

**Official Announcement**

**Published at Karlsruhe on June 27, 2017**

**No. 43**

**Regulations of Karlsruhe Institute of Technology (KIT) for  
the Award of the Doctoral Degree in Engineering (Dr.-Ing.)  
or in Natural Sciences (Dr. rer. nat.) at the KIT Department  
of Chemical and Process Engineering**

*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 Engineering (Dr.-Ing.) or in Natural Sciences (Dr. rer. nat.) at the KIT  
Department of Chemical and Process Engineering**

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.

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## **Section 1: General Provisions**

### **Article 1 Doctoral Degree**

- (1) The KIT Department of Chemical and Process Engineering of Karlsruhe Institute of Technology (KIT) (hereinafter referred to as KIT Department) awards the academic degree of a Doktor/Doktorin der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering) or 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 Ingenieurwissenschaften ehrenhalber (Dr.-Ing. h.c., Honorary Doctor of Engineering) or Doktor/Doktorin der Naturwissenschaften ehrenhalber (Dr. rer. nat. h.c., Honorary Doctor of Natural Sciences) (Art. 25).
- (3) The KIT Department can renew a doctoral degree certificate awarded by it after 25 years (Art. 26).

### **Article 2 Doctoral Admissions Committee**

- (1) The Doctoral Admissions Committee is appointed by the KIT Department Council. The Doctoral Admissions Committee consists of a Chairperson and another five members. 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*, and *Privatdozenten/Privatdozentinnen* of the KIT Department, as well as professors who have been released from their duties and retired professors of the KIT Department. 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.
- (2) Moreover, (early-stage) researchers of Karlsruhe Institute of Technology (KIT) who were granted the status of a "KIT Associate Fellow" may be permitted to participate in doctoral procedures. The proceeding and the rights and obligations of the "KIT Associate Fellow"

shall be subject to the “Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines „KIT Associate Fellow”” (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow”).

- (3) Persons authorized by the KIT Department to participate in doctoral procedures are authorized to participate in procedures to award both the academic degree of a Doktor/Doktorin der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering) and the academic degree of a Doktor/Doktorin der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences).
- (4) 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.
- (5) 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.
- (6) 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 three years. The Doctoral Admissions Committee may extend the maximum period outlined in clause 1 upon request in writing by the person authorized to participate in doctoral procedures.

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

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

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

- chemical engineering,
- bioengineering, or
- process engineering

with an overall result of “gut” (good) or better or proof of an above-average graduation.

- (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. 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 20 credits. The requirements shall be fulfilled prior to admission to the doctoral procedure.
- (5)** Highly qualified holders of bachelor’s degrees and graduates of a state examination program other than 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 aiming for a doctorate must successfully pass the examinations in the mandatory subjects specified in the “Studien- und Prüfungsordnung des Karlsruher Instituts für Technologie (KIT) für den Masterstudiengang Chemieingenieurwesen und Verfahrenstechnik” (Studies and Examination Regulations of Karlsruhe Institute of Technology (KIT) for the Master’s Program of Chemical and Process Engineering) as well as an oral examination, and they must prepare a scientific paper. The oral examination lasts about 30 minutes. It is held by two examiners and one member of the Doctoral Admissions Committee to be appointed by the latter’s Chairperson. If two supervisors are given according to Art. 10, the examiners according to cl. 3 are these two supervisors or the one supervisor according to Art. 10, cl. 1 and a person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 who must be appointed by the Chairperson of the Doctoral Admissions Committee; if no supervisor according to Art. 10 exists, the Chairperson of the Doctoral Admissions Committee shall appoint two persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 as examiners. The contents of the oral examination and the 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 at 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 specified in clause 6. Examinations in the mandatory subjects, the oral examination, and 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 Master’s Program of Chemical and Process Engineering. The aptitude test procedure shall be completed successfully, if the scientific paper is given the grade of 1.0 and the arithmetic mean of the other results according to cl. 1 is 1.5 or better. No separate certificate is issued for successful proof of the scientific qualification. The procedure proving scientific qualification must 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 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 examiners 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 which requires approval by the KIT Department Council.

### **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 at least one person authorized to participate in doctoral procedures according to Art. 3 as supervisor shall conclude a doctoral agreement in writing specifying the details outlined in Art. 38, par. 5, cl. 3 LHG at least. If the supervisor is not a member of the KIT Department, the doctoral agreement must be signed by another person authorized to participate in doctoral procedures according to Art. 3, who is member of the KIT Department. The person authorized to participate in doctoral procedures according to cl. 2, second part, also is supervisor of the doctoral candidate in addition to the supervisor/s 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 Chairperson of 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),
  7. the doctoral degree desired (Doktor/Doktorin der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering) or Doktor/Doktorin der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences)), and
  8. 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 Art. 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. With the acceptance of the doctoral candidate, the KIT Department is obliged to scientifically supervise the doctoral candidate. As a rule, the Doctoral Admissions Committee shall decide on acceptance of the doctoral candidate within a period of eight weeks upon receipt of the application. 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 decide to refuse acceptance of the doctoral candidate, if
  1. the subject or topic chosen for the doctoral thesis belongs to a subject area that is not properly represented at the KIT Department or
  2. a reason for refusal exists according to Art. 14, par. 3.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 and 3 shall apply.

- (6) Initially, the doctoral candidate is accepted for three years, with this acceptance expiring at the end of the semester following these three years. The status of doctoral candidate may be extended by another year by the Chairperson of the Doctoral Admissions Committee on written request by the doctoral candidate.
- (7) In case the 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 and to appropriately present the results. The doctoral thesis shall advance scientific knowledge and present the topic in a comprehensive and consistent way. The doctoral thesis shall contain a title page, a table of contents, a clear abstract in German and English, and a complete list of the literature used. For monographic dissertations, prior publications of the doctoral candidate may be used.
- (2) The doctoral thesis must be written in German or, in agreement with the supervisor/s, in English.
- (3) The doctoral thesis may also be based on prior publications or work submitted for publication. It must contribute to an advancement of knowledge corresponding to that of a monographic doctoral thesis and correspond 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 part of it as a co-author. Prior publications or work submitted for publication must be put into context. The doctoral thesis must contain an appropriate introduction to and consistent discussion of prior publications or work submitted for publication. A mere stringing together of prior publications or work submitted for publication shall not be sufficient. It must be clearly visible which parts of the doctoral thesis have already been published or submitted for publication. If the doctoral candidate is co-author according to cl. 3, part 2, independent development of a major part shall be assured in writing in No. 6 of Annex 5b of the present Regulations and by the co-authors.

- (4) A summary of the doctoral thesis must be enclosed with the latter. This summary must have three to five and not more than 10 pages. It must be written in the same language as the doctoral thesis.
- (5) 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 Doctoral Procedure**

- (1) Whoever fulfills the requirements for admission to the doctorate according to Art. 4, may apply for admission to the doctoral procedure. The application shall be submitted in writing to the KIT Dean of the KIT Department. 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 exact 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 8,
  - 2. the doctoral thesis in triplicate and an electronic version of the doctoral thesis,
  - 3. five copies of the summary of the doctoral thesis according to Art. 12, par. 4,
  - 4. an affirmation in lieu of oath according to Annex 3 of the present Regulations,
  - 5. 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,
  - 6. 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,
  - 7. a list of scientific papers published, in print, or submitted for publication as well as of patents and patent applications of the doctoral candidate,
  - 8. the doctoral degree desired (Doktor/Doktorin der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering) or Doktor/Doktorin der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences)),
  - 9. assurance/s of the co-authors of a prior publication or work submitted for publication by the doctoral candidate, if required according to Art. 12, par. 3, cl. 8,
  - 10. in cases of Art. 10, a declaration in writing by the supervisor who is member of the KIT Department that the doctoral candidate adequately fulfilled his/her obligation to publicly document his/her work, and
  - 11. proposals of reviewers according to Art. 15, par. 3.

- (3) A doctoral candidate who failed in a previous doctoral procedure may apply only once again for admission to the doctoral procedure and do so within six months upon notification of 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.
- (4) Unless a negative review of the doctoral thesis has been presented by a reviewer or the oral examination has started, the doctoral candidate can withdraw the application for admission to the doctoral procedure. In this case, the application shall be deemed as not having been submitted.

#### **Article 14 Start of the Doctoral Procedure and Determination of the Doctoral Degree to Be Awarded**

- (1) If the documents submitted for the doctoral procedure according to Art. 13, par. 2 are complete, the subject of the doctoral thesis falls into the responsibility of the KIT Department, and the requirements for admission to the doctorate as outlined in Art. 4 are fulfilled, the Chairperson of the Doctoral Admissions Committee resolves to start the doctoral procedure, unless the Doctoral Admissions Committee finds that there is a reason for refusal according to par. 3. The start of the doctoral procedure is notified in writing to the doctoral candidate.
- (2) In case the Doctoral Admissions Committee decides to start the doctoral procedure, it determines the doctoral degree to be awarded (Doktor/Doktorin der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering) or Doktor/Doktorin der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences)) depending on the contents of the doctoral thesis and taking into account the proposal made by the doctoral candidate according to Art. 13, par. 2, cl. 2, No. 8 and, in cases of Art. 10, after having heard the supervisor/s.
- (3) 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 specified according to par. 2, 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.
- (4) In case of a rejection, Art. 11, par. 4, clauses 2 and 3 shall apply.

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

- (1) Upon the initiation of the doctoral procedure, the Doctoral Admissions Committee shall appoint the Doctoral Examination Committee.
- (2) The Doctoral Examination Committee consists of the Chairperson, the main reviewer, the second reviewer, and a person authorized to participate in doctoral procedures according to Art. 3 as another examiner. The Doctoral Examination Committee shall be chaired by the Chairperson of the Doctoral Admissions Committee or a deputy named by him/her. The Chairperson of the Doctoral Examination Committee and his/her deputy must be persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3.
- (3) Two reviewers, i.e. a main reviewer and a second reviewer, shall be asked to assess the doctoral thesis submitted. The reviewers may be any persons authorized to participate in doctoral procedures according to Art. 3, who are competent in the respective subject. The main reviewer must be a person authorized by the KIT Department to participate in doctoral procedures according to Art. 3; the Doctoral Admissions Committee shall decide on exceptions. The Doctoral Admissions Committee may appoint reviewers other than those proposed by the doctoral candidate according to Art. 13, par. 2, No. 11. In case the Chairperson of the Doctoral Examination Committee is reviewer, execution of his/her tasks in the respective doctoral procedure is transferred to a professor according to Art. 44, par. 1, cl. 1, No. 1 LHG, who is member of the KIT Department.
- (4) If required by the doctoral thesis in particular due to its interdisciplinary character or large thematic scope, the Doctoral Admissions Committee shall appoint another person authorized to participate in doctoral procedures according to Art. 3 as another reviewer who then will also be member of the Doctoral Examination Committee.
- (5) In case a KIT Associate Fellow as specified in Art. 7, par. 1 of the "Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines "KIT

Associate Fellow““ (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status "KIT Associate Fellow“) participates in the doctoral procedure, he/she shall be appointed an additional reviewer according to Art. 7, par. 3, cl. 1 of the above Rules of Procedure, such that a total of three and, in cases of par. 4, a total of four reviewers participate in the doctoral procedure. The KIT Associate Fellow must not be appointed main reviewer.

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

## **Article 16 Assessment of the Doctoral Thesis**

- (1) Each reviewer shall submit to the Doctoral Admissions Committee an independent and justified review of the doctoral thesis at the latest three months upon appointment as reviewer. The review contains the justified recommendation of acceptance or rejection of the thesis and in case of its recommended acceptance an assessment as specified in par. 2.
- (2) The grade to be given for a doctoral thesis recommended for acceptance may be:

sehr gut	(very good)	(magna cum laude)	= 1,
gut	(good)	(cum laude)	= 2, or
genügend	(sufficient)	(rite)	= 3.

The grades of 1.5 (gut bis sehr gut (good to very good)) and 2.5 (genügend bis gut (sufficient to good)) are permitted.
- (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 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 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, the Doctoral Examination Committee shall declare acceptance of the doctoral thesis and determine the grade as the unrounded arithmetic mean of the grades proposed by the reviewers. In case of an objection, 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. If acceptance of the doctoral thesis is agreed upon, every member of the Doctoral Examination Committee shall propose a grade according to par. 2. From these proposals, the unrounded arithmetic mean shall be determined as the grade of the doctoral thesis.
- (6) In case the doctoral thesis is rejected by one, but not all reviewers, the Chairperson of the Doctoral Admissions Committee shall appoint a person authorized 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, the Doctoral Examination Committee shall decide on the acceptance or rejection of the doctoral thesis. In case of a tie, the vote of the Chairperson shall decide. In case the Doctoral Examination Committee agrees on the acceptance of the doctoral thesis, it shall determine the unrounded arithmetic mean from the grades proposed by all reviewers as the grade of the doctoral thesis. In case of an objection, par. 5, clauses 2, 4 through 6 shall apply.
- (7) In case all reviewers recommend rejection of the doctoral thesis and no objection is made, the Doctoral Examination Committee shall decide on acceptance or rejection of the doctoral thesis. Par. 5, cl. 3 shall apply. In case the doctoral thesis is accepted, par. 5, clauses 5 and 6 shall apply. In case of an objection, par. 5, clauses 2, 4 through 6 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. Otherwise, the reviewed version of the doctoral thesis shall be deemed to have been approved for publication.
- (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, cl. 2.



With this, the doctoral procedure is terminated unsuccessfully. A copy of the doctoral thesis, together with the reviews, shall be kept in the files.

- (10) A reviewer who has rejected the doctoral thesis may demand that he/she is not mentioned as reviewer in the publication of the thesis.

## **Article 17 Oral Examination**

- (1) Once the doctoral thesis has been accepted, 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 shall be notified to the doctoral candidate in writing by the Chairperson of the Doctoral Admissions Committee. The time span between the receipt of this information and the date of the oral examination may 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, in agreement with the Doctoral Examination 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) In addition to the members of the Doctoral Examination Committee, the Chairperson of the Doctoral Admissions Committee shall invite the KIT Department members authorized to participate in doctoral procedures according to Art. 3 to the oral examination; KIT Associate Fellows shall be invited only, if the doctoral candidate is a member of the Fellow's own (junior) research group. The persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3, who are present during the oral examination, have the right to ask questions and an advisory vote during the final session according to Art. 21.
- (4) The Chairperson of the Doctoral Examination Committee shall direct the oral examination.
- (5) The oral examination shall provide evidence of the doctoral candidate's ability to have a scientific conversation and to defend the propositions of his/her doctoral thesis. The doctoral thesis is subject of the oral examination.
- (6) The oral examination takes place as a colloquium of about 80 minutes' duration. It shall start with a presentation of about 20 minutes by the doctoral candidate about his/her

doctoral thesis. It is followed by an interview of about one hour by members of the Doctoral Examination Committee and the scientists present according to par. 3. This disputation shall cover topics and methods relating to the doctoral thesis of the doctoral candidate as well as scientific problems of the subject area covered by the doctoral thesis.

- (7) In accordance with the seats available, the presentation is public. Members of the KIT Department who have completed their university studies and are not already eligible to participate according to par. 3 can, upon prior registration, be admitted by the Chairperson of the Doctoral Examination Committee as an audience to the disputation according to par. 6, cl. 3, but not to the following assessment of the oral examination according to Art. 18 and the final session according to Art. 21. The Chairperson of the Doctoral Examination Committee may exclude the public ex officio for an important reason or on the written and justified request of the doctoral candidate.
- (8) The time and place of the oral examination shall be announced to the persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3.
- (9) The Chairperson of the Doctoral Examination Committee shall set up minutes of the oral examination, indicating the name of the doctoral candidate, the day, venue, and duration of the oral examination, the names of the present members of the Doctoral Examination Committee, the subject of the doctoral thesis, and the general course of the oral examination and the latter's assessment.

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

- (1) Directly after the oral examination, 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; an insufficient examination will be given the grade of "nicht bestanden" (4.0, failed).
- (2) The final grade of the oral examination shall be the unrounded arithmetic mean of the individual grades according to par. 1, cl. 2. The oral examination shall be passed, if this grade is 3.0 or better. Otherwise, the candidate shall be informed that he/she has not passed the oral examination according to Art. 11, par. 4, cl. 2.
- (3) 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 19 Repetition of the Oral Examination**

- (1) If the oral examination is not passed, it may be repeated once upon application, but not earlier than six months upon notification of 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 notification of failure in the previous oral examination, the doctoral procedure then shall be unsuccessfully terminated.
- (3) The candidate shall be informed about the unsuccessful termination of the doctoral procedure according to Art. 11, par. 4, cl. 2. If the oral examination is failed due to a lacking application for a repetition of the oral examination within the period specified in par. 2, Art. 11, par. 4, cl. 3 shall apply in addition. Together with the documents, the doctoral thesis shall remain in the files.
- (4) Upon written request by the doctoral candidate, the Doctoral Admissions Committee shall decide on justified exceptions to paragraphs 1 and 2.

## **Article 20 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 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 2 and 3 shall apply.

## **Article 21 Overall Grade for the Doctorate**

- (1) At the final session following the oral examination, the Doctoral Examination Committee shall determine the overall grade for a successful doctorate.
- (2) If the oral examination is passed, the overall grade shall be the weighted mean of the grade of the doctoral thesis and the final grade of the oral examination, with the doctoral thesis having weight 2 and the oral examination having weight 1. The unrounded arithmetic means as specified in Art. 16, paragraphs 5, 6, or 7 and Art. 18, par. 2 shall be used as grades for the doctoral thesis and oral examination. 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 to 3.0

“bestanden” (passed, rite).

- (3) In case of particularly outstanding results, the Doctoral Examination Committee may unanimously and by way of exception decide to award the overall grade “mit Auszeichnung” (with distinction; summa cum laude), if all results are not worse than 1.0 and at least one of the reviewers proposed to do so according to Art. 16, par. 3. If these requirements are not fulfilled, a total grade according to par. 2 will be awarded.
- (4) The overall grade for the doctorate, the assessment of the doctoral thesis, and the grade for the oral examination shall be communicated to the doctoral candidate by the Chairperson of the Doctoral Examination Committee following the oral examination.
- (5) 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. 4.
- (6) On the doctoral candidate’s written request, the KIT Department shall issue a preliminary certificate of the successful completion of the doctorate with the overall grade being indicated.

## **Article 22 Publication of the Doctoral Thesis and Submission of the Deposit Copies**

- (1) Within one year after passing the oral examination, the doctoral thesis shall be published by the doctoral candidate in a version approved by the reviewers according to Art. 16, par. 8. Depending on the type of publication, the following copies or files shall be handed over to the KIT Library within the period indicated above:
  - 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.
- (2) The versions submitted in accordance with par. 1, cl. 2, No. 1 or 2 must have a title page according to Annex 1 of these Regulations or contain bibliographic data on the doctoral thesis. The copies published according to par. 1, cl. 2, No. 3 or 4 must be accompanied

by the notation that the publication represents a doctoral thesis approved by the KIT Department of Chemical and Process Engineering of Karlsruhe Institute of Technology (KIT) and must indicate the date of the oral examination. In case the reviewers approve a title other than that of the examination copy, this title shall be indicated in the doctoral thesis.

- (3) In cases of par. 1, cl. 2, 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. 1, cl. 2, No. 1. Delivery of files that do not meet these requirements shall not be deemed a publication and delivery.
- (4) In cases of par. 1, cl. 2, 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.
- (5) In justified individual cases of delivery according to par. 1, cl. 2, No. 1 and on written request by the doctoral candidate, the KIT Dean may deem the obligations outlined in par. 1 to be also fulfilled, if the doctoral thesis can be made publicly accessible with a certain delay only due to a non-disclosure notice resulting from patent application or due to a publication in a journal. In this case, the doctoral candidate must have fulfilled all delivery requirements, the time of latest publication must be indicated in the non-disclosure notice, and it must be possible for the publication to be made by the KIT Library without any further interference by the doctoral candidate. Fulfilling of the above requirements will be certified in writing by the KIT Dean. A non-disclosure notice may be applied for using the form given by the KIT Library for a period of up to one year from the date of signing the application. On the certificate according to par. 1, cl. 3, the KIT Library will indicate the existence and duration of the non-disclosure notice.
- (6) The doctoral candidate shall declare in writing to the KIT Library that the electronic version submitted is identical in terms of contents with the version approved by the reviewers according to Art. 16, par. 8.
- (7) In case the deadline specified in par. 1 is missed, any and all rights acquired in the doctoral examination shall expire. Upon written request by the doctoral candidate, the KIT Dean 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.
- (8) In addition to the mandatory copies as specified in par. 1, cl. 2, the doctoral candidate shall submit to the KIT Dean within the period outlined in par. 1, cl. 1 at least one copy in the form specified in par. 1, No. 2 or 3 for each reviewer.

## **Article 23 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 academic degrees, titles, positions, 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 or sending the doctoral degree certificate. The doctoral degree certificate will be handed over or sent only after the publication of the doctoral thesis and delivery of the deposit copies according to Art. 22. In the cases of Art. 22, par. 5, the doctoral degree certificate will be handed over or sent only after the doctoral thesis has been made publicly accessible.
- (4)** Prior to the award or receipt 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 24 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 procedure may be declared invalid. This decision is made by the Doctoral Admissions Committee. 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 Doctoral Admissions Committee can agree on this deficiency having been remedied.
- (3)** The doctoral degree may be revoked by the Doctoral Admissions Committee, if it is found out later that it was achieved by deception. As for the rest, the legal provisions shall apply.
- (4)** Prior to the decision of the Doctoral Admissions Committee on the invalidity of the doctorate and on the revocation of the doctoral degree, the candidate shall be given the opportunity to comment on the facts relevant to this decision.

- (5) Incriminating decisions of the Doctoral Admissions Committee according to pars. 1 and 3 shall be justified and notified to the candidate, with 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. 21, par. 5, and the preliminary certificate according to Art. 21, par. 6 shall be subject to Art. 52, LVwVfG.

### **Section 3: Honors**

#### **Article 25 Honorary Doctorate**

- (1) On the request of a member of the KIT Department, the latter may award the academic degree of a Doktor/Doktorin der Ingenieurwissenschaften ehrenhalber (Dr.-Ing. h. c.) (Honorary Doctor of Engineering Sciences) or Doktor/Doktorin der Naturwissenschaften ehrenhalber (Dr. rer. nat. h. c., Honorary Doctor of Natural Sciences) to persons who are no members of Karlsruhe Institute of Technology (KIT) or of one of its bodies in recognition of outstanding scientific merits within the KIT Department's fields of teaching and research.
- (2) The KIT Senate shall decide on the award of the honorary doctorate upon proposal by the Executive Board in agreement with the KIT Department or upon proposal by the KIT Department in agreement with the Executive Board. The KIT Department Council shall deliberate on the proposal in two readings. For preparation, it shall establish an advisory commission of at least three members of the KIT Department. The decision on the proposal to be submitted to the KIT Senate shall require a two-thirds majority of the members of the KIT Department Council entitled to vote.
- (3) The honorary doctorate shall be awarded by the KIT Dean handing over in an appropriate setting the certificate of honor which points out the merits of the honored person. The certificate shall be signed by the President and the KIT Dean and shall be provided with the seal of Karlsruhe Institute of Technology (KIT).

#### **Article 26 Doctoral Jubilee**

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

## **Section 4: Concluding Provisions**

### **Article 27 Entry into Force, Transition Regulation**

- (1)** The present Regulations for the Award of the Doctoral Degree shall enter into force on the day after publication in the official announcements of Karlsruhe Institute of Technology (KIT).
- (2)** At the same time, the Regulations for the Award of the Doctoral Degree of Karlsruhe Institute of Technology (KIT) for the Department of Chemical and Process Engineering of May 09, 2011 (Official Announcement of Karlsruhe Institute of Technology (KIT) No. 23 of May 09, 2011) shall cease to be in force.
- (3)** In case a doctoral agreement was concluded according to Art. 10 or acceptance as a doctoral candidate was expressed according to Art. 11 prior to the entry into force of the present Regulations for the Award of the Doctoral Degree, these doctoral procedures shall continue to be subject to the Regulations for the Award of the Doctoral Degree of Karlsruhe Institute of Technology (KIT) for the Department of Chemical and Process Engineering of May 09, 2011 (Official Announcement of Karlsruhe Institute of Technology (KIT) No. 23 of May 09, 2011). Upon request by the doctoral candidate, the provisions of the present Regulations for the Award of the Doctoral Degree may apply. The request shall be addressed in writing to the KIT Dean of the KIT Department.

Karlsruhe, June 26, 2017

Professor Dr.-Ing. Holger Hanselka  
(President)



**Annex 1 (German)**

(Titel der Arbeit)

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

von der KIT-Fakultät für Chemieingenieurwesen und Verfahrenstechnik des  
Karlsruher Instituts für Technologie (KIT)  
genehmigte

DISSERTATION

von

---

Tag der mündlichen Prüfung:

Erstgutachter/-in:

Zweitgutachter/-in:

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

**Annex 1 (English)**

(Title of the Doctoral Thesis)

DOCTORAL THESIS

submitted by ....

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for conferral of the academic degree of a  
DOCTOR OF ENGINEERING  
DOCTOR OF NATURAL SCIENCES

approved by the KIT Department of Chemical and Process Engineering  
of Karlsruhe Institute of Technology (KIT)

Date of oral examination:

Main reviewer:

Second reviewer:

## **Annex 2**

### **Das Karlsruher Institut für Technologie (KIT)**

verleiht  
*awards,*

durch die KIT-Fakultät für Chemieingenieurwesen und Verfahrenstechnik  
*in the KIT Department of Chemical and Process Engineering*

**(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 Ingenieurwissenschaften  
(Dr.-Ing.)**

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

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

**(Titel der Dissertation)**

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

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

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

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Dekan/-in der KIT Fakultät für  
Chemieingenieurwesen und Verfahrenstechnik

### **Annex 3 (German)**

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

Eidesstattliche Versicherung gemäß § 13 Absatz 2 Ziffer 4 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Chemieingenieurwesen und Verfahrenstechnik:

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)**

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. 4 of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Department of Chemical and Process Engineering

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

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

## **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/die Promovend/-in die wissenschaftlichen Leistungen eigenständig erbracht hat.

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

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

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

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

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

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

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

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

Ort und Datum Unterschrift

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

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

##### Affirmation in Lieu of Oath Instructions

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

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

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

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

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

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

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

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 Chemieingenieurwesen und Verfahrenstechnik**

1. Einen erheblichen Verstoß gegen die Grundsätze guter wissenschaftlicher Praxis habe ich bislang nicht begangen.
2. 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:*

3. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.<sup>1\*</sup>

- a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.
- b) Es liegen keine Gründe vor, die nach den gesetzlichen Bestimmungen die Entziehung des Doktorgrades rechtfertigen.

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

5. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

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<sup>1\*</sup>Zu streichen, sofern nicht zutreffend.



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

**Annex 5a (English)**

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

1. I have not yet seriously violated the principles of good research practice.
2. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.

or

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

*University:*

*Department:*

*Title of Doctoral Thesis:*

*Status of Doctoral Procedure:*

3. I was awarded the degree of Doctor of \_\_\_\_\_ by \_\_\_\_\_.<sup>1</sup>
  - a) This doctoral degree was not revoked for legal reasons.
  - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
4. A contractual relationship 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

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<sup>1</sup> Delete as appropriate.

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

### **Versicherung gemäß § 13 Absatz 2 Satz 2 Ziffer 6 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Chemieingenieurwesen und Verfahrenstechnik**

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

2. 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:*

3. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.<sup>1</sup>

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

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

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

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

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<sup>1</sup> Zu streichen, sofern nicht zutreffend

6. In die Dissertation wurden Vorveröffentlichungen einbezogen, bei denen ich im Rahmen einer Mitautorenschaft jeweils einen signifikanten Teil selbstständig erbracht habe. Eine Aufstellung mit den Angaben:<sup>1</sup>

*Autoren/Autorinnen:*

*Titel der Vorveröffentlichung:*

*Veröffentlicht in:*

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

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

oder

Die Dissertation oder die nachfolgenden angegebenen Teile davon wurden

..... (Teile der Dissertation)

an der

*Universität:*

*Fakultät:*

als .....

eingereicht.<sup>1</sup>

8. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

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<sup>1</sup> Zu streichen, sofern nicht zutreffend

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

### **Annex 5b (English)**

#### **Affirmation According to Art. 13, par. 2, cl. 2, No. 6 of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Department of Chemical and Process Engineering**

1. I have not yet seriously violated the principles of good research practice.
2. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.  
or  
This doctoral procedure was preceded by the following doctoral procedures/I am candidate in the following doctoral procedures:  
*University:*  
*Department:*  
*Title of Doctoral Thesis:*  
*Status of Doctoral Procedure:*
3. I was awarded the degree of Doctor of .... by ....<sup>1\*</sup>
  - a) This doctoral degree was not revoked for legal reasons.
  - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
4. A contractual relationship 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 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)).

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<sup>1\*</sup> Delete as appropriate.

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

Authors:

Title of prior publication:

Published in:

The list is an integral constituent of this declaration.

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

Or

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

*university:*

*department:*

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

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

Place and date

Signature

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