
 - m) a statutory declaration by the doctoral candidate in the following form:

“I hereby declare on my honour that I have produced this thesis without unauthorised assistance from third parties and without the use of other, uncredited resources. Data and concepts taken directly or indirectly from other sources are identified with a reference to the source.

The thesis has not previously been submitted to any other examining body, either in this country or abroad, in the same or a similar form.

No services of a doctoral placement agency or similar organisation have been utilised.”
 - n) and a written declaration by the doctoral candidate in the following form:

“There are no family ties with the proposed members of the doctoral examination board, including no first-degree kinship, marriage, civil partnership or cohabitation.”
- (3) To ensure equal opportunities, doctoral candidates who, due to a disability or other physical or mental impairment, are unable to sit an examination in accordance with these doctoral regulations, either in full or in part, in the prescribed form, shall be granted reasonable accommodation. A request for this must be made in writing to the chair of the doctoral committee, accompanied by a medical certificate. Compensation for disadvantage may, in particular, be granted by allowing the examination to be taken in a different format.

§ 8

Commencement of the doctoral procedure, doctoral committee, examiners

- (1) The Doctoral Committee shall decide on the commencement of the doctoral procedure, where appropriate after consulting representatives of the doctoral subject area, by a simple majority. In the event of a tied vote, the application shall be deemed rejected. The commencement of the procedure may only be rejected if the requirements set out in § 2 and § 7 are not met, if the subject area of the doctoral thesis cannot be assigned to the faculty (§ 1(1)), or if the doctoral candidate has been convicted of an intentional academic offence and the conviction has become final. The commencement of the doctoral procedure must be rejected if the faculty does not include at least one reviewer who is competent in the relevant academic discipline or subject didactics, in accordance with paragraphs 3 and 4. If the application to commence the doctoral programme is rejected, the doctoral candidate must be notified of this in writing without delay, stating the reasons and providing information on the right of appeal.

- (2) An application to initiate proceedings may be withdrawn as long as the doctoral committee has not yet taken a decision on the initiation of proceedings. In this case, the doctoral proceedings shall be deemed not to have been initiated.
- (3) The Doctoral Committee shall select the examiners, who must be competent in the relevant academic discipline or subject didactics, and the members of the Doctoral Board. Examiners and members of the Doctoral Board may only be persons as specified in § 3. § 4(1) remains unaffected. In selecting the examiners and members of the doctoral committee, the doctoral committee is not bound by the proposals of the doctoral candidate under Section 7(2)(g) and (i).
- (4) Two or more examiners shall be appointed. As a rule, at least one supervisor of the thesis shall be one of the examiners. At least one examiner must represent the relevant subject area. External examiners from other subject areas may be appointed. The involvement of external examiners is expressly welcomed by the faculty.
- (5) The Doctoral Committee consists of at least four members. As a rule, the examiners are members of the Doctoral Committee. At least two members of the Doctoral Committee must represent the doctoral subject area. If the topic of the doctoral thesis extends beyond the boundaries of the relevant subject area, the Doctoral Committee must include representatives from the relevant subject areas.
- (6) The Doctoral Committee appoints a chairperson from among the members of the Doctoral Board.

§ 9

Duties of the Doctoral Committee

- (1) In accordance with Section 10(7) to (9), the Doctoral Committee decides on the acceptance of the doctoral thesis and the mark to be awarded, based on the recommendations of the examiners. In accordance with Section 11(2), the Doctoral Committee conducts the oral defence as a collegial examination and decides on the mark for the oral defence.
- (2) The Chair manages the affairs of the Doctoral Committee. In particular, the Chair obtains the reports from the appointed examiners, sets the date for the oral examination and issues invitations to it, arranges for the dissertation and the reports to be made available, convenes the Doctoral Committee, chairs the oral examination and handles the correspondence of the Doctoral Committee.
- (3) The Chair of the Doctoral Committee ensures that the assessment of the doctoral work is completed within five months of the submission of the dissertation, provided there are no compelling reasons to the contrary.
- (4) The doctoral committee has a quorum when all members are present and takes decisions by a two-thirds majority.

§ 10

Assessment of the dissertation

- (1) The examiners shall each prepare independent written reports containing a recommendation as to whether the doctoral thesis should be accepted or rejected and, in the event of acceptance, a proposed mark.

- (2) The period from the commencement of the doctoral procedure to the completion of the reports shall not exceed eight weeks.

- (3) The mark awarded for the doctoral

thesis may be: very good

(1.0)

good (2.0)

satisfactory (3.0)

adequate (4.0)

Within the range 1.0 to 4.0, intermediate marks may be formed by increasing or decreasing the individual marks by 0.3 to allow for a more nuanced assessment. The marks 0.7 and 4.3 are excluded from this range. In the case of an outstanding doctoral thesis, the distinction 'with distinction' (summa cum laude) may be awarded.

- (4) If the marks awarded in the two reports differ by more than two whole marks, the Doctoral Committee shall propose to the Doctoral Board that a further reviewer be appointed.
- (5) Once the reports have been finalised, the thesis and the reports shall be made available for inspection for twelve working days, or 18 working days during the period when no lectures are held, at the relevant department office. The relevant Head of Department shall announce the availability of the thesis for inspection, specifying the inspection period, following consultation with the Chair of the Doctoral Committee.
- (6) During the display period, the doctoral thesis shall be accessible to all those entitled to pursue a doctorate at the university in accordance with § 3. The doctoral thesis and the reports shall be accessible during the display period to the members of the doctoral committee, the members of the doctoral commission and to all those entitled to pursue a doctorate within the faculty.
- (7) Any of the persons referred to in paragraph 6, sentence 2, may submit written comments on the doctoral thesis or the reports no later than seven days after the end of the display period, provided that the chair of the Doctoral Committee has been notified in writing of such comments during the display period.
- (8) If the dissertation is not recommended for acceptance by one or more examiners, or if one or more written comments on the dissertation have been submitted recommending its rejection in its current form, the Chair shall convene a meeting of the Doctoral Commission, which shall take place no later than seven days after the expiry of the period for submitting comments referred to in paragraph 7.

The Doctoral Committee shall decide on the acceptance or rejection of the dissertation on the basis of the available reports and after deliberating on the comments received. Acceptance of the thesis may be subject to the condition that corrections are made. If at least one member of the Doctoral Committee objects to this decision at the meeting, the Doctoral Committee shall propose to the Doctoral Board, prior to a final decision, the appointment of one or more additional reviewers. Section 8(3) and (4) and Section 10(1) to (6) shall apply mutatis mutandis.

- (9) In the event that the doctoral thesis is rejected, the doctoral candidate shall be notified in writing without delay by the Dean of the decision of the doctoral committee.

If the dissertation is accepted, subject to conditions where applicable, the procedure set out in paragraph 10 shall be followed.

- (10) The Chair of the Doctoral Committee shall set the date for the meeting of the Doctoral Committee at which a decision on the marking of the doctoral thesis is to be taken and the doctoral candidate's oral examination is to take place.
- (11) The dissertation is marked on the basis of the available reports and following consideration of any comments received. If no written comment on the award of the mark is available, the mark awarded must be equal to one of the marks proposed by the examiners or lie within the range of the marks proposed by the examiners.
- (12) If a written statement is submitted, the chair of the Doctoral Subject Committee must be informed; the chair may send a representative to the meeting of the Doctoral Committee. The reasoned outcome of the Doctoral Committee meeting at which the statement was considered must be brought to the attention of the Doctoral Subject Committee without undue delay.

§ 11

Oral examination

- (1) If the doctoral candidate culpably fails to attend the examination on the appointed date or withdraws after the examination has begun without valid reasons, the examination shall be deemed to have been failed. The decision on this matter is taken by the Doctoral Committee. If valid reasons are put forward for the absence or withdrawal, these must be notified in writing to the Doctoral Committee via the Chair of the Doctoral Committee without delay and substantiated. In the event of illness, a medical certificate must be provided. If the reasons are accepted, a new date shall be arranged.
- (2) The oral examination is conducted by the Doctoral Committee as a collegial examination and chaired by the Chair. The examination begins with a 30- to 45-minute presentation in German or English by the doctoral candidate on the content and findings of the thesis. This part of the oral examination is open to the university public. At the candidate's request, persons who are not members of the university may be admitted to the presentation. The chair of the Doctoral Committee decides on this matter. Following the presentation, a defence takes place, which usually lasts one hour, or a maximum of 90 minutes. In addition to the members of the Doctoral Committee and the Doctoral Board, all members of the faculty who are authorised to award doctorates in accordance with § 3 are entitled to participate in the defence. Members of the Doctoral Committee have priority in asking questions. The questioning covers the doctoral thesis as well as the relevant subject area and related fields. It is conducted as an examination discussion, taking into account the current state of scholarship. The chair of the doctoral committee shall draw up minutes of the examination. The doctoral committee shall decide on the mark for the oral examination immediately after the examination has concluded, based on the overall impression of the presentation and defence formed by the members of the doctoral committee. The deliberations and the determination of the mark are not public.
- (3) The mark for the oral examination may be:

very good	(1.0)
good	(2.0)
satisfactory	(3.0)
adequate	(4.0)
insufficient	(5.0)

In the range from 1.0 to 4.0, intermediate marks may be awarded by increasing or decreasing individual marks by 0.3 to allow for a more nuanced assessment. The marks 0.7 and 4.3 are excluded from this range. The oral examination is passed if the mark is 4.0 or higher.

- (4) If the oral examination is assessed as 'unsatisfactory' or is deemed to have been failed, the doctoral candidate may retake it once. The retake may take place no earlier than six months later and must take place no later than one year after the original examination. If the retake is also failed or is deemed to have failed, the entire doctoral procedure is deemed to have failed. The Dean shall issue a written notification to this effect, which must include information on the right of appeal.
- (5) Other doctoral candidates whose applications for admission to doctoral studies have been accepted may, subject to space availability, be admitted as observers at the public defence, provided the doctoral candidate consents. This admission does not extend to the consultation or the announcement of the examination result.

§ 12

Overall mark for the doctoral degree

- (1) Once the oral examination has been passed, the doctoral committee shall decide on the overall mark.
- (2) In calculating the overall mark, the mark for the dissertation is weighted twice, whilst the mark for the oral examination is weighted once. When calculating the overall mark, only the first decimal place is taken into account; all subsequent decimal places are disregarded without rounding. The overall mark is as follows for values of

1.0–1.5	is 'magna cum laude',
1.6–2.5	cum laude,
2.6–4.0	pass.

Notwithstanding this, the grade 'with distinction' (summa cum laude) may be awarded if all written reports unreservedly recommend the dissertation grade 'very good' (1.0), at least one report has awarded the distinction 'with distinction', the oral examination is uniformly assessed by all members of the doctoral committee as 'very good' (1.0) and the doctoral committee unanimously concludes that the overall performance is particularly outstanding. The chair of the doctoral committee shall inform the doctoral candidate of the overall mark without delay.

- (3) Only the Latin formulation of the overall mark shall be stated on the doctoral certificate.

§ 13

Deposit copies and publication of the dissertation

- (1) The doctoral candidate is obliged to make their dissertation accessible to the academic community in an appropriate manner through reproduction and distribution. The dissertation is deemed to have been made available to the academic community in an appropriate manner if, in addition to the two copies required for the faculty's examination records, the author submits four copies for archiving—which must be printed on age-resistant, wood-free and acid-free paper and bound in a durable manner—to the university library free of charge and, in addition, ensures its dissemination by submitting an electronic version, the data format and storage medium of which must be agreed with the university

library. In this case, the doctoral candidate transfers to the university the right, within the scope of the statutory duty

of university libraries, to produce and disseminate further copies of the doctoral thesis or to make them available via data networks. This requires the consent of the supervisor and, where applicable, other rights holders to content within the doctoral thesis. If such consent is not available, and in other justified cases, dissemination may instead be ensured by either:

- a) the deposit of a further 40 copies in book or photoprint form, or as microfiche, or
 - b) proof of distribution via bookshops by a commercial publisher with a minimum print run of 150 copies, or as a 'print-on-demand' publication, or
 - c) proof of publication in a peer-reviewed academic journal.
- (2) The published thesis must include the names of the examiners and the date of the oral examination.
 - (3) The chair of the doctoral committee shall certify that the deposit copies correspond to the version approved by the doctoral committee on the basis of a certificate issued by the supervisor. If the mandatory copies deviate from the version approved by the Doctoral Committee beyond the additions specified in paragraph 2, such deviation requires authorisation. Authorisation is granted by the Chair of the Doctoral Committee in consultation with at least one examiner, following prior examination of both versions.
 - (4) The copies of the dissertation for the examination files listed in paragraph 1 must be submitted to the Dean's Office, together with the fully completed library registration form.
 - (5) The mandatory copies must be submitted to the Dean no later than one year after the examination has been passed. Upon a reasoned request from the doctoral candidate, the Dean may extend the submission deadline.

§ 14

Completion of the doctoral procedure

- (1) The doctoral degree is conferred once the dissertation has been accepted, the oral examination has been passed and the dissertation has been made available to the academic community in accordance with § 13(1).
- (2) The Dean shall confirm the completion of the procedure and arrange for a certificate to be issued. The certificate shall state the topic of the doctoral thesis, the doctoral degree awarded and the overall mark in Latin. The date of the oral examination must be stated on the certificate. The certificate bears the signature of the Dean of the Faculty and the Vice-Chancellor, as well as the Faculty's seal.
- (3) The Dean shall present the certificate to the doctoral candidate as soon as the dissertation has been made available to the academic community in accordance with Section 13(1) and the certificate or authorisation referred to in Section 13(3) has been received. The doctoral degree may only be used after the certificate has been presented. At the request of the doctoral candidate, a provisional certificate shall be issued following the completion of the oral examination, stating the title and the overall mark of the doctoral thesis. However, this certificate does not entitle the holder to use the doctoral title.
- (4) The completion of the procedure shall be announced to the Vice-Chancellor and the university community.
- (5) All written documents relating to the doctoral procedure must be kept in the relevant department.

- (6) Upon completion of the doctoral procedure, the doctoral candidate shall, upon request, be granted access to their examination files.

§ 15

Termination of the procedure

- (1) If the doctoral candidate, by means of a written declaration to the relevant Dean, waives the right to continue the procedure, the doctoral degree shall be deemed not to have been awarded. The relevant Dean shall inform the Faculty Council, the Doctoral Committee and the Doctoral Board of the termination of the procedure. In this case, a one-off retake, taking into account the doctoral work already completed, is possible.
- (2) If examination requirements are definitively not met during the doctoral procedure, the doctoral procedure shall be terminated without success. The doctoral candidate must be notified of this by the Dean, stating the reasons and enclosing information on the right of appeal.
- (3) If it is established that the doctoral candidate has knowingly provided misleading information regarding § 7(2) or § 2, the doctoral committee shall decide whether the doctoral procedure may continue. The doctoral candidate must be given the opportunity to respond to the allegations. If the procedure is discontinued, the doctoral degree is deemed not to have been awarded. The Chair of the Doctoral Committee shall inform the Doctoral Commission and the Faculty Council of this. The Doctoral Committee's decision to terminate the doctoral proceedings must be substantiated and served on the doctoral candidate together with information on the right of appeal.

§ 16

Joint doctoral programme with a foreign higher education institution

- (1) A doctoral degree at Faculty IV – Faculty of Natural Sciences and Technology at the University of Siegen may be undertaken in conjunction with a foreign university in a joint doctoral programme. This programme is overseen by the relevant bodies of the foreign university and the doctoral committee. It provides for a supervisor for the doctoral thesis at each of the two universities. The admission requirements for doctoral study at both universities must be met.
- (2) The joint doctoral programme must be governed by an agreement between Faculty IV – Faculty of Natural Sciences and Technology at the University of Siegen and the foreign higher education institution. Such agreements must be approved by the Doctoral Committee. The agreement shall, in particular, regulate the examination requirements, the composition of the examination board and the method of certification. It shall be based on the regulations governing doctoral studies at Faculty IV – Faculty of Natural Sciences and Technology at the University of Siegen, but may deviate from them in details. It may impose additional requirements, such as academic achievements to be attained. Furthermore, the agreement must specify that only a single doctoral degree may be awarded.

§ 17

Honorary Doctorate

- (1) Faculty IV – Faculty of Natural Sciences and Engineering may, in recognition of outstanding academic achievements in research or the exceptional application of scientific knowledge in

the fields of engineering, natural sciences

or subject didactics represented within the Faculty, in agreement with the Senate and the Rectorate of the University of Siegen, confer the honorary degree of Doctor of Engineering (Dr.-Ing. E. h.), Doctor of Natural Sciences (Dr. rer. nat. h. c.), Doctor of Education (Dr. paed. h. c.) or an honorary doctorate in philosophy (Dr. phil. h. c.) in accordance with Section 1(2). Corresponding applications must be submitted by at least three professors of the Faculty who meet the qualifications set out in Section 3.

- (2) To assess the academic achievements of the honouree, the Doctoral Committee shall form a sub-committee comprising at least three members of the faculty who meet the qualifications set out in Section 3, sentence 1. On the basis of the sub-committee's recommendation, the Faculty Council shall decide, by a two-thirds majority of its elected members, whether to forward the application to the Senate and the Rector's Office. The certificate shall recognise the academic achievements of the person to be honoured.

§ 18

Revocation or Withdrawal of the Doctorate

- (1) The doctoral degree shall be revoked if, following completion of the doctoral procedure, it transpires that it was obtained by deception or if essential requirements for its award were erroneously deemed to have been met. The doctoral certificate shall be withdrawn.
- (2) The doctoral degree may be revoked if the doctoral candidate has been convicted by a final and binding judgement of an intentional academic offence. If the doctoral degree is revoked, the doctoral certificate shall be withdrawn.
- (3) The Faculty Council shall decide on the revocation or withdrawal of the doctoral degree. Before a decision is taken, the person concerned must be given the opportunity to submit their views.
- (4) The Dean of Faculty IV – Faculty of Natural Sciences and Technology – shall inform the Rector of the University of Siegen of the revocation or withdrawal of the doctoral degree.

§ 19

Transitional Provisions

- (1) Doctoral candidates whose doctoral proceedings had already been initiated before these regulations came into force shall continue in accordance with the doctoral regulations under which they were initiated. Paragraphs 2 and 3 shall be observed.
- (2) For doctoral candidates who were admitted to the doctoral programme prior to the entry into force of these regulations and whose admission has already been in force for at least five years at the time of the entry into force of these regulations, § 4(3) (temporary admission) shall apply as follows: their admission shall lapse on 31 December 2025, unless they apply in writing for an extension of their admission in good time before 31 December 2025, in accordance with the procedure set out in § 4(3) of these regulations.
- (3) For doctoral candidates who were admitted to the doctoral programme prior to the entry into force of these Regulations and whose admission had been in force for less than five years at the time of the entry into force of these Regulations, Section 4(3) (temporary admission) shall apply as follows: their admission shall lapse five years after admission, but no earlier than 31 December 2026, unless they apply in writing for an extension of their admission within six months prior to the expiry of their admission, in accordance with the procedure set out in Section 4(3) of these Regulations.

§ 20

Entry into force, repeal

1. These Doctoral Regulations shall enter into force on the day following their publication. They shall be published in the official gazette 'Amtliche Mitteilungen der Universität Siegen'.
2. The Doctoral Regulations of the Faculty of Natural Sciences and Technology at the University of Siegen dated 6 August 2020 (Official Notice 49/2020) shall cease to have effect upon the entry into force of these Doctoral Regulations, subject to § 19(1).

Drawn up on the basis of the resolutions of the Faculty Council of Faculty IV – Faculty of Natural Sciences and Technology – dated 4 September 2024 and 4 December 2024.

It is noted that, in accordance with Section 12(5) of the Law on Higher Education Institutions in the State of North Rhine-Westphalia (Higher Education Act – HG NRW), a breach of procedural or formal requirements under the Higher Education Act or under the university's regulations or other autonomous law may no longer be invoked one year after this publication, unless

1. the regulations have not been duly published,
2. the Rectorate has previously objected to the decision of the body that adopted the regulations,
3. the procedural or formal defect has been previously raised as an objection with the university, specifying the legal provision that has been breached and the fact giving rise to the defect, or
4. the legal consequence of the exclusion of objections was not indicated in the public notice of the regulations.

Siegen, 12 December 2024

The Vice-

Chancellor,

signed

(Prof. Dr Stefanie Reese)