



# GAZETTE

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— New version of the doctoral degree regulations of the School of Sustainability at Leuphana University Lüneburg

## **New version of the doctoral degree regulations of the School of Sustainability at Leuphana University Lüneburg**

Based on Art. 9 (3) sentence 1 of the Lower Saxony Higher Education Act (NHG) in the version of 26 February 2007 (Nds. GVBl. p. 69), last amended by Art. 7 of the Act of 23 March 2022 (Nds. GVBl. p. 218), the school council of the School of Sustainability of Leuphana University Lüneburg adopted the Doctoral Degree Regulations of the School of Sustainability of Leuphana University Lüneburg on 14 June 2023. The Presidential Board of Leuphana University Lüneburg approved this new version on 21 June 2023 in accordance with Art. 44 (1) sentence 3 NHG.

### **SECTION I**

The aim of these doctoral regulations is to ensure the framework for high-quality doctorates at Leuphana University Lüneburg, which have a significant influence on national and international academic discourse.

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### **Art. 1 Purpose of the Doctorate and Doctoral Degrees**

- (1) The doctorate demonstrates the ability to carry out independent, in-depth academic work.
- (2) <sup>1</sup>The schools of Leuphana University Lüneburg award the doctoral degree in the subjects they represent on the basis of a successfully completed doctoral procedure. <sup>2</sup>Pursuant to Art. 9 para. 1 sentence 1 NHG, the conferral is only permissible if university master's degree programmes are offered in the corresponding subjects at Leuphana University Lüneburg.
- (3) The School of Sustainability awards the following doctoral degrees, depending on the subject-specific focus of the dissertation: Dr. phil. (Doctor of Philosophy), Dr. rer. nat. (Doctor of Natural Science), Dr. rer. pol. (Doctor of Economics, Social and Political Sciences).
- (4) Doctoral candidates at Leuphana University Lüneburg must enrol as doctoral students at Leuphana University Lüneburg.
- (5) The school may also award the doctoral degree on an honorary basis (Dr. h. c.) in accordance with Art. 20.

### **Art. 2 Examination Achievements**

- (1) The doctoral degree is awarded after successful participation in the doctoral courses offered by Leuphana University Lüneburg in accordance with Art. 5 on the basis of an examination consisting of two examination achievements.
- (2) The two examination achievements are
  1. a written scientific paper (monographic dissertation) or qualified scientific articles and a framework paper (cumulative dissertation) and
  2. their oral defence (disputation).

### **Art. 3 Doctoral boards**

- (1) <sup>1</sup>A doctoral board is formed for each doctoral degree in accordance with Art. 1 para. 3. <sup>2</sup>The doctoral board consists of four members. <sup>3</sup>Members from other schools of Leuphana University Lüneburg may also be elected as members. <sup>4</sup>The doctoral board appoints a chairperson and a deputy chairperson from among its members.
- (2) <sup>1</sup>Members of the doctoral board must be university professors at Leuphana University Lüneburg, junior professors at Leuphana University Lüneburg or postdoctoral lecturers employed at Leuphana University Lüneburg. <sup>2</sup>Three of the four members must be professionally qualified in the subject of the doctoral degree to be awarded.
- (3) <sup>1</sup>The members of the doctoral board are elected by the school council for a term of office of two years. <sup>2</sup>In addition, the school council elects four deputies with the same qualification requirements; a sequence is to be

determined. <sup>3</sup>If a member resigns prematurely a deputy takes their place and a new deputy can be elected for the remainder of the term of office.

- (4) <sup>1</sup>The doctoral board is quorate if at least three of its members are present. <sup>2</sup>In the event of a tie, the chairperson has the casting vote. <sup>3</sup>In exceptional cases, resolutions may also be passed by way of circulation by written vote or vote by e-mail to the person taking the minutes using Leuphana e-mail addresses if no member of the doctoral board objects to this procedure and the resolution does not require consultation with the board. <sup>4</sup>A minimum turnaround time of one (1) week applies.
- (5) <sup>1</sup>The doctoral board does not meet in public. <sup>2</sup>The meeting of the doctoral board may be held
1. in presence,
  2. by means of a combined video and audio conference via a video conferencing system provided by the university or
  3. in a hybrid combination of No. 1 and 2.

<sup>3</sup>Recording of the meeting is not permitted. <sup>4</sup>The participants are obliged to maintain confidentiality; this obligation also includes the confidentiality of the consultation documents.

### **Art. 3a Supervisors**

- (1) <sup>1</sup>The doctoral board appoints a first supervisor in connection with the application for admission to the doctorate and at the suggestion of the doctoral candidate. <sup>2</sup>This supervisor must be professionally qualified in the subject. <sup>3</sup>A second supervisor will be appointed at the doctoral candidate's suggestion after one year at the latest. <sup>4</sup>In the event that the first supervisor is not a member of the school, the second supervisor must be a member of the school and must be appointed at the time of admission.
- (2) <sup>1</sup>The same qualification requirements apply to supervisors as to members of the reviewers' committee in accordance with Art. 3b (5) and (6).<sup>2</sup> Notwithstanding sentence 1, a postdoc at Leuphana University Lüneburg may be appointed as a supervisor under the following conditions:
1. The qualification requirements pursuant to Art. 3b (6) are met.
  2. By way of derogation from paragraph 1 sentence 3, a second supervisor who fulfils the same qualification requirements as members of the reviewers' committee in accordance with Art. 3b paragraphs 5 and 6 will be appointed at the time of admission.
- (3) If the first supervisor or the second supervisor leaves the university, the doctoral board may decide, upon reasoned request, that the respective person may continue to act as supervisor for the doctoral project.
- (4) If a supervisor is permanently prevented from supervising the doctoral candidate, the responsible doctoral board shall ensure a subsequent appointment of a supervisor at the suggestion of the doctoral candidate.

### **Art. 3b Reviewers' committee**

- (1) The doctoral board shall appoint an reviewers' committee for each individual doctoral procedure at the latest at the time of the opening of the doctoral procedure in accordance with Art. 9 to assess the examination achievements in accordance with Art. 2 Para. 2.

- (2) <sup>1</sup>The reviewers' committee is made up of three reviewers. <sup>2</sup>Members of the doctoral board have the right to participate in the meetings of the reviewers' committee in an advisory capacity. <sup>3</sup>The doctoral board appoints the chair of the reviewers' committee.
- (3) <sup>1</sup>At least one reviewer must be a member of the school awarding the doctoral degree. <sup>2</sup>At least one reviewer should be a member of an external scientific or science-related institution. <sup>3</sup>All reviewers must be academically active and recognised in the extended subject area of the dissertation.
- (4) <sup>1</sup>The first supervisor and the doctoral candidate have the right to nominate reviewers. <sup>2</sup>The supervisors appointed in accordance with Art. 3a may be proposed and appointed as reviewers. <sup>3</sup>If the doctoral board does not follow the respective or joint proposal; a justification may be requested.
- (5) <sup>1</sup>Members of the reviewers' committee can be
- a. University Professors
  - b. Professors at universities of applied sciences
  - c. Habilitated academics
  - d. Junior professors
  - e. Honorary professors at Leuphana University Lüneburg within the meaning of Art. 35 (1) NHG
  - f. Visiting professors at Leuphana University Lüneburg within the meaning of Art. 35 (2) sentence 3 NHG
  - g. Associate professors within the meaning of Art. 35a NHG
  - h. Retired university professors pursuant to para. 7
  - i. Heads of an externally funded junior research group pursuant to para. 8.
- <sup>2</sup>In the case of lit. d-g and i, membership of the reviewers' committee is only possible if, at the time of nomination, it can be expected that the requirements for nomination will continue to be met until the end of the respective doctoral procedure. <sup>3</sup>At least two of the three reviewers must fulfil the requirements according to sentence 1 lit. a, c or d.
- (6) <sup>1</sup>In the case of para. 5 lit. b and i, proof of academic activity that goes beyond the work performed as part of the doctorate is required for membership of the reviewers' committee. <sup>2</sup>Proof of this academic activity is provided if the person
1. has published at least three scientific articles in recognised scientific journals or
  2. has published a scientific monograph in a recognised specialist publishing house or
  3. has achieved comparable research-related achievements which the doctoral board judges to be equivalent.
- (7) <sup>1</sup>Retired university professors who were employed for an indefinite period of time retain their right to award doctorates in accordance with Art. 27 (7) sentence 3 NHG. <sup>2</sup>Other retired professors who have fulfilled the requirements of para. 5 sentences 1 and 2 during their active period of service may be appointed as members of the reviewers' committee as long as they are academically active and recognised in the subject area of the dissertation.
- (8) Heads of an externally funded junior research group can be members of the reviewers' committee in accordance with paragraphs 1, 2 and 3 under the following conditions:

1. The group leader fulfils the requirements for appointment as a junior professor in accordance with Art. 30 (2) NHG and
  2. the group leader has obtained his/her position in the context of a competitive selection procedure as part of an external third-party funded project at renowned research funding organisations ("junior research group leader").
- (9) If, due to the resignation of a member of the reviewers' committee from the school, the requirement for the composition of the reviewers' committee pursuant to Art 3b (3) sentence 1 is no longer met and a replacement by another member of the school is not possible, the doctoral board may decide that the requirement of Art. 3b (3) sentence 1 may be waived.
- (10) If a reviewer is permanently prevented from serving on the reviewers' committee, the responsible doctoral board shall ensure that a proper replacement is appointed to the reviewers' committee at the suggestion of the doctoral candidate.
- (11) The review of the requirements for membership of the reviewers' committee formulated in paragraphs 4 to 7 shall be carried out by the responsible doctoral board, which shall ensure transparency in an appropriate manner.

#### **Art. 4 Admission to the Doctorate**

- (1) <sup>1</sup>Anyone who has completed a relevant Diploma, Magister or master's degree programme or a corresponding degree programme leading to a first state examination or another (equivalent international) degree and can prove their particular aptitude can be admitted as a doctoral candidate. <sup>2</sup>The doctoral board is responsible for assessing the relevance of the degree in accordance with sentence 1 and may either recognise the applicant's further professional qualifications or impose additional requirements, e.g. conditions in accordance with paragraph 7. <sup>3</sup>Persons with special qualifications who have been awarded a bachelor's degree may be admitted to the doctorate following an aptitude assessment. <sup>4</sup>The assessment of special aptitude is carried out in a joint selection interview with the prospective first supervisor and the spokesperson or deputy spokesperson of a suitable doctoral research group.

<sup>5</sup>For applicants from foreign universities, the equivalence of the degrees according to sentences 1 and 3 is determined in accordance with the assessment proposals of the Central Office for Foreign Education at the Permanent Secretariat of the Standing Conference of the Ministers of Education and Cultural Affairs ([www.anabin.de](http://www.anabin.de)), provided the degree is listed there.

- (2) <sup>1</sup>The special aptitude pursuant to para. 1 sentence 1 requires a degree within the meaning of para. 1 sentence 1 with a superior predicate (at least "good", i.e. better than 2.6) or, in the case of the first law examination, with a "satisfactory" grade, whereby the doctoral board may deviate from the minimum grade in special exceptional cases.

<sup>2</sup>The special qualification pursuant to para. 1 sentence 3 is demonstrated by:

1. a bachelor's degree with a grade of 1.7 or better or proof of being one of the 10% best graduates in their own year,
2. a bachelor's thesis with a grade of 1.3 or better,
3. an outline of a potential research project and

4. admission to a master's degree programme at the Leuphana Graduate School and enrolment in at least the first semester of the master's degree programme

(3) <sup>1</sup>Proof of the admission requirements according to paragraphs 1 and 2 must be provided at the time of application. <sup>2</sup>If an application for admission pursuant to Para. 1 Sentence 3 is made in the first master's semester, proof of special aptitude pursuant to Para. 2 Sentence 2 No. 1 can be provided by the end of the first master's semester at the latest. <sup>3</sup>In the case of sentence 2, admission to the doctorate is subject to revocation.

(4) <sup>1</sup>Admission can be applied for in writing on an ongoing basis as specified by Leuphana University Lüneburg. <sup>2</sup>With the application for admission as a doctoral candidate in the school, enrolment at Leuphana University Lüneburg is applied for at the same time. <sup>3</sup>The application according to para. 1 sentence 1 must be accompanied by

1. suitable evidence of the fulfilment of the admission requirements pursuant to para. 1 sentence 1 and para. 2 sentence 1,
2. an informative synopsis (max. 5 pages) of the dissertation project including a provisional title of the dissertation,
3. a confirmation of supervision from the prospective first supervisor, including a statement on the academic qualifications and dissertation project of the doctoral applicant and, if applicable, on the subject relevance pursuant to Art. 4 (1) sentence 1,
4. the supervision agreement pursuant to Art. 4a with the envisaged initial supervision,
5. a declaration in accordance with the "Regulations of Leuphana University Lüneburg on Safeguarding Good Scientific Practice and on the Procedure for Dealing with Scientific Misconduct" on the binding obligation to comply with these regulations and the principles of good scientific practice,
6. a declaration with the following wording: "I confirm that I have neither used the help of commercial doctoral mediators in the preparation of my doctoral project nor will I use them in the future in the realisation of my doctoral project" and
7. the additional documents required for enrolment in accordance with the currently valid enrolment regulations.

<sup>4</sup>The application pursuant to para. 1 sentence 3 must be accompanied by

1. suitable evidence of the fulfilment of the admission requirements pursuant to para. 1 sentence 3 and para. 2 sentence 2,
2. a confirmation of supervision of the envisaged initial supervision including confirmation of the suitability assessment in accordance with para. 1 sentence 4,
3. the documents and declarations pursuant to sentence 3 no. 4 to 7.

<sup>5</sup>Applications must be submitted in full and in the correct form. <sup>6</sup>There is no entitlement to admission to a specific semester or allocation to a specific doctoral research group. <sup>7</sup>The submitted documents remain with the university.

(5) <sup>1</sup>The doctoral board can decide on admission on an ongoing basis subject to the requirements of paragraphs 1 to 4. <sup>2</sup>Admission is granted if the majority of the members of the doctoral board approve the application for admission. <sup>3</sup>Admission and simultaneous acceptance as a doctoral candidate must be communicated to the applicant in writing by the chair of the doctoral board. <sup>4</sup>With the admission, the doctoral board assures the

subsequent review of the dissertation, provided that the requirements of Art. 9 para. 2 and 3 are met. <sup>5</sup>The rejection of the application for admission will be communicated in writing.

- (6) <sup>1</sup>The authorisation is generally limited to six years. <sup>2</sup>In justified individual cases, the authorisation may be subject to an ancillary provision (condition, time limit, condition, reservation of revocation). <sup>3</sup>The doctoral board may extend the authorisation for a further year upon application. <sup>4</sup>The application must be accompanied by a statement of reasons and a statement from the first supervisor.
- (7) <sup>1</sup>Doctoral applicants are enrolled as doctoral candidates upon admission in accordance with Art. 9 (2) sentence 4 NHG in conjunction with the currently valid enrolment regulations. <sup>2</sup>In the case of para. 3 sentence 3, enrolment is subject to revocation.
- (8) The doctoral boards may delegate the administrative activities in accordance with paragraphs 1 to 4 in connection with the admission procedure to the Student Service Centre.

#### **Art. 4a Supervision Agreement**

<sup>1</sup>A written supervision agreement is concluded between the doctoral candidate and the first supervisor to define mutual rights and obligations in the supervisory relationship. <sup>2</sup>Leuphana University Lüneburg determines the minimum standards for the content of the supervision agreement and publishes these.

#### **Art. 5 Doctoral Courses**

- (1) <sup>1</sup>Participation in the doctoral courses are intended to support the ability to carry out independent, in-depth academic work across all schools. <sup>2</sup>Participation in the doctoral courses do not lead to an independent academic degree.
- (2) <sup>1</sup>The doctoral courses have a modular structure. <sup>2</sup>One module concludes with a certificate of achievement, in which digital video conferencing systems and platforms can also be used. <sup>3</sup> Possible certificates of achievement are:

1. Presentation
2. Report

<sup>4</sup>The modules are not graded. <sup>5</sup>A module can consist of different types of courses. <sup>6</sup>These can be a

1. Seminar
2. Colloquium
3. Workshop

<sup>7</sup>Courses offered in the forms of teaching in accordance with sentence 6 are generally held in person at Leuphana University Lüneburg. <sup>8</sup>By way of exception, courses may be held entirely or partially online or hybrid in accordance with Art. 23 (2) to (4). <sup>9</sup>Online or hybrid courses are held exclusively via digital video conferencing systems and platforms provided centrally by Leuphana. <sup>10</sup>More detailed provisions on the implementation of the courses are set out in the "Course Planning Guidelines". <sup>11</sup>The courses in the modules of the doctoral courses are generally held in German or English. <sup>12</sup>Further details on the modules, certificates of achievement, course types and credit points can be found in Appendix 1.



- (3) <sup>1</sup>Different modules may be specified for a doctoral programme offered jointly with partner universities. <sup>2</sup>However, their content and performance must be at least comparable to those of the Leuphana doctoral courses. <sup>3</sup>The same applies to modules offered as part of a third-party funded doctoral programme at Leuphana University Lüneburg.
- (4) <sup>1</sup>The modules of the doctoral courses are approved by the Senate after consultation in the Senate Commission responsible for academic qualification. <sup>2</sup>The modules offered are coordinated by the Leuphana Graduate School together with the professorial member of the Dean's Office responsible for doctoral courses and the spokespersons of the school's doctoral research groups. <sup>3</sup>The programmes for the respective semester, including the respective implementation method, are published online via the university information system.
- (5) <sup>1</sup>The spokesperson of the doctoral research group to which the doctoral candidate is assigned decides on the recognition of work not completed as part of the doctoral courses at Leuphana University Lüneburg. <sup>2</sup>Achievements completed at other universities or research institutions should be recognised, particularly in terms of promoting mobility and internationality, provided that the content and achievements are at least comparable to those of the Leuphana doctoral courses.

#### **Art. 6 Doctoral research groups**

- (1) <sup>1</sup>For the joint supervision and support of doctoral candidates, specialised doctoral research groups are formed, each usually with at least three supervisors. <sup>2</sup>All doctoral candidates in a specialisation and their supervisors belong to the doctoral research groups. <sup>3</sup>Double membership of supervisors in doctoral research groups are possible. <sup>4</sup>Doctoral research groups can be set up across faculties and universities.
- (2) <sup>1</sup>Doctoral research groups are established by the school council in consultation with the head of the Graduate School and the chairs of the doctoral boards. <sup>2</sup>Each doctoral research group elects a spokesperson from among the supervisors to represent the interests of the doctoral research group.
- (3) <sup>1</sup>The doctoral board assigns the doctoral candidate to a doctoral research group upon admission to the doctorate in consultation with the respective first supervisor. <sup>2</sup>The doctoral candidate and the first supervisor decide on changes of doctoral research group in consultation with the doctoral boards. <sup>3</sup>The chair of the doctoral board must notify the parties involved in writing of the change.

#### **Art. 7 University Information System and University Communication via University e-mail Addresses**

- (1) <sup>1</sup>Due to the rights and obligations associated with membership at Leuphana University Lüneburg, doctoral candidates are obliged to use the university information system provided by Leuphana University Lüneburg and the university e-mail address provided by Leuphana University Lüneburg. <sup>2</sup>Upon enrolment, doctoral candidates receive a personal university e-mail address. <sup>3</sup>Doctoral candidates are obliged to use the personal university e-mail address for communication with other doctoral candidates as well as with lecturers and all units of Leuphana University Lüneburg, in particular in matters of student and examination administration.
- (2) Doctoral candidates shall register and deregister for courses via the university information system and are obliged to regularly check the accuracy of their online account and their mailbox, in particular to take note of the

notifications and certificates of achievement and examination results provided there in order to meet the deadlines in accordance with Art. 19 (1).

- (3) If Leuphana University Lüneburg provides forms for applications, these must be used; applications in any other form are not permitted.

### **Art. 8 Writing the Dissertation**

- (1) <sup>1</sup>The topic of the dissertation must be chosen from the respective subject areas of Leuphana University Lüneburg and must be related to the subjects represented in the school. <sup>2</sup>The subject areas from which the topic is chosen must be represented by a member of Leuphana University Lüneburg who fulfils the requirements of Art. 3b (5).
- (2) <sup>1</sup>The dissertation submitted must be an objectively coherent achievement that demonstrates the author's ability to carry out in-depth and independent academic work and represents a contribution to the advancement of science. <sup>2</sup>Such an individual scientific achievement must also be present if the dissertation is the result of joint research work by several people.
- (3) <sup>1</sup>The dissertation can also be completed by submitting qualified specialist articles and a framework paper (cumulative dissertation). <sup>2</sup>Regardless of the chosen subject area or doctoral degree, the following standardised quality requirements apply, which can be specified in guidelines developed by the doctoral boards and approved by the school council for the requirements of the respective subjects and doctoral degrees:
- a. The number of articles or manuscripts submitted must not be less than three.
  - b. If submitted articles or manuscripts are co-authored with other authors, the doctoral candidate's own contribution must be recognisable and explained and confirmed by the co-authors.
  - c. The categories of the Contributor Roles Taxonomy (CRediT) should be used to document the individual contribution.
  - d. At least one of the three reviewers appointed in accordance with Art. 3b may not also be a co-author of the scientific articles or manuscripts relevant to the doctorate.
  - e. The publication status of the submitted articles serves as (one) indicator of the quality of the scientific work, but does not replace the independent review process of the reviewers' committee.
  - f. The doctoral boards can set their own guidelines with regard to the required publication status and the value of the journals.
  - g. An important part of the review process for a cumulative dissertation is the framework paper and the embedding of the scientific articles or manuscripts along the lines of the research question.
- (4) <sup>1</sup>The monographic dissertation / framework paper must be written in German or English. <sup>2</sup>The cumulative dissertation may include specialised articles or manuscripts in both German and English. <sup>3</sup>The doctoral board may deviate from this requirement in exceptional cases. <sup>4</sup>In this case, a summary must be provided in German or English.
- (5) The dissertation may be partially published beforehand.
- (6) In accordance with the rules of good scientific practice, all research data relevant to the dissertation must be documented and archived in accordance with the "Regulations of Leuphana University Lüneburg for Safeguarding Good Scientific Practice and the Procedure for Dealing with Scientific Misconduct".

**Art. 9 Opening of the Doctoral Procedure**

- (1) <sup>1</sup>The application to initiate the doctoral procedure must be submitted in writing to the dean of the relevant school in accordance with the template in Annex 2. <sup>2</sup>The personal assignment, immutability and provability of the examination achievement and the assessment must be guaranteed. <sup>3</sup>Personal identification features of the doctoral candidate (matriculation number or other unique assignment) and the reviewers may be collected and stored together with the examination achievement, insofar and as long as this is necessary for the identification and assignment of these persons. <sup>3</sup>The dean forwards the application to the chairperson of the doctoral board to initiate the doctoral procedure.
- (2) The application must be accompanied by
1. four copies of the dissertation in printed form with the title page according to the sample in Appendix 3,
  2. the dissertation including all appendices as an electronic version,
  3. a curriculum vitae written in German or English, which also provides information about the doctoral candidate's academic background,
  4. a declaration in accordance with the sample in Appendix 4 stating whether and with what level of success the doctoral candidate has already taken another doctoral examination or has registered for such an examination,
  5. a declaration in accordance with the specimen in Appendix 4 that the dissertation has not yet been submitted to any other university for review in its current or any other version,
  6. if applicable, a declaration in accordance with the specimen in Annex 4 that the period of work at the participating universities within the framework of the cotutelle procedure corresponds to the minimum period of stay specified in Art. 21 (1),
  7. a list of the scientific publications that the doctoral candidate has published,
  8. proof of successful participation in the doctoral courses in accordance with Art. 5 para. 2,
  9. if applicable, further evidence resulting from a guideline on the cumulative dissertation adopted by the relevant doctoral board,
  10. in the case of admission to a doctorate pursuant to Art. 4 (1) sentence 3, proof of completion of the master's degree programme.
- (3) <sup>1</sup>The application to initiate the doctoral procedure must be accompanied by a declaration in accordance with the sample in Annex 4. <sup>2</sup>In order to check the independence of the examination achievement, examiners and authors are entitled to check the work with pseudonymised data of the author using suitable plagiarism detection software, regardless of suspicion, for any unidentified adopted text passages or other sources. <sup>3</sup>Authors must ensure that the electronic version of the dissertation in accordance with para. 2 no. 2 does not contain any information that could enable the electronic version of the dissertation to be directly attributed to them. <sup>5</sup>In order to carry out plagiarism checks using software, an examination software or web service provided centrally by Leuphana must be used. <sup>6</sup>The data will be deleted immediately, at the latest after three months, by the plagiarism detection provider.

- (4) The application will be rejected if the dissertation has been submitted in its entirety or in part to another academic institution for assessment.

#### **Art. 10 Withdrawal from the Doctoral Procedure**

<sup>1</sup>The doctoral candidate may withdraw from the doctoral procedure as long as no negative review of the dissertation has been received. <sup>2</sup> In this case, the doctoral procedure is deemed not to have been initiated. <sup>3</sup>Withdrawal from the doctoral procedure must be communicated to the Dean in writing or electronically by e-mail using the university e-mail address.

#### **Art. 11 Assessment of the Dissertation**

<sup>1</sup>Within three months of the doctoral board opening the doctoral procedure in accordance with Art. 9, the members of the reviewers' committee shall prepare independent, written reviews in which they propose either acceptance, acceptance with conditions or rejection of the dissertation. <sup>2</sup>In the event of acceptance, they shall also propose the predicate. <sup>3</sup>The predicate may be as follows:

- honoured (summa cum laude),
- very good (magna cum laude),
- good (cum laude),
- satisfactory (rite).

#### **Art. 12 Procedure for Acceptance or Rejection of the Dissertation**

- (1) <sup>1</sup>If one of the reviewers appointed by the doctoral board proposes the rejection of the dissertation, the doctoral board shall appoint an additional external reviewer who shall prepare an additional review within three months of his/her appointment. <sup>2</sup>If two or more reviewers propose the rejection of the dissertation, it shall be rejected by the doctoral board. <sup>3</sup>The chairperson of the doctoral board shall inform the doctoral candidate of the rejection of the dissertation in accordance with Art. 19 (1) sentence 1.
- (2) <sup>1</sup>If three reviewers propose the acceptance (with conditions) of the dissertation, it will be made available for public inspection in the Dean's Office for a fortnight; the display must be announced. <sup>2</sup>Any member of the school who fulfils the requirements in accordance with Art. 3b (5) may, if they teach in a master's degree programme at Leuphana University Lüneburg, inspect the reviews and, if necessary, prepare a special review. <sup>3</sup>In particularly justified cases, the persons authorised in accordance with sentence 2 may apply for digital access for the purpose of viewing the dissertation and associated reviews. <sup>4</sup>The application must be submitted in writing to the Dean. <sup>5</sup>Anyone wishing to prepare a special review is obliged to inform the Dean in writing within the two-week display period and to submit a review no later than two weeks after the end of the display period.
- (3) <sup>1</sup>If a special review is available the doctoral board may also appoint an additional reviewer. <sup>2</sup>The doctoral board shall decide whether and in what way the special review pursuant to paragraph 2 and the additional review pursuant to sentence 1 shall be taken into account in the formation of the predicate.
- (4) <sup>1</sup>The dissertation is accepted if it has been assessed as at least "satisfactory" by three of the reviewers appointed in accordance with Art. 3b (4-6) and Art. 12 (1). <sup>2</sup>If the proposed predicates for the dissertation of the reviewers

to be considered in accordance with Art. 12 (1) and (3) differ and the reviewers cannot agree on a predicate, the overall predicate of the dissertation is determined by calculating the arithmetic mean of the respective individual predicates. <sup>3</sup>The following numerical values are used as a basis for calculation: summa cum laude corresponds to the number 0, magna cum laude corresponds to the number 1, cum laude corresponds to the number 2 and rite corresponds to the number 3. <sup>4</sup>When calculating the arithmetic mean, the figures are rounded down to the first decimal place after the decimal point if the second decimal place is 0 to 4, and rounded up if the second decimal place is 5 to 9. <sup>5</sup>A resulting numerical value up to and including 0.5 is regarded as a summa cum laude predicate, up to and including 1.5 as magna cum laude predicate, up to and including 2.5 as a cum laude predicate and up to and including 3 as a rite predicate. <sup>6</sup>In the event that no reviews are to be taken into account in accordance with Art. 12 (3), the predicate is determined in accordance with sentence 2 of Annex 5. <sup>7</sup>Rejecting reviews are not included in the assessment. <sup>8</sup>The decision on acceptance or rejection of the dissertation and on the predicate must be made no later than four weeks after the end of the display period or receipt of all reviews. <sup>9</sup>The doctoral candidate must be notified in writing by the chairperson of the doctoral board of the acceptance, amendment or rejection of the dissertation. <sup>10</sup>The doctoral candidate shall receive the reviews. <sup>11</sup>If the dissertation is rejected the examination is deemed to have been failed. <sup>12</sup>If the dissertation is accepted (with or without conditions), the disputation takes place.

### **Art. 13 File Copy**

A copy of the dissertation must be kept on file at the respective school, including all reviews, even if the dissertation is rejected.

### **Art. 14 Disputation**

- (1) <sup>1</sup>The chairperson of the reviewers' committee sets the date for the disputation. <sup>2</sup>As a rule, this should take place four weeks after acceptance of the dissertation. <sup>3</sup>If the doctoral candidate is unable to appear on the scheduled date, he/she must inform the committee immediately in writing, stating the reasons.
- (2) <sup>1</sup>The disputation usually lasts 90 minutes. <sup>2</sup>The doctoral candidate opens with a presentation lasting 20 to 30 minutes. <sup>3</sup>In the disputation, the doctoral candidate should present their research findings, defend them against critical objections and discuss opposing views in a theoretically sound manner. <sup>4</sup>The disputation ties in with the topic of the dissertation and should include the written reviews. <sup>5</sup>In addition, the disputation also covers related areas of the respective subject areas. <sup>6</sup>The disputation shall be conducted in German or English; this may be deviated from in agreement with the chair of the reviewers' committee. <sup>7</sup>The reviewers' committee is quorate if the majority of voting members are present.
- (3) <sup>1</sup>The disputation takes place at Leuphana University Lüneburg. <sup>2</sup>The disputation is open to the public. <sup>3</sup>Notwithstanding sentence 2, if the doctoral candidate so requests in writing or electronically by e-mail using the university e-mail address to the Board of Examiners, the disputation shall be held in public at the university. <sup>4</sup>The public or university public can also participate in the disputation online using video conferencing software provided centrally by Leuphana University Lüneburg. <sup>5</sup>At the request of the doctoral candidate or a member of the reviewers' committee, the digital participation of the public or university public in accordance with sentence 4 is

waived. <sup>6</sup>The disputation shall be chaired by the chair of the reviewers' committee. <sup>7</sup>The reviewers' committee and persons who have submitted a review have the right to ask questions during the disputation. <sup>8</sup>The chairperson may allow questions from the public present.

- (4) <sup>1</sup>Each doctoral candidate must be examined individually. <sup>2</sup>The results and assessment of the disputation must be recorded in the minutes and signed by all members of the reviewers' committee.
- (5) <sup>1</sup>The disputation can be conducted under the following conditions using video conferencing software provided centrally by Leuphana University Lüneburg online:
- a. Personal attendance must be unreasonable for a member of the reviewers' committee or only possible with significantly increased effort, whereby the doctoral board decides on the unreasonableness or the assessment of the significantly increased effort.
  - b. All members of the reviewers' committee, the doctoral candidate and the doctoral board declare their consent in writing or electronically by e-mail using the university e-mail address.
  - c. The use of video conferencing software for the disputation must be announced when the date for the disputation is set and must be specifically noted in the minutes of the disputation.
  - d. The doctoral candidate and at least one reviewer must be present in person at the examination venue in accordance with para. 3 sentence 1.
  - e. Recording the disputation or saving the video and audio data is not permitted.
  - f. Any special incidents, in particular technical faults as per sentences 3 to 10, must be noted in the minutes of the disputation.

<sup>2</sup>In particularly justified exceptional cases, the doctoral board may decide on deviations from sentence 1 c) and d). <sup>3</sup>If the disputation cannot be conducted as a video conference due to technical faults the disputation shall be terminated prematurely and shall not be assessed. <sup>4</sup>This does not apply in the event of a short-term disruption without significant impairment of the disputation. <sup>5</sup>If the video or audio transmission during a video conference is disrupted for a short period of time without significantly affecting the disputation, the disputation will be continued once the disruption has been rectified. <sup>6</sup>If the technical disruption persists or is repeated so that the disputation is significantly disrupted, the disputation will be repeated at a later date. <sup>7</sup>If the technical disruption occurs after a significant part of the disputation has already been completed, the disputation may be continued and concluded by telephone without the use of a video conferencing system. <sup>8</sup>The reviewers' committee is responsible for determining whether there is a significant disruption or whether a significant part of the disputation has been completed. <sup>9</sup>If the doctoral candidate is responsible for the disruption the reviewers' committee may deem the disputation to have been failed. <sup>10</sup>This is particularly the case if doctoral candidates have intentionally or through gross negligence failed to ensure the technical and organisational requirements for the online disputation that are within their area of responsibility or have intentionally or through gross negligence caused the technical disruption.

- (6) <sup>1</sup>Immediately after completion of the disputation, a meeting of the reviewers' committee will be held to decide whether and with what result the disputation has been passed. <sup>2</sup>If the disputation is conducted in accordance with para. 5 sentence 1, the meeting of the reviewers' committee shall take place online using video conferencing software provided centrally by Leuphana University Lüneburg. <sup>3</sup>The assessment is carried out in accordance with

Art. 11 (1).<sup>4</sup> If the predicate proposals for the disputation differ and the reviewers cannot agree on a predicate, the overall predicate of the disputation is determined by calculating the arithmetic mean of the respective individual predicates.<sup>5</sup> The following numerical values are used as a basis for calculation: summa cum laude corresponds to the number 0, magna cum laude corresponds to the number 1, cum laude corresponds to the number 2 and rite corresponds to the number 3.<sup>6</sup> When calculating the arithmetic mean, each figure is rounded down to the first decimal place after the decimal point if the second decimal place is 0 to 4, and rounded up if the second decimal place is 5 to 9.<sup>7</sup> A resulting numerical value up to and including 0.5 is regarded as summa cum laude, up to and including 1.5 as magna cum laude, up to and including 2.5 as cum laude and up to and including 3 as rite.<sup>8</sup> Table 2 of Annex 5 provides an overview of possible predicates.<sup>9</sup> The chair of the reviewers' committee shall inform the doctoral candidate of the result.

- (7) <sup>1</sup>A disputation assessed as failed can be repeated within one year. <sup>2</sup>If the oral performance is again assessed as insufficient the entire examination is definitively failed. <sup>3</sup>The same applies if the doctoral candidate waives a retake or allows the deadline for a retake to expire without justification.

#### **Art. 15 Completion of the Doctoral Procedure, overall Result and Notification**

- (1) <sup>1</sup>After completion of the doctoral procedure, the reviewers' committee determines the overall result. <sup>2</sup> When calculating the overall predicate, the dissertation is given triple weight and the disputation is given single weight. <sup>3</sup>The overall predicate of the doctorate is calculated in Annex 5 on the basis of the following numerical values: summa cum laude corresponds to the number 0, magna cum laude corresponds to the number 1, cum laude corresponds to the number 2 and rite corresponds to the number 3.<sup>4</sup> When calculating the overall predicate of the doctorate, each figure is rounded down to the first decimal place after the decimal point if the second decimal place is 0 to 4, and rounded up if the second decimal place is 5 to 9. <sup>5</sup>A resulting numerical value up to and including 0.5 is considered summa cum laude, up to and including 1.5 is considered magna cum laude, up to and including 2.5 is considered cum laude and up to and including 3 is considered rite.
- (2) The chair of the reviewers' committee shall inform the doctoral board immediately of the predicate awarded for the disputation and the overall predicate.
- (3) <sup>1</sup>The doctoral board determines the doctorate and the overall predicate in accordance with the decision of the reviewers' committee. <sup>2</sup>In the event of concerns regarding the procedure or the uniformity of the doctoral system, it may request the reviewers' committee to supplement its report or convene for a joint consultation with the reviewers' committee. <sup>3</sup>Otherwise, it is bound by the decision of the reviewers' committee.
- (4) The doctoral board informs the doctoral candidate in writing of the predicates awarded for the dissertation, the disputation and the overall predicate.

#### **Art. 16 Publication of the Dissertation**

- (1) Once the doctoral procedure has been successfully completed, the dissertation, all underlying materials and research data must be made available to the scientific public in an appropriate manner in accordance with the "Leuphana University Lüneburg Regulations on Safeguarding Good Scientific Practice and the Procedure for Dealing with Scientific Misconduct".

- (2) <sup>1</sup>The master copy with the title page according to the sample in Appendix 6 (for monographs) or Appendix 7 (for cumulative dissertations) must be submitted to the first reviewer for revision before printing. <sup>2</sup>If all changes and requirements (in terms of form and content) have been fulfilled printing authorisation will be granted (imprimatur).
- (3) <sup>1</sup>The Media and Information Centre (MIZ) of Leuphana University Lüneburg must be provided with the version approved by the first reviewer free of charge:
1. For a monographic dissertation
    - a. the complete electronic version in PDF format or
    - b. five printed copies if a commercial publisher is responsible for distribution via the book trade, a minimum print run of 150 copies is proven and the publication is labelled as a dissertation on the back of the title page with the university publication reference: Zgl.: Leuphana Universität Lüneburg, Dissertation, 20XX or
    - c. five printed copies, if the dissertation is distributed by a commercial publisher as a "publication-on-demand", a university publication note is included (add: Leuphana University Lüneburg, dissertation, 20XX), an ISBN is given and a guarantee of the availability of reordered books is guaranteed for at least four years (proven by a publishing contract) or
    - d. ten copies in book or photo print for the purpose of distribution (DIN A4 or DIN A5, permanently bound).
  2. For a cumulative dissertation
    - a. the complete electronic version of the framework paper including the scientific articles and manuscripts in PDF format, which may contain an electronic reference (DOI) for already published parts of the dissertation or
    - b. ten complete copies of the framework paper including the technical articles and manuscripts, printed out and permanently bound.
- <sup>2</sup>In the case of sentence 1 no. 2, confirmation must be submitted from the reviewers' committee in accordance with the sample in Annex 8 that the cumulative dissertation fulfils the requirements in accordance with Art. 8 (3) and, if applicable, those of the guidelines adopted by the doctoral board and that the doctoral procedure has been successfully completed.
- <sup>3</sup>In the cases of sentence 1 no. 1 lit. a and sentence 1 no. 2 lit. a, the doctoral candidate agrees to the publication of the dissertation electronically via the library network. <sup>4</sup>Further publication and exploitation rights of the author remain unaffected.
- (4) <sup>1</sup>The deposit copies must be submitted to the Media and Information Centre (MIZ) no later than one year after passing the examination. <sup>2</sup>In special circumstances, the chair of the doctoral board may set a longer deadline at the request of the doctoral candidate. <sup>3</sup>If the set deadline is culpably missed, all rights acquired through the disputation expire.
- (5) Proof of publication is provided by submitting a confirmation of receipt from the university library of the Media and Information Centre (MIZ) confirming receipt of the deposit copies in accordance with para. 3.



**Art. 17 Completion of the Doctorate**

- (1) <sup>1</sup>The doctorate becomes legally effective with the handing over of the doctoral certificate. <sup>2</sup>Only then does the doctoral candidate have the right to use the doctoral degree.
- (2) <sup>1</sup>The doctoral certificate shall be issued in German in accordance with the specimen in Annex 9. <sup>2</sup>The certificate will only be issued after the doctoral candidate has fulfilled his/her obligations in accordance with Art. 16. <sup>3</sup>In addition, a translation of the doctoral certificate may be issued in accordance with the sample in Annex 10.
- (3) <sup>1</sup>If a publishing contract with a recognised academic publisher is submitted, the doctorate can be completed before the deposit copies are delivered if the publisher has also declared in writing that the printing and timely delivery of the deposit copies are guaranteed. <sup>2</sup>In this case, completion of the doctorate shall be subject to the express reservation that the obligation to deliver copies in accordance with Art. 16 is fulfilled within one year of completion of the doctorate. <sup>3</sup>If this obligation is not fulfilled for reasons for which the doctoral candidate is responsible, the title shall be withdrawn and the certificate returned. <sup>4</sup>The decision to withdraw the title is made by the Dean. <sup>5</sup>Art. 16 (4) sentence 3 applies accordingly.

**Art. 18 Deception**

- (1) If the doctoral candidate has intentionally cheated in the doctoral procedure, the doctoral board may, after hearing the person concerned, declare the doctorate failed.
- (2) <sup>1</sup>If the doctoral degree has already been awarded at the time such a deception becomes known, it may be subsequently revoked and withdrawn by the doctoral board after prior consultation with the person concerned. <sup>2</sup>Such a revocation shall be made in particular if the deception relates to performance in those parts of the doctorate that were important for the assessment of the dissertation or disputation or the overall predicate.
- (3) The withdrawal of the doctoral degree is otherwise subject to the statutory provisions.

**Art. 19 Objection**

- (1) <sup>1</sup>Rejection decisions made in accordance with these doctoral regulations must be issued in writing, stating the reasons and providing information on legal remedies. <sup>2</sup>An appeal may be lodged with the Dean of the relevant school within one month of receipt of the decision in accordance with Arts. 68 ff. of the Administrative Court Regulations.
- (2) The school council decides on the objection.
- (3) <sup>1</sup>If the objection is directed against a decision of the reviewers' committee the dean forwards the objection to the responsible doctoral board for review. <sup>2</sup>The school council shall be informed of the forwarding of the appeal. <sup>3</sup>If the doctoral board amends the decision in accordance with the appeal, it shall remedy the appeal. <sup>4</sup>Otherwise, the school council shall review the decision to determine whether
  1. based on incorrect assumptions or irrelevant considerations,
  2. generally recognised principles or valuation standards or legal provisions have been violated.
- (4) <sup>1</sup>If the objection is directed against a decision by a reviewer, the doctoral board shall forward the objection to the reviewer. <sup>2</sup>Otherwise, paragraph 3 applies accordingly.

- (5) <sup>1</sup>A final decision on the objection should be made within three months. <sup>2</sup>If the objection is not upheld the decision must be substantiated and include information on legal remedies.

### **Art. 20 Honorary Doctorate**

- (1) <sup>1</sup>The school can award the Dr. h. c. in accordance with Art. 1 in cases of special academic achievement and merit. <sup>2</sup>The procedure for an honorary doctorate is initiated by a written and substantiated application from a professor who is a member of the school.
- (2) <sup>1</sup>The school council decides on the acceptance or rejection of the motion by secret ballot. <sup>2</sup>The motion is rejected unless at least two thirds of those entitled to vote, including the majority of the members of the professorial group on the school council, approve it.
- (3) <sup>1</sup>The school council may decide, by a majority of the members of the group of professors, that two external reviews recognising the performance and merits of the nominee be obtained before a decision on the acceptance of the application is made by the Dean. <sup>2</sup>In this case, the school council shall decide whether to accept or reject the application on the basis of the reviews. Paragraph 2 applies accordingly.
- (4) The honorary doctorate is awarded by presenting a certificate in which the academic achievements of the honorary doctorate recipient are recognised.

### **Art. 21 Joint Doctoral Procedures with Foreign Universities/Schools**

- (1) <sup>1</sup>Doctoral procedures can be carried out jointly with a foreign university/school if
1. an individual cooperation agreement relating to a specific doctoral project has been concluded with the foreign university to which the school belongs, which has been approved by the doctoral board,
  2. admission to the doctorate has been granted both in accordance with Art. 4 of these doctoral degree regulations and in accordance with the regulations of the foreign school, and
  3. the doctoral candidate spends a total of at least six months working at the participating universities.
- <sup>2</sup>The agreement pursuant to sentence 1 no. 1 must contain provisions on details of the joint doctoral procedure, in particular on
1. individualised joint supervision of the doctorate,
  2. the certificate,
  3. enrolment modalities,
  4. accommodation and travelling expenses,
  5. the grading,
  6. the submission of obligatory copies pursuant to Art. 16 para. 3 and
  7. the responsibilities under data protection law and, in the case of joint responsibility, who of the participating universities/schools fulfils which obligation under the General Data Protection Regulation (GDPR), in particular with regard to the exercise of the rights of the doctoral applicants concerned, and who fulfils which information obligations under Articles 13 and 14 GDPR.
- (2) <sup>1</sup>A general cooperation agreement between the participating universities can regulate the main features of the procedure, but must be supplemented by an individual agreement in accordance with para. 1 sentence 1 no. 1.

<sup>2</sup>Framework regulations of the German Rectors' Conference (HRK) on cotutelle procedures must be observed.

<sup>3</sup>The individual cooperation agreement must be submitted to the responsible doctoral board via the dean and should be submitted to Leuphana within 6 months of admission to the doctorate. <sup>4</sup>Insofar as no special regulations are made below, the provisions of these doctoral degree regulations apply.

- (3) <sup>1</sup>The doctoral candidate is supervised by one person from each of the participating schools. <sup>2</sup>The supervisor from the foreign university/school will be appointed as an external reviewer for the doctoral procedure at Leuphana University Lüneburg in accordance with Art. 3b (3). <sup>3</sup>In addition, the agreement according to para. 1 sentence 1 no. 1 ensures that the supervisor from Leuphana University Lüneburg participates in the foreign doctoral procedure as a reviewer. <sup>4</sup>The two reviewers undertake in the agreement in accordance with para. 1 sentence 1 no. 1 to provide full academic supervision and to make the necessary arrangements.
- (4) <sup>1</sup>The dissertation can be submitted both at the foreign university/school and at the School of Sustainability of Leuphana University Lüneburg in accordance with the detailed regulations in the agreement pursuant to para. 1 sentence 1 no. 1. <sup>2</sup>A dissertation that has already been accepted or rejected at one institution may not be resubmitted to the other participating institution.
- (5) <sup>1</sup>If the dissertation is submitted to the School of Sustainability at Leuphana University Lüneburg, the doctoral procedure is governed by the provisions of these doctoral degree regulations, with the following exceptions:
1. In deviation from Art. 3b (2) sentence 1, the reviewers' committee is composed of four reviewers and is made up of an equal number of members from both universities/schools.
  2. In deviation from Art. 9 (2) No. 1, five copies of the dissertation must be enclosed with the application to initiate the procedure.
  3. If, in deviation from Art. 12 para. 2, four reviewers propose acceptance (with conditions) of the dissertation, it will be made available for inspection in the Dean's Office for a fortnight; the display must be announced.
  4. Notwithstanding Art. 12 para. 4 sentence 6, the predicate of the dissertation shall be determined in Annex 13.
  5. By way of derogation from Art. 14 (6) sentence 8, the predicate for the disputation is determined in Annex 13.
- <sup>2</sup>If the dissertation is not written in the national language of the participating foreign university/school or in English, the participating foreign university/school may request a summary in its respective national language.
- (6) <sup>1</sup>If the dissertation is submitted to the foreign university/school and is not written in German or English a summary must be provided in German or English. <sup>2</sup>The doctoral procedure shall be conducted in accordance with the regulations of the foreign university/school with the participation of the Leuphana University Lüneburg supervisor named as a reviewer in the agreement pursuant to para. 1 sentence 1 no. 1. <sup>3</sup>Unless otherwise stipulated, the foreign reviewers' committee shall be composed of equal numbers of reviewers. <sup>4</sup>For this purpose, the doctoral board may appoint and delegate further members of the reviewers' committee in accordance with Art. 3b.
- (7) <sup>1</sup>A joint doctoral certificate shall be issued in accordance with the specimen in Annex 11 or 12. <sup>2</sup>It contains the designation of the respective academic degree and the corresponding foreign degree. <sup>3</sup>It contains a reference to the fact that it is a joint doctoral procedure. <sup>4</sup>The participating universities/schools may agree on a design for the

joint doctoral certificate that differs from the models in Annexes 11 and 12. <sup>5</sup>If two doctoral certificates are issued, sentences 2 and 3 apply accordingly to the certificate of Leuphana University Lüneburg.

- (8) <sup>1</sup>Upon receipt of the doctoral certificate, the doctoral candidate is entitled to use the corresponding doctoral degree both in the Federal Republic of Germany and in the country to which the participating university/school belongs. <sup>2</sup>The authorisation to use only one doctoral degree is acquired.

### **Art. 22 Compensation for Disadvantages**

- (1) <sup>1</sup>If doctoral candidates demonstrate to the responsible doctoral board that they are unable to complete the examination achievements in accordance with Art. 2 (2) in full or in part in the intended form, e.g. due to long-term physical or psychological restrictions, they must be given the opportunity to complete the doctoral examination achievements in an extended processing time or in a form appropriate to their needs. <sup>2</sup>The decision is made by the doctoral board. <sup>3</sup>The representative for students with disabilities or chronic illnesses at Leuphana University Lüneburg may be involved in this decision.
- (2) <sup>1</sup>The regulations of the Maternity Protection Act (MuSchG) are also taken into account, in particular the utilisation of the protection periods of Art. 3 para. 1 and 2 as well as the protective regulations of Art. 5 para. 2 and Art. 6 para. 2 of the MuSchG. <sup>2</sup>A corresponding application must be submitted to the doctoral board. <sup>3</sup>If pregnant women / mothers wish to take examination achievements in accordance with Art. 2 para. 2 or participate in them during the maternity protection period, a written declaration must be submitted in advance. <sup>4</sup>This can be cancelled at any time with effect for the future. <sup>5</sup>The same applies to examination achievements taken between 8 p.m. and 6 a.m. and on Sundays or public holidays. <sup>6</sup>If the doctoral candidate performs or participates in examination achievements without the university being aware of the current maternity protection period and no information is provided by the doctoral candidate about the current protection period together with the required written declaration or even a revocation until the respective completion, the performance or participation is deemed to be an express declaration of intent to perform or participate in examination achievements despite the current protection period. <sup>7</sup>The same applies to the performance of or participation in examination achievements between 8 p.m. and 6 a.m. and on Sundays or public holidays.
- (3) <sup>1</sup>The doctoral candidate in question must not suffer any disadvantages as a result of complying with the provisions of paragraphs 1 and 2. <sup>2</sup>The fulfilment of the requirements according to paragraphs 1 and 2 must be proven by means of suitable documents, such as a medical certificate from a specialist, if applicable an official medical certificate, birth certificates, maternity pass, certificates from the residents' registration office, etc.

### **Art. 23 Data Protection**

- (1) The following categories of personal data of doctoral candidates are processed for administrative purposes of the application, admission and implementation of the procedures according to these regulations and, if applicable, subsequently for enrolment:
1. Identification data (surname, maiden name, first name(s), date of birth, place of birth (country), gender, nationality)
  2. Contact details (address, e-mail address, telephone number)

3. University contact details (Leuphana e-mail address, user ID)
4. Matriculation number
5. Doctoral degree and completion data (degree, specialisation, final grades, title of the dissertation, examination results)
6. Information on whether admission or enrolment has taken place
7. Deadline dates.

(2) <sup>1</sup>All members and affiliates of Leuphana University Lüneburg and guests participating in the programmes pursuant to Art. 5 and in the disputation pursuant to Art. 14 (3) sentence 4, as well as committee members pursuant to Art. 3 (5), may provide the following categories of personal data:

1. Audio and video data and
  2. the data technically required to provide a video conferencing system
- are recorded, temporarily stored and transmitted to the participants for the purpose of participation via a video conferencing system. <sup>2</sup>Access must be restricted to the participants. <sup>3</sup>The lecturer of the respective courses in accordance with Art. 5 decides on the use of video conferencing and informs the participants of this before the start of the respective event. <sup>4</sup>There is no obligation to switch on the camera and microphone during the event. <sup>5</sup>Sentence 4 does not apply if the processing concerns certificates of achievement of participants pursuant to Art. 5 (2) or the organisation of the disputation pursuant to Art. 14 (5). <sup>6</sup>With the exception of lecturers, participants present on site should not be included in the data processing in accordance with sentence 1.

(3) <sup>1</sup>The following categories of personal data may be collected from members and affiliates of Leuphana University Lüneburg and guests participating in the programmes pursuant to Art. 5:

1. (Account) names,
  2. communication content, in particular audio, video and text data and
  3. the data technically necessary for the provision of the platform used
- are recorded, temporarily stored and transmitted to the participants, insofar as this is necessary, because interaction between participants, in particular scientific discourse, is a necessary component of the programmes, and
1. to enable quality improvements, cooperation projects or didactic innovations and
  2. to achieve the acquisition of digital collaboration skills in the context of the doctorate with a low degree of spatial and temporal flexibility for doctoral candidates, whereby immediate or time-delayed access to data and content is essential so that doctoral candidates can apply the skills efficiently in everyday research, and
  3. to fulfil university tasks in accordance with Art. 3 para. 1 sentence 1 nos. 1 to 5 NHG.

<sup>2</sup>The necessity according to sentence 1 is generally given in cases of Art. 5 para. 2 and Art. 21 of these regulations. <sup>3</sup>Data processing is to be limited to those Arts. and participants of the programmes for which the requirements specified in sentence 1 are met. <sup>4</sup> The lecturer decides on the use of the platforms provided centrally by Leuphana.

(4) <sup>1</sup>Online or hybrid courses are held exclusively via digital video conferencing systems and platforms provided centrally by Leuphana. <sup>2</sup>Access must be restricted to the participants.

(5) <sup>1</sup>The following categories of personal data may also be processed for the purposes of the procedures pursuant

to Arts. 9 to 12 in addition to the data pursuant to paragraph 1:

1. Information on the doctorate ((working) title, subject area)
2. Elaboration(s) of the doctorate
3. Assessments (reviews, grade/predicate)
4. Information on the disputation (title of the doctorate, place, date)
5. Graduation dates (title, specialisation, degree, grade, examination dates)

<sup>2</sup>The data will be processed by the responsible school and communicated to Student Services for documentation purposes and the issuing of certificates. <sup>3</sup>For review purposes, the data can be transmitted securely to the authorised reviewers.

- (6) <sup>1</sup>Disputations may be announced publicly, stating the title of the dissertation, time and place, in the case of Art. 14 para. 3 sentence 3 exclusively to the university public. <sup>2</sup>Name data of the doctoral candidate shall only be made public to the university. <sup>3</sup> Paragraph 2 shall apply accordingly to the participation of the (university) public in the disputation, with the proviso that paragraph 2 sentence 2 shall not apply in the case of digital participation by the public.
- (7) <sup>1</sup>For the purposes of proof of publication and publication in accordance with Art. 16, identification data may be processed together with the doctorate, details of the doctorate, details of the disputation and name data of the reviewers and supervisors and published by the university. <sup>2</sup>The data may be transferred to the German National Library for archiving and publication purposes. <sup>3</sup>The administrative organisation, publication and transmission are carried out by the library of Leuphana University Lüneburg.
- (8) <sup>1</sup>For the purposes of joint doctoral procedures, identification data, the date of enrolment and admission and the data required under Art. 21 may be passed on to the foreign university/school via a secure transmission channel. Any further data transfers must be regulated in the cooperation agreement. In the case of foreign universities/schools located in a third country, the requirements of Articles 44 to 50 GDPR must be complied with and, if necessary, ensured by means of a data protection agreement.
- (9) <sup>1</sup>The following categories of personal data of doctoral candidates are processed by the responsible school, doctoral board and the representative for students with disabilities or chronic illnesses for the purpose of assessing the granting of compensation for disadvantages in accordance with Art. 22:
1. Identification data (surname, first name, date of birth, place of birth)
  2. Contact details (address, e-mail address, telephone number)
  3. Medical information about illnesses
  4. Details of existing maternity/parental leave
  5. Result and reasons for the decision pursuant to Art. 22

<sup>2</sup>Data according to sentence 1 will be deleted by the responsible school one year after notification of the decision. <sup>3</sup>The responsible school shall take measures to protect the processed personal data in accordance with sentence 1 no. 3 and no. 4 in accordance with Art. 17 (2) of the Lower Saxony Data Protection Act (NDSG) and, if necessary, additional measures in accordance with Art. 17 (3) NDSG. <sup>4</sup>Paragraph 10 sentence 3 applies accordingly.

(10) <sup>1</sup>Personal data that is no longer required for the purposes stated in these regulations must be deleted by the internally responsible office at the earliest possible time after the expiry of the relevant retention and limitation periods for the specific subject and, if no retention and limitation periods are relevant, at the earliest possible time. <sup>2</sup>Student Services and the schools inform each other regularly about the expiry of retention periods. <sup>3</sup>The selected technical and organisational measures for the protection of the processed personal data are recorded in the Leuphana University Lüneburg register of processing activities prior to the start of processing, in particular taking into account the procedures in paragraphs 2 and 3. <sup>4</sup>In addition, the data protection regulations from the GDPR, the NDSG and Art. 17 NHG apply.

### Art. 24 Transitional Provisions

- (1) University professors within the meaning of Art. 3b para. 5 sentence 1 lit. a are also deemed to be professors who have been taken over and whose duties have been adjusted to those of a university professor on the basis of a decision in accordance with Art. 9 para. 3 of the statutes of the University Lüneburg Foundation on the employment of professors taken over dated 21 December 2004 (University Lüneburg INTERNAL No. 2/07 dated 15 February 2007). December 2004 (University Lüneburg INTERN No. 2/07 dated 15 February 2007) to those of a university professor, but who have not submitted an application for transfer to the office of a university professor in accordance with Art. 10 of those statutes.
- (2) Professors at "Universities of Applied Sciences" pursuant to Art. 3b para. 5 sentence 1 lit. b also include professors who have been taken on and whose duties have not been harmonised with those of a university professor on the basis of a decision pursuant to Art. 9 para. 3 of the statutes pursuant to para. 1.
- (3) <sup>1</sup>For doctoral candidates who were admitted to the doctorate at Leuphana University Lüneburg before the winter semester 2023/2024, the following table of equivalences applies for the recognition of certificates of achievement already achieved in the modules of the doctoral courses:

Modules according to the doctoral degree regulations of the School of Sustainability dated 8 July 2015 (Leuphana Gazette 38/15 dated 23 September 2023)	Equivalence modules from winter semester 2023/2024
Scientific practice/ethics	Practicing Research for Science and Society
Philosophy of science	Discussing Research Perspectives
Research methods	Discussing Research Methods
Specialised research colloquium	Research Forum I and Research Forum II

<sup>2</sup>The module "Engaging with Research Ethics" does not have to be completed by doctoral candidates who have been admitted up to and including 30 September 2023.

- (4) Doctoral procedures that have already been opened by the time these regulations come into force can be terminated upon application in accordance with the regulations of the previously valid doctoral regulations of the School of Sustainability.



## **SECTION II**

<sup>1</sup>These regulations enter into force on 01 October 2023. <sup>2</sup>At the same time, the previously valid doctoral degree regulations of the School of Sustainability shall cease to apply.

**Attachments**

<b>Appendix 1</b>	Doctoral courses
<b>Appendix 2</b>	Model application for the opening of proceedings
<b>Appendix 3</b>	Sample title page dissertation for submission of the dissertation
<b>Appendix 4</b>	Sample declarations and insurance
<b>Appendix 5</b>	Overview of predicates dissertation, disputation and doctorate
<b>Appendix 6</b>	Sample title page for print release monograph
<b>Appendix 7</b>	Sample title page for print approval cumulative
<b>Appendix 8</b>	Sample confirmation of the reviewers' committee
<b>Appendix 9</b>	Sample doctoral certificate
<b>Appendix 10</b>	Sample doctoral certificate - English version
<b>Appendix 11</b>	Sample doctoral certificate for binational doctoral procedures
<b>Appendix 12</b>	Sample doctoral certificate for binational doctoral procedures - English version
<b>Appendix 13</b>	Overview of predicates dissertation and disputation for binational doctoral procedures

## **Appendix 1**

### Re Art. 5 Doctoral Courses

The doctoral courses comprise four areas, which are divided into six modules with a total of 30 CP.

#### Areas of the doctoral courses:

- Engaging with Research Ethics (5 CP)
- Research Forum (10 CP)
- Discussing Research Methods and Perspectives (10 CP)
- Practicing Research for Science and Society (5 CP)

#### Modules of the doctoral courses:

- Engaging with Research Ethics (5 CP)
- Research Forum I (5 P)
- Research Forum II (5 CP)
- Discussing Research Methods (5 CP)
- Discussing Research Perspectives (5 CP)
- Practicing Research for Science and Society (5 CP)

All modules of the doctoral courses must be successfully completed by the time the dissertation is submitted in accordance with Art. 9.

The module Engaging with Research Ethics should be taken in the 1st or 2nd semester. The module Research Forum I should be taken in the 3rd semester. The Research Forum II module should be taken in the 6th semester.

**Module table**

<b>Module</b>	<b>Contents</b>	<b>Type of course (number and type)</b>	<b>Certificate of achievement</b>	<b>CP</b>
Engaging with Research Ethics	The module serves as an introduction to the doctorate at Leuphana, the connection to the Graduate School and schools as well as sensitisation for and preparation for ethically correct and responsible research activities in accordance with the rules of good scientific practice. The aim of the module is to familiarise doctoral candidates with the relevant players as well as support, qualification and funding opportunities at Leuphana, to internalise ethical considerations as early as the planning phase of the doctoral project and to develop concrete strategies for good scientific practice.	1 Seminar and 1 Workshop	1 Report	5
Research Forum I	The module enables doctoral candidates to be integrated into the respective disciplinary working group or doctoral research group. The module offers the opportunity to present research approaches and methods and to discuss them (inter)disciplinary.	1 Colloquium	1 Presentation	5
Research Forum II	The module enables the in-depth integration of doctoral candidates into the respective disciplinary working group or doctoral research group. The module offers the opportunity to present research progress and results and to discuss them (inter)disciplinary.	1 Colloquium	1 Presentation	5
Discussing Research Methods	In this module, doctoral candidates acquire the knowledge and skills to apply and reflect on the methods associated with the respective disciplinary subject.	1 Seminar	1 Presentation or 1 Report	5
Discussing Research Perspectives	In this module, doctoral candidates acquire knowledge of the scientific examination of a current (disciplinary or interdisciplinary) topic, a research direction or questions of scientific theory.	1 Seminar	1 Presentation or 1 Report	5
Practicing Research for Science and Society	In this module, doctoral candidates acquire the knowledge and skills to confidently navigate key aspects of the academic world and transfer (e.g. publication practices, acquisition of third-party funding, communication of research activities).	1 Seminar	1 Presentation or 1 Report	5

## **Appendix 2**

Re Art. 9 Opening of the doctoral procedure

### **Model application for the opening of proceedings**

[Title First name Surname]  
Dean of the School of Sustainability  
c/o Dean's Office of the School of Sustainability  
Universitätsallee 1  
21335 Lüneburg

### **Application for the opening of the doctoral procedure**

[Place], [Date]

Dear Dean,

I hereby apply for the opening of my doctoral procedure. I have enclosed the following documents with my application:

- four copies of the dissertation in printed form
- the dissertation including all appendices as an electronic version on a suitable data carrier
- my curriculum vitae
- a declaration as to whether and with what success I have already taken another doctoral examination or registered for such an examination
- the declaration that the dissertation has not yet been submitted to any other university for review in its current or any other version
- if applicable, a declaration that the period spent working at the participating universities as part of the cotutelle procedure totalled at least six months in each case
- a list of the scientific papers I have published
- proof of successful participation in the doctoral courses
- if applicable, evidence resulting from the guidelines for the cumulative dissertation
- proof of completion of the master's degree programme, if applicable

Yours sincerely [Signature]

### **Appendix 3**

Re Art. 9 Opening of the proceedings

#### **Sample title page for submission of the dissertation**

##### **Front side:**

[Title of the dissertation]

Submitted to the School of Sustainability  
of Leuphana University Lüneburg for the award of the degree of

Doctor of [Discipline]  
- [Doctoral degree] -

Dissertation submitted by [First name Surname]

born on [DD Month YYYY] in [Place of birth]

##### **Reverse side:**

Submitted on:

First supervisor: [Title First name, Surname, University]

Second supervisor, if applicable: [Title First name, Surname, University]

First assessor: [Title First name, Surname, University]

Second assessor: [Title First name, Surname, University]

Third assessor: [Title First name, Surname, University]

Fourth assessor<sup>2</sup>: [Title First name, Surname, University]

<sup>2</sup>Only for doctoral procedures according to Art. 21

**Appendix 4**

Re Art. 9 Opening of the doctoral procedure

**Sample declarations and insurance**

[First name Surname]

[Street House number]

[Postcode town]

[Telephone]

[Email]

I hereby declare that I have not yet taken a doctoral examination or applied for admission to one. / I hereby declare that I have already taken a doctoral examination in [year] for the degree of [Doctoral degree] with the dissertation [*Title of dissertation*].<sup>1</sup>

I have successfully passed this examination with the grade [grade given]. / I have not successfully passed this examination.<sup>1</sup>

I certify that the dissertation [*Title of dissertation*] has not been submitted to any other university for review in the present or any other version.

I confirm that I have spent at least six months working at each of the participating universities as part of the Cotutelleprocedure.<sup>2</sup>

I declare in lieu of oath that I have written the submitted dissertation [*Title of dissertation*] independently and without any unauthorised outside help. I have not made use of any aids or writings other than those specified by me. I have labelled all passages taken literally or analogously from other writings. I have been informed of the consequences under criminal law in accordance with Art. 156 of the German Criminal Code.

[Place], [Date]

[Signature]

<sup>1</sup>List where applicable, if known

<sup>2</sup>Only to be listed for cotutelle procedures

**Appendix 5**

Re Art. 12 (4), Art. 14 (6) and Art. 15 (1)

**Determination of predicates for dissertation, disputation and doctorate****Table 1 - Predicate of the dissertation**

Individual ratings of the reviewers for the dissertation			Overall rating of the dissertation
summa cum laude	summa cum laude	magna cum laude	summa cum laude
summa cum laude	summa cum laude	cum laude	magna cum laude
summa cum laude	summa cum laude	rite	magna cum laude
summa cum laude	magna cum laude	magna cum laude	magna cum laude
summa cum laude	magna cum laude	cum laude	magna cum laude
summa cum laude	magna cum laude	rite	magna cum laude
summa cum laude	cum laude	cum laude	magna cum laude
summa cum laude	cum laude	rite	cum laude
summa cum laude	rite	rite	cum laude
magna cum laude	magna cum laude	cum laude	magna cum laude
magna cum laude	magna cum laude	rite	cum laude
magna cum laude	cum laude	cum laude	cum laude
magna cum laude	cum laude	rite	cum laude
magna cum laude	rite	rite	cum laude
cum laude	cum laude	rite	rite
cum laude	rite	rite	rite

**Table 2 - Predicate of the disputation**

Individual predicates of the reviewers for the disputation			Overall predicate of the defence
summa cum laude	summa cum laude	magna cum laude	summa cum laude
summa cum laude	summa cum laude	cum laude	magna cum laude
summa cum laude	summa cum laude	rite	magna cum laude
summa cum laude	magna cum laude	magna cum laude	magna cum laude
summa cum laude	magna cum laude	cum laude	magna cum laude
summa cum laude	magna cum laude	rite	magna cum laude
summa cum laude	cum laude	cum laude	magna cum laude
summa cum laude	cum laude	rite	cum laude
summa cum laude	rite	rite	cum laude
magna cum laude	magna cum laude	cum laude	magna cum laude
magna cum laude	magna cum laude	rite	cum laude
magna cum laude	cum laude	cum laude	cum laude
magna cum laude	cum laude	rite	cum laude
magna cum laude	rite	rite	cum laude
cum laude	cum laude	rite	rite
cum laude	rite	rite	rite



**Table 3 - Overall predicate of the doctorate**

<b>Predicate of the dissertation</b>	<b>Predicate of the disputation</b>	<b>Overall rating of the doctorate</b>
summa cum laude	magna cum laude	summa cum laude
summa cum laude	cum laude	summa cum laude
summa cum laude	rite	magna cum laude
magna cum laude	summa cum laude	magna cum laude
magna cum laude	cum laude	magna cum laude
magna cum laude	rite	magna cum laude
cum laude	summa cum laude	magna cum laude
cum laude	magna cum laude	cum laude
cum laude	rite	cum laude
rite	summa cum laude	cum laude
rite	magna cum laude	cum laude
rite	cum laude	rite

## Appendix 6

Re Art. 16 para. 2 Publication of the dissertation

### Sample title page for print release monograph

#### Front side:

[Publication title of the dissertation]

By the School of Sustainability  
of Leuphana University Lüneburg for the award of the degree of

Doctor of [Discipline]  
- [Doctoral degree] -

approved dissertation by  
[First name Surname]

born on [DD Month YYYY] in [Place of birth]

#### Reverse side:

Submitted on:

Oral defence (disputation) on:

First supervisor: [Title First name Surname, University]

Second supervisor, if applicable: [Title First name Surname, University]

First reviewer: [Title First name Surname, University]

Second reviewer: [Title First name Surname, University]

Third reviewer: [Title First name Surname, University]

Fourth reviewer<sup>2</sup>: [Title First name Surname, University]

Submitted as a dissertation under the title:

Year printed:

published by: [Name of publisher]

If applicable, specify volume, issue, page:

<sup>2</sup>Only for doctoral procedures according to Art. 21

## Appendix 7

Re Art. 16 para. 2 Publication of the dissertation

### Sample title page for print approval cumulative

#### Front side:

[Title of the dissertation]

By the School of Sustainability  
of Leuphana University Lüneburg for the award of the degree of

Doctor of [Discipline]  
- [Doctoral degree] -  
approved dissertation by  
[First name Surname]

born on [DD Month YYYY] in [Place of birth]

#### Reverse side:

Submitted on:

Oral defence (disputation) on:

First supervisor: [Title First name Surname, University]

Second supervisor, if applicable: [Title First name Surname, University]

First reviewer: [Title First name Surname, University]

Second reviewer: [Title First name Surname, University]

Third reviewer: [Title First name Surname, University]

Fourth reviewer<sup>2</sup>: [Title First name Surname, University]

The individual contributions to the cumulative dissertation project are or will be published as follows, including the framework paper if applicable:

[References of the contributions]

Year of publication:

<sup>2</sup>Only for doctoral procedures according to Art. 21

## **Appendix 8**

Re Art. 16 para. 3 Publication of the dissertation

### **Sample confirmation of the reviewers' committee**

Media and Information Centre (MIZ) of Leuphana University Lüneburg  
Publication service  
Universitätsallee 1  
21335 Lüneburg

The reviewers' committee hereby confirms that the cumulative dissertation submitted by [first name surname] with the title [title of dissertation] complies with the requirements of Art. 8 (3) of the Doctoral Degree Regulations of 21 June 2023 (Gazette 69/23 of 20 July 2023) and the guidelines for cumulative dissertations of the doctoral board [Doctoral degree] of the School of Sustainability and that the doctoral procedure has been successfully completed.

[Place], [Date]

[Signature]

Chairperson of the reviewers' committee

## Appendix 9

Re Art. 17 (2) Completion of the doctorate

### Sample German doctoral certificate

Logo der Leuphana Universität Lüneburg

Die Fakultät Nachhaltigkeit der Leuphana Universität Lüneburg

verleiht mit dieser Urkunde

[Vorname Nachname]

geboren am [Geburtsdatum] in [Geburtsort]

den Grad

Doktorin/Doktor<sup>1</sup> der [Fachgebiet]

[Doktorgrad]

Die wissenschaftliche Befähigung wurde im ordnungsgemäßen  
Promotionsverfahren durch die mit [Prädikat Dissertation] bewertete Dissertation

[Titel der Dissertation]

sowie durch die mit [Prädikat Disputation]  
bewertete Disputation am [Datum] erwiesen und mit dem Gesamturteil

[Gesamtprädikat]

bewertet.

Lüneburg, [Ausstellungsdatum]

[Siegel der Universität]

[Unterschrift]  
Präsidentin/Präsident<sup>1</sup>  
[Titel Vorname Nachname]

[Unterschrift]  
Dekanin/Dekan<sup>1</sup>  
[Titel Vorname Nachname]

<sup>1</sup>Zutreffendes aufführen

**Appendix 10**

Re Art. 17 (2) Completion of the doctorate

**Sample doctoral certificate - English version**

Logo of Leuphana University Lüneburg

The School of Sustainability of Leuphana University Lüneburg with this document confers upon

[First name Surname]

born on [DD Month YYYY] in [Place of birth]  
the degree of

Doctor of [Discipline]

[Doctoral degree]

The academic qualification has been proven in due course of the doctoral procedure by the dissertation

[Title of dissertation]

graded [predicate dissertation] and by the disputation on [date disputation] graded [predicate disputation] and was  
awarded an overall grade of

[overall predicate]

Lüneburg, [Date of issue]

[seal of the university]

[Signature]

President

[Title First name Surname]

[Signature]

Dean

[Title First name Surname]

**Appendix 11**

Re Art. 21 (7) Joint doctorates with foreign universities / schools

**Sample German doctoral certificate for binational procedures**

Logo der Leuphana Universität Lüneburg

Die Fakultät Nachhaltigkeit der Leuphana Universität Lüneburg und die [Name der ausländischen Universität/Fakultät]

verleihen mit dieser Urkunde gemeinsam den Grad

Doktorin/Doktor<sup>1</sup> der [Fachgebiet]

[Doktorgrad]

[ausländischer Doktorgrad]

der Leuphana Universität Lüneburg / der [Name ausländische Universität/Fakultät]

an

[Vorname Nachname]

geboren am [Geburtsdatum] in [Geburtsort]

Die wissenschaftliche Befähigung wurde im ordnungsgemäßen Promotionsverfahren durch die mit [Note/Prädikat Dissertation]<sup>2</sup> bewertete  
Dissertation

[Titel der Dissertation]

sowie durch die mit [Note/Prädikat Disputation]<sup>2</sup> bewertete Disputation am [Datum Disputation]  
erwiesen und mit dem Gesamturteil[Gesamtnote/Gesamtprädikat]<sup>2</sup>

bewertet.

[Ort], [Ausstellungsdatum]

Leuphana Universität Lüneburg, [Datum]

[Name ausländischer Universität], [Datum]

[Siegel der Universität]

[Siegel der ausländischen Universität]

[Unterschrift]

Präsidentin/Präsident<sup>1</sup>

[Titel Vorname Nachname]

[Unterschrift]

Dekanin/Dekan<sup>1</sup>

[Titel Vorname Nachname]

[Unterschrift]

Präsidentin/Präsident<sup>1</sup>der ausländischen  
Universität

[Titel Vorname Nachname]

[Unterschrift]

Dekanin/Dekan<sup>1</sup>Der ausländischen Univer-  
sität

[Titel Vorname Nachname]

Logo der ausländischen Universität

<sup>1</sup>Zutreffendes aufführen<sup>2</sup>Note/Prädikat der Partneruniversität entsprechend ergänzen, wenn in der individuellen Kooperationsvereinbarung die Vergabe von Noten/Prädikaten beider Notensysteme vereinbart wurde.

**Appendix 12**

Re Art. 21 (7) Joint doctorates with foreign universities / schools

**Sample doctoral certificate for binational procedures - English version**

Logo of Leuphana University Lüneburg

The School of Sustainability of Leuphana University Lüneburg and [Name of the partner university/school]

with this document jointly confer upon

[First name Surname]

born on [DD Month YYYY] in [Place of birth]

the degree of

Doctor of [Discipline]

[Doctoral degree]

[Doctoral degree from partner university]

The academic qualification has been proven in due course of the doctoral procedure by the dissertation

[Title of dissertation]

graded [grade/predicate dissertation]<sup>1</sup> and by the disputation on [date disputation] graded [predicate disputation] and was awarded an overall grade of[overall grade / overall predicate]<sup>1</sup>

[Place], [Date of issue]

Leuphana University Lüneburg, [date]

[Name of partner university], [date]

[seal of the university]

[seal of the partner university]

[Signature]

President

[Title First name Surname]

[Signature]

Dean

[Title First name Surname]

[Signature]

President

of the partner university  
[Title First name Surname]

[Signature]

Dean

of the partner university  
[Title First name Surname]

Logo of the partner university

This certificate is a translation of the German original.

<sup>1</sup>Add grade/predicate of partner university accordingly, if the awarding of grades of both grading systems was agreed in the individual cooperation agreement



**Appendix 13**

Re Art. 21 para. 5

**Determination of the predicate dissertation and disputation in the context of doctoral procedures according to Art. 21****Table 1- Predicate of the dissertation**

Individual ratings of the reviewers for the dissertation				Overall rating of the dissertation
summa cum laude	summa cum laude	summa cum laude	magna cum laude	summa cum laude
summa cum laude	summa cum laude	summa cum laude	cum laude	summa cum laude
summa cum laude	summa cum laude	summa cum laude	rite	magna cum laude
summa cum laude	summa cum laude	magna cum laude	magna cum laude	summa cum laude
summa cum laude	summa cum laude	magna cum laude	cum laude	magna cum laude
summa cum laude	summa cum laude	magna cum laude	rite	magna cum laude
summa cum laude	summa cum laude	cum laude	cum laude	cum laude
summa cum laude	summa cum laude	cum laude	rite	magna cum laude
summa cum laude	summa cum laude	rite	rite	magna cum laude
summa cum laude	magna cum laude	magna cum laude	magna cum laude	magna cum laude
summa cum laude	magna cum laude	magna cum laude	cum laude	magna cum laude
summa cum laude	magna cum laude	magna cum laude	rite	magna cum laude
summa cum laude	magna cum laude	cum laude	cum laude	magna cum laude
summa cum laude	magna cum laude	cum laude	rite	magna cum laude
summa cum laude	magna cum laude	rite	rite	cum laude
summa cum laude	cum laude	cum laude	cum laude	magna cum laude
summa cum laude	cum laude	cum laude	rite	cum laude
summa cum laude	cum laude	rite	rite	cum laude
summa cum laude	rite	rite	rite	cum laude
magna cum laude	magna cum laude	magna cum laude	cum laude	magna cum laude
magna cum laude	magna cum laude	magna cum laude	rite	magna cum laude
magna cum laude	magna cum laude	cum laude	cum laude	magna cum laude
magna cum laude	magna cum laude	cum laude	rite	cum laude
magna cum laude	magna cum laude	rite	rite	cum laude
magna cum laude	cum laude	cum laude	cum laude	cum laude
magna cum laude	cum laude	cum laude	rite	cum laude
magna cum laude	cum laude	rite	rite	cum laude
magna cum laude	rite	rite	rite	cum laude
cum laude	cum laude	cum laude	rite	cum laude
cum laude	cum laude	rite	rite	cum laude
cum laude	rite	rite	rite	rite

**Table 2 - Predicate of the disputation**

Individual predicates of the reviewers for the disputation				Overall predicate of the disputation
summa cum laude	summa cum laude	summa cum laude	magna cum laude	summa cum laude
summa cum laude	summa cum laude	summa cum laude	cum laude	summa cum laude
summa cum laude	summa cum laude	summa cum laude	rite	magna cum laude
summa cum laude	summa cum laude	magna cum laude	magna cum laude	summa cum laude
summa cum laude	summa cum laude	magna cum laude	cum laude	magna cum laude
summa cum laude	summa cum laude	magna cum laude	rite	magna cum laude
summa cum laude	summa cum laude	cum laude	cum laude	cum laude
summa cum laude	summa cum laude	cum laude	rite	magna cum laude
summa cum laude	summa cum laude	rite	rite	magna cum laude
summa cum laude	magna cum laude	magna cum laude	magna cum laude	magna cum laude
summa cum laude	magna cum laude	magna cum laude	cum laude	magna cum laude
summa cum laude	magna cum laude	magna cum laude	rite	magna cum laude
summa cum laude	magna cum laude	cum laude	cum laude	magna cum laude
summa cum laude	magna cum laude	cum laude	rite	magna cum laude
summa cum laude	magna cum laude	rite	rite	cum laude
summa cum laude	cum laude	cum laude	cum laude	magna cum laude
summa cum laude	cum laude	cum laude	rite	cum laude
summa cum laude	cum laude	rite	rite	cum laude
summa cum laude	rite	rite	rite	cum laude
magna cum laude	magna cum laude	magna cum laude	cum laude	magna cum laude
magna cum laude	magna cum laude	magna cum laude	rite	magna cum laude
magna cum laude	magna cum laude	cum laude	cum laude	magna cum laude
magna cum laude	magna cum laude	cum laude	rite	cum laude
magna cum laude	magna cum laude	rite	rite	cum laude
magna cum laude	cum laude	cum laude	cum laude	cum laude
magna cum laude	cum laude	cum laude	rite	cum laude
magna cum laude	cum laude	rite	rite	cum laude
magna cum laude	rite	rite	rite	cum laude
cum laude	cum laude	cum laude	rite	cum laude
cum laude	cum laude	rite	rite	cum laude
cum laude	rite	rite	rite	rite

