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Doctoral Regulations for the Faculty of Sustainability at Leuphana University Lüneburg

The Faculty Council of the Faculty of Sustainability passed the following Doctoral Regulations on 08 July 2015 in accordance with the first sentence of section 9 par. 3 NHG [Lower Saxony University Act]. The Presidential Committee approved the Regulations on 26 August 2015 in accordance with the third sentence of section 44 par. 1 NHG.

Preamble

The purpose of these Doctoral Regulations is to ensure high-quality doctorates at Leuphana University Lüneburg that will substantially shape national and international academic and scientific development. Responsibility for implementing doctoral programmes and examination procedures lies with the faculties. All doctoral candidates enrol on a doctoral programme based at the Graduate School at Leuphana University Lüneburg.

§ 1 Doctoral titles and purpose of the doctorate

- (1) The faculties of Leuphana University Lüneburg shall award the title of doctor in their respective fields following the successful completion of a doctoral assessment process. Pursuant to the first sentence of section 9 par. 1 NHG, a doctoral title may only be awarded if Leuphana University Lüneburg runs university-level Masters, Diplom or Magister degree programmes or equivalent degree programmes that lead to Staatsexamen examinations in the subjects in question.
- (2) The Faculty of Sustainability awards the following doctorates upon successful completion of a doctoral programme and thesis defence: Dr. iur., Dr. phil., Dr. rer. nat., Dr. rer. pol.
- (3) By completing the doctoral programme, candidates demonstrate their ability to engage in in-depth, independent research.
- (4) Doctoral candidates at the faculties of Leuphana University Lüneburg must enrol on the doctoral programme at Leuphana University Lüneburg Graduate School.
- (5) The faculty shall also be entitled to award the doctorates specified in paragraph 2 in accordance with section 20 of these Doctoral Regulations as honorary titles (Dr. h. c.).

§ 2 Assessment

- (1) The title of doctor shall be awarded following completion of a doctoral programme as defined in section 5 on the basis of a two-part assessment.
- (2) The assessment shall consist of either one written research paper (monograph thesis), or multiple academic articles plus an accompanying paper (cumulative thesis), and an oral examination (thesis defence).

§ 3 Doctoral boards and reviewers' committees

- (1) The faculty shall set up a doctoral board for each type of doctorate pursuant to section 1 par. 2. Four university professors from Leuphana University Lüneburg shall sit on the doctoral board; at least three of the four board members must be from the field in which the doctorate is to be awarded. The members of the doctoral board shall be elected by the faculty council for a term of three years. Four deputies with the same

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qualifications shall also be appointed; the order in which they are to deputise is to be defined. In the event that a member of the board leaves before the end of his or her term, a new deputy can be appointed for the remainder of the term. University professors from other faculties of Leuphana University Lüneburg can also be elected to the doctoral boards as members and deputies. The doctoral board shall be quorate when at least three of its members are in attendance. The Head of the Graduate School shall sit on the doctoral board in an advisory capacity. The doctoral board shall elect one of its members to act as chair and of one its members to act as deputy chair. The chair shall have the casting vote. The meetings of the doctoral board shall not be public. Members have a duty of confidentiality; this duty of confidentiality also applies to the documents that they discuss.

- (2) The doctoral board shall appoint a reviewers' committee for each doctoral assessment process. The doctoral board may if necessary appoint the reviewers' committee in writing without convening a meeting. The reviewers' committee shall be composed of three reviewers and if necessary one member of the doctoral board. The doctoral board shall appoint the chair of the reviewers' committee. At least one reviewer must be a member of the faculty of Leuphana University Lüneburg that is to award the doctorate. One of the reviewers should as a rule come from an external academic or scientific or similar institution. At least one supervisor should be appointed to the committee as a reviewer when the reviewers' committee is first set up. The first reviewer must come from the relevant field. The second reviewer should have been appointed by the end of the second year. The doctoral board must have appointed a total of three reviewers by the time the doctoral assessment process is launched pursuant to section 9. All reviewers must be academics or scientists working and qualified in the general field of the thesis.
- (3) The members of the reviewers' committee must be professors or assistant professors or have completed a habilitation. The members of the reviewers' committee must also have a proven academic or scientific role beyond their involvement in the doctoral project. A committee member shall be deemed to hold such a role if he or she
 - a) is either a university professor or an assistant professor or has completed a habilitation
 - b) or is engaged in research in the broader field of the doctoral project to be supervised over and above his or her work on the thesis. Proof required: at least three articles in recognised journals or equivalent proceedings of leading academic or scientific conferences, or the publication of at least one academic or scientific monograph with an established specialist publisher, or the acquisition of external public research funding for the doctoral project in question (grant-funded research), or comparable research output that the doctoral board has deemed to be equivalent following an assessment of the individual case.

At least two of the three reviewers must meet the conditions specified under a) above. Retired professors who met the conditions specified in sentences 2 and 3 above during their working time as professors may be appointed as members of the reviewers' committee provided that they are active and qualified in the field of the thesis. The conditions for membership of the reviewers' committee set out in this paragraph shall be examined by the competent doctoral board, which shall ensure suitable transparency on the matter.

- (4) Notwithstanding par. 3, the leaders of externally funded young researchers' groups shall be eligible to become members of the reviewers' committee pursuant to par. 2 on the following conditions:
 - a) the group leader meets the requirements for the role of assistant professor pursuant to section 30 par. 2 NHG and
 - b) the group leader has been appointed to his or her role in a competitive selection procedure.

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- (5) An eight-member doctoral advisory panel can be set up for each type of doctorate; the professorial members and deputy members shall be as set out in par. 1. The remaining members shall be appointed by the group of research assistants on the competent faculty council. The doctoral advisory panel shall address all fundamental matters relating to the doctoral process and doctoral regulations, and submit recommendations to competent bodies including but not limited to the faculty council. This shall not affect the roles and responsibilities defined in these Doctoral Regulations.

§ 4 Admission to a doctoral programme

- (1) Candidates wishing to be admitted to a doctoral programme must
- a) hold a Diplom, Magister or Masters degree in the relevant subject, or an equivalent degree in which they have passed the *erstes Staatsexamen* or *zweites Staatsexamen* examination and
 - b) provide proof of aptitude pursuant to par. 2. The relevance of the candidate's degree pursuant to the first sentence of a) shall be decided by the doctoral board, which can accept proof of further specialist qualifications held by the candidate or require such proof by setting supplementary requirements such as conditions pursuant to par. 8. The equivalence of degrees pursuant to a) held by candidates from foreign universities shall be established on the basis of the recommendations by the *Zentralstelle für ausländisches Bildungswesen* [Central Office for Foreign Education] at the *Ständiges Sekretariat der Kultusministerkonferenz* [Permanent Secretariat of the Standing Conference of the Ministers of Education and Cultural Affairs] (www.anabin.de), provided the degree in question is covered by said recommendations.
- (2) Aptitude requirements:
- a) a degree within the meaning of par. 1 a) with a grade better than 2,6 (at least "gut"), or "befriedigend" in the case of the *erstes* or *zweites juristisches Staatsexamen*. In certain exceptional cases, the doctoral board shall have the power to depart from the minimum grade requirement and instead define equivalent proof of the necessary academic or scientific qualifications for the doctorate.
 - b) proficiency in English pursuant to par. 3.
- (3) The following shall be accepted as proof of proficiency in English:
- a) at least 85 points in an Internet-based TOEFL test or
 - b) at least 785 points in a TOEIC test or
 - c) an IELTS 5.5 test or
 - d) a Cambridge Advanced Certificate of English (CAE) (Grade C or higher) or
 - e) modules taken and passed as part of a higher education degree that are worth at least 30 CPs (ECTS) and were taught and assessed exclusively in English or
 - f) a degree in English or
 - g) a certificate from an English-medium school that qualifies the student to study in that country.

Graduates of Masters degree programmes at the Leuphana University Lüneburg Graduate School do not need to provide proof of English proficiency. The doctoral board may accept alternative, equivalent proof of English proficiency in individual cases. For joint doctoral programmes with German or international partner universities and for doctoral programmes that are mainly in English, the doctoral board shall be entitled to specify different criteria for proof of English proficiency.

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- (4) Proof that the admission requirements pursuant to par. 1 and 2 have been met is to be provided when the application is submitted. Proof of aptitude pursuant to par. 2 b) can be submitted later, but must be provided by the end of the third semester at the latest. In this case, the candidate's admission to the doctoral programme shall be conditional.
- (5) Applications for a doctoral place can be made at any time and are to be made in writing to Leuphana University Lüneburg. The following are to be included with an application:
 1. suitable evidence that the candidate meets the admission requirements pursuant to par. 1 and 2
 2. a clear proposal (max. 5 pages long) for the doctoral project, including a provisional title for the thesis
 3. a statement from the proposed supervisor on the candidate's qualifications and doctoral project and if applicable on the relevance of the candidate's prior qualifications pursuant to the first sentence of section 4 par. 1 a)
 4. a written declaration pursuant to section 7 par. 4 of the "Ethical guidelines with rules of good scientific practice and a procedure to handle cases of scientific misconduct" (compliance with these guidelines and the principles of good academic practice is a fundamental requirement)
 5. a declaration with the following wording: "I hereby declare that I have neither used nor will at any point use the services of commercial agents in my doctoral studies or assessment."

Candidates have no entitlement to admission to a specific semester, a specific research group or specific modules. The form of applications for admission shall be specified by Leuphana University Lüneburg. Applications must be complete and meet the formal requirements. The University shall retain all documents submitted.
- (6) Candidates apply to be enrolled in the doctoral programme when they apply for a doctoral place at the faculty. Applications for enrolment must be submitted with the documents required pursuant to par. 5 for enrolment in the summer or winter semester at Leuphana University Lüneburg.
- (7) Decisions on the admission of doctoral candidates shall be made by the doctoral board in accordance with the requirements set out in par. 1 to 5. The doctoral board may if necessary take its decision in writing without convening a meeting. A candidate shall be admitted if the majority of the members of the doctoral board accept his or her application. The chair of the doctoral board shall inform the candidate in writing of his or her admission to the doctoral programme and acceptance as doctoral candidate. By admitting the candidate, the doctoral board undertakes to ensure the subsequent assessment of the candidate's thesis provided the requirements set out in section 9 par. 2 and 3 are met. The candidate shall be informed in writing if his or her application is unsuccessful.
- (8) Admission is generally limited to a period of four years. In individual cases where such a move is justified, supplementary requirements for admission may be set (requirements to be met after admission, time limits, conditions and conditional admission). The doctoral board can on application extend the term for which the candidate has been admitted. Applications for such an extension must state the reasons for the request and include a statement from the supervisor. More than one extension is possible.
- (9) The doctoral boards can delegate the administrative duties pursuant to par. 1 to 6 relating to the admission procedure to Student Services.

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§ 5 Doctoral programme

- (1) Pursuant to the third sentence of section 9 par. 2 NHG, successful candidates shall be enrolled on a doctoral programme when they are accepted for a doctorate. In the cases defined in section 4 par. 4, enrolment on the doctoral programme shall be conditional.
- (2) Seminars and colloquia attended as part of the doctoral programme are designed to ensure that candidates explore the relevant findings and methods relevant to their thesis and the latest developments in relevant research in greater depth than in a Diplom, Magister, Masters or Staatsexamen degree programme.
- (3) Doctoral students at Leuphana University Lüneburg must obtain 25 CPs (ECTS) on the doctoral programme by completing the following modules:
 - 5 CP Scientific Practice/Ethics
 - 5 CP Philosophy of Science
 - 5 CP Research Methods
 - 10 CP by participating in at least two Subject-Specific Research ColloquiaClasses on the Scientific Practice/Ethics, Philosophy of Science and Research Methods modules are seminars (S). The Subject-Specific Research Colloquium classes are colloquia (Koll). More information on the doctoral programme modules can be found in Appendix 1. Candidates must have successfully completed all modules (modules are not graded) at the latest by the time they submit their thesis in accordance with section 9 par. 2 h). Doctoral students who have been admitted to the doctoral programme in accordance with section 7 in parallel to their Masters programme shall, if required, have their achievements graded. Grading shall be in accordance with the grading process for assessments as set out in the General Examination Regulations for Masters Programmes at Leuphana Graduate School.
- (4) Classes offered on the doctoral programme shall be approved by the faculties and coordinated by Leuphana Graduate School. Classes on the doctoral programme shall generally be run in English or German.
- (5) The competent doctoral research group shall decide whether or not to recognise credits obtained/work completed outside the doctoral programme. If necessary, this decision can be taken in writing without a meeting of the doctoral research group. To promote mobility and international study, it should be possible to have credits obtained/work completed at other universities and research institutions recognised provided those credits/that work involved is at least equivalent comparable to credits obtained/work completed on the doctoral programme at Leuphana University Graduate School.

§ 6 Doctoral research group

- (1) Specialist doctoral research groups, generally with at least three supervisors each, shall be set up to support and assist doctoral candidates on a group basis. A doctoral research group shall bring together all doctoral candidates in a given subject and their supervisors. Supervisors may belong to more than one doctoral research group. Doctoral research groups can be composed of students from different faculties and universities.
- (2) Doctoral research groups shall be set up following an application by the relevant dean's offices and faculty councils in consultation with the Head of the Graduate School and the chairs of the doctoral boards. Each doctoral research group shall select one of the professors in the group to be spokesperson and represent the group's interests.

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- (3) In consultation with the supervisor, the doctoral board shall assign each doctoral student to a doctoral research group when he or she is admitted to the doctoral programme. Any change of doctoral research group shall be decided upon by the supervisor in consultation with the doctoral boards.
- (4) Doctoral candidates shall generally be required to present their thesis question, aims, method and progress in front of at least two supervisors from their doctoral research group in the second and third year of their doctorate. Presentations shall be given as part of the research colloquium. In the event that the supervisors give a positive assessment of the doctoral project, the student shall receive a written confirmation to this effect and shall be allowed to continue with his or her project with no conditions imposed. Should the supervisors decide that continuing with the doctoral project would not be useful or productive, the doctoral student shall have the opportunity to give another presentation after one further semester at the latest. In the event that the second presentation still fails to provide reasonable grounds for pursuing the project, the doctoral student shall be advised to terminate his or her project and to withdraw from the doctoral assessment process pursuant to section 10. Failure to follow this recommendation shall result in the withdrawal of admission by the doctoral board and the termination of the doctoral assessment process. The doctoral student in question shall then be de-registered at the end of the semester.

§ 7 Parallel admission to Masters and doctoral programmes (doctoral track)

- (1) Masters students on Masters programmes at Leuphana Graduate School can at the same time be admitted to a doctoral programme at Leuphana University pursuant to section 4 on condition that they provide proof of compliance with the doctoral admission requirements pursuant to section 4 par. 1 and 2 (proof of a relevant Masters degree with a grade better than 2,6) by the time the doctoral assessment process as defined in section 9 is launched. Failure to meet this condition shall result in the withdrawal of admission to the doctorate with retroactive effect. Candidates must demonstrate compliance with the remaining requirements set out in section 4 at the time of their application. There is no basic entitlement to parallel admission.
- (2) Candidates for simultaneous admission must demonstrate aptitude for studying in parallel for a Masters and a doctorate. The following are required as proof of aptitude:
 - a) admission to a Masters degree programme at Leuphana Graduate School and enrolment in at least the first semester of that programme;
 - b) a very good Bachelor's degree (or equivalent)
 - c) a statement from the intended doctoral supervisor on the candidate's suitability for parallel admission to the Masters programme and the doctoral programme and
 - d) evidence pursuant to section 4 par. 5 nos 2-5.

A candidate shall be deemed to have a "very good" Bachelor's degree (or equivalent) if he or she was amongst the top ten percent in his or her year or achieved a final grade of at least 1,5.
- (3) Proof that the admission requirements pursuant to par. 2 have been met is to be provided when the application is submitted.
- (4) Applications for parallel admission to a Masters programme and a doctoral programme are to be made in writing to Leuphana University Lüneburg. The following are to be included with an application:
 - a) suitable evidence that the candidate meets the admission requirements pursuant to par. 2 a) to d)
 - b) an application for admission to a doctoral programme pursuant to section 4 par. 5.

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The form of applications for admission shall be specified by Leuphana University Lüneburg. Applications that are not complete and/or are not submitted in the required form and/or by the set deadline shall not be considered. The University shall retain all documents submitted.

- (5) Decisions on parallel admission to a Masters programme and doctoral programme shall be taken by the doctoral board. This decision may, if necessary, be taken in writing without a meeting of the doctoral board. The spokesperson of the relevant doctoral research group shall be involved in the decision in an advisory capacity. The chair of the doctoral board shall inform the candidate in writing of his or her admission to a Masters programme and a doctoral programme. The candidate shall be informed in writing if his or her application is unsuccessful.
- (6) The administrative duties pursuant to par. 2 and 3 relating to parallel admission to a Masters programme and a doctoral programme can be delegated to Student Services.

§ 8 Thesis and supervision agreement

- (1) The topic of the thesis is to be selected from the fields offered at Leuphana University Lüneburg and must be related to the subjects taught at the faculty. There must be a professor, assistant professor or other member of staff holding a habilitation at Leuphana University Lüneburg who meets the requirements set out in section 3 par. 3 in the relevant fields.
- (2) The thesis must be a complete, self-contained piece of work on the subject in question, and it must demonstrate the author's ability to engage in in-depth independent academic work and make a contribution to developments in the field. The requirement for individual, independent academic work applies even if the thesis is based on joint research by more than one person.
- (3) Monograph theses are to be written in either in German or English. Cumulative theses can comprise articles or papers in both German and English. The doctoral board shall have the power to depart from this requirement in exceptional cases.
- (4) The thesis can also consist of scientific or academic articles and an accompanying paper that sets out the overarching research question (cumulative thesis). The same overall quality requirements apply to the articles and paper as to a monograph thesis. The following standard quality requirements apply irrespective of the selected field or type of doctorate; the quality requirements can be specified in the guidelines issued by the doctoral boards for specific subjects and types of doctorates:
 - a) At least three articles/papers must be submitted.
 - b) If the articles or papers submitted have been written with other co-authors, the doctoral candidate's contribution must be clear and must be explained, and must be confirmed by the co-authors.
 - c) At least one of the three supervisors appointed in accordance with section 3 par. 2 must not also be a co-author of the articles or papers submitted for the doctorate.
 - d) The publication status of the articles submitted shall be taken as (one) indicator of the quality of the research, but shall be no substitute for independent evaluation by the reviewers' committee. The doctoral boards shall be entitled to specify their own guidelines on publication status and the importance of given journals.
 - e) An important aspect of the evaluation process for a cumulative thesis is the accompanying paper and how the articles or individual papers are presented in the context of the research question.
- (5) Parts of the thesis may already have been published.

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- (6) For quality assurance purposes, the doctoral candidate and the main supervisor shall enter into a supervision agreement once the candidate has been admitted to a doctoral programme and by the end of the first semester at the latest.

§ 9 Launch of the doctoral assessment process (submission of the thesis)

- (1) The application to launch the doctoral assessment process is to be submitted to the dean of the competent faculty in the form set out in Appendix 2. The dean shall then pass the application on to the chair of the doctoral board.
- (2) The following are to be included with the application:
- a) Five hard copies of the thesis with the title page as per the template in Appendix 3
 - b) The thesis including all appendices in digital form on a suitable data medium
 - c) A curriculum vitae in German or English including information on the academic career of the candidate
 - d) The certificates for the Staatsexamen and/or university qualifications held or other evidence pursuant to section 4
 - e) A declaration using the template in Appendix 4 as to whether or not the candidate has already taken another doctoral assessment or registered for such an assessment and with what results
 - f) A declaration using the template in Appendix 4 that neither the current nor any other version of the thesis has been submitted for review to any other higher education institution
 - g) A list of the academic papers published by the candidate
 - h) Evidence of successful completion of the doctoral programme pursuant to section 5 par. 3
 - i) Evidence of successful presentations of the doctoral project pursuant to section 6 par. 4
 - j) Any other documentation required under the guidelines issued by the competent doctoral board for cumulative theses.

The requirements for evidence set out in h) and i) do not apply to doctoral candidates admitted to Leuphana University prior to 01 October 2009.

- (3) A statement with the following wording is to be included with the application for the launch of the assessment process (template in Appendix 4): "I hereby declare that the thesis submitted [title of thesis] is all my own work and has been produced without any unauthorised assistance. I have not used any aids or material other than that specified. I have referenced all sources used." To check that the work submitted is the candidate's alone, the examiners shall be entitled to pseudonymise the author's details and submit the work to a plagiarism detection provider commissioned by Leuphana University Lüneburg in accordance with section 6 NDSG [Lower Saxony Data Protection Act] to check for plagiarism. This may be done even if plagiarism is not suspected. The data shall be deleted immediately and at the latest after three months.
- (4) The application shall be rejected if all or parts of the thesis has or have already been submitted as a thesis to another academic institution.

§ 10 Withdrawal

The candidate may withdraw from the doctoral assessment process unless one of the reviewers has already issued an assessment report recommending that the thesis be failed.

§ 11 Assessment of the thesis

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- (1) The doctoral board shall appoint three reviewers pursuant to section 3 par. 3 to assess the thesis. The main supervisor shall be entitled to propose external reviewers in the event that one or more external reviewer is to be appointed pursuant to section 3 par. 2. Reviewers are members of the reviewers' committee pursuant to section 3 par. 2. The supervisor shall be one of the reviewers.
- (2) Within three months of their appointment, the reviewers shall issue written assessment reports and recommend that the thesis be accepted, accepted with conditions or failed. Where a reviewer recommends acceptance, he or she shall also recommend the grade. The possible grades are as follows:
 - Excellent ("ausgezeichnet", summa cum laude; 0 to 0,5)
 - Very good ("sehr gut", magna cum laude; 0,6 to 1,5)
 - Good ("gut", cum laude; 1,6 to 2,5)
 - Satisfactory ("befriedigend", rite; 2,6 to 3,5)

§ 12 Procedure for accepting or failing a thesis

- (1) In the event that one or more of the reviewers appointed by the doctoral board recommends that the thesis be failed, the doctoral board shall appoint an additional external reviewer to issue an additional report. In the event that two or more reviewers recommend that the thesis be failed, it shall be failed by the doctoral board. The chair of the doctoral board shall inform the doctoral candidate in writing that his or her thesis has been failed.
- (2) In the event that three reviewers recommend that the thesis be accepted, it shall be available to be read by members of the University in the dean's office for four weeks; this shall be announced in advance. Each member of the faculty who meets the requirements of section 3 par. 3 shall, provided he or she teaches on a Masters programme at Leuphana University Lüneburg, be entitled to view the assessment reports and if desired submit their own unsolicited assessment report.
- (3) If an unsolicited report is submitted, the doctoral board can also appoint an additional reviewer. The doctoral board shall decide whether or not and how the unsolicited report as defined in par. 2 and the additional report pursuant to the first sentence of this paragraph is to be considered in the grading.
- (4) A thesis shall be accepted if it has been found to be as at least "satisfactory" ("befriedigend") by three of the reviewers appointed pursuant to section 3 par. 3 / section 11 par. 1 and section 12 par. 1. If the grades recommended in the reports to be considered pursuant to section 12 par. 1 and 3 differ and the reviewers cannot agree on a grade, the grade shall be the arithmetic mean of the individual grades awarded. Fails shall not be included in the overall grade calculation. Only the first decimal place (in the German grade the digit after the comma) shall be considered in the calculation of the grade; all further decimal places shall be disregarded. The decision on whether to accept or fail the thesis and on the award must be taken no later than four weeks after the end of the period in which the thesis is available for consultation / the submission of all assessment reports. The chair of the doctoral board shall inform the doctoral candidate in writing of the acceptance, conditional acceptance or rejection of his or her thesis. The assessment reports shall be issued to the doctoral candidate. A candidate whose thesis is failed shall be deemed to have failed the doctoral assessment. In the event that the thesis is accepted either fully or conditional on changes, a thesis defence shall be held.

§ 13 Copies on file

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A copy of the thesis together with all reports is to be filed at the relevant faculty, even if the thesis has been failed.

§ 14 Thesis defence

- (1) The chair of the reviewers' committee shall set the date for the thesis defence. The defence should as a rule be held four weeks after acceptance of the thesis. In the event that the doctoral candidate will be unable to appear at the date and time set, he or she must provide immediate written notification to this effect, stating the reasons for his or her unavailability.
- (2) A thesis defence shall generally last 90 minutes. The doctoral candidate shall open proceedings with a presentation lasting 20 to 30 minutes. In his or her thesis defence, the doctoral candidate should present his or her research findings, defend those findings by responding to criticism and objections and engage with opposing views on a sound theoretical basis. The defence shall be based on the topic of the thesis and should take account of the written assessment reports. The thesis defence shall also cover related areas in the given field. The thesis defence shall be in German or English; this requirement may be waived in agreement with the chair of the reviewers' committee. Two thirds of all voting members of the reviewers' committee must be present for the committee to be quorate. If necessary, the thesis defence may be held as a video/online conference over a secure connection. The thesis defence may be held as a video/online conference over a secure connection on the following conditions:
 - a) Members of the reviewers' committee, the doctoral candidate and the doctoral board have given their written consent.
 - b) The fact that the thesis defence is to be held as a video/online conference was announced when the date and time were set and is noted specifically in the minutes of the defence.
 - c) At least half of the members of the reviewers' committee, the main supervisor and the doctoral candidate attend in person.
 - d) A member of the reviewers' committee may only be excused from attending in person if he or she could not reasonably be expected to do so or if his or her attendance in person would only be possible at considerable extra effort or expense.
- (3) Theses defences shall be open to the public. Theses defences shall be held at Leuphana University Lüneburg. They shall be chaired by the chair of the reviewers' committee. The reviewers' committee and any persons who have submitted an assessment report shall have the right to ask questions at a given thesis defence. The chair may also allow questions from members of the public who are present.
- (4) Each doctoral candidate shall be assessed separately. The findings and evaluation of the thesis defence shall be minuted and the minutes signed by all members of the reviewers' committee.
- (5) A meeting of the reviewers' committee shall be held immediately after the thesis defence to decide whether or not and with what award the candidate has passed the defence. Grading shall be in accordance with section 11 par. 2. In the event that the grade recommendations for the thesis defence differ and the reviewers cannot agree on a grade, the grade shall be the arithmetic mean of the individual grades awarded. Only the first decimal place (in the German grade the digit after the comma) shall be considered in the calculation of the grade; all further decimal places shall be disregarded. The chair of the reviewers' committee shall inform the doctoral candidate of the result.
- (6) A candidate who fails his or her thesis defence shall be entitled to try again within one year of the initial defence. If he or she once again fails his or her oral examination, this shall constitute a fail without recourse

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for the overall assessment. The same shall apply if the doctoral candidate decides not to resit the thesis defence, or misses the deadline for a new thesis defence without providing good reason.

§ 15 Overall grade and notification

- (1) The reviewers' committee shall set the overall award after the end of the assessment process. The thesis shall be worth three quarters and the thesis defence one quarter of the overall grade. Grading shall be in accordance with section 11 par. 2. Only the first decimal place (in the German grade the digit after the comma) is to be considered in the calculation of the grade.
- (2) The chair of the reviewers' committee shall inform the doctoral board without delay of the grade for the thesis defence and the overall grade.
- (3) The doctoral board shall approve the award of the doctorate and the overall grade in accordance with the decision of the reviewers' committee. In the event of concerns relating to the assessment process, the doctoral board shall be entitled to require the reviewers' committee to re-examine and supplement its report, or to meet with the reviewers' committee for consultation. The doctoral board shall otherwise be bound by the decision of the reviewers' committee.
- (4) The doctoral board shall notify the doctoral candidate in writing of the grades for his or her thesis and thesis defence and the overall grade.

§ 16 Publication of the thesis

- (1) In the event of successful completion of the doctoral assessment process, the thesis must be made available to the scientific and academic community in an appropriate manner.
- (2) The manuscript with the title page as set out in the template in Appendix 5 (for monograph theses) or Appendix 6 (for cumulative theses) is to be submitted to the supervisor for revision before going to print. Once all necessary amendments have been made and all (formal and content) requirements have been met, the manuscript shall be approved for printing (imprimatur).
- (3) The following are to be provided free of charge to the Media and Information Centre (library) of Leuphana University Lüneburg as legal deposit copies:
 1. For monograph theses
 - a) 20 printed copies for circulation (A5, bound) or
 - b) six copies if a commercial publisher is distributing the thesis through booksellers, proof of a print run of at least 150 copies is provided, and the fact that the publication is a thesis is stated on the inside of the front page together with the "Hochschulschriftenvermerk" university paper notice: Zgl.: Lüneburg, University, Thesis, 20XX or
 - c) six copies if the thesis is being circulated by a commercial publisher on the basis of "publication on demand", there is a "Hochschulschriftenvermerk" and ISBN number, and availability is guaranteed for at least four years (evidenced by a publishing contract) or
 - d) three complete original versions, printed and permanently bound, plus a digital version in pdf format on a suitable data medium.
 2. For cumulative theses

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- a) confirmation from the reviewers' committee on the basis of the template in Appendix 7 that the cumulative thesis meets the requirements set out in section 8 par. 4 and if applicable those defined in the guidelines issued by the competent doctoral board and
- b) 20 complete original versions of the accompanying paper together with the articles and individual papers, printed and in permanent binding, or
- c) three complete original versions of the accompanying paper together with the articles and individual papers, printed and in permanent binding, plus an identical digital version in pdf format that, if applicable, contains an electronic reference (DOI) for any parts of the thesis that have already been published.

In the cases specified in no. 1 d) and no. 2 c), the doctoral candidate shall state that he or she consents to the thesis being published electronically through the library network. This shall not affect other publication and usage rights of the author.

- (4) The legal deposit copies must be submitted to the University library no later than one year after the assessment is passed. In exceptional circumstances, the chair of the doctoral board may choose to extend this deadline following a request from the candidate. If the candidate fails to meet the deadline set and is responsible for that failure, he or she shall lose all rights arising from his or her thesis defence.
- (5) Presentation of confirmation of receipt of the legal deposit copies pursuant to par. 3 from the University library shall constitute proof of publication.

§ 17 Completion of the doctorate

- (1) The doctorate shall become legally effective with the issue of the doctoral certificate. Only then shall the doctoral candidate have the right to use the title of doctor.
- (2) The doctoral certificate shall be issued in German, and on request in English, as set out in the template in Appendix 8. It shall be signed by the Dean and the President and bear the University seal. The document shall be dated with the date of the oral examination, but shall not be issued until the doctoral candidate has met the requirements specified in section 16.

§ 18 Fraud

- (1) In the event that the doctoral candidate is found to have committed fraud, the doctoral board shall be entitled to fail the candidate once he or she has been heard.
- (2) In the event that the degree of doctor has already been awarded at the time such fraud becomes known, the title may be revoked by the doctoral board once it has heard the party in question. Circumstances in which a doctoral title may be revoked include but are not limited to fraud or misrepresentation in parts of the work which were important in the evaluation of the thesis or thesis defence or of the overall grade.
- (3) Statutory provisions also apply to the revocation of doctoral titles.

§ 19 Appeals

- (1) Decisions going against the candidate that are taken in accordance with these Doctoral Regulations are to be given in writing with a statement of the reasons and information for the candidate on his or her right of appeal. In accordance with sections 68 ff. of the Code of Administrative Court Procedure

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[Verwaltungsgerichtsordnung], candidates shall have the right to appeal against such decisions within one month of receiving notification; appeals are to be made in writing or in person to the dean of the competent faculty.

- (2) The faculty council shall decide on the appeal.
- (3) Appeals against a decision of the reviewers' committee shall be passed on by the faculty council to the competent doctoral board for examination. The doctoral board may amend the decision in line with the appeal, i.e. accept the appeal. Otherwise, the faculty council shall examine the decision to establish whether
 - a) it was based on incorrect requirements or considerations that were not relevant,
 - b) there has been a breach of generally accepted principles or assessment standards or legal requirements.
- (4) Appeals relating to the decision of a reviewer shall be passed on by the doctoral board to the reviewer in question. Par. 3 applies accordingly.
- (5) A final decision on the appeal should be taken within three months. In the event that an appeal is not accepted, reasons for the decision are to be given and the candidate notified of his or her further right of appeal.

§ 20 Honorary doctorates

- (1) The faculty shall have the power to award the title of Dr. h. c. pursuant to section 1 in recognition of special scientific and academic achievements and services to science. The procedure for awarding an honorary doctorate shall be launched following a written, reasoned application by a professor of the faculty.
- (2) The faculty council shall then decide in a secret ballot whether to accept or reject the application. The application shall be rejected if it is not approved by at least two thirds of the voting members and by the majority of professors on the faculty council.
- (3) The faculty council may decide, with the support of the majority of professors on the council, to request two external assessments of the achievements of and services rendered by the proposed candidate before the dean takes a decision on whether or not to accept the application. In such cases, the faculty council shall decide on the basis of said assessments whether to accept or reject the application. Par. 2 applies accordingly.
- (4) Honorary doctorates shall be awarded with the presentation of a certificate recognising the scientific or academic achievements of the honorary doctor.

§ 21 Joint doctorates with universities/faculties abroad

- (1) Doctoral assessment processes can be organised in partnership with a university or faculty abroad if
 - a) an individual partnership agreement for a specific doctorate has been entered into with the foreign university to which the faculty belongs, and the doctoral board has approved said agreement. The agreement must include provisions governing the details of the joint doctorate, including but not limited to the details of joint supervision of the individual candidate, enrolment requirements and formalities, accommodation and travel costs, etc.
 - b) the candidate has been accepted for a doctorate in accordance with both section 4 of these Doctoral Regulations and the provisions of the foreign faculty and
 - c) the research/study period to be spent at each of the participating institutions is at least one year.

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- (2) A general partnership agreement between participating universities can set out the basic framework for the process, but an individual agreement pursuant to par. 1 a) is also required in each case. The general regulations defined by the German Rectors' Conference (HRK) on cotutelle programmes shall also apply. In the absence of any specific regulations below, the provisions of these Doctoral Regulations shall apply.
- (3) The doctoral candidate shall be supervised by one university teacher (Hochschullehrer) from each of the participating faculties. The supervisor from the foreign university/faculty shall be appointed as an external reviewer pursuant to section 3 par. 2 for the doctoral assessment process at Leuphana University Lüneburg. The agreement pursuant to par. 1 a) shall also require the supervisor from Leuphana University Lüneburg to take part in the doctoral assessment process at the foreign university/faculty. In the agreement pursuant to par. 1 a), the two supervisors shall undertake to provide full academic supervision and to reach the necessary agreements.
- (4) On the basis of more detailed provisions in the agreement pursuant to par. 1 a), it shall be possible to submit the thesis either to the foreign university/faculty or to Leuphana University Lüneburg/the relevant faculty. A thesis that has already been accepted or failed by one institution cannot be resubmitted to the other participating institution.
- (5) In the event that the thesis is submitted to Leuphana University Lüneburg, section 8 par. 3 shall apply. If the thesis is written in German or English, the participating foreign university/faculty shall be entitled to require a summary in its local language if that is not English. In the event that the thesis is accepted by Leuphana University Lüneburg/the competent faculty, it shall then be submitted to the foreign university/faculty for evaluation and for approval on the continuation of the assessment process/acceptance of the thesis. In the event that approval is withheld, the joint doctoral process shall be terminated and the process shall continue in accordance with provisions of these Doctoral Regulations. In the event that approval is granted, a thesis defence pursuant to section 14 shall be held. University teachers from the foreign faculty shall also be entitled to participate. The reviewers' committee pursuant to section 3 par. 2 and 3 shall in this case be composed of an equal number of members from each of the two universities/faculties. To this end, another person from the foreign university is to be appointed to the reviewers' committee in addition to the external member. For the thesis defence to be held as a video/online conference, the requirements of the seventh sentence of section 14 par. 2 shall apply. The thesis defence shall be in German or English; this requirement may be waived in agreement with the chair of the reviewers' committee.
- (6) If the thesis is submitted to the foreign university/faculty, a summary in German or English is to be provided. In the event that the foreign university/faculty, acting in consultation with the supervisor from Leuphana University Lüneburg, decides to accept the thesis, the assessment process shall continue as set out in section 12 par. 2 to 4, the only difference being that the doctoral board shall decide on the acceptance of the thesis. In the event that the doctoral board rejects the thesis, the joint assessment process shall come to an end and the assessment process shall continue in accordance with the provisions of the university/faculty in question. In the event that the doctoral board accepts the thesis, the foreign university/faculty shall be notified accordingly by the dean. The oral examination, the thesis defence, shall then be held at the foreign university. Additional members of the reviewers' committee are to be appointed by the doctoral board pursuant to section 3 if and as required to ensure an equal number of members from each institution.
- (7) The agreement pursuant to par. 1 a) must include provisions governing grading.
- (8) The doctoral certificate as per the template in Appendix 9 bears the seal of the two participating faculties. The certificate shall state the degree awarded in each country. It shall also state that the doctorate was

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obtained in a joint doctoral programme. The doctoral certificate is to be issued in two languages (separate certificates) if the partners have different official languages. Sentences 1 to 3 apply accordingly if two doctoral certificate are issued.

- (9) Once he or she has received his or her doctoral certificate, the doctoral candidate shall be entitled to use the relevant doctoral title in the Federal Republic of Germany and in the country of the participating university/faculty. The candidate shall only be entitled to use one doctoral title.
- (10) The agreement pursuant to par. 1 a) must ensure that Leuphana University Lüneburg receives a sufficient number of legal deposit copies pursuant to section 16 par. 3.

§ 22 Entry into force and transitional provisions

- (1) Doctoral candidates who were admitted under previous doctoral regulations shall be entitled to complete their doctorates in accordance with the provisions of said regulations on or before 30 September 2018 unless they wish to and apply to the doctoral board to complete their doctorate in accordance with these Doctoral Regulations.
- (2) These Regulations shall enter into force on 01 October 2015 following their publication in the Leuphana University Lüneburg Gazette. All previous doctoral regulations of the Faculty of Sustainability shall cease to apply on 01 October 2018.

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Appendices

Appendix no.	Title of appendix	Section	Provision
1	Modules in the doctoral programme	Section 5 par. 3	Doctoral programme
2	Template: Application for the launch of the assessment process	Section 9 par. 1	Launch of the doctoral assessment process
3	Template: Thesis title page for submission	Section 9 par. 2 (a)	Launch of the doctoral assessment process
4	Template: Declarations and statement	Section 9 par. 2 (e) and (f) and section 9 par. 3	Launch of the doctoral assessment process
5	Template: Title page for monograph thesis approval for printing	Section 16 par. 2	Publication of the thesis
6	Template: Title page for cumulative thesis approval for printing	Section 16 par. 2	Publication of the thesis
7	Template: Reviewers' committee confirmation	Section 16 par. 3	Publication of the thesis
8	Template: Doctoral certificate	Section 17 par. 2	Completion of the doctorate
9	Template: Doctoral certificate for cotutelle doctorates	Section 21 par. 8	Joint doctorates with universities/faculties abroad

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Appendix 1

To section 5 par. 3 Doctoral programme
Modules in the doctoral programme

Module	Content	Class (number, type and average no. of periods per week)	CP	Comments
Scientific Practice/Ethics	<ul style="list-style-type: none"> - Practical introduction to writing theses, from selecting a topic to completing your doctorate (academic writing and research; independently achieving and interpreting, presenting and publishing new findings) - Argumentation - Academic and scientific careers / career planning strategies / scientific community - What is knowledge / truth - Intellectual property, plagiarism, exegesis of sources, the ethical dilemma of citation - Introduction to (academic/scientific) ethics / academic and scientific freedom and responsibility 	1 seminar, 2 periods per week	5	Class time / private study: 28 periods per week / 122 periods per week
Philosophy of Science	<ul style="list-style-type: none"> - Conceptualisations of science: (Different) epistemological approaches and methodologies - Balance between theory and empirical approaches - Balance between theory and practice - Concepts for ensuring the quality of academic/scientific findings - History of research and scholarship - Scientific research 	1 seminar, 2 periods per week	5	Class time / private study: 28 periods per week / 122 periods per week
Research Methods	<p>Classes generally offered in the following fields:</p> <ul style="list-style-type: none"> - Historical and hermeneutic methods - Qualitative and interpretative methods (discourse analysis, ethnography and expert interviews) - Quantitative and empirical methods (experimentation, comparative methods and statistical methods) - Post-normal science methods (transdisciplinary case studies, foresight, scenario technique, etc.). 	1 seminar, 2 periods per week	5	Class time / private study: 28 periods per week / 122 periods per week
Subject-Specific Research Colloquium	<ul style="list-style-type: none"> - Critical discussion of the latest research processes with doctoral candidates and supervisors from the same field - Presentation of the doctoral project, the research question, aims, methodology and progress before at least two supervisors in the doctoral research group 	2 colloquia, each with an average of 2 periods weekly	10	Class time / private study: generally 28 periods per week / 122 periods per week

Candidates are advised to take the doctoral programme modules Scientific Practice/Ethics, Philosophy of Science and Research Methods during the first year of their doctorate.

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Appendix 2

To section 9 par. 1 Launch of the doctoral assessment process

Template: Application for the launch of the assessment process

Ms / Mr* title, first name, surname
Dean of the Faculty of Sustainability
c/o Office of the Dean of the Faculty of Sustainability
Scharnhorststraße 1
21335 Lüneburg

Application for the launch of the doctoral assessment process

[place], [date]

Dear Dean,

I hereby apply for the launch of my doctoral assessment. I enclose the following documents with my application:

- Five hard copies of the thesis
- The thesis including all appendices in digital form on a suitable data medium
- A curriculum vitae
- Certificates for the *Staatsexamen* and/or university qualifications held or other records pursuant to section 4
- A declaration stating whether or not I have already taken another doctoral assessment or registered for such an assessment and with what results
- A declaration that neither the current nor any other version of the thesis has been submitted for review to any other higher education institution
- A list of all academic/scientific papers that I have published
- Records of successful completion of the doctoral degree programme
- Proof of successful presentation of my doctoral project
- Any records required by the guidelines for cumulative theses

Yours sincerely

[signature]

* Select as appropriate

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Appendix 3

To section 9 par. 2 a) Launch of the assessment process

Template: Title page for thesis submission

Front page:

[title of thesis]

Faculty of Sustainability
Leuphana University Lüneburg

Submitted as a requirement for the award of the title of
Doctor of [subject]
- [doctoral title] -

Thesis submitted by [first name, surname]

born [date of birth] in [place of birth]

Back page:

Submitted on:

Main supervisor and reviewer: [title, first name, surname]

Second reviewer: [title, first name, surname]

Third reviewer: [title, first name, surname]

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Appendix 4

To section 9 par. 2 e) and f) and section 9 par. 3 Launch of the doctoral assessment process

Template: Declarations and statement

[first name, surname]

[street and number]

[postcode and place]

[telephone]

[e-mail address]

I hereby declare that I have neither undertaken nor applied to undertake any other doctoral assessment. / I hereby declare that I undertook a doctoral assessment for the award of [doctoral title] in [year]; my thesis was entitled [title of thesis].*

I passed said assessment with a grade of [award]./I did not pass said assessment.*

I hereby declare that the thesis entitled [title of thesis] has not been submitted to any other academic, that I have submitted the thesis only as part of this and of no other doctoral assessment, and that I have not previously failed any other doctoral assessments.

I hereby declare that the thesis submitted [title of thesis] is all my own work and has been produced without any unauthorised assistance. I have not used any aids or material other than that specified. I have referenced all sources used.

[place], [date]

[signature]

* Select as appropriate

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Appendix 5

To section 16 par. 2 Publication of the thesis

Template: Title page for monograph thesis approval for printing

Front page:

[title of thesis]

Faculty of Sustainability
Leuphana University Lüneburg

Submitted as a requirement for the award of the title of
Doctor of [subject]
- [doctoral title] -

Approved thesis by
[first name, surname]

born [date of birth] in [place of birth]

Back page:

Submitted on:

Thesis defence on:

Main supervisor and reviewer: [title, first name, surname]

Second reviewer: [title, first name, surname]

Third reviewer: [title, first name, surname]

Published as:

Year:

Publisher: [name of publisher]

If applicable volume, issue, page:

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Appendix 6

To section 16 par. 2 Publication of the thesis

Template: Title page for cumulative thesis approval for printing

Front page:

[title of thesis]

Faculty of Sustainability
at Leuphana University Lüneburg, submitted as a requirement for the award of the title of

Doctor of [subject]
- [doctoral title] -

Approved thesis by
[first name, surname]

born [date of birth] in [place of birth]

Back page:

Submitted on:

Thesis defence on:

Main supervisor and reviewer: [title, first name, surname]

Second reviewer: [title, first name, surname]

Third reviewer: [title, first name, surname]

The individual items in the cumulative thesis are or will be published as follows, if applicable with the accompanying paper:

[references]

Year of publication:

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Appendix 7

To section 16 par. 3 Publication of the thesis

Template: Reviewers' committee confirmation

University Library, Leuphana University Lüneburg
Scharnhorststraße 1
21335 Lüneburg

The reviewers' committee hereby confirms that the cumulative thesis entitled [title of thesis] submitted by Ms / Mr* [first name, surname] meets the requirements of section 8 par. 4 of the Doctoral Regulations of 01 October 2015 (Gazette 38/15) and the guidelines on cumulative theses issued by doctoral board [doctoral title] of the Faculty of Sustainability and that the doctoral assessment process has been successfully completed.

[place], [date]

[signature]

Chair of the Reviewers' Committee

* Select as appropriate

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Appendix 8

To section 17 par. 2 Completion of the doctorate

Template: Doctoral certificate

Logo of Leuphana University Lüneburg

The Faculty of Sustainability, Leuphana University Lüneburg hereby awards

Ms / Mr*
[first name, surname]

born [date of birth]
in [place of birth]

the title of
Doctor of [subject]
- [doctoral title] -

The candidate has achieved a grade of
[thesis grade]
for her / his* thesis

[title of thesis]

and a grade of
[thesis defence grade]
for her / his* thesis defect on [date]
and is hereby awarded the overall grade of

[overall grade]

Lüneburg, [DATE]

[Signature]
President

[Signature]
Dean

* Select as appropriate

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Appendix 9

To section 21 par. 8 Joint doctorates with universities/faculties abroad

Template: Doctoral certificate for cotutelle programmes

Logo of Leuphana University Lüneburg

The Faculty of Sustainability at Leuphana University Lüneburg and [name of the partner university] hereby award the title of Doctor of [subject] - [doctoral title] - / [doctoral title from partner university], Leuphana University Lüneburg / [name of partner university]

to Ms / Mr*
[first name, surname]

born [date of birth] in [place of birth], [country of birth]

The candidate has achieved a grade of [thesis grade] for her / his* thesis

[title of thesis]

and a grade of [thesis defence grade] for his/her* thesis defence on [date] and is hereby awarded the overall grade of [overall grade].

Leuphana University Lüneburg, [date]

[name of partner university], [date]

[seal of the university]

[seal of the partner university]

[signature]	[signature]	[signature]	[signature]
President	Dean	President of	Dean of
	the partner	the partner	
	university	university	

Logo of the partner university

* Select as appropriate