

Summary of the Promotionsordnung der Agrar- und Umweltwissenschaftlichen Fakultät der Universität Rostock

vom 12. April 2017

This extract from the Promotionsordnung der Agrar- und Umweltwissenschaftlichen Fakultät der Universität Rostock (English: “doctoral regulations of the Faculty of Agriculture and Environmental Sciences of the University of Rostock” of 12th April 2017, as amended by the Erste Satzung zur Änderung der Promotionsordnung der Agrar- und Umweltwissenschaftlichen Fakultät der Universität Rostock of 12th March 2020, specifically addresses international doctoral students and summarises the most important contents of the regulations.

Please note that only the German version is authoritative.

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§ 1

Right to award doctorates

(1) The doctorate is an evidence for an independent piece of scientific work in a doctoral field represented at the Faculty of Agriculture and Environmental Sciences. A list of possible doctoral fields is published on the Faculty's homepage.

(2) The Faculty of Agricultural and Environmental Sciences awards the academic degree "Doctor of Agricultural Sciences" (doctor agriculturæ, Dr. agr.) and, in the case of an engineering work in a field represented at the Faculty of Agricultural and Environmental Sciences, the academic degree "Doctor of Engineering Sciences" (Dr.-Ing.).

(3) The award is based on a doctoral thesis (dissertation) written by the candidate and the defence of the dissertation.

§ 2

Acceptance as a doctoral candidate

(1) A general admission requirement to the doctorate is a completed university degree (diploma or master's degree) in agricultural and environmental sciences.

(2) The doctorate can be carried out within the framework of an employment relationship at the University of Rostock, within the framework of a doctoral program, within the framework of a graduate program or externally.

(3) The applicant for admission to the doctorate must submit a written informal application to the Dean of the faculty, stating the subject of the planned dissertation and the academic degree to be awarded. The application should be submitted at least two semesters before submitting the dissertation and should enclose:

- a) a scientific curriculum vitae,
- b) a certificate of the highest degree achieved (a certified copy or transcript in German or English respectively),
- c) a letter of supervision or a supervising agreement of a researcher at the faculty
- d) a declaration as to whether and, if so, with what result, the applicant has previously applied for the doctoral degree at the University of Rostock or at another university.

(4) Persons who are doing a doctorate at the Faculty of Agricultural and Environmental Sciences have to be enrolled as doctoral students according to the current matriculation regulations of the University of Rostock.

(5) Studies abroad and a foreign university degree shall be recognized upon application, if they are equivalent to a German university degree in accordance with paragraph 1. The faculty council decides on the determination of equivalence. The equivalence agreements approved by the Conference of Ministers of Education and Cultural Affairs and the Conference of University Rectors shall be taken into account. If the Faculty Council is not able to make a statement on equivalence based on these documents, an expert opinion will be obtained from the Central Office for Foreign Education of the Standing Conference of Ministers of Education and Cultural Affairs. Applicants who have completed a university course of study outside the Federal Republic of Germany and whose native language is not German are expected to have a basic knowledge of German.

(6) The applicant must provide proof of English language skills at least of level B2.

(7) The applicant may not have submitted a dissertation on the same topic to another university before or at the same time.

(8) If all requirements are met, the Faculty Council decides on acceptance as a doctoral candidate at the Faculty. The decision must be immediately communicated in writing to the applicant by the Dean and, in the case of rejection, with attached reasons thereof and instruction on legal remedies.

§ 3

Supervision of the doctoral candidate

(1) The doctoral candidate is supervised by a professor, junior professor or a habilitated researcher who is a member of the faculty. At the doctoral candidate's request, the Faculty Council may admit as supervisor specially qualified doctoral researchers of the Faculty who have earned their doctorate through publications and independently conducted research projects. The Faculty Council decides on exceptions.

(2) Members of other scientific institutions may participate in the supervision of doctoral studies, if they have an equivalent qualification as mentioned in paragraph 1. The Faculty Council may admit professors from universities of applied sciences as co-supervisors of the doctoral candidate.

(3) It is recommended to draw up a supervising agreement between the doctoral candidate and the faculty supervisor (Annex 1).

(4) The supervisor of a doctoral thesis is bound to prepare a report on the submitted thesis and to participate in the doctoral committee.

(5) The supervisor relationship may continue for a maximum of four further years after the supervisor retires. If the supervisor leaves the University but the doctoral candidate remains at the University of Rostock, the supervisor relationship can be maintained for up to a maximum of three further years. In other cases, the Faculty Council, in consultation with the doctoral candidate, appoints a member of the faculty to take over the supervision.

§ 4

Opening of the doctoral procedure

(1) The formal opening of the doctoral examination procedure must be submitted in writing by the doctoral candidate to the Dean of the Faculty, stating the desired academic degree and the doctoral field. The opening requires the acceptance as a doctoral candidate according to § 2 paragraph 8. The application must include

- a) the completed online form for the application to open the doctoral procedure,
- b) a statement by the supervisor regarding the fulfilment of the publication requirements (according to paragraph f) and a proposal for the reviewers to be included and on the composition of the doctoral committee,
- c) four copies of the thesis with integrated curriculum vitae. In addition, an electronic version of the dissertation must be submitted as a PDF file on a up-to-date data carrier. Further printed copies must be submitted subsequently if the dissertation is submitted to another reviewer in accordance with § 8 Paragraph 3 or 4,

- d) a short, generally understandable summary (max. 300 words) of the main results of the dissertation in written and electronic form as a PDF file (in English and German respectively); the electronic version must also be recorded on the data carrier as indicated under c),
- e) an affidavit stating that the doctoral candidate writes the submitted dissertation independently and without the assistance of others, that he/she has not used sources and aids other than those indicated by him/her, and that he/she has marked the passages taken from the works used, either literally or in terms of content, as such (Annex 3),
- f) an up-to-date scientific curriculum vitae, including a complete list of publications in scientific journals and presentations at conferences. If the dissertation is written as a monograph, essential research results must additionally be published in a recognized peer-reviewed national or international scientific journal. This is deemed to have been accomplished and must be confirmed by the supervisor (according to paragraph 1 b) if at least one such technical contribution has been accepted for publication,
- g) a proof of enrolment according to § 2 paragraph 4 and
- (h) an official certificate of good conduct.

(2) The request can be withdrawn by the doctoral candidate without consequences as long as the doctoral procedure has not yet been opened.

(3) If all requirements are met, the Faculty Council decides on the opening of the doctoral procedure. The opening of the doctoral procedure will be rejected if a previous doctoral procedure with this thesis has unsuccessfully ended or if the thesis has been submitted to another faculty at the same time.

(4) With the decision to open the doctoral procedure the reviewer and the members of the doctoral committee are determined taking into account the proposals in accordance with Paragraph 1(b).

(5) The decision must be immediately notified in writing to the doctoral candidate by the Dean and, in case of rejection, with attached reasons thereof and instruction on legal remedies.

§ 5 Dissertation

(1) The dissertation serves to prove the scientific qualification of the doctoral candidate.

(2) The research results presented in the dissertation must correspond to the current state of the scientific field, show an increase in knowledge and consider and reflect the essential national and international literature.

(3) The dissertation may consist of a monograph or be cumulative. Further details are regulated in paragraphs 5 (monograph) or 6 and 7 (cumulative dissertation).

(4) The dissertation can be written in German or English. If a cumulative dissertation is submitted, it may be submitted in English or German in whole or in part. A summary in German and English, independently of the language of the dissertation, is to be attached to both a monograph and a cumulative dissertation.

(5) The scope of the dissertation in the form of a monograph should be appropriate to the topic and the culture of the subject. Original data and other materials that could make the work difficult to read, but which must be presented for reasons of documentation or evidence, can be included in an appendix. The DFG guidelines apply to the handling of original data.

(6) Several publications that have already been published, accepted or reviewed may be submitted as a cumulative dissertation if they are closely related in terms of time and subject matter and if they meet the requirements to be met by the dissertation as a whole. These publications must not have already been part of a previous examination (e.g. Bachelor's or Master's thesis). In the cumulative dissertation, the scientific paper to be submitted consists of at least three articles in peer-reviewed journals in German or English and an introductory and summary section. Based on the current state of science, the author's own results are to be classified and the statements are to be supported by representative quotations. The summarizing statements must clearly show the thematic context of the publications submitted as a cumulative dissertation.

(7) In the case of a cumulative dissertation, the doctoral candidate appears at least twice as the first author or as an author of equal standing to the first author. For all publications, the doctoral candidate's own contribution to the publication must be explicitly stated. At the time of submission of the dissertation, two publications must have been accepted for publication by the respective journal and one publication must have been submitted.

(8) The dissertation must be uniform with regard to the information on the cover sheet (see Annex 4).

(9) The dissertation is checked by the dean's office using plagiarism software. The result is documented in a file and is available to the reviewers with the dissertation.

§ 7

Assessment of the dissertation

(1) The dissertation must be reviewed by at least three reviewers. Professors, junior professors and scientists who have completed their habilitation can be appointed as reviewers. At least one reviewer must be a member of the faculty. No more than two reviewers may belong to the University of Rostock. In the case of a cumulative dissertation, no reviewers may be co-authors of the publications apart from the supervisor. The Faculty Council decides on exceptions.

(4) Reviews must always be written independently by the respective reviewers and may not be written in the knowledge of other reviews.

(5) The dissertation is to be assessed by the reviewer with one of the following grades:

magna cum laude	(very good)	grade with gradation: 1.0; 1.3
cum laude	(good)	grade with gradation: 1.7; 2.0; 2.3
rite	(enough)	grade with gradation: 2.7; 3.0
non sufficit	(insufficient)	grade: 4,0

(6) In the reviews, the experts must provide a comprehensible argumentation of their ratings.

§ 8

Acceptance and overall grade of the dissertation

- (1) The Faculty Council decides on the acceptance or non-acceptance as well as on the overall grade of the dissertation on the basis of the reviews.
- (2) A dissertation is to be rejected if two reviewers, independently of the total number of reviewers, assess it as "non sufficit".
- (3) A further review will be obtained if one reviewer has given the thesis a "non sufficit" grade. The further assessment is decisive for the acceptance or non-acceptance of the dissertation.
- (4) A further review will be obtained if the grade in the present reviews differ from each other by more than one level within the meaning of § 7 paragraph 5.
- (5) The overall grade of the dissertation is calculated as the arithmetic mean of all grades in the assessments, rounded to the first place after the decimal point.
- (6) When the dissertation is accepted, requirements may be imposed for amendments related to its formal design but not affecting its scientific content. These requirements must be documented in the doctoral file and fulfilled until the defence. The doctoral candidate's academic supervisor will check and confirm in writing that the requirements have been fulfilled. The doctoral candidate submits the corrected version of the doctoral thesis to the Dean's office of the Faculty so that the procedure can be continued.
- (7) The decision on the acceptance or non-acceptance as well as the overall grade of the doctoral thesis and any requirements, if any, must be communicated to the doctoral candidate in writing within 14 days of the Dean's decision.
- (8) Two weeks before the defense at the earliest, the doctoral candidate is to be allowed access to the reviews at his/her request.

§ 9

Non-acceptance of the dissertation

- (1) The non-acceptance of a dissertation ends the doctoral procedure. The Dean issues a notification to the doctoral candidate, which includes instructions on legal remedies, in which the non-acceptance of the dissertation and the possibility of its reopening is pointed out.
- (2) Doctoral candidates whose dissertation has not been accepted may apply for a new doctoral procedure with a substantially altered dissertation or one with a different theme at the earliest six months after the decision of non-acceptance. If this thesis is also not accepted, a further procedure is ruled out.
- (3) The application for the new doctoral procedure must be supplemented by a declaration of previous non-acceptance.
- (4) One copy of the dissertation which has not been accepted remains with the doctoral file.

§ 11

Oral defence of the dissertation

- (1) The oral defence of the thesis is the second graded component of the doctoral procedure.
- (2) The defence allows the doctoral candidate to present the achieved results. It must be carried in German or English. The defence consists of a 30-minute presentation by the doctoral candidate and a disputation. The doctoral candidate must prove that he/she can justify the scientific results of his/her dissertation theoretically and that he/she can deal with other opinions appropriately. The duration of the defence should not exceed two hours. The Doctoral Commissioner leads and records the defence and informs the external reviewers about the course and status of the procedure.
- (4) The Dean's Office of the Faculty, in consultation with the doctoral candidate and the members of the doctoral committee, sets the date for the defence and posts a public notice inviting to the defence. The date must be notified in writing to the doctoral candidate and the members of the doctoral committee at least seven days in advance. The defence is public.
- (5) The evaluation of the doctoral candidate's performance by the members of the doctoral committee is carried out in public, with the grades in accordance with § 7 Paragraph 5, including the grading specified therein. First of all, one grade shall be awarded for the presentation and one grade for the disputation. Then the overall grade for the defence is determined, with the grade for the lecture and the discussion being equally weighted.
- (6) The grades for the presentation and the disputation are each derived from the arithmetic mean of the individual evaluations of the committees members rounded to one decimal place.
- (7) If the defence has been graded "non sufficit", this partial performance is considered as not passed. In this case, the defence may be repeated once at the request of the doctoral candidate within six months. If the repeated defence is also not passed, the doctoral procedure shall be taken as having been unsuccessfully concluded. The Dean shall issue a notice to the doctoral candidate, including instructions on legal remedies, in which the non-acceptance and the possibilities of repetition are pointed out.
- (8) If the doctoral candidate does not appear for the defence for reasons for which he/she is not responsible, or if the defense is broken off, a new date for the defense will be set. The reason given for the withdrawal or failure to appear must be immediately notified to the doctoral committee in writing and must be substantiated. The doctoral committee will decide on the recognition of the reason. It may require evidence, in particular the submission of a medical certificate.

§ 12

Determination of the overall grade of the doctorate

- (1) At the end of the oral defence the doctoral committee will decide the final grade of the doctorate in camera as a proposal for confirmation by the Faculty Council. The overall grade of the doctorate is calculated from the arithmetic mean of the grade for the dissertation, weighted by a factor of 2, and the overall grade of the defence.

(2) The overall grade of the doctorate is one of the following:

summa cum laude	(with distinction)	[average 1.0; - <1.3]
magna cum laude	(very good)	[average 1.0 - <1.5]
cum laude	(good)	[average 1.5 - <2.5]
rite	(enough)	[average \geq 2.5]

(3) The award of the doctorate with the grade "summa cum laude" can be recommended by unanimous decision of the doctoral committee under the following conditions if:

- a) all the reviewers of the dissertation have proposed the grade "magna cum laude" (1.0) and at least two reviewers have expressly classified the dissertation as outstanding in the field of doctoral studies,
- b) the public defence has also been assessed "magna cum laude"; and
- c) in addition, an outstanding publication performance is established.

(4) The doctoral candidate must be informed immediately of the result of the passing of the doctoral examination. With the agreement of the doctoral candidate, the result will be made public.

§ 13

Award of the doctorate

(1) The Faculty Council, on the recommendation of the doctoral Committee, shall decide on the award of the doctoral degree with the predicate and the doctoral field.

(2) At the request of the doctoral candidate, the Dean may issue a written notification of the decision to award the doctoral degree, stating the predicate, after all requirements have been met.

(3) After the confirmation of the doctoral grade by the Faculty Council and fulfilment of the stipulations regarding the publication of the dissertation in accordance with § 14, a certificate of the award of the doctoral degree will be issued in German and in English. It contains the title of the dissertation, the field of doctoral studies and the grade of the doctorate. It is signed by the Dean of the Faculty and bears the seal of University of Rostock. The dean will award the certificate by handing it over in a ceremonial form or by sending the certificate. Upon receipt of the certificate, the doctoral candidate is granted the right to hold the doctoral degree.

§ 14

Publication of the dissertation

The publication and submission of deposit copies of the dissertation is subject to the deposit copy regulations of the University of Rostock.

§ 15
Right of objection

(1) The doctoral candidate may submit in writing or for recording an appeal against a decision that violates his/her rights to the Dean of the Faculty within one month after the notification of the decision.

(2) The Faculty Council will examine whether it can remedy the appeal. If this is not the case, it submits the appeal to the rector for decision. The Rector issues the notice of appeal. An appeal against this decision may be lodged with the competent administrative court within one month of notification.

§ 16
Doctoral file

A record of the course of the doctoral procedure and the results must be kept in the doctoral file. The doctoral candidate has the right to inspect the file at the end of the procedure.

§ 18
Revocation of the Doctoral Degree

(1) If it turns out that the admission to the doctorate was granted on the basis of false information provided by the doctoral candidate, or that the candidate attempted or committed deception in his/her doctoral performance, or if the doctoral candidate has been proven to have violated the rules of good scientific practice, then these achievements can be declared invalid by the Faculty Council, the doctoral degree can be revoked and the doctoral certificate, if it has already been issued, can be confiscated.

(2) The doctoral degree can also be revoked and the doctoral certificate confiscated if the doctor has been convicted of an intentional criminal offence, in the preparation or commission of which the doctor has misused the doctoral degree. Otherwise, the withdrawal of the doctoral degree is governed by the applicable statutory provisions. The Faculty Council makes the decision on this.

(3) Before the decision is taken, the person concerned must be given the opportunity to make a statement to the Faculty Council.

§ 21
Transitional Provision

These doctoral regulations apply for the first time to doctoral candidates who submit an application for the opening of the doctoral procedure after the entry into force of these doctoral regulations. Doctoral students who have been admitted to the Faculty of Agriculture and Environmental Sciences according to the previously valid doctoral regulations can choose whether their doctoral procedure should be carried out according to the doctoral regulations of the Faculty of Agriculture and Environmental Sciences of the University of Rostock dated September 14, 2008 (Mitt.bl. BM M-V 2008 S. 1426) or according to these doctoral regulations.

§ 22
Entry into force

The Doctoral Regulations of the Faculty of Agricultural and Environmental Sciences come into force on the day after their publication in the Official Notices of the University of Rostock. At the same time the Doctoral Regulations of the Faculty of Agricultural and Environmental Sciences of September 14th, 2008 (Mittl.bl. BM M-V 2008, p. 1426) are no longer valid.

Issued on the basis of the decision of the Academic Senate of the University of Rostock dated April 5, 2017.

Rostock, April 12, 2017

The Rector
of the University of Rostock
Prof. Dr. Wolfgang Schareck