

**Doctoral Degree Regulations of School VI – Medicine and
Health Sciences of the University of Oldenburg for the
Award of the Doctoral Degree**

**Doktor der Gesundheitswissenschaften
(Dr. rer. medic., Doctor of Health Sciences)**

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unofficial reading version

On 12 January 2022, the School Council of School IV - Medicine and Health Sciences of the University of Oldenburg approved the first amendment to the doctoral degree regulations, in the version dated 23 May 2018, in accordance with Section 9.3(1) of the Lower Saxony Higher Education Act (NHG) (published on 26 February 2007 in the Lower Saxony Law and Official Gazette, p. 69), which was last amended by Article 4 of the Act of 15 June 2017 (Lower Saxony Law and Official Gazette, p. 172). This amendment was approved by the Presidential Board on 8 March 2022 in accordance with Section 44.1(3) of the NHG..

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Section 1

Purpose of the doctorate, doctoral degrees and required assignments

(1) The doctorate serves as proof of the ability to carry out in-depth, independent scientific work. Doctoral candidates must complete the following assignments:

- a. a written doctoral thesis (dissertation) with a subject that belongs to the field of Health Sciences and corresponds with the desired degree. For details, see Section 8;
- b. an oral examination (thesis defence). For details, see Section 12;
- c. publication of the thesis. For details, see Section 14;
- d. participation in inter- and transdisciplinary courses for the acquisition of scientific skills amounting to a total of 12 ECTS, of which at least 6 ECTS are in the fields of Good Scientific Practice and/or Scientific Methods. This requirement can be met by attending appropriate Graduate School and Graduate Academy courses.

(2) Pursuant to (1), School VI - Medicine and Health Sciences (hereinafter referred to as the School) awards the doctoral degree of Doktor der Gesundheitswissenschaften (Doctor rerum medicinalium, abbreviated Dr. rer. medic., Doctor of Health Sciences) for advanced independent scientific work in the field of Health Sciences. Doctoral projects with a primary focus on human medicine, natural or engineering sciences or psychology are governed by separate doctoral regulations and are therefore not dealt with in the present Doctoral Degree Regulations.

(3) Joint doctoral procedures with German or foreign universities, e.g. faculties of the University of Groningen (UG), or non-academic research institutions (hereinafter referred to as cooperation partners), can be undertaken in the framework of national or international doctoral programmes, in a joint scientific institution in accordance with Section 36 a of the Lower Saxony University Act (NHG), or on the basis of a cooperation agreement. Before initiating a bi-national doctoral degree procedure, the parties involved must confer with regard to the particularities of the procedure. If permissible, in the cases mentioned, the doctoral degree is jointly awarded by the School and the competent institution of the cooperation partner, or else by way of a double doctorate, provided that the cooperation partner has the right to confer doctorates. Otherwise, the degree will be awarded by the School with reference to the cooperation. For procedures with the University of Groningen, the specific regulations according to Annex 4 'Bi-national doctoral degree procedures with the University of Groningen (UG)' apply.

Section 2

Competences

(1) The following committees are involved in the doctorate process:

- a. the Doctorate Committee (Section 3),
- b. the Examination Committee (Section 4),
- c. the assessors (Section 5),
- d. the first supervisor of the doctoral project and the Supervisory Committee (if it has been established) (Section 7),
- e. the Dean.

(2) The Doctorate Committee decides on admission and all other procedural matters, unless the Doctoral Degree Regulations provide otherwise.

(3) The Examination Committee conducts the thesis defence and assesses it.

(4) The assessors evaluate the thesis. The assessment reports are prepared independently from each other.

(5) The first supervisor will advise and support the doctoral candidate in the preparation of the doctoral thesis (Section 7). The first supervisor will prepare a votum informativum (written assessment) without a proposed grade. If a Supervisory Committee has been set up, it will accompany the supervision of the thesis.

(6) The Dean will complete the procedure with the delivery of the degree certificate.

Section 3 Doctorate Committee

(1) For the award of the degree according to Section 1 (2), the School will, by decision of its Faculty Council, form a Doctorate Committee from among its members.

(2) The Doctorate Committee consists of a member of the professors' group or a habilitated member or associate as chair, and usually four other members of the professors' group or habilitated members or associates. The majority of the members should have a doctorate related to health sciences or a relevant professorship. The Committee also has two advisory members, one from the group of academic research staff and the other from among the accepted doctoral candidates. All members have up to three deputies. The members of the Doctorate Committee and their deputies for each status group are elected by the Faculty Council for a term of two years, and in the case of accepted doctoral students, for one year. The order of the deputies is to be determined in the election. The chair is elected by the Faculty Council. The Doctorate Committee decides by a majority of its votes. In the case of a tied vote, the matter will be decided by the chair's vote. Abstentions are not allowed. The deliberations of the Doctorate Committee are not public.

Section 4 Examination Committee

(1) After accepting the thesis, the responsible Doctorate Committee appoints an Examination Committee and a chair for each doctoral degree procedure. The composition of the Committee should adequately reflect the relevant fields of study. Areas of expertise outside the health sciences that are touched on by the thesis should, if possible, be considered in the composition of the Committee. The Examination Committee will consist of at least three authorized examiners according to (3), of whom:

- a) at least one member or deputy member of the Doctorate Committee will belong to the group of professors or at least be habilitated and will usually take the chair of the Examination Committee,
- b) at least one of the assessors,

The Examination Committee may include one additional voting member from the group of researchers with a doctorate.

The responsible Doctorate Committee may appoint up to two further examiners. When carrying out bi-national or other joint doctoral procedures (Section 1 (3)), professors of the cooperation partner should be adequately considered in the composition of the Committee.

(2) Decisions of the Examination Committee are taken by a majority of its members. The Examination Committee responsible for a doctoral project will conduct the oral examination (thesis defence) in accordance with Section 12 and assess the candidate's performance. In accordance with Section 13, it will decide definitively on the overall evaluation of the doctoral thesis, unless it proposes the overall grade *ausgezeichnet* (*summa cum laude*). In that case, in accordance with Section 13 (2), the Doctorate Committee will take the final decision. For the conduct of the oral examination, the assessment and the final decision, the presence of all three members of the Examination Committee is required.

The deliberations of the Examination Committee are not public.

(3) Members of the professors' group according to Section 16 (2) Sentence 4 no 1 of the Lower Saxony University Act (NHG) and other habilitated members or associates of the University, lecturers not on furlough and honorary professors are authorized to act as examiners. The same applies to junior research group leaders operating in the framework of externally assessed projects funded by recognized institutions for research or research funding. The Faculty Council will decide whether a research or research funding organization belongs to the recognized institutions. In individual cases, the Doctorate Committee may, at the suggestion of the Faculty Council, also authorize persons with a doctorate to act as examiners despite them not fulfilling these formal qualifications.

Section 5 Section Assessors

(1) As a rule, the Doctorate Committee will appoint two assessors who meet the requirements of Section 4 (3) and jointly cover the fields of study of the thesis in question.

(2) As a rule, the assessors should belong to different fields of study. One of the assessments can be made by an external assessor.

(3) The assessors may not be biased towards the doctoral candidate, in terms of the rules of good scientific practice of the German Research Foundation (DFG).

Section 6 Section Admission requirements

(1) Admission to the doctorate requires a course of studies in a degree programme relevant to the doctoral project, completed with a Master's, Diplom or Magister examination, a state examination in medicine or any other degree that the Doctorate Committee considers equivalent. The recognition of other corresponding degrees acquired abroad is subject to approval by the responsible Doctorate Committee. The Convention on the Recognition of Qualifications concerning Higher Education in the European Region (Lisbon Convention, BGBl 2007, part II, p. 712 et seq.) must be taken into account. The Doctorate Committee may also base its decision on a recommendation of the Central Office for Foreign Education (ZAB) at the Secretariat of the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany (KMK).

(2) The responsible Doctorate Committee may admit applicants who have a degree, as defined in (1), in a non-relevant degree programme, on the condition that they fulfil specified supplementary academic requirements prior to the start of the doctoral degree procedure pursuant to Section 10.

(3) The responsible Doctorate Committee will refuse admission to the doctorate if the applicant has not withdrawn an application for acceptance as a doctoral candidate or for initiation of a doctoral degree procedure at another university. The Doctorate Committee may deny admission to the doctorate without providing reasons if the applicant has already unsuccessfully undergone a doctoral degree procedure.

Section 7 Supervision, acceptance as doctoral candidate

(1) The topic of the thesis should be agreed upon with a person with the qualification described in Section 4 (3) in the relevant field of studies, who is a member of the group of professors or another habilitated member or associate of the School. This person will supervise the thesis in terms of content and will support the doctoral project by a *votum informativum* that acknowledges the draft doctoral thesis and specifies the doctoral student's own contribution and the role of other contributing researchers in the thesis.

The votum informativum will be submitted along with the thesis. It will not contain a suggestion for the grading of the thesis.

(2) Furthermore, as a rule, the doctoral candidate will receive substantive support during the doctorate project from a multi-member Supervisory Committee whose members meet the requirements of Section 4 (3). Additionally, a doctoral candidate or a lecturer may also belong to the Doctorate Committee if their expertise is closely related to the field of research. The details will be determined by the responsible Doctorate Committee. The doctoral candidate can make suggestions.

(3) In the case of a joint doctoral degree procedure according to Section 1 (3), the first supervisor may belong to the cooperation partner, provided that they are qualified according to Section 4 (3). If the first supervisor belongs to the cooperation partner, the Supervisory Committee must include a member of the group of professors, another member with a habilitation or an associate of the School.

(4) Bearing in mind the doctoral candidate's suggestions, the Doctorate Committee will appoint the first supervisor and the members of the Supervisory Committee,

(5) The relationship between the doctoral candidate and the supervisor and, if applicable, the Supervisory Committee is laid down in a Supervision Agreement (in accordance with the requirements of the Doctorate Committee, as published in the document on the School's website). This must specify, in particular, the topic of the thesis, the probable timeframe, the members of the Supervisory Committee, agreements on regular discussions between the doctoral candidate and the supervisors, as well as confirmation of the receipt of any required approvals by, e.g., the ethics committee, the research institution or the company. By concluding the written Supervision Agreement, which needs to be countersigned by the chair of the Doctorate Committee after it has verified compliance with the admission requirements according to Section 8, the doctoral candidate will receive the status of 'accepted doctoral candidate' even before receiving the formal approval of their doctoral project, in accordance with Section 8. The accepted doctoral candidate will forward the Supervision Agreement to the chair of the Doctorate Committee. After verifying compliance with the admission requirements according to Section 6, in the course of the admission procedure according to Section 8, the chair of the Doctorate Committee will countersign the Supervision Agreement. As a rule, the application for admission to doctoral studies pursuant to Section 8 should be made within a year of acceptance as a doctoral student. If no application for admission in accordance with Section 8 has been submitted by the end of this period, an application for renewal must be submitted to the Doctorate Committee every three years in order to maintain the status of 'accepted doctoral candidate', which must be countersigned by the first supervisor of the doctoral project. The candidate may ask the Doctorate Committee to help find a supervisor.

(6) After careful consideration, the supervisor may dissolve the supervisory relationship for objective or personal reasons. This decision must be promptly communicated by the supervisor to the doctoral candidate and the chair of the responsible Doctorate Committee, with a statement of the reasons. In this case, the Doctorate Committee will endeavour to provide another supervisor.

(7) In the event of serious problems in the supervisory relationship, the doctoral candidate can contact the Doctorate Committee. The Doctorate Committee will mediate between the doctoral candidate and the supervisor and endeavour to find a solution.

Section 8

Admission to the doctorate, acceptance, enrolment

(1) The candidate must submit her or his application for admission to the doctorate and thus for acceptance as a doctoral candidate (if this has not already been done pursuant to Section 7) in writing to the chair of the Doctorate Committee, stating the desired title and degree pursuant to Section 1 (2). In the case of a doctorate in a doctoral programme or doctoral degree programme, the application is submitted via the responsible Graduate School.

(2) As a requirement for admission, the application must be accompanied by:

- a. a presentation of the applicant's scientific career,
- b. the topic of the thesis (working title) and a description of the project, which needs to be agreed with the first supervisor,
- c. a Supervision Agreement between the doctoral candidate and the first supervisor in accordance with the document published on the School's website in line with the requirements of the Doctorate Committee (if not already done in accordance with Section 7), which will name, if applicable, the other members of a Supervisory Committee (Section 7 (5)) and include an explanation of points (b), (g) and (h),
- d. diplomas and evidence as defined in Section 6 or documents proving the completion of an equivalent relevant degree programme at a foreign university with evidence of examinations taken there and degrees obtained,
- e. proof of a higher education entrance qualification,
- f. proof of successful participation in interdisciplinary or multidisciplinary courses or a plan of courses to be attended,
- g. a statement of any previous applications for admission to a doctorate with details of the date of the first application, the university and the school or department to which the thesis was submitted, as well as the topic of the thesis,
- h. a statement as to whether clinical trials on humans, epidemiological studies with personal data or examinations of extracted human material that are personally identifiable (ethics committee), experiments with genetically modified organisms (law on genetic engineering) or experiments on vertebrates (authorization of the use of laboratory animals) are to be carried out. If applicable, a copy of the approval by the responsible authority must be submitted to the Doctorate Committee before commencement of studies,
- i. if applicable, an application for a joint doctoral degree procedure or a bi- or multinational doctorate (Section 3) mentioning the schools and other cooperation partners involved,
- j. a declaration that the candidate is complying and will continue to comply with the guidelines for good scientific practice of the University of Oldenburg,
- k. a declaration that no commercial placement or consulting services (doctoral coaching) have been used or will be used in the doctoral project,
- l. a statement as to whether the applicant has already used large parts of the thesis for a Bachelor's, Master's, Diplom or similar exam paper.

All submitted documents – except for originals and diplomas, which are to be presented as certified copies or with an original for inspection – become the property of the University.

(3) If, according to (2) (d), evidence of foreign degrees is submitted, the Doctorate Committee will check whether they are equivalent to the German degrees. Recognition may be subject to certain requirements and conditions, such as retrieval of a missing diploma or Master's thesis, or the passing of knowledge examinations.

(4) After examining the documents submitted in accordance with (2) and (3), the Doctorate Committee will decide on the admission of the applicant to the doctorate. In well-justified individual cases, the applicant can be admitted despite an earlier failed attempt to obtain a doctorate. Upon admission, the applicant receives the status of 'doctoral candidate'. As a condition for admission, the Supervision Agreement pursuant to (2)(c) must be countersigned by the chair of the Doctorate Committee. The status of 'doctoral candidate' will end with the successful completion of the doctoral assignments or the definitive failure to complete them successfully, as well as in the case of late application for initiation of the doctoral degree procedure (Section 10 (1)) and upon withdrawal of the application for admission to the doctorate (Section 17).

(5) Doctoral candidates are required to enrol as doctoral students at the earliest possible date after admission to the doctorate.

Section 9 Doctoral thesis

- (1) The thesis must demonstrate the author's capacity for advanced and independent scientific work and contribute to the advancement of science in the field of Health Sciences. The topic of the thesis must in essence belong to one or more fields of study of the School.
- (2) The thesis should be written in German or English. The thesis must contain an abstract in German and English of at most three pages.
- (3) Alternatively, at least two peer-reviewed publications in scientific journals may be accepted as a thesis if their content is connected and they comply in their entirety with the requirements of (1) (publication-based thesis). The candidate must figure as first author in at least two of the works concerned. The applicant is required to explain comprehensively in the thesis how they are related. If other researchers are also involved as co-authors in these individual papers, their own contribution must be presented in detail. The correctness of the explanation must be confirmed in writing by the first supervisor in the votum informativum.

Section 10 Initiation of the doctoral degree procedure

- (1) The doctoral candidate must apply to the Doctorate Committee requesting the initiation of the doctoral degree procedure. As a rule, the application can be submitted, at the earliest, one year after admission and, at the latest, within five years from the date of admission to the doctorate. In justified cases, upon request and after hearing the doctoral candidate and the first supervisor, this period may be changed by a reasonable time. If the application for the initiation of the doctoral degree procedure is not submitted on time, or if the deadline or final warning is not heeded, the admission is deemed to have been withdrawn. The chair of the Doctorate Committee will report this to the doctoral candidate and the first supervisor of the thesis.
- (2) The application for the initiation of the doctoral degree procedure must be accompanied by the following documents:
 - a. at least four copies of the thesis in print-ready condition: one for each member of the Examination Committee and one for the files of the Doctorate Committee, as well as an electronic copy identical with the hard copy,
 - b. proof of participation in interdisciplinary and multidisciplinary courses for further qualification, according to Section 8 (2) (f),
 - c. a statement:
 - i. that the candidate has written the thesis independently and that the resources used have been fully specified,
 - ii. whether the thesis has already been published in part or in total; in this case, a publication list must be attached,

- iii. that the thesis has not been submitted in part or in its entirety to another university for assessment in a doctoral degree procedure,
 - iv. that the regulations for good scientific practice of the University of Oldenburg have been observed,
 - v. a declaration that no commercial recruitment or consulting services (doctoral coaching) have been used in connection with the doctoral project;
- d. proof according to Section 8 (5) of enrolment as a doctoral student,
- e. evidence of any required legal approval of clinical trials with humans, epidemiological studies with personal data or examinations on extracted human material that are personally identifiable (ethics committee), experiments with genetically modified organisms (law on genetic engineering) or experiments on vertebrates (approval of the use of laboratory animals).

(3) The Doctorate Committee will initiate the doctoral degree procedure by formally examining the submitted thesis and the other documents and, subject to the suggestions and the declaration of the doctoral candidate, appoint the assessors in accordance with Section 5 to evaluate the thesis. The Doctorate Committee may return the thesis to the doctoral candidate for revision if formal defects have been found. A reasonable deadline will be set for the revision. The chair will immediately inform the doctoral candidate of the decisions of the Doctorate Committee.

Section 11 Assessment of the thesis

(1) In general, the assessors provide a written report within 4 weeks, but no more than 8 weeks, and recommend either acceptance of the thesis and continuation of the procedure, or modification or rejection of the thesis. If the thesis is accepted, the assessors will at the same time propose one of the following marks:

sehr gut (magna cum laude, with distinction)	= 1
gut (cum laude, credit)	= 2
genügend (rite, pass)	= 3

In the case of an outstanding performance, it may be proposed that a thesis marked 1 be given the grade "ausgezeichnet" (summa cum laude, high distinction).

If the majority of the assessors proposes to accept the thesis, the procedure described in Section 4 will continue.

(2) If at least one of the assessors has made substantiated proposals for amendments, the Doctorate Committee will decide, after hearing the doctoral candidate, with a majority of votes, whether the thesis is to be returned with conditions for revision or the procedure is to continue. The chair of the Doctorate Committee will inform the doctoral candidate in writing of the conditions, stating the reasons. A reasonable deadline will be set for the revision. After revision of the thesis, all assessors will resubmit their comments in writing within one month of submission of the revised version. The Doctorate Committee may, after revision of the thesis, appoint an additional assessor. The return of the thesis for revision is possible only once.

(3) If the majority of the assessors propose to reject the thesis, the Doctorate Committee will not accept it. This will terminate the doctoral degree procedure with an unsuccessful outcome. If a minority of the assessors proposes to reject the thesis, or if the votes pro and contra are tied, the Doctorate Committee will appoint an additional assessor. If, after inclusion of this additional report, the majority of the assessors suggest acceptance, the procedure in (4) will be continued.

If, after presentation of this further report, acceptance of the thesis is rejected by at least half of the assessors, the candidate will have failed and the doctoral degree procedure will be terminated. The chair shall inform the doctoral candidate in writing. The rejected thesis and the reports on it will be added to the files of the responsible School.

(4) If the requirements for continuation of the doctoral degree procedure have been met, the Doctorate Committee will make the thesis and the assessment reports available for inspection at the School for two weeks. Members and associates of the School with the qualification according to Section 4 (3) can view the thesis and the assessment reports and file expert opinions during the inspection period. If no expert opinions have been received, after expiry of the inspection period, the thesis will be accepted.

(5) If expert opinions have been filed, the Doctorate Committee can elicit additional assessments within four weeks. The Doctorate Committee will decide with a simple majority of university professors and, if applicable, habilitated staff, whether to consider the expert opinions and any additional assessments of the thesis. If the decision is made to consider the expert opinions and further appraisals, these documents and the thesis will again be made available for inspection for two weeks.

(6) After expiry of the period, the responsible Doctorate Committee will decide on the acceptance or rejection of the thesis, taking into account all the reports, expert opinions and further appraisals considered. This decision must be communicated to the doctoral candidate in writing.

(7) If all the assessors have recommended acceptance of the thesis, the overall grade of the thesis will result from the arithmetic mean of the individual grades (see (1)), as follows:

from 1.0 to less than 1.5 = sehr gut = magna cum laude (with distinction)

from 1.5 to less than 2.5 = good = cum laude (credit)

from 2.5 to less than 3.5 = genügend = rite (pass)

If all of the assessors propose the mark 1 with the distinction *ausgezeichnet* (*summa cum laude*, with high distinction), the overall mark *ausgezeichnet* (*summa cum laude*) will be awarded to the thesis. In this case, a mark of 1.0 for the thesis will enter into the calculation of the overall mark for the doctorate according to Section 13. If the thesis was rejected by an assessor, returned for revision, or expert opinions were submitted (pursuant to (3) and (5)), the Doctorate Committee will decide whether the expert opinions are to be considered in the grading process. Rejection by an assessor will enter into the overall mark as a mark of 4.0.

(8) The chair of the Doctorate Committee concerned will inform the doctoral candidate of the approval of the thesis. At the same time, the Doctorate Committee will appoint, pursuant to Section 4 (1), the Examination Committee and set the date for the thesis defence bearing in mind the candidate's suggestion and in consultation with all involved. The defence should take place within six weeks after approval of the thesis. If the doctoral candidate is not able to attend on the scheduled date of the defence, they must notify the committee immediately, stating the reasons.

Section 12 Thesis defence (disputation)

(1) The chair of the Doctorate Committee will invite the doctoral candidate and the members of the Examination Committee to a thesis defence and announce the event in the School. The defence is open to all members of the University. Subject to the consent of the doctoral candidate, the Examination Committee may, in well-founded exceptional cases, unanimously decide to conduct the components of the thesis defence referred to in paragraphs 2 and 3 electronically using visual and audio procedures that have been approved by the Presidential Board. The chair of the Examination Committee shall inform the Doctorate Committee of the decision. In deviation from Section 2, paragraph 2, the Doctorate Committee does not vote on such cases. These procedures must ensure that the entire examination process can be followed. A stable connection must be ensured for the entire duration of the thesis defence. It is also possible to allow only one examiner or only the doctoral candidate to join the thesis defence remotely. If the doctoral candidate consents, other persons may attend and listen.

(2) The thesis defence will consist of a lecture open to University members and lasting about 30 minutes, on the objectives, methods and results of the thesis or a part of it, and

a subsequent discussion of 30 minutes to, at the most, 60 minutes, presided over by chair of the Examination Committee. The discussion will extend to the entire subject area in connection with the topic of the doctorate. The assessments of the thesis can also be included in the discussion. To this end, the doctoral candidate, when being informed of the acceptance of the thesis, must be given access to the assessments. The provisions of Section 19 will remain unaffected. At the request of the doctoral candidate, part of the discussion may take place non-publicly with the Examination Committee. Minutes of the defence proceedings are to be taken.

(3) Immediately following the thesis defence, the Examination Committee will decide in closed session whether the oral exam has been passed. If the candidate has passed, the Examination Committee will determine the overall mark for the defence. Each member of the Examination Committee will award a mark in accordance with Section 11 (1) and (7). The chair of the Examination Committee will immediately inform the doctoral candidate of the overall mark of the defence.

(4) If the doctoral candidate has not passed the thesis defence, when being informed of the outcome of the thesis defence, the candidate must be told that they have the opportunity to repeat it once, if they apply in writing within one month to the chair of the Doctorate Committee. The oral re-examination can be taken, at the earliest, four weeks after the application and, at the latest, before the end of the year.

(5) If the doctoral candidate fails to attend the thesis defence without excuse, they will be deemed to have failed the examination. In the case of an excused absence, a new appointment will be made. The Examination Committee will decide on the acceptance of the apology.

Section 13

Section Assessment and completion of the doctorate

(1) Following the thesis defence, the Examination Committee will determine how the candidate's doctoral assignments are to be assessed in their entirety. The score is determined by the arithmetic mean of the unrounded marks for the thesis defence, which counts once, and the arithmetic mean of the unrounded marks for the thesis, which counts twice. The doctoral degree procedure is concluded with the publication of the thesis in accordance with Section 14.

(2) For particularly outstanding achievements, the overall mark 'passed with high distinction' (summa cum laude) may be awarded on the recommendation of the Examination Committee. This recommendation is only permissible if all individual marks for the oral and written doctoral assignments are 1, and all assessors agree to the additional distinction ausgezeichnet. Detailed reasons must be provided for the recommendation. At least one of the assessments must have come from an external assessor. If necessary, an additional external assessment can be obtained. Assessors who are not present at the defence will give their appraisal in writing. The Doctorate Committee will decide on the proposal. Only the representatives of the group of professors and, where appropriate, habilitated staff are entitled to vote. No reasons will be provided for this decision.

(3) The chair of the responsible Doctorate Committee shall notify the doctoral candidate in writing of the marks awarded for the thesis, the defence and the doctorate as a whole.

Section 14

Publication of the thesis

(1) Within one year of the successful defence, the doctoral candidate shall make the thesis accessible to the scientific public in an appropriate manner by copying and processing it. The thesis will have been made accessible to the scholarly public in an appropriate manner if the doctoral candidate has provided the Library and Information System of the University of Oldenburg with six copies of the thesis printed on age-resistant wood- and acid-free paper, and ensured the distribution of the thesis by:

- a. an electronic version of the thesis, the data format and data carrier of which are to be agreed with the University Library, **or**
- b. proof of publication of the thesis in a journal, **and**
- c. delivering two short summaries in German and English, each with a maximum of 1000 characters, approved by the first assessor, **as well as** an affidavit on the identity in content and form of the printed and the electronic versions.

In the case of (a), the doctoral candidate will give the University of Oldenburg the right to produce and disseminate additional copies of the thesis within the framework of the statutory duties of university libraries, or to make them available in data networks. The author's copyright will remain unaffected.

- (2) The delivered items must have a title page whose front and back should be designed as in Annex 1.
- (3) A brief description of the doctoral candidate's academic education and development can be added at the end of the thesis.
- (4) The final draft for publication must be submitted to the chair of the Doctorate Committee. The chair will give the permission to print. Deviations from the thesis may be agreed between the Doctorate Committee and the doctoral candidate.
- (5) If good reasons are provided, the chair of the Doctorate Committee may, upon request, extend the deadline for publication under (1).

Section 15 Completion of the doctorate

- (1) With the issuing of the doctoral degree certificate by the Dean, the doctorate is completed and the doctoral candidate is entitled to use the doctor's degree.
- (2) Notwithstanding the above, the Doctorate Committee shall, upon the doctoral candidate's application, determine that the thesis and the thesis defence have been completed and passed (Section 13)
- (3) The doctoral certificate bears the date of publication of the thesis and is issued following publication of the thesis as the last part of the doctoral assignment and in accordance with the template in Annex 2. In the case of a bi-national doctorate, a certificate is issued in accordance with Annex 3; in the case of a bi-national doctorate with the University of Groningen, a certificate is issued in accordance with Annex 4. The doctoral certificate is issued once the publication requirement has been met in accordance with Section 14.

Section 16 Unsuccessful completion of the doctoral degree procedure

- (1) The doctoral degree procedure is terminated unsuccessfully if the thesis is definitively rejected or the defence has definitively been pronounced inadequate. The chair of the Doctorate Committee will inform the doctoral candidate about the result in writing.
- (2) A renewed application for a doctorate is only allowed once, and not before the end of one year. This also applies if the first unsuccessful doctoral application took place at another university. A rejected thesis may not be submitted again for the purpose of obtaining a doctorate in the same or a slightly modified form.

Section 17 Withdrawal of the doctoral application

An application for a doctorate can be withdrawn as long as the doctoral candidate has not submitted the thesis for assessment. Thereafter, a withdrawal is possible only for important personal reasons unrelated to the doctoral degree procedure.

The Doctorate Committee will decide on this matter in response to a written request. A re-opening of the doctoral degree procedure can then be requested in the same way.

Section 18 **Invalidity of the work by the doctoral candidate**

(1) If, before the issuing of the doctoral certificate, the doctoral candidate is found to have used fraud, threats or bribes in their doctoral thesis or defence, or with regard to the requirements for admission to the doctoral programme or the initiation of the doctoral degree procedure, or if it is found that essential requirements for the doctorate were assumed erroneously to have been met, the Doctorate Committee must, after hearing the person concerned, declare the doctoral work concerned invalid.

(2) If the circumstances of (1) only become known after the doctoral certificate has been issued, (1) shall apply accordingly and the Faculty Council shall decide, on the recommendation of the Doctorate Committee and bearing in mind the legal provisions, whether the doctoral degree is to be revoked or withdrawn. Sections 48 and 49 of the Administrative Procedures Act (VwVfG) will remain unaffected and apply additionally. The award of the university degree may also be revoked if the bearer has seriously violated the dignity conferred by the university degree, as in a final conviction for a criminal offence that in the Land of Lower Saxony leads to a loss of the status of civil servant, or if the bearer has misused the scientific status associated with the degree.

(3) If the requirements for admission to the doctoral programme or the initiation of the doctoral degree procedure were not fulfilled but this was not due to fraud on the part of the doctoral candidate, and this fact becomes known only after the doctoral certificate has been issued, this deficiency will be remedied by the successful completion of the doctorate.

(4) The person concerned must be given the opportunity to discuss the matter with the Doctorate Committee before a decision is taken.

(5) The incorrect doctoral certificate must be retrieved and, if appropriate, replaced by a corrected certificate.

Section 19 **Access to the doctoral records, retention period**

(1) Upon completion of the doctoral degree procedure, the doctoral candidate will be granted access to the doctoral records upon her or his request.

(2) The doctoral documents must be kept for 50 years. Even after this time, it must be ensured that information can be provided on the basis of registers regarding the outcome of a doctoral degree procedure.

Section 20 **Appeal**

(1) Negative decisions made in accordance with these Doctoral Degree Regulations must be substantiated in writing with information on legal remedies and announced in accordance with Section 41 of the Administrative Procedures Act (VwVfG).

(2) Appeals against a decision of the examiners that is based on an assessment of a candidate's work can be made in writing within one month after receipt of the decision or in accordance with Section 68 ff. of the Verwaltungsgerichtsordnung (Code of Administrative Procedures) by the chair of the Doctorate Committee. Otherwise, legal proceedings need to be instituted. The appeal should be substantiated within one month after filing.

(3) The grounds for the appeal should be substantiated within one month after filing. It is responsible for conducting the appeal proceedings. No costs are charged for appeal procedures.

(4) No costs are charged for the appeal procedure. If the grounds for appeal are directed against a decision of the Examination Committee, the chair of the Doctorate Committee will forward the objection to the Examination Committee for review. If the grounds for appeal are directed against the decision of an assessor, the chair of the Doctorate Committee will forward the objection to the assessor concerned. The result of the review is to be forwarded to the Doctorate Committee.

(5) If the Examination Committee or the assessor changes their decision as requested by the appeal, the Doctorate Committee will have definitively dealt with the objection. Otherwise, the responsible Doctorate Committee will examine in full the examination decision, and especially check whether:

- a. whether the examination procedure was carried out properly,
- b. whether the grading was based on incorrect information,
- c. whether common principles of assessment were not observed,
- d. whether a reasonable and well-reasoned answer was judged incorrect,
- e. whether the assessor was guided by extraneous considerations.

(6) The Doctorate Committee may, ex officio, appoint an expert for the appeal procedure. An expert must be appointed if this is requested by the appellant. The assessor must be qualified according to Section 4 (3).

(7) If the Doctorate Committee finds a deficiency as described in (5) Sentence 2 but does not deal definitively with the objection at this stage of the procedure, the examination components will be reassessed by examiners who were not previously involved in this examination, or the thesis defence will be repeated.

(8) The appeal procedure should be completed within three months of the filing. If the appeal is not upheld, reasons must be provided for the rejection, and information on options for legal remedies must be provided.

(9) The objection or appeal procedure may not lead to a lowering of the examination mark.

Section 22 **Effective date**

These Regulations shall enter into force after their approval by the Presidential Chair on the day following their publication in the Official Note of the University of Oldenburg.

Annex 1 - Model for the title page of the thesis

Front:

.....
(Title of the thesis*)

Thesis submitted to School VI - Medicine and Health Sciences of the University of Oldenburg in partial fulfilment of the requirements for the degree and title of *

.....
(Indication of degree*) (Abbreviation)

by Ms/Mr*
(First and last name)

born on * in

Overleaf:

First supervisor*

Further supervisors:

.....

.....

Assessor*

Date of thesis defence*:

* Complete as appropriate

Annex 2:

Die Fakultät
der Carl von Ossietzky Universität Oldenburg
verleiht mit dieser Urkunde

The School.....
of the University of Oldenburg (Germany)
hereby confers on

Frau/Herrn*) / Ms./Mr. *)

geboren am:
in

born on.....
in.....

den Grad

the degree of

Doktorin/Doktor der Gesundheitswissenschaften (Dr. rer. medic.) *

nachdem sie/er*) in einem ordnungsgemäßem
Promotionsverfahren durch ihre/seine*) mit
dem Prädikat¹⁾ beurteilte Dissertation mit
dem Thema

following him/her*) having proved his/her*)
scientific ability in a regular doctoral procedure
by submitting his/her*) doctoral thesis entitled
.....

.....

.....
which was awarded the grade ...¹⁾ and having
passed an oral defence which was awarded
the grade ...²⁾. The overall grade achieved by
the candidate was ...³⁾.

.....
sowie durch die mit²⁾ beurteilte Disputation
ihre/seine*) wissenschaftliche Befähigung
erwiesen und dabei das Gesamturteil ...³⁾
erhalten hat.

Oldenburg, [TT.MM.JJJJ]

.....

Die Dekanin/Der Dekan*) der Fakultät /
Dean of the School

Die/Der*) Vorsitzende des Promotions-
ausschusses der Fakultät /
Chair of the Doctorate Committee

Rechtlich bindend sind die deutschsprachigen Formulierungen.

Please note: Only the German wording is legally binding.

*) Zutreffendes einfügen, nicht Zutreffendes streichen

¹⁾ Prädikate: ausgezeichnet (summa cum laude), sehr gut (magna cum laude), gut (cum laude), genügend (rite) / Grades:
summa cum laude (high distinction), magna cum laude (distinction), cum laude (credit), rite (pass)

²⁾ siehe Fußnote 1)

³⁾ siehe Fußnote 1)

Annex 3

Die Fakultät
der Carl von Ossietzky Universität Oldenburg
und
.....
verleihen mit dieser Urkunde gemeinsam

The School.....
of the University of Oldenburg (Germany)
and
.....
hereby jointly confer on

Frau/Herrn*) / Ms./Mr.

geboren am:
in

born on.....
in.....

den Grad

the degree of

Doktorin/Doktor der Gesundheitswissenschaften (Dr. rer. medic.) *

nachdem sie/er*) in einem ordnungsgemäßem,
von beiden Fakultäten betreuten Promotions-
verfahren durch ihre/seine*) mit dem Prädikat
...¹) beurteilte Dissertation mit dem Thema
.....
.....

following him/her*) having proved his/her*)
scientific ability in a regular doctoral procedure
supervised by both schools by submitting
his/her*) doctoral thesis entitled
.....
.....

sowie durch die mit ...²) beurteilte Disputation
ihre/seine*) wissenschaftliche Befähigung
erwiesen und dabei das Gesamturteil ...³)
erhalten hat.

which was awarded the grade ...¹) and having
passed an oral defence which was awarded
the grade ...²). The overall grade achieved by
the candidate was ...³).

Oldenburg, [TT.MM.JJJJ]

Die Dekanin/Der Dekan*) der Fakultät /
Dean of the School

Die/Der*) Vorsitzende des Promotions-
ausschusses der Fakultät /
Chair of the Doctorate Committee

[Ort], [TT.MM.JJJJ]

Die Dekanin/Der Dekan/
Die Präsidentin/Der Präsident*)
der Fakultät/der Universität*) /

The Dean/President/ Chancellor)
of the School/University*)*

Rechtlich bindend sind die deutschsprachigen Formulierungen.
Please note: Only the German wording is legally binding.

*) Zutreffendes einfügen, nicht Zutreffendes streichen

1) Prädikate: ausgezeichnet (summa cum laude), sehr gut (magna cum laude), gut (cum laude), genügend (rite) /
Grades: *summa cum laude (high distinction), magna cum laude (distinction),
cum laude (credit), rite (pass)*

2) siehe Fußnote 1)

3) siehe Fußnote 1)

Annex 4

Re: Section 1 (3)

Bi-national doctoral programmes with Rijksuniversiteit Groningen (RUG)

1

Precedence, binding character, advice

(1) Joint bi-national doctoral degree procedures carried out in the form of cotutelle procedures between the University of Oldenburg (UOL) and Rijksuniversiteit Groningen (RUG) will primarily follow the special regulations outlined below. The general provisions of the doctoral regulations shall additionally apply, unless they contradict these special regulations.

(2) Before a bi-national procedure with the RUG is initiated, the doctoral candidate must be informed and advised on the special regulations below. Provided they agree with the special regulations, a "Cotutelle Agreement for the Joint Supervision leading to a Double Doctorate" (attached as template A to this Groningen Annex) is concluded with the doctoral candidate regarding the bi-national doctorate project. This agreement may also include different or additional provisions. This agreement must be entered into before a bi-national doctoral degree procedure can be carried out with RUG.

(3) If the candidate does not consent to the special regulations outlined below, the doctoral project cannot be carried out as a bi-national procedure with RUG but only as a national doctoral degree procedure based on the general provisions of the applicable UOL doctoral degree regulations.

2

Doctoral performance

(1) The thesis must be written in English. The proposal should be written in English, Dutch and German.

(2) Based on the scientific requirements and the supervision needs, the thesis will be worked on alternately at both partner universities.

(3) The doctoral candidate must meet the requirements of both partner universities regarding admission, progress and performance.

3

Enrolment, fees, insurance

(1) The doctoral candidate should be enrolled in both partner universities according to the regulations at the respective university.

(2) UOL charges semester fees in accordance with the regulations of the Lower Saxony Higher

Education Act (NHG). As far as legally possible, the doctoral candidate will be exempted from paying tuition and semester fees to RUG.

(3) The doctoral candidate must provide proof of health insurance and private liability insurance for the duration of the stay in Groningen and in Germany.

4

Responsibilities, procedures

(1) The doctoral procedure is carried out in accordance with the legal regulations of both partner universities.

(2) Any costs incurred (travel expenses, etc.) by the supervisors or by members of the Examining Committee will be borne by their respective nominating partner university.

(3) The results of the individual procedural steps mentioned below are recorded in the PhD Project Monitoring System of RUG ("Hora Finita") and are also accessible there for anyone involved at UOL. If information required by UOL should not be accessible on Hora Finita, the responsible graduate school at RUG will inform UOL using other channels.

5

Publication

The thesis shall be published according to the regulations of both partner universities. The doctoral candidate's copyrights with regard to their thesis shall remain unaffected. The partner universities shall inform the doctoral candidate about the rules of the respective partner university regarding the publication of the dissertation.

6

Intellectual property

(1) All rights concerning the dissertation thesis belong to the doctoral candidate.

(2) New knowledge and intellectual property rights (immaterial property rights, in particular inventions) arising from a joint project (foreground intellectual property rights) shall be jointly owned by both partner universities. They will enter into a separate written agreement to decide whether intellectual property protection should be applied for, how the application and any patents granted should be maintained or defended, how costs arising in the process should be handled, and how commercial use could be made of these rights.

7

Supervision

(1) The doctoral candidate shall be jointly supervised by a RUG supervisor and a UOL supervisor during

the preparation of their thesis.

(2) The supervisors regularly consult with the doctoral candidate with regard to the progress of their academic work. Supervision is provided in equal proportions by both partner universities. The assigned supervisors will each bear an equal share of the supervision work. Day-to-day supervision and academic mentoring are provided by the supervisor at the site where the dissertation is currently being worked on.

(3) A positive evaluation of the thesis by the supervisors is a prerequisite for submitting it to the Assessment Committee.

8

Assessment Committee

(1) Following a positive evaluation of the thesis by the supervisors, it is submitted to the Assessment Committee.

(2) The Assessment Committee has four members, of which at least one professor from each RUG and UOL. Members of the Assessment Committee must be professors who did not participate as co-authors of the thesis.

(3) The Assessment Committee shall be appointed by the partner universities by mutual agreement and in accordance with the applicable regulations of the respective partner university. At UOL, this is the responsibility of the doctoral committee.

(4) In accordance with the requirements of the UOL doctoral regulations, two members of the Assessment Committee are appointed as assessors of the thesis. The two assessors are appointed by the UOL, and the remaining two members of the Assessment Committee are appointed by the RUG. The assessors each prepare an individual review in which they suggest a grade for the thesis in accordance with the relevant regulations of the UOL.

(5) All members of the Assessment Committee provide a reasoned assessment on the dissertation via Hora Finita. Provided that both assessors and the Assessment Committee as a whole approve the admission of the thesis, the Assessment Committee decides by formal resolution that the doctoral candidate will be admitted to the defence and the assessors assign a grade based on their reviews. The decision must be communicated immediately to the appropriate doctoral committee of the UOL.

(6) The grades mentioned in the above paragraphs 4 and 5 and in Section 10(3) refer exclusively to the award of the doctoral degree of the UOL, whose legal remedies shall be applied in accordance with the relevant doctoral regulations in the case of dissent over the award of grades. No grade is awarded in the conferral of the RUG doctoral degree unless the supervisors or Assessment Committee members propose that the award be "cum laude" (in the Dutch legal sense), in which case the Dutch procedure for conferring the "cum laude" award is followed.

(7) After a positive evaluation, the Assessment Committee forwards the dissertation to the Joint Examining Committee (Section 9).

9

Examining Committee

(1) The partner universities shall, by mutual agreement and in accordance with the provisions of their respective doctoral regulations, establish a joint Examining Committee, which shall be composed of equal numbers of members from both partner universities. The relevant doctoral committee is responsible for the nomination on the part of the UOL.

(2) The Examining Committee shall consist of at least five, but no more than nine persons:

- a) Professors from both partner universities;
- b) a maximum of two university members not holding a doctorate;
- c) the members of the Assessment Committee;
- d) the chairperson.

10

Thesis defence

(1) The disputation is usually held at the RUG and should comply with RUG doctoral regulations and, as far as possible, with the relevant UOL doctoral regulations.

(2) The doctoral disputation shall be conducted in English in the form of a public ceremony at the RUG, which shall be transmitted virtually to UOL in order to allow the UOL members to attend, and which shall be recognised by the UOL as a proper disputation.

(3) Immediately following the oral examination, the Examination Committee will decide in closed session whether the candidate has passed the oral examination. Following the disputation, the Examining Committee will determine the grade for the disputation as well as the overall grade for the UOL doctoral degree in accordance with relevant UOL doctoral regulations.

11

Award of degree certificate

(1) Upon successful completion of the doctoral degree procedure, the partner universities shall confer their respective doctoral degrees in accordance with the rules and regulations in force at their respective universities. UOL awards the title "Dr.....(plus name of subject)" in accordance with the relevant doctoral regulations. RUG awards the title "Doctor of Philosophy" (PhD). The doctoral degree may be used either as awarded by UOL or as awarded by RUG. According to the relevant UOL doctoral regulations, the German doctoral degree is awarded only after publication of the thesis.

(2) Both universities confer their doctoral degrees by means of a separate certificate in each case (cf. attached samples 4B1 and 4B2 to this Groningen Annex). Each university signs and seals its certificate, referring to the binational nature of the doctoral process, which leads to two doctoral degrees. The certificates clearly state that the doctoral candidate is only entitled to use either the Dutch or the German title. If one of the two universities does not confer its doctoral degree, this shall not prevent the other university from conferring its doctoral degree as a purely national degree.

12

Scientific misconduct (deception, plagiarism)

(1) If, during or after the completion of the binational doctoral procedure, circumstances become known that give rise to scientific misconduct (deception, plagiarism) or the suspicion of scientific misconduct, each university shall decide independently whether to initiate an appropriate investigation procedure in accordance with the regulations in force at its university.

(2) The partner universities shall inform each other about any procedures they initiate according to paragraph 1 and their results.

(3) Both universities may withdraw their doctoral degree without regard to whether the partner university does likewise.

13

Early termination of the binational doctoral degree procedure

(1) The progress of the binational doctoral degree procedure shall be reviewed annually; it can be terminated by the participating universities with a 3-month period of notice by terminating the contract on joint supervision mentioned in Section 1(2) (cf. Model A), if there is an objective reason. As long as the bi-national doctoral degree procedure based on the above agreement exists, the universities involved will support the candidate in successfully completing the Cotutelle procedure.

(2) An objective reason within the meaning of paragraph 1 above may also consist in a failure of the examination performance (dissertation, disputation) or a dispute about the execution of the binational doctoral procedure including the decisions of the Examining Committee, the Assessment Committee or the supervisors/assessors.

(3) The bi-national doctoral degree procedure shall also end if the candidate terminates the agreement referenced in Section 1(2) with a notice period of 1 (one) month.

(4) In case of discontinuation of the binational doctoral procedure, the candidate is entitled to apply for continuation of their doctoral project at the UOL and to submit their dissertation for re-evaluation according to the relevant doctoral regulations.

Annex 4A

For Annex 4

Cotutelle Agreement for the Joint Supervision leading to a Double Doctorate

between

the **University of Oldenburg** represented by its President Prof. Dr. Ralph Bruder, Ammerländer Heerstr. 114-118, 26129 Oldenburg (Germany),

implementing entity: School of..... , represented by the Dean, Prof. Dr.

- hereinafter referred to as the "UOL" -

and

the **University of Groningen**, Broerstraat 5, 9712 CPSL Groningen (the Netherlands), represented by President Prof. Dr. Jouke de Vries,

- hereinafter referred to as the "UG" -

hereinafter collectively referred to as "**Universities**"

In due observance of the following

- the Dutch Higher Education and Research Act (Wet op het hoger onderwijs en wetenschappelijk onderzoek);
- the PhD Regulations of the University of Groningen (Promotiereglement);
- the Lower Saxony Higher Education Act (Niedersächsisches Hochschulgesetz)
- the PhD regulations of the School (Promotionsordnung der Fakultät)

agree as follows:

Section 1 – Doctorates

(1) This agreement regulates the cooperation and the respective responsibilities of the Universities involved in the double doctorate of _____, born on and residing at _____.

(2) The topic of the dissertation is _____.

The dissertation will be written in English. The abstract shall be written in English, Dutch and German.

(3) The doctorate is expected to take ___ years to complete, commencing from ___. If necessary, such term can be prolonged in accordance with the rules in force at both of the institutions. The dissertation will be completed in alternating periods at the two Universities, based on scientific and supervision needs.

(4) The doctoral candidate must meet the relevant requirements of both Universities regarding admission to the doctoral programme, progress and examination.

Section 2 – Enrolment, Fees, Insurance

(1) The doctoral candidate shall enroll at both Universities in accordance with each of the University's regulations. The enrolment is effective from ____.

(2) UOL will charge the fees and contributions stipulated in the Lower Saxony Higher Education Act (Niedersächsisches Hochschulgesetz). To the extent legally admissible the doctoral candidate will be exempt from paying fees and contributions to the UG.

(3) The doctoral candidate must prove sufficient health insurance coverage for the full period of her or his stay in the Netherlands and in Germany as well as a personal liability insurance.

Section 3 – Responsibilities

(1) The doctorate will be realized in accordance with the legal provisions of both universities.

(2) Any costs incurred (travel expenses, etc.) by the supervisor or the members of the Examination Committee shall be borne by their respective university.

(3) The results of the following procedural steps shall be documented in the PhD Project Monitoring System of the RUG ("Hora Finita") and be accessible to the members of University of Oldenburg being duly involved in the joint supervision of this doctorate. If the information needed by UOL is not registered in Hora Finita, the Graduate School will inform UOL in a different way.

Section 4 – Publication

The thesis will be published according to the doctoral regulations of both implementing Universities. The intellectual property rights of the doctoral candidate regarding his or her dissertation shall remain unaffected by its publication. Both Universities will instruct the doctoral candidate to follow the rules of both institutions concerning the registering, the description and the reproduction of the thesis.

Section 5 - IP

(1) Any rights related to the thesis will be held by the doctoral candidate.

(2) Foreground intellectual property rights shall be the property of both Universities. The Universities shall jointly apply to obtain and/or maintain the relevant intellectual property rights and shall strive to set up appropriate agreements in order to do so.

Section 6 – Supervision (Betreuer)

(1) The doctoral candidate shall research and write the thesis under the joint supervision of the thesis supervisor at UG, _____, and the thesis supervisor at UOL,_____.

(2) The supervisors will consult regularly on the research progress of the doctoral candidate. The supervision is equally divided between both Universities. Each University will invest 50% of the allotted time for supervision. The daily supervision and scientific mentoring resides with the supervisor located where the research work is being undertaken at that particular moment.

(3) The positive assessment of the supervisors shall be a necessary prerequisite for admission to the final examination.

Section 7 – Assessment Committee

(1) After the positive assessment of the supervisors, the thesis can be submitted to the Assessment Committee.

(2) The Assessment Committee consists of four persons of which at least one professor from the UG and one professor from the UOL. Only full professors employed by a university who have not co-authored with the doctoral candidate may be members of the Assessment Committee.

(3) The Assessment Committee shall be composed by mutual consent between the Universities, in accordance with the regulations in force at the Universities.

(4) In order to meet the criteria of the doctoral regulations in force at UOL, two members of the Assessment Committee are appointed as reviewers for the thesis. These two members of the Assessment Committee will be appointed by UOL, the other two by UG. The reviewers each draw a report and propose a grade for the thesis according to the regulations of the UOL.

(5) All members of the Assessment Committee will provide a substantiated opinion of the PhD thesis in writing via Hora Finita. If both reviewers and the full Assessment Committee support the admission of the thesis, the Assessment Committee formally decides on the admission of the doctoral candidate to the defense and the reviewers decide on the grade for the thesis, based on the reports of the reviewers. The report and the decision will be communicated promptly to the doctoral committee of the ... School of XX of UOL.

(6) The grades mentioned under subsections 4 and 5 above and in Section 9 subsection 3 only apply to the awarding of the degree by UOL whose appeal procedures solely apply in case of any disputes on grades. At UG no grade will be given, unless the supervisors or members of the Assessment Committee propose to award the “cum laude” distinction; then the procedure for the awarding of the “cum laude” distinction for UG degree will be followed.

Section 8 – Examining Committee

(1) Both Universities mutually consult each other to compose a joint Examining Committee that equally represents members of both Universities, in accordance with their respective PhD regulations.

(2) After the positive assessment of the Assessment Committee, the thesis can be submitted to the joint Examining Committee.

(3) In accordance with the PhD regulations of the UG, the Examining Committee at UG shall consist

of at least five persons;

- full professors, both from the UG and from UOL, and;
- a maximum of 2 University Readers/Associate Professors or Lecturers/Assistant Professors with PhDs;
- the members of the Assessment Committee;
- the chair.

Section 9 – Disputation

(1) The defense of the thesis will take place at UG in a form compatible with both PhD regulations.

(2) The thesis will be defended in English during a public ceremony at the UG to be digitally transmitted to the UOL in order to allow participation of interested university members, and which is duly recognized by the UOL.

(3) After the Examining Committee has given a favourable recommendation it will have to agree on a grade for the defence as well for an overall grade according to the regulations in force at UOL.

Section 10 – Dual Award

(1) Upon successful completion of the examination procedure, both universities will confer their doctoral degrees according to the rules and regulations in force at their institutions. UOL will award the degree of “Dr.”. UG will award the degree "Doctor" (*translated into English as: Doctor of Philosophy (PhD)*). The title may be used either in the form conferred by UG or in the form conferred by UOL. According to the regulations in force at UOL, the degree can only be awarded after the successful publication of the thesis.

(2) Both universities will award their respective degrees in two separate certificates according to Enclosures 7B1 and 7B2. Each University signs and seals its respective certificate and makes reference to the joint nature of the supervision by the Universities. leading to the two doctoral degrees. The certificates shall make clear that the doctoral candidate is entitled to use either the Dutch or the German title. A decision by one University not to award the degree does not preclude the other partner from awarding the degree as a solely national degree.

Section 11 – Fraud and Plagiarism

(1) In the event that (a suspicion of) fraud or plagiarism is discovered during or after completion of the PhD trajectory, both universities can decide for themselves whether to take action and both will follow their own procedure regarding scientific integrity.

(2) The Universities will keep each other informed about the procedure on scientific integrity and its outcome.

(3) A decision by one institution to strip the doctoral candidate of the degree does not hinder the other partner from upholding its doctoral degree as a solely national degree.

Section 12 – Entry into Force, Term and Termination, Failure, Final Provisions

(1) The present agreement holds as long as necessary for the completion of the doctoral degree. The agreement may be reviewed on an annual basis by each University and may be terminated with a

three months notice if good reason is found to do so. As long as the agreement is in force the Universities commit themselves to supporting the doctoral candidate in continuing the project.

(2) As a 'good reason' in the meaning of Subsection 1 may be seen e.g. a non-approval of the dissertation or any other dispute arising in connection with the implementation of the provisions or the appendices of this agreement concerning a decision by the Examining Committee, the Assessment Committee or the supervisors,

(3) In addition, the agreement may be terminated by the initiative of the doctoral candidate or following collegial advice from the doctoral supervisors with a one month notice.

(4) After premature discontinuation of the double doctorate the doctoral candidate may request to proceed the doctoral research at one of the Universities and have her or his dissertation re-evaluated in accordance with the doctoral regulations at that university.

(5) There are no oral side agreements. Any amendments or supplements to this agreement, including the annulment of this written form clause, shall require written form.

(6) The ineffectiveness or unenforceability of one or more provisions hereunder shall not affect the effectiveness of the remainder of the Agreement. The Universities undertake to replace the ineffective or unenforceable provision with an effective and enforceable provision, which comes as close as possible to the purpose of the ineffective or unenforceable provision. The same shall apply to any gaps herein.

University of Oldenburg

University of Groningen

Name of President

Name of President

Signature of President

Signature of President

Place, date

Place, date

Name of Dean

Name of Dean

Signature of Dean

Signature of Dean

Place, date

Place, date

Name of Chair of doctoral committee

Name of Director of Graduate School

Signature of Chair of doctoral committee

Signature of Director of Graduate School

Place, date

Place, date

Name of Supervisor and Advisor or Co-Advisor

Name of Supervisor and Advisor or Co-Advisor

Signature of Supervisor and Advisor or Co-Advisor

Place, date

Name of doctoral candidate

Signature of doctoral candidate

Place, date

Signature of Supervisor and Advisor or
Co- Advisor

Place, date

Anlage 4B1

Zu Anlage 4

Promotionsurkunde¹

Fakultät -X-

Bezeichnung der
Fakultät

PROMOTIONSURKUNDE

Die Fakultät für [...] der Carl von Ossietzky Universität Oldenburg verleiht mit dieser Urkunde

Frau/Herrn¹ Vorname Nachname

geboren am ... in ... (Ort, Land),

nachdem sie/er* in einem ordnungsgemäßen binationalen Promotionsverfahren durch ihre/seine* Dissertation mit dem Thema

„Titel“

und durch Bestehen der Disputation ihre/seine* wissenschaftliche Befähigung erwiesen hat, den Grad einer/eines

Doktorin/Doktors der ... (Fachbezeichnung)

Prädikat Dissertationsschrift²: ...

Note Disputation²: ...

Gesamturteil:³ ...

Die Carl von Ossietzky Universität Oldenburg und die Rijksuniversiteit Groningen haben die Dissertation gemeinsam betreut und verleihen im Rahmen dieser Doppelpromotion zwei Doktorgrade. Von der Rijksuniversiteit Groningen wird der Grad verliehen: „Doctor“ oder „....“. Es darf sowohl der niederländische als auch der deutsche Grad geführt werden, aber jeweils nur alternativ einer von beiden⁴.

Oldenburg, Datum

¹ Die Struktur und Formatierung der Urkundenvorlagen in Anlage 7 weicht aufgrund der speziellen Anforderungen und der gemeinsamen Erarbeitung der Anlage 7 mit der Rijksuniversiteit Groningen von den übrigen Urkundenvorlagen dieser Ordnung ab.

² Unzutreffendes streichen.

² Noten: magna cum laude (sehr gut), cum laude (gut), rite (genügend)

³ Prädikate: summa cum laude (ausgezeichnet), magna cum laude (sehr gut), cum laude (gut), rite (genügend)

⁴ ‚Cotutelle de thèse‘-Verfahren

[Name]

Dekan/in der Fakultät für ...

¹⁾ It is hereby certified that this is an official English translation of the original German certificate.

²⁾ Grades: magna cum laude (distinction), cum laude (credit), rite (pass)

³⁾ Overall grades: summa cum laude (high distinction), magna cum laude (distinction), cum laude (credit), rite (pass)

[Name]
Vorsitzende/r des Promotionsausschusses der
Fakultät für ...

¹⁾ It is hereby certified that this is an official English translation of the original German certificate.

²⁾ Grades: magna cum laude (distinction), cum laude (credit), rite (pass)

³⁾ Overall grades: summa cum laude (high distinction), magna cum laude (distinction), cum laude (credit), rite (pass)

Annex 4B2

For Annex 4

English translation of the doctoral certificate²

School -X-
Designation of the
School

CERTIFICATE (Official Translation)¹⁾

The School of ... of the Carl von Ossietzky Universität Oldenburg (Germany) hereby confers on

Name

Born on ... in ... (place, country)

having presented her/his doctoral thesis entitled

„Title“

and having passed the oral examination

the Degree of

Doctor of ... (discipline....)

Doctoral thesis grade²⁾: ...

Oral examination grade²⁾: ...

Overall grade³⁾: ...

The Carl von Ossietzky Universität Oldenburg and the Rijksuniversiteit Groningen have jointly supervised the dissertation and awarded the double doctorate. The degree awarded by the Rijksuniversiteit Groningen is: “Doctor” or “...”. Both the Dutch and German degree may be used, but only one at a time.

Oldenburg, date

² The structure and the layout of the document templates and their translations in Annex 7 deviates from the other document templates in these Regulations due to the special requirements and the joint development of Annex 7 with the Rijksuniversiteit Groningen.

¹⁾ It is hereby certified that this is an official English translation of the original German certificate.

²⁾ Grades: magna cum laude (distinction), cum laude (credit), rite (pass)

³⁾ Overall grades: summa cum laude (high distinction), magna cum laude (distinction), cum laude (credit), rite (pass)

Name
Dean of the School of

Name
Chair of the Doctoral Committee

¹⁾ It is hereby certified that this is an official English translation of the original German certificate.

²⁾ Grades: magna cum laude (distinction), cum laude (credit), rite (pass)

³⁾ Overall grades: summa cum laude (high distinction), magna cum laude (distinction), cum laude (credit), rite (pass)

Please note: This is an unofficial translation provided for your convenience only and does not have any legal binding effects! Only the German version is legally binding!

¹⁾ It is hereby certified that this is an official English translation of the original German certificate.

²⁾ Grades: magna cum laude (distinction), cum laude (credit), rite (pass)

³⁾ Overall grades: summa cum laude (high distinction), magna cum laude (distinction), cum laude (credit), rite (pass)