

**Official Announcement No. 9**

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**Interdepartmental Regulations of Karlsruhe Institute of  
Technology (KIT) for the Award of the Doctoral Degree in  
Natural Sciences (Dr. rer. nat.) or Economics (Dr. rer. pol.)  
or Engineering (Dr.-Ing.) in Interdisciplinary, Joint Doctoral  
Procedures at the KIT Department of Mathematics and the  
KIT Department of Business and Economics**

*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.*

**Interdepartmental Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree in Natural Sciences (Dr. rer. nat.) or Economics (Dr. rer. pol.) or Engineering (Dr.-Ing.) in Interdisciplinary, Joint Doctoral Procedures at the KIT Department of Mathematics and the KIT Department of Business and Economics**

dated February 6, 2025

Pursuant to Art. 10, par. 2, No. 5 and Art. 20, par. 2, cl. 1 of the Act on Karlsruhe Institute of Technology (KIT Act – KITG) of July 14, 2009 (Bulletin, pp. 317), last amended by Art. 2 of the Act Amending the Act on University Hospitals and Other Acts (Gesetz zur Änderung des Universitätsklinikgesetzes und anderer Gesetze) of November 15, 2022 (Bulletin, p. 585) and Art. 15, par. 6, clauses 1 and 2 in conjunction with Art. 38, par. 4, cl. 1 of the Act of Baden-Württemberg on Universities and Colleges (Landeshochschulgesetz – LHG) of January 1, 2005 (Bulletin, pp. 1), last amended by Art. 8 of the Act on Adoption of a Climate Protection and Climate Change Adaptation Act and on Inclusion of Climate Protection Matters in Other Legal Regulations (Gesetz zum Erlass eines Klimaschutz- und Klimawandelanpassungsgesetzes und zur Verankerung des Klimabelangs in weiteren Rechtsvorschriften) of February 7, 2023 (Bulletin, p. 26), the KIT Senate of Karlsruhe Institute of Technology (KIT) adopted the following statutes on December 16, 2024.

The President expressed his approval according to Art. 20, par. 2, cl. 1 KITG in conjunction with Art. 38, par. 4, cl. 1 LHG on February 6, 2025.

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## **Section 1: General Provisions**

### **Article 1 Scope and Definition**

The present Regulations apply to the execution of interdisciplinary doctoral procedures at the KIT Department of Mathematics and at the KIT Department of Business and Economics.

Interdisciplinary doctoral procedures are procedures carried out jointly by the KIT Departments of Mathematics and of Business and Economics, with the subject shares of the Departments being represented equally. The areas planned to be covered by or the topic of the doctoral thesis shall be represented equally in the disciplines covered by both KIT Departments in principle.

The Regulations given below do not apply to doctoral procedures in accordance with Article 15, par. 3 of the Regulations for the Award of the Doctoral Degree at the KIT Department of Mathematics, as amended, or Article 15, par. 4 of the Regulations for the Award of the Doctoral Degree at the KIT Department of Business and Economics, as amended, which are organized in the sole responsibility of one KIT Department, but with an examiner from another KIT Department being involved; nor do these Regulations apply to doctoral procedures having no interdisciplinary character as specified in Article 5, par. 1, cl. 2. Such procedures are subject to the Regulations for the Award of the Doctoral Degree at the KIT Department of Mathematics and the KIT Department of Business and Economics, respectively.

### **Article 2 Doctoral Degree**

**(1)** The KIT Departments of Mathematics and of Business and Economics jointly award the academic degree of

- Doktor der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences) or Doktorin der Naturwissenschaften (Dr. rer. nat., Doctor of Natural Sciences) or of
- Doktor der Wirtschaftswissenschaften (Dr. rer. pol., Doctor of Economics) or Doktorin der Wirtschaftswissenschaften (Dr. rer. pol., Doctor of Economics), or of
- Doktor der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering) or Doktorin der Ingenieurwissenschaften (Dr.-Ing., Doctor of Engineering)

in a regular doctoral procedure.

As regards the academic degree to be awarded in the individual case, it is referred to Article 21, par. 1.

- (2) The KIT Departments of Mathematics and of Business and Economics can award the honorary degree of Doktor/Doktorin der Naturwissenschaften ehrenhalber (Dr. rer. nat. h. c., Honorary Doctor of Natural Sciences) or Doktor/Doktorin der Wirtschaftswissenschaften ehrenhalber (Dr. rer. pol. h. c., Honorary Doctor of Economics), or Doktor/Doktorin der Ingenieurwissenschaften ehrenhalber (Dr.-Ing. h. c., Honorary Doctor of Engineering) (according to Art. 25).
- (3) The KIT Departments can renew a doctoral degree certificate awarded by them after 25 years according to Art. 26.

### **Article 3 Interdepartmental Doctoral Admissions Committee**

- (1) The Interdepartmental Doctoral Admissions Committee is appointed by the KIT Department Councils of the KIT Departments of Mathematics and of Business and Economics. The Interdepartmental Doctoral Admissions Committee consists of four professors according to Art. 44, par. 1, cl. 1, No. 1 LHG in conjunction with Art. 14 a KITG. The KIT Department Councils of both KIT Departments shall delegate two members each, of which at least one member shall be member of the Dean's Office of the respective KIT Department. The Interdepartmental Doctoral Admissions Committee elects a Chairperson and a Deputy from among its members. The term of office of the members is two years. Reappointment is permitted.
- (2) In the case of meetings of the Interdepartmental 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 4 Persons Authorized to Participate in Doctoral Procedures**

- (1) Professors according to Art. 44, par. 1, cl. 1, No. 1 LHG in conjunction with Art. 14 a KITG, *apl. Professors*, and *Privatdozenten / Privatdozentinnen* are authorized in principle to participate in doctoral procedures. These 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 according to Art. 55, LHG of KIT 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"*).

- (3) Professors of Universities of Applied Sciences or Baden-Württemberg Cooperative State Universities (DHBW) may also be appointed supervisors according to Art. 10 or reviewers according to Art. 16, par. 3. The Interdepartmental Doctoral Admissions Committee shall decide on their appointment as supervisors taking into account the subject-specific qualification of the professor of the University of Applied Sciences or the Baden-Württemberg Cooperative State University (DHBW) for the respective doctoral procedure.
- (4) The rights of participation of professors according to Art. 44, par. 1, cl. 1, No. 1 LHG in conjunction with Art. 14 a KITG shall not be affected by retirement. As a rule, 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 shall also apply 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 one of the two KIT Departments to participate in doctoral procedures has concluded a doctoral agreement according to Art. 10 and his/her membership with the respective KIT Department ends afterwards, he / she shall continue to be a person authorized by the respective 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 Interdepartmental Doctoral Admissions Committee may extend the maximum period outlined in cl. 1 upon request in writing by the person authorized to participate in doctoral procedures. Clauses 1 and 2 shall also apply to full-time members of the respective KIT Department and to members working at the respective KIT Department according to the Jülich model.

## **Article 5 Requirements for Admission to the Interdisciplinary Doctorate**

- (1) Unless otherwise specified below, admission to the interdisciplinary 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,
  - 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 doctoratesin

- Business Administration
- Informatics
- Information Engineering and Management
- Mathematics
- Economics Engineering
- Economics
- Information Systems
- Industrial Engineering and Management
- Econometrics or
- Digital Economics

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

For admission to a joint interdisciplinary doctoral procedure at the KIT Department of Mathematics and the KIT Department of Business and Economics, the planned area of work or topic of the doctoral thesis must refer to the fields of expertise or disciplines of both KIT Departments in roughly equal parts. The corresponding decision is made by the Interdepartmental Doctoral Admissions Committee when deciding on admission according to Art. 11.

- (2)** On the justified request in writing by the candidate, the Interdepartmental Doctoral Admissions Committee may recognize for admission to the doctorate the successful completion of studies in a subject other than those listed in par. 1, provided that all remaining requirements outlined in par. 1 are fulfilled. In these cases, the Interdepartmental 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 request for recognition and assessment of equivalence of the documented study and examination achievements shall be submitted in writing to the Interdepartmental 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. 14.
- (3)** A degree reached at a foreign state-owned or state-recognized higher education institution equivalent to a university, which meets the requirements outlined in par. 1 or par. 2, will be recognized as equivalent by the Interdepartmental 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 Interdepartmental 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 Interdepartmental Doctoral Admissions Committee. These supplementary requirements that are to be in line with the requirements of the subject shall not exceed the amount of 30 credits. The requirements shall be fulfilled prior to admission to the doctoral procedure.
- (5) Highly qualified holders of bachelor's degrees, graduates of state examination programs other than outlined in par. 1, and diploma degree holders of Universities of Applied Sciences and Cooperative State Universities, who passed the final examinations in the subjects listed in par. 1 or subjects recognized to be equivalent according to par. 2 with above-average results, can be admitted to the doctorate. Two persons authorized to participate in doctoral procedures according to Art. 4 from KIT must have agreed to act as supervisors and the graduate must have proved in an aptitude test procedure according to par. 6 that she / he is qualified to perform scientific work in the doctoral subject.
- (6) To prove their scientific qualification, graduates according to par. 5 shall submit to the Interdepartmental Doctoral Admissions Committee a request in writing for an aptitude test procedure. Scientific qualification must be proved in the subjects covered by the KIT Departments of Mathematics and of Business and Economics. For this purpose, the candidate shall successfully pass modules and courses in the maximum amount of 60 credits, a seminar, and four oral examinations according to cl. 6. The contents of the achievements outlined in cl. 3 shall be specified by the Interdepartmental Doctoral Admissions Committee in agreement with the supervisor/s authorized to participate in doctoral procedures according to Art. 10. The seminar must be related to the area to which the subject of the doctoral thesis belongs. In the subjects outlined in cl. 2, an ungraded oral examination each must be passed. The achievements according to cl. 3 shall be subject analogously to the corresponding studies and examination regulations of Karlsruhe Institute of Technology (KIT), with the proviso that second repetitions of examinations are excluded. No separate certificate is issued to prove scientific qualification. The aptitude test procedures shall be completed within not more than four semesters. If the procedure is not completed successfully within this period, the candidate shall be deemed to have failed in proving that she / he is qualified to perform scientific work in the doctoral subject according to par. 5.
- (7) Upon written request by the candidate, the Interdepartmental 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 doctoral candidate, the Interdepartmental Doctoral Admissions Committee may grant exemption from the

requirements specified in paragraphs 1 to 6 and may specify ancillary conditions for this decision.

### **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 in doctoral procedures as supervisors and examiners with the same rights and obligations. This especially applies to structured PhD programs 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 any direct affiliation to an organizational unit of KIT. They shall be integrated in the working group of one of the supervisors, 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" (Landesverwaltungsverfahrensgesetz, 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. 4, who, as a rule, is member of the KIT Department of Mathematics or the KIT Department of Business and Economics, as first supervisor shall conclude a doctoral

agreement in writing specifying the details outlined in Art. 38, par. 5, cl. 3 LHG, at least. The second supervisor shall co-sign the doctoral agreement.

## **Article 11 Acceptance as Doctoral Candidate**

- (1)** A candidate meeting the requirements for admission to the doctorate according to Art. 5 and aiming for a doctorate shall apply in writing to the Interdepartmental Doctoral Admissions Committee for acceptance as a doctoral candidate. The Dean's Office of the KIT Department to which the first supervisor belongs shall be informed in writing about the application by the Chairperson of the Interdepartmental Doctoral Admissions Committee.
- (2)** The following documents shall be attached to this application:
  1. Proof/proofs according to Art. 5,
  2. description of the candidate's professional and scientific career,
  3. information on the intended area or topic of the doctoral thesis and statement in writing on its interdisciplinary character according to Art. 5, par. 1, cl. 2,
  4. a declaration in writing according to Annex 4a 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. a declaration as to the KIT Department at which the candidate wishes to exercise their membership rights and in particular their passive and active electoral rights.
- (3)** As a rule, the Interdepartmental Doctoral Admissions Committee shall decide on acceptance of the doctoral candidate within a period of four weeks upon receipt of the application. Acceptance of the doctoral candidate shall be notified in writing to the latter. With the acceptance as a doctoral candidate, the KIT Departments of Mathematics and of Business and Economics are obliged to scientifically supervise the doctoral candidate.
- (4)** The Interdepartmental Doctoral Admissions Committee shall refuse acceptance of the doctoral candidate, if
  1. the requirements for admission as specified in Art. 5 are not met,
  2. the field or topic chosen for the doctoral thesis is not covered by the scope of work of the KIT Departments of Mathematics and of Business and Economics or does not show any interdisciplinary or cross-subject approach according to Art. 5, par. 1, cl. 2, or if
  3. a reason for refusal exists according to Art. 15, par. 2, cl. 1.Refusal must be confirmed by the KIT Department Councils of the KIT Departments of Mathematics and of Business and Economics. 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 Interdepartmental Doctoral Admissions Committee, if certain prerequisites for admission to the doctorate according to Art. 5 still remain to be fulfilled. The Interdepartmental Doctoral Admissions Committee shall decide on whether the requirements are fulfilled and the doctoral candidate shall be notified in writing of this decision. If the supplementary requirements are not met or not met in due time, acceptance may be revoked by the Interdepartmental Doctoral Admissions Committee. Par. 4, clauses 3 and 4 shall apply.
- (6) If no application for admission to the doctorate according to Art. 14 is submitted within a period of five years upon acceptance as a doctoral candidate, the status of doctoral candidate shall expire. The resulting obligation pursuant to par. 3, cl. 3 shall be terminated. The status of doctoral candidate may be extended by the Interdepartmental Doctoral Admissions Committee on the written request by the doctoral candidate.
- (7) In case a supervisor can no longer fulfill her/his task for an important reason, the Interdepartmental Doctoral Admissions Committee shall hear the doctoral candidate and, if possible, within one month appoint as a supervisor another competent person authorized to participate in doctoral procedures according to Art. 4. The supervisor to be appointed shall be member of the same KIT Department as the supervisor who dropped out.

If no new supervisor from the KIT Department can take over supervision, an external supervisor may be appointed. Article 10 shall remain unaffected.

## **Article 12 Doctoral Thesis**

- (1) The doctoral thesis shall deal with a scientific, interdisciplinary topic relating to the areas of work of the KIT Departments of Mathematics and of Business and Economics in roughly equal parts. It shall provide evidence of the doctoral candidate's qualification to carry out independent scientific work and to clearly present the results. The doctoral thesis shall advance scientific knowledge and present the topic in a comprehensive and consistent way.
- (2) The doctoral thesis must be written in German or 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 pre-publication must be put into coherent relation in terms of their topic and may be incorporated in the doctoral thesis, if the candidate is

the sole author or has independently developed a major part as co-author. Prior publications or work submitted for pre-publication must be put into context. A mere stringing together of prior publications or work submitted for pre-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 of a prior publication according to cl. 3, independent development of a major part shall be assured in No. 6 of Annex 4b of the present Regulations.

- (4) Only work that has never before been used completely or in major parts for a graduation will be accepted as a doctoral thesis. The Interdepartmental Doctoral Admissions Committee shall decide on justified exceptions on the doctoral candidate's request in writing.

### **Article 13 Proceeding to Review the Interdisciplinary Character**

- (1) In case the supervisor/s doubt/s the interdisciplinary development of the doctoral thesis, they shall inform the Interdepartmental Doctoral Admissions Committee accordingly. The latter shall then initiate proceedings to review the interdisciplinary character (hereinafter referred to as review proceeding) and request the doctoral candidate to submit a short summary of the achievements reached to that date with respect to the doctoral thesis, including a description of the interdisciplinary character of the area of work. A statement of both supervisors must be attached to this report.

- (2) Based on the documents submitted according to par. 1, the Interdepartmental Doctoral Admissions Committee shall review the interdisciplinary character.

If the doctoral project is found to be of interdisciplinary character according to Art. 12, par. 1, the doctoral procedure shall be continued as outlined in the present Regulations. In case the achievements reached to that date focus on the monodisciplinary subject area of the KIT Department of Mathematics or of the KIT Department of Business and Economics, the Interdepartmental Doctoral Admissions Committee, in agreement with the doctoral candidate, shall decide on whether the doctoral procedure shall be continued according to the valid Regulations for the Award of the Doctoral Degree at the KIT Department of Mathematics or at the KIT Department of Business and Economics. The Interdepartmental Doctoral Admissions Committee's decision on the transfer of the doctoral procedure shall require approval by the doctoral candidate and by the Doctoral Admissions Committee of that KIT Department at which the doctoral procedure shall be continued. This approval may be refused for an important reason only. With the approval of the continuation of the doctoral procedure, the doctoral candidate shall be deemed to have been accepted. In this case, acceptance by the Interdepartmental Doctoral Admissions Committee shall expire.

## **Article 14 Application for Admission to the Doctoral Procedure**

- (1) Whoever fulfills the requirements for admission according to Art. 5 may apply for admission to the doctoral procedure. The application shall be submitted in writing to the Interdepartmental Doctoral Admissions Committee. The Dean's Office of the KIT Department to which the first supervisor belongs shall be informed in writing about the application by the Chairperson of the Interdepartmental Doctoral Admissions Committee. Prior acceptance as a doctoral candidate is not required.
- (2) The following documents must be enclosed with the application:

  1. Certificates and documents according to Art. 11, par. 2, Nos. 1 and 2,
  2. the doctoral thesis in quintuplicate and an electronic version of the doctoral thesis,
  3. an affirmation in lieu of oath according to Annex 2 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 3 of the present Regulations,
  5. a declaration in writing according to Annex 4b 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. a declaration according to Art. 18, par. 9, cl. 2 as to whether the Department public shall be admitted to the oral examination,
  8. the doctoral degree certificate, if the doctoral candidate has already been awarded a doctoral degree.
- (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 one year upon notification of failure in the previous doctoral procedure at the earliest.
- (4) As long as no rejecting review of the doctoral thesis has been presented by a reviewer, 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 15 Start of the Doctoral Procedure**

- (1) The Interdepartmental Doctoral Admissions Committee shall check the documents submitted for admission according to Art. 14, par. 2 and determine whether the subject of the doctoral thesis falls into the responsibility of both KIT Departments involved and whether it is of interdisciplinary character. If these requirements are fulfilled, the procedure is started by the Interdepartmental Doctoral Admissions Committee, unless

the latter decides 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 Interdepartmental Doctoral Admissions Committee refuses the start of the doctoral procedure, if
1. no person authorized to participate in doctoral procedures according to Art. 4 by one of the two KIT Departments of Mathematics or of Business and Economics declares to be scientifically responsible for the area covered by the doctoral thesis,
  2. the applicant has already made more than one unsuccessful attempt to achieve the doctorate,
  3. a doctoral degree was revoked for legal reasons,
  4. reasons exist for the revocation of the doctoral degree according to the legal provisions,
  5. the applicant is not worthy of a doctorate due to a major violation of the principles of good research practice,
  6. the applicant has already been conferred the doctoral degree desired according to Art. 2, par. 1, or if
  7. a contractual relationship exists or existed between the applicant and a commercial advisor relating to the doctorate.

A refusal shall require confirmation by both KIT Department Councils. In case of a refusal, Art. 11, par. 4, clauses 3 and 4 shall apply.

## **Article 16 Interdepartmental Doctoral Examination Committee**

- (1) Upon the start of the doctoral procedure, the Interdepartmental Doctoral Admissions Committee shall appoint the Interdepartmental Doctoral Examination Committee. The latter shall consist of the Chairperson, two reviewers, and another person authorized to participate in doctoral procedures from the KIT Department of Mathematics and the KIT Department of Business and Economics each.
- (2) The Interdepartmental Doctoral Examination Committee is chaired by the Chairperson of the Interdepartmental Doctoral Admissions Committee or a deputy appointed by her/him.
- (3) Two reviewers shall be appointed, one each from both KIT Departments involved. The reviewer may be any scientifically responsible person authorized to participate in doctoral procedures according to Art. 4. The restriction made in Art. 7, par. 3 of the *Verfahrensordnung des KIT zur Errichtung des Status eines „KIT Associate Fellow“* (*Rules of Procedure of KIT for Establishment of the Status "KIT Associate Fellow"*) shall not apply. The Chairperson of the Interdepartmental Doctoral Examination Committee may not be appointed reviewer. In addition to the two reviewers from the KIT

Departments of Mathematics and of Business and Economics, another external reviewer may be admitted.

- (4) At least one of the reviewers shall not be co-author of any of the doctoral candidate's publications that have been incorporated in the doctoral thesis.

### **Article 17 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 within three months upon receipt of the thesis.
- (2) The grades to be given for a doctoral thesis recommended for acceptance may be:

1.0	= magna cum laude	(sehr gut) (very good)
2.0	= cum laude	(gut) (good)
3.0	= rite	(genügend) (sufficient)

For a differentiated assessment, interim grades can be given by increasing or reducing the grades by 0.3. A grade for a doctoral thesis recommended for acceptance may not be better than 1.0 and not worse than 3.0.

- (3) In the case of particularly outstanding achievements, the reviewer may propose in her/his review to award the overall rating "mit Auszeichnung" (with distinction) (summa cum laude) when a corresponding result is achieved in the oral examination. If two reviewers have been appointed according to Art. 16, par. 3 and both propose in their reviews to award the rating "mit Auszeichnung" (with distinction) (summa cum laude), the Chairperson of the Interdepartmental Doctoral Admissions Committee shall appoint, upon proposal by the Interdepartmental Doctoral Examination Committee, another reviewer who will then also be member of the Interdepartmental Doctoral Examination Committee. This reviewer shall not be member of the KIT Departments of Mathematics and of Business and Economics.
- (4) As soon as all reviews have been submitted, the Chairperson of the Interdepartmental Doctoral Admissions Committee shall inform the persons authorized by the KIT Departments of Mathematics or of Business and Economics to participate in doctoral procedures according to Art. 4 that the doctoral thesis and the reviews of the reviewers will be made available to them for inspection at the respective Dean's Office for two weeks. Within this period, persons authorized to participate in doctoral procedures according to Art. 4 may, in written form, object to the doctoral thesis and its assessment, with the reasons being indicated.
- (5) In case all reviewers have recommended acceptance of the doctoral thesis, it is proceeded as follows:

1. In case no objection is made, the Chairperson of the Interdepartmental Doctoral Examination Committee shall declare acceptance of the doctoral thesis and determines the grade in the form of the unrounded arithmetic mean of the assessments of the reviewers.
  2. In case of an objection, the Interdepartmental Doctoral Examination Committee shall decide whether this to be considered in the assessment of the doctoral thesis. The Interdepartmental Doctoral Examination Committee may decide to request another review prior to its decision. If the objection is to be considered, the Doctoral Examination Committee shall decide on the acceptance or rejection of the doctoral thesis. If acceptance is agreed upon, every Doctoral Examination Committee member proposes a grade as specified in par. 2. From these proposals, the unrounded arithmetic mean is calculated as the grade of the doctoral thesis.
- (6)** In case the doctoral thesis is rejected by one, but not by the other reviewer, the Chairperson of the Interdepartmental Doctoral Admissions Committee shall appoint, upon proposal by the Doctoral Examination Committee, a person authorized to participate in doctoral procedures according to Art. 4 as another reviewer, who then will also be member of the Doctoral Examination Committee. This reviewer shall be member of the KIT Department, whose member is the reviewer who recommended rejection of the doctoral thesis. This other reviewer may also be an external person from the subject area to which the reviewer belongs, who recommended rejection of the doctoral thesis. In this case, the display period according to Art. 4, cl. 1 shall begin upon receipt of the additional review only. If no objection is made, the Doctoral Examination Committee decides 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, No. 2, clauses 1 and 3 through 5 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, No. 2, cl. 2 shall apply. In case the doctoral thesis is accepted, par. 5, No. 2, clauses 4 and 5 shall apply. In case of an objection, par. 5, No. 2, clauses 1 and 3 through 5 shall apply.
- (8)** In case a reviewer found deficiencies in the doctoral thesis without rejecting it in general, she/he may request in her/his review the elimination of deficiencies as a prerequisite for the recommendation of acceptance of the doctoral thesis. The Chairperson of the Doctoral Examination Committee shall then ask the doctoral candidate to eliminate the deficiencies and to resubmit the doctoral thesis within not more than six months. Upon

the candidate's request in writing, the Chairperson of the Doctoral Examination Committee can extend the period specified in cl. 2 by three months in justified exceptional cases. In case the doctoral candidate fails to observe the deadline for the resubmission of the doctoral thesis or if the deficiencies found have not be eliminated completely, the doctoral thesis shall be deemed to have been recommended for rejection by the reviewer as specified in cl. 1. In case the deadline for the resubmission of the doctoral thesis is observed and the deficiencies found have been eliminated completely, assessment shall be based on the initially submitted version, with the doctoral candidate's independent work to eliminate the deficiencies having to be considered. After having heard the reviewers and obtained their approval of the elimination of the deficiencies, the doctoral thesis shall be deemed to have been recommended for acceptance according to par. 1, cl. 2 by the reviewer specified in cl. 1.

- (9) The reviewers shall approve the doctoral thesis for publication. In case a reviewer found deficiencies in the doctoral thesis without rejecting it in general, she/he may request the elimination of the deficiencies as a prerequisite for the publication of the doctoral thesis, unless a case as outlined in par. 8 is given. Otherwise, the reviewed version of the doctoral thesis shall be deemed to have been approved for publication.
- (10) In case the doctoral thesis has been rejected, the candidate shall be notified by the Chairperson of the Interdepartmental Doctoral Admissions Committee according to Art. 11, par. 4, cl. 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.
- (11) A reviewer who has rejected the doctoral thesis may demand that she/he is not mentioned as reviewer in the publication of the thesis.

### **Article 18 Oral Examination**

- (1) In case the doctoral thesis has been accepted, the Chairperson of the Interdepartmental Doctoral Admissions Committee shall determine the date and venue of the oral examination. The oral examination can take place upon expiry of the display period according to Art. 17, par. 4, cl. 1 at the earliest. The date and venue of the oral examination and the members of the Doctoral Examination Committee according to Art. 16 shall be communicated in writing to the doctoral candidate. The span between the receipt of this information and the date of the oral examination must not be shorter 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 Interdepartmental Doctoral Admissions Committee shall appoint a person authorized to participate in doctoral procedures according to Art. 4 as deputy, who will then take part in the oral examination instead of the absent member.

The doctoral candidate must be informed promptly and not later than at the beginning of the oral examination about the changed composition of the Doctoral Examination Committee. In cases of cl. 1, the Chairperson of the Interdepartmental 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 instead of appointing a deputy. Par. 1, clauses 2 through 5 shall apply.

- (3)** Apart from the members of the Doctoral Examination Committee, the following persons shall be invited to the oral examination:
  1. The President and the KIT Deans of the other KIT Departments,
  2. the persons authorized to participate in doctoral procedures according to Art. 4 from the KIT Departments of Mathematics and of Business and Economics; KIT Associate Fellows shall be invited only, if the doctoral candidate is member of the Fellow's own (junior) research group.
- (4)** The Chairperson of the Doctoral Examination Committee shall direct the oral examination. She/he shall provide for a proper procedure and shall document the general course of the oral examination in minutes. The minutes shall be signed by all members of the Doctoral Examination Committee.
- (5)** The oral examination shall have a total duration of about 1 hour and 15 minutes. It shall consist of a short presentation of about 30 minutes by the doctoral candidate about her/his doctoral thesis. It is followed by a discussion of about 45 minutes (disputation) with the members of the Doctoral Examination Committee and the scientists present according to par. 3, during which the candidate shall prove proficiency in the area to which the doctoral thesis is assigned. The oral examination shall cover the doctoral thesis.
- (6)** The oral examination shall be held in the German or English language. In justified exceptional cases and upon agreement of the Doctoral Examination Committee, it may also take place in another language.
- (7)** Directly after the oral examination, the members of the Doctoral Examination Committee shall discuss the oral examination results of the doctoral candidate. Each member of the Doctoral Examination Committee shall independently award a grade according to Art. 17, par. 2; an insufficient examination will be given the grade of "nicht genügend" (4.0, failed).
- (8)** The final 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)** Depending on the seats available, members of the KIT Departments of Mathematics and of Business and Economics other than those specified in par. 3 can attend the

presentation and the disputation, but not the following discussion and assessment of the oral examination according to par. 7 and the determination of the final grade for the doctorate according to Art. 21. The public may be excluded ex officio for an important reason or upon the doctoral candidate's request in writing.

### **Article 19 Repetition of the Oral Examination**

- (1) If the doctoral candidate fails in the oral examination, she/he 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 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. 1, 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 Interdepartmental Doctoral Admissions Committee shall decide on justified exceptions.

### **Article 20 Withdrawal from the Oral Examination**

- (1) In case the doctoral candidate does not take part in the oral examination on the date fixed without having an important reason, the oral examination shall be deemed to have been failed.
- (2) In case the doctoral candidate is unable to take part in the oral examination due to sickness or another important reason, the Interdepartmental Doctoral Admissions Committee shall approve withdrawal from the oral examination on written request. This request shall be addressed immediately to the Doctoral Admissions Committee, with the reason of the withdrawal being indicated and the corresponding proofs being attached. In case of sickness, a medical certificate containing the medical information necessary to assess the inability to take part in the examination shall be added.
- (3) 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 21 Overall Grade for the Doctorate and Determination of the Doctoral Degree to Be Awarded**

- (1) After the oral examination, the Doctoral Examination Committee shall determine the overall grade for a successful doctorate. The Doctoral Examination Committee shall determine the doctoral degree to be awarded (Doktor/Doktorin der Wirtschaftswissenschaften (Dr. rer. pol.) (Doctor of Economics) or Doktor/Doktorin der Ingenieurwissenschaften (Dr.-Ing.) (Doctor of Engineering) or Doktor/Doktorin der Naturwissenschaften (Dr. rer. nat.) (Doctor of Natural Sciences)) depending on the main contents of the doctoral thesis, the academic background of the supervisors, and the academic background of the doctoral candidate.
- (2) 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 grades of the doctoral thesis and oral examination are the unrounded arithmetic means according to Art. 17, pars. 5, 6, or 7 and Art. 18, par. 8, cl. 1. If the resulting mean is less than 0.5 higher than an integer, the grade is rounded down to the next lower integer; if the mean is more than 0.5 higher than an integer, the grade is rounded up to the next higher integer; if the mean differs precisely by 0.5 from an integer, it is rounded down. The weighted means rounded according to cl. 3 and the corresponding overall grades for the doctorate are

  - 1 = “magna cum laude” (“sehr gut” (very good)),
  - 2 = “cum laude” (“gut” (good))
  - 3 = “rite” (“bestanden” (passed)).
- (3) In case of outstanding results, the Doctoral Examination Committee may unanimously decide to award the overall grade “summa cum laude” (“mit Auszeichnung bestanden” (passed with distinction)). Otherwise, an overall grade according to par. 2 shall 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 directly after the determination of the overall grade.
- (5) The Chairperson of the Interdepartmental Doctoral Admissions Committee shall forward to the doctoral candidate a notification in writing with the information on the rights to appeal and contents outlined in par. 4.
- (6) On the doctoral candidate’s written request, the two KIT Departments involved 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. Depending on the type of publication, the following copies or files shall be handed over to the KIT Library within the period indicated above:
- a) 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,
  - b) 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,
  - c) 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 in electronic form on the Internet is ensured, or
  - d) 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, letter a or b must have a title page or contain bibliographic data on the doctoral thesis. The copies published according to par. 1, cl. 2, letters c or d must be accompanied by the notation that the publication represents a doctoral thesis approved by the KIT Departments of Mathematics and of Business and Economics of Karlsruhe Institute of Technology (KIT) and must indicate the date of the oral examination. In case the reviewers have approved a title other than that of the examination copy, this title shall also be indicated in the doctoral thesis.
- (3) In cases of par. 1, cl. 2, letter a, 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, letter a. 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, letter b, 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, letter a and on written request by the doctoral candidate, the Chairperson of the Interdepartmental Doctoral Admissions Committee may deem the obligations outlined in par. 1 to be also fulfilled

when 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 shall be certified in writing by the Chairperson of the Interdepartmental 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. 1, cl. 3, the KIT Library shall indicate the existence and duration of the non-disclosure notice.

- (6) The doctoral candidate shall declare in writing to the KIT Library that the version submitted is identical in terms of contents with the version approved by the reviewers according to Art. 17, par. 9.
- (7) In case the deadline specified in par. 1 is missed, any and all rights acquired as a result of 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 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 Deans of the KIT Departments of Mathematics and of Business and Economics, and provided with the seal of Karlsruhe Institute of Technology. Its layout shall correspond to that in Annex 1 of these 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 capacities, academic degrees, titles, and names of the reviewers. It shall be signed by the KIT Deans of the KIT Departments of Mathematics and of Business and Economics and provided with the seal of the KIT Departments of Mathematics and of Business and Economics.
- (3) The doctorate is awarded by the KIT Deans 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. 22. 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 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 the doctoral achievements or that essential prerequisites for the admission to the doctorate have erroneously been taken for granted, the Interdepartmental Doctoral Admissions Committee may declare the doctoral procedure terminated unsuccessfully. The KIT Deans shall inform the President about this decision.
- (2)** The doctoral degree may be revoked by the Interdepartmental Doctoral Admissions Committee, if it is found out later that it was achieved by deception. As for the rest, the legal provisions shall apply.
- (3)** Prior to the decision of the Interdepartmental 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.
- (4)** Incriminating decisions of the Interdepartmental Doctoral Admissions Committee according to pars. 1 and 2 shall be notified to the candidate in writing, with the reasons and information on the rights to appeal being indicated.
- (5)** Return of the doctoral degree certificate shall be subject to Art. 52 LVwVfG.

## **Section 3: Honors**

### **Article 25 Honorary Doctorate**

- (1)** On the request of a member of the KIT Departments of Mathematics and of Business and Economics, the two KIT Departments involved 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) or of a Doktor der Wirtschaftswissenschaften ehrenhalber (Dr. rer. pol. h. c.) or Doktorin der Wirtschaftswissenschaften ehrenhalber (Dr. rer. pol. h. c.) (Honorary Doctor of Economics) or of a Doktor der Ingenieurwissenschaften ehrenhalber (Dr.-Ing. h. c.) or Doktorin der Ingenieurwissenschaften ehrenhalber (Dr.-Ing. h. c.) (Honorary Doctor of Engineering) to persons who are no members of Karlsruhe Institute of Technology (KIT) or of one of its bodies in recognition of their outstanding scientific merits within the fields of teaching and research of the KIT Departments.
- (2)** The KIT Senate shall decide on the award of the honorary doctorate upon proposal by the Executive Board in agreement with the KIT Departments of Mathematics and of

Business and Economics or upon proposal by the KIT Departments of Mathematics and of Business and Economics in agreement with the Executive Board. The KIT Department Councils shall deliberate on the proposal in two readings. For preparation, they shall establish an advisory commission of at least four members with two members each coming from the KIT Departments of Mathematics and of Business and Economics. The decision on the proposal to be submitted to the KIT Senate shall require a three-fourths majority of the present members of the KIT Department Councils.

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

### **Article 26 Doctoral Jubilee**

The KIT Departments of Mathematics and of Business and Economics may renew a doctoral certificate awarded by them on the basis of these Regulations, 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 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 two KIT Department Councils.

## **Section 4: Concluding Provisions**

### **Article 27 Entry into Force**

- (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).

Karlsruhe, February 6, 2025

Professor Dr. Jan S. Hesthaven  
(President of KIT)

## **Annex 1**

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

verleiht durch die  
*awards in the*

KIT-Fakultät für Wirtschaftswissenschaften  
*KIT Department of Business and Economics*

und die  
*and the*

KIT-Fakultät für Mathematik  
*KIT Department of Mathematics*

**(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 Wirtschaftswissenschaften  
(Dr. rer. pol.) /**

**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  
Wirtschaftswissenschaften

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Dekan/-in der KIT-Fakultät für Mathematik

## **Annex 2 (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 § 15 Absatz 2 Ziffer 3 der interfakultativen Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultäten für Mathematik und Wirtschaftswissenschaften:

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

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\* 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 2 (English)**

The present affirmation in lieu of oath shall be given in writing as a rule. 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. 15, par. 2, No. 3 of the Interdepartmental Regulations of Karlsruhe Institute of Technology for the Award of the Doctoral Degree at the KIT Departments of Mathematics and of Business and Economics:

1. The submitted 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 3 (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 3 (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

Par. 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.

Par. 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 4a (German)

### **Versicherung gemäß § 13 Absatz 2 Ziffer 4 der interfakultativen Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultäten für Mathematik und Wirtschaftswissenschaften**

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 4a (English)**

**Affirmation According to Art. 13, par. 2, No. 4 of the Interdepartmental Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Departments of Mathematics and of Business and Economics**

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

---

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

## **Annex 4b (German)**

### **Versicherung gemäß § 15 Absatz 2 Ziffer 5 der interfakultativen Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT- Fakultäten für Mathematik und Wirtschaftswissenschaften**

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 beigefügt. 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

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 4b (English)**

#### **Affirmation According to Art. 15, par. 2, No. 5 of the Interdepartmental Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Departments of Mathematics and of Business and Economics**

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 (KIT)” (Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)).
6. 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 declaration:<sup>1\*</sup>

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

*Authors:*

*Title of Previous 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 were submitted to

*university:*

*department:*

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

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

Place and date

Signature

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