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## **Doctoral Regulations of the Faculty of Medicine at Heinrich Heine University Düsseldorf dated 08.02.2017**

Based on Sec. 2 (4) and Sec. 67 (3) HG [*Hochschulgesetz* or *Gesetz über die Hochschulen des Landes Nordrhein-Westfalen*: Higher Education Act of North Rhine-Westphalia] dated 16 September 2014 (GV.NRW. 2014 page 547), Heinrich Heine University Düsseldorf has enacted the following Doctoral Regulations:

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## **§ 1 Doctorate**

(1) The Faculty of Medicine at Heinrich Heine University Düsseldorf confers the academic title of Doctor of Medicine (Dr. med.), Doctor of Dentistry (Dr. med. dent.) or Doctor of Public Health (Dr. PH) subject to completing regular doctoral examination proceedings.

(2) The Faculty of Medicine at Heinrich Heine University Düsseldorf can confer the title Dr. med. h.c., Dr. med. dent. h.c. or Dr. PH h.c. as an honorary doctorate.

## **§ 2 Doctoral components**

Proof of the academic qualification required for the regular doctoral examination proceedings must be provided through the doctoral components. These comprise

- a) a written piece of scientific work (dissertation, § 8) about a topic relating to one of the subjects taught at the Faculty,
- b) completion of a structured training programme at the Medical Research School Düsseldorf (medRSD) in accordance with the regulations of the Medical Research School applicable when registering the doctorate project,
- c) a successfully completed oral exam in the form of a doctoral defence (§ 11).

## **§ 3 Doctoral Committee (*Promotionskommission*)**

(1) The Doctoral Committee comprises seven members of the Faculty of Medicine with *Habilitation* or equivalent qualifications and one research associate with a doctorate. At least one representative must be appointed for each member, and a hierarchy of representation must be set out. Members and representatives are appointed by the Faculty Council of the Faculty of Medicine for two years at a time. They may be reappointed. The Committee has rules of procedure.

(2) The Doctoral Committee carries out the following tasks in particular on behalf of the Dean:

1. Advising the Dean on doctoral matters and preparing decisions for the Dean in individual cases.

2. The Doctoral Committee monitors the orderly running of the examining procedure and gives the Dean substantiated recommendations thereon.

3. The members of the Doctoral Committee carry out the following functions:

a) chairing the oral exams,

b) preparing honorary doctorates (§ 18 (2)),

c) selecting award-worthy dissertations,

d) advising the Dean on appeals (§ 9 (12)),

e) advising the Faculty Council on preparing title revocation proceedings (§ 16 (3)),

f) advising the Dean in cases of scientific misconduct (§ 16 (1; 2)),

#### **§ 4 Prerequisites for admission for doctoral studies**

The following prerequisites must be met for admission for doctoral studies:

(1) to obtain the academic title “Dr. med.”, the doctoral researcher must have completed a state examination in human medicine or an exam equivalent to the German state medical exam at a foreign academic university.

(2) to obtain the academic title “Dr. med. dent”, the doctoral researcher must have completed a state examination in dentistry or an exam equivalent to the German state dentistry exam at a foreign academic university.

(3) to obtain the academic title “Dr. PH”, the doctoral researcher must either

a) have completed a state examination in human medicine, dentistry, veterinary medicine or pharmacy or

b) have obtained an diploma / master’s degree at a university in the medicine-related natural sciences, in business, the social sciences, behavioural sciences, health sciences or life sciences with content-based and methodological links to public health.

Further prerequisites for approval to complete a doctorate for the title of “Dr. PH” in addition to those listed above include:

c) an exam for a 'Master of Science (M. Sc.) in Public Health' at Heinrich Heine University Düsseldorf or at another university in Germany or abroad or

d) special scientific achievements in the field of the doctoral subject. Proof must be provided of at least two years of scientific work related to public health in a scientific institution where scientific publications were published in recognised journals or editions and scientific lectures were given. The Examining Board for the master's degree 'Master of Science (M.Sc.) Public Health' from the Faculty of Medicine examines the special scientific achievement.

In particularly justified exceptional cases, the Dean may reduce the required two years of scientific work.

(4) The exam completed at the foreign academic university is considered equivalent if the doctoral researcher has a German occupation permit/license to practise human medicine/veterinary medicine/dentistry.

(5) Contrary to § 4 (4), qualifications from foreign universities are recognised as relevant in accordance with Sec. 63a HG NRW. If there are no equivalence agreements, the Dean decides on the equivalence of the educational qualification, generally involving the ZAB [*Zentralstelle für ausländisches Bildungswesen*: Central Office for Foreign Education].

(6) The doctoral researcher must demonstrate a sufficient knowledge of English or of German. Doctoral researchers completing their doctorate in English and whose native language is not English or German as well as doctoral researchers completing their doctorate in German whose native language is not German must provide proof of the requisite language skills in accordance with the respective regulations regarding proof of language competency pursuant to Sec. 49 (10) HG when commencing their studies at Heinrich Heine University Düsseldorf.

(7) Pursuant to Sec. 67 (5) HG, the doctoral researcher is obliged to enrol at Heinrich Heine University as a doctoral researcher or a guest doctoral researcher (*Promotionshörer/in*) unless he/she is already registered as a student of the Faculty of Medicine and must remain enrolled throughout the entire duration of the doctorate without interruption. In justified exceptional cases, the Dean can exempt the doctoral researcher from the obligation to enrol.

(8) For all research on or involving human subjects (also deceased persons), for research with human bodily materials and for research involving the collection or evaluation of personal data, approval must be obtained from the Ethics Committee at the Faculty of Medicine at Heinrich

Heine University Düsseldorf or the respective Ethics Committee responsible before commencing research (see respective applicable version: Statutes of the Ethics Committee of the Faculty of Medicine; *Berufsordnung für die nordrheinischen Ärztinnen und Ärzte* (Medical Association's Professional Code of Conduct, North Rhine-Westphalia, Germany), Declaration of Helsinki). If existing data are re-evaluated for research projects (meta-analyses) that were already the subject of an ethics vote, no new ethics vote is required. If study protocol amendments become necessary during the course of the research work, approval must likewise be obtained from the Ethics Committee for these amendments before the work commences.

(9) For work comprising findings from animal testing (in accordance with the TierSchG [*Tierschutzgesetz*: German Animal Welfare Act] as amended) or animal organs, the file reference allocated by the LANUV [*Landesamt für Natur-, Umwelt- und Verbraucherschutz*: State Agency for Nature, Environment and Consumer Protection North Rhine-Westphalia] during the approval procedure and a copy of the approval letter or, in the case of organ removals, the file reference allocated by the ZETT [*Zentrale Einrichtung für Tierforschung und wissenschaftliche Tierschutzaufgaben*: HHU Central Institute for Animal Research and Scientific Animal Protection Tasks] must be available before the testing commences. If animal testing was carried out in person, a declaration on completion of an introduction to laboratory animal science to obtain the proof of specialist knowledge pursuant to Sec. 9 TierSchG as amended or a qualification recognised as equivalent by the Animal Welfare Officer at Heinrich Heine University must likewise be provided.

## **§ 5 Supervision of the doctorate**

(1) The doctoral researcher's doctorate is supervised by a subject matter expert (hereinafter referred to as 'supervisor') and at least one additional scientist with a knowledge of the field (hereinafter referred to as 'co-supervisor'). The supervisor and co-supervisor are appointed by the Dean. The work of the doctoral researcher should be carried out in constant dialogue with the supervisor and co-supervisor.

(2) The supervisor must belong to the Faculty of Medicine or another faculty at Heinrich Heine University Düsseldorf or at a partner institution. All supervisor/s and co-supervisor/s must belong to the group of university lecturers (including adjunct professors, junior professors, *Privatdozenten/Privatdozentinnen* or persons with equivalent qualifications). At least one supervisor must work full time at the Faculty of Medicine at Heinrich Heine University.

(3) The co-supervisor must be independent of the supervisor and cannot work under the supervisor or belong to the same department. His/her task is to provide additional supervision for the doctoral researcher.

(4) In justified cases, the co-supervisor can be changed in accordance with § 5 (1) Sentence 1 and Sentence 2. The supervisor and the doctoral researcher must apply to the Dean immediately to change co-supervisor. This application must contain the following information in particular:

a) the name of the current co-supervisor;

b) the name of the future co-supervisor as well as a declaration by that person confirming the willingness to act as co-supervisor.

c) a justifiable reason for the change.

(5) Before commencing work on the dissertation, the doctoral researcher must have a meeting with the supervisor and the co-supervisor. Other persons can also take part in this meeting. As a deliverable from the meeting, the doctoral researcher enters into a written supervision agreement (in accordance with § 67 (2) HG NRW) with the supervisor, which unambiguously sets out the entitlements, rights and obligations of both parties.

The supervision agreement is signed by all persons who attended the meeting. Each of these persons and the medRSD office receive a copy of the signed supervision agreement.

(6) The doctoral researcher writes a progress report at least once a year. While working on the dissertation, the doctoral researcher, the supervisor and the co-supervisor meet at least once a year in order to discuss this progress report. Other persons can also take part in this meeting.

The progress report is signed by all persons who attended the meeting. Each of these persons and the medRSD office receive a copy of the progress report.

## **§ 6 Registration of doctoral project and acceptance to the Medical Research School Düsseldorf**

(1) The Dean must be notified about the doctoral research project within the first three months of commencing the work. This happens by registering with and being accepted to medRSD. The following must be enclosed:

- a) precise information on the progress of training and studies to date as well as certificates and proof of study progress and the qualifications obtained,
- b) the supervision agreement signed by the doctoral researcher, supervisor and co-supervisor in accordance with Sec. 67 (2) HG NRW,
- c) details on the doctorate project and a project outline,
- d) if approval by the Ethics Committee is necessary to carry out the work (see also § 4 (8)), a copy of the approval must be included with the initial application prior to commencing research at medRSD. If study protocol amendments become necessary as part of the doctorate project, the doctoral researcher is obliged, immediately and with the help of the supervisor, to make a corresponding application to the Ethics Committee of the Faculty of Medicine and to submit a corresponding copy of the approval for the respective amendment to medRSD at his/her own responsibility.

(2) Acceptance to medRSD can be refused if the prerequisites in accordance with § 4 (6), (8) and (9) and pursuant to § 6 (1) are not met. The doctoral researcher, supervisor and co-supervisor are notified in writing of the result.

(3) If the doctoral researcher is accepted to medRSD, he/she receives written confirmation and thus acceptance of the doctorate project. The doctoral researcher is obliged to take part in the structured training programme at medRSD. As part of the training, the student is instructed on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf as well as the Guidelines of the Faculty of Medicine for Safeguarding Good Scientific Practice. A certificate is issued confirming successful participation in the structured training programme at medRSD.

(4) Acceptance of the doctorate project lasts for an initial period of four years. Within this period, the dissertation should be submitted and the application for admission for doctoral examination proceedings made. A written application can be made once to extend this period by one year. The reason for the extension must be presented transparently in the application. The application for an extension must be sent to the Dean three months before the end of the four-year period. If the five years have lapsed before completion of the exam qualifying for a doctorate, the application for admission for doctoral studies (see § 7) must be made no later than one year after the exam.

(5) A further doctorate project can only be accepted after the project already registered has ended.

(6) Upon acceptance to medRSD as well as throughout the doctorate, personal data are collected, automatically stored and processed by the Dean's Office of the Faculty of Medicine at Heinrich Heine University Düsseldorf to meet statutory requirements as well as for legislative and planning purposes at the university in accordance with the provisions of the applicable *Hochschulstatistikgesetz* (German University Statistics Act). The nature and scope of the personal data are described in the implementation rules (Appendix 1) for these Regulations.

(7) The data are regularly transferred or passed on to the *Landesamt für Datenverarbeitung und Statistik NRW* (State Agency for Data Processing and Statistics North Rhine-Westphalia) with reference to the data collection characteristics of the applicable *Hochschulstatistikgesetz* as well as to the Statistics department of the Administration of Heinrich Heine University Düsseldorf for the purpose of presenting university statistics.

(8) The doctoral researchers are obliged, at least once a year on request, to check the correctness of the data collected upon acceptance, to notify the Faculty of Medicine of any changes and to confirm that the doctorate project is still under way or has been discontinued. If there is no response within a specified time limit despite a reminder, the doctorate project can be classified as discontinued.

(9) The doctoral researcher can deregister from medRSD in writing before applying for admission for doctoral examination proceedings. In this case, the candidate is considered to have not attempted to complete the doctorate.

(10) The doctoral researcher is obliged to enrol at the University on a continuous basis throughout the duration of the doctorate pursuant to § 4 (7).

## **§ 7 Application for admission for doctoral examination proceedings**

(1) The application for admission for doctoral examination proceedings can be submitted in writing to the Dean of the Faculty of Medicine by doctoral researchers whose doctorate project has been accepted pursuant to § 6.

(2) The following must be included in the application for admission:



1. Four bound copies of the dissertation on paper,
2. One copy of the dissertation in electronic form as an unprotected Portable Document Format (PDF) in order to facilitate a plagiarism check using software. The doctoral researcher provides his/her written consent to the check in the application for admission.
3. In the case of publications involving the doctoral researcher, a list of the contributions of the individual authors to the manuscript signed by the first author, the corresponding author and the doctoral researcher. The respective share in content of all authors must be explained in detail. The specific contribution of the doctoral researcher to the manuscript must be described. It is not sufficient to merely state percentages. The first author, the corresponding author and the doctoral researcher must confirm in writing that these details are correct. If a signature cannot be obtained, the reasons must be provided.
4. A one-page written summary of the dissertation in German and the same in English,
5. An affidavit that the exam component was written independently, without third-party assistance, and that no sources or aids other than those listed were used and that quotes were referenced, and that it was prepared in accordance with the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf. The exact wording is contained in the implementation rules for these Regulations. The affidavit must be dated and signed by the doctoral researcher in the application for admission.
6. A declaration of whether the doctoral researcher has already submitted the dissertation to another faculty; the declaration must also provide information on all previous unsuccessful and successful attempts at completing a doctorate;
7. A declaration by the doctoral researcher of whether the doctoral defence will be carried out in German or in English;
8. Confirmation of participation in the training programme at medRSD;
9. Pursuant to § 4 (8): a copy of the approval (including of all amendments) of the Ethics Committee responsible.
10. Pursuant to § 4 (9): a copy of the approval letter and the file reference allocated by the LANUV or, in the case of organ removals, the file reference allocated by the ZETT and/or the proof of specialist knowledge.

11. For a doctorate to obtain the academic title of Dr. med. or Dr. med. dent., the certificate for passing the German state medical exam or German state dentistry exam or the German license/occupation permit; For a doctorate to obtain the academic title of Dr. PH, the certificate for one of the qualifications listed in § 4 (3), if applicable including proof of the link to public health (pursuant to § 4 (3)), as well as a certificate for the exam for the Master of Science (M.Sc.) in Public Health and/or proof of special scientific achievements linked to public health (pursuant to § 4 (4) a and b);

12. The course book / certificate of enrolment, showing the period spent studying/completing a doctorate at Heinrich Heine University Düsseldorf. Enrolment must be documented throughout the entire period of the doctorate. If necessary the exemption by the Dean from the obligation to enrol.

13. A CV in German or in English that contains precise information on the progress of training and studies to date and that is dated and signed;

14. A birth certificate or (if name has changed) marriage certificate of the applicant,

15. A certificate of good conduct (type O) that is no older than six months;

16. A photo.

Certificates must be presented as originals or as certified copies.

(3) The doctoral examination proceedings including the related administrative tasks are carried out by the Dean's Office of the Faculty of Medicine. The Dean decides whether to grant admission for doctoral examination proceedings. The doctoral researcher receives written notification of the decision regarding admission for doctoral examination proceedings.

(4) Admission can only be refused if the enclosed documents and declarations are incomplete, incorrect or contravene the provisions of these Doctoral Regulations, if unsuccessful attempts have already been made to complete a doctorate or the doctoral researcher does not meet the prerequisites for submission pursuant to § 4. The notice must contain grounds for the decision and instructions on the right of appeal.

## **§ 8 Dissertation**

(1) The dissertation should be of scientific merit, contain new findings and demonstrate the ability of the author to carry out independent research and present the research findings appropriately in accordance with scientific standards.

(2) The topic of the dissertation is chosen by the doctoral researcher in agreement with the supervisor.

(3) The dissertation must be written in German or in English. The dissertation including the title page must be formatted in accordance with Appendix 2 of these Regulations. The dissertation must include a summary in German and in English.

(4) In addition to the traditional form, an article-based dissertation can also be written. The prerequisite for this is at least one unshared first authorship of an original piece of work that has been published or accepted for publication in an internationally recognised journal listed in PubMed or ISI Web of Knowledge that has a peer review procedure. An article-based dissertation has the chapters Introduction, Discussion and Summary. The Material and Methods sections as well as Results are replaced by the article. Additional methods, results or details not mentioned in the article can be listed in the article-based dissertation. With an article-based dissertation, the doctoral researcher must ensure independently that all authors are informed of the use of the manuscript as an article-based dissertation and that use of the manuscript does not constitute a copyright infringement.

(5) If parts of the dissertation were already published in advance, or if manuscripts were submitted for publication, all articles must be listed in the dissertation as a full reference with all authors. In addition, the text of the dissertation must make clear which texts, figures or data were taken from the author's own articles or from articles by other authors.

## **§ 9 Examination and acceptance of the dissertation**

(1) The Dean generally appoints two, but no more than four, persons (examiners) to report on the dissertation. The examiners generally belong to the group of persons listed in § 5 (2) Sentence 1 and 2.

Contrary to Sentence 2, the Dean can appoint examiners from another faculty or another university if a justified application is made.

(2) At least one examiner must be a full-time faculty member at the Faculty of Medicine. In justified exceptional cases, the Dean can deviate from the arrangement described in the previous sentence.

(3) The reports on the dissertation must be presented within six weeks of the appointment in the form of a report containing detailed grounds. The reports must conclude with a vote on whether the dissertation is of scientific merit as defined by § 8 (1) and whether the examiner recommends that the dissertation be accepted or refused.

(4) If the vote is positive, the work must be graded using the following grades and intermediary grades: *summa cum laude* (excellent, 0 or 0.3), *magna cum laude* (very good, 0.7; 1 or 1.3), *cum laude* (good, 1.7; 2 or 2.3) or *rite* (sufficient, 2.7 or 3). If the vote is negative, the work must be graded as *non sufficit* (insufficient, 4).

(5) If requested reports on the dissertation are not provided or not provided on time, or if the examiner does not meet the formal requirements concerning review, the examiner may be released from his/her duties and a different person may be appointed in their place.

(6) If the grades proposed in both reports are at least *rite* (sufficient, 3.0), the grade for the written doctoral component is calculated as the arithmetic mean of the two grades.

(7) If the grades proposed in both reports are *non sufficit* (insufficient, 4), the grade for the written doctoral component is 'insufficient' (4).

(8) If one of the two grades is *non sufficit* (insufficient, 4) and the other grade is at least *rite* (sufficient, 3), the Dean generally appoints an additional person to review the dissertation. In this case, (3) to (5) apply accordingly.

The grade for the written doctoral component is then calculated as the arithmetic mean of all grades that are at least *rite* (sufficient, 3). If two of the three grades are *non sufficit* (insufficient, 4), the final grade is *non sufficit* (insufficient, 4).

(9) The dissertation with all reports is available for inspection in the Dean's Office for 10 working days. In addition to the supervisors and co-supervisors, inspection is open to the persons appointed to review the dissertation, the doctoral researcher and all members of the Faculty of Medicine who belong to the group of persons listed in § 5 (2) Sentence 2. The beginning of the inspection period is announced.

(10) If all reports pursuant to (3) and (4) vote that the dissertation constitutes a sufficient performance as defined in § 8 (1) and if no justified objection to acceptance by a member of the group of persons described in (9) is received by the Dean at least two working days after the end of the inspection period, the dissertation is accepted.

(11) If all reports pursuant to (3) and (4) vote that the dissertation does not constitute a sufficient performance as defined in § 8 (1) and if no justified objection to refusal by the doctoral researcher or by a member of the group of persons described in (9) is received by the Dean at least two working days after the end of the inspection period, the dissertation is rejected.

(12) In the event of an objection pursuant to (10) or (11), the Dean requests all examiners to review their reports. The examiners may then revise their reports. The Dean then decides whether to accept or reject the dissertation based on all reports. The decision is prepared by the Doctoral Committee.

(13) The applicant must be notified in writing of acceptance or rejection of the dissertation without undue delay. If the dissertation is rejected, the notice must refer to the provisions in § 13 (1) on repeating the dissertation.

(14) If all appraisals vote that the dissertation constitutes an excellent performance (*summa cum laude*, 0 or 0.3), the Dean obtains an additional, external report.

## **§ 10 Examining Board and date of doctoral defence**

(1) After the dissertation is accepted, the Dean appoints an Examining Board for the defence of the doctoral thesis.

(2) The Examining Board generally includes the following persons: the first examiner and the second examiner, a member of the Doctoral Committee, who chairs the Board, and at least one other member (no more than two other members) of the Faculty of Medicine who belongs to the group of persons listed in § 5 (2) Sentence 2.

(3) The Dean sets the date for the doctoral defence, invites the doctoral researcher and ensures that the examiners are notified. The defence must take place no later than six months after the end of the inspection period. Otherwise, it is deemed to have been failed unless the doctoral researcher is not responsible for the delay. In this case, an appropriate extension must be

granted. The date for the doctoral defence is announced no later than 14 days before the planned defence.

(4) The exam takes place if at least 3 members of the Examining Board including the Exam Chair and the first examiner or the second examiner are present and the Examining Board is thus quorate.

(5) The Dean can change the Examining Board used after hearing from the doctoral researcher if the doctoral examination proceedings cannot otherwise be continued within a reasonable period.

### **§ 11 Doctoral Defence**

(1) The doctoral defence is held in German or in English as an individual exam by the Examining Board in the form of an exam panel.

(2) The defence comprises a presentation by the doctoral researcher with a subsequent discussion. The subject of the defence is the dissertation and the entire specialist area as well as the most important fundamentals of related specialist areas.

(3) The doctoral defence is generally public. The Chair can take questions from the auditorium.

(4) A written record is prepared during the oral exam that records the content, development and result of the exam. The record is kept by a member of the Examining Board determined by the Chair.

### **§ 12 Assessment of the oral doctoral component and overall grade**

(1) Directly after the end of the oral doctoral exam, the Examining Board decides in a closed meeting whether to award the defence pass or a fail grade.

(2) If the grade for the oral exam is poorer than 3.0 (*rite*), the exam is deemed to have been failed. The defence is likewise failed if the doctoral researcher does not attend the defence or discontinues the defence without providing reasonable grounds.

(3) If the doctoral defence is given a pass grade, the Examining Board determines the precise grade for the defence and the overall grade for the doctorate at the same meeting and makes a note of these grades in the exam record.

(4) A doctoral defence that obtains a pass must be rated using the following grades and intermediate grades: *summa cum laude* (excellent, 0 or 0.3), *magna cum laude* (very good, 0.7; 1 or 1.3), *cum laude* (good, 1.7; 2 or 2.3) or *rite* (sufficient, 2.7 or 3). The grade for the oral doctoral component is calculated as the arithmetic mean of the individual grades awarded by the individual Board members.

(5) The dissertation grade counts for two thirds of the overall grade, with the oral exam accounting for the remaining third. The overall grades are as follows: from 0.0 to below 0.5: *summa cum laude* (excellent); from 0.5 to below 1.5: *magna cum laude* (very good); from 1.5 to below 2.5: *cum laude* (good); from 2.5 to 3.0: *rite* (sufficient). The overall grade of *summa cum laude* can only be awarded if the dissertation and the oral exam are both graded *summa cum laude* (excellent).

(6) The doctoral researcher must be informed orally of the result of the doctoral defence and the grades (if the dissertation passes) immediately if possible. If the student has passed the exam, reference must be made to the provisions on publication of the dissertation in § 14 and on the start of the entitlement to use the title of Doctor in § 15 (3). If the student has failed the exam, reference must be made to the provisions on repeats in § 13 (2).

### **§ 13 Repeating doctoral components**

(1) If the dissertation was rejected, there is one opportunity to present a new dissertation. The new dissertation must be materially new compared to the rejected dissertation or must have a different topic; § 8 also applies in this case. The new dissertation can be submitted no earlier than one year after the rejection. The complete documents and declarations in § 7 (2) Nos. 1 to 16 must be submitted again with the new dissertation; No. 6 must refer to the refusal of the first dissertation. All unsuccessful attempts (also at other universities) are counted if the study programme is the same or a comparable medical study programme and the exam component is the same. The Dean decides whether to grant admission for doctoral examination proceedings with the new dissertation pursuant to § 7 (3). After admission, the proceedings are continued in accordance with §§ 8 to 12 of these Regulations.

(2) A failed doctoral defence can be repeated once. The repeat must take place no earlier than two and no later than six months after the unsuccessful defence. In particularly justified exceptional cases, the Dean can, in agreement with the supervisor and the doctoral researcher, extend or shorten the deadline for repeating by a period agreed upon in the individual case. §§ 10 to 12 apply with regard to the repeat exam.

(3) If the candidate fails the oral exam a second time, the doctoral exam as a whole is definitively failed.

#### **§ 14 Publication of the dissertation**

(1) Permission to print the dissertation is granted by the Dean after the oral exam has been passed. The version of the dissertation intended for publication must be presented for this purpose.

(2) The dissertation copies must include the following note: “As an inaugural dissertation printed by permission of the Faculty of Medicine at Heinrich Heine University Düsseldorf

signed:

Dean:

First examiner:

Second examiner:

(3) The supervisor gives his/her consent to the printing of the dissertation in the revision note (Appendix 3). This can take place after purely editorial changes to the dissertation as necessary; no subsequent content changes are permitted. The Dean grants permission to print after receiving the revision note. In exceptional cases, permission to print can also be granted if the revision note has not been received and the doctoral researcher is not responsible for this.

(4) The dissertation must be published within a year of passing the oral doctoral exam. This deadline can be extended once by 3 months on application for due cause. If the deadline is not met, the doctoral examination proceedings are ended without success.

(5) The dissertation is published by submitting:

a) an electronic version to the University and State Library in Düsseldorf. The data format and data carrier must be agreed upon with the University and State Library, and



b) two bound copies of the dissertation to the University and State Library, which is also assigned the right to produce and disseminate or make available in data networks further copies of the dissertation within the framework of the statutory tasks of the university library.

(6) In exceptional cases, the Dean can permit publication without an electronic version subject to a written explanation. In such a case, the following must be submitted:

two bound copies each of the dissertation to the supervisor and the co-supervisor and 25 copies to the University and State Library in Düsseldorf; instead of the 25 copies, three copies are enough if a commercial publisher with a minimum print run of 150 copies takes responsibility for dissemination via bookshops and the publication details are provided on the back of the title page of the dissertation, stating the location of the dissertation.

(7) In all cases, the Dean's Office must be provided with a receipt from the University and State Library in Düsseldorf for the planned number of copies of the dissertation and of the electronic version of the dissertation if applicable. If § 14 (6) applies, an informal confirmation by the supervisor and the co-supervisor that they have received the planned number of copies of the dissertation must additionally be provided.

(8) In exceptional cases, e.g. for reasons relating to patent law, which must be presented to the Dean for review and approval, the supervisor can defer publication by the University and State Library in Düsseldorf for a year. Dissertations subject to such an embargo must be kept in the University and State Library in Düsseldorf subject to the agreed confidentiality duties. The Dean decides whether to extend the aforementioned periods on application from the supervisor. The doctoral researcher provides proof of submitting the dissertation by presenting a written confirmation from the University and State Library in Düsseldorf to the Dean's Office.

## **§ 15 Ending the doctoral examination proceedings**

(1) Once the dissertation has been duly submitted to the University and State Library in Düsseldorf pursuant to § 14 after permission to print is granted and once submission is confirmed, a doctoral certificate is issued that states the overall grade pursuant to § 12 (5) in Latin and as a decimal figure. The certificate is dated from the date of publication of the dissertation, signed by the Dean and awarded to the doctoral researcher. This marks the successful ending of the doctoral examination proceedings and the doctorate is completed.

(2) If it emerges before the doctoral certificate is awarded that the prerequisites for admission for doctoral examination proceedings are not met, the doctorate is not completed.

(3) Once the doctorate is completed, the student has the right to use the Doctor title. It is not permissible to use this title or similar titles before this time.

(4) A doctoral certificate acquired through the regular doctoral examination proceedings can be renewed after 50 years at an honorary ceremony. (doctoral anniversary)

(5) The doctoral attempt is deemed not to have been made if

a) the doctoral researcher withdraws the application for admission for doctoral examination proceedings with the Dean's consent prior to admission pursuant to § 7, or

b) the Dean revokes admission during the proceedings because key admission requirements are no longer met or were never met and were erroneously assumed to have been met, or

c) it is not possible to continue the doctoral examination proceedings for reasons for which the doctoral researcher is not responsible.

(6) The doctoral examination proceedings are deemed to have ended unsuccessfully if

a) the dissertation was rejected and the intention to repeat the dissertation was not communicated in good time or admission with the new dissertation was refused (§ 13 (1)) or the new dissertation was likewise rejected, or

b) the oral exam was once again failed during the repeat, or

c) the doctoral researcher fails to meet a deadline set out in these Regulations or set by the Dean despite a reminder and potential extension and is responsible for such failure, or

d) the Dean revokes admission during the proceedings:

i) because the doctoral researcher is guilty of deceit when providing proof of the admission requirements, or

ii) if doctoral components are declared invalid before the doctoral certificate is awarded because the doctoral researcher is guilty of deceit when providing proof of these doctoral components, or

iii) the Dean has found that the doctoral examination proceedings cannot be continued in accordance with the provisions in these Regulations for reasons for which the doctoral researcher is responsible.

## **§ 16 Deceit and revocation of the Doctor title**

(1) If it emerges before the doctoral certificate is awarded that the doctoral researcher is guilty of attempted deceit, deceit or scientific misconduct, the doctorate is not completed. The decision is taken by the Dean after the doctoral researcher has had an opportunity to make a written statement.

(2) After the doctoral certificate is awarded, the title of Doctor can be revoked if it emerges that it was acquired based on incorrect information regarding the prerequisites for the doctorate or through deceit, threat or bribery or if there has been scientific misconduct.

(3) Proceedings to revoke the Doctor title are initiated if the Dean obtains knowledge that a matter exists which would lead to revocation of the title pursuant to (2). The proceedings comprise up to two stages.

a) The first stage serves to carry out preliminary investigations and protect from false accusations. During this stage, the Dean examines whether more details regarding the suspicion can be obtained that would justify further investigations or whether the suspicion is unfounded. The Dean seeks advice from the Doctoral Committee described in § 3 to carry out this examination. During the preliminary investigations, the doctoral researcher concerned is given an opportunity to submit a statement. After the preliminary investigations have concluded, the Dean reports to the Faculty Council on the findings of the preliminary investigations. The members of the Faculty Council with a doctorate and voting rights then decide either to discontinue the proceedings without revoking the title or to continue with the second stage of the proceedings.

b) The second stage serves to investigate all relevant facts in a comprehensive and unbiased manner and to reach a final decision regarding revocation of the title. To do this, the members of the Faculty Council listed in (3) a) appoint at least two and no more than four persons to make a report. At least one of the persons appointed to make a report cannot be a member of Heinrich Heine University Düsseldorf. The persons appointed to make a report prepare their reports independently of each other based on the documents provided to them and their own investigations. The report details all facts that appear relevant to the reporting persons. These facts are weighted, and a closing recommendation is made to the Faculty Council. The doctoral researcher concerned is given an opportunity to inspect the reports and make a statement. Taking into account all information then available, the members of the Faculty Council listed in (3) a) decide whether to revoke the Doctor title. Otherwise, the provisions in the

*Verwaltungsverfahrensgesetz NRW* (Administrative Procedure Act for North Rhine-Westphalia) apply, in particular with respect to revoking administrative acts.

### **§ 17 Special rights of the Dean**

(1) If it is impossible to carry out or continue doctoral examination proceedings in accordance with the provisions of these Regulations, the Dean decides how to best proceed in accordance with these Regulations.

(2) If the Dean is prejudiced with respect to doctoral examination proceedings, the proceedings are transferred to a Vice Dean. This applies in particular if the Dean is directly involved in doctoral examination proceedings as the supervisor or co-supervisor.

### **§ 18 Honorary doctorates**

(1) The Faculty of Medicine at Heinrich Heine University Düsseldorf is entitled to confer an honorary Doctor title for outstanding scientific achievements or other extraordinary contributions related to medicine (Dr. med. h. c.), dentistry (Dr. med. dent. h. c.) or health sciences (Dr. PH h. c.).

(2) The proposal must be made by two members of the Faculty of Medicine with *Habilitation* or that are full-time professors, sent to the Faculty Council by the Doctoral Committee and accepted by at least 2/3 of the members of the Faculty Council with doctorates (representatives of the group of professors as well as the group of research associates).

(3) When the certificate is awarded, written notification of the achievements underlying the honorary doctorate must be provided and these must be recognised.

### **§ 19 Transitional provisions**

For doctoral researchers who have already registered for doctoral examination proceedings at medRSD before these Regulations enter into force, the following transitional provisions apply:

- a) Contrary to the provisions in § 6 (4), the four-year period does not commence until these Regulations enter into force. The deadline can be extended once by one year pursuant to § 6 (4).
- b) They are obliged to enrol at Heinrich Heine University in the semester following on from these Regulations entering into force in accordance with § 4 (7)
- c) They are excepted from the provisions in § 5.

## **§ 20 Entry into force**

These Regulations enter into force on the day after they are published in the Official Bulletin of Heinrich Heine University Düsseldorf.

Issued pursuant to the resolution by the Faculty Council of the Faculty of Medicine dated 19.01.2017.

Düsseldorf, 08.02.2017

The President  
of Heinrich Heine University  
Düsseldorf

Anja Steinbeck  
(Univ.-Prof. Dr. jur.)

Convenience translation, meant only for your information. Only the German version is legally binding.

## **Appendix 1:**

### **Implementation rules for the Doctoral Regulations of the Faculty of Medicine at Heinrich Heine University Düsseldorf dated 8 February 2017**

#### **Implementation rules for § 6 Registration of doctoral project and acceptance to the Medical Research School Düsseldorf**

The following personal data will be processed over the entire period from registration of the doctoral project with the Medical Research School Düsseldorf to ending the doctoral studies:

- a) Personal information (title, name, date of birth and place of birth, country of birth, gender, nationality, university registration number, contact address, e-mail address, telephone number);
- b) Education information (e.g. university entrance qualification, type/name/state of university, periods of study, registration/deregistration, subject/s, type and grade of undergraduate/graduate degree and/or final exams);
- c) Dissertation information (e.g. type/name/state of university, doctoral subject, type of dissertation, overall doctoral grade, topic, supervisor, co-supervisor, final qualification).
- d) Periods employed at the university, scholarships, collaboration (with universities of applied sciences, binational doctoral degrees, etc.), periods of study abroad.

#### **Implementation rules for § 7 Application for admission for doctoral examination proceedings**

The doctoral researcher issues an affidavit that the work was written independently, without third-party assistance, and that no sources or aids other than those listed were used and that quotes were referenced. The affidavit must be dated and signed by the doctoral researcher. The wording of the affidavit is as follows: “I solemnly swear that the dissertation was prepared by me independently and without impermissible third-party assistance in accordance with the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf as well as the Guidelines of the Faculty of Medicine for Safeguarding Good Scientific Practice. The content taken directly or indirectly from third-party sources has been referenced as such. I

accept that any infringement of the above affidavit will always lead to a fail grade in the doctoral component concerned and will also mean that the Faculty will decide whether to revoke the academic title of Doctor (§ 16 Doctoral Regulations). I am aware of the criminal law consequences of a false sworn affidavit (Sec. 156 StGB [*Strafgesetzbuch*: German Criminal Code]). Furthermore, any infringement can be punished with a monetary fine pursuant to Sec. 63 (5) HG.”

Convenience Translation

**Appendix 2 to the Doctoral Regulations of the Faculty of Medicine dated 8 February 2017**

**Format requirements for dissertations at the Faculty of Medicine**

**Title page**

From the ... Clinic/From the ... Institute  
at Heinrich Heine University Düsseldorf  
Director and/or Head: Univ.-Prof. Dr. XX

Title of the doctorate

- subtitle if applicable

Dissertation

to obtain the academic title of Doctor of Medicine/Dentistry/Public Health  
from the Faculty of Medicine at Heinrich Heine University Düsseldorf

submitted by

First name and last name of the author

Year of doctoral examination proceedings



**Page 2 (Examiner details)**

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signed:

Dean:

First examiner:

Second examiner:

Dedication or quote (optional)

**Page 4 (List of publications)**

Parts of this work have been published:

Müller, U., Meier, R., Schulze, A., Schmidt, R., (Year), Title of the work. *Journal*, (Volume)  
page number - page number

Enter your summary (German and English) here

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Last page (Acknowledgements if applicable)

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