Preface on language usage

The designations of the persons and functions in these regulations shall be applied to both women and men. Woman shall in these regulations carry the function designations in the female form.

§ 1 PhD legal stipulations

(1) The Mathematics-Natural Science Faculty for Physics, as well as Biochemistry, Chemistry and Pharmaceutics of the Johann Wolfgang Goethe University of Frankfurt am Main confers the academic degree of PhD in Natural Sciences (doctor philosophiae naturalis, Dr. phil. nat.); in the Faculties of Psychology and Sport Sciences, Geosciences/Geography, Informatics and Mathematics as well as Biosciences of Johann Wolfgang Goethe University of Frankfurt am Main confers the academic degree of doctor rerum naturalium (Dr. rer.nat.). Prerequisites are PhD achievements in the field of mathematics-natural sciences, in one of the corresponding didactics.
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<td>Bioinformatics</td>
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(2) The PhD degree verifies a special scientific qualification extending beyond the qualification of a diploma or state examination.

(3) PhD achievements comprise: dissertation written by the candidate on one of the subjects stated in paragraph 1 (§ 6) and a public disputation (§ 11).

§ 2 PhD admissions committee and PhD admissions office

(1) In each faculty a PhD admissions committee is the body responsible for proper processing of the PhD examinations. The PhD admissions committee is a committee of

$^1$ The PhD subject of Geosciences comprises the subjects of Geology, Palaeontology, Geophysics, Crystallography, Meteorology, Mineralogy and Physical Geography. PhDs in the subjects of Geography and Didactics of Geography for the title Dr. phil. is possible pursuant to the PhD regulations of the Philosophical Faculties.
the faculty. It decides in particular on acceptance as a PhD candidate (§ 4) and the commencement of examination proceedings (§ 7), it appoints the expert assessors (§ 8 paragraph 1) and convenes the examination board (§ 9). The PhD committee can delegate this task to the dean entirely or partly. An appeal to the PhD admissions committee can be raised against the decisions of the dean. The PhD admissions committee of the faculty (12 or 15) is responsible for the subject of Bioinformatics, in which the corresponding supervisor is the primary member.

(2) The PhD admissions committee consists of the dean as chairman, 3 other professors, a research assistant and a student who has passed at least a preliminary or an intermediate examination. The members and their representatives are elected at the suggestion of each group representative by a faculty council for the duration of 2 years (the student for 1 year). Within the scope of the business distribution the dean can also assign the dean of studies or the vice-dean to represent him.

(3) The PhD admissions committee shall have a quorum if at least half of its members are present; decisions are made with a majority of members present.

(4) All negative replies shall be substantiated and accompanied by information on the legal remedy.

(5) The faculties stated in § 1 shall establish a joint PhD admissions office for carrying out administrative work on PhD procedure; it shall establish the rules of procedure which especially settle the appointment of the managing chairman.

§ 3 Prerequisites for PhD candidates

(1) The prerequisite for being accepted as a PhD candidate are scientific university studies which are regularly related to the PhD subject and absolved with a grade of at least “fair”. Standard qualifications are absolving Master, Diploma, the first state examination for a teaching position at secondary schools, the second examination section pursuant to the license regulations for pharmacists or the main examination, section A for food chemists (university degree). The PhD admissions committee can accept other study qualifications in well-founded cases; it can also promote addition studies and/or examination achievements.

(2) The PhD admissions committee decides on the recognition of foreign study qualifications. In cases of doubt the central department for foreign education systems can be consulted.

(3) For a PhD in a didactic subject (cf. § 1 paragraph 1) the state examinations for teaching positions at elementary, general secondary and secondary modern schools are also recognised in addition to the regular qualifications stated under § 1. In this case before acceptance as a PhD candidate special scientific supplementary studies of
at least two-semesters shall be absolved and a final supplementary examination shall be required. The supplementary examination shall be held before two professors and comprises at least one hour. The supplementary examination must be passed in the main subjects stipulated by the PhD admissions committee or in examination subjects with distinction, i.e. at least with “fair” (3). It can be repeated once.

(4) The PhD admissions committee shall decide on the admission of especially qualified graduates of universities of applied sciences with a qualification in the same or a related subject. The application of the candidate must be supported by two professors, at least one of which shall be of the faculty, by means of written recommendations. The PhD admissions committee can associate admission to PhD procedure with conditions for ensuring the prerequisite for the scientific work based on the recommendations. These conditions must be satisfied no later than in the semester preceding the initiation of PhD proceedings. The faculty can decide on the implementation provisions for its corresponding field.

§ 4 Admission as PhD candidate

(1) Prior to application of admission as PhD candidate the applicant shall endeavour to find a subject for the dissertation, if applicable by mediation of the PhD admissions committee.

(2) The applicant shall be supervised when writing the PhD dissertation. The working title shall be stipulated by mutual agreement with a professor, emeritus or retired professor or honorary professor of the faculty or another scientist qualified as professor and working in teaching and research in the faculty; with approval of the PhD admissions committee this can also be carried out with the mutual agreement of another scientific member meeting the recruitment prerequisites pursuant to the law governing universities, § 62 HHG. This person shall be responsible for scientific supervision and for providing the material equipment for carrying out the work. He may also request a research assistant with a PhD for assistance; the PhD committee shall be informed hereof in writing.

(3) The subject shall be chosen to the extent that the dissertation can be expected to be completed within three years.

(4) The applicant shall apply acceptance as a PhD candidate with the chairman of the corresponding PhD admissions committee. The application shall state:

a) the objective subject (cf. § 1 paragraph 1) of the PhD

b) the provisional working title of the dissertation by stating the scientist who suggested handling the subject.
The application shall enclose:

1. verification requested in § 3

2. a written declaration of previous PhD conferral proceedingsa statement by the person responsible for supervision on the working title and on material prerequisites for the ability to carry out the work or a declaration of the applicant that he will proceed with the dissertation without a supervisor.

(5) If the applicant desires to proceed with the dissertation without a supervisor the dean shall examine the possibility of granting him a workplace and allocating the required funds. The allocation to an institute, an operating unit or a working group of the faculty can only be carried out with the approval of same. Expertises shall be requested in case of doubt on the ability to proceed with the work. Entitlement to be granted a workplace and research funds by the faculty cannot be claimed.

(6) The PhD admissions committee shall decide within 2 months on the application of the applicant. It shall inform the applicant of the decision in writing. A rejection of the application for admission as a PhD candidate is only possible if the PhD admissions committee has determined that

a) the prerequisites according to § 3 have not been met or

b) no professor of the faculty is in charge of assessing the selected subject; in cases of doubt the PhD admissions committee shall reach a decision after hearing the professors in question and the faculty council or

c) the material prerequisites for carrying out the work do not prevail or

d) the applicant has already undertaken two unsuccessful attempts to attain a PhD in the same subject or

e) the applicant has already acquired a PhD degree in the mathematics-natural sciences field.

(7) Upon acceptance as a PhD candidate the PhD admissions committee shall be obligated pursuant to § 8 to obtain an expert assessment concerning the dissertation

(8) The PhD admissions committee keeps a list of the subjects which it accepts. The lists shall be provided upon request to other facilities specified in § 1.

(9) Writing a PhD dissertation in an external faculty to that awarding the PhD as well as an external university must be subject to the approval of the PhD admission committee in charge. In this case the PhD admissions committee shall assign a professor of the faculty to examine the independent work on the dissertation.
(10) Upon request the PhD admissions committee can approve a change of supervisor; all parties shall be heard.

(11) Upon request of the PhD candidate, his supervisor or the dean the PhD admissions committee shall examine the progress of the work by hearing the PhD candidate and his supervisor. If there is no prospect of a successful completion of the dissertation within a reasonable period of time, the PhD admissions committee should cancel the admission of the PhD candidate. The PhD candidate shall be notified thereof in writing.

§ 5 Graduate studies

(1) As the conferral of a PhD is associated with proof of scientific qualification beyond the diploma or state examination, knowledge shall also be expanded and reinforced in neighbouring subjects within the scope of the graduate programme.

(2) Each PhD candidate should be enrolled in the Johann Wolfgang Goethe University or be a member of the university for another reason.\(^2\)

§ 6 Dissertation

(1) The dissertation must satisfy scientific demands and contribute in solving scientific questions. It must contain a significant independent achievement of the candidate. If the dissertation was produced from joint research work, it must be possible to clearly delimit and assess the individual achievements of the candidate.

(2) The dissertation can be previously published in full or partly. It can also comprise several published articles (publication-based dissertation); in this case it is to be preceded by a detailed summary presentation which can be read on its own. The own share of the PhD candidate must be clearly recognisable. Reference to the guidelines of the faculties shall be made.

(3) The dissertation as a rule shall be written in the German or English language. In exceptional cases the PhD admissions committee can permit the candidate to submit a dissertation which is written in another language. A comprehensive summary written in German shall in all cases be attached.

(4) The form of the title page should comply with the sample enclosed as Annex 1. The curriculum vitae shall be added as the last page.

§ 7 Opening of examination proceedings

(1) Candidates who meet the prerequisites according to § 3, can apply for opening examination proceedings. The application shall be directed to the chairman of the PhD admissions

\(^2\) Please note § 24 paragraph 4 HHG, university law, dated 14-12-2009.
committee.
The application shall specify:

a) the subject (cf. § 1 paragraph 1) in which the PhD is aimed at,

b) the subject of the dissertation and if applicable the name of the supervising representative or representatives,

c) and if applicable the names of the assessor who proposes the candidate

(2) The following shall be enclosed with the application:

a) a curriculum vitae providing information on the educational background of the candidate, with a photograph,

b) verification as stated in § 3,

c) a written declaration on previous PhD proceedings,

d) 5 identical copies of the dissertation, in addition a separate summary (cf. § 8 paragraph 5) with a maximum of 2 pages. In addition to the paper form the dissertation shall be submitted in a suitable (readable) electronic version for purposes of examination.

e) a written declaration stating that the candidate has only used the assistance or aids stated in the dissertation when preparing the dissertation, including a declaration on the observance of the principles of good scientific practice,

f) the receipt on the paid examination fee (§ 16).

(3) The initiation of examination proceedings can only be refused if

a) the documents are not complete or

b) the candidate was guilty of deceit in connection with the admission prerequisites or also the dissertation or

c) the candidate has unsuccessfully attempted to achieve the PhD in the respective subject more than once or

d) no professor of the faculty is responsible for assessing the selected subjection; in cases of doubt the PhD admissions committee shall decide after hearing the professors in question and the faculty council.

(4) The application can no longer be withdrawn as soon as one of the expert assessments (cf. § 8) has been presented to the chairman of the PhD admissions committee. If the candidate subsequently withdraws from the examination, the PhD proceedings shall be deemed unsuccessful.

§ 8 Assessment of the dissertation
(1) The dissertation shall be assessed by two persons; the following are taken into consideration: the person responsible for supervision (cf. § 4 paragraph 2), emeritus or retired professors, honorary professors or other scientists qualified as professor. One of the expert assessors should be responsible for supervising the dissertation. As long as no decision has been made by the examination board on the assessment of the dissertation, the PhD admissions committee can appoint up to two further expert assessors with a PhD. The expert assessors will be appointed by the PhD admissions committee with their consent. If the candidate has prepared the dissertation without a supervisor, the PhD admissions committee should appoint at least one of the expert assessors proposed by the candidate. One of the expert assessors should be a professor of the faculty analogous to university law; § 61 Par. 1 HHG; the PhD admissions committee can deviate from this if the supervisor of the dissertation was professor of the faculty analogous to university law, § 61 par. 1 HHG, at the time when the subject was allocated and he is appointed expert assessor. The PhD candidate will be informed of the names of the expert assessors. If a research assistant was involved in the supervision according to § 4 (2), he shall be entitled to submit a written statement concerning the dissertation. The expert assessments should be prepared independently.

(2) The candidate shall be entitled to view the expert assessments and comments available to the PhD admissions committee.

(3) The expert assessments shall if possible be submitted one month after the expert assessors have received the work. The PhD admissions committee shall endeavour to submit the expert assessments in due time. The expert assessments can also be submitted in the English language; the evaluation shall be based on the provisions of these regulations (§ 10 paragraph 1).

(4) The expert assessors shall make suggestions for an assessment according to § 10 paragraph 1. Special substantiation is required for the grade “with distinction” (0). The expert assessors may propose changes in the dissertation for final approval for printing (paragraph 9 and § 11 paragraph 9).

(5) If the expert assessments are available, the professors of the faculties stated in § 1 shall be allowed to view the expert assessments. The faculty council shall allow a period of at least four, however, no longer than six weeks to view them. The professors of the faculty which awards the PhD and the deans of the other faculties stated under § 1 shall be notified of the display by enclosing the summary (cf. § 7 paragraph 2 letter d); whereby the name of the expert assessors and their grade proposals shall be stated.

(6) The expert assessments are available, the professors of the faculties stated in § 1 shall be allowed to view the expert assessments. The faculty council shall allow a period of at least four, however, no longer than six weeks to view them. The professors of the faculty which awards the PhD and the deans of the other faculties stated under § 1 shall be notified of the display by enclosing the summary (cf. § 7 paragraph 2 letter d); whereby the name of the expert assessors and their grade proposals shall be stated.
(7) The professors of the faculties stated under § 1 shall be entitled to comment on the expert assessments in writing, to raise an objection against the proposed assessments and if applicable to propose changes to the dissertation for the final printing (paragraph 9 and § 11 paragraph 9).

(8) The individual faculties may decide in favour of a circulation procedure including all professors of the faculty; whereby the dissertation and the expert assessments shall be submitted for circulation.

(9) If all expert assessors reject the dissertation and no objections are raised against the expert assessments, the PhD admissions committee shall declare the PhD proceedings as being ended unsuccessfully. Otherwise the proceedings shall be continued.

(10) If the expert assessors or other professors have made suggestions for the final printing of the dissertation (paragraph 4 and paragraph 6), the PhD admissions committee shall decide by mutual agreement with the expert assessors and after hearing the candidate on whether the proposed changes must be carried out and if this shall take place before the disputation. The conditions shall be deemed satisfied if approval of the expert assessor has been given. The sole basis for the assessment shall be the initially submitted version of the dissertation.

§ 9 Examination board

(1) The PhD admissions committee shall convene the examination board and schedule the examination dates.

(2) The examination board shall comprise the expert assessors and two other professors, emeritus or retired professors of honorary professors or other scientists with a PhD who belong to the faculty, whereby at least three of the members have to be professors analogous to university law; § 61 HHG. In the subject of Bioinformatics one member from the respective other faculty (12 or 15) should always be a member of the examination board. The members of the examination board belonging to the PhD faculty shall hold a majority in the board.

(3) The PhD admissions committee shall appoint one of the members of the examination board as chairman.

(4) The members of the examination board shall be provided access to the dissertation and the expert assessments and any comments and objections.

(5) The examination board shall deliberate and decide in a non-public meeting. Abstentions from voting are not permitted. If a member of the examination board cannot attend the examination for suitable reasons, the PhD admissions committee shall appoint another examiner.
§ 10 Assessment of the PhD performance

(1) The PhD achievements shall be graded as follows

- very good (magna cum laude) (1)
- good (cum laude) (2)
- satisfactory (rite) (3)
- unsatisfactory (non rite) (4)

For special excellent achievements the rating

*with distinction* (summa cum laude) (0)

can be granted. The digits merely serve as a means of calculation and do not appear in the certificate. For awarding the rating "with distinction" for the dissertation a third expert assessment shall be requested; one of the three expert assessors shall be an external assessor.

(2) If fractions are produced by calculating the average, the value of up and including ------.5 shall be given the more favourable grade, over ….5 the poorer grade.

(3) The rating “*with distinction*” for the dissertation can only be awarded (§ 11 paragraph 5) if all expert assessors have proposed this rating for the dissertation. The total grade “*with distinction*” can only be granted (§ 11 paragraph 5 and 7) if the dissertation and the disputation have been evaluated with this rating.

§ 11 Disputation and decision

(1) The date for the public university disputation shall be scheduled by the PhD admissions committee in agreement with the members of the examination board and the candidate. A period of one to two hours shall be reasonable for the disputation. The disputation can be conducted in the German or English language in agreement with the examination board.

(2) The candidate, the members of the examination board and the deans of the faculties stated under § 1 shall be personally invited to the disputation. The date for the disputation shall be published on notice boards in these faculties.

(3) In the disputation the candidate defends his dissertation before the examination board; whereby he shall prove his scientific qualification. The disputation begins with an approximate 15 minute report of the candidate on the dissertation. The disputation shall be an in-depth scientific debate which shows that the candidate is competent in the subject areas of the dissertation and has knowledge of other developments in his subject. It also covers selected subjects of related subject areas which are factually and methodically associated with the field of work. The chairman of the examination board shall head the disputation; he may allow questions from the public.
(4) If the candidate fails to appear for the disputation for reasons which are not understandable, the PhD admissions committee shall declare the disputation as not being passed. The examination board shall as a rule meet directly after completion of the disputation in order to determine the grades for the performance in the dissertation, in the disputation and for the total grade. It shall assess the disputation on the basis of expert assessments and after examining possible exiting objections and statements. Secrete voting and abstentions in examination matters shall be excluded.

(5) The candidate can only be conferred the PhD if the dissertation and the disputation are each graded with at least “satisfactory”.

(6) The total grade is derived with two thirds from the grade for the dissertation and one third from the grade which the examination board has assessed for the achievements in the disputation. § 10 paragraph 2 and 3 shall be applied.

(7) Minutes of meeting shall be recorded on the progress and contents of the disputation as well as the awarded grades and the corresponding substantiation and they shall be signed by all present member of the examination board.

(8) Following the decision the chairman of the examination board shall inform the candidate of the result and any conditions still outstanding (§ 8 paragraph 4, 6 and 10) for the final printing of the mandatory copies. After hearing the candidate, the examination board shall schedule a deadline for submitting the revised mandatory copies.

(9) The candidate shall receive a certificate from the PhD admissions committee stating the examination result (cf. the sample enclosed as Annex 3).

§ 12 Repetition

(1) If the disputation has been rejected, only one further attempt can be made for conferral of the PhD. The examination proceedings can be initiated no earlier than after one year. Paragraph 2 shall be applied.

(2) The disputation can only be repeated once. This may not be earlier than after 2 months and must be carried out within one year.

§ 13 Execution of the conferral of the PhD

(1) After delivery of the mandatory copies (§ 14 paragraph 2) the dean shall present the certificate to the successful candidate. The certificate (cf. the sample enclosed as Annex 4) shall specify the subject in which the PhD was achieved. The title of the dissertation and the total grade. It shall be issued on the date of disputation, bear the seal of the faculty and be signed by the dean. In addition an English translation of the certificate signed by the dean shall be presented.
After presentation of the certificate, the successful PhD candidate shall be entitled to carry the designation as PhD.

§ 14 Publication

(1) The dissertation shall be published in a book or as a photo print, as a contribution to a collected volume or in journal in the version approved by the faculty. Mandatory copies thereof shall be delivered free of charge to the university library within one year after conferral of the PhD:

a) 5 copies as a book or photo print for the purpose of distribution or
b) 4 special prints if publication was carried out in a journal or
c) 2 copies of the publication sold by a commercial publisher if a minimum circulation of 150 copies can be proven or
d) 5 machine-written copies capable of being copied together with the original copy and 5 further copies in the form of microfiches; in this case the PhD candidate shall assign the university the right to produce and distribute further copies of his dissertation in the form of microfiches or
e) 5 CD-ROMs together with 4 printed copies for archiving, which have to be printed on age-resistant wood-free and acid-free paper and permanently bound or
f) an electronic version for publication on the internet, the data format and the data carrier shall be agreed with the university library, together with 2 copies for archiving, which have to be printed on age-resistant wood-free and acid-free paper and permanently bound.

In addition one copy shall be delivered to remain in the documents of the PhD office and one summary approved by the dean (abstract, key works) on his dissertation comprising no more than one page for publication (cf. footnote 3).

(2) The mandatory copies of the dissertation shall have a title page pursuant to Annex 1 and 2. The curriculum vitae shall be enclosed at the end.

(3) Abridged or modified versions of the mandatory copies is permissible as stated in paragraph 1, if they do not change the essential contents of the work and entirely produce the verification procedure; the approval of the dean and the exert assessors shall be required therefor.

3 The university library waives its right to the summary as of immediately
§ 15 Deprivation of the PhD title

(1) The PhD title can be revoked by the faculty council if it turns out that it has been obtained by deceit. Moreover, reference shall be made to the legal regulations.

(2) Before the faculty council passes a resolution on deprivation of the PhD title the parties concerned shall be given the opportunity to comment on the allegations.

§ 16 Fees

The PhD examination fee of € 150.--, for repetitions € 75.-- shall be paid to the university cashier office before examination proceedings are opened.

§ 17 Honorary doctorate

(1) A faculty may award the distinction of “Honorary Doctor of Natural Sciences” (Dr. phil. nat. h.c.) for excellent scientific and scientific technical achievements in the subject area of a faculty.

(2) The application for an honorary doctorate may be filed by any professor or member of the faculty with a PhD. It must be substantiated in writing.

(3) The faculty council shall decide on initiating honorary doctorate proceedings. The faculty council shall install a committee for preparing the decision according to paragraph 5 which as a rule obtains two statements. The professors and members who have been awarded PhDs of the faculty concerned shall be informed of the decision to open proceedings. In addition the other faculties stated under § 1 shall be notified.

(4) All professors and members who have been awarded PhDs of the faculties stated under § 1 shall be entitled to submit statements.

(5) The faculty council shall decide on awarding the degree with due consideration to the provisions in § 2 paragraph 3 of these regulation with the majority of present member entitled to vote.

(6) The honorary doctorate will be conferred by the dean by submitting a certificate in which the merits of the person awarded the doctorate shall be emphasised.

§ 18 Transitional provision

These amendments shall apply to all PhD candidates who after enforcement of these amendments are accepted as PhD candidates in the faculty for mathematics-natural sciences. PhD candidates who at the time of enforcement of these regulations have already been accepted as PhD candidates in the faculties of Psychology and Sport Sciences, Geosciences, Geography, Informatics and Mathematics as well as Biosciences of the Johann Wolfgang Goethe University Frankfurt am Main shall have the option of being conferred the tile “Dr.phil.nat” or “Dr.rer.nat”. This written application shall be submitted to the faculty PhD admission committee in charge not later
than at the time of submitting the dissertation and no longer than up to two years after enforcement of this amendment.

§ 19 Enforcement

(1) The amendments shall be enforced on the day of their publication in the UniReport of the Johann Wolfgang Goethe University Frankfurt am Main.

(2) If a faculty has its own PhD regulations which are enforced, the preceding regulations shall apply to the other faculties.

Article II

The amendments shall be effective as the date of publication in the UniReport of the Johann Wolfgang Goethe University Frankfurt am Main.

Anlage 1

Muster für das Titelblatt (vgl. § 6 Abs. 4)

(Titel der Dissertation)

Dissertation
zur Erlangung des Doktorgrades
der Naturwissenschaften

vorgelegt beim Fachbereich ..... der Johann Wolfgang Goethe -Universität in Frankfurt am Main

von
(Vorname und Name des Verfassers)
aus (Geburtsort)

Frankfurt (Jahr des Druckes)
(D 30)
Anlage 2
Rückseite des Titelblattes

vom Fachbereich …. der
Johann Wolfgang Goethe - Universität als Dissertation angenommen.

Dekan: …

Gutachter :

Datum der Disputation : …

Anlage 3
Muster für vorläufige Bescheinigung (vgl. § 11 Abs. 10)

Fachbereich …. der
Johann Wolfgang Goethe - Universität

Der Bewerber …
hat heute das Promotionsverfahren im Fach
…………………
mit der Gesamtnote …. abgeschlossen.

Die einzelnen Prüfungsleistungen wurden wie folgt bewertet :

Dissertation: ………

Disputation: ……..

Das Recht zur Führung des Doktorstitels wird nicht durch diese Bescheinigung, sondern erst durch
die Aushändigung der Urkunde erworben.

Frankfurt am Main, den ……………

Der Dekan/die Dekanin
Anlage 4
Muster für die Urkunde (vgl. § 13 Abs. 1)
(Siegel der Universität)
Der Fachbereich …………… der Johann Wolfgang Goethe -Universität verleiht
(Vorname und Name)
egb. am (Datum) in (Geburtsort) den Grad eines Doktors der Naturwissenschaften
(Dr. phil. nat.) oder (Dr. rer.nat.)
Im Fach …………. nachdem er/sie in ordnungsgemäßem Promotionsverfahren durch die Arbeit
(Thema der Dissertation) und eine öffentliche Disputation seine/ihre wissenschaftliche Befähigung erwiesen hat.
Die Promotionsleistung wurde mit (Gesamtnote) beurteilt.
Frankfurt am Main, den (Datum der Disputation)

(Siegel) Der Dekan/Die Dekanin
(Unterschrift)