

Official Notices

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Content:

**PhD Regulations of
the
Faculty of Natural Sciences and Technology

of the
University of Siegen

of 6 August 2020**

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Based on section 2 (4) and section 67 (3) of the German Act on the Higher Education Institutions of the Land of North Rhine-Westphalia (Higher Education Act - HEA) of 16 September 2014 (GV. NRW. p. 547), last amended by the Act of 14 April 2020 (GV. NRW. p. 218b), the Faculty of Natural Sciences and Technology of the University of Siegen adopted the following PhD Regulations:

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Section 1

Right to Award PhDs

- (1) The Faculty of Natural Sciences and Technology shall award the Doctor of Natural Sciences (Dr. rer. nat.), Doctor of Engineering (Dr.-Ing.), Doctor of Pedagogics (Dr. paed.) and Doctor of Philosophy (Dr. phil.) degrees based on a scientific treatise drawn up by the applicant (dissertation) and on an oral examination.
- (2) The Faculty may award the Doctor of Natural Sciences in Honour (Dr. rer. nat. h. c.), Doctor of Engineering in Honour (Dr.-Ing. E. h.), Doctor of Pedagogics in Honour (Dr. paed. h. c.) and Doctor of Philosophy in Honour (Dr. phil. h. c.) degrees (section 17).

Section 2

PhD Requirements

- (1) A prerequisite for the PhD shall be a degree in an engineering, a natural science or a mathematical course of studies
 - a) following relevant studies at a university with a standard period of study of at least eight semesters for which a degree other than a "Bachelor" degree is awarded or
 - b) following relevant studies at a higher education institution with a standard period of study of at least six semesters and subsequent appropriate studies preparing for the PhD in the PhD subjects or
 - c) a master's course in terms of section 61 (2) sentence 2 of the Higher Education Act.

The degree must have been rated with the grade "good" or better. Another prerequisite for the PhD shall be in-depth knowledge of the contents of the subject, in which the PhD is intended to be performed. Such knowledge shall be demonstrated by the modules or courses successfully passed during the studies. If the in-depth knowledge has not been acquired, the admission may become subject to conditions on the achievement of additional performances. Details shall be governed by (3).

- (2) Foreign examinations may be recognised to the extent that they comply with a German final examination as per (1). Equivalence of foreign examinations shall be determined by the International Office based on the equivalence agreements approved by the Education Ministers' Conference (KMK) and the Higher Education Rectors' Conference (HRK). In case of doubts regarding equivalence, the Central Office for Foreign Education shall be heard. The final decision shall be passed by the PhD Committee of the Faculty of Natural Sciences and Technology. The admission may become subject to conditions on the achievement of additional performances. Details shall be governed by (3).
- (3) The achievement of additional performances shall serve to demonstrate suitability for the PhD procedure. Such performances shall be stipulated by the PhD Committee in the preliminary procedures under section 6 (4) (c) based on the candidate's knowledge and shall be communicated to the candidate in writing. The performances shall not exceed a maximum of 30 credit points, or 60 credit points for candidates under section 2 (1) (b) respectively. Details may be regulated by cooperation agreements between the University of Siegen and another higher education institution, provided that the PhD Committee has consented to such agreement.
- (4) If the subject of study of the degree under (1) or (2) does not correspond to the doctoral degree envisaged, the PhD may be performed only if the subject of study is one of the subjects related to the PhD subject. If this is the case, the PhD Committee shall be entitled to correct the doctoral degree envisaged or to make the admission subject to conditions on the achievement of additional performances. Details shall be governed by (3).
- (5) In duly substantiated exceptional cases, a degree rated "satisfactory" may also be recognised as a PhD requirement under (1). The decision on a corresponding application shall be taken by the PhD Committee in the preliminary procedure. The admission may become subject to conditions on the achievement of additional performances. Details shall be governed by (3).

- (6) The decision on the admission of applicants already having received a PhD shall be taken by the PhD Committee of the Faculty on a case-by-case basis. Multiple PhDs with the same doctoral degree shall not be permitted.

Section 3

PhD Entitlement

Individuals entitled to confer PhDs shall include professors having a qualification as per section 36 (1) (4.) HEA, higher education lecturers having a qualification as per section 36 (1) (4.) HEA, individuals with habilitation, as well as junior professors following a positive evaluation. In duly substantiated exceptional cases, the PhD authority may be granted to a junior professor prior to the positive evaluation. The decision shall be taken by the Faculty Council. Furthermore, professors having a qualification under section 36 (1) (5.) HEA with additionally recognised research performances shall be entitled to confer PhDs under the Resolution of the Foundation Senate of 8 February 1982. In addition, within the framework of a cooperation with a university of applied sciences, higher education teachers working at such a university shall likewise be entitled to confer PhDs, provided that they have demonstrated their scientific performance and were endorsed by the Faculty Council. Honorary professors may be granted the entitlement to confer PhDs. The decision on the application shall be taken by the PhD Committee.

Section 4

Preliminary Procedure

- (1) Before the PhD procedure is initiated, the future doctoral candidate shall submit an application for admission as a doctoral candidate to the chairperson of the PhD Committee. The priority theme, the provisional title of the dissertation, the doctoral degree envisaged and the mentor must be specified in the application. The application shall be accompanied by the record of a degree under section 2 (1) to (2), a brief description of the topic to be dealt with, a declaration of consent of the mentor and an assessment of the mentor as to whether the existing academic degree has the quality and breadth required for the PhD subject. The mentor shall draw up a list of proposals for lectures for the additional performances to be accomplished to the extent stipulated in section 2 (3). In principle, a mentoring agreement between mentor and PhD candidate must be concluded and enclosed to the application.
- (2) Mentors must be entitled to confer PhDs under section 3 and must represent the PhD subject in full or in part. The dissertation shall be supervised by one mentor or no more than two mentors. At least one of them must be a member of the University of Siegen. Upon request, retired professors of the University of Siegen may likewise be admitted as mentors. In this case, a second mentor, who shall be a member of the University of Siegen and shall not be retired, is intended to be designated. The decision on the application shall be taken by the PhD Committee.
- (3) The PhD Committee shall decide on the approval or rejection of the application by simple majority. In case of a tie, the application shall be deemed rejected. In cases which are not clear, the application shall become subject to further discussions with the mentor. The decision shall be immediately communicated to the applicant in writing. If the application is rejected, the reasons for such rejection must be stated. Where required, a decision on additional performances as per section 2 (3) shall be taken. The approval may be rejected only if the requirements under section 2 are not met, if the dissertation subject cannot be allocated to the Faculty (section 1 (1)) or if no mentor can be found for the PhD.

Section 5

PhD Performances

- (1) The PhD shall serve the purposes of demonstrating special scientific knowledge and skills and enabling the candidate to independently carry out scientific work. The PhD performances shall include a dissertation and an oral examination.

- (2) The dissertation must constitute an independent, further, disciplinary or didactical research contribution and shall demonstrate the ability of the applicant to properly work on a scientific issue and to illustrate the result appropriately. The dissertation shall be drawn up in the German or English language.
- (3) Elements of group work may likewise be used for the dissertation. In this case, the dissertation of the doctoral candidate must clearly show his or her share in the group work and must meet the criteria specified in (2).
- (4) The dissertation may also be a cumulative work, provided that at least four of the dissertation articles drawn up by the doctoral candidate playing a leading role are summarised. The articles must have been published in internationally recognised journals working on the basis of a peer-review procedure or accepted for publication and must not date back more than five years. In case of several authors, the share of the doctoral candidate shall be clearly documented. The cumulative dissertation shall be preceded by an introduction, which shall relate to the articles in their entirety and shall elucidate the overriding issue of the PhD work. In addition, a comprehensive documentation shall set out the different contributions made by the doctoral candidates individually and in their entirety to address this issue. Where required, further, unpublished descriptions of the methods and procedures applied to the investigations carried out shall be enclosed.
- (5) Any prior publication of contents of the work shall not preclude approval as a dissertation.
- (6) The oral examination shall include a public higher education speech of the doctoral candidate on the content and outcome of the dissertation. Subsequently, a disputation shall take place. Details shall be governed by section 11. The disputation shall take place as an examination discussion taking into account the state of research in the corresponding subject.

Section 6

PhD Committee

- (1) The Faculty Council shall elect the members of a committee responsible for the implementation of the PhD procedures (PhD Committee), the subject committees and one deputy for each member of the committee or of the subject committees.
- (2) The PhD Committee shall be comprised of the chairperson and two deputies, who must be professors, two additional professors, one research associate and one graduate student. Overall, an overbalance of professors entitled to examine students under section 3 sentence 1 must be ensured within the PhD Committee.

The chairperson and the two deputies shall be elected by the Faculty Council. Each of the three departments, i.e. Doctor of Engineering, Doctor of Natural Sciences and the joint department of Doctor of Pedagogics and Doctor of Philosophy, must be represented by the chairperson or by a deputy.

The higher education teachers and the research associates shall be elected for a term of two years, with the students being elected for one year. Re-election shall be permitted. A uniform level of representation of all subjects within the PhD Committee shall be taken into consideration during the elections.

The PhD Committee shall be deemed to have a quorum if the chairperson or one of his or her deputies and at least three further members are present.

- (3) The PhD Committee shall be assisted by three subject committees, one subject committee each for the Doctor of Engineering and Doctor of Natural Sciences areas of competence and one joint subject committee for the Doctor of Pedagogics and Doctor of Philosophy areas of competence. The members of the subject committees shall each come from the relevant areas of competence.

Each subject committee shall be comprised of a chairperson and two deputies, who must be professors, one additional professor, one research associate and one graduate student. Furthermore, the chairperson and the two deputies of the PhD Committee shall be voting ex officio members of each subject committee.

In each case, the chairperson of any subject committee shall be the chairperson or deputy chairperson of the PhD Committee who shall be a member of the area of competence of the subject committee. The two deputies shall be elected by the Faculty Council.

The professors and the research associates shall be elected for a term of two years, with the students being elected for one year. Re-election shall be permitted.

The subject committee shall be deemed to have a quorum if the chairperson of the subject committee or one of his or her deputies and at least three further members are present.

- (4) Within the framework of its procedural management, the PhD Committee shall have, in particular, the following tasks:
- a) to decide on the admission of doctoral candidates in the preliminary procedure;
 - b) to ascertain equivalence of foreign examinations as per section 2 (2);
 - c) to stipulate additional previous performances as per section 2 (3) after hearing representatives of the PhD subject;
 - d) to decide on the initiation of the PhD procedures, after hearing representatives of the PhD subject, where appropriate;
 - e) to elect the experts and the members of the PhD Commission as per section 8 (3) to (5) and to appoint the chairperson;
 - f) to appoint further experts as per section 10 (7);
 - g) to take the decision if the date of the oral examination is missed as per section 11 (1);
 - h) to decide on the doctoral degree to be conferred; and
 - i) to decide on any objections of the candidate against resolutions passed within the PhD procedure.

The tasks from a) to h) may be delegated to the subject committees.

Section 7

PhD Application

- (1) The doctoral candidate shall submit the PhD application to the chairperson of the PhD committee via the dean.
- (2) The PhD application shall be accompanied by the following documents:
 - a) a statement that the doctoral candidate is familiar with or acknowledges the applicable PhD Regulations;
 - b) the written notification of the PhD Committee on the admission as a doctoral candidate in the preliminary procedure as per section 4 (3) and on the academic performances required for the PhD course of studies;
 - c) evidence of additional performances as per section 2 (3);
 - d) a curriculum vitae in tabular form;
 - e) a duly completed data entry form for PhD examination candidates;

- f) five typewritten or printed copies of the dissertation, including a cover sheet according to the sample available in the dean's office and containing a summary in German or English;
 - g) one proposal for at least two experts as per section 8 (3) and (4);
 - h) a statement undersigned by the mentor that she or he consents to the submission of the dissertation and that the relevant work is expected to meet the requirements as per section 5 (2);
 - i) a proposal for the further members of the PhD Commission;
 - j) the names, academic degrees and addresses of other scientists if any research findings have been used in the dissertation which had been made in cooperation with these scientists;
 - k) a statement of the doctoral candidate as to whether she or he has already applied for a PhD procedure with a different higher education institution or with a different faculty either previously or simultaneously, including full details of its outcome, where appropriate;
 - l) register evidence, which should not date back more than three months;
 - m) an affidavit of the doctoral candidate in the following form:

"I hereby declare in lieu of an oath that I have drawn up the present work without any undue assistance by third parties and without using any aids other than the ones specified. The data and concepts taken, either directly or indirectly, from any other sources have been marked, indicating the source.

The work has not been submitted to any other examining authority neither in Germany nor abroad and neither in the same nor in any similar form.

Use of the services of any PhD mediation institute or of any similar organisation has not been made.";
 - n) and a written statement of the doctoral candidate in the following form:

"Any family relationship, first-degree relationship, marriage, civil partnership or cohabitation to the proposed members of the PhD Commission do not exist."
- (3) To ensure equal opportunities, PhD candidates unable to take an examination either in whole or in part in the intended form due to disability or any other physical or mental impairment shall be granted compensation for disadvantages. The application for such compensation must be submitted in writing to the chairperson of the PhD Committee on presentation of a medical certificate. The compensation for disadvantages may be granted, in particular, by the examination being taken in a different form.

Section 8

Initiation of the PhD Procedure, PhD Commission, Experts

- (1) The decision on the initiation of the PhD procedure shall be taken by the PhD Committee, after hearing representatives of the PhD subject, where required, by simple majority. In case of a tie, the application shall be deemed rejected. The initiation may be rejected only if the requirements under section 2 and section 7 are not met, if the dissertation subject cannot be allocated to the Faculty (section 1 (1)) or if the candidate for the PhD has been convicted of an intentional crime by a final judgement. The initiation of the PhD procedure must be rejected, unless at least one disciplinarily or didactically qualified expert is a member of the Faculty under (3) and (4). If the initiation is rejected, this shall be immediately communicated to the doctoral candidate in writing, stating the reasons and instructions on the right to appeal.

- (2) Any PhD application may be withdrawn as long as the PhD Committee has not decided on the initiation of the procedure. In this case, the PhD procedure shall be deemed to have not been initiated.
- (3) The PhD Committee shall elect the disciplinarily or didactically qualified experts and the members of the PhD Commission. Experts and members of the PhD Commission may only be individuals as per section 3. Section 4 (1) shall remain unaffected. When electing the experts and the members of the PhD Commission, the PhD Committee shall not be bound to the proposals of the doctoral candidate under section 7 (2) (g) and (i).
- (4) Two or more experts shall be elected. As a general rule, at least one mentor of the work shall be one of the experts. At least one expert must represent the specialist field in question. Foreign experts from other subject departments may be elected. The cooperation of foreign experts is strongly encouraged by the Faculty.
- (5) The PhD Commission shall be comprised of at least four members. As a general rule, the experts shall be members of the PhD Commission. At least two members of the PhD Commission must represent the PhD subject. If the dissertation topic exceeds the limits of the subject department in charge, representatives of the corresponding subjects must be members of the PhD Commission.
- (6) The PhD Committee shall appoint one chairperson among the members of the PhD Commission.

Section 9

Tasks of the PhD Commission

- (1) The PhD Commission shall decide on the acceptance and the grade of the dissertation based on the proposals of the experts as per section 10 (7) to (9). The PhD Commission shall conduct the disputation as a collegial examination and shall decide on the disputation grade as per section 11 (2).
- (2) The chairperson shall conduct the business of the PhD Commission. In particular, the chairperson shall obtain the expert opinions of the experts appointed, shall fix the date of and shall invite to the oral examination, shall arrange for the public display of the dissertation and of the expert opinions, shall convene the PhD Commission, shall lead the oral examination and shall conduct the correspondence of the PhD Commission.
- (3) The chairperson of the PhD Commission shall take care to ensure that the evaluation of the PhD performance will be completed within 5 months after presentation of the dissertation, unless there are any compelling reasons for not doing so.
- (4) The PhD Commission shall be deemed to have a quorum when all members are present and shall decide by a majority of 2/3 of the votes.

Section 10

Grading of the Dissertation

- (1) The experts shall independently draw up written expert opinions containing a recommendation on the approval or rejection of the dissertation and, in the event of approval, a proposal of a grade.
- (2) The time limit for the initiation of the PhD procedure up to the completion of the expert opinions should not exceed 8 weeks.
- (3) The dissertation grade may be as follows:

very good	(1.0)
good	(2.0)
adequate	(3.0)

sufficient (4.0)

Within the range of 1.0 to 4.0, the individual grades may be decreased or increased by 0.3 to the differentiating grading to form intermediate values. The grades of 0.7 and 4.3 shall be excluded in this context. In case of an excellent dissertation, the “with distinction” (summa cum laude) attribute may be awarded.

- (4) Where the grades of the two expert opinions are more than two full grades apart, the PhD Commission shall propose the PhD Committee to appoint another expert.
- (5) Once the expert opinions have been completed, the work and the expert opinions shall be publicly displayed in the department office in charge for 12 workdays, for 18 workdays in the non-lecture period. After coordination with the chairperson of the PhD Commission, the department head in charge shall announce the public display of the dissertation and the time limit of the public display.
- (6) During the time limit of the public display, the dissertation shall be available to all individuals of the higher education institution who are entitled to perform a PhD as per section 3. During the time limit of the public display, the dissertation and the expert opinions shall be available to the members of the PhD Committee, the members of the PhD Commission and to all individuals of the Faculty who are entitled to perform a PhD.
- (7) All of the individuals specified in (5) sentence 2 may give their written opinion on the dissertation or on the expert opinions no later than 7 days after the end of the time limit of the public display, provided that an opinion is announced to the chairperson of the PhD Commission in writing during the time limit of the public display.
- (8) If one or several expert(s) recommend(s) not to approve the dissertation or if one or several written opinion(s) on the dissertation is/are available which recommend(s) to reject the dissertation in its current form, the chairperson shall invite to a meeting of the PhD Commission which shall not take place later than 7 days after the end of the time limit specified in (6) for submitting opinions.

Based on the expert opinions available and after consultation about the opinions submitted, the PhD Commission shall decide on the approval or rejection of the dissertation. Approval of the work may become subject to compulsory corrections. If one or several member(s) of the PhD Commission raise(s) an objection against this decision during the meeting, the PhD Commission shall propose the PhD Committee to appoint another expert or several other experts before a final decision shall be taken. Section 8 (3) and (4) and section 10 (1) to (6) shall apply mutatis mutandis.

- (9) If the dissertation is rejected, the dean shall immediately inform the doctoral candidate in writing of the decision of the PhD Commission.

If the dissertation is approved, the further procedure shall be governed by (9).

- (10) The chairperson of the PhD Commission shall fix the date for the meeting of the PhD Commission on which the decision on the grading of the dissertation shall be taken and the oral examination of the doctoral candidate shall take place.
- (11) Grading of the dissertation shall be made based on the expert opinions available and after consultation about any opinions submitted. Where no written opinion on the grading is available, the grade awarded must be equal to one of the grades proposed by the experts or between the grades proposed by the experts.
- (12) Where a written opinion is available, the chairperson of the PhD subject committee must be informed and may delegate a representative to the meeting of the PhD Commission. The substantiated outcome of the meeting of the PhD Commission in which the opinion had been dealt with must be brought to the knowledge of the PhD subject committee in a timely manner.

Section 11

Oral Examination

- (1) If the doctoral candidate culpably misses the examination date or if, after she or he withdraws after the examination has commenced without valid reasons, the examination shall be deemed to have been failed. The relevant decision shall be taken by the PhD Committee. Where good reasons are asserted for the absence or withdrawal, the chairperson of the PhD Commission must report and furnish prima facie evidence of them to the PhD Committee in writing without delay. In case of illness, presentation of a medical certificate shall be requested. Where the reasons are acknowledged, a new date shall be fixed.
- (2) The oral examination shall be conducted by the PhD Commission as a collegial examination and shall be headed by the chairperson. The examination shall start with a 30 to 45-minute speech of the doctoral candidate in the German or English language on the content and outcome of the dissertation. This part of the oral examination shall be a public higher education examination. At the doctoral candidate's request, individuals, who are not members of the higher education institution, may be permitted to attend the speech. The relevant decision shall be taken by the chairperson of the PhD Commission. Following the speech, a disputation generally taking one hour, but not exceeding 90 minutes, shall take place. Individuals entitled to attend the disputation shall include the members of the PhD Commission and of the PhD Committee as well as all members of the Faculty who are entitled to confer PhDs as per section 3. The members of the PhD Commission shall be primarily entitled to ask questions. The questioning shall relate to the dissertation as well as to the specialist field in question and contiguous fields. It shall be conducted as an examination discussion taking into account the state of scientific knowledge. The examination shall become subject to minutes, which shall be drawn up by the chairperson of the PhD Commission. The decision of the grade of the oral examination shall be taken by the PhD Commission based on the overall impression gained by the members of the PhD Commission of the speech and disputation immediately after the end of the examination. Consultation about and determination of the grade shall not be public.
- (3) The grade of the oral examination may be as

follows:

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

Within the range of 1.0 to 4.0, the individual grades may be decreased or increased by 0.3 to the differentiating grading to form intermediate values. The grades of 0.7 and 4.3 shall be excluded in this context. The oral examination shall be deemed passed if the grade is 4.0 or better.

- (4) If the oral examination is graded "insufficient" or is deemed failed, the doctoral candidate may repeat it once. The repetition may take place at the earliest after six months and should take place by the end of one year at the latest. If the repeat examination is not passed or deemed failed, the whole PhD procedure shall be deemed failed. The dean shall issue a relevant written administrative notice to be provided with an information on legal remedies.
- (5) Other doctoral candidates, whose application for PhD admission has been approved, shall be permitted to attend the disputation as listeners if there is sufficient room, provided that the doctoral candidates gives her or his consent. The permission shall not apply to the consultation about and announcement of the examination result.

Section 12

Overall PhD Grade

- (1) Following the oral examination passed, the PhD Commission shall decide on the overall grade.
- (2) To form the overall grade, the grade of the dissertation shall be accounted for twice, with the

grade of the oral examination being accounted for once. When forming the overall grade, only the first decimal after the point shall be taken into account, with all other decimals being disregarded without rounding. For the following values, the overall grade shall be:

1.0 - 1.5 magna cum laude;

1.6 - 2.5 cum laude;

2.6 - 4.0 rite.

Without prejudice to the foregoing, the “with distinction” (summa cum laude) grade may be awarded if all written expert opinions fully propose the “very good” dissertation grade (1.0), the “with distinction” attribute has been awarded in at least one expert opinion, the oral examination is uniformly graded “very good” (1.0) by all members of the PhD Commission and the PhD Commission unanimously considers that it is a particularly excellent overall performance. The chairperson of the PhD Commission shall immediately notify the doctoral candidate of the overall grade.

- (3) Only the Latin formulation of the overall grade must be stated in the PhD certificate.

Section 13

Deposit Copies and Printing of the Dissertation

- (1) The doctoral candidate shall be obliged to make her or his dissertation available to the scientific public in an appropriate manner by reproduction and dissemination. The dissertation shall be deemed to have been made available to the scientific public in an appropriate manner if the author provides the university library free of charge with both the two copies required for the examination files of the Faculty for archiving and four copies, which must have been printed on non-ageing wood-free and acid-free paper and bound in a permanently durable manner, and additionally ensures delivery of an electronic version whose data format and data carrier shall be coordinated with the library of the higher education institution. In this case, the PhD graduate of the higher education institution shall transfer the right to produce and distribute and/or to make available in data networks further copies of the dissertation within the framework of the legal duty of the libraries of the higher education institutions. This shall require the consent of the mentor and of other holders of rights to contents of the dissertation, if applicable. If the consent is not given, and in other justified cases, distribution may instead be ensured by either:
 - a) delivery of further 40 copies in book form or as a photo print or microfiche; or
 - b) evidence of distribution through the book trade by a commercial publisher with a minimum circulation of 150 copies or as a book on demand; or
 - c) evidence of publication in a refereed specialist journal.
- (2) The published dissertation should contain the names of the experts and the date of the oral examination.
- (3) The chairperson of the PhD Commission shall certify compliance with the version approved by the PhD Commission based on a certification issued by the mentor. If the deposit copies deviate from the version approved by the PhD Commission beyond the insertion stipulated in (2), the deviation must be approved. The approval shall be granted by the chairperson of the PhD Commission in consultation with at least one expert after prior review of both versions.
- (4) The deposit copies must be submitted to the dean one year after the examination has been passed at the latest. Upon motivated request of the doctoral candidate, the dean may extend the submission deadline.

Section 14

Completion of the PhD Procedure

- (1) The PhD shall be deemed to have been finalised if the dissertation has been approved, the oral examination has been passed and the dissertation has been made accessible to the scientific public as per section 13 (1).
- (2) The dean shall ascertain the completion of the procedure and shall arrange for a certificate to be drawn up. The certificate shall contain the topic of the dissertation, the doctorate acquired and the overall grade in Latin formulation. The date of the oral examination must be indicated in the certificate. The certificate shall bear the signature of the dean of the Faculty and of the rector and the seal of the Faculty.
- (3) The dean shall hand the certificate over to the PhD graduate once the dissertation has been made accessible to the scientific public as per section 13 (1) and the certification or approval under section 13 (3) has been received. The doctoral degree may be borne only after the certificate has been handed out. After the oral examination has been completed, a provisional certification shall be issued upon request of the PhD graduate which shall contain the title and the overall grade of the dissertation. However, this certification shall not entitle the holder to bear the doctorate.
- (4) Completion of the procedure shall be announced to the rector and to the higher education institution public.
- (5) All written documents related to the PhD procedure must be kept in the dean's office.
- (6) Once the PhD procedure has been completed, the doctoral candidate shall be provided with the opportunity to inspect her or his examination files upon request.

Section 15

Termination of the Procedure

- (1) If the doctoral candidate waives any continuation of the procedure by submitting a written statement to the dean in charge, the PhD shall be deemed to have not been passed. The dean in charge shall notify the Faculty Council, the PhD Committee and the PhD Commission of the termination of the procedure. In this case, one single repetition taking into account the PhD performances already accomplished shall be possible.
- (2) If any examination performances are not accomplished finally within the PhD procedure, the PhD procedure shall be deemed to be terminated without success. This shall be communicated by the dean to the doctoral candidate, stating the reasons and enclosing an information on legal remedies.
- (3) If it is established that the doctoral candidate has deliberately made misleading statements on section 7 (2) or on section 2, the PhD Committee shall decide whether the PhD procedure can be continued. The doctoral candidate must be provided with the opportunity to give her or his opinion on the accusations. If the procedure is terminated, the PhD shall be deemed to have not been passed. This shall be communicated by the chairperson of the PhD Committee to the PhD Commission and the Faculty Council. The resolution of the PhD Committee on the termination of the PhD procedure shall be substantiated and shall be sent to the doctoral candidate together with an information on legal remedies.

Section 16

Joint PhD with a Foreign Higher Education Institution

- (1) The PhD at the Faculty of Natural Sciences and Technology of the University of Siegen may be conducted jointly with a foreign scientific higher education institution in a joint PhD procedure. This procedure shall be led by the competent bodies of the foreign higher education institution and by the PhD Committee. It shall provide for one mentor for the dissertation each at both higher education institutions.

The requirements for admission to the PhD must be met by both higher education institutions.

- (2) The joint PhD procedure must be regulated in an agreement between the Faculty of Natural Sciences and Technology of the University of Siegen and the foreign higher education institution. The arrangements shall be approved by the PhD Committee. The agreement shall set out, in particular, the composition of the PhD Commission and the nature of authentication. It should be geared to the provisions for PhDs at the Faculty of Natural Sciences and Technology of the University of Siegen, but may deviate from them in certain details. It may lay down additional requirements, for ex. on academic performances to be accomplished. Furthermore, it must be apparent from the agreement that only one single doctoral degree may be conferred.

Section 17

Honorary PhD

- (1) To appreciate excellent scientific performances in research or an outstanding application of scientific findings in the fields of engineering, natural sciences or a teaching methodology represented in the Faculty, the Faculty of Natural Sciences and Technology may award the Doctor of Engineering in Honour (Dr.-Ing. E. h.), Doctor of Natural Sciences in Honour (Dr. rer. nat. h. c.), Doctor of Pedagogics in Honour (Dr. paed. h. c.) and Doctor of Philosophy in Honour (Dr. phil. h. c.) degrees as per section 1 (2) in agreement with the Senate and Rectorate of the University of Siegen. Corresponding applications must be filed by at least three professors of the Faculty who must have a qualification as per section 3.
- (2) To evaluate the scientific performances of the individual to be honoured, the PhD Committee shall set up a committee comprised of at least three individuals of the Faculty who must have a qualification as per section 3 sentence 1. Based on the recommendation of the committee, the Faculty Council shall decide on the passing of the application to the senate and the rectorate by a 2/3 majority of the members elected. The certificate shall appreciate the scientific merits of the individual to be honoured.

Section 18

Deprivation or Withdrawal of the Doctoral Degree

- (1) The doctoral degree shall be deprived if it turns out after the completion of the PhD procedure that the degree had been acquired through deception or if essential requirements for its award were erroneously considered to be met. The PhD certificate must be seized.
- (2) The doctoral degree may be withdrawn if the PhD graduate has been convicted of an intentional science-related crime by a final judgement. If the doctoral degree is withdrawn, the PhD certificate must be seized.
- (3) The decision on the deprivation or withdrawal of the doctoral degree shall be taken by the Faculty Council. Before the resolution is passed, the individual concerned shall be provided with the opportunity to give her or his opinion.
- (4) The dean of the Faculty of Natural Sciences and Technology shall notify the rector of the University of Siegen of the deprivation or withdrawal of the doctoral degree.

Section 20

Entry into Force, Abrogation

These PhD Regulations shall enter into force on the day following their publication. They shall be published in the "Official Notifications of the University of Siegen" promulgating publication.

Concurrently, the PhD Regulations of the Faculty of Natural Sciences and Technology of the University of Siegen of 8 June 2017 (Official Notification 63/2017) shall cease to be in force.

Executed based on the Resolution of the Faculty Council of Faculty IV - Faculty of Natural Sciences and Technology - of 3 June 2020.

It is pointed out that, as per section 12 (5) of the German Act on the Higher Education Institutions of the Land of North Rhine-Westphalia (Higher Education Act - HEA NRW), any violation of procedural or formal regulations of the Higher Education Act or of the right of order or the other autonomous right of the higher education institution may no longer be asserted after expiry of one year from this announcement, unless

1. such order had not been announced properly,
2. the Rectorate made a complaint about the panel resolving such order beforehand,
3. the formal or procedural deficiency had been notified to the higher education institution beforehand while specifying the violated legal regulation and the fact resulting in the deficiency or
4. the legal consequence of the exclusion of notification had not been pointed out in the public announcement of such order.

Siegen, on 6 August 2020

The Rector

sgd.

(University Professor Dr Holger Burckhart)