

Official Announcement No. 42

Published at Karlsruhe on June 27, 2017

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

Please note that this English translation is a service provided by KIT for your information only. The German version exclusively shall have legally binding character.

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

dated June 26, 2017

Pursuant to Art. 10, par. 2, No. 5 and Art. 20, par. 2, clause 1 of the Act on Karlsruhe Institute of Technology (KIT Act – KITG) of July 14, 2009 (Bulletin, pp. 317), last amended by Art. 4 of the Act on the Amendment of the Act on Fees in Higher Education of the State of Baden-Württemberg and other Acts (Gesetz zur Änderung des Landeshochschulgebührengesetzes und anderer Gesetze) of May 09, 2017 (Bulletin, pp. 245, 250) and Art. 38, par. 4 of the Act of Baden-Württemberg on Universities and Colleges (Landeshochschulgesetz – LHG), as amended on January 01, 2005 (Bulletin, pp. 1), last amended by Art. 3 of the Act on the Amendment of the Act on Fees in Higher Education of the State of Baden-Württemberg and other Acts of May 09, 2017 (Bulletin, pp. 245, 250), the Senate of Karlsruhe Institute of Technology (KIT) adopted the following statutes on June 19, 2017.

The President expressed his approval according to Art. 20, par. 2, clause 1 KITG in conjunction with Art. 38, par. 4, clause 1 LHG on June 26, 2017.

CONTENTS

Section 1: General Provisions

Article 1 Doctoral Degree

Article 2 Doctoral Admissions Committee

Article 3 Persons Authorized to Participate in Doctoral Procedures

Article 4 Requirements for Admission to the Doctorate

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

Article 6 Doctorate in Cooperation with a University of Applied Sciences

Article 7 Participation of External Doctoral Candidates

Article 8 Ombudspersons

Article 9 Inspection of Records

Section 2: Doctoral Procedure

Article 10 Doctoral Agreement

Article 11 Acceptance as Doctoral Candidate

Article 12 Doctoral Thesis

Article 13 Application for Admission to the Doctorate [te](#)

Article 14 Start of the Doctoral Procedure

Article 15 Doctoral Examination Committee

Article 16 Acceptance and Assessment or Rejection of the Doctoral Thesis

Article 17 Oral Examination

Article 18 Repetition of the Oral Examination

Article 19 Withdrawal from the Oral Examination

Article 20 Overall Grade for the Doctorate

Article 21 Publication of the Doctoral Thesis and Submission of the Deposit Copies

Article 22 Award of the Doctorate and Doctoral Degree Certificate

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

Section 3: Honors

Article 24 Honorary Doctorate

Article 25 Doctoral Jubilee

Section 4: Concluding Provisions

Article 26 Entry into Force, Transition Regulation

Section 1: General Provisions

Article 1 Doctoral Degree

- (1) The KIT Department of Chemistry and Biosciences of Karlsruhe Institute of Technology (KIT) (hereinafter referred to as KIT Department) awards the academic degree of a Doktor/Doktorin der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences) in a regular doctoral procedure.
- (2) The KIT Department can award the honorary degree of Doktor/Doktorin der Naturwissenschaften ehrenhalber (Dr. rer. nat. h.c., Honorary Doctor of Natural Sciences) (Art. 24).
- (3) The KIT Department can renew a doctoral degree certificate awarded by it after 25 and 50 years (Art. 25).

Article 2 Doctoral Admissions Committee

- (1) The Doctoral Admissions Committee consists of five members appointed by the KIT Dean. Members may be professors according to Art. 44, par.1, cl. 1, No. 1 LHG, executive scientists according to Art. 14, par. 3 KITG, *apl. Professors, Privatdozenten/Privatdozentinnen*, as well as professors who have been released from their duties and retired professors of the KIT Department. The Doctoral Admissions Committee is chaired by the KIT Dean or a Vice Dean appointed by the former. The term of office is two years. Reappointment is permitted.
- (2) In the case of meetings of the Doctoral Admissions Committee in connection with research misconduct, an Ombudsperson with an advisory vote is to be consulted according to the "Statutes for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)".

Article 3 Persons Authorized to Participate in Doctoral Procedures

- (1) Professors according to Art. 44, par. 1, clause 1, No. 1 LHG, executive scientists according to Art. 14, par. 3 KITG, *apl. Professors*, and *Privatdozenten/Privatdozentinnen* are authorized in principle to participate in doctoral procedures. They may also be employed by a university outside of the State of Baden-Württemberg or by a state-owned or state-recognized equivalent university abroad. Honorary professors of KIT according to Art. 55 LHG may also participate in doctoral procedures.
- (2) Moreover, (early-stage) researchers of Karlsruhe Institute of Technology (KIT) who were granted the status of a "KIT Associate Fellow" may be permitted to participate in doctoral procedures. The proceeding and the rights and obligations of the "KIT Associate Fellow" shall be subject to the "Verfahrensordnung des Karlsruher Instituts für Technologie (KIT)".

zur Errichtung des Status eines „KIT Associate Fellow“” (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow”). The restriction of Art. 7, par. 3 of the Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow” shall not be applicable.

- (3) Professors of Universities of Applied Sciences or Baden-Württemberg Cooperative State Universities may also be appointed supervisors according to Art. 10 or reviewers according to Art. 15, par. 3. Their appointment as supervisor shall result from a member of the KIT Department who is authorized to participate in doctoral procedures co-signing the doctoral agreement according to Art. 10, cl. 2.
- (4) The rights of participation of professors according to Art. 44, par. 1, clause 1, No. 1 LHG and of executive scientists according to Art. 14, par. 3 KITG shall not be affected by retirement. Other persons authorized to participate in doctoral procedures, who no longer work at KIT, may participate in a doctoral procedure for up to four semesters after their leave. This also applies to *Privatdozenten/Privatdozentinnen* who are no longer authorized to teach at KIT. Article 6, par. 8 of the “Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines “KIT Associate Fellow“” (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow”) shall remain unaffected.
- (5) If a person authorized by the KIT Department to participate in doctoral procedures has concluded a doctoral agreement according to Art. 10 and his/her membership with the KIT Department ends afterwards, he/she shall continue to be a person authorized by the KIT Department to participate in doctoral procedures according to the present Regulations until the doctoral procedure for which the doctoral agreement has been concluded is completed, but not for a period longer than five years.

Article 4 Requirements for Admission to the Doctorate

- (1) Unless otherwise specified below, admission to the doctorate requires successful completion
 - 1. of a master’s program
 - 2. or of a degree program with a standard study period of at least four academic years at a university or university of education or art academy,
 - 3. or of a degree program based on an undergraduate program at a university, university of education, or another university that has the right to award doctorates in biology or chemistry.
- (2) On the justified request in writing by the candidate, the Doctoral Admissions Committee may recognize successful completion of studies in a subject other than those listed in par. 1 for admission to the doctorate, provided that all remaining requirements outlined

in par. 1 are fulfilled. In these cases, the Doctoral Admissions Committee shall assess equivalence of the documented study and examination achievements to the requirements of par. 1 and, if necessary, define supplementary requirements as outlined in par. 4. The candidate shall prove to have the prior knowledge required for work on the doctoral thesis. The request for recognition and assessment of equivalence of the documented study and examination achievements shall be submitted in writing to the Doctoral Admissions Committee either together with the request for acceptance as a doctoral candidate according to Art. 11 or not later than twelve months prior to the request for admission to the doctoral procedure according to Art. 13.

- (3) A degree reached at a foreign state-owned or state-recognized college equivalent to a university, which meets the requirements outlined in par. 1 or 2, will be recognized as equivalent by the Doctoral Admissions Committee taking into account the valid recommendations made by the Central Office for Foreign Education regarding the equivalence of degrees. In cases of doubt, the Central Office for Foreign Education shall be consulted. The Doctoral Admissions Committee may define supplementary requirements as outlined in par. 4.
- (4) For proof of the candidate's scientific qualification, admission to the doctorate in the cases of paragraphs 2 and 3 may be subject to supplementary requirements to be defined by the Doctoral Admissions Committee. These supplementary requirements that are to be in line with the requirements of the doctoral subject shall not exceed the amount of 60 credits. The requirements shall be fulfilled prior to admission to the doctoral procedure.
- (5) Highly qualified holders of bachelor's degrees or graduates of a state examination program other than those outlined in par. 1 may be admitted to the doctorate, if they have proved in an aptitude test procedure according to par. 6 that they are qualified to perform scientific work in the doctoral subject. The same applies to highly qualified diploma degree holders of Universities of Applied Sciences and Cooperative State Universities, who passed their final examinations in the subjects outlined in par. 1 with an excellent result. Admission must be refused, if the candidate has already failed to pass an aptitude test procedure for a doctorate or an equivalent test at a university or equivalent college.
- (6) To prove their scientific qualification, graduates according to par. 5 must submit a request in writing for an aptitude test procedure, if they aim for a doctorate. The candidate must successfully pass two examinations in two subjects of a master's program at the KIT Department, attend a seminar, and prepare a scientific paper. The contents of the examinations, seminar, and scientific paper shall be specified by the Doctoral Admissions Committee in agreement with the supervisor/s authorized to participate in doctoral procedures according to Art. 10. The scientific paper must be equivalent in scientific contents to a master's thesis in a degree program offered by the KIT

Department. A graduation thesis of a university, University of Applied Sciences, or Cooperative State University may be recognized as a scientific paper in agreement with the supervisor/s authorized to participate in doctoral procedures according to Art. 10, provided that it meets the requirements of clause 4. Examinations, the seminar, as well as the preparation and assessment of the scientific paper shall be subject to the studies and examination regulations of Karlsruhe Institute of Technology (KIT) for the relevant master's programs of the KIT Department. Successful proof of scientific qualification will not be certified separately. The aptitude test procedure shall be completed within four semesters. Upon written request, the Doctoral Admissions Committee may extend this period. If the procedure is not completed successfully within the period given, the candidate shall be deemed to have failed in proving that he/she is qualified to perform scientific work in the doctoral subject according to par. 5.

- (7) Upon written request by the candidate, the Doctoral Admissions Committee shall decide on recognitions in connection with paragraphs 1 to 6.
- (8) In justified exceptional cases and upon written request by the candidate, the Doctoral Admissions Committee may grant exemption from the requirements specified in paragraphs 1 to 6 and specify ancillary conditions.

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

- (1) A doctoral procedure may be supervised jointly with a department of a foreign university, the objective being to convey intercultural competencies to the doctoral candidate and enabling him/her to deal with different science systems and university cultures.
- (2) The doctoral candidate shall be accepted for the doctorate by both departments and supervised by a supervisor each. Joint supervision shall be agreed upon by the universities involved in an agreement signed by the Rectors or Presidents and the supervisors of the doctoral candidate at the cooperating universities. This agreement shall additionally require approval by the KIT Department Council. By way of derogation from the remaining provisions of the present Regulations, such an agreement may cover in particular:
 - 1. The composition of the Doctoral Examination Committee,
 - 2. the language in which the doctoral thesis is to be written and the oral examination is to be held,
 - 3. the grades for assessing the doctoral achievements, and
 - 4. the publication of the doctoral thesis.
- (3) The universities shall jointly award the doctorate. The doctoral degree may only be held alternatively in the German or in the foreign form. Both universities shall issue a separate

doctoral degree certificate. Both doctoral degree certificates shall indicate that the doctoral procedure was of binational character and that the doctoral degree certificate shall be valid together with the other certificate only.

Article 6 Doctorate in Cooperation with a University of Applied Sciences

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

Article 7 Participation of External Doctoral Candidates

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

Article 8 Ombudspersons

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

Article 9 Inspection of Records

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

Section 2: Doctoral Procedure

Article 10 Doctoral Agreement

The doctoral candidate and a person authorized to participate in doctoral procedures according to Art. 3 as supervisor shall conclude a doctoral agreement in writing, specifying the details outlined in Art. 38, par. 5, cl. 3 LHG at least. If the supervisor is not a member of the KIT

Department, the doctoral agreement must be additionally signed by another person authorized to participate in doctoral procedures, who is member of the KIT Department. The person authorized to participate in doctoral procedures according to cl. 2, second part, also is supervisor of the doctoral candidate in addition to the supervisor specified in cl. 1.

Article 11 Acceptance as Doctoral Candidate

- (1)** A candidate meeting the requirements for admission to the doctorate according to Art. 4 and aiming for a doctorate shall apply in writing to the the Doctoral Admissions Committee for acceptance as doctoral candidate.
- (2)** The following documents shall be attached to this application:
 1. Proof/proofs according to Art. 4,
 2. description of the candidate's professional and scientific career,
 3. information on the intended area of work or topic of the doctoral thesis,
 4. a declaration in writing according to Annex 5a of the present Regulations,
 5. a copy of the doctoral agreement as outlined in Art. 10,
 6. proof of registration as a doctoral candidate with the Karlsruhe House of Young Scientists (KHYS), and
 7. the doctoral degree certificate, if the doctoral candidate has already been conferred a doctoral degree.
- (3)** If the requirements for admission to the doctorate outlined in par. 4 are met, the proofs outlined in par. 2 have been presented, and there is no reason to refuse acceptance according to par. 4, the Doctoral Admissions Committee declares acceptance of the doctoral candidate. As a rule, the Doctoral Admissions Committee shall decide on acceptance of the doctoral candidate within a period of four weeks upon receipt of the application. With the acceptance of the doctoral candidate, the KIT Department is obliged to scientifically supervise the doctoral candidate. Acceptance of the doctoral candidate shall be notified in writing to the latter together with information on the rights to appeal.
- (4)** The Doctoral Admissions Committee shall refuse acceptance of the doctoral candidate, if
 1. the topic chosen for the doctoral thesis belongs to a subject area that is not represented at the KIT Department or
 2. a reason for refusal exists according to Art. 14, par. 2.

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

- (5) Acceptance as a doctoral candidate may be subject to supplementary requirements specified by the Doctoral Admissions Committee, if certain prerequisites for admission to the doctorate according to Art. 4 still remain to be fulfilled. The Doctoral Admissions Committee shall confirm compliance with these supplementary requirements and the doctoral candidate shall be notified in writing. If the supplementary requirements are not met or not met in due time, acceptance of the doctoral candidate may be revoked by the Doctoral Admissions Committee; par. 4, clauses 2 through 4 apply.
- (6) The doctoral candidate is accepted for four years, with this acceptance expiring at the end of the semester following these four years. The status of doctoral candidate ends when no request for admission to the doctoral procedure according to Art. 13 is made within this period. As a result, the obligation specified in par. 3, clause 3 will expire. The status of doctoral candidate may be extended by another year by the Doctoral Admissions Committee on written request by the doctoral candidate.
- (7) In case a sole supervisor can no longer fulfill his/her task for an important reason, the Doctoral Admissions Committee shall hear the doctoral candidate and, if possible, appoint as a supervisor another competent person authorized by the KIT Department to participate in doctoral procedures according to Art. 3.

Article 12 Doctoral Thesis

- (1) The doctoral thesis shall deal with a scientific topic related to the areas of work of the KIT Department. It shall provide evidence of the doctoral candidate's qualification to carry out independent scientific work. The doctoral thesis shall advance scientific knowledge and present the topic in a comprehensive and consistent way. The doctoral thesis shall begin with a title page in the form specified in Annex 1a of these Regulations. For monographic dissertations, prior publications of the doctoral candidate may be used.
- (2) The doctoral thesis may be based on prior publications or work submitted for publication, if it is structured like a monographic doctoral thesis and corresponds to the requirements outlined in par. 1. Prior publications or work submitted for publication must be related coherently in terms of their topic and may be incorporated in the doctoral thesis, provided that the doctoral candidate is the sole author or has independently developed a major contribution as a co-author. Prior publications or work submitted for publication must be put into context. A mere stringing together of prior publications or work submitted for publication shall not be sufficient. It must be clearly visible which parts of the doctoral thesis have already been pre-published or submitted for publication. If the doctoral candidate is co-author according to clause 2, part 2, independent development of a major part must be assured in No. 7 of Annex 5b of the present Regulations and the

independently developed contribution to the prior publication or to work submitted for publication must be outlined in detail.

- (3) The doctoral thesis must be written in German or, in agreement with the supervisor/s, in English. When writing the doctoral thesis in English, it must be preceded by an abstract in German that is not longer than one page.
- (4) Only work that has never been used completely or partly for a graduation before will be accepted as a doctoral thesis. The Doctoral Admissions Committee shall decide on justified exceptions on the doctoral candidate's request in writing.

Article 13 Application for Admission to the Doctorate

- (1) Whoever fulfills the requirements for admission to the doctorate according to Art. 4 may apply for admission to the doctoral procedure. The application shall be submitted in writing to the Chairperson of the Doctoral Admissions Committee. Prior acceptance as a doctoral candidate is not required.
- (2) The application for admission to the doctoral procedure must contain the title of the doctoral thesis and the postal address of the doctoral candidate. The following documents must be enclosed with the application:
 - 1. Certificates and documents according to Art. 11, par. 2, Nos. 1, 2, and 7,
 - 2. three bound copies of the doctoral thesis and an electronic version of the doctoral thesis each,
 - 3. an affirmation in lieu of oath according to Annex 3 of the present Regulations,
 - 4. an applicant's signed copy of the instructions provided by KIT on the meaning and penal consequences of an affirmation in lieu of oath in accordance with Annex 4 of the present Regulations,
 - 5. a declaration in writing according to Annex 5b of the present Regulations stating in particular that the "Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)" (Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)) have been observed,
 - 6. a list of all scientific publications of the applicant,
 - 7. proposals of reviewers according to Art. 15, par. 3, and
 - 8. a declaration as to whether the Department's public according to Art. 17, par. 9, cl. 1 and other persons according to Art. 17, par. 9, cl. 2 may be admitted as audience to the oral examination.
- (3) As long as no review on the doctoral thesis has been presented, the doctoral candidate can withdraw the application for admission to the doctoral procedure. In this case, the application shall be deemed as not having been submitted.

- (4) A doctoral candidate who failed in a previous doctoral procedure may apply only once again for admission to the doctoral procedure and do so not earlier than one year upon announcement of this failure in the previous doctoral procedure. Resubmission of a previously rejected doctoral thesis shall not be allowed, if the resubmitted version is identical to the previously submitted version. It is permitted to submit a revised version of the previously rejected doctoral thesis.

Article 14 Start of the Doctoral Procedure

- (1) The Chairperson of the Doctoral Admissions Committee checks the documents submitted for admission to the doctoral procedure according to Art. 13, par. 2 and determines whether the subject of the doctoral thesis is covered by the scope of work of the KIT Department. If this is the case and if the documents submitted for admission are complete, the doctoral procedure is started, unless the Doctoral Admissions Committee determines finds that there is a reason for refusal according to par. 2. The start of the doctoral procedure is notified in writing to the doctoral candidate.
- (2) The Doctoral Admissions Committee decides to refuse the start of the doctoral procedure, if
1. the requirements for admission to the doctorate specified in Art. 4 are not met,
 2. no person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 declares to be scientifically responsible for the area covered by the doctoral thesis,
 3. the applicant has already made more than one unsuccessful attempt to achieve the doctorate,
 4. a doctoral degree was revoked for legal reasons,
 5. a reason exists for the revocation of the doctoral degree according to the legal provisions,
 6. the applicant is not worthy of a doctorate due to a major violation of the principles of good research practice,
 7. the applicant has already been conferred the doctoral degree in natural sciences (Dr. rer. nat.), or
 8. the applicant has or had a contractual relationship against payment, which covers commercial advising relating to the doctorate and may result in at least one component of the doctorate not being developed on his/her own.
- (3) In case of a rejection, Art. 11, par. 4, clauses 2 to 4 shall apply.

Article 15 Doctoral Examination Committee

- (1)** Upon the initiation of the doctoral procedure, the Chairperson of the Doctoral Admissions Committee shall appoint the Doctoral Examination Committee.
- (2)** The Doctoral Examination Committee consists of five members, also when a KIT Associate Fellow participates. The members are the Chairperson, the reviewers, and the other examiners. The Doctoral Examination Committee shall be chaired by the Chairperson of the Doctoral Admissions Committee or a person authorized by the KIT Department to participate in doctoral procedures according to Art. 3, who is designated by the Chairperson. A supervisor of the doctoral candidate may not be appointed Chairperson of the Doctoral Examination Committee.
- (3)** Two reviewers shall be appointed and asked to assess the doctoral thesis submitted.
- (4)** The reviewer and other examiner/s specified in par. 1, cl. 2 may be any person authorized to participate in doctoral procedures according to Art. 3, who is competent in the respective subject. At least one reviewer must be a member of the KIT Department authorized by the latter to participate in doctoral procedures. The Chairperson of the Doctoral Admissions Committee may appoint reviewers other than those proposed by the doctoral candidate according to Art. 13, par. 2, No. 7. The Chairperson of the Doctoral Examination Committee may not be appointed reviewer.
- (5)** If required by the doctoral thesis, one of the reviewers may belong to another Department of Karlsruhe Institute of Technology (KIT) or another state-owned or state-recognized university in Germany or abroad.
- (6)** At least two of the members of the Doctoral Examination Committee must not be co-authors of publications or work submitted for publication by the candidate, which relate to the contents of the doctoral thesis.
- (7)** The persons authorized to participate in doctoral procedures at KIT according to Art. 3 and appointed reviewers by the Doctoral Admissions Committee may refuse appointment for an important reason only.

Article 16 Acceptance and Assessment or Rejection of the Doctoral Thesis

- (1)** Each reviewer shall submit to the Doctoral Admissions Committee an independent and justified review on the doctoral thesis usually six weeks upon receipt of the doctoral thesis.
- (2)** Each reviewer shall assess the doctoral thesis with one of the following grades:

sehr gut	(very good)	(1.0)
gut/sehr gut	(good/very good)	(1.5)
gut	(good)	(2.0)
genügend/gut	(sufficient/good)	(2.5)

genügend	(sufficient)	(3.0)
nicht bestanden	(failed)	(4.0)

When assessing the doctoral thesis with “nicht bestanden” (failed, 4.0), the reviewer recommends rejection. Otherwise, the reviewer recommends acceptance of the doctoral thesis.

- (3) In the case of particularly outstanding achievements, the reviewer may propose in his/her review to award the overall rating “mit Auszeichnung” (with distinction) (summa cum laude), if a corresponding result is achieved in the oral examination. This proposal must be justified.
- (4) As soon as all reviews have been submitted, the Chairperson of the Doctoral Admissions Committee shall inform the persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3, par. 1 that the doctoral thesis and the reviews will be displayed for inspection at the Dean’s Office for a period of 14 days. Within this period, persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3, par. 1 may, in written form, object to the doctoral thesis and the grade proposed, with the reasons being indicated.
- (5) In case all reviewers have recommended acceptance of the doctoral thesis and no objection has been made according to par. 4, cl. 2, the Chairperson of the Doctoral Examination Committee shall declare acceptance of the doctoral thesis and determine the grade as the unrounded arithmetic mean of the grades of the reviewers. In case of an objection according to par. 4, cl. 2, the Doctoral Examination Committee shall decide whether the objection is to be considered in assessing the doctoral thesis. The Doctoral Examination Committee may decide to request another review before the decision will be made. If the objection is to be considered, the Doctoral Examination Committee shall decide on the acceptance or rejection of the doctoral thesis. In the case of a tie, the vote of the Chairperson of the Doctoral Examination Committee shall decide. If acceptance of the doctoral thesis is agreed upon, every member of the Doctoral Examination Committee shall propose a grade according to par. 2. From these proposals, the unrounded arithmetic mean is determined as the grade of the doctoral thesis.
- (6) In case the doctoral thesis is rejected by one, but not all reviewers, the Chairperson of the Doctoral Examination Committee shall appoint a person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 as another reviewer, who then will be another member of the Doctoral Examination Committee. In this case, the display period according to par. 4, cl. 1 shall begin upon receipt of the additional review only. If no objection is made according to par. 4, cl. 2, the Doctoral Examination Committee shall decide on the acceptance or rejection of the doctoral thesis. In the case of a tie, the vote of the Chairperson of the Doctoral Examination Committee shall decide. In case it is agreed on the acceptance of the doctoral thesis, par. 5, clauses 6 and 7 shall

apply. In case of an objection according to par. 4, cl. 2, par. 5, clauses 2 and 4 through 7 shall apply.

- (7) In case all reviewers recommend rejection of the doctoral thesis and no objection is made according to par. 4, cl. 2, the Doctoral Examination Committee shall decide on acceptance or rejection of the doctoral thesis. In the case of a tie, the vote of the Chairperson of the Doctoral Examination Committee shall decide. Par. 5, cl. 3 shall apply. In case the doctoral thesis is accepted, par. 5, clauses 5 to 7 shall apply. In case of an objection according to par. 4, cl. 2, par. 5, clauses 2 and 4 through 7 shall apply.
- (8) In case a reviewer found deficiencies in the doctoral thesis without rejecting it in general, he/she may request in his/her review the elimination of deficiencies as a prerequisite for the publication of the doctoral thesis. In this case, the Doctoral Examination Committee will make its decision on acceptance of the thesis subject to the corresponding requirements.
- (9) In case the doctoral thesis has been rejected, the candidate shall be informed by the Chairperson of the Doctoral Admissions Committee according to Art. 11, par. 4, clause 3. With this, the doctoral procedure is terminated unsuccessfully. A copy of the doctoral thesis, together with the reviews, shall be kept in the files.
- (10) A reviewer who has recommended rejection of the doctoral thesis may demand that he/she is not mentioned as reviewer in the publication of the thesis.

Article 17 Oral Examination

- (1) Once the doctoral thesis has been accepted, the Chairperson of the Doctoral Admissions Committee shall fix the date and place of the oral examination. The place and date of the oral examination and the members of the Doctoral Examination Committee according to Art. 15, par. 2 shall be notified to the doctoral candidate in writing. The time span between the receipt of this information and the date of the oral examination should not be less than 14 days. A shorter period may only be fixed in agreement with the doctoral candidate.
- (2) If a member of the Doctoral Examination Committee cannot participate in the oral examination, the Chairperson of the Doctoral Admissions Committee shall appoint a person authorized to participate in doctoral procedures according to Art. 3 as deputy, who will take part in the oral examination instead of the absent member. The doctoral candidate must be informed immediately, at the beginning of the oral examination at the latest, about the changed composition of the Doctoral Examination Committee. In cases of clause 1, the Chairperson of the Doctoral Admissions Committee may fix a date other than that specified in par. 1, cl. 1 for the oral examination. Par. 1, clauses 2 through 4 shall apply.

- (3) The oral examination shall take place as a colloquium of about one hour duration.
- (4) In addition to the members of the Doctoral Examination Committee, the Chairperson of the Doctoral Admissions Committee shall invite the following persons to the oral examination:
 - 1. The President,
 - 2. the KIT Deans of the other KIT Departments,
 - 3. the persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3, par. 1.
- (5) The colloquium shall start with a short presentation of about 20 minutes by the doctoral candidate about his/her doctoral thesis. The presentation is followed by a discussion of about 40 minutes with the members of the Doctoral Examination Committee, which will reveal whether the candidate knows the scientific areas covered by his/her doctoral thesis. The questions asked shall refer to the contents of the doctoral thesis. This discussion shall be directed by the Chairperson of the Doctoral Examination Committee.
- (6) The general course of the oral examination is recorded in the minutes by a member of the Doctoral Examination Committee.
- (7) Directly after the colloquium, the members of the Doctoral Examination Committee shall assess the oral examination of the doctoral candidate. Each member of the Doctoral Examination Committee shall independently award a grade according to Art. 16, par. 2.
- (8) The grade of the oral examination shall be the unrounded arithmetic mean of the individual grades according to par. 7, cl. 2. The oral examination shall be passed, if this grade is 3.0 or better.
- (9) In accordance with the seats available and if the doctoral candidate has agreed, members of the KIT Department, who have completed their university studies, can participate in the examination, but not in the following discussion and assessment of the oral examination and doctoral procedure. In justified cases, additional persons with completed university studies, who are no members of the KIT Department, may be permitted as an audience, if the candidate has agreed in his/her application for admission to the doctoral procedure. The Chairperson of the Doctoral Examination Committee shall decide on the admission of persons according to cl. 2. An audience as specified in clauses 1 and 2 may be excluded for an important reason ex officio or on the written request of the doctoral candidate.
- (10) In case the doctoral candidate does not participate in the oral examination at the fixed date without giving an important reason, the oral examination shall be deemed to have been failed.

Article 18 Repetition of the Oral Examination

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

Article 19 Withdrawal from the Oral Examination

- (1) In case the candidate is unable to take part in the oral examination due to illness or another important reason, the Doctoral Admissions Committee shall approve withdrawal from the oral examination on written request. This request shall be addressed without delay to the Doctoral Admissions Committee, with the reason of the withdrawal being indicated and the corresponding proofs being attached. In case of an illness, a medical certificate containing the medical information necessary to assess the inability to take part in the examination shall be added.
- (2) In case withdrawal from the oral examination is approved, a new date shall be fixed for the examination. Otherwise, the oral examination shall be deemed to have been failed; Art. 11, par. 4, clauses 3 and 4 shall apply.

Article 20 Overall Grade for the Doctorate

- (1) After the oral examination, the Doctoral Examination Committee shall determine the overall grade for a successful doctorate.
- (2) If the oral examination is passed, the overall grade shall be the unrounded arithmetic mean of the grade of the doctoral thesis according to Art. 16, par. 5, 6, or 7 and the grade of the oral examination according to Art. 17, par. 8, cl. 1, with the doctoral thesis having weight 2 and the oral examination having weight 1.
- (3) The overall grade for the successful doctorate may be
for a mean smaller than 1.5 “sehr gut” (very good, magna cum laude),

for a mean of 1.5 to smaller than 2.5	“gut” (good, cum laude),
for a mean of 2.5 and higher	“bestanden” (passed, rite).

- (4) In case of particularly outstanding results, the Doctoral Examination Committee may unanimously decide to award the overall rating “mit Auszeichnung bestanden” (passed with distinction; summa cum laude), if the doctoral thesis was given the grade 1.0 according to Art. 16, par. 5, 6, or 7 and the oral examination was graded 1.0 according to Art. 17, par. 8, cl. 1 and at least one of the reviewers proposed to do so according to Art. 16, par. 3.
- (5) The overall grade for the doctorate, the assessment of the doctoral thesis, and the grade for the oral examination shall be communicated to the doctoral candidate by the Chairperson of the Doctoral Examination Committee. Only two decimal places of a grade shall be considered; all further places shall be deleted without rounding.
- (6) The Chairperson of the Doctoral Admissions Committee shall issue to the doctoral candidate a notification in writing with information on the rights to appeal and contents outlined in par. 5; par. 5, clause 2 shall not apply.
- (7) The KIT Department shall issue a preliminary certificate of the successful completion of the doctorate with the overall grade, the assessment of the doctoral thesis, and the grade of the oral examination being indicated. Par. 5, cl. 2 shall apply.

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

Copies

- (1) Within one year after passing the oral examination, the doctoral thesis shall be published.
- (2) For this purpose, the doctoral candidate shall submit to the Chairperson of the Doctoral Admissions Committee the version of the doctoral thesis that is planned to be published. The Doctoral Admissions Committee shall approve publication, if the formal requirements outlined in Art. 12 or the following paragraphs and potential supplementary requirements according to Art. 16, par. 8, cl. 2 have been fulfilled. If these requirements are not fulfilled, the doctoral candidate is requested to remedy the deficiencies within an appropriate period of time that must not exceed two months (rectification requirement). In case the doctoral candidate does not or not completely fulfill the rectification requirement/s within the given period of time, the doctoral procedure shall be terminated without success; Art. 11, par. 4, clauses 3 and 4 shall apply. The submitted copy of the doctoral thesis or, if several copies were submitted, the submitted copies of the doctoral thesis shall remain in the files.
- (3) Following approval of the publication of the doctoral thesis by the Doctoral Admissions Committee as outlined in par. 2 and within the period specified in par. 1, the following

copies or files shall be handed over to the KIT Library depending on the type of publication:

1. A machine-readable file meeting the requirements specified by the KIT Library in case of publication in an electronic version with unrestricted access by public data networks via the repository of the KIT Library,
2. twelve printed and archivable copies in case of publication by photoprint. This also applies to doctoral theses published in a scientific series that is not published by a publishing house,
3. three printed copies in case of publication by a publishing house and availability in bookstores, if a minimum circulation of 150 copies and/or unrestricted access to the doctoral thesis on the Internet in electronic form is ensured, or
4. three copies in case of publication in a scientific journal.

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

- (4)** The versions submitted in accordance with par. 3, cl. 1, No. 1 or 2 must have a title page according to Annex 1b of these Regulations or contain bibliographic data on the doctoral thesis. The copies published according to par. 3, cl. 1, No. 3 or 4 must contain the notation that the publication represents a doctoral thesis approved by the KIT Department of Chemistry and Biosciences of Karlsruhe Institute of Technology (KIT) and must indicate the date of the oral examination. In case the Doctoral Admissions Committee approves a title other than that of the examination copy, this title shall be indicated in the doctoral thesis.
- (5)** In cases of par. 3, cl. 1, No. 1, the doctoral candidate shall transfer to Karlsruhe Institute of Technology (KIT) the permanent right to make the doctoral thesis available in data networks within the limits of the statutory tasks of the KIT Library. The KIT Library shall check the delivered version of the doctoral thesis for legibility and agreement with the requirements of the KIT Library according to par. 3, cl. 1, No. 1. Delivery of files that do not meet these requirements shall not be deemed a publication and delivery.
- (6)** In cases of par. 3, cl. 1, No. 2, the doctoral candidate shall transfer to Karlsruhe Institute of Technology (KIT) the permanent right to produce and disseminate further copies of the doctoral thesis.
- (7)** In justified individual cases of delivery according to par. 3, cl. 1, No. 1 and on written request by the doctoral candidate, the Chairperson of the Doctoral Admissions Committee may deem the obligations outlined in pars. 1 and 3 to be also fulfilled, if the doctoral thesis can only be made publicly accessible with a certain delay due to a non-disclosure notice resulting from patent application or due to a publication in a journal. In this case, the doctoral candidate must have fulfilled all delivery requirements, the time of latest publication must be indicated in the non-disclosure notice, and it must be possible

for the publication to be made by the KIT Library without any further interference by the doctoral candidate. Fulfilling of the above requirements will be certified in writing by the Chairperson of the Doctoral Admissions Committee. A non-disclosure notice may be applied for using the form given by the KIT Library for a period of up to two years, which may be extended twice by another year, but for not more than a total duration of four years after the signature date. The application for extension of the non-disclosure notice shall be made two weeks prior to its expiry at the latest. On the certificate according to par. 3, cl. 2, the KIT Library will indicate the existence and duration of the non-disclosure notice.

- (8) The doctoral candidate shall declare in writing to the KIT Library that the version submitted is identical in terms of contents with the version of the doctoral thesis approved by the Doctoral Admissions Committee according to par. 2. A copy of the Doctoral Admissions Committee's approval of publication of the doctoral thesis according to par. 2 shall be attached to this declaration.
- (9) In case the deadline specified in par. 1 is missed, any and all rights acquired in the doctoral procedure shall expire. Upon written request by the doctoral candidate, the Chairperson of the Doctoral Admissions Committee may extend the deadline specified in par. 1 up to a total duration of three years in justified cases. Further extension shall be excluded. The KIT Library shall be informed in writing about this decision.

Article 22 Award of the Doctorate and Doctoral Degree Certificate

- (1) The doctoral degree certificate shall be issued with the date of the oral examination, signed by the President and the KIT Dean, and provided with the seal of Karlsruhe Institute of Technology. Its layout corresponds to that in Annex 2 of the present Regulations.
- (2) In addition to the doctoral degree certificate, a doctoral degree report shall be issued. It contains the title of the doctoral thesis, the overall grade of the doctorate with the Latin translation given in brackets, and the positions held, academic degrees, titles, and names of the reviewers. It shall be signed by the KIT Dean and provided with the seal of the KIT Department.
- (3) The doctorate is awarded by the KIT Dean handing over the doctoral degree certificate. The doctoral degree certificate will be handed over only after the publication of the doctoral thesis and delivery of the deposit copies according to Art. 21.
- (4) Prior to the award of the doctoral degree certificate, neither the doctoral degree nor the title of doctor with an addition, such as "designatus (des.)" (designated) or "in spe" (to be), shall be used.

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

- (1)** If, prior to the delivery of the doctoral degree certificate, it is established that the doctoral candidate is guilty of deception when proving at least one of his/her doctoral achievements or if essential prerequisites for admission to the doctorate have erroneously been taken for granted, the Doctoral Admissions Committee may declare the doctoral procedure to be completed without success. The KIT Dean shall inform the President about this decision.
- (2)** In case the requirements for admission to the doctoral procedure outlined in Art. 4 were not fulfilled without the doctoral candidate wishing to deceive and if this is established after delivery of the doctoral degree certificate only, the KIT Department Council can agree on this deficiency having been remedied.
- (3)** The doctoral degree may be revoked by the Doctoral Admissions Committee, if it is found out later that it was achieved by deception. As for the rest, the legal provisions shall apply.
- (4)** Prior to the decision of the Doctoral Admissions Committee on the invalidity of the doctorate and on the revocation of the doctoral degree, the candidate shall be given the opportunity to comment on the facts relevant to this decision.
- (5)** Incriminating decisions of the Doctoral Admissions Committee according to pars. 1 and 3 shall be notified in writing to the candidate, with the reasons and information on the rights to appeal being indicated.
- (6)** Return of the doctoral degree certificate, doctoral degree report, the notification in writing according to Art. 20, par. 6, and preliminary certificate according to Art. 20, par. 7 shall be subject to Art. 52, LVwVfG.

Section 3: Honors

Article 24 Honorary Doctorate

- (1)** The KIT Department may award the academic degree of a “Doktor der Naturwissenschaften ehrenhalber“ (Dr. rer. nat. h.c.) or “Doktorin der Naturwissenschaften ehrenhalber“ (Dr. rer. nat. h.c.) (Honorary Doctor of Natural Sciences) in recognition of outstanding scientific merits within the KIT Department’s fields of teaching and research. The honorary doctorate may not be awarded to members of KIT or of one of its bodies.
- (2)** The KIT Senate shall decide on the award of the honorary doctorate upon proposal by the Executive Board in agreement with the KIT Department or upon proposal by the KIT Department in agreement with the Executive Board. The decision on the award of the

honorary doctorate shall require a three-fourths majority of the university professors and Privatdozenten/Privatdozentinnen, who are members of the KIT Department Council.

- (3) The honorary doctorate shall be awarded by the KIT Dean handing over in an appropriate setting the certificate of honor which points out the scientific merits of the honored person. The certificate shall be signed by the President and the KIT Dean and provided with the seal of Karlsruhe Institute of Technology (KIT).

Article 25 Doctoral Jubilee

The KIT Department may renew a doctoral certificate awarded by it, if this is deemed appropriate considering the special merits for science or the exceptionally close relationship of the person to be honored with Karlsruhe Institute of Technology (KIT). Such a renewal can be made on the occasion of the 25th and 50th anniversaries of the day the doctoral degree was awarded. The respective decision shall be made by the KIT Department Council.

Section 4: Concluding Provisions

Article 26 Entry into Force, Transition Regulation

- (1) The present Regulations for the Award of the Doctoral Degree shall enter into force on the day after publication in the official announcements of Karlsruhe Institute of Technology (KIT).
- (2) At the same time, the Regulations for the Award of the Doctoral Degree in Natural Sciences (Dr. rer. nat.) of Universität Karlsruhe (TH) for the Department of Chemistry and Biosciences of August 15, 2008 (Official Announcement of Universität Karlsruhe (TH) No. 75 of August 18, 2008), as amended by the First Amendment of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree in Natural Sciences (Dr. rer. nat.) at the KIT Department of Chemistry and Biosciences of September 10, 2012 (Official Announcement of Karlsruhe Institute of Technology (KIT) No. 42 of September 10, 2012), shall cease to be in force.
- (3) In case a doctoral agreement was concluded according to Art. 10 or acceptance as a doctoral candidate was expressed according to Art. 11 prior to the entry into force of the present Regulations for the Award of the Doctoral Degree, these doctoral procedures shall continue to be subject to the Regulations for the Award of the Doctoral Degree in Natural Sciences (Dr. rer. nat.) of Universität Karlsruhe (TH) for the Department of Chemistry and Biosciences of August 15, 2008 (Official Announcement of Universität Karlsruhe (TH) No. 75 of August 18, 2008), as amended by the First Amendment of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree in Natural Sciences (Dr. rer. nat.) at the KIT Department of Chemistry and

Biosciences of September 10, 2012 (Official Announcement of Karlsruhe Institute of Technology (KIT) No. 42 of September 10, 2012). Upon request by the doctoral candidate, the provisions of the present Regulations for the Award of the Doctoral Degree may apply. This request must be submitted in writing to the Chairperson of the Doctoral Admissions Committee.

Karlsruhe, June 26, 2017

Professor Dr.-Ing. Holger Hanselka
(President)

Annex 1a (German)

(Titel der Arbeit)

Zur Erlangung des akademischen Grades eines/einer
DOKTORS/DOKTORIN DER NATURWISSENSCHAFTEN

(Dr. rer. nat.)

der KIT-Fakultät für Chemie und Biowissenschaften

des Karlsruher Instituts für Technologie (KIT)

vorgelegte

DISSERTATION

von

<Titel> <Name>

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

Annex 1a (English)

(Title of the Doctoral Thesis)

DOCTORAL THESIS

submitted by ...

(academic degree, first name, last name)

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

at the KIT Department of Chemistry and Biosciences
of Karlsruhe Institute of Technology (KIT)

Annex 1b (German)

(Titel der Arbeit)

Zur Erlangung des akademischen Grades eines/einer
DOKTORS/DOKTORIN DER NATURWISSENSCHAFTEN

(Dr. rer. nat.)

von der KIT-Fakultät für Chemie und Biowissenschaften
des Karlsruher Instituts für Technologie (KIT)

genehmigte

DISSERTATION

von

<Titel> <Name>

1. Referent/Referentin:
2. Referent/Referentin:
Tag der mündlichen Prüfung:

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

Annex 1b (English)

(Title of doctoral thesis)

DOCTORAL THESIS

submitted by

(academic degree, first name, last name)

for conferral of the academic degree of a

Doctor of Natural Sciences (Dr. rer. nat.)

approved by the KIT Department of Chemistry and Biosciences

of Karlsruhe Institute of Technology (KIT)

First reviewer:

Second reviewer:

Date of oral examination:

Annex 2

Das Karlsruher Institut für Technologie (KIT)

verleiht
awards,

durch die KIT-Fakultät für Chemie und Biowissenschaften
in the KIT Department of Chemistry and Biosciences

(Name)

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

Titel und Würde eines/einer
the degree and honors of

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

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

(Titel der Dissertation)

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

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

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

Dekan/-in der KIT-Fakultät für Chemie und
Biowissenschaften

Annex 3 (German)

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

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

1. Bei der eingereichten Dissertation zu dem Thema

.....

handelt es sich um meine eigenständig erbrachte Leistung.

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

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

Titel der Arbeit:

Hochschule und Jahr:

Art der Prüfungs- oder Qualifikationsleistung:

4. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

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

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

Ort und Datum

Unterschrift

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

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

Annex 3 (English)

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

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

1. The doctoral thesis covering the subject _____ represents my own independent work.
 2. I only used the sources and aids indicated without any impermissible assistance by third persons. In particular, I have indicated any and all contents taken over from other works either literally or in substance.
 3. The doctoral thesis or parts thereof have been submitted to a university in Germany or abroad as part of the examination or qualification work as follows/have not yet been submitted to a university in Germany or abroad as part of the examination or qualification work.*
- Title of the work:
University and year:
Type of examination or qualification work:
4. I herewith confirm correctness of the above declarations.
 5. I am aware of the significance of the affirmation in lieu of oath and the penal consequences of an incorrect or incomplete affirmation in lieu of oath.

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

Place and date

Signature

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

Annex 4 (German)

Eidesstattliche Versicherung Belehrung

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

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

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

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

§ 156 StGB: Falsche Versicherung an Eides Statt

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

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

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

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

Ort und Datum

Unterschrift

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

Annex 4 (English)

Affirmation in Lieu of Oath Instructions

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

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

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

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

Article 156 StGB: Wrong affirmation in lieu of oath

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

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

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

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

Place and date

Signature

Annex 5a (German)

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

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

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

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

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

Universität:

Fakultät:

Titel der Dissertation:

Stand des Promotionsverfahrens:

4. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen².

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

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

5. Ein entgeltliches Vertragsverhältnis, das eine gewerbliche Promotionsberatung zum Gegenstand hat und zur Unselbstständigkeit zumindest einer Promotionsleistung führen kann, besteht bzw. bestand nicht.

6. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

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

² Zu streichen, sofern nicht zutreffend.

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

Annex 5a (English)

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

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

or

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

University:

Department:

Title of Doctoral Thesis:

Status of Doctoral Procedure:

4. I was awarded the degree of Doctor of _____ by _____.²
 - a) This doctoral degree was not revoked for legal reasons.
 - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
5. A contractual relationship against payment covering commercial advising relating to the doctorate and potentially resulting in at least one component of the doctorate not being developed on my own does not exist or did not exist.
5. I herewith confirm the correctness of the above statements.

Place and date

Signature

¹ Only applies to university graduates according to Art. 4, par. 5 of these Regulations. Delete as appropriate.

² Delete as appropriate.

Annex 5b (German)

Versicherung gemäß § 13 Absatz 2 Satz 2 Ziffer 5 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Chemie und Biowissenschaften

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

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

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

oder

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

Universität:

Fakultät:

Titel der Dissertation:

Stand des Promotionsverfahrens:

4. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.²

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

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

5. Ein entgeltliches Vertragsverhältnis, das eine gewerbliche Promotionsberatung zum Gegenstand hat und zur Unselbstständigkeit zumindest einer Promotionsleistung führen kann, besteht bzw. bestand nicht.

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

² Zu streichen, sofern nicht zutreffend.

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

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

Autoren/Autorinnen:

Titel der Vorveröffentlichung:

Veröffentlicht in:

Ausführliche Darlegung des selbstständig erbrachten, signifikanten Beitrages der Vorveröffentlichung oder der zur Veröffentlichung eingereichten Arbeit:

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

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

oder

Die Dissertation oder die nachfolgenden angegebenen Teile davon wurden

..... (Teile der Dissertation)

an der

Universität:

Fakultät:

als

eingereicht.²

9. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

² Zu streichen, sofern nicht zutreffend

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

Annex 5b (English)

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

1. I have not yet seriously violated the principles of good research practice.
2. There has not yet been any doctoral aptitude test procedure or equivalent test at a university or an equivalent university, in which I participated without success.¹
3. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.
Or
This doctoral procedure was preceded by the following doctoral procedures/I am candidate in the following doctoral procedures:
University:
Department:
Title of Doctoral Thesis:
Status of Doctoral Procedure:
4. I was awarded the degree of Doctor of by²
 - a) This doctoral degree was not revoked for legal reasons.
 - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
5. A contractual relationship against payment covering commercial advising relating to the doctorate and potentially resulting in at least one component of the doctorate not being developed on my own does not exist or did not exist.

¹ Applies to university graduates according to Art. 4, par. 5 of the Regulations for the Award of the Doctoral Degree only. Delete as appropriate.

² Delete as appropriate.

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

7. The doctoral thesis incorporates previous publications, of which I independently developed major parts as co-author. A list with the following information is attached to this declaration²:

Authors:

Title of Publication:

Published in:

Detailed description of the major part developed independently for prior publication or of the work submitted for publication:

The list is an integral constituent of this declaration.

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

Or

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

university:

department:

as ...²

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

Place and date

Signature

² Delete as appropriate.