Doctoral Degree Regulations of the Faculty of Medicine
PhD and MD/PhD

English version for reference only!


Revised version of the doctoral degree regulations
PhD and MD/PhD at the Faculty of Medicine
at the University of Bonn
of September 2, 2014 and modifications of February 9, 2015,
December 6, 2016, February 5, 2020 and December 16, 2021

Due to sections 2 para. 4 and 64 para. 1 of the Higher Education Act in the state of North Rhine-Westphalia (Hochschulgesetz - HG) in the version of the NRW Higher Education Autonomy Act (Hochschulfreiheitsgesetz - HFG) of October 31, 2006 (GV. NRW. clause 474), last amended by article 1 of the law on the introduction of an age limit for the employment of professors by the government (Gesetz zur Einführung einer Altersgrenze für die Verbeamtung von Hochschullehrerinnen und Hochschullehrern) of December 3, 2013 (GV. NRW. clause 723), the Faculty of Medicine at the University of Bonn has approved the following doctoral degree regulations:
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Appendix

- English version for reference only! This translation is not legally binding -
I. General information

Section 1
Doctorate

(1) The Faculty of Medicine at the University of Bonn awards the academic degree of Doctor of Philosophy (PhD) and Medical Doctor/Doctor of Philosophy (MD/PhD) based on a doctoral examination procedure in the disciplines in accordance with Appendix 1 and in accordance with the provisions of these regulations.

(2) During the doctorate, a particular academic qualification, beyond a university degree, is demonstrated in the disciplines in accordance with Appendix 1 by means of independent research work.

(3) The doctoral components consist of:

1. Successful participation in courses in accordance with section 4 para. 3,
2. A doctoral thesis in accordance with section 6,
3. The oral examination components in accordance with section 9.

(4) The doctoral examination procedure is not public, with the exception of the doctoral colloquium and the awarding of the certificate. The members of the doctoral board, the doctoral thesis committee, and the reviewers are subject to official secrecy. Insofar as they are not in the public service, they are to be sworn to secrecy by the chairperson of the doctoral board.

Section 2
Doctoral board

(1) To organize the doctoral examination procedure and to complete the tasks assigned by these doctoral degree regulations, the Faculty council in the Faculty of Medicine forms a doctoral board. The doctoral board appoints the doctoral thesis committee (section 3), verifies the requirements for admission to the doctorate (section 5) and the opening of the doctoral examination procedure (section 7), and determines the date and location of the oral examinations (section 9 para. 5). The Dean of the Faculty ensures that the doctoral board fulfills and can fulfill its duties in due form. The Dean issues the instructions necessary for this.

(2) The doctoral board consists of eight members. Six members are elected from the group of professors. One member is elected from the group of academic staff and one member is elected from the group of students. Professors of the Faculty of Medicine, including assistant professors and adjunct professors, where these are members of the University of Bonn, are eligible for election to the doctoral board. The members of the group of academic staff in the Faculty who hold a doctorate are eligible for election. The members of the group of students who are enrolled as doctoral students at the Faculty of Medicine are eligible for election. One deputy is elected per member.

The term of office of the members from the group of professors and from the group of academic staff is three years, the term of office for student members is one year. Re-election is permitted. The doctoral board elects a chairperson from among its members and a deputy from the group of professors.

(3) The doctoral board is the authority in terms of the administrative procedural laws.

(4) The Faculty establishes an office to provide administrative support to the doctoral board. This is managed by the Dean.
(5) The doctoral board ensures that the provisions of the doctoral degree regulations are observed and that the examinations are conducted in due form. It can transfer the completion of tasks by resolution to the chairperson.

(6) The meetings of the doctoral board are not public. Minutes are taken of the consultations and decisions of the doctoral board, which are to be included in the doctoral file.

(7) The doctoral board has a quorum if, besides the chairperson or deputy chairperson, at least two professors are present. It decides with a simple majority. In the event of a tied vote, the chairperson has the deciding vote.

(8) Orders, the setting of dates, and other notifications by the doctoral board that not only affect individual people are announced by means of notices or in an electronic form while abiding by data protection with a legally binding effect. Additional announcements made in another manner are permitted, but are not legally binding.

Section 3
Doctoral thesis committee

(1) A doctoral thesis committee is appointed by the doctoral board for every doctoral examination procedure. It is comprised of four members, the primary supervisor, the second supervisor, and two further members.

(2) All members must be professors employed full-time at the University, adjunct professors, retired professors, honorary professors, assistant professors, lecturers (Privatdozent), or the heads of competitively assessed excellence programs in accordance with Appendix 2, or hold a qualification corresponding to habilitation. Section 65 para. 1 HG remains unaffected.

(3) The primary supervisor is the professor responsible for the supervision of the doctoral student in accordance with the supervision agreement (responsible professor). The second supervisor must represent the discipline. The second supervisor may not belong to the working group, the institute, or the clinic of the responsible professor.

(4) At least two of the members, one of whom is a reviewer, must be full-time professors for life at the Faculty of Medicine at the University of Bonn. One reviewer should be a professor outside the Faculty of Medicine at the University of Bonn with an international reputation in the working field of the doctoral thesis. The doctoral board can appoint a further member as a deputy in the event that a member is unable to attend the oral examinations at short notice.

(5) The doctoral thesis committee supervises the progression of the doctorate and is responsible for conducting the oral examinations and grading the doctoral defense. The doctoral thesis committee keeps minutes of every meeting.

II. Qualification phase

Section 4
Scope and content of the qualification phase

(1) The qualification phase usually comprises three years in a supervision relationship and begins with admission in accordance with section 5. For candidates with the Medical State Examination or Dental Examination, one year can be credited during the course for the research activity undertaken if the candidate has taken a free semester for this. Recognition must be requested with admission (section 5). The doctoral board decides on the recognition.
(2) The doctoral thesis is produced during the qualification phase. The qualification phase is research-oriented. The doctoral students should acquire a well-founded understanding of academic problems, in-depth expert knowledge, and the ability to undertake interdisciplinary work. To do this, they should

1. Undertake a research activity in an employment relationship at the University of Bonn or an institution that cooperates with the University of Bonn and

2. Participate in a doctoral program, research training group for doctoral students or graduate program at the University of Bonn or an institution that cooperates with the University of Bonn.

However, the qualification phase can also be conducted without undertaking a research activity in accordance with 1. or participating in structured doctoral studies in accordance with 2. The decision regarding this is made by the doctoral board.

(3) For all doctoral students who are not participating in a doctoral program, research training group for doctoral students or graduate program, the attendance of at least two research-related courses, which usually correspond to the scope of two semester periods per week, is mandatory during the qualification phase. Successful participation in the courses is to be demonstrated by a certificate of attendance when applying for the opening of the doctoral examination procedure (section 7).

Section 5
Admission

(1) Those who can demonstrate that they

a) Hold a qualified certificate following a relevant university program with a standard period of study of at least eight semesters, for which a degree other than ‘Bachelor’ is awarded, except a university program in Human Medicine or Dentistry, or

b) Hold a qualified certificate following a relevant higher education program with a standard period of study of at least six semesters and, following on from this, suitable predoctoral studies in the discipline, or

c) Hold a qualified certificate from a master’s program as defined by section 61 para. 2 clause 2 HG can be admitted to the doctoral examination procedure for the PhD.

A qualified certificate as defined by paragraph 1 exists if at least the second-best grade was achieved. The doctoral board decides on deviations in justified exceptional cases.

(2) Those who have completed a Medical State Examination or a Dental Examination with at least the grade “good” can be admitted to the MD/PhD doctoral examination procedure.

(3) The doctoral board decides on the recognition of a degree obtained by a candidate at a foreign higher education institution. This decision is based, among other things, on a list maintained by the Zentralstelle für ausländisches Bildungswesen (Central Office for Foreign Education – ZAB) at the office of the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany. The recognition is to be clarified before the start of the doctorate as part of admission.

(4) Admission must be requested from the doctoral board before writing the doctoral work. The following are to be enclosed with the admission application:

1. Information about the candidate’s academic career,

2. All certificates for passed university qualifications and state examinations,
3. Clarification from the candidate regarding whether and, if applicable, with what outcome he has applied for a doctoral examination procedure at another higher education institution or another faculty at the University of Bonn,

4. An agreement between the candidate and supervisor,

5. A work plan, for which the responsible professor is jointly responsible and which he signs.

Section 6
Doctoral thesis

(1) The doctoral thesis must be an academic work that represents an advancement in academic knowledge and demonstrates the ability to undertake independent academic work and present the results in an appropriate manner. It must handle an academic question from the field of the disciplines in accordance with Appendix 1. The doctoral thesis is to be completed in writing and in English or German.

(2) Three larger academic original publications (publication doctoral thesis) that are cohesive in terms of content, have been accepted for publication in international journals, and for which the doctoral student is named as the lead author at least once are equivalent to this doctoral thesis.

(3) For the publication for which the doctoral student is the lead author, the doctoral student must have undertaken the predominant share of the planning of the academic work, data collection, evaluation, and interpretation, and have written the first version of the manuscript himself. For the publications for which the doctoral student is a co-author, he must have undertaken a significant share of the planning of the academic work, data collection, evaluation and interpretation. The proportion of the publication undertaken by the doctoral student is to be demonstrated to the publisher with relevant information.

(4) The publications are only permitted while abiding by section 6 para. 1. At least one of the publications should be no more than one year old at the time that the doctoral examination procedure is opened. It must be clearly identifiable in the publications that they originate from the University of Bonn. The doctoral board decides on exceptions upon request.

(5) In the event of a publication doctoral thesis, a summary of the work in English must be submitted. The summary should adequately reflect the topic area handled in eight to ten pages and is to be divided into: title, author(s), short version, introduction, objectives, methods, results, discussion.

(6) The responsible professor ensures that the doctoral student produces the doctoral thesis independently, with regular supervision, and in an appropriate period of time.

(7) The principles of the University of Bonn to ensure good scientific practice are to be observed. Parts of the doctoral work can, in consultation with the doctoral board, be conducted at a foreign research institution. The responsible professor ensures that the partner university/research institution appoints at least one professor, who guides the doctoral student and reports on the accompanying training programs and the progress of the work.

(8) The allocation of the doctoral thesis topic does not establish entitlement to remuneration or an employment relationship.

(9) A doctoral thesis completed earlier may not be submitted again, unless the rejection took place due to the incompetence of another higher education institution or faculty.
III. Examination phase

Section 7
Opening of the doctoral examination procedure

(1) The application to open the procedure is submitted to the doctoral board. It can only take place once admission is complete (section 5). The following are to be enclosed with the application:

1. An electronic version of the dissertation,

2. A detailed statement signed by the candidate and the responsible professor regarding the proportion of the work by the candidate in the publication if the doctoral thesis has been published in whole or in part. The candidate must also ensure that all sources and resources have been stated,

3. Evidence of the courses in which the candidate has successfully participated (section 4),

4. A police clearance certificate that may be no more than eight weeks old on the day of submission,

5. A statement, according to which the candidate, in the event of section 11 parts a) and d), transfers to the University the right to produce and disseminate further copies of the doctoral thesis for university libraries as part of its legal tasks and make the copies available on data networks.

(2) If the application meets the requirements of paragraph 1, the doctoral examination procedure is opened. The candidate is notified of the decision in writing on request.

(3) It is not possible to withdraw the application once the doctoral examination procedure is opened.

Section 8
Assessment of the doctoral thesis

(1) Once the doctoral examination procedure is opened, the doctoral board requests the dissertation reviews from the first and second supervisors (section 3). If the grades of both dissertation reviews deviate from one another by more than 2.0 (section 10), the doctoral board appoints a further professor, who does not belong to the doctoral thesis committee, as a reviewer.

(2) The dissertation reviews regarding the doctoral thesis must be produced in writing and contain a justified recommendation concerning the acceptance, rejection or returning of the doctoral thesis for the purpose of modification. In the event of a publication doctoral thesis, the reviewer can recommend modification and resubmission as a doctoral thesis. Upon a recommendation to accept the doctoral thesis, a justified grade suggestion in accordance with the grading scale in section 10 must be made. The dissertation reviews should be submitted at the latest six weeks after the request for assessment by the doctoral board. If a dissertation review has not been received ten weeks following the request, the doctoral board can replace a reviewer.

(3) If the doctoral thesis is graded as “not satisfactory” by a reviewer or a reviewer requests changes to the doctoral thesis, the candidate is to be informed of the deficiencies with reference to their correction. The revised doctoral thesis is to be resubmitted within one year and is assessed once again by the reviewers. If two reviewers assess the work as “not satisfactory”, even following revision, the doctoral thesis is considered rejected and the examination is considered not passed overall.

(4) If only one reviewer grades the doctoral thesis as “not satisfactory” following revision, the doctoral board appoints a further professor, who does not belong to the doctoral thesis committee, as a reviewer. If this reviewer assesses the work as “not satisfactory”, the doctoral thesis is considered rejected and the examination is considered not passed overall.
Section 9
Oral examinations

(1) The oral examinations are comprised of a public, academic lecture with a discussion (doctoral colloquium) and, following this, a non-public doctoral defense. The oral examinations take place in front of the doctoral thesis committee.

(2) In the doctoral colloquium, the candidate reports on the results of his doctoral thesis in an academic lecture. The duration of the lecture should not exceed 30 minutes. An academic discussion of 15 minutes with questions from the doctoral thesis committee and the listeners is permitted at the end.

(3) In the doctoral defense, the ability of the candidate to present the subjects of his doctoral thesis and their categorization within the discipline or a neighboring discipline is verified in a specialist discussion. It should last a minimum of 30 minutes and a maximum of 90 minutes.

(4) The doctoral colloquium and the doctoral defense are conducted in English. Another language is also permitted with the approval of the doctoral board and with the consent of all members of the doctoral thesis committee.

(5) The doctoral board determines the date and location of the oral examinations (doctoral colloquium and doctoral defense) at the suggestion of the doctoral thesis committee. The candidate is to be informed of the date at least two weeks in advance and the date should be at the latest two months after receipt of the last dissertation review. The doctoral colloquium is to be announced Faculty-wide with the name of the candidate, the lecture title, and the time and location.

(6) During the doctoral defense, doctoral researchers can be permitted as listeners if the doctoral student has agreed. Admission does not extend to the consultation for and announcement of the examination result to the candidate. Anyone who, as a listener, attempts to influence the examination or disrupt it in another manner is to be excluded by the doctoral thesis committee.
(7) Following the doctoral defense after the doctoral colloquium, the doctoral thesis committee decides privately on the passing or failing of the doctoral colloquium, which is not graded, and the doctoral defense and the grading of the doctoral defense using the grading scale from section 10. The doctoral colloquium is considered passed if it has been assessed as passed by at least three members of the doctoral thesis committee. The doctoral defense is considered passed if it has been assessed as at least “satisfactory”. For the grading of the doctoral defense, the arithmetic average of the grades issued by the four members of the doctoral thesis committee is calculated. Only the first decimal place is taken into account; all further places are omitted without rounding.

(8) If a candidate does not attend the oral examinations without just cause or withdraws after the start without just cause, the oral examinations are considered not passed. If good cause is claimed for the absence or withdrawal, this is to be reported and demonstrated immediately in writing to the doctoral board via the primary supervisor. In the event that the candidate is ill, the submission of a doctor’s letter can be requested. If the reasons are recognized, a new date is arranged.

(9) If the doctoral colloquium and/or the doctoral defense have/has not been passed, the doctoral board determines a new date for the doctoral colloquium and/or the doctoral defense at the suggestion of the doctoral thesis committee. A repeat appointment can take place at the earliest three months and at the latest twelve months after the date for the failed examination.

(10) If the doctoral colloquium and/or the doctoral defense were/is not passed in the repeat appointment, the doctoral examination is not passed overall. A second repeat of the oral examinations is not permitted.

Section 10
Grading

(1) The following are approved as grades for the doctoral thesis and doctoral defense:

    Excellent (0.0),
    Very good (1.0),
    Good (2.0),
    Satisfactory (3.0),
    Not satisfactory (4.0).

(2) An increase or decrease in a grade by the value minus 0.3 or plus 0.3 is permitted. The grade “excellent” cannot be increased, the grade “satisfactory” cannot be reduced, and the grade “not satisfactory” can neither be increased nor decreased.

(3) The arithmetic average of the doctoral thesis grade from the primary supervisor, the doctoral thesis grade from the second supervisor and the doctoral defense grade determines, as follows, the overall grade for the doctorate:

    summa cum laude with a value of 0.0,
    magna cum laude with a value from 0.1 to 1.5,
    cum laude with a value from 1.6 to 2.5,
    rite with a value from 2.6 to 3.0.
If three dissertation reviews exist, the two better grades are used to calculate the overall grade. When determining the arithmetic average, only the first decimal place is taken into account; all further places are omitted without rounding.

Section 11
Publication of the doctoral thesis

The doctoral thesis is made accessible to the academic public in a suitable manner if the author, besides the electronic version required for the examination files at the Faculty of Medicine, submits free of charge to the Bonn University and State Library (ULB) three complete, bound original copies for archiving, which must be printed on aging-resistant wood- and acid-free paper in a permanent binding, and also ensures dissemination through:

Either

a) The submission of a further 12 reproductions, each created by means of letterpress printing or photographic printing, or

b) Evidence of publication in a journal, or

c) Evidence of distribution in bookstores via a commercial publisher with a minimum print run of 150 copies; reference to the publication as a doctoral thesis, stating the doctoral thesis location, is to be made on the back of the title page,

d) By submitting an electronic version, the file format and data carriers for which are to be coordinated with Bonn University and State Library (ULB). In this case, only two complete bound obligatory copies are to be submitted.

In the case of a) and d), the author transfers to the University the right to produce and disseminate further copies of his doctoral thesis as part of the legal tasks of a university library and make an electronic version available on data networks.

Section 12
Issuing of the certificate

(1) The doctoral examination procedure is completed with the issuing of the doctoral certificate. This is issued in German. On request, the graduate is given a translation in English.

The certificate must include:

1. The name of the Faculty of Medicine at the University of Bonn,

2. The awarded academic degree,

3. The name, date of birth and place of birth of the graduate,

4. The title of the doctoral thesis,

5. The overall grade of the doctorate,

6. The name of the responsible professor,
7. The name and signature of the Dean of the Faculty of Medicine at the University of Bonn,

8. The embossed seal of the Faculty of Medicine at the University of Bonn,

9. The date of the oral examination,

10. The date of the awarding of the certificate.

(2) The doctoral certificate is presented to the graduate as part of a public, formal graduation by the Dean, by the chairperson of the doctoral board or by one of the Vice Deans of the Faculty of Medicine at the University of Bonn. The certificate may only be issued once the doctoral student has fulfilled his duty to publish. The title of Doctor of Philosophy (PhD) or Medical Doctor/Doctor of Philosophy (MD/PhD) is awarded upon the issuing of the certificate. The graduate receives the certificate in person. The doctoral board decides on exceptions. The awarded academic degree may only be used upon the issuing of the doctoral certificate.

Section 13
Declaration of invalidity of the examination components and revocation of the academic degree

(1) If it is discovered during the doctoral examination procedure that the doctoral student is guilty of fraud, the assessment of the respective doctoral components can be amended accordingly, or parts of the doctoral procedure or the entire doctoral procedure declared invalid or not passed.

(2) If the doctoral student has committed fraud during a doctoral component and this only becomes known upon issuing the doctoral certificate, the assessment of the corresponding doctoral components can subsequently be amended or the awarded academic degree revoked.

(3) If the doctoral student has obtained admission to the doctorate through fraud, threats or bribery, the awarded academic degree can also be revoked when this becomes known. If the prerequisites for admission onto the doctorate were not fulfilled, without the doctoral student intending to deceive, and if this discrepancy only becomes known upon issuing the doctoral certificate, this discrepancy will be remedied by the passing of the doctoral examination procedure.

(4) Decisions in accordance with paragraph 1 to 3, via which a doctoral examination procedure or parts thereof are declared invalid, require confirmation from the Faculty council.

(5) If the awarded academic degree is revoked in accordance with paragraph 2 or 3 or the assessment of the doctoral achievements in accordance with paragraph 1 or 2 has been amended, the doctoral certificate is to be revoked and, if necessary, a new doctoral certificate issued.

(6) The awarded academic degree can be revoked by the Faculty if the doctoral student is legally sentenced to a custodial sentence of at least one year due to an intentional criminal offence, during the preparation or committing of which the awarded academic degree was used.

(7) The affected person is to be given opportunity to comment before a decision is made.

Section 14
Access to the examination files

Once the doctoral examination procedure is completed, the doctoral student is allowed to view the dissertation reviews and the minutes on request, with this request submitted within one month
following the passing of the oral examinations or following notification of the definitive failure. Section 29 of the Administrative Procedure Act (Verwaltungsverfahrensgesetz) remains unaffected by this.

IV. Joint doctorate

Section 15

Joint doctorate with another higher education institution

(1) The Faculty of Medicine at the University of Bonn can award the academic degree of Doctor of Philosophy (PhD) or Medical Doctor/Doctor of Philosophy (MD/PhD) with another higher education institution in a jointly conducted doctoral examination procedure. Contrary to sections 3 and 6, this procedure requires joint supervision by one responsible professor from each institution and successful participation in courses at both higher education institutions. In particular, the admission requirements for the doctorate and to open the doctoral examination procedure at both higher education institutions are to be fulfilled.

(2) For the purposes of a joint procedure, an agreement is to be made between the Faculty of Medicine and the other higher education institution, which must be approved by the doctoral board. The agreement governs a doctoral examination procedure led jointly by the responsible authorities at the other higher education institution and the doctoral board, in particular, the appointing of a joint doctoral thesis committee and a joint examination, assessment, and grading of the examination components in accordance with sections 4, 6, 9 and 10.

(3) The agreement can allow for exceptions to the provisions of these doctoral degree regulations, e.g. for the

- Composition and responsibility of the doctoral thesis committee in accordance with section 3,
- Qualification phase in accordance with section 4,
- Creation of the dissertation reviews in accordance with section 8,
- Access to the examination files in accordance with section 14,
- The form and duration of the oral examinations in accordance with section 9,
- Language of the certificate in accordance with section 12 para. 1.

In justified cases, the doctoral board can approve exceptions.

(4) The examination components are assessed both in accordance with these regulations and also in accordance with the law that applies to the other higher education institution involved.

(5) The duty to publish the doctoral thesis and the rights to it are based on the regulations of both higher education institutions.

(6) The certificate contains the awarding of a single academic degree, which may be undertaken in the form issued by the other higher education institution and in the form issued by the Faculty of Medicine at the University of Bonn. This certification takes place in a joint certificate. It is signed by the responsible representative of the other higher education institution and the Dean of the Faculty of Medicine at the University of Bonn and bears the seals of both higher education institutions.
V. Final provisions

Section 16
Entry into force and publication

These doctoral degree regulations enter into force on the day following their publication in the Official Notices of the University of Bonn – Announcements.

M. Baur
The Dean
of the Faculty of Medicine
at the University of Bonn
Universitätsprofessor Max P. Baur

Issued based on the ruling of the Faculty council in the Faculty of Medicine on March 20, 2014, and the resolution of the rectorate on July 22, 2014.

Bonn, September 2, 2014

J. Fohrmann
The Rector
at the University of Bonn
Universitätsprofessor Dr. Jürgen Fohrmann
Appendix 1

The Faculty of Medicine at the University of Bonn awards the academic degree of Doctor of Philosophy (PhD) based on a doctoral examination procedure in the following disciplines:

- Epidemiology,
- Experimental Medicine,
- Clinical Immunology,
- Clinical Infectiology,
- Neurosciences,
- Medical Biometrics,
- Medical Psychology,
- Medical Sociology,
- Public Health,
- Healthcare Research.

The Faculty of Medicine at the University of Bonn awards the academic degree of Medical Doctor/Doctor of Philosophy (MD/PhD) based on a doctoral examination procedure in the aforementioned and also the following disciplines:

- Human Genetics,
- Clinical Medicine,
- Translational Medicine,
- Dentistry.

Appendix 2

The following programs are recognized as competitively assessed excellence programs:

- Bernstein Group
- Emmy Noether Program
- ERC Starting Grant
- Heisenberg Scholarship
- Helmholtz Young Investigator Group
- Max-Eder Research Group, Deutsche Krebshilfe
- Max Planck Research Group
- NRW Research Group
- NRW program to support academics returning from abroad