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Leipzig University
Faculty of Physics and Earth Sciences

Regulations for the Degree of Doctorate at the Faculty of Physics and Earth Sciences at the University of Leipzig

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Pursuant to § 40 in conjunction with § 88 (1) No. 2 of the Act Governing Higher Education in the Free State of Saxony (SächsHSFG) as published January 15, 2013, last amended on April 29, 2015, the Faculty Council of the Faculty of Physics and Geosciences at the University of Leipzig has adopted the following Regulations for the Degree of Doctorate on July 4, 2016.¹

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¹ Grammatically masculine designation of office and persons in these regulations shall apply equally to persons of the female gender.

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I. General

§1

Doctorate and Principle of Good Scientific Practice

- (1) The doctorate is the proof of competence in independent, creative and result-oriented scientific work and the communication of its results. In addition to the professional competence, the doctoral candidate (doctoral student/promoter) must be taught by the university a basic ethical attitude in scientific work, in the responsible handling of results and in cooperation with other scientists. For the doctorate, an independently prepared, written scientific work that advances the field of science (dissertation) must be submitted.
- (2) Early career scientists in a doctoral procedure are entitled to regular and comprehensive scientific advice and support from a supervising university professor. The members of his or her doctoral committee shall be available to the doctoral candidate as additional contacts in problem cases.
- (3) Doctoral candidates are obliged to
 - to accept the rules of good scientific practice according to the statutes for ensuring good scientific practice at the University of Leipzig,
 - to responsible work and collegiality,
 - to report regularly on the progress of their research work,
 - to further education, such as participation in internal seminars or colloquia of the faculty.
- (4) The doctoral degree also serves to qualify for teaching. As part of the education, doctoral candidates are entitled to engage in teaching (such as exercises, seminars, internships, etc.) in an appropriate manner for their qualification.

§2

Doctoral Degrees

- (1) The Faculty of Physics and Earth Sciences of the University of Leipzig awards the doctoral degrees doctor rerum naturalium (Dr. rer. nat.) and doctor philosophiae (Dr. phil.) on the basis of a proper doctoral procedure in the name of the University of Leipzig.

The degree of Dr. rer. nat. is conferred for doctoral degrees in the fields of

- Geology (-Paleontology),
- Geophysics,
- Meteorology and
- Physics.

For doctorates in the subject areas of

- Subject didactics (Physics, Geography),
- Geography and
- History of Natural Sciences (Physics, Meteorology, Earth Sciences, Geography).

may be awarded the degree of Dr. rer. nat. or the degree of Dr. phil.; the decision is made by the Faculty Council.

The doctorate Dr. rer. nat. or Dr. phil. can also be awarded without naming a field of study. The prerequisite for this is that the field of work of the doctorate is represented by the supervisor of the doctorate (§ 6 para. 2 no. 2). The Faculty Council shall decide on cases of doubt.

- (2) The doctoral degree may be awarded within the framework of inter-faculty doctoral programs. The admission requirements for these programs shall be regulated in inter-faculty regulations.
- (3) The Faculty shall have the right to confer an honorary doctorate pursuant to § 21 (doctor honoris causa).
- (4) Multiple acquisition of a doctoral degree of the same designation is not possible.

§3

Doctoral degree in cross-border programmes

In cross-border programmes, the applicable regulations of the partner university may be applied in whole or in part instead of these regulations by corresponding agreement with the partner university. In any case, however, the applicable mandatory regulations of the SächsHSFG (currently § 40) as well as other higher-ranking standards applicable to the implementation of doctoral procedures must be observed. In addition, §§ 19, 20 and 23 shall apply accordingly. The agreement is agreed on by the Faculty Council.

II. Bodies

§4

Doctoral committees

- (1) The body responsible for conducting doctoral procedures is the Faculty Council. The doctoral committee acts on its behalf. It shall have at least five members. University professors shall be appointed as members of the doctoral committee. One member may be a habilitated research associate. The committee is chaired by the Dean or a member appointed by him. The committee examines the application for acceptance as a doctoral candidate with the complete documents submitted in accordance with § 6. It may impose requirements for completion of supplementary studies and examinations. It proposes the members of the doctoral commission, who are to be confirmed by the Dean. It shall examine the application for a doctoral degree and the complete documents submitted in accordance with § 10. In the case of doctorates in cross-border programmes according to § 3, the committee shall examine the agreement with the partner university and make a recommendation to the Faculty Council.
- (2) A doctoral commission working on behalf of the Dean shall be appointed for the execution of the individual doctoral procedure on a subject-related basis. It is responsible for the proper execution of the doctoral procedure and is appointed after the entry in the list of doctoral candidates has been made. The doctoral commission consists of the supervisor and at least two other members, whereby the supervisor may not chair the commission. The candidate may make suggestions for the composition of the commission, but the Dean is not bound by these suggestions. As a rule, university professors are to be appointed as members of the doctoral commission. In the cooperative procedure with a German university of applied sciences, one member of the doctoral commission must be a university lecturer of the university of applied sciences. One member may be a habilitated research associate. A member appointed by the Dean chairs the doctoral commission. The members of the doctoral commission have the right to participate in the meetings of the doctoral committee.
- (3) The doctoral committee and the doctoral commission shall constitute a quorum if more than half of their members, including the chairperson, are present. If the chairperson is unable to attend, the Dean may appoint another member to chair the meeting.
- (4) The panels decide by a majority of the votes of those present. The final decision in all doctoral matters shall be made by the Faculty Council.
- (5) The deliberations of the panels on doctoral matters are not public. The right of the person concerned to be heard remains unaffected. The members of the panels are bound to secrecy. If they are not in public service, they shall be sworn to secrecy by the chairperson.
- (6) Decisions shall be communicated to the doctoral candidate in a written form. Incriminating decisions shall be justified to the applicant in writing and shall be accompanied by instructions on how to appeal.

III Acceptance as a doctoral candidate

§5

Admission requirements for acceptance as a doctoral candidate

- (1) Admission as a doctoral candidate is open to anyone who
 1. has obtained a Diploma, Master or Magister degree at a university or has passed the state examination and

2. has not previously failed a similar doctoral examination.
- (2) In order to promote highly talented early career academics, in addition to para. 1, no. 1, a person may be admitted as a doctoral candidate who, as a graduate of a university, has obtained a bachelor's degree with a very good grade in a course of study to be assigned to the subject or field of work pursuant to § 2, para. 1, and who, in the course of an aptitude assessment procedure pursuant to § 7, has demonstrated knowledge and skills which make successful completion of the doctoral procedure appear probable. This also applies to holders of a bachelor's degree from a university of applied sciences for admission in the cooperative doctoral procedure.
- (3) The doctoral committee shall decide on the recognition of the equivalence of foreign examinations and degrees, considering equivalence agreements. Master's degrees or diploma degrees obtained in the member states of the European Union are generally considered equivalent to the corresponding German degrees. In cases of doubt, an opinion of the Standing Conference of the Ministers of Education and Cultural Affairs of the States must be obtained. In cases where German or foreign applicants have been authorized to use an academic degree acquired abroad in the form of a German degree entitling the holder to a doctorate, this degree shall be recognized as equivalent.

§6

Acceptance as a doctoral candidate

- (1) The faculty maintains a list of doctoral candidates in which all accepted doctoral candidates are entered. An application for acceptance as a doctoral candidate is an expression of the applicant's intention to be awarded a doctorate by the Faculty of Physics and Geosciences. This application is not identical with the application to conduct a doctoral procedure according to § 10 and is usually to be submitted within three months after the start of the scientific work for the dissertation.
- (2) An application for acceptance as a doctoral candidate shall be submitted in a written form to the Dean. The application shall be accompanied by:
 1. the academic degree intended, the field of study (or the wish to refrain from naming a field of study) and the envisaged working topic of the dissertation;
 2. the declaration of willingness of a university teacher of the Faculty of Physics and Geosciences, a habilitated scientific employee of the Faculty of Physics and Geosciences in agreement with the responsible university teacher or an honorary professor of the University of Leipzig appointed on the recommendation of this faculty to supervise the applicant;
 3. the declaration of willingness of a university teacher of the Faculty of Physics and Geosciences, a habilitated scientific employee of the Faculty of Physics and Geosciences in agreement with the responsible university teacher or an honorary professor of the University of Leipzig appointed on the suggestion of this faculty, who can prove at least habilitation-adequate achievements, to review the dissertation;
 4. proposals for the members of the doctoral commission; the doctoral candidate should personally obtain the consent of those proposed in advance;

5. documentary evidence in officially certified form of the fulfilment of the requirements according to § 5 for admission as a doctoral candidate, in particular of the university degree applicable to the subject or field of work of the doctorate as well as of further or other academic examinations and of admission decisions. In the case of degrees acquired abroad, certified copies of authorized translations into German or English must be submitted in addition to certified copies of the original certificates. For academic degrees acquired abroad, the authorization granted by the competent ministry to use this degree in Germany must be submitted, unless a framework agreement ensures uniform recognition throughout Germany; this applies to Germans as well as to foreigners or stateless persons with permanent residence in Germany;
 6. a statement as to whether - and if so, where, when and with which subject and with which decision - previous unsuccessful doctoral attempts have been made;
 7. a curriculum vitae in tabular form with a description of the educational and scientific career;
 8. a photograph;
 9. a declaration of acceptance of these doctoral regulations.
- (3) The application shall be examined by the doctoral committee; the latter may impose requirements for the completion of supplementary studies and examinations, the fulfilment of which is a prerequisite for the completion of the intermediate examination pursuant to § 8. As a rule, the decision and notification shall be issued within one month. Acceptance may be refused if difficulties arise in the composition of the doctoral commission, the elimination of which is considered unreasonable. The applicant will receive written notification of acceptance, rejection and any conditions. Reasons for the rejection of the application shall be given in writing and shall be accompanied by a notice of appeal. The application documents are administered by the Dean's Office. If doctoral proceedings are opened in accordance with § 12, they shall become part of the doctoral file; in the event of rejection, the application documents shall be returned to the applicant.
- (4) The entry in the list of doctoral candidates expires 18 months after admission if the intermediate examination according to § 8 has not been taken by then. If necessary, an application for extension of affiliation must be submitted no later than six weeks before the expiry of this period.
- (5) Registration in the doctoral list shall otherwise expire five years after admission. If necessary, an application for extension of affiliation must be submitted at least three months before the expiry of this period. The declarations of willingness of the supervisor and of a reviewer (according to § 6 para. 2 no. 2 and 3) must be obtained again.

§7

Qualifying examination

- (1) If a candidate has a bachelor's degree according to § 5 para. 2, but not a university degree according to § 5 para. 1 no. 1, an aptitude test must be taken before acceptance as a doctoral candidate. This must be applied for in writing by the candidate to the Dean and the Faculty Council shall decide on its implementation, content and scope on the proposal of the doctoral committee.

- (2) The aptitude assessment examination shall comprise essential examinations from a course of study leading to a university degree to be taken as a basis for the field of doctoral studies as determined by the Faculty. Examinations shall be taken in a maximum of three subjects of the course of study. Previously completed partial examinations may be credited.
- (3) Passing all partial examinations is a prerequisite for passing the aptitude test as a whole. A failed partial examination may be repeated once upon written application.

§8

Intermediate Examination

As a rule, no later than 18 months after entry in the doctoral list, the doctoral candidate shall give a 30- to 45-minute lecture on the results already achieved and the planned further procedure with regard to the scientific work. The presentation is followed by a discussion of maximum 30 minutes. The presentation and discussion have the status of an intermediate examination, which must be passed. The prerequisite for the intermediate examination is the fulfilment of any requirements according to § 6, para. 3. The examination is not graded. The examination is evaluated by the doctoral commission by majority vote as passed or failed. The decision must be justified. In case of split vote, the chairperson shall decide. The examination may be repeated once within 12 months. Final decisions are made by the Faculty Council.

IV. Doctoral Procedure

§9

Admission requirements for the doctoral examination procedure

Admission to the doctoral examination procedure is possible for a candidate, who

1. has been accepted as a doctoral candidate and has been entered in the list of doctoral candidates;
2. has completed the additional studies and examinations required by the doctoral committee in accordance with § 6, para. 3, if applicable;
3. has passed the intermediate examination according to § 8;
4. has submitted a scientific thesis according to § 11, the preparation of which has been supervised by a professor of the Faculty of Physics and Geosciences, a habilitated research associate of the Faculty of Physics and Geosciences in agreement with the responsible professor, or an honorary professor of the University of Leipzig appointed on the recommendation of this faculty, and for the assessment of which a professor of the Faculty of Physics and Geosciences, a habilitated research associate of the Faculty of Physics and Earth Sciences in agreement with the responsible university lecturer or an honorary professor of the University of Leipzig appointed on the recommendation of this faculty, who can provide evidence of at least habilitation-adequate performance;
5. has not previously definitively failed a similar doctoral procedure;

6. has submitted a proper application with all the necessary documents in accordance with § 10, considering § 2.

§10

Application for the implementation of a doctoral procedure

- (1) The doctoral candidate's written application for the implementation of a doctoral procedure is to be addressed to the Dean of the Faculty, stating the doctoral degree intended and the field of doctoral study. The application shall be accompanied by the following documents:
 1. four bound and one electronic copy of the dissertation (according to § 11 para. 2) as well as five printed and one electronic copy of the abstract (according to § 11 para. 4); the electronic copies are to be submitted in PDF/A format; if more than two reviewers are appointed in the course of the doctoral procedure, the number of copies is to be increased accordingly;
 2. a curriculum vitae in tabular form with a description of the scientific career as well as the educational background, stating academic and state examinations;
 3. a declaration of acceptance of these doctoral regulations;
 4. proposals for the reviewers (optional).
- (2) Together with the application for the opening of a doctoral procedure, the candidate shall, in a written statement
 1. affirm that the present thesis has been prepared without unauthorized assistance and without the use of aids other than those indicated, and that the ideas taken directly or indirectly from outside sources have been identified as such in the thesis;
 2. name the persons from whom he/she has received assistance in the selection and evaluation of the material and in the production of the manuscript;
 3. affirm that - apart from the persons named in section 2 - no other persons were involved in the intellectual production of the present thesis, in particular that the assistance of a doctoral advisor was not utilized and that no other persons received monetary benefits, either directly or indirectly, from the applicant or on his behalf for work related to the content of the submitted thesis;
 4. affirm that the submitted thesis or parts thereof have not been submitted in the same or a similar form to any other examination authority for the purpose of a doctorate or any other examination procedure, either in Germany or abroad;
 5. state whether - and if so, where, when and with what subject and with what decision - previous unsuccessful attempts at a doctorate have been made.
- (3) All documents mentioned in paragraphs 1 and 2 must be submitted in writing and in a form authorized by the applicant.
- (4) The date of submission and the start of processing of the application shall be the date on which the required documents are received in full in the Dean's Office.
- (5) An application may be withdrawn as long as the doctoral procedure has not been opened in accordance with § 12; in this case, the application shall be deemed not to have been submitted.

- (6) A doctoral procedure may be discontinued if difficulties arise in the course of the appointment of reviewers, the elimination of which is to be regarded as unreasonable. Such a procedure shall not be counted as a doctoral attempt. The decision on discontinuation shall be justified in writing.

§11

Dissertation

- (1) The dissertation as an individual achievement shall demonstrate the candidate's ability to independently achieve scientific results that represent a contribution to the development of the field of science and the theories and/or methods contained therein.
- (2) The dissertation is to be submitted as a monographic single paper or as a cumulative dissertation paper. In addition to the technical part and the table of contents and bibliography, it shall contain the following in bound form

- a title page (see Appendix 1),
- dissertation-related bibliographic data (see Appendix 3).

A cumulative dissertation consists of peer-reviewed, published scientific papers or scientific papers accepted for publication after peer review, an accompanying text introducing the subject and placing the publications in a thematic context.

The doctoral candidate submits the application for a cumulative doctorate in consultation with the doctoral commission. The examination of whether a cumulatively written text is formally suitable shall take place within the framework of the opening of the doctoral examination procedure.

- (3) The following rules must be considered for the subject-related components of the dissertation:
- All components of the dissertation must be treated in accordance with the principles of the Statutes for Ensuring Good Scientific Practice of the University of Leipzig.
 - For cumulative dissertations, publications used therein which have other authors in addition to the candidate must be identified as such and the own contribution must be shown in a separate appendix.
 - If the candidate's own scientific publications are included in monographic single-authored dissertations, these must be indicated and an electronic copy must be submitted with the submission. In the case of publications with several authors, the own share is to be shown.
- (4) An abstract is to be submitted with the dissertation thesis (see Appendix 4 for headers), which is also part of the thesis in identical or extended form. On a maximum of two pages there should be:
- an introduction to the researched topic,
 - the motivation and formulation of the scientific objective,
 - and a thesis-like listing of the most important results.

The abstract must further contain (without counting for the number of pages):

- a complete list of the author's writings with a keyword-like designation of the author's own contribution,
 - a list of the collaborations and external contributions included in the dissertation, and
 - an indication of the supervisor and the places/institutions where the parts of the work were carried out.
- (5) The dissertation and the abstract must be written in German or English language.

§12

Opening of the procedure

- (1) The doctoral commission shall open the doctoral examination procedure if, after examination of the doctoral application by the doctoral committee, it is established that the requirements for admission have been met and the doctoral commission has determined the reviewers (in accordance with § 13).
- (2) As a rule, the opening shall take place within one month after the submission of the application according to § 10 and shall be communicated to the Faculty Council.
- (3) The decisions on opening or not opening the procedure and the selection of reviewers should be communicated to the candidate within one week after the decision has been made by the chairperson of the doctoral commission.
- (4) If a doctoral procedure is not opened, the candidate's application as well as one copy each of the dissertation and the abstract shall remain in the Dean's Office. All other submitted documents will be returned to the applicant.

§13

Reviewers

- (1) A dissertation shall be evaluated by two reviewers, unless these regulations provide for the appointment of further reviewers. Reviewers shall be appointed by the doctoral commission. The doctoral commission is not bound by the candidate's proposals. One reviewer must be a professor at a university appointed according to SächsHSFG § 60 or § 62. Other reviewers may be professors at universities of applied sciences or junior professors, or they must provide evidence of at least habilitation-adequate performance.
- (2) In cooperative procedures with a university of applied sciences, at least one professor of the university of applied sciences concerned must be appointed as reviewer.
- (3) The chairperson of the doctoral commission may not, and members of the doctoral commission who do not act as supervisors should not, as a rule, act as reviewers. In cumulative procedures, reviewers who are not the supervisor may not have published with the candidate on components of the dissertation.

§14

Reviews

- (1) Expert opinions are obtained by the chairperson of the doctoral commission on behalf of the Dean. They serve the decision-making of the doctoral commission.
- (2) The reviews shall determine whether the dissertation meets the requirements for the award of the doctoral degree. The reviews shall recommend acceptance, non-acceptance, or supplementation or revision, and shall grade the thesis. The grade "non sufficit" is equivalent to recommendation of non-acceptance. The recommendation for acceptance may not be made dependent on the fulfilment of conditions. In the case of a recommendation for acceptance, the dissertation shall be graded in accordance with § 17, para. 1.
- (3) Reviews should be received within one month of request. It must be ensured that this deadline can be met by the reviewers.

§15

Acceptance of the dissertation

- (1) In the period between the opening of the procedure and the acceptance of the dissertation, every professor and postdoctoral fellow of the faculty has the opportunity to inspect the dissertation and the summary in the Dean's Office or at another designated place and to submit a written statement. After receipt of all reviews, the members of the doctoral panels, the candidate and the reviewers have the right to inspect the reviews.
- (2) The doctoral commission shall decide on the acceptance of the dissertation, considering the written statements according to paragraph 1, if it is recommended by all reviewers without any doubt.
- (3) If, in the case of exactly two reviews obtained, the two grades differ by at least 2.0 grade values, the doctoral commission may obtain further reviews. In this case, §§ 12 to 14 shall apply. The candidate shall be informed of this.
- (4) If one or more reviews recommend non-acceptance, if the thesis is not accepted by the doctoral commission, or if doubts arise as to whether the thesis meets the requirements for the award of the doctoral degree, the Faculty Council shall decide on the proposal of the doctoral commission on acceptance or non-acceptance or on obtaining further reviews. In the case of obtaining further reviewers, the procedure is to be in accordance with §§ 12 to 14. The candidate shall be informed of this.
- (5) Conditions for the elimination of formal deficiencies in the dissertation may be imposed by the responsible doctoral commission upon acceptance of the dissertation. The doctoral commission may grant the candidate the option of incorporating recommendations explicitly mentioned by the reviewers into the final version. The fulfilment of the requirements according to sentence 1 or the voluntary incorporation of the proposed changes according to sentence 2 must take place within two months after notification to the candidate and must be confirmed in writing by the chair of the doctoral commission. Until the revised version is submitted, the procedure is suspended.
- (6) In case of failure to comply with the requirements of paragraph 5, sentence 1, the doctoral procedure shall be terminated without success.

- (7) The decision pursuant to paragraphs 2 and 4 shall be communicated to the candidate in writing within two weeks by the chairperson of the doctoral commission. At the same time, information shall be provided on the possibility of inspecting the reviews.
- (8) A dissertation that has not been accepted at the University of Leipzig may be resubmitted once - at the earliest after six months, but at the latest one year after the decision on non-acceptance - in a substantially revised version, observing all formalities required by these regulations. The reviews may be inspected for the revision. Qualifying examinations successfully taken in the first stage of the procedure are recognized. The Faculty Council may appoint the same doctoral commission as in the first stage of the procedure.
- (9) If the resubmission has not been made after a period of one year, the procedure shall be deemed to have been terminated without success.

§16

Disputation

- (1) The disputation (defence) is intended to demonstrate the doctoral candidate's ability to orally present, discuss and more broadly classify the scientific problem and the results achieved. The disputation is to be held in public and consists of a lecture of 30 to 45 minutes duration and a subsequent discussion of the doctoral candidate with the doctoral commission and those present concerning the topic of the dissertation of up to 45 minutes duration. The active participation of the university public in the disputation is expressly desired.
- (2) The disputation shall be held in German or English. It must be held no later than three months after the acceptance of the dissertation.
- (3) The date of the disputation is to be agreed upon by the chairperson of the doctoral commission with the members of the doctoral commission and the candidate after the acceptance of the dissertation and to be communicated to the Dean.
- (4) The disputation shall be announced by the chairperson of the doctoral commission two weeks before the date in the faculty and in other subject-related institutions of the university and outside of it; in addition, other subject representatives shall be invited.
- (5) The disputation may take place on the fixed date if
 - the candidate does not claim any temporary impairment of his/her mental or physical condition, and
 - the majority of the members of the doctoral commission and at least one reviewer are present.
- (6) The chairperson of the doctoral commission or a member of the doctoral commission appointed by him shall chair the disputation. It is to be noted that
 - the composition of the doctoral commission is announced,
 - the candidate is introduced,
 - a summary of the reviews is given, and
 - inappropriate questions are rejected.

- (7) To pass the disputation, both partial performances, lecture and discussion, must be passed. A failed disputation may be repeated at the candidate's request within one year, but at the earliest after two months. Immediately after the disputation, the doctoral commission decides in closed session on the passing of the disputation and the grading according to § 17. The reviewers present may participate in these decisions in an advisory capacity. Furthermore, the doctoral commission proposes an overall evaluation in the doctoral procedure. Both decisions are then publicly announced orally with the candidate's consent, subject to confirmation by the Faculty Council.
- (8) In case of a failed disputation, the doctoral procedure is terminated without success if
- the request for repetition has not been received in writing by the Dean within two weeks after the failed disputation,
 - the repetition of the disputation is not carried out in due time through the fault of the candidate, or
 - the repeated disputation is not passed.

§17

Evaluation

- (1) In the doctoral examination procedure, the individual performances reviews, presentation and discussion are each to be evaluated with the following individual grades:

summa cum laude	outstanding	1.0
magna cum laude	very good	1.3
cum laude	good	1.7; 2.0; 2.3
rite	sufficient	2.7; 3.0; 3.3
non sufficit	insufficient	5.0

The individual grades for presentation and discussion will be arithmetically averaged without rounding to produce an overall grade for the disputation as follows:

Overall grade Disputation = $\frac{1}{2} \times (\text{grade presentation} + \text{grade discussion})$.

The individual grades of the prepared expert reports are arithmetically averaged without rounding to an overall grade for the expert reports as follows:

Overall grade for reviews = $(\text{sum of the grades of the reviews}) / (\text{number of reviews})$.

If, in case of more than two reviews, one deviates at least 2.0 grade values in its evaluation from the others, the Faculty Council may decide not to include it in the overall grade.

- (2) The overall grade of the doctoral performance is calculated from the weighted arithmetic mean of the overall grade of the reviews (with the weight 2/3) and the overall grade of the disputation (with the weight 1/3) without rounding as follows:

Overall grade = $(\frac{2}{3} \times \text{overall grade of reviews}) + (\frac{1}{3} \times \text{overall grade of disputation})$.

The overall grade results from the total grade as follows:

magna cum laude	– very good performance:	1.0	≤	overall grade	≤	1.5
cum laude	– good performance:	1.5	<	overall grade	≤	2.5
rite	– sufficient performance:	2.5	<	overall grade	≤	3.3

If the overall grade is better than 1.10 (overall grade < 1.10), the Faculty Council may award the overall grade "summa cum laude". If a reviewer has evaluated the dissertation as "non sufficit", the overall grade can normally not be better than "rite".

- (3) If a doctoral procedure is successfully completed with a resubmitted dissertation in accordance with § 15, para. 8, the overall grade "rite" shall normally be awarded, irrespective of all other partial grades.

V. Conferral, Publication

§18

Conferral

- (1) The doctoral degree shall be conferred by resolution of the Faculty Council; this resolution shall normally be passed at the first meeting of the Faculty Council after the disputation. The decision to confer the degree shall be communicated to the candidate in writing.
- (2) Suspension of the conferral for the fulfillment of conditions or conferral subject to the imposition of conditions is not permissible.
- (3) The doctoral certificate (see Appendix 5) is handed over when publication has been confirmed by the University Library in accordance with § 19.
- (4) The right to use the doctoral title begins with the presentation of the doctoral certificate.
- (5) Upon successful completion of a cross-border doctoral programme, the doctoral candidate shall receive a bilingual doctoral certificate bearing the seals and signatures of both universities involved. The certificate shall refer to the joint procedure and shall state that the title may be used only in either the German or the foreign version.

§19

Publication

- (1) Part of the doctoral procedure is the publication of the dissertation (revised, if necessary, according to § 15, para. 5). The publication shall take place either online or in print. It shall contain a title page in accordance with Appendix 2.
- (2) The publication of the dissertation can be done by a pure online publication on the document server of the Leipzig University Library, whereby the University Library includes it in its catalog and ensures permanent accessibility of the dissertations published online.
- (3) Alternatively, publication of the dissertation may be affected by the free submission of four copies of the dissertation printed on wood-free and acid-free paper to the University Library, which will include them in its catalog and ensure permanent storage.
- (4) The deadline for publishing the dissertation in one of the two forms mentioned in paragraph 2 or 3 is six months. In the case of an intended publication by a publisher, this period may be extended twice by the doctoral committee by a maximum of one year each time.

- (5) If the publication does not take place in due time, the doctoral procedure expires without completion of the doctoral degree.
- (6) Publication of the dissertation online or in print via Leipzig University Library does not preclude further publication of the dissertation or parts thereof.

§20

Non-completion of the doctorate, withdrawal of the doctoral degree

- (1) Doctoral achievements may be declared invalid and the doctorate may not be completed or the doctoral degree may be withdrawn if it becomes known that
 - doctoral performance was obtained by deception, or
 - facts become known after the conferral of the doctoral degree which would have precluded its conferral.
- (2) The person concerned shall be given the opportunity to comment before a decision is taken on non-execution or withdrawal.
- (3) The Faculty Council shall decide on non-execution or withdrawal.

VI. Honours

§21

Honorary Doctorate

- (1) The Faculty of Physics and Earth Sciences shall have the right to confer an honorary doctorate (doctor honoris causa; Dr. h. c.) for special services to the scientific fields represented by it.
- (2) An application for the award of an honorary doctorate must be submitted and justified by at least three professors of the Faculty. The Faculty Council shall decide on the conferral by secret ballot; the decision shall be reported to the Senate.
- (3) The conferral of an honorary doctorate shall be affected by the presentation of a certificate signed by the Rector and the Dean in a dignified form appropriate to the occasion. The certificate shall state the reason for the conferral and the merits in brief. The award shall be made by the Rector; he may delegate this task to the Dean.

§22

Doctoral Anniversary

- (1) On the 50th anniversary of the award of the doctoral degree, the Faculty of Physics and Earth Sciences may honor the doctorate by awarding an honorary certificate if this seems appropriate in view of the special scientific merits or the particularly close connection of the person to be honored with the Faculty or the University of Leipzig as a whole. The choice of the occasion and the form of the honor is the responsibility of the Faculty. The

decision on this is made by the Faculty Council with a majority of the votes of those present.

VII Final Provisions

§23

Doctoral Record

- (1) The summarized doctoral documents form the doctoral record. It shall be kept by the doctoral panels during the procedure.
- (2) Minutes of all deliberations and decisions in a doctoral examination procedure shall be prepared by the doctoral examination boards involved and, after being signed by the chairperson, shall be attached to the doctoral record.
- (3) After completion of the procedure, the doctoral candidate shall be granted access to the doctoral record upon request. The application shall be submitted to the chairperson of the doctoral commission within one year of the disputation or of the decision to terminate the procedure prematurely.

§24

Transitional regulations

- (1) For doctoral candidates who were entered in the doctoral list in accordance with the previously applicable regulations, the following shall apply: doctoral procedures for which an application for completion was submitted no more than one year after the entry into force of these doctoral regulations may be completed in accordance with the previously applicable regulations.
- (2) For applicants whose doctoral procedures were already applied for before these regulations came into force, the procedure shall be completed in accordance with the previously applicable regulations.

§25

Entry into force

- (1) These doctoral regulations were adopted by the Faculty Council of the Faculty of Physics and Geosciences on July 4, 2016. They were approved by the Rectorate on August 3, 2016. The doctoral regulations come into force on the day after their announcement in the Official Announcements ('Amtliche Bekanntmachungen') of the University of Leipzig.
- (2) The discontinuation of the oral examination in the defense (§ 14 of the doctoral regulations of March 23, 2010) already comes into force on January 1, 2016. As of this date, the doctoral candidate has the choice of whether or not an oral examination is held in all doctoral procedures for which the doctoral regulations of 23 March 2010 are applied for. The omission of the oral examination in the defense, if desired by the doctoral

candidate, must be requested in writing in the application for the implementation of the doctoral procedure (§ 7 of the previous regulations).

- (3) At the same time, the doctoral regulations of the Faculty of Physics and Geosciences of March 23, 2010, lose their validity.
- (4) All doctoral procedures whose implementation is requested more than one year after the entry into force of these regulations (see § 10) are subject to the above regulations without exception.

Leipzig, August 24, 2016

Professor Dr. Jürgen Haase
Dean of the Faculty of Physics and Earth Sciences

Professor Dr. med. Beate Schücking
Rector

Attachment 1

Cover page for the thesis submission

.....
.....
.....

(title)

Der Fakultät für Physik und Geowissenschaften
der Universität Leipzig
eingereichte

DISSERTATION

Zur Erlangung des akademischen Grades

.....

(academic degree)

.....

(short form)

submitted

by

(academic degree, first name surname)

born on in

Leipzig, den

(submission date)

Attachment 2

Cover page for the thesis publication

.....
.....
.....

(title)

Der Fakultät für Physik und Geowissenschaften
der Universität Leipzig
genehmigte

DISSERTATION

Zur Erlangung des akademischen Grades

.....

(academic degree)

.....

(short form)

submitted

by

(academic degree, first name surname)

born on in

Gutachter:

.....

.....

Tag der Verleihung

(conferral date)

Attachment 3

Bibliographische Beschreibung:

Name, First Name

Title of Thesis

University of Leipzig, Dissertation

..... S.*, Lit.*, Fig., Appendices (etc.)

Referat (abstract):

Short description of the content of the thesis (in German as well as in English).

(Length of bibliographic description and abstract: maximum one page).

* S. (total number of pages)

..... Lit. (number of references listed in the bibliography)

Appendix 4

Title page of the abstract

Zusammenfassung der Dissertation

Title

der Fakultät für Physik und Geowissenschaften der Universität Leipzig
eingereicht von

akad.degree / first name / surname / name at birth

angefertigt an

Institute / Department

Month and year (of submission)

Zusammenfassung

Attachment 5

Sample of the certificate

Universität Leipzig

(seal of tradition)

Unter dem Rektorat des Professors/der Professorin für

(name)

und dem Dekanat des Professors/der Professorin für

(name)

verleiht die Fakultät für Physik und Geowissenschaften

Herrn/Frau

geboren am in

den akademischen Grad

.....

(Dr.)

[falls zutreffend: für das Fachgebiet

nachdem in einem ordentlichen Promotionsverfahren
und der Dissertation über das Thema

.....

.....

seine/ihre wissenschaftliche Befähigung nachgewiesen wurde.

Für die Gesamtleistung wird das Prädikat

.....

erteilt.

Leipzig, den (embossing seal)

Der Rektor

Der Dekan

(Translated with www.DeepL.com/Translator)