Non-binding translation of the German original

Doctoral Regulations of the Faculty of Education of Leuphana University of Lüneburg

On November 10, 2010 the Faculty Council of the Faculty of Education adopted the Doctoral Regulations set forth below in accordance with §9 Paragraph 3 Sentence 1 of the Lower Saxon University Act (NHG). The Regulations were approved by the Presidential Committee in accordance with § 44 Paragraph 1 Sentence 3 NHG on February 2, 2011.

Preamble

The objective of these Doctoral Regulations is to ensure high-quality dissertations at Leuphana University of Lüneburg to gain a strong academic reputation at both the national and international level. Responsibility for carrying out the doctoral procedure shall lie with the Faculty. All doctoral candidates shall enroll in a semi-structured doctoral program offered at the Graduate School of Leuphana University of Lüneburg.

§ 1 Doctoral Degrees and Purpose of Doctorate

(1) The Faculties of Leuphana University of Lüneburg shall award the doctoral degree in the relevant discipline after successful completion of the doctoral procedure. Pursuant to § 9 Paragraph 1 Sentence 1 NHG, an doctoral degree can be awarded only if in the relevant disciplines Leuphana University of Lüneburg offers master’s, Diplom or Magister programs or any equivalent program ending with a state examination.

(2) Within the scope of a regular doctorate ending with a final disputation, the Faculty of Education shall award the doctoral degree of Dr. phil.

(3) The doctorate demonstrates the candidate’s capability of carrying out independent scholarly work.

(4) Doctoral candidates doing their doctorate at any of the faculties of Leuphana University of Lüneburg must enroll in the doctoral program of the Graduate School at Leuphana University of Lüneburg. The doctoral program can also be completed on an extended part-time basis.

(5) In accordance with § 20 of these Doctoral Regulations, the Faculty can award the academic degree specified in Paragraph 2 also for the sake of the honor (Dr. h. c.).

§ 2 Coursework and Examinations

(1) After successful completion of the doctoral program in accordance with § 5, the doctoral degree shall be awarded on the basis of an examination which consists of two tasks.

(2) The examination tasks include writing a doctoral thesis (dissertation) and defending it in a disputation.

§ 3 Doctoral and Reviewers’ Committees

(1) The Faculty shall constitute a Doctoral Committee for each doctoral degree pursuant to § 1 Paragraph 2. The Doctoral Committee shall be composed of four university professors of Leuphana University of Lüneburg, at least three of which must belong to the discipline in which the doctoral degree will be awarded. The members of the Doctoral Committee shall be elected by the Faculty Council for a period of three years. In addition, four representatives of the same qualifications shall be elected after the sequence of their election has been determined. Should one member of the Doctoral Committee withdraw prematurely from office, a new representative can be elected for the remainder of the term. Eligible to become a member or a representative of a member of the Doctoral Committee shall be also university professors from other faculties from Leuphana University of Lüneburg. A quorum shall be present in the Doctoral Committee if at least three of the four members are present. Advisory member of the Doctoral Committee shall be the Head of the Graduate School. The Chair and the Vice-Chair of the Doctoral Committee shall be appointed by the Doctoral Committee from among its members. In the event of a tie, the Chair shall have a casting vote. The meetings held by the Doctoral Committee shall be closed to public. All members shall be bound by the obligation to maintain confidentiality; this obligation also includes the obligation to keep secret all consultation documents.

(2) The Doctoral Committee shall appoint one Reviewers’ Committee for each doctoral procedure related to a doctoral candidate’s application for admission to a doctoral program. At the time of its appointment, the Reviewers’ Committee must consist of at least one advisor functioning as a reviewer. A total of three reviewers must have been appointed by the Doctoral Committee no later than at the opening of the doctoral procedure. The first reviewer must have expertise in the relevant academic field. The reviewers must be doing scholarly research on the wider topic of the dissertation and must be recognized experts in the field. At least one of the reviewers must be a member of Leuphana University of Lüneburg.

(3) Members of the Reviewers’ Committee must be professors, junior professors or persons who have earned habilitation. Another requirement for becoming a member of the Reviewers’ Committee is to furnish proof of scholarly work reaching beyond the scope of the dissertation and, as is usually the case, proof of teaching experience in a master’s, Diplom or Magister program or any equivalent program ending with a state examination at university. Proof of such academic work shall be deemed to have been furnished if the person:

(a) is either a university professor or a junior professor or if he or she has earned habilitation, or

(b) is doing scholarly research in the wider field of the dissertation project to be supervised and if this can be proved not only through his or her dissertation, but also through at least three academic articles published in recognized scholarly journals or any corresponding conference volumes of renowned academic conferences or through publication of at least one scholarly monograph with a recognized specialized publishing company or by raising third-party research funds from public sources for the relevant dissertation project within the scope of a competitive procedure (application research) or through any other comparable research-related work, which is deemed equivalent by the Doctoral Committee on a case-by-case basis.

At least two of the three reviewers must fulfill the requirements specified under lit. a) above, Professors of Leuphana University of Lüneburg who have already retired and who fulfilled the requirements specified in sentences 2 and 3 during their period of service can be appointed member of the Reviewers’ Committee as long as they are doing scholarly research on the topic of the dissertation and are recognized experts in the field. Fulfillment of the requirements for membership of the Reviewers’ Committee laid down in this paragraph shall be verified by the Doctoral Committee in charge, which shall provide adequate transparency over this process.

(4) As a rule, one of the reviewers shall come from a foreign university having doctoral granting powers or from a recognized extra-university research institution of the Max Planck Society (MPG), the Fraunhofer Society (FFH), the Helmholtz Association of German Research Centers (HGF), or the Leibniz Association. The requirements specified in Paragraph 3 above must be fulfilled also by external reviewers.

(5) A Doctoral Advisory Board consisting of eight members can be established for each doctoral degree, the rules for the election of professorial members and representatives follow from Paragraph 1. The remaining members shall be appointed by the group of research assistants of the respective Faculty Council. The Doctoral Advisory Board deals with all general matters relating to doctorates and doctoral regulations; it also advises the competent bodies, particularly the Faculty Council. The com-
petencies defined in these Doctoral Regulations shall remain unaffected hereby.

§ 4 Admission to Doctoral Program

(1) A candidate can be admitted to a doctoral program if he or she
(a) has completed a Diplom program, a Magister program or any equivalent program of study ending with a state examination in the relevant field or a master's program in the relevant field (a further qualifying master's degree will be recognized only if it can be proven that 300 ECTS credits have been earned, taking into account previous studies) and
(b) proves special qualification in accordance with Paragraph 2.

Responsible for assessing appropriateness of the candidate's degree as specified in Sentence 1 lit. a) shall lie with the Doctoral Committee. It can either recognize the proof of the candidate's additional academic qualification or request the candidate to furnish such proof on the grounds of ancillary provisions in accordance with Paragraph 7 such as requirements or restrictions. In the case of candidates from foreign universities that do not grant credit points, equivalence of the degree as specified under lit. a) shall be determined on the basis of the assessment proposals made by the Central Office for Foreign Education at the German Conference of Ministers of Education and Cultural Affairs (www.anabin.de), providing that the degree is registered there.

(2) Special qualification given if the candidate
(a) has completed an academic degree as defined in Paragraph 1a that is equivalent to grade A or B of the ECTS grading scale. If no ECTS grade is indicated on the degree certificate, the candidate must have earned a degree with distinction. In the case of candidates who have taken the state law examination, the Doctoral Committee may allow exceptions. And:
(b) furnishes proof of coursework done in the field of Philosophy of Science, Research Methods or Scientific Practice & Scientific Ethics during the previous program of study totaling at last 15 CP.

(3) Proof of fulfillment of the admission requirements specified in Paragraphs 1 and 2 must generally be furnished at the time of application. Proof of special qualification pursuant to Paragraph 2 lit. b) must have been furnished no later than the end of the third semester. For this purpose, candidates can attend lectures at the Graduate School. To attend complementary modules offered within the Graduate School's master's programs, candidates must file an application for admission as a guest auditor attending the relevant courses. In such case, admission to the doctoral program shall be granted on a preliminary and conditional basis.

(4) The application for admission to the doctoral program must be filed in writing to Leuphana University of Lüneburg and must be accompanied by the following documents:
1. adequate proof of fulfillment of the requirements specified in Paragraphs 1 and 2,
2. a description of the dissertation project including a preliminary title of dissertation, comprising three to five pages,
3. comments of the intended doctoral advisor on the candidate's academic qualifications and on the dissertation project as well as on the appropriateness pursuant to § 4 Paragraph 1 Sentence 1 lit. a), if required;
4. a written declaration in accordance with § 7 Paragraph 4 of the “Guidelines for safeguarding good scientific practice and procedures in the case of scientific misconduct” adopted by Leuphana University of Lüneburg (binding obligation to comply with these guidelines and principles of good scientific practice);
5. a declaration mirroring the following wording: “I hereby confirm that in carrying out my dissertation project I have not employed the services of a professional broker of dissertation projects, nor will I do so in the future.”

Candidates who wish to do a part-time doctoral program must indicate their intention on the application form.

(5) Along with the application for admission as a doctoral candidate at the Faculty, applicants shall apply for enrollment in the semi-structured doctoral program at the Graduate School. Applications for enrollment must be accompanied by the application documents required for enrollment in the summer or winter semester at Leuphana University of Lüneburg as specified in Paragraph 4. Candidates shall not be entitled to claim admission to a specific semester, Doctoral College or module. The form of the application for admission shall be determined by Leuphana University. Applications that are incomplete and do not meet the formal requirements shall not be considered for admission. All documents submitted shall remain on file with the University.

(6) The Doctoral Committee decides on the acceptance as a doctoral candidate in accordance with the requirements laid down in Paragraphs 1 to 5. Acceptance will be granted if the application for admission is approved by the majority of the members of the Doctoral Committee. The applicant shall be notified in writing by the Chair of the Doctoral Committee of his/her admission and acceptance as a doctoral candidate. By granting admission, the Doctoral Committee guarantees to review the dissertation at a later date. In case of rejection of the application for admission, the applicant shall be informed in writing accordingly.

(7) Admission shall usually be limited to a period of three years. If an applicant applies for admission to a part-time doctoral program, admission shall be limited to six years. In reasonable cases, admission may be granted on the basis of an ancillary clause (requirement, time limit, condition, reservation of the right of revocation). Upon request, the Doctoral Committee can prolong the admission period by one year each. Prolongation of the admission period can be repeated.

(8) The Doctoral Committees can delegate the administrative tasks specified in Paragraphs 1 to 5, which are related to the admissions procedure, to the Admissions Office.

§ 5 Semi-structured Doctoral Program

(1) In accordance with § 9 Paragraph 2 Sentence 3 NHG, doctoral candidates shall be admitted to and enrolled in a semi-structured doctoral program upon their acceptance as a doctoral candidate. In the cases set forth in § 4 Paragraph 3, applicants shall be accepted into the doctoral program subject to the right of revocation.

(2) After their admission, doctoral candidates must complete a semi-structured doctoral program within a period of usually six semesters and, in the case of application for admission to a part-time doctoral program, within a period of usually twelve months. Through participation in seminars and colloquia offered within the doctoral program, it shall be ensured that doctoral candidates elaborate extensively on the academic findings and methods relevant to their dissertation and on the current state of research in the field in a manner that reaches far beyond the scope of a Diplom program, Magister program, master’s program, or state examination. The structure of the doctoral program follows from Appendix 1.

(3) Doctoral candidates enrolled in the modular doctoral program must earn a total of 120 credit points as follows:
- 30 CP by attending optional mandatory courses during doctoral studies;
- 80 CP by writing the dissertation;
- 10 CP by taking part in the dissertation.

(4) The course offerings for the doctoral program shall be approved by the Faculties and coordinated by Leuphana Graduate School.

(5) Recognition of academic work which has not been performed within the scope of the doctoral program shall be decided on by the Doctoral Committee. Academic work performed at other universities shall be credited toward the dissertation to the extent that it is comparable to the academic work performed within the scope of the doctoral program at Leuphana Graduate School, particularly for the purpose of increasing mobility and internationalization.
§ 6 Doctoral Colleges

(1) To jointly advise and support doctoral candidates, Leuphana Graduate School shall establish Doctoral Colleges consisting of at least three advisors. Each Doctoral College has a discipline-related focus and comprises all doctoral candidates and advisors of one discipline. Advisors can have dual membership in Doctoral Colleges. Doctoral Colleges can be established at cross-faculty level.

(2) Doctoral Colleges shall be established upon request by the Deans’ Offices and Faculty Councils involved in agreement with the Head of Graduate School and the Chairs of the Doctoral Committees. Each Doctoral College shall elect a spokesperson from among its professors to represent the interests of the Doctoral College. After each three-year period, the Doctoral Colleges must inform the relevant Faculty Councils of their work.

(3) Upon admission of the doctoral candidate and in agreement with the doctoral advisor, the Doctoral Committee shall assign each doctoral candidate to a Doctoral College.

(4) In the third semester or, in the case of a part-time doctoral program, in the sixth semester, the doctoral candidate shall inform the Doctoral College about his or her intended dissertation project by giving a presentation. For this purpose, the candidate must submit an updated report four weeks in advance. If the majority of the advisors sitting in the Doctoral College do not consider it appropriate to continue the dissertation project, the doctoral candidate will get the opportunity to give a second presentation after expiry of the third semester or, in the case of a part-time doctoral program, no later than after six semesters. If this presentation still lacks substantial justification for continuation of the dissertation project, the Doctoral Committee, in agreement with the first doctoral advisor, will recommend the doctoral candidate to terminate his or her dissertation project and doctoral studies and to withdraw from the doctoral procedure in accordance with § 10. If the doctoral candidate does not follow the recommendation, the Doctoral Committee will cancel the notice of acceptance and declare the doctoral procedure as terminated. The doctoral candidate will be exmatriculated with effect from the end of the semester.

§ 7 Simultaneous Admission to the Master’s and Doctoral Program (Fast Track)

(1) Within the scope of the master’s programs offered at the Graduate School, up to 30 students can be admitted annually to the semi-structured doctoral program without being accepted as a doctoral candidate. The semi-structured doctoral program can be completed while completing the master’s program, provided that the requirements laid down in Paragraph 2 are fulfilled.

(2) Prerequisites for simultaneous admission to applicants to the master’s and doctoral program are:
   (a) fulfillment of the admissions and acceptance requirements for master’s programs in compliance with the regulations adopted by Leuphana University of Lüneburg with regard to the admission to and/or acceptance into the consecutive master’s programs at cross-faculty level as well as the master’s programs providing the skills needed to become a teacher, as amended from time to time, and
   (b) proof of special qualification for simultaneous completion of a master’s and a doctoral program through earning a very good bachelor’s degree (ECTS grade A and/or a grade point average of at least 1.5 or better), submission of a convincing written expose on the research project, and a personal interview.

(3) To prepare for the qualification examination in accordance with Paragraph 2 b), the Head of Graduate School shall establish a committee. It shall be composed of the Chairs of the Faculties’ Doctoral Committees and the Head of Graduate School acting in an advisory capacity. The process of arriving at a decision on the part of the committee must be documented in an appropriate manner.

(4) The Doctoral Committee, in agreement with the doctoral advisor, shall assign all master’s students admitted to the Fast Track program to a Doctoral College. The students can participate in all course offerings of the modular doctoral program just like doctoral candidates. Prerequisites for admission to the doctoral program pursuant to § 4 are successful completion of the master’s program and proof of special qualification in accordance with § 4 Paragraph 2.

§ 8 Writing the Dissertation

(1) The dissertation topic must be chosen from the relevant subject areas offered at Leuphana University of Lüneburg and must be related to the subjects offered at the Faculty. The subject areas from which the topic is chosen must be represented at Leuphana University of Lüneburg by a professor, a junior professor or a person having earned habilitation who fulfills the requirements laid down in § 3 Paragraph 3. These subject areas are usually subjects in existing study programs as well as majors and/or minors offered within the scope of the master’s programs of Leuphana Graduate School.

(2) The document submitted as a dissertation must present a piece of completed academic work that proves the author’s ability for independent, in-depth research work and makes a contribution to scholarly progress. Such piece of individual academic work shall be given also if the dissertation is the result of joint research work performed by several persons.

(3) The dissertation must be written in either German or English. In exceptional cases, this requirement can be waived by the Doctoral Committee.

(4) The dissertation can also be completed by submitting high-quality articles (cumulative dissertation). All in all, the quality requirements for the articles are equivalent to those for a dissertation to be submitted as a monograph. Responsibility for fulfillment of these quality requirements shall lie with the respective reviewers and the Doctoral Committee. The Doctoral Committee can request the doctoral candidate to submit a summary that specifically lays out the internal coherence between the sub-parts of the dissertation.

(5) In reasonable cases, parts of the dissertation may have been published previously. The date of publication may not be more than five years ago.

§ 9 Opening of Doctoral Procedure (Submission of Dissertation)

(1) The application for opening the doctoral procedure must be filed with the Dean of the relevant faculty, who will forward the application to the Chair of the Doctoral Committee.

(2) The application must be accompanied by:
   (a) five typewritten copies of the dissertation including a cover page in accordance with the sample dissertation cover page exhibited in Appendix 2;
   (b) the dissertation including all appendices in electronic form on an appropriate data carrier;
   (c) a curriculum vitae prepared in the German language providing detailed information on the applicant’s academic record;
   (d) the examination certificates regarding the passed state and/or university examinations or, if required, any other documentary evidence as specified in § 4, and a certificate of good conduct;
   (e) a statement on whether and with what level of success the applicant has already taken or registered to take another doctoral examination;
   (f) a declaration that the dissertation, in its present or any other version, has not yet been submitted to any other university for review;
   (g) a compilation of all scholarly papers published by the applicant;
   and
   (h) proof of successful participation in the doctoral program.

(3) The application for opening the doctoral procedure must be accompanied by a declaration mirroring the following wording: “I hereby certify that the submitted dissertation entitled [please insert title] has been written by me without using any unauthorized aids. I did not use any aids and writings other than those indicated. All passages taken from other writ-
(4) The application will be rejected if the dissertation, either in whole or in part, has already been submitted to another university for review.

§ 10 Withdrawal

The applicant can withdraw from the doctoral procedure as long as he or she has not yet received any negative expert opinion on the dissertation.

§ 11 Assessment of Dissertation

(1) To assess the dissertation, the Doctoral Committee shall appoint three reviewers in accordance with § 3 Paragraphs 3 and 4. When appointing one or several external reviewers in accordance with § 3 Paragraph 4, the doctoral advisor shall have nominating power. The reviewers shall be members of the Reviewers’ Committee pursuant to § 3 Paragraph 2. The doctoral advisor shall be one of the reviewers.

(2) The reviewers shall submit written expert opinions within three months after their appointment and shall recommend acceptance, acceptance conditional to satisfactory revision, or rejection of the dissertation. In case of acceptance, they shall also suggest the rating for the dissertation. The following ratings can be given:

- excellent (summa cum laude; 0 bis 0.5)
- very good (magna cum laude; 0.6 bis 1.5)
- good (cum laude; 1.6 bis 2.5)
- satisfactory (rite; 2.6 bis 3.5)

§ 12 Procedure for Acceptance or Rejection of Dissertation

(1) If one of the reviewers appointed by the Doctoral Committee recommends rejection of the dissertation, the Doctoral Committee will appoint an additional external reviewer. If two or more reviewers recommend rejection of the dissertation, it will be rejected by the Doctoral Committee. The Chair of the Doctoral Committee shall notify the doctoral candidate in writing of the rejection of the dissertation.

(2) If three reviewers recommend acceptance of the dissertation, it will be made available for inspection at university for a period of four weeks; availability for inspection must be announced beforehand. Each member of the Faculty fulfilling the requirements of § 3 Paragraph 3 and teaching in a master’s, Diploma or Magister program or any equivalent program ending with a state examination at Leuphana University of Lüneburg can take inspection of the expert opinion and prepare a special opinion, if required.

(3) If a special opinion has been submitted, the Doctoral Committee can also appoint an additional reviewer. The Doctoral Committee shall decide whether the special opinion and the additional expert opinion are taken into account.

(4) The dissertation shall be deemed accepted if three of the reviewers appointed in accordance with § 3 Paragraphs 3 and 4 and/or § 11 Paragraph 1 and § 12 Paragraph 1 have assessed it as at least “satisfactory.” If the grading proposals for the dissertation deviate from one another, the Reviewers’ Committee shall decide on the basis of the submitted proposals. The decision on acceptance or rejection of the dissertation and on the dissertation grade must have been made no later than four weeks after expiry of the display period and/or receipt of all expert opinions. The Chair of the Doctoral Committee must notify the doctoral candidate in writing of the acceptance, request for change, or rejection of the dissertation. The expert opinions shall be forwarded to the doctoral candidate. If the dissertation has been rejected, the examination shall be deemed to have been failed. If the dissertation (including or excluding any requests for change) has been accepted, it will be followed by the disputation.

§ 13 Disputation

A copy of the dissertation, along with all expert opinions, shall be kept on file by the Faculty even if the dissertation has been rejected.

§ 14 Disputation

(1) The Chair of the Reviewers’ Committee shall fix the date of the disputation. It is generally likely to take place four weeks after acceptance of the dissertation. If the doctoral candidate cannot appear on the day scheduled for disputation, he or she must immediately notify the Chair of the Reviewers’ Committee thereof in writing by stating the reasons for it.

(2) The disputation usually lasts 90 minutes. At the start of the disputation, the doctoral candidate gives a presentation lasting approximately 15 minutes or, if it can be justified in terms of the subject matter, up to 30 minutes. During the disputation, the doctoral candidate is expected to present his or her research findings, defend them against criticism and discuss any adversary opinions on a theoretically sound basis. The disputation is related to the dissertation topic and must include all written expert opinions. The disputation also touches on neighboring thematic fields of the relevant area of specialization.

(3) The disputation shall be held in public. It shall be chaired by the Chair of the Reviewers’ Committee. During the disputation, the Reviewers’ Committee and the persons having submitted an expert opinion in accordance with § 12 Paragraph 2 shall be entitled to ask questions. The Chair can allow the members of the public present at the disputation to ask questions.

(4) Each doctoral candidate must be examined individually. The results and the assessment of the disputation must be recorded in writing and must be signed by all members of the Reviewers’ Committee.

(5) Immediately after conclusion of the disputation, a meeting of the Reviewers’ Committee shall take place to decide on whether and with what level of success the disputation has been passed. The grade of the disputation shall be awarded in accordance with § 11 Paragraph 2. The Chair of the Reviewers’ Committee shall notify the doctoral candidate of the result.

(6) Any disputation that has been assessed as failed can be repeated within one year. If oral performance is, again, assessed as insufficient, the entire examination will be deemed to have been failed. The same applies if the doctoral candidate waives to repeat the examination or if the repetition period has expired without stating any reasons.

§ 15 Overall Result and Notification

(1) After conclusion of the examination procedure, the Reviewers’ Committee shall determine the overall result. When determining the overall grade, the dissertation shall be weighted three-fold and the disputation one-fold. The grade shall be determined in accordance with § 11 Paragraph 2. When determining the grade, only the first digit after the decimal point shall be taken into account.

(2) The Chair of the Reviewers’ Committee shall immediately notify the Doctoral Committee of the grade awarded to the disputation and of the overall grade.

(3) The Doctoral Committee shall approve the dissertation and the overall grade in accordance with the decision made by the Reviewers’ Committee. If there is any doubt about the doctoral procedure or consistency in the doctoral procedure, the Doctoral Committee can request the Reviewers’ Committee to review and supplement its report or it can jointly consult with the Reviewers’ Committee. In all other respects, the Doctoral Committee shall be bound by the decision made by the Reviewers’ Committee.

(4) The Doctoral Committee shall notify the doctoral candidate in writing of the grade awarded to the dissertation and the disputation as well as of the overall grade.
§ 16
Publication of Dissertation

(1) If the doctoral procedure has been completed successfully, the dissertation must be made available to the academic community in an adequate manner.

(2) A print-ready copy of the dissertation must be submitted to the doctoral advisor for review before printing. If all changes and/or conditions (both in terms of form and content) have been made and/or fulfilled, permission to print will be given (imprimatur).

(3) The library and information system of Leuphana University of Lüneburg must be provided with free deposit copies of the dissertation as follows:
   (a) 80 copies in hard copy or photo printing for dissemination purposes (DIN A5, bound format); or
   (b) six copies if the dissertation is published in a journal; or
   (c) six copies if a commercial publisher has assumed the responsibility for disseminating the dissertation via book stores, if the minimum number of copies amounts to 150, and if it is indicated on the back side of the title page that the dissertation has been published using the university’s endorsement “Also: Lüneburg, University, Dissertation, 20XX”;
   (d) six copies if a commercial publishing company has assumed the responsibility for disseminating the dissertation on a “publication on demand” basis and if the dissertation has a dissertation endorsement, is assigned an ISBN number and contains a guarantee of deliverability of reordered books for a period of four years;
   (e) four complete original versions printed on age-resistant, wood-free and acid-free paper and coming with durable binding, as well as an electronic version in PDF format on an appropriate data carrier. The doctoral candidate shall declare his or her agreement to the electronic publication of the dissertation through the library network. Any further copy rights and rights of use of the author shall remain unaffected hereby.

(4) The deposit copies must be delivered to the Publications Department of the University Library no later than one year after passing the examination. Under special circumstances, the Chair of the Doctoral Committee can extend this period if requested by the doctoral candidate. If the fixed period expires due to the fault of the doctoral candidate, all rights acquired through the disputation will lapse.

(5) Proof of publication shall be deemed furnished upon submission of the University Library’s confirmation of receipt of the deposit copies as specified in Paragraph 3.

§ 17
Coming into Force of Dissertation

(1) The dissertation shall enter into force upon forwarding the doctoral degree certificate. It is not until after this time that the doctoral candidate is entitled to bear the title of doctor.

(2) The doctoral degree certificate shall be issued in accordance with the sample provided in Appendix 3, shall be signed by the Dean or the President, and shall bear the seal of the University. The degree certificate shall bear the date of the oral examination, but shall not be forwarded to the doctoral candidate until he or she has fulfilled the requirements set forth in § 16.

§ 18
Decept

If it becomes evident before or after delivery or service of the doctoral degree certificate that the doctoral candidate has deceived in completing his or her doctoral project, the Doctoral Committee must declare the doctoral work invalid.

§ 19
Appeal

(1) Any adverse decision made in compliance with the Doctoral Regulations must be explained in writing and must contain a notice stating the rights of legal appeal. It can be appealed to the Dean of the Faculty in charge in writing or by stating orally on the record within one month after receipt of the decision in accordance with §§ 68 et seq. of the German Law on Administrative Court Proceedings.

(2) The appeal shall be decided upon by the Faculty Council.

(3) If the appeal is directed at a decision made by the Reviewers’ Committee, the Faculty Council will send the appeal to the Doctoral Committee in charge for review. Should the Doctoral Committee change the decision as requested in the appeal the appeal will be accepted. Otherwise, the Faculty Council will review whether the decision:
   (a) violates the general principles of life experience,
   (b) is based on incorrect conditions or unrealistic considerations,
   (c) violates generally accepted principles or evaluation standards or legal provisions.

(4) If the appeal is directed at a decision made by a reviewer, the Doctoral Committee will send the appeal to the reviewer. In all other respects, Paragraph 3 shall apply accordingly.

(5) The appeal shall be finally decided upon within a period of three months. If the appeal is not accepted, the decision must include a statement of reasons and must contain a notice stating the rights of legal appeal.

§ 20
Honorary Doctorate

(1) In cases of extraordinary academic work and achievements, the Faculty can award the title of Dr. h. c. in accordance with § 1. The procedure for awarding an honorary doctorate degree shall be initiated by a professor of the Faculty by submitting a written application stating the reasons for the candidate’s nomination.

(2) The Faculty Council shall decide on the acceptance or rejection of the application by secret ballot. The application shall be deemed rejected if less than two thirds of the voting members, including the majority of the professors of the Faculty Council, accept it.

(3) The Faculty Council can decide by a majority of votes cast by the professors of the Faculty Council to obtain two external expert opinions appreciating the nominee’s performance and achievements before the Dean decides on acceptance of the application. In this case, the Faculty Council shall decide on the acceptance or rejection of the application on the basis of the expert opinion. Paragraph 2 shall apply accordingly.

(4) The honorary doctorate degree shall be conferred on the nominee by awarding an honorary doctorate degree certificate in which he or she is appreciated for his or her academic work for the sake of the honor.

§ 21
Joint Doctorates with Foreign Universities/Faculties

(1) Doctoral procedures can be conducted jointly with a foreign university/faculty if
   (a) an individual collaboration agreement referring to a specific doctoral project has been concluded with the foreign university to which the faculty belongs and if this agreement has been approved by the Doctoral Committee. The agreement must regulate the details of the joint doctoral procedure, particularly with regard to individual, joint supervision of the doctoral project, registration modalities, subsistence and travel expenses, etc.;
   (b) admission to the doctoral program has been granted in accordance with both the provisions laid down in § 4 of these Doctoral Regulations and the provisions adopted by the foreign faculty;
   (c) the study period at each of the universities involved lasts at least one year.

(2) A general collaboration agreement between the universities involved may serve to regulate the basic content of the joint doctoral procedure; however, it must be supplemented by an individual agreement pursuant to Paragraph 1 lit. a). The framework provisions of the German University Rectors’ Conference regarding the Cotutelle procedure must be observed. The provisions of the Doctoral Regulations shall apply unless special regulations are hereinafter adopted.
(3) The doctoral candidate shall be supervised by one university lecturer of each of the faculties involved. The doctoral advisor of the foreign university/faculty shall be appointed as external reviewer in the doctoral procedure at Leuphana University of Lüneburg in accordance with § 3 Paragraph 4. In addition, the agreement under Paragraph 1 lit. a) shall ensure that the doctoral advisor of Leuphana University of Lüneburg participates in the foreign doctoral procedure. Within the scope of the agreement under Paragraph 1, both doctoral advisors undertake to provide full academic supervision and reach the necessary agreements.

(4) As stipulated in greater detail in the agreement under Paragraph 1 lit. a), the dissertation can be submitted both to the foreign university/faculty and to Leuphana University of Lüneburg and/or the respective faculty. A dissertation that has already been accepted and/or rejected by one academic institution cannot be submitted again to the other institution involved.

(5) If the dissertation is submitted to Leuphana University of Lüneburg, § 8 Paragraph 3 shall apply. If the dissertation is prepared in German or English, it must include a summary written in the language of the foreign university/faculty involved. If the dissertation is accepted by Leuphana University of Lüneburg and/or the respective faculty, it will be forwarded to the foreign university/faculty for inspection and for approval of continuation of the procedure and/or acceptance of the dissertation. If such approval/acceptance is rejected, the joint doctoral procedure shall be deemed terminated, in which case the procedure will be continued in accordance with the provisions of these Doctoral Regulations. If such approval/acceptance is granted, a disputation will be held in accordance with § 14. The university lecturers of the foreign faculty shall be entitled to participate in the disputation. In this case, the Reviewers’ Committee pursuant to § 14 Paragraph 5 shall be equally represented by members of both universities/faculties. Apart from appointing an external member to the Reviewers’ Committee, another examining member of the foreign university shall be appointed. The disputation shall be held in German. This provision can be derogated from in agreement with the Chair of the Reviewers’ Committee.

(6) If the dissertation is submitted to the foreign university/faculty, it must be accompanied by a summary written in German and English. If the foreign university/faculty has made a positive decision regarding the acceptance of the dissertation with the participation of the doctoral advisor of Leuphana University of Lüneburg, § 12 Paragraphs 2 to 4 shall apply with the exception that the Doctoral Committee shall decide on the acceptance of the dissertation. If the Doctoral Committee rejects the acceptance of the dissertation, the joint doctoral procedure shall be deemed terminated, in which case the procedure will be continued in accordance with the provisions of the respective university/faculty. If the Doctoral Committee accepts the dissertation, the Dean will notify the foreign university/faculty of the result. The oral examination will be held in the form of a disputation at the foreign university/faculty. To ensure equal representation in the foreign examination board, additional members must be appointed and delegated by the Doctoral Committee in accordance with § 3, if required.

(7) The agreement concerning Paragraph 1 lit. a) must contain provisions governing the awarding of grades.

(8) The doctoral degree certificate laid out in Appendix 3 shall bear the seal of the faculties involved. It shall contain the title of the relevant academic degree and the equivalent foreign degree. It shall also contain a note indicating the joint doctoral procedure. If two doctoral degree certificates are issued, Sentences 1 to 3 shall apply accordingly.

(9) Upon receipt of the doctoral degree certificate, the doctoral candidate shall be authorized to bear the relevant title of doctor both in the Federal Republic of Germany and in the country to which the university/faculty involved belongs. The doctoral candidate shall be authorized to bear only one title of doctor.

(10) In the agreement under Paragraph 1 lit. a) it must be ensured that Leuphana University of Lüneburg is provided with a sufficient number of deposit copies in accordance with § 16 Paragraph 3.

§ 22

Entering into Force and Interim Provisions

(1) Doctoral candidates whose application for admission to the doctoral program has been approved in accordance with the previously or currently valid Doctoral Regulations and who do not wish to do their doctoral project in accordance with the new Doctoral Regulations, can do their doctoral project in accordance with the old Doctoral Regulations (right of continuance).

(2) These Regulations shall enter into force on the day following their publication in the Official Gazette of Leuphana University of Lüneburg. Without prejudice to the provision of Paragraph 1 Sentence 1, the previously valid Doctoral Regulations of the Faculty of Educational, Cultural, and Social Sciences dated June 9, 2009 (Leuphana Gazette No. 11/09, p. 11), taking into account the first amendment of April 12, 2010 (Leuphana Gazette No. 4/10, p. 6), shall cease to have effect.

Non-binding translation of the German original regarding the Doctoral Regulations published in the Leuphana Gazette No. 02/11 • February 15, 2011
## Overview of modules comprising mandatory courses for doctoral candidates – general plan

<table>
<thead>
<tr>
<th>Semester</th>
<th>Course</th>
<th>Credits</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>6th semester</td>
<td>Dissertation (80 CP)</td>
<td></td>
<td>Disputation (10 CP)</td>
</tr>
<tr>
<td>5th semester</td>
<td>Colloquium (lecture) within the scope of the Doctoral College</td>
<td>5 CP</td>
<td>Independent scholarly work</td>
</tr>
<tr>
<td>4th semester</td>
<td></td>
<td></td>
<td>Independent scholarly work</td>
</tr>
<tr>
<td>3rd semester</td>
<td>Colloquium (lecture) within the scope of the Doctoral College</td>
<td></td>
<td>Independent scholarly work</td>
</tr>
<tr>
<td>1st year study</td>
<td>Subject-specific Research Colloquium (5 CP)</td>
<td></td>
<td>Independent scholarly work</td>
</tr>
<tr>
<td></td>
<td>Research methods (5 CP)</td>
<td></td>
<td>Independent scholarly work</td>
</tr>
<tr>
<td></td>
<td>Philosophy of Science (5 CP)</td>
<td></td>
<td>Independent scholarly work</td>
</tr>
<tr>
<td></td>
<td>Scientific Practice/Scientific Ethics (5 CP)</td>
<td></td>
<td>Independent scholarly work</td>
</tr>
</tbody>
</table>

The doctoral program is composed of the following modules comprising mandatory courses to be completed during the first year of study.

The modules entitled “Philosophy of Science” and “Scientific Practice & Scientific Ethics” have been designed as cross-disciplinary modules. They will be offered as courses in a seminar format (or as a compact course, if applicable). The “Research Methods” module will also be offered as a course in a seminar format (or as a compact course, if applicable) and has a stronger focus on discipline-related content.

Within the scope of the discipline-related Research Colloquium, which will be offered as a course in a seminar format (or as a compact course, if applicable), doctoral candidates address interdisciplinary or transdisciplinary issues in the wider field of their dissertation project.

Recognition of academic work which has not been performed within the scope of the doctoral program shall be decided on by the Doctoral Committee. Academic work performed at other universities shall be credited toward the dissertation to the extent that it is comparable to the academic work performed within the scope of the doctoral program at Leuphana Graduate School, particularly for the purpose of increasing mobility and internationalization.

The Doctoral College serves to jointly advise and support doctoral candidates. It provides regular exchange between doctoral candidates and doctoral advisors and is usually held in the form of a discipline-specific colloquium. Regular attendance is mandatory for all doctoral candidates. In the course of the doctoral program, each doctoral candidate must present and discuss his or her dissertation project before the Doctoral Committee twice, generally in the third and fifth semester.

Apart from this, doctoral candidates work on their individual dissertation projects.
Front page:

______________________________

(title of dissertation)

The dissertation written by

________________________________

born on ___________________ in ___________________

and submitted to the Faculty of Education of Leuphana University of Lüneburg
to earn the academic degree of
Doctor of Philosophy
- Dr. phil. -

Back page:

Submitted on: ___________________

Doctoral advisor and reviewer ___________________

Reviewer ___________________

Reviewer ___________________

Date of disputatation: ___________________
The Faculty of Education of Leuphana University of Lüneburg hereby awards to

\[ Mr/Ms \] __________________________

born on __________________ in __________________

the academic degree of
Doctor of Philosophy
(Dr. phil.)

after he/she has proven his/her academic capabilities within the scope of the ordinary doctoral procedure by submitting his/her dissertation entitled

______________________________________________

______________________________________________

and by defending it in the disputation, which was awarded the overall grade of

________________________

Lüneburg,

________________________

The President
of Leuphana University of Lüneburg

________________________

The Dean
of the Faculty of Sustainability

(seal)