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**Regulations of Karlsruhe Institute of Technology (KIT)  
for the Award of the Doctoral Degree in Natural Sciences (Dr.rer.nat.)  
at the KIT Department of Physics**

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The German version exclusively has legally binding character.*

This is a condensed translation of the following German documents:

- Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Physik zur Erlangung des Doktorgrades der Naturwissenschaften (Dr.rer.nat.), Nr. 27, 27. März 2017
- Satzung zur Änderung der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Physik zur Erlangung des Doktorgrades der Naturwissenschaften (Dr.rer.nat.), Nr. 59, 26. Oktober 2018

# **Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree in Natural Sciences (Dr.rer.nat.) at the KIT Department of Physics**

dated March 27, 2017

Pursuant to Art. 10, par. 2, clause 5 and Art. 20, par. 2, clause 1 of the Act on Karlsruhe Institute of Technology (KIT Act – KITG), as amended on July 14, 2009 (Bulletin, pp. 317), last amended by Art. 1 of the Act Accompanying the 2017 Budget (Haushaltsbegleitgesetz) of February 21, 2017 (Bulletin, p. 65) and Art. 38, par. 4 of the Act of Baden-Württemberg on Universities and Colleges (Landeshochschulgesetz – LHG), as amended on January 01, 2005 (Bulletin, pp. 1), last amended by Art. 2 of the Act on the Implementation of Equal Opportunities of Women and Men in the Public Service Sector in Baden-Württemberg and on the Modification of the Act of Baden-Württemberg on Universities and Colleges (Equal Opportunities Act – Chancengleichheitsgesetz, ChancenG) of February 23, 2016 (Bulletin, pp. 108 and 118), the Senate of Karlsruhe Institute of Technology (KIT) adopted the following statutes on March 20, 2017.

The President expressed his approval according to Art. 20, par. 2, KITG in conjunction with Art. 38, par. 4, clause 1, LHG, on March 27, 2017.

## **CONTENTS**

### **Section 1: General Provisions**

Article 1 Doctoral Degree

Article 2 Doctoral Admissions Committee

Article 3 Persons Authorized to Participate in Doctoral Procedures

Article 4 Requirements for Admission to the Doctorate

Article 5 Doctorate under Joint Supervision with a Department of a Foreign University

Article 6 Doctorate in Cooperation with a University of Applied Sciences

Article 7 Participation of External Doctoral Candidates

Article 8 Ombudspersons

Article 9 Inspection of Records

### **Section 2: Doctoral Agreement and Doctoral Procedure**

Article 10 Doctoral Agreement

Article 11 Acceptance and Refusal of a Doctoral Candidate

Article 12 Doctoral Thesis

- Article 13 Application for Admission to the Doctoral Procedure
- Article 14 Start of the Doctoral Procedure
- Article 15 Doctoral Examination Committee
- Article 16 Acceptance and Assessment or Rejection of the Doctoral Thesis
- Article 17 Oral Examination
- Article 18 Repetition of the Oral Examination
- Article 19 Withdrawal from the Oral Examination
- Article 20 Overall Grade for the Doctorate
- Article 21 Publication of the Doctoral Thesis and Submission of the Deposit Copies
- Article 22 Award of the Doctorate and Doctoral Degree Certificate
- Article 23 Invalidity of the Doctorate and Revocation of the Doctoral Degree

**Section 3: Honors**

- Article 24 Honorary Doctorate
- Article 25 Doctoral Jubilee

**Section 4: Concluding Provisions**

- Article 26 Entry into Force, Transition Regulation

## Section 1: General Provisions

### Article 1 Doctoral Degree

- (1) The KIT Department of Physics of Karlsruhe Institute of Technology (KIT) (hereinafter referred to as KIT Department) awards the academic degree of a Doktor/Doktorin der Naturwissenschaften (Dr.rer.nat., Doctor of Natural Sciences) in a regular doctoral procedure.
- (2) The KIT Department can award the honorary degree of Doktor/Doktorin der Naturwissenschaften ehrenhalber (Dr.rer.nat. h.c., Honorary Doctor of Natural Sciences) (Art. 24).
- (3) The KIT Department can renew a doctoral degree certificate awarded by it after 25 years (Art. 25).

### Article 2 Doctoral Admissions Committee

- (1) The Doctoral Admissions Committee consists of members of the Executive Commission of the KIT Department and the other Studies Deans. They appoint a member of the Doctoral Admissions Committee their Chairperson. A deputy of each member of the Doctoral Admissions Committee is appointed by the KIT Department Council. The term of office of the members of the Doctoral Admissions Committee is linked to the term of office of the KIT Dean. Any previous membership does not exclude a renewed membership of the Doctoral Admissions Committee.
- (2) In the case of meetings of the Doctoral Admissions Committee in connection with research misconduct, an Ombudsperson with an advisory vote is to be consulted according to the "Statutes for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)".

### Article 3 Persons Authorized to Participate in Doctoral Procedures

- (1) Professors according to Art. 44, par. 1, clause 1, No. 1, LHG, executive scientists according to Art. 14, par. 3, KITG, *apl. Professors*, and *Privatdozenten / Privatdozentinnen* are authorized in principle to participate in doctoral procedures. They may also be employed by a university outside of the state of Baden-Württemberg or by a state-owned or state-recognized equivalent university abroad.
- (2) Moreover, (early-stage) researchers of Karlsruhe Institute of Technology (KIT) who were granted the status of a "KIT Associate Fellow" may be permitted to participate in doctoral procedures. The proceeding and the rights and obligations of the "KIT Associate Fellow" shall be subject to the "Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines „KIT Associate Fellow“" (Rules of

Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow”).

- (3) Professors of Universities of Applied Sciences or Baden-Württemberg Cooperative State Universities may also be appointed supervisors according to Art. 38, par. 5, cl. 3 LHG or reviewers according to Art. 15, par. 3. Their appointment shall require co-signing of the doctoral agreement by a person authorized by the KIT Department to participate in doctoral procedures according to Art. 10, cl. 2 and is subject to the approval by the Doctoral Admissions Committee. The request for approval, together with the doctoral agreement, must be addressed to the Chairperson of the Doctoral Admissions Committee by the co-signing person authorized to participate in doctoral procedures by the KIT Department according to cl. 2. The Doctoral Admissions Committee decides on approval based on the qualification of the professor of the Universities of Applied Sciences or Baden-Württemberg Cooperative State Universities for the respective doctoral project.
- (4) The rights of participation of professors according to Art. 44, par. 1, clause 1, No. 1, LHG and of executive scientists according to Art. 14, par. 3, KITG shall not be affected by retirement. Other persons authorized to participate in doctoral procedures, who no longer work at KIT, may participate in a doctoral procedure for up to three years after their leave. Article 6, par. 8 of the “Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines “KIT Associate Fellow”” (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow“) shall remain unaffected.
- (5) If a person authorized by a KIT Department to participate in doctoral procedures has concluded a doctoral agreement according to Art. 10 and his/her membership with the KIT Department ends afterwards, he/she shall continue to be a person authorized by the KIT Department to participate in doctoral procedures according to the present Regulations until the doctoral procedure for which the doctoral agreement has been concluded is completed, but not for a period longer than three years. The Doctoral Admissions Committee may extend the maximum period outlined in clause 1 upon request in writing by the person authorized to participate in doctoral procedures.

#### **Article 4 Requirements for Admission to the Doctorate**

- (1) Unless otherwise provided for below, admission to the doctorate requires successful completion
  - a) of a master’s program,
  - b) or of a degree program with a standard study period of at least four academic years at a university or university of education,

c) or of a degree program based on an undergraduate program at a university, university of education, or another university that has the right to award doctorates in the area of

- physics,
- geophysics,
- meteorology, or
- optics and photonics.

- (2)** On the justified request in writing by the candidate, the Doctoral Admissions Committee may recognize successful completion of studies in a subject other than those listed in par. 1 for admission to the doctorate. The Doctoral Admissions Committee shall assess equivalence of the documented study and examination achievements to the requirements of par. 1 and, if necessary, define supplementary requirements as outlined in par. 4. The candidate shall provide proof of the preliminary knowledge required for work on the doctoral thesis. The request for recognition and assessment of equivalence of the documented study and examination achievements shall be submitted in writing to the Doctoral Admissions Committee either together with the request for acceptance as a doctoral candidate according to Art. 11 or not later than twelve months prior to the request for admission to the doctoral procedure according to Art. 13.
- (3)** A degree reached at a foreign state-owned or state-recognized college equivalent to a university, which meets the requirements outlined in par. 1 or 2, will be recognized as equivalent by the Doctoral Admissions Committee taking into account the valid recommendations made by the Central Office for Foreign Education regarding the equivalence of degrees. In cases of doubt, the Central Office for Foreign Education shall be consulted. The Doctoral Admissions Committee may define supplementary requirements as outlined in par. 4.
- (4)** For proof of the candidate's scientific qualification, admission to the doctorate in the cases of paragraphs 2 and 3 may be subject to supplementary requirements to be defined by the Doctoral Admissions Committee. These supplementary requirements that are to be in line with the requirements of the doctoral subject shall not exceed the amount of 60 credits. The requirements shall be fulfilled prior to admission to the doctoral procedure.
- (5)** Highly qualified holders of bachelor's degrees or graduates of a state examination program other than outlined in par. 1 can be admitted to the doctorate, if they have proved in an aptitude test procedure according to par. 6 that they are qualified to perform scientific work in the doctoral subject. The same applies to highly qualified graduates of a diploma degree program in the subjects specified in par. 1 of Universities

of Applied Sciences and Cooperative State Universities, who have passed their final examinations with an excellent result.

- (6) To prove their scientific qualification, graduates according to par. 5, who aim for a doctorate, must successfully pass two examinations corresponding to the major and complementary subjects of a master's degree program of the KIT Department, attend a graduate seminar, and prepare a scientific paper. The contents of the examinations and the scientific paper shall be specified by the Doctoral Admissions Committee in agreement with the supervisor authorized to participate in doctoral procedures according to Art. 10. The scientific paper must be equivalent in scientific contents to a master's thesis in a degree program offered by the KIT Department of Physics. A graduation thesis of a university, University of Applied Sciences, or Cooperative State University may be recognized as a scientific paper in agreement with the supervisor authorized to participate in doctoral procedures according to Art. 10, provided that it meets the requirements specified in clause 3. Examinations and preparation and assessment of the scientific paper shall be subject to the Studies and Examination Regulations of Karlsruhe Institute of Technology (KIT) for the Master's Program of Physics. For proof of scientific qualification, no separate certificate is issued. The aptitude test procedure shall be completed within four semesters. Upon written request by the candidate, the Doctoral Admissions Committee may extend this period. If the procedure is not completed successfully within the period given, the candidate shall be deemed to have failed in proving that he/she is qualified to perform scientific work in the doctoral subject according to par. 5.
- (7) Upon written request by the candidate, the Doctoral Admissions Committee shall decide on recognitions in connection with paragraphs 1 to 6. In justified exceptional cases and upon written request by the candidate, the Doctoral Admissions Committee may grant exemption from the requirements specified in these paragraphs.

## **Article 5 Doctorate under Joint Supervision with a Department of a Foreign University**

- (1) A doctoral procedure may be supervised jointly with the department of a foreign university, the objective being to convey intercultural competencies to the doctoral candidate and enabling him/her to deal with different science systems and university cultures.
- (2) The doctoral candidate shall be accepted for the doctorate by both departments and supervised by a supervisor each. Joint supervision shall be agreed upon by the universities involved in an agreement signed by the Rectors or Presidents and the supervisors of the doctoral candidate at the cooperating universities. This agreement

shall require approval by the KIT Department Council. By way of derogation from the remaining provisions of the present Regulations, such an agreement may cover in particular:

1. The composition of the Doctoral Examination Committee,
  2. the language in which the doctoral thesis is to be written and the oral examination is to be held,
  3. the grades for assessing the doctoral achievements, and
  4. the publication of the doctoral thesis.
- (3)** The universities shall jointly award the doctorate. The doctoral degree may only be held alternatively in the German or in the foreign form. Both universities shall issue a separate doctoral degree certificate. Both doctoral degree certificates shall indicate that the doctoral procedure was of binational character and that the doctoral degree certificate shall be valid together with the other certificate only.

### **Article 6 Doctorate in Cooperation with a University of Applied Sciences**

If Karlsruhe Institute of Technology (KIT) and a University of Applied Sciences cooperate in a doctoral procedure, professors of the Universities of Applied Sciences shall participate in doctoral procedures as supervisors and examiners with the same rights and obligations. This especially applies to structured PhD programs in which the doctoral procedure is supervised jointly. Further organization of cooperation shall be subject to the respective agreement.

### **Article 7 Participation of External Doctoral Candidates**

External doctoral candidates are doctoral candidates working on their doctoral thesis at KIT without being employed by KIT and without direct affiliation to an organizational unit of KIT. They shall be integrated in the working group of the supervisor, for instance, by participation in seminars for doctoral candidates or research seminars or by participation in conferences and summer schools.

### **Article 8 Ombudspersons**

In cases of conflicts or disputes between the doctoral candidate and supervisor during the doctoral procedure, both may contact the Ombudspersons appointed by the KIT Senate. In this respect, it is referred to the "Satzung zur Bestellung von Ombudspersonen für Doktorandinnen und Doktoranden sowie Betreuerinnen und Betreuer des Karlsruher Instituts für Technologie (KIT)" (statutes on appointment of Ombudspersons for doctoral candidates and supervisors of Karlsruhe Institute of Technology (KIT)).



## **Article 9 Inspection of Records**

The right to inspection of records shall be subject to the legal provisions and in particular to Art. 29 of the “Verwaltungsverfahrensgesetz für Baden-Württemberg” (Baden-Württemberg Administrative Procedure Act – LVwVfG).

## **Section 2: Doctoral Agreement and Doctoral Procedure**

### **Article 10 Doctoral Agreement**

The doctoral candidate and a person authorized to participate in doctoral procedures according to Art. 3 as supervisor shall conclude a doctoral agreement in writing specifying the details outlined in Art. 38, par. 5, cl. 3, LHG, at least. If the supervisor is not a member of the KIT Department, the doctoral agreement must be signed by another person authorized to participate in doctoral procedures according to Art. 3, who is member of the KIT Department. The person authorized to participate in doctoral procedures according to cl. 2, second part, also is the supervisor of the doctoral candidate in addition to the supervisor specified in cl. 1.

### **Article 11 Acceptance and Refusal of a Doctoral Candidate**

- (1)** A candidate meeting the requirements for admission to the doctorate according to Art. 4 and intending to write a doctoral thesis for the purpose of a doctorate shall apply to the Chairperson of the Doctoral Admissions Committee in writing for acceptance as doctoral candidate.
- (2)** The following documents shall be attached to this application:
  1. Proof/proofs according to Art. 4,
  2. description of the candidate's professional and scientific career,
  3. information on the intended area of work or topic of the doctoral thesis,
  4. a declaration in writing according to Annex 5a of the present Regulations,
  5. a copy of the doctoral agreement as outlined in Art. 10,
  6. proof of registration as a doctoral candidate with the Karlsruhe House of Young Scientists (KHYS), and
  7. the doctoral degree certificate, if the doctoral candidate has already been conferred a doctoral degree.

In addition, a declaration by a person authorized by the KIT Department to participate in doctoral procedures according to Art. 3, in which the latter expresses his/her willingness to support the doctoral candidate as a mentor, must be attached to the application. In case the doctoral candidate is affiliated to an institute, the mentor must be affiliated to another institute.

- (3)** If the proofs outlined in par. 2 have been presented and there is no reason to refuse acceptance according to par. 4, the Doctoral Admissions Committee declares acceptance of the doctoral candidate. As a rule, the Doctoral Admissions Committee shall decide on acceptance of the doctoral candidate within a period of four weeks upon receipt of the application. With the acceptance of the doctoral candidate, the KIT Department expresses its willingness to scientifically supervise the doctoral candidate to the extent possible. Acceptance of the doctoral candidate shall be notified in writing to the latter, together with information on the rights to appeal.
- (4)** The Doctoral Admissions Committee shall refuse acceptance of the doctoral candidate, if
1. the requirements for admission to the doctoral procedure specified in Art. 4 are not fulfilled,
  2. the field or topic chosen for the doctoral thesis is not covered by the scope of responsibility of the KIT Department, or
  3. a reason for refusal exists according to Art. 14, par. 2.

The candidate shall be notified in writing of the refusal, with the reasons and information on the rights to appeal being indicated. Prior to this, the candidate shall be given the opportunity to comment on the facts relevant to the decision.

- (5)** Acceptance as a doctoral candidate may be subject to supplementary requirements specified by the Doctoral Admissions Committee, if certain prerequisites for admission to the doctorate according to Art. 4 still remain to be fulfilled. The Doctoral Admissions Committee shall decide on whether the requirements are fulfilled and the doctoral candidate shall be notified in writing of this decision. If the supplementary requirements are not met or not met in due time, acceptance as a doctoral candidate may be revoked by the Doctoral Admissions Committee; par. 4, clauses 2 and 3 shall apply.
- (6)** If no application for admission to the doctorate according to Art. 13 is submitted within a period of four years upon acceptance as a doctoral candidate, the status of doctoral candidate shall expire. The resulting obligation pursuant to Art. 3, cl. 3 shall be terminated. The status of a doctoral candidate may be extended by another year by the Doctoral Admissions Committee on written request by the doctoral candidate.
- (7)** In case a supervisor can no longer fulfill his/her task for an important reason, the Doctoral Admissions Committee shall hear the doctoral candidate and, if possible, appoint another competent person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 within a period of one semester.

## **Article 12 Doctoral Thesis**

- (1)** The doctoral thesis shall deal with a scientific topic related to the areas of work of the KIT Department. It shall provide evidence of the doctoral candidate's qualification to carry out independent scientific work and to clearly present the results. The doctoral thesis shall advance scientific knowledge and present the topic in a comprehensive and consistent way.
- (2)** The doctoral thesis must be written in either German or English. Exceptions shall require prior approval by the Doctoral Admissions Committee.
- (3)** The doctoral thesis may also be based on prior publications or work submitted for publication. It must contribute to an advancement of knowledge corresponding to that of a monographic doctoral thesis and meet the requirements outlined in par. 1. Prior publications or work submitted for publication must be related coherently in terms of their topic and may be incorporated in the doctoral thesis, provided that the doctoral candidate is the sole author or has independently developed a major part of it as a co-author. Prior publications or work submitted for publication must be put into context. A mere stringing together of prior publications or work submitted for publication shall not be sufficient. It must be clearly visible which parts of the doctoral thesis have already been published or submitted for publication. If the doctoral candidate is co-author as specified in clause 3, independent development of a major part shall be assured in No. 7 of Annex 5b of the present Regulations.
- (4)** Only work that has never been used completely or in major parts for a graduation before will be accepted as a doctoral thesis. On the written request of the doctoral candidate, the Doctoral Admissions Committee shall decide on justified exceptions.

## **Article 13 Application for Admission to the Doctoral Procedure**

- (1)** Whoever fulfills the requirements for admission to the doctorate according to Art. 4, may apply for admission to the doctoral procedure. The application shall be submitted in writing to the Chairperson of the Doctoral Admissions Committee. Prior acceptance as a doctoral candidate is not required.
- (2)** The following documents must be enclosed with the application:
  1. Certificates and documents according to Art. 11, par. 2, Nos. 1, 2, and 7,
  2. the doctoral thesis in sextuplicate and an electronic version of the doctoral thesis,
  3. an affirmation in lieu of oath according to Annex 3 of the present Regulations,
  4. an applicant's signed copy of the instructions provided by KIT on the meaning and penal consequences of an affirmation in lieu of oath in accordance with Annex 4 of the present Regulations,

5. a declaration in writing according to Annex 5b of the present Regulations stating in particular that the “Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)” (Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)) have been observed,
  6. a list of all scientific publications of the applicant, and
  7. proposals of reviewers according to Art. 15, par. 3.
- (3) A doctoral candidate who failed in a previous doctoral procedure may apply only once again for admission to the doctoral procedure and do so half a year upon notification of failure in the previous doctoral procedure at the earliest. Resubmission of a previously rejected doctoral thesis shall not be allowed, if the resubmitted version is identical to the previously submitted version. It is permitted to submit a revised version of the previously rejected doctoral thesis.
- (4) As long as no negative reviewer’s report on the doctoral thesis has been presented or the oral examination has not started, the doctoral candidate can withdraw the application for admission to the doctoral procedure. In this case, the application shall be deemed as not having been submitted.

#### **Article 14 Start of the Doctoral Procedure**

- (1) The Chairperson of the Doctoral Admissions Committee shall check the documents submitted for admission according to Art. 13, par. 2 and determine whether the subject of the doctoral thesis falls into the responsibility of the KIT Department. In case the submitted documents are complete and the subject of the doctoral thesis falls into the responsibility of the KIT Department, the procedure is started, unless the Doctoral Admissions Committee decides that there is a reason for refusal according to par. 2. The start of the doctoral procedure is notified in writing to the doctoral candidate.
- (2) The Doctoral Admissions Committee decides to refuse the start of the doctoral procedure, if
1. the requirements for admission to the doctorate according to Art. 4 are not fulfilled,
  2. no person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 declares to be scientifically responsible for the area covered by the doctoral thesis,
  3. the applicant has already made more than one unsuccessful attempt to achieve the doctorate,
  4. a doctoral degree was revoked for legal reasons,
  5. reasons exist for the revocation of the doctoral degree according to the legal provisions,

6. the applicant is not worthy of a doctorate due to a major violation of the principles of good research practice,
  7. the applicant has already been conferred the doctoral degree in natural sciences (Dr.rer.nat.), or
  8. if a contractual relationship against payment of the applicant exists or existed, which covers commercial advising relating to the doctorate.
- (3)** In case of a refusal, Art. 11, par. 4, clauses 2 and 3 shall apply.

### **Article 15 Doctoral Examination Committee**

- (1)** Upon the initiation of the doctoral procedure, the Chairperson of the Doctoral Admissions Committee shall appoint the Doctoral Examination Committee. The Doctoral Examination Committee consists of the Chairperson, the reviewer, a second reviewer, and other persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 or authorized by another KIT Department, if this is required by the topic of the doctoral thesis. The Doctoral Examination Committee has five members, including the Chairperson. In case a KIT Associate Fellow is appointed reviewer according to par. 5, the number of members increases to six.
- (2)** The Chairperson of the Doctoral Examination Committee is the Chairperson of the Doctoral Admissions Committee or a deputy specified by the latter.
- (3)** Two reviewers, i.e. a main reviewer and a second reviewer, shall be appointed. The reviewer may be any person authorized to participate in doctoral procedures according to Art. 3, who is competent in the respective subject. As a rule, the main reviewer shall be the person authorized to participate in doctoral procedures, who concluded the doctoral agreement specified in Art. 10. At least one of the reviewers must be professor according to Art. 44, par. 1, cl. 1, No. 1 LHG of the KIT Department. In case the Chairperson of the Doctoral Admissions Committee is reviewer, his/her tasks in the respective doctoral procedure shall be transferred to a professor as specified in Art. 44, par. 1, cl. 1, No. 1 LHG, who is member of the KIT Department. The Doctoral Admissions Committee shall not be bound to the proposals submitted by the doctoral candidate according to Art. 13, par. 2, No. 7 when appointing the reviewers.
- (4)** If required by the doctoral thesis in particular due to its interdisciplinary character or large thematic scope, the Chairperson of the Doctoral Admissions Committee shall appoint another person authorized to participate in doctoral procedures according to Art. 3 as another reviewer. Then, he/she will also be member of the Doctoral Examination Committee.
- (5)** In case a KIT Associate Fellow as specified in Art. 7, par. 1 of the "Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines "KIT

Associate Fellow““ (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status "KIT Associate Fellow“) participates in the doctoral procedure, an additional reviewer is appointed according to Art. 7, par. 3 of the "Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines "KIT Associate Fellow““ (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status "KIT Associate Fellow“).

- (6) In case another reviewer according to par. 4 or an additional reviewer according to par. 5 is appointed, the doctoral candidate shall submit to the Chairperson of the Doctoral Admissions Committee another copy of the doctoral thesis for hand-over to the other or additional reviewer.
- (7) The persons authorized to participate in doctoral procedures at KIT according to Art. 3 and appointed reviewers by the Doctoral Admissions Committee may refuse appointment for an important reason only.

#### **Article 16 Acceptance and Assessment or Rejection of the Doctoral Thesis**

- (1) Each reviewer shall submit to the Doctoral Admissions Committee an independent and justified review on the doctoral thesis usually six weeks upon appointment as reviewer. The reviews contain an assessment as specified in par. 2.
- (2) The grade to be given by the reviewer for a doctoral thesis may be:

sehr gut	(very good)	(1.0)
gut/sehr gut	(good/very good)	(1.5)
gut	(good)	(2.0)
genügend/gut	(sufficient/good)	(2.5)
genügend	(sufficient)	(3.0)
nicht genügend	(insufficient)	(4.0)

In case a doctoral thesis is given the grade 'nicht genügend' (insufficient), it is rejected. In all other cases, acceptance of the doctoral thesis is recommended by the reviewer.

- (3) In the case of particularly outstanding achievements, the reviewer may propose in his/her review to award the overall rating "mit Auszeichnung bestanden" (passed with distinction) (summa cum laude) when a corresponding result is achieved in the oral examination. This proposal must be justified.
- (4) As soon as all reviews have been submitted, the Chairperson of the Doctoral Admissions Committee shall inform the persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 that the doctoral thesis and the reviews of the reviewers will be displayed for inspection at the Dean's Office for a period of 14 days. Within the period mentioned, persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 may, in written form, object to the

doctoral thesis and its assessment, with the reasons being indicated or submit a review of their own.

- (5)** In case all reviewers have recommended acceptance of the doctoral thesis, it is proceeded as follows:
1. If no objection has been made and no review has been submitted as specified in par. 4, cl. 2, the Chairperson of the Doctoral Examination Committee shall declare acceptance of the doctoral thesis and determine the grade as the unrounded arithmetic mean of the grades of the reviewers.
  2. In case of an objection or a review as specified in par. 4, cl. 2, the Doctoral Examination Committee shall decide whether the objection or the review as specified in par. 4, cl. 2 is to be considered in assessing the doctoral thesis. The Doctoral Examination Committee may decide to request another review before the decision will be made. If the objection is to be considered, the Doctoral Examination Committee shall decide on the acceptance or rejection of the doctoral thesis. If acceptance of the doctoral thesis is agreed upon, every member of the Doctoral Examination Committee shall propose a grade according to par. 2. From these proposals, the unrounded arithmetic mean shall be determined as the grade of the doctoral thesis.
- (6)** In case the doctoral thesis is recommended to be rejected by one, but not all reviewers, the Chairperson of the Doctoral Admissions Committee, upon proposal by the Doctoral Examination Committee, shall appoint a person authorized to participate in doctoral procedures according to Art. 3 as another reviewer, who then will also be member of the Doctoral Examination Committee. In this case, the display period according to par. 4, cl. 1 shall begin upon receipt of the additional review only. If no objection is made, and no review is submitted as specified in par. 4, cl. 2, the Doctoral Examination Committee shall decide on the acceptance or rejection of the doctoral thesis. In case of a tie, the vote of the Chairperson shall decide. In case the Doctoral Examination Committee agrees on the acceptance of the doctoral thesis, it shall determine the unrounded arithmetic mean from the grades proposed by all reviewers as the grade of the doctoral thesis. In case of an objection or a review as specified in par. 4, cl. 2, par. 5, No. 2, clauses 1 and 3 through 5 shall apply.
- (7)** In case all reviewers recommend rejection of the doctoral thesis and no objection is made or no review as specified in par. 4, cl. 2 has been submitted, the Doctoral Examination Committee shall decide on acceptance or rejection of the doctoral thesis. Par. 5, cl. 3 shall apply. In case the doctoral thesis is accepted, par. 5, No. 2, clauses 4 and 5 shall apply. In case of an objection or a review as specified in par. 4, cl. 2, par. 5, No. 2, clauses 1 and 3 through 5 shall apply.

- (8)** In case a reviewer found deficiencies in the doctoral thesis without rejecting it in general, he/she may request in his/her review the elimination of deficiencies as a prerequisite for the acceptance of the doctoral thesis.
- (9)** In case the doctoral thesis has been rejected, the candidate shall be notified in writing by the Chairperson of the Doctoral Admissions Committee according to Art. 11, par. 4, cl. 2. With this, the doctoral procedure is terminated unsuccessfully. A copy of the doctoral thesis, together with the reviews, shall be kept in the files.
- (10)** A reviewer who has rejected the doctoral thesis may demand that he/she is not mentioned in the publication of the thesis.

### **Article 17 Oral Examination**

- (1)** In case the doctoral thesis has been accepted, the Chairperson of the Doctoral Admissions Committee shall fix the date of the oral examination. The date of the oral examination and the members of the Doctoral Examination Committee according to Art. 15, par. 1 shall be notified to the doctoral candidate in writing. The time span between the receipt of this information and the date of the oral examination must be not less than 14 days. A shorter period may only be fixed in agreement with the doctoral candidate.
- (2)** If one member of the Doctoral Examination Committee cannot participate in the oral examination, the Chairperson of the Doctoral Admissions Committee shall appoint a person authorized to participate in doctoral procedures according to Art. 3 as deputy, who will take part in the oral examination instead of the absent member. The doctoral candidate must be informed immediately, but at the beginning of the oral examination at the latest, about the changed composition of the Doctoral Examination Committee.
- (3)** The oral examination shall take place in the form of a colloquium of about 70 minutes' duration.
- (4)** Apart from the members of the Doctoral Examination Committee, the Chairperson of the Doctoral Admissions Committee shall invite the following persons to the colloquium:
  - 1. The President and the KIT Deans of the other KIT Departments,
  - 2. the persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3; KIT Associate Fellows shall be invited only, if the doctoral candidate is a member of the Fellow's own (junior) research group.
- (5)** The colloquium shall start with a presentation of about 20 minutes by the doctoral candidate about his/her doctoral thesis. It is followed by a disputation of about 50 minutes with the members of the Doctoral Examination Committee. The questions asked refer to the contents of the doctoral thesis. The disputation is directed by the Chairperson of the Doctoral Examination Committee.
- (6)** The general course of the oral examination is recorded in the minutes.



- (7) Directly after the colloquium, the members of the Doctoral Examination Committee shall discuss the oral examination of the doctoral candidate. Each member of the Doctoral Examination Committee shall independently award a grade according to Art. 16, par. 2.
- (8) The grade of the oral examination shall be the unrounded arithmetic mean of the individual grades according to par. 7, cl. 2. The oral examination shall be passed, if this grade is 3.0 or better.
- (9) If seats are available, members of the KIT Department can attend the presentation, but not the following disputation with the members of the Doctoral Examination Committee and the discussion and assessment of the oral examination with the specification of the overall grade of the doctorate. In justified cases, persons who are no members of the KIT Department may be admitted as audience. The Chairperson of the Doctoral Examination Committee shall decide on admission. For an important reason or on the written request of the doctoral candidate, the audience may be excluded *ex officio*.
- (10) In case the doctoral candidate does not participate in the oral examination on the fixed date without giving an important reason, the oral examination shall be deemed to have been failed.

### **Article 18 Repetition of the Oral Examination**

- (1) If the doctoral candidate fails in the oral examination, he/she may apply once for a repetition of the oral examination six months upon the failure in the previous oral examination at the earliest.
- (2) If the oral examination is not passed repeatedly or in case the doctoral candidate does not apply for a repetition of the examination within a period of one year upon failure, the doctoral procedure then shall be unsuccessfully terminated.
- (3) The candidate shall be informed about the unsuccessful termination of the doctoral procedure according to Art. 11, par. 4, cl. 2. If the oral examination is failed due to a lacking application for a repetition of the oral examination within the period specified in par. 2, Art. 11, par. 4, cl. 3 shall apply in addition. Together with the documents, the doctoral thesis shall remain in the files.
- (4) Upon written request by the doctoral candidate, the Doctoral Admissions Committee shall decide on justified exceptions from the provisions outlined in paragraphs 1 and 2.

### **Article 19 Withdrawal from the Oral Examination**

- (1) In case the candidate is unable to take part in the oral examination due to sickness or another important reason, the Doctoral Admissions Committee shall approve withdrawal from the oral examination on written request. This request shall be

addressed immediately to the Doctoral Admissions Committee, with the reason of the withdrawal being indicated and the corresponding proofs being attached. In case of sickness, a medical certificate containing the medical information necessary to assess the inability to take part in the examination shall be added.

- (2) In case withdrawal from the oral examination is approved, a new date shall be fixed for the examination. Otherwise, the oral examination shall be deemed to have been failed; Art. 11, par. 4, clauses 2 and 3 shall apply.

## **Article 20 Overall Grade for the Doctorate**

- (1) Following the oral examination, the Doctoral Examination Committee shall determine the overall grade for a successful doctorate.
- (2) If the oral examination is passed, the overall grade is the arithmetic mean of the grade of the doctoral thesis according to Art. 16, par. 5, 6, or 7 and the grade of the oral examination according to Art. 17, par. 8. The overall grade for the doctorate is
- |                                       |   |
|---------------------------------------|---|
| for a mean smaller than 1.5           | “sehr gut” (very good, magna cum laude) |
| for a mean of 1.5 to smaller than 2.5 | “gut” (good, cum laude),                |
| for a mean of 2.5 to 3.0              | “bestanden” (passed, rite).             |
- (3) By way of exception in case of outstanding results, the Doctoral Examination Committee may unanimously decide to award the overall grade “mit Auszeichnung bestanden” (passed with distinction; summa cum laude), if all doctoral achievements are rated 1.0, all reviewers proposed to do so according to Art. 16, par. 3, and all members of the Doctoral Examination Committee agree on the overall grade “mit Auszeichnung bestanden” (passed with distinction; summa cum laude). If these requirements are not fulfilled, a total grade according to par. 2 will be awarded.
- (4) The overall grade for the doctorate, the assessment of the doctoral thesis, and the grade for the oral examination shall be communicated to the doctoral candidate by the Chairperson of the Doctoral Examination Committee after the oral examination.
- (5) The KIT Department shall issue a preliminary certificate of the successful completion of the doctorate with the overall grade being indicated. The Chairperson of the Doctoral Admissions Committee shall forward to the doctoral candidate a notification in writing with information on the rights to appeal and contents outlined in par. 4.

## **Article 21 Publication of the Doctoral Thesis and Submission of the Deposit**

### **Copies**

- (1) Within one year after passing the oral examination, the doctoral thesis shall be published by the doctoral candidate in a version approved by the Doctoral Admissions Committee according to par. 2. Depending on the type of publication, the following copies or files shall be handed over to the KIT Library within the period indicated above:
- a) A machine-readable file meeting the requirements specified by the KIT Library in case of publication in an electronic version with unrestricted access by public data networks via the repository of the KIT Library,
  - b) twelve printed and archivable copies in case of publication by photoprint. This also applies to doctoral theses published in a scientific series that is not published by a publishing house,
  - c) three printed copies in case of publication by a publishing house and availability in bookstores, if a minimum circulation of 150 copies and/or unrestricted access to the doctoral thesis in electronic form on the Internet is ensured, or
  - d) three copies in case of publication in a scientific journal.

The KIT Library shall certify in writing the publication and compliance with the delivery obligation.

- (2) Considering potential requests for the elimination of deficiencies according to Art. 16, par. 8, the Doctoral Admissions Committee approves publication of the doctoral thesis.
- (3) The versions submitted in accordance with par. 1, cl. 2, a or b must have a title page or contain bibliographic data on the doctoral thesis. The copies published according to par. 1, cl. 2, c or d must contain the notation that the publication represents a doctoral thesis approved by the KIT Department of Physics of Karlsruhe Institute of Technology (KIT) and must indicate the date of the oral examination. In case the Doctoral Admissions Committee approves a title other than that of the examination copy, this title shall be indicated in the doctoral thesis.
- (4) In cases of par. 1, cl. 2, a, the doctoral candidate shall transfer to Karlsruhe Institute of Technology (KIT) the permanent right to make the doctoral thesis available in data networks within the limits of the statutory tasks of the KIT Library. The KIT Library shall check the delivered version of the doctoral thesis for legibility and agreement with the requirements of the KIT Library according to par. 1, cl. 2, a. Delivery of files that do not meet these requirements shall not be deemed a publication and delivery.
- (5) In cases of par. 1, cl. 2, b, the doctoral candidate shall transfer to Karlsruhe Institute of Technology (KIT) the permanent right to produce and disseminate further copies of the doctoral thesis.

- (6) In justified individual cases of delivery according to par. 1, cl. 2, a and on written request by the doctoral candidate, the Chairperson of the Doctoral Admissions Committee may deem the obligations outlined in par. 1 to be also fulfilled when the doctoral thesis can be made publicly accessible with a certain delay only due to a non-disclosure notice resulting from patent application or due to a publication in a journal. In this case, the doctoral candidate must have fulfilled all delivery requirements, the time of latest publication must be indicated in the non-disclosure notice, and it must be possible for the publication to be made by the KIT Library without any further interference by the doctoral candidate. Fulfilling of the above requirements will be certified in writing by the Chairperson of the Doctoral Admissions Committee. A non-disclosure notice may be applied for using the form given by the KIT Library for a period of up to two years, which may be extended twice by another year, but for not more than a duration of four years after the signature date. The application for extension of the non-disclosure notice shall be made two weeks prior to its expiry at the latest. On the certificate according to par. 1, cl. 3, the KIT Library will indicate the existence and duration of the non-disclosure notice.
- (7) The doctoral candidate shall declare in writing to the KIT Library that the version submitted is identical in terms of contents with the version approved by the Doctoral Admissions Committee according to par. 2.
- (8) In case the deadline specified in par. 1 is missed, any and all rights acquired in the doctoral procedure shall expire. Upon written request by the doctoral candidate, the Chairperson of the Doctoral Admissions Committee may extend the deadline specified in par. 1 up to a total duration of three years in justified cases. Further extension shall be excluded. The KIT Library shall be informed in writing about this decision.
- (9) In addition to the copies to be delivered according to par. 1, cl. 2, one bound copy of the doctoral thesis must be submitted to the Dean's Office of the KIT Department.

## **Article 22 Award of the Doctorate and Doctoral Degree Certificate**

- (1) The doctoral degree certificate shall be issued with the date of the oral examination, signed by the President and the KIT Dean, and provided with the seal of Karlsruhe Institute of Technology. Its layout corresponds to that in Annex 2 of these Regulations.
- (2) In addition to the doctoral degree certificate, a doctoral degree report shall be issued. It contains the title of the doctoral thesis, the overall grade of the doctorate rounded to one decimal place, the grade in words and its Latin translation given in brackets, and the positions held, academic degrees, titles, and names of the reviewers. It shall be signed by the KIT Dean and provided with the seal of the KIT Department.

- (3) The doctorate is awarded by the KIT Dean handing over the doctoral degree certificate. The doctoral degree certificate will be handed over only after the publication of the doctoral thesis and delivery of the deposit copies according to Art. 21.
- (4) Prior to the award of the doctoral degree certificate, neither the doctoral degree nor the title of doctor with an addition, such as “designatus (des.)” (designated) or “in spe” (to be) shall be used.

### **Article 23 Invalidity of the Doctorate and Revocation of the Doctoral Degree**

- (1) If, prior to the delivery of the doctoral degree certificate, it is established that the doctoral candidate is guilty of deception when proving his/her doctoral achievements or that essential prerequisites for the doctorate have erroneously been taken for granted, the doctoral procedure may be declared invalid. This decision is made by the Doctoral Admissions Committee.
- (2) In case the requirements for admission to the doctoral procedure were not fulfilled without the doctoral candidate wishing to deceive and if this is established after delivery of the doctoral degree certificate only, the Doctoral Admissions Committee can agree on this deficiency having been remedied.
- (3) The doctoral degree may be revoked by the Doctoral Admissions Committee, if it is found out later that it was achieved by deception. As for the rest, the legal provisions shall apply.
- (4) Prior to the decision of the Doctoral Admissions Committee on the invalidity of the doctorate and on the revocation of the doctoral degree, the candidate shall be given the opportunity to comment on the facts relevant to this decision.
- (5) Incriminating decisions of the Doctoral Admissions Committee according to pars. 1 and 3 shall be notified in writing to the candidate, with the reasons and information on the rights to appeal being indicated.
- (6) Return of the doctoral degree certificate, doctoral degree report, and of the preliminary certificate according to Art. 20, par. 5 shall be subject to Art. 52 LVWvFG.

## **Section 3: Honors**

### **Article 24 Honorary Doctorate**

- (1) On the request of a member of the KIT Department, the latter may award the academic degree of a “Doktor der Naturwissenschaften ehrenhalber“ (Dr.rer.nat. h.c.) or “Doktorin der Naturwissenschaften ehrenhalber“ (Dr.rer.nat. h.c.) (Honorary Doctor of Natural Sciences) to persons who are no members of Karlsruhe Institute of Technology

(KIT) or of one of its bodies in recognition of outstanding scientific merits within the KIT Department's fields of teaching and research.

- (2) The KIT Senate shall decide on the award of the honorary doctorate upon proposal by the Executive Board in agreement with the KIT Department or upon proposal by the KIT Department in agreement with the Executive Board. The KIT Department Council shall deliberate on the proposal in two readings. For preparation, it shall establish an advisory commission of three members of the KIT Department. The decision on the proposal to be submitted to the KIT Senate shall require a two-thirds majority of the members of the KIT Department Council entitled to vote.
- (3) The honorary doctorate shall be awarded by the KIT Dean handing over the certificate of honor which points out the scientific merits of the honored person. The certificate shall be signed by the President and the KIT Dean and shall be provided with the seal of Karlsruhe Institute of Technology (KIT).

### **Article 25 Doctoral Jubilee**

The KIT Department may renew a doctoral certificate, if this is deemed appropriate considering the special merits for science or the exceptionally close relationship of the person to be honored with Karlsruhe Institute of Technology (KIT). Such a renewal can be made for the first time on the occasion of the 25<sup>th</sup> anniversary of the day the doctoral degree was awarded. The respective decision shall be made by the KIT Department Council with simple majority.

## **Section 4: Concluding Provisions**

### **Article 26 Entry into Force, Transition Regulation**

- (1) The present Regulations for the Award of the Doctoral Degree shall enter into force on the day after publication in the official announcements of Karlsruhe Institute of Technology (KIT).
- (2) At the same time, the Regulations for the Award of the Doctoral Degree of Universität Karlsruhe (TH) for the Department of Physics of August 15, 2006 (Official Announcement of Universität Karlsruhe (TH) No. 31 of August 15, 2006) , as amended by the Amendment of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree in Natural Sciences (Dr.rer.nat.) at the KIT Department of Physics (Official Announcement of Karlsruhe Institute of Technology (KIT) No. 63 of November 30, 2012), shall cease to be in force.
- (3) In case a doctoral agreement was concluded according to Art. 10 or acceptance as a doctoral candidate was expressed according to Art. 11 prior to the entry into force of the

present Regulations for the Award of the Doctoral Degree, these doctoral procedures shall continue to be subject to the Regulations for the Award of the Doctoral Degree of Universität Karlsruhe (TH) for the Department of Physics of August 15, 2006 (Official Announcement of Universität Karlsruhe (TH) No. 31 of August 15, 2006), as amended by the Amendment of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree in Natural Sciences (Dr.rer.nat.) at the Department of Physics (Official Announcement of Karlsruhe Institute of Technology (KIT) No. 63 of November 30, 2012). Upon request by the doctoral candidate, the provisions of the present Regulations for the Award of the Doctoral Degree may apply. The request shall be addressed in writing to the Chairperson of the Doctoral Admissions Committee.

Karlsruhe, March 27, 2017

Professor Dr.rer.nat. Holger Hanselka  
(President)

**Annex 1 (German)**

(Titel der Dissertation)

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Zur Erlangung des akademischen Grades eines/einer  
DOKTORS / DOKTORIN DER NATURWISSENSCHAFTEN (Dr.rer.nat.)

bei der KIT-Fakultät für Physik des  
Karlsruher Instituts für Technologie (KIT)  
angenommene

DISSERTATION

von

---

(akademischer Grad, Vorname, Name)

Tag der mündlichen Prüfung

1. Referent/Referentin
2. Korreferent/Korreferentin



*Please note that the preceding German text shall be used exclusively. This English translation is a service provided for your information only.*

**Annex 1 (English)**

(Title of the Doctoral Thesis)

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DOCTORAL THESIS  
submitted by ...

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(academic degree, first name, last name)

for conferral of the academic degree of a  
Doctor of Natural Sciences (Dr.rer.nat.)

at the KIT Department of Physics  
of Karlsruhe Institute of Technology (KIT).

Date of Oral Examination

1. Reviewer
2. Secondary reviewers

## Annex 2

### Das Karlsruher Institut für Technologie (KIT)

verleiht  
*awards,*

durch die KIT-Fakultät für Physik  
*in the KIT Department of Physics*

(Name)

geboren am XX. Monat XXXX in Geburtsort  
*born on Month XX, XXX in place of birth*

Titel und Würde eines/einer  
*the degree and honors of*

Doktors/Doktorin der Naturwissenschaften  
(Dr.rer.nat.)

nachdem er/sie in ordnungsgemäßem Promotionsverfahren durch seine/ihre Dissertation  
*after having proved his/her scientific competence and abilities by successful completion of the regular doctoral procedure and by his/her thesis*

(Titel der Dissertation)

sowie durch die mündliche Prüfung seine/ihre wissenschaftliche Befähigung erwiesen hat.  
*followed by a successful oral examination and defense.*

Karlsruhe, XX. Monat XXXX  
*Karlsruhe, Month XX, XXXX*

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Präsident/-in des  
Karlsruher Instituts für Technologie (KIT)

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Dekan/-in der KIT-Fakultät für Physik

### Annex 3 (German)

Die eidesstattliche Versicherung ist schriftlich abzugeben. Die Möglichkeit einer Aufnahme der eidesstattlichen Versicherung zur Niederschrift bleibt unberührt. Die schriftliche Erklärung hat folgenden Wortlaut:

Eidesstattliche Versicherung gemäß § 13 Absatz 2 Ziffer 3 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Physik:

1. Bei der eingereichten Dissertation zu dem Thema

.....

handelt es sich um meine eigenständig erbrachte Leistung.

2. Ich habe nur die angegebenen Quellen und Hilfsmittel benutzt und mich keiner unzulässigen Hilfe Dritter bedient. Insbesondere habe ich wörtlich oder sinngemäß aus anderen Werken übernommene Inhalte als solche kenntlich gemacht.

3. Die Arbeit oder Teile davon habe ich wie folgt/bislang nicht\* an einer Hochschule des In- oder Auslands als Bestandteil einer Prüfungs- oder Qualifikationsleistung vorgelegt.

Titel der Arbeit:

Hochschule und Jahr:

Art der Prüfungs- oder Qualifikationsleistung:

4. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

5. Die Bedeutung der eidesstattlichen Versicherung und die strafrechtlichen Folgen einer unrichtigen oder unvollständigen eidesstattlichen Versicherung sind mir bekannt.

Ich versichere an Eides statt, dass ich nach bestem Wissen die reine Wahrheit erkläre und nichts verschwiegen habe.

Ort und Datum

Unterschrift

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\*Nicht Zutreffendes streichen. Bei Bejahung sind anzugeben: der Titel der andernorts vorgelegten Arbeit, die Hochschule, das Jahr der Vorlage und die Art der Prüfungs- oder Qualifikationsleistung.

*Please note that the preceding German text shall be used exclusively. This English translation is a service provided for your information only.*

### **Annex 3 (English)**

The present affirmation in lieu of an oath shall be given in writing. The possibility of an oral affirmation in lieu of an oath for recording shall remain unaffected. The declaration in writing shall have the following wording:

Affirmation in lieu of oath according to Art. 13, par. 2, No. 3 of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Department of Physics:

1. The doctoral thesis covering the subject \_\_\_\_\_ represents my own independent work.
  
2. I only used the sources and aids indicated without any impermissible assistance by third persons. In particular, I have indicated any and all contents taken over from other works either literally or in substance.
  
3. The doctoral thesis or parts thereof have been submitted to a university in Germany or abroad as part of the examination or qualification work as follows/have not yet been submitted to a university in Germany or abroad as part of the examination or qualification work.\*

Title of the work:

University and year:

Type of examination or qualification work:

4. I herewith confirm correctness of the above declarations.
  
5. I am aware of the significance of the affirmation in lieu of oath and the penal consequences of an incorrect or incomplete affirmation in lieu of oath.

I affirm in lieu of oath that, to the best of my knowledge, these statements are true and I have not concealed anything.

Place and date

Signature

### **Annex 4 (German)**

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\* Delete as appropriate. In the former case, please indicate the title of the thesis submitted elsewhere, the university, the year of submission, and the type of examination or qualification work.

## Eidesstattliche Versicherung Belehrung

Die Universitäten in Baden-Württemberg verlangen eine Eidesstattliche Versicherung über die Eigenständigkeit der erbrachten wissenschaftlichen Leistungen, um sich glaubhaft zu versichern, dass der/die Promovend/-in die wissenschaftlichen Leistungen eigenständig erbracht hat.

Weil der Gesetzgeber der Eidesstattlichen Versicherung eine besondere Bedeutung beimisst und sie erhebliche Folgen haben kann, hat der Gesetzgeber die Abgabe einer falschen eidesstattlichen Versicherung unter Strafe gestellt. Bei vorsätzlicher Abgabe einer falschen Erklärung droht eine Freiheitsstrafe bis zu drei Jahren oder eine Geldstrafe.

Eine fahrlässige Abgabe (also Abgabe, obwohl Sie hätten erkennen müssen, dass die Erklärung nicht den Tatsachen entspricht) kann eine Freiheitsstrafe bis zu einem Jahr oder eine Geldstrafe nach sich ziehen.

Die entsprechenden Strafvorschriften sind § 156 StGB (falsche Versicherung an Eides Statt) und § 161 StGB (fahrlässiger Falscheid, fahrlässige falsche Versicherung an Eides Statt).

### § 156 StGB: Falsche Versicherung an Eides Statt

Wer vor einer zur Abnahme einer Versicherung an Eides Statt zuständigen Behörde eine solche Versicherung falsch abgibt oder unter Berufung auf eine solche Versicherung falsch aussagt, wird mit Freiheitsstrafe bis zu drei Jahren oder mit Geldstrafe bestraft.

### § 161 StGB: Fahrlässiger Falscheid, fahrlässige falsche Versicherung an Eides Statt

Absatz 1: Wenn eine der in den § 154 bis 156 bezeichneten Handlungen aus Fahrlässigkeit begangen worden ist, so tritt Freiheitsstrafe bis zu einem Jahr oder Geldstrafe ein.

Absatz 2: Strafflosigkeit tritt ein, wenn der Täter die falsche Angabe rechtzeitig berichtigt. Die Vorschriften des § 158 Abs. 2 und 3 gelten entsprechend.

Ort und Datum

Unterschrift

*Please note that the preceding German text shall be used exclusively. This English translation is a service provided for your information only.*

#### **Annex 4 (English)**

##### Affirmation in Lieu of Oath Instructions

The universities in Baden-Württemberg demand an affirmation in lieu of oath stating that the scientific achievements made represent own work in order to be sure that the doctoral candidate has performed the scientific work on his/her own.

As the legislator attaches particular significance to the affirmation in lieu of oath and the latter may have major consequences, the legislator has made an incorrect affirmation in lieu of oath punishable. An intentional wrong affirmation may be punished by imprisonment of up to three years or a fine.

A negligent affirmation (i.e. an affirmation made although you should have recognized that the declaration is not true) may be punished by imprisonment of up to one year or a fine.

The corresponding penal provisions are Art. 156 StGB (Penal Code) (wrong affirmation in lieu of oath) and Art. 161 StGB (Penal Code) (perjury, negligently wrong affirmation in lieu of oath).

##### Article 156 StGB: Wrong affirmation in lieu of oath

Persons making a wrong affirmation in lieu of oath to a competent authority or making incorrect statements in reliance on such an affirmation shall be punished with imprisonment for up to three years or with a fine.

##### Article 161 StGB: Perjury, negligently wrong affirmation in lieu of oath

Par. 1: If one of the actions specified in Arts. 154 to 156 was made negligently, this may be punished by imprisonment of up to one year or a fine.

Par. 2: Impunity shall apply, if the offender corrects the wrong statement in due time. The provisions of Art. 158, paragraphs 2 and 3 shall apply accordingly.

Place and date

Signature

## Annex 5a (German)

### Versicherung gemäß § 11 Absatz 2 Ziffer 4 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Physik

1. Einen erheblichen Verstoß gegen die Grundsätze guter wissenschaftlicher Praxis habe ich bislang nicht begangen.

2. Es gab bisher keine Promotionseignungsprüfung oder gleichwertige Prüfung an einer Universität oder dieser gleichgestellten Hochschule, an der ich erfolglos teilgenommen habe.<sup>1</sup>

3. Diesem Promotionsverfahren gingen keine anderen Promotionsverfahren voran und ich bin in keinen weiteren Promotionsverfahren Kandidat/-in  
oder

Diesem Promotionsverfahren gingen die folgenden Promotionsverfahren voran bzw. in den folgenden Promotionsverfahren bin ich Kandidat/-in:

*Universität:*

*Fakultät:*

*Titel der Dissertation:*

*Stand des Promotionsverfahrens:*

4. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.<sup>2</sup>

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

b) Es liegen keine Gründe vor, die nach den gesetzlichen Bestimmungen die Entziehung des Doktorgrades rechtfertigen.

5. Ein Vertragsverhältnis zu einem/einer gewerblichen Promotionsberater/in besteht bzw. bestand nicht.

6. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

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<sup>1</sup> Gilt nur für Hochschulabsolventen/-innen gemäß § 4 Absatz 5 Promotionsordnung/Zu streichen, sofern nicht zutreffend.

<sup>2</sup> Zu streichen, sofern nicht zutreffend.

*Please note that the preceding German text shall be used exclusively. This English translation is a service provided for your information only.*

**Annex 5a (English)**

**Affirmation According to Art. 11, par. 2, No. 4 of the Regulations of  
Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the  
KIT Department of Physics**

1. I have not yet seriously violated the principles of good research practice.
2. I have not yet participated without success in any doctoral aptitude test procedure or equivalent test at a university or equivalent college.<sup>1</sup>
3. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.

or

This doctoral procedure was preceded by the following doctoral procedures/I am candidate in the following doctoral procedures:

*University:*

*Department:*

*Title of Doctoral Thesis:*

*Status of Doctoral Procedure:*

3. I was awarded the degree of Doctor of \_\_\_\_\_ by \_\_\_\_\_.<sup>2</sup>
  - a) This doctoral degree was not revoked for legal reasons.
  - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
4. A contractual relationship with a commercial advisor relating to the doctorate does not exist or did not exist.
5. I herewith confirm the correctness of the above statements.

Place and date

Signature

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<sup>1</sup> Only applies to university graduates according to Art. 4, par. 5 of these Regulations/delete as appropriate.

<sup>2</sup> Delete as appropriate.



## **Annex 5b (German)**

### **Versicherung gemäß § 13 Absatz 2 Ziffer 5 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Physik**

1. Einen erheblichen Verstoß gegen die Grundsätze guter wissenschaftlicher Praxis habe ich bislang nicht begangen.

2. Es gab bisher keine Promotionseignungsprüfung oder gleichwertige Prüfung an einer Universität oder dieser gleichgestellten Hochschule, an der ich erfolglos teilgenommen habe.<sup>1</sup>

3. Diesem Promotionsverfahren gingen keine anderen Promotionsverfahren voran und ich bin in keinen weiteren Promotionsverfahren Kandidat/-in.

oder

Diesem Promotionsverfahren gingen die folgenden Promotionsverfahren voran bzw. in den folgenden Promotionsverfahren bin ich Kandidat/-in:

*Universität:*

*Fakultät:*

*Titel der Dissertation:*

*Stand des Promotionsverfahrens:*

4. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.<sup>2</sup>

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

b) Es liegen keine Gründe vor, die nach den gesetzlichen Bestimmungen die Entziehung des Doktorgrades rechtfertigen.

5. Ein Vertragsverhältnis zu einem/einer gewerblichen Promotionsberater/in besteht bzw. bestand nicht.

6. Die „Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)“ habe ich beachtet.

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<sup>11</sup> Gilt nur für Hochschulabsolventen/-innen gemäß § 4 Absatz 5 Promotionsordnung/Zu streichen, sofern nicht zutreffend.

<sup>2</sup>

7. In die Dissertation wurden Vorveröffentlichungen einbezogen, bei denen ich im Rahmen einer Mitautorenschaft jeweils einen signifikanten Teil selbstständig erbracht habe. Eine Aufstellung mit den Angaben:<sup>2</sup>

*Autoren/Autorinnen:*

*Titel der Vorveröffentlichung:*

*Veröffentlicht in:*

*Selbstständig erbrachter Teil:*

ist dieser Erklärung beigelegt. Die Aufstellung ist Bestandteil dieser Erklärung.

8. Die Dissertation oder Teile davon wurden nicht bei einer anderen Fakultät als Dissertation eingereicht.

oder

Die Dissertation oder die nachfolgenden angegebenen Teile davon wurden

..... (Teile der Dissertation)

an der

*Universität:*

*Fakultät:*

als .....

eingereicht.<sup>2</sup>

9. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

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<sup>22</sup> Zu streichen, sofern nicht zutreffend.

*Please note that the preceding German text shall be used exclusively. This English translation is a service provided for your information only.*

**Annex 5b (English)**

**Affirmation According to Art. 13, par. 2, No. 5 of the Regulations of  
Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the  
KIT Department of Physics**

1. I have not yet seriously violated the principles of good research practice.
2. There has not yet been any doctoral aptitude test procedure or equivalent test at a university or an equivalent college, in which I participated without success<sup>1</sup>.
3. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.

Or

This doctoral procedure was preceded by the following doctoral procedures/I am candidate in the following doctoral procedures:

*University:*

*Department:*

*Title of Doctoral Thesis:*

*Status of Doctoral Procedure:*

4. I was awarded the degree of Doctor of .... by ....<sup>2</sup>
  - a) This doctoral degree was not revoked for legal reasons.
  - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
5. A contractual relationship with a commercial advisor relating to the doctorate does not exist or did not exist.

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<sup>1</sup> Applies to university graduates according to Art. 4, par. 5 of the Regulations for the Award of the Doctoral Degree only/deletes as appropriate.

<sup>2</sup> Delete as appropriate

6. I have observed the “Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie” (Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)).

7. The doctoral thesis incorporates previous publications, of which I independently developed major parts as co-author. A list with the following information is attached to this declaration<sup>2</sup>:

*Authors:*

*Title of Publication:*

*Published in:*

The list is an integral constituent of this declaration.

8. The doctoral thesis or parts thereof were not submitted as a doctoral thesis to any other Department.

Or

The doctoral thesis or the following parts thereof .... (parts of the doctoral thesis) were submitted to

*university:*

*department:*

as ...<sup>2</sup>

9. I herewith confirm the correctness of the above statements.

Place and date

Signature

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<sup>2</sup> Delete as appropriate

<sup>2</sup> Delete as appropriate