

Notices

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**Doctoral Study Regulations for the Degree of
Dr. rer. nat./Ph. D. in the Department of
Education and Psychology at Freie Universität
Berlin**

Preamble

Based on Sec. 14 (1) No. 2 of the Partial Basic Rules and Regulations (*Teilgrundordnung*) (test model) of Freie Universität Berlin dated October 27, 1998 (Freie Universität Notice No. 24/1998) in conjunction with Sec. 70 (5) of the Act on Higher Education in the State of Berlin (Berlin Higher Education Act – BerlHG) in the version thereof promulgated in the new version dated July 26, 2011 (Law and Regulatory Gazette (GVBl.) p. 378), last amended on May 9, 2016 (GVBl. p. 226), the expanded Department Council of the Department of Education and Psychology of Freie Universität Berlin issued the Doctoral Study Regulations that follow on July 14, 2016:*

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* These regulations were confirmed by the Executive Board of Freie Universität Berlin on August 10, 2016.

Annex:

Declaration pursuant to Sec. 7 (3), fourth sentence, of the Doctoral Study Regulations (sample)

Sec. 1

Significance of doctoral study; the doctoral degree

(1) The Department of Education and Psychology of Freie Universität Berlin awards the degree of Doctor of Natural Sciences (doctor rerum naturalium, abbreviated Dr. rer. nat.) or Doctor of Philosophy (Ph. D.) based on a doctoral study procedure that is duly conducted in accordance with the provisions set forth below.

(2) Earning a doctorate not only represents successful conclusion of the candidate's studies, but also demonstrates the holder's ability to engage in advanced scholarly or scientific work through original research. This is proven by presenting a scholarly or scientific work (dissertation) and engaging in a test colloquium (the defense). Earning the degree of Doctor of Philosophy (Ph. D.) also requires proof of successful conclusion of doctoral studies within the Dahlem Research School (DRS) or equivalent studies, which can be provided by presenting a certificate and documentation of coursework or equivalent documentation.

(3) Doctoral study subjects for which it is possible to earn the Dr. rer. nat./ Ph. D. degree are academic or scientific fields whose content can be delineated from that of other fields and for which a course of study or separate module comprising at least 30 credits has been established pursuant to the relevant study and examination regulations and that are represented in teaching and research activities by at least one university instructor within the Department.

(4) The degree of honorary doctor of natural sciences (doctor rerum naturalium honoris causa, abbreviated Dr. rer. nat. h. c.) can be awarded for particular scientific or academic merit in a subject of doctoral study.

(5) Each candidate can only earn one degree pursuant to para. 1 above in the same subject.

Sec. 2

Doctoral committee

(1) The department council establishes a doctoral committee to perform the doctoral procedure. The department council appoints the members of the doctoral committee at the start of each term in office. The doctoral committee is composed of at least three full-time university instructors and one research associate or research assistant who holds a doctorate. A substitute must be appointed to stand in for each member.

(2) The doctoral committee decides whether to admit the applicant and his/her dissertation project to the doctoral procedure. The committee is obligated to advise applicants. In the case of interdisciplinary doctoral projects, the doctoral committee ensures that the other subjects are appropriately involved in the assessment process. Meetings of the doctoral committee are not open to the public.

(3) The doctoral committee may assign responsibility for making decisions to the doctoral committee chair in individual cases or may assign certain powers to the chair on a general basis. The doctoral committee is permitted to reverse this assignment at any time.

(4) The doctoral committee reports to the department council. It notifies the department council of its decisions.

(5) In the case of fundamental procedural questions, the doctoral committee chair must notify the University Management, Office of the General Counsel, via the Office of the Dean of the Department.

Sec. 3 Admission requirements

¶ It is a requirement for admission to the doctoral procedure that the applicant must hold a degree in a course of study of substantial relevance to the doctorate, awarded by a higher education institution that falls within the scope of the German Basic Law (GG), evinced by the applicant's having taken the final examination for the degree of *Diplom* or for a master's degree and having earned a total of 300 credits, including the lower-division studies completed beforehand, or having taken an equivalent examination, on which the applicant earned an overall grade of at least "Good."

¶ An applicant who has taken the final examination for a bachelor's degree or the final examination for a master's degree that is not preceded by successful lower-division studies in a course of study of substantial relevance to the doctorate may be admitted if the applicant earned for that degree the highest possible evaluation under the grading scale used pursuant to the relevant examination regulations and has passed an aptitude assessment exam administered by two full-time university instructors in a subject of substantial relevance to the doctorate. The doctoral committee decides on the form of the aptitude assessment exam.

¶ If the applicant has a degree other than as provided in paragraphs 1 and 2 above, he or she may be admitted to the doctoral procedure if it has been ensured that he or she has the necessary qualifications for the discipline of doctoral study. The doctoral committee may admit the applicant to the doctoral procedure on the condition that he or she passes an aptitude assessment exam administered by two full-time university instructors in a subject of substantial relevance to the doctorate.

¶ For the purposes of paragraph 1 above, "degree" also means an equivalent exam administered at a higher education institution outside the scope of the German Basic Law (GG). If there is any doubt regarding equivalence, a statement of comparability must be obtained from the Central Office for Foreign Education (Zentralstelle für ausländisches Bildungswesen, or 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). In the event that no classification of the grading of the foreign degree by the Central Office for Foreign Education takes place, the representative of the doctoral committee who is responsible in subject-specific terms will review the comparability of this degree grading with an overall grade of "Good" at the least. If equivalence is not found, the doctoral committee will review whether equivalence can be established after conditions within the meaning of paragraph 2 are met.

¶ If the degree was earned in a program toward the degree of *Diplom* or a master's degree program at a university of applied sciences, the relevant aptitude must be demonstrated pursuant to Sec. 35 (3) of the Berlin Higher Education Act (BerlHG). This takes place through a final examination at a university of applied sciences in a study program of substantial relevance to the doctorate with an overall grade that is the highest on the grading scale used pursuant to the relevant examination regulations. The doctoral committee decides whether to proceed pursuant to paragraph 2 or paragraph 3 in the individual case.

¶ The awarding of the degree of Dr. rer. nat. or Ph. D. requires a dissertation that corresponds to the common methods and measures used in research in the natural sciences. The doctoral committee will review based on the exposé whether the requirements for admission to a doctoral procedure in the natural sciences are met.

Sec. 4 Admission procedure

(1) Applications for admission to doctoral study must be addressed to the doctoral committee with the following documents:

- a) documents, particularly transcripts and proof of qualifications, that are necessary pursuant to Sec. 3 hereof;
- b) an overview in table format regarding the applicant's activities and experiences that are relevant in connection with the intended doctoral project;
- c) a declaration regarding whether the applicant has previously registered his or her doctoral intentions or is enrolled in a doctoral procedure at another higher education institution or within another department at Freie Universität Berlin, including full information, where applicable;
- d) a declaration that the applicant is familiar with the applicable doctoral regulations;

- e) in the case of applicants whose native language is other than German and of applicants who hold degrees from foreign higher education institutions or equivalent institutions and wish to earn the doctorate in German, proof of German language skills shown by having passed the Deutsche Sprachprüfung für den Hochschulzugang (DSH) or equivalent proof pursuant to the Regulations for the German Language Examination for Admission of Foreign Applicants to Higher Education at Freie Universität Berlin (Ordnung für die Deutsche Sprachprüfung für den Hochschulzugang ausländischer Bewerberinnen und Bewerber an der Freien Universität Berlin); and
- f) in the event that the applicant wishes to do work toward the doctorate in English or, upon request, another language of academic and scientific endeavor, proof of language skills in English or the other language at level C1 of the Common European Framework of Reference for Languages (CEFR), demonstrated by a certificate or equivalent documentation. A language of academic and scientific endeavor other than English can only be used if supervision, assessment, and evaluation are ensured.

(2) The application for admission must be accompanied by an exposé and a declaration of the form chosen pursuant to Sec. 7 (2) for the dissertation project. The exposé must be in accordance with the common methods and measures used in research in the natural sciences. If none of the professors who are members of the doctoral committee and are involved in the admission decision has earned a doctorate in a discipline in the natural sciences, a vote from a member of the Department who holds the relevant qualifications, either through the habilitation process or as a professor, must be obtained before the admission decision is made. The dissertation project must be endorsed by at least one full-time university instructor from the Department. The doctoral candidate must propose a supervisor. The proposed supervisor must confirm that he or she will assume this role.

(3) The doctoral committee typically decides on applications for admission to the doctoral procedure at its next meeting. The reasons for rejections must be stated in writing.

- (4) The committee is obliged to reject the doctoral application if:
- a) the requirements pursuant to Sec. 3 are not met;
 - b) the documentation pursuant to Sec. 1 and 2 has not been presented;
 - c) the applicant has successfully completed a doctoral procedure in the doctoral subject for which he or she is applying;
 - d) the applicant is enrolled in a doctoral procedure in the doctoral subject for which he or she is applying; and/or
 - e) the declaration pursuant to paragraph 1 (c) above is not issued truthfully.

Sec. 5

Enrolling as a student for the doctorate

(1) Doctoral candidates who are not already members of Freie Universität Berlin based on an employment relationship or enrollment in a study program must enroll at Freie Universität Berlin as students in order to earn the doctorate.

(2) If the candidate does not apply for enrollment within the time limit stated in the notice of admission to the doctoral procedure or before an extension, if any, expires, his or her admission to the doctoral procedure will cease to apply. This does not preclude the filing of a new application for admission to the doctoral procedure.

Sec. 6

Supervision of the dissertation project; standard processing time

(1) By admitting the doctoral candidate to the doctoral procedure, the Department agrees to ensure the supervision and later assessment of the dissertation project.

(2) The supervisor of a dissertation is typically a university instructor at the Department. Supervising a dissertation is an ongoing obligation of the relevant university instructor and cannot be delegated to others.

(3) Notwithstanding the provisions of paragraph 2 above, directors and heads of research groups and of independent junior research groups and other members of research and education institutions outside the university that have been granted equivalent status who have been granted the right by Freie Universität Berlin to participate in doctoral procedures as supervisors, reviewers, and/or examiners within the scope of cooperation agreements by mutual agreement with the Department have the rights and obligations of part-time university instructors in the Department's doctoral procedures. This also applies to the heads of junior research groups financed through external funding for which Freie Universität Berlin is the accepting institution and to whom the right to supervise doctoral candidates as they earn the doctorate has been granted by mutual agreement with the Department within the scope of an agreement.

(4) In individual cases, the granting of the rights and obligations of participation pursuant to paragraph 3 above may require a determination by the majority of the members of the doctoral committee who hold doctorates that the necessary qualifications are present based on prior academic and scientific achievements and that the requirements that apply to university instructors within the Department are thus met. The doctoral committee can designate

a university instructor from the Department to act as a joint supervisor at the same time.

(5) The doctoral committee can also appoint university instructors who are not members of the Department if there is good reason to do so in the specific case. The doctoral committee designates one full-time university instructor from the Department to support the external supervisor with regard to procedural questions. Support pursuant to the second sentence above is not required in the case of retired or emeritus university instructors from Freie Universität Berlin. External supervisors must ensure proper supervision even if their professional activities primarily take place outside the State of Berlin, and in particular must ensure that personal contact with the doctoral candidate is assured.

(6) The topic of the dissertation project may be chosen freely, but it must be chosen by mutual agreement with the supervisor. The dissertation should typically be submitted within three years, and the procedure should be concluded after four years (standard processing time).

(7) If a doctoral candidate exceeds the standard processing time pursuant to paragraph 6 above, he or she is required to submit to the Student Records and Registration Office a certificate from the doctoral committee stating the status of processing of the dissertation and the estimated processing time that is still needed. If the certificate is not presented within three months after a request to provide it has been issued and the reasons therefor are the doctoral candidate's responsibility, the candidate's admission to the doctoral procedure will cease to apply. If the doctoral candidate was enrolled, he or she will be removed from the register of students.

(8) The supervisor must make a declaration to the doctoral candidate and the Department in which he or she undertakes an obligation to supervise the dissertation project for a period of up to three years. The doctoral committee will decide on any period of supervision beyond that, upon request, by mutual agreement with the supervisor. If the supervisor or doctoral candidate should determine in the course of their work together that there is compelling reason to terminate their relationship, they are obligated to notify the doctoral committee chair thereof without delay, stating the reason or reasons.

(9) If the supervisor's affiliation with Freie Universität Berlin terminates, he or she retains the right to conclude the supervision of a dissertation that has been commenced and to belong to the doctoral commission with voting rights for a period of three years; nothing herein affects the provisions of Sec. 9 (2), second sentence. The time limit does not apply to former full-time university instructors at Freie Universität Berlin whose teaching and examination rights continue to apply.

Sec. 7 Dissertation

(1) The written doctoral work must demonstrate the candidate's aptitude for independent advanced scholarly and scientific work and should strive to advance the state of academic and scientific knowledge.

(2) The written doctoral work to be submitted must be in German, English, or, upon request, another language of academic and scientific endeavor. The candidate can submit either (a) a publication-based work, or (b) a monograph.

- a) A publication-based work consists of individual works that have been published and/or submitted for assessment. Individual works must be published in scholarly or scientific journals (print or online) with a review system or have been submitted to such journals for publication. At least one of the individual works must have been accepted for publication. The doctoral commission has the right to decide whether to accept or reject a publication-based work, regardless of whether these prerequisites are met. A publication-based work must have an overall title and must, in addition to the information stipulated in Sec. 7 (5), consist of a list of titles of the individual works and an introduction as well as a connecting text (summary, or *Kumululus*) that interprets, assesses, and discusses the individual works incorporated into the publication-based work on an overarching basis.
- b) A monograph that has not been published or that has been published previously in part contains a self-contained depiction of the research work and its results. Prior publications are permissible only by mutual agreement between the doctoral candidate and his or her supervisor.

(3) In the case of written doctoral work pursuant to paragraph 2 that has been performed in cooperation with other scholars, scientists, or researchers, the doctoral candidate's portion must be clearly delineated, and it must be possible to evaluate it as such. The doctoral candidate is obligated to present his or her portion in detail. The declaration must be enclosed and published with the dissertation. For publication-based works, the sample appended to these regulations must be used. The work is published without citing co-authors' names and addresses. These details must be noted in the doctoral file.

(4) The doctoral candidate must indicate all of the aids and supporting materials and assure that he or she wrote the work him- or herself on this basis. The work must not have already been accepted or rejected in an earlier doctoral procedure. In cases of doubt, work from earlier doctoral procedures must be presented for comparison.

(5) The dissertation title page must state the author's name. The dissertation must cite the Department and state that it is a dissertation submitted at Freie Universität Berlin, along with the year of submission, and must contain a preceding page for the names of the reviewers. It must also contain short versions of the findings in German and English as an appendix. With the doctoral candidate's approval, it should contain a brief biographical statement on the candidate.

(6) The dissertation must be submitted to the doctoral study office in six printed copies each. Each reviewer receives one copy, and one copy remains with the Department, where it is archived. Previous publications of parts of the work must be submitted in sextuplicate as reprints or copies. In addition to the printed form, the dissertation must also be submitted in electronic form. The dissertation may be subjected to an electronic plagiarism review; data protection must be guaranteed during this process.

(7) Doctoral candidates should take part in an event on good academic and scientific practices.

Sec. 8 Assessment of the dissertation

(1) After the dissertation is submitted, the doctoral committee appoints the reviewers for the dissertation and the doctoral commission pursuant to Sec. 9 without delay.

(2) As a basic principle, the supervisor responsible for the dissertation project must be appointed as one of the reviewers of the dissertation. The doctoral committee designates one additional reviewer by agreement with the doctoral candidate. At least one reviewer must be a full-time university instructor at the Department. At least one reviewer must work in the discipline in which the dissertation was written. If significant methodological or factual aspects of the dissertation touch upon a subject area that is primarily represented within a different department, the additional university instructor reviewing the dissertation should be affiliated with that department. Nothing herein affects the provisions of Sec. 6 (3) hereof. In the case of written doctoral work pursuant to Sec. 7 (2) that arose in cooperation with other scholars, scientists, or researchers, not more than one of the reviewers can be involved in the publication or publications.

(3) The reviews must be written independently of each other and submitted within ten weeks after they are requested. If the time limit is exceeded, the reasons for this must be stated in writing to the doctoral committee. The members of the doctoral committee and the doctoral commissions must treat the reviews as confidential; with respect to the doctoral candidate, the provisions of Sec. 10 (2), fifth sentence, apply. The reviews must assess the significance of the dissertation and its results in a broader context and set out any defects or deficiencies. If a reviewer believes the work to have any defects or deficiencies that can be remedied and believes that remedying these is necessary in order for the work to be accepted, the reviewer must stipulate these in detail in the review. In this case, he or she can recommend that the dissertation be reviewed; pointers should be given for this. In the overall evaluation, each reviewer must recommend that the dissertation be accepted, rejected, or returned for specific defects or deficiencies to be remedied before it is resubmitted. The overall evaluation of "summa cum laude" can be proposed for the dissertation. If the necessary evaluations are not clearly apparent from a review, the doctoral committee will return the review for revision.

(4) If the evaluation proposals in the reviews differ from each other to such a degree that one of the two reviewers recommends that the work be rejected, the doctoral committee will appoint an additional reviewer.

(5) If both reviews unanimously recommend the overall evaluation of "summa cum laude," a third review from an outside party must be obtained. The provisions of paragraph 2, seventh sentence, apply accordingly.

(6) After the assessment process is complete, the dissertation must be publicly displayed, together with the reviewers' evaluations, for two weeks. All university instructors and members of the Department who hold doctorates are permitted to view the dissertation and evaluations and submit a written statement of position, which must be enclosed with the doctoral documents. These persons must be informed of the public display of the dissertation by the doctoral committee in an appropriate manner. In addition, the members of the doctoral committee and the relevant doctoral commission have the right to view the reviews as well during the period when the dissertation is publicly displayed. In the event that statements of position are received during the period when the dissertation is on display, the doctoral committee may appoint an additional external reviewer.

Sec. 9 Doctoral commission

(1) The doctoral committee forms a doctoral commission for the upcoming doctoral procedure.

The doctoral commission designates a chair and a deputy chair. Both must be full-time university instructors or retired or emeritus university instructors from Freie Universität Berlin.

(2) The doctoral commission consists of

- the reviewers pursuant to Sec. 8 (2),
- at least two further university instructors, and
- an employee who holds a doctorate and who is employed by Freie Universität Berlin or by a member of the Department.

At least one member of the doctoral commission must be a full-time university instructor at the Department. At least one other member of the doctoral commission must be a full-time university instructor at Freie Universität Berlin or a retired or emeritus university instructor from Freie Universität Berlin. The doctoral commission should not have as members more than one university instructor who has been relieved of his or her duties or placed in retirement. Nothing herein affects the provisions of Sec. 6 (3) hereof. In the case of written doctoral work pursuant to Sec. 7 (2) that has arisen in cooperation with other scholars, scientists, or researchers, not more than two members of the doctoral commission are permitted to be involved in the publication or publications.

(3) If members of the doctoral commission are departing or will be unable to perform their duties for a longer period for a compelling reason, the doctoral committee will add members to the doctoral commission accordingly, in compliance with the provisions of paragraph 2 above.

(4) The tasks of the doctoral commission are:

- a) to accept, reject, or return the dissertation on the basis of the reviews that have been received and any statements of position received pursuant to Sec. 8 (6) hereof;
- b) to schedule and conduct the defense;
- c) to evaluate the dissertation and the defense; and
- d) to determine the overall evaluation pursuant to Sec. 12 hereof.

(5) Meetings of the doctoral commission are not open to the public.

(6) The doctoral commission passes resolutions by a majority of votes cast by eligible members. All votes on performance evaluations are cast openly; abstentions are not permitted.

Sec. 10

Decisions regarding the dissertation and scheduling of the defense

(1) After the period when the dissertation is displayed expires, the doctoral commission decides whether to accept, reject, or return the dissertation and, if the dissertation is accepted, regarding the scheduling of the defense.

If the dissertation is rejected, the doctoral commission declares the doctorate not to have been passed, without scheduling the defense, and states the reasons for its decision. The chair of the doctoral committee is responsible for notifying the doctoral candidate in writing that the dissertation has been rejected, with a statement of the reasons therefor.

(2) After the dissertation is accepted, the doctoral commission notifies the doctoral candidate of its decision and arranges the date and time of the defense with the candidate. The defense should take place within four months after receipt of the last review. The doctoral committee chair decides on legitimate exceptions upon request. The doctoral commission chair issues the invitations to the defense. To prepare for the defense, the doctoral candidate receives a photocopy of the reviews no later than ten days before the defense.

(3) If the dissertation is returned, the defense is not scheduled until after the revised dissertation has been submitted and assessed and the period of public display pursuant to Sec. 8 (5) above has elapsed.

(4) If the doctoral candidate waives the defense, the doctorate is considered not to have been passed. The doctoral committee chair is responsible for communicating this to the candidate in writing.

Sec. 11

Defense

¶ The purpose of the defense is to demonstrate the doctoral candidate's ability to present and engage in discussion on scientific and scholarly problems orally. Depending on the doctoral candidate's wishes, the defense takes place in German, English, or, upon request, another language of academic and scientific endeavor. The defense is open to the university community unless the candidate objects. All members of the doctoral commission are required to participate in the defense, which can take place via video telephony in individual cases where there is good reason for this; the decision is made by the doctoral committee.

¶ The defense begins with an oral presentation approximately 30 minutes in length, during which the doctoral candidate presents and explains the results of the dissertation and its significance in a broader context

within the field. After that, the candidate defends the dissertation against criticism and answers questions from members of the doctoral commission. The questions should concern the place where the issues treated in the dissertation fit in within one or more broader scientific and scholarly contexts. Afterward, the chair of the doctoral commission may permit the public to ask questions about the subject of the defense. The discussion must take at least 30 minutes and should not take more than 60 minutes.

§ The chair of the doctoral commission coordinates the scientific and scholarly discussion and decides regarding the order of precedence and, where necessary, admissibility of questions. The chair can exclude the public where this is necessary to hold the defense properly and in good order; the members of the doctoral committee are not considered members of the public.

§ The members of the doctoral commission appoint one of their members to take the minutes. This person takes the minutes regarding the defense. The minutes must be filed with the doctoral documents. The minutes must contain the following information:

- the date, time, and place of the defense;
- a list of the members of the doctoral commission who are present;
- notes in abbreviated form on the contributions made to the discussion;
- the evaluation of the defense;
- the overall evaluation pursuant to Sec. 12 hereof; and
- any unusual or special occurrences.

The minutes must be signed by the person taking the minutes and by the chair of the doctoral commission.

§ If the doctoral candidate fails to appear for the defense without an excuse, the defense is considered not to have been passed. This must be communicated to the doctoral candidate in writing.

Sec. 12 Decision regarding the defense and granting of the doctoral degree

§ Following the defense, the doctoral commission evaluates the defense in a non-public meeting. The discussion carries greater weight in the assessment of the defense than the presentation. The defense is evaluated as passed or not passed.

§ If the defense has been evaluated as passed, the doctoral commission determines the overall evaluation. Successful completion of the doctoral procedure requires both the dissertation and the defense to have been evaluated as “passed” at the least.

The overall evaluation is either “summa cum laude” or “passed.” The doctoral commission chair notifies the doctoral candidate of the individual evaluations for the dissertation and defense and of the overall evaluation. The notation “summa cum laude” can only be granted as an overall notation if all three reviews of the dissertation have suggested this and the defense justifies it.

§ After the overall grade has been determined by the doctoral commission, the doctoral candidate receives an interim certificate containing the title of the dissertation and the overall notation. This interim certificate does not entitle the bearer to use the title of doctor.

§ After the doctoral procedure has been concluded, the entire process remains confidential; the person who has earned the doctorate or the former doctoral candidate has the right to inspect the doctoral file within a period of one year.

§ If the defense was not passed, the doctoral committee chair is responsible for communicating the decision and the reasons therefor to the doctoral candidate in writing within two weeks. The defense can then be repeated one time, no earlier than three months later and no later than six months later.

§ If the second defense is also not passed, the doctoral commission declares the doctoral procedure not to have been passed and states the reasons for its decision. The doctoral committee chair notifies the doctoral candidate of this decision in writing within two weeks.

Sec. 13 Publication and delivery obligations

§ The dissertation must be made accessible to the academic and scientific community in a reasonable manner. The summary (*Kumulus*) of a publication-based work pursuant to Sec. 7 (2) (a) must be published. There is no additional publication obligation that applies to the published individual works within the scope of a doctoral procedure. In response to a well-founded written request from the doctoral candidate, the doctoral committee decides whether a work published in parts can be exempted from the publication obligation.

§ In the case of a monograph pursuant to Sec. 7 (2) (b), the publication obligation is deemed to be met if the doctoral candidate delivers the following, free of charge, to the University Library in addition to the six copies that must be delivered to the doctoral office pursuant to Sec. 7 (6) hereof:

- a) one electronic version and two printed copies, or

- b) 35 copies in book or photographic print form, or
- c) three retail-format copies, if a commercial publisher is handling the distribution via retail channels and the candidate provides proof of a print run of at least 150 copies, or
- d) three printed copies, along with 20 microfiches and one master fiche.

If 35 copies in book or photographic print form are submitted (case b), the University Library is obligated to store the excess exchange copies in a reasonable number for a period of four years. If a commercial publisher is handling the distribution via retail channels (case c), the publication must be labeled as a dissertation from Freie Universität Berlin. The copies to be delivered to the University Library must contain the original dissertation title page. In the cases described in b) and d) above, the doctoral candidate grants Freie Universität Berlin the right to make and distribute further copies of his or her dissertation.

§ If a dissertation is distributed by a commercial publisher and a supplement toward printing costs is granted therefor out of public funds, two further copies must be provided to the University Library for exchange purposes in addition to the copies mentioned in paragraph 2 (d) above.

§ The publication and fulfillment of the delivery obligation pursuant to paragraph 1 above must take place within two years, counted from the date of the defense. The doctoral committee is responsible for deciding on any extension to this time limit in response to a well-founded written request from the doctoral candidate.

§ Before the dissertation goes to print, the doctoral candidate is required to obtain printing authorization for the version of the text that is to be published. This authorization is granted by the chair of the doctoral committee in agreement with the reviewers.

Sec. 14 Doctoral certificate

(1) A certificate regarding the doctorate is issued in German. Upon request, the certificate can also be issued in English or Latin.

(2) The certificate must contain the following information:

- a) designation of Freie Universität Berlin and the Department;
- b) the name, date of birth, and place of birth of the person who has earned the doctorate;
- c) the degree awarded, whether doctor of natural sciences (doctor rerum naturalium, abbreviated Dr. rer. nat.) or Doctor of Philosophy (Ph. D.);
- d) title of the dissertation;

- e) the date of the defense, which is considered the date on which the doctorate was earned;
- f) the evaluations of the dissertation and defense and the overall evaluation of the doctorate;
- g) the names of the reviewers;
- h) the name and signature of the dean;
- i) the seal of Freie Universität Berlin; and
- j) where applicable, the designation of the doctoral study program that has been successfully completed.

(3) Doctoral candidates who meet the requirements for the awarding of the degree of Doctor of Philosophy (Ph. D.) are awarded this degree upon request. Otherwise, the degree of doctor of natural sciences (Dr. rer. nat.) is awarded.

(4) If it turns out, before the doctoral certificate is issued, that

1. the applicant has engaged in deception regarding key requirements for the awarding of the doctorate, or
2. key requirements for the awarding of the doctorate were mistakenly assumed to be met without the matter falling under No. 1 above,

the doctoral certificate will not be issued, and in the case of the doctoral procedure pursuant to Sec. 1 through 12 hereof, the overall examination will be declared not to have been passed, unless the doctoral committee decides otherwise.

(5) The doctoral certificate should be issued within six weeks after notification that the publication and delivery obligations pursuant to Sec. 13 hereof have been met. The doctoral certificate entitles the bearer to use the title of doctor. Using the title "Doctor designatus (Dr. des.)" before then is not permitted.

Sec. 15 Request for reconsideration

A request for reconsideration of the result of the doctoral procedure must be submitted to the chair of the doctoral committee, with a written statement of the reasons, within three months after the result has been announced. The doctoral committee chair is responsible for conducting the reconsideration procedure correctly. He or she forwards the request for reconsideration to the members of the doctoral commission. The doctoral committee chair communicates the commission's decision regarding the request for reconsideration to the affected party. The doctoral commission makes a decision regarding the request for reconsideration within one month in principle. The evaluations made and the main reasons therefor must be reviewed in the process. A written

statement of the reasons must be given with regard to the result of this review, including the grade.

Sec. 16

Doctoral degree awarded jointly with a foreign institution or education or research institution with equivalent status

(1) The doctoral procedure can be conducted jointly with a foreign higher education institution or education or research institution with equivalent status if

- a) the applicant meets the requirements for admission to the doctoral procedure in the department at Freie Universität Berlin, and
- b) the foreign institution possesses the right to award doctoral degrees pursuant to the national law applicable to it and the degree to be awarded by this institution would merit recognition within the area to which the German Basic Law (GG) applies.

(2) The performance of the joint doctoral procedure must be set out in a contract. The provisions of this contract apply alongside those of these Doctoral Study Regulations. When the contract is entered into, the provisions of these Doctoral Study Regulations must be taken into account with respect to the requirements and the procedure, in order to ensure equivalence. It must be ensured by mutual agreement that the essential provisions of the doctoral study regulations of the department at Freie Universität Berlin are also guaranteed.

(3) The doctoral candidate must have been admitted to the participating institutions.

(4) The work can be written in German, English, or, upon request, another language of academic and scientific endeavor, and if applicable, it must contain a summary in the third language in addition to the German and English summary.

(5) The doctoral commission will be composed equally of two university instructors from each participating higher education institution or equivalent research or education institution and one representative of each department who holds a doctorate. Upon request, the commission can be expanded to include as many as two further university instructors, but if this is done, equal representation must be ensured. It must be ensured that members of the doctoral commission are proficient in the language of the review.

(6) In the case of divergent grading systems in the two countries, agreement must be reached regarding what to call the examination grades that are jointly determined and how they can be documented uniformly.

(7) A bilingual doctoral certificate will be issued jointly by both universities. When this takes place, the doctoral candidate acquires the right to use the doctoral title in either the German form or the foreign form. However, only one doctorate is awarded.

Sec. 17

Honorary doctorate

Upon a request from the dean, the research committee, or at least three full-time university instructors from the Department, the department council may grant the degree of honorary doctor of natural sciences (doctor rerum naturalium honoris causa, abbreviated Dr. rer. nat. h. c.) for outstanding scientific or research achievement relevant to the subject of the doctorate. To assess this achievement, the doctoral committee is required to form a doctoral commission pursuant to Sec. 9 hereof. This commission then presents to the department council a recommendation, taking two external reviews into account. The decision by the department council requires a majority of the members of the department council who are permitted to use the title of doctor.

Sec. 18

Revocation of a doctorate

The revocation of a doctorate pursuant to Sec. 1 is governed by the provisions of law.

Sec. 19

Withdrawal and new doctoral procedure

(1) The doctoral candidate has the right to withdraw at any point up until the first review is received. The steps in the procedure that have been completed up until then are not considered to constitute a doctoral procedure after the candidate withdraws.

(2) If the entire doctoral procedure has not been passed, the candidate is permitted to apply for admission to a new doctoral procedure and submit a new dissertation one year later at the earliest.

Sec. 20

Entry into force

These Doctoral Study Regulations enter into force on the day after publication hereof in the Notices (Official Register of Freie Universität Berlin).

Annex

Declaration pursuant to Sec. 7 (3), fourth sentence, of the Doctoral Study Regulations regarding my own share of the submitted scientific or scholarly work that has been published or is intended for publication within the scope of my publication-based work

I. Last name, first name:

Institute:

Doctoral study subject:

Title:

II. Numbered listing of works submitted (title, authors, where and when published and/or submitted):

- 1.
- 2.
- 3.

III. Explanation of own share of these works:

Explanation: State what work on your part these works contain (**for example**, development of the concept, literature research, method development, experiment design, data collection, data analysis/interpretation, discussion of results, preparing the manuscript, programming, evidence and documentation) and what amount thereof (**for example**, all, the vast majority, most, part) was done by you.

Regarding II. 1.:

Regarding II. 2.:

Regarding II. 3.:

IV. Names, addresses, and e-mail addresses or fax numbers for the relevant co-authors:

Regarding II. 1.:

Regarding II. 2.:

Regarding II. 3.:

Date, doctoral candidate signature

The information in III. must be confirmed in writing by the co-authors.

I confirm the declaration made by xxxx under III.:

Name: Signature:

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