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**Regulations of Karlsruhe Institute of Technology (KIT) for
the Award of the Doctoral Degree in Philosophy (Dr. phil.)
at the KIT Department of Humanities and Social Sciences**

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**Regulations of Karlsruhe Institute of Technology (KIT)
for the Award of the Doctoral Degree in Philosophy (Dr. phil.)
at the KIT Department of Humanities and Social Sciences**

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Pursuant to Art. 10, par. 2, clause 5 and Art. 20, par. 2, clause 1 of the Act on Karlsruhe Institute of Technology (KIT Act – KITG) of July 14, 2009 (Bulletin, pp. 317), last amended by Art. 5 of the Third Act on the Amendment of University Regulations (3. Hochschulrechtsänderungsgesetz – 3rd HRÄG) of April 01, 2014 (Bulletin, pp. 99, 167) and Art. 38, par. 4 of the Act of Baden-Württemberg on Universities and Colleges (Landeshochschulgesetz – LHG) of January 1, 2005 (Bulletin, pp. 1), last amended by Art. 2 of the Act on the Implementation of Equal Opportunities of Women and Men in the Public Service Sector in Baden-Württemberg and on the Modification of the Act of Baden-Württemberg on Universities and Colleges (Equal Opportunities Act – Chancengleichheitsgesetz – ChancenG) of February 23, 2016 (Bulletin, pp. 108, 118), the Senate of Karlsruhe Institute of Technology (KIT) adopted the following statutes on September 19, 2016.

The President expressed his approval according to Art. 20, par. 2, clause 1, KITG in conjunction with Art. 38, par. 4, clause 1, LHG on October 4, 2016.

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Section 1: General Provisions

Article 1 Doctoral Degree

- (1) The KIT Department of Humanities and Social Sciences of Karlsruhe Institute of Technology (KIT) (hereinafter referred to as KIT Department) awards the academic degree of a Doktor/Doktorin der Philosophie (Dr. phil., Doctor of Philosophy) in a regular doctoral procedure.
- (2) The KIT Department can award the honorary degree of Doktor/Doktorin der Philosophie ehrenhalber (Dr. phil. h.c., Honorary Doctor of Philosophy) (Art. 25).
- (3) The KIT Department can renew a doctoral degree certificate awarded by it after 25 years (Art. 26).

Article 2 Doctoral Admissions Committee

- (1) The Doctoral Admissions Committee is appointed by the KIT Department Council. The Doctoral Admissions Committee consists of a Chairperson and another two members. Members may be professors according to Art. 44, par. 1, cl. 1, No. 1, LHG, *apl. Professors, Privatdozenten/Privatdozentinnen*, executive scientists according to Art. 14, par. 3, KITG, and released or retired professors of the KIT Department. A deputy each shall be appointed. The term of office is two years. Reappointment is permitted.
- (2) In the case of meetings of the Doctoral Admissions Committee in connection with research misconduct, an Ombudsperson with an advisory vote is to be consulted according to the “Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)”.

Article 3 Persons Authorized to Participate in Doctoral Procedures

- (1) Professors according to Art. 44, par. 1, clause 1, No. 1, LHG, executive scientists according to Art. 14, par. 3, KITG, *apl. Professors*, and *Privatdozenten/Privatdozentinnen* are authorized in principle to participate in doctoral procedures.
- (2) Moreover, (early-stage) researchers of Karlsruhe Institute of Technology (KIT) who were granted the status of a “KIT Associate Fellow” may be permitted to participate in doctoral procedures. The proceeding and the rights and obligations of the “KIT Associate Fellow” shall be subject to the “Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines „KIT Associate Fellow”” (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow”).
- (3) Professors of Universities of Applied Sciences or Baden-Württemberg Cooperative State Universities may also be appointed supervisors or reviewers according to Art. 15, par. 2.

- (4) The rights of participation of professors according to Art. 44, par. 1, clause 1, No. 1, LHG and of executive scientists according to Art. 14, par. 3, KITG shall not be affected by retirement. Other persons authorized to participate in doctoral procedures, who no longer work at KIT, may participate in a doctoral procedure for up to four semesters after their leave. Article 6, par. 8 of the “Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines “KIT Associate Fellow”” (Rules of Procedure of Karlsruhe Institute of Technology (KIT) for Establishment of the Status “KIT Associate Fellow”) shall remain unaffected.
- (5) If a person authorized by a KIT Department to participate in doctoral procedures has concluded a doctoral agreement according to Art. 10 and his/her membership with the KIT Department ends afterwards, he/she shall continue to be a person authorized by the KIT Department to participate in doctoral procedures according to the present Regulations until the doctoral procedure for which the doctoral agreement has been concluded is completed, but not for a period longer than five years. The Doctoral Admissions Committee may extend the maximum period outlined in clause 1 upon request in writing by the person authorized to participate in doctoral procedures according to Art. 3.

Article 4 Requirements for Admission to the Doctorate

- (1) Unless otherwise specified below, admission to the doctorate requires successful completion
- of a master’s program
 - or of a degree program with a standard study period of at least four academic years at a university, university of education, or art academy,
 - or of a degree program based on an undergraduate program at a university, university of education, or another university that has the right to award doctorates
- in the subject of
- European culture and history of ideas,
 - German studies,
 - history,
 - engineering pedagogics,
 - pedagogics,
 - philosophy,
 - sociology,
 - sports sciences, or
 - science – media – communication

with a total result of 'good' or better or with the candidate providing proof of having graduated with an above-average result.

- (2)** On the justified request in writing by the candidate, the Doctoral Admissions Committee may recognize successful completion of studies in a subject other than those listed in par. 1 for admission to the doctorate, provided that the remaining requirements outlined in par. 1 are fulfilled. In these cases, the Doctoral Admissions Committee shall assess equivalence of the documented study and examination achievements to the requirements of par. 1 and, if necessary, define supplementary requirements as outlined in par. 4. The request for recognition and assessment of equivalence of the documented study and examination achievements shall be submitted in writing to the Doctoral Admissions Committee either together with the request for acceptance as a doctoral candidate according to Art. 11 or not later than twelve months prior to the request for admission to the doctoral procedure according to Art. 13.
- (3)** A degree reached at a foreign state or state-recognized college equivalent to a university, which corresponds to the requirements outlined in par. 1 or 2, can be recognized as equivalent by the Doctoral Admissions Committee taking into account the valid recommendations made by the Central Office for Foreign Education regarding the equivalence of degrees. In cases of doubt, the Central Office for Foreign Education shall be consulted. The Doctoral Admissions Committee may define supplementary requirements as outlined in par. 4.
- (4)** For proof of the candidate's scientific qualification, admission to the doctorate in the cases of paragraphs 2 and 3 may be subject to supplementary requirements to be defined by the Doctoral Admissions Committee. These supplementary requirements that are to be in line with the requirements of the doctoral subject shall not exceed the amount of 60 credits. The conditions shall be fulfilled prior to admission to the doctoral procedure.
- (5)** Holders of bachelor's degrees or graduates of a state examination program other than outlined in par. 1 as well as diploma degree holders of Universities of Applied Sciences and Cooperative State Universities can be admitted to the doctorate, if they have completed their studies with an above-average result in the subjects outlined in par. 1 or in subjects that are equivalent according to par. 2. A person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 must have agreed to act as a supervisor and the candidate must have proved in an aptitude test procedure according to par. 6 that he/she is qualified to perform scientific work in the doctoral subject. Admission shall be refused, if the candidate has already failed to pass an aptitude test procedure for a doctorate or an equivalent test at a university or equivalent college.
- (6)** To prove their scientific qualification, graduates according to par. 5 shall submit a request in writing for opening an aptitude test procedure to the Doctoral Admissions Committee,

if they aim for a doctorate. The candidate shall successfully attend an advanced graduate seminar (Oberseminar), prepare a written assignment that must be equivalent in contents to a master's thesis in a degree program offered by the KIT Department of Humanities and Social Sciences, and pass an oral examination of 60 minutes' duration in the form of a colloquium. The contents and dates of the written assignment and oral examination shall be specified by the Doctoral Admissions Committee. A graduation thesis of a university, University of Applied Sciences, or Cooperative State University may be recognized as a written assignment by the Doctoral Admissions Committee in agreement with the supervisor authorized to participate in doctoral procedures according to Art. 3, provided that it is equivalent in scientific contents to a master's thesis in a degree program offered by the KIT Department of Humanities and Social Sciences. Examinations and preparation and assessment of the written assignment shall be subject to the relevant regulations of the "Studien- und Prüfungsordnung des Karlsruher Instituts für Technologie (KIT) für den Masterstudiengang Germanistik" (studies and examination regulations of Karlsruhe Institute of Technology (KIT) for the master's program of German studies). The aptitude test procedure shall be completed after three semesters. The Doctoral Admissions Committee shall determine whether the aptitude test procedure was completed successfully. In case of successful completion of the aptitude test procedure, the KIT Dean informs the candidate in writing about the result. Otherwise, the Doctoral Admissions Committee shall inform the candidate in writing about the unsuccessful completion of the aptitude test procedure, the reason, and the right to appeal. Upon written request, the Doctoral Admissions Committee may extend the period given in clause 6. If the procedure is not completed successfully within the period given, the candidate shall be deemed to have failed in proving that he/she is qualified to perform scientific work according to par. 5.

- (7) Upon written request by the candidate, the Doctoral Admissions Committee shall decide on recognitions in connection with paragraphs 1 to 6. In justified exceptional cases and upon written request by the candidate, the Doctoral Admissions Committee may grant exemption from the requirements specified in these paragraphs.

Article 5 Doctorate under Joint Supervision with a Department of a Foreign University

- (1) A doctoral procedure may be supervised jointly with the department of a foreign university, the objective being to convey intercultural competencies to the doctoral candidate and enabling him/her to deal with different science systems and university cultures.

- (2) The doctoral candidate shall be accepted for the doctorate by both departments and supervised by a supervisor each. Joint supervision shall be agreed upon by the universities involved in an agreement signed by the Rectors or Presidents and the supervisors of the doctoral candidate at the cooperating universities. This agreement shall require approval by the KIT Department Council. By way of derogation from the remaining provisions of the present Regulations, such an agreement may cover in particular:
1. The composition of the Doctoral Examination Committee,
 2. the language in which the doctoral thesis is to be written and the oral examination is to be held,
 3. the grades for assessing the doctoral achievements, and
 4. the publication of the doctoral thesis.
- (3) The universities shall jointly award the doctorate. The doctoral degree may be held alternatively in the German or in the foreign form. Both universities shall issue a separate doctoral degree certificate. Both doctoral degree certificates shall indicate that the doctoral procedure was of binational character and that the doctoral degree certificate shall be valid together with the other certificate only.

Article 6 Doctorate in Cooperation with a University of Applied Sciences

If Karlsruhe Institute of Technology (KIT) and a University of Applied Sciences cooperate in a doctoral procedure, professors of the Universities of Applied Sciences shall participate in doctoral procedures as supervisors and examiners with the same rights and obligations. This especially applies to structured PhD programs in which the doctoral procedure is supervised jointly. Further organization of cooperation shall be subject to the respective agreement.

Article 7 Participation of External Doctoral Candidates

External doctoral candidates are doctoral candidates working on their doctoral thesis at KIT without being employed by KIT and without direct affiliation to an organizational unit of KIT. They shall be integrated in the working group of the supervisor, for instance, by participation in seminars for doctoral candidates or research seminars or by participation in conferences and summer schools.

Article 8 Ombudspersons

In cases of conflicts or disputes between the doctoral candidate and supervisor during the doctoral procedure, both may contact the Ombudspersons appointed by the KIT Senate. In this respect, it is referred to the "Satzung zur Bestellung von Ombudspersonen für Doktorandinnen und Doktoranden sowie Betreuerinnen und Betreuer des Karlsruher Instituts

für Technologie (KIT)" (statutes on appointment of Ombudspersons for doctoral candidates and supervisors of Karlsruhe Institute of Technology (KIT)).

Article 9 Inspection of Records

The right to inspection of records shall be subject to the legal provisions and in particular to Art. 29 of the "Verwaltungsverfahrensgesetz für Baden-Württemberg" (Baden-Württemberg Administrative Procedure Act – LVwVfG).

Section 2: Doctoral Agreement and Doctoral Procedure

Article 10 Doctoral Agreement

The doctoral candidate and a person authorized to participate in doctoral procedures according to Art. 3 as supervisor shall conclude a doctoral agreement in writing specifying the details outlined in Art. 38, par. 5, cl. 3, LHG at least. If the supervisor is not a member of the KIT Department, the doctoral agreement must be additionally signed by another person authorized to participate in doctoral procedures, who is member of the KIT Department.

Article 11 Acceptance as Doctoral Candidate

- (1)** A candidate meeting the requirements for admission to the doctorate according to Art. 4 and aiming for a doctorate shall apply in writing to the Chairperson of the Doctoral Admissions Committee for acceptance as doctoral candidate.
- (2)** The following documents shall be attached to this application:
 1. Proof/proofs according to Art. 4,
 2. description of the candidate's professional and scientific career,
 3. information on the intended area of work or topic of the doctoral thesis, with an explanatory statement (exposé),
 4. a declaration in writing according to Annex 5a of the present Regulations,
 5. a copy of the doctoral agreement as outlined in Art. 10, and
 6. proof of registration as a doctoral candidate with the Karlsruhe House of Young Scientists (KHYS).
- (3)** If the requirements of Art. 4 are met, the proofs outlined in par. 2 have been presented, and there is no reason to refuse acceptance according to par. 4, the Doctoral Admissions Committee declares acceptance of the doctoral candidate. With the acceptance of the doctoral candidate, the KIT Department expresses its willingness to support the doctoral candidate and assess his/her doctoral thesis. As a rule, the Doctoral Admissions Committee shall decide on acceptance of the doctoral candidate within a period of six

weeks upon receipt of the application. Acceptance of the doctoral candidate shall be notified in writing to the latter.

- (4) The Doctoral Admissions Committee shall refuse acceptance of the doctoral candidate, if
1. the requirements for admission outlined in Art. 4 are not met,
 2. the topic or field chosen for the doctoral thesis belongs to a subject area that is not properly represented at the KIT Department, or
 3. a reason for refusal exists according to Art. 14, par. 2.

The candidate shall be notified in writing of the refusal, with the reasons and information on the rights to appeal being indicated. Prior to this, the candidate shall be given the opportunity to comment on the facts relevant to the decision.

- (5) Acceptance as a doctoral candidate may be subject to supplementary requirements specified by the Doctoral Admissions Committee, if certain prerequisites for admission to the doctorate according to Art. 4 still remain to be fulfilled. The Doctoral Admissions Committee shall confirm compliance with these supplementary requirements and the doctoral candidate shall be notified in writing. If the supplementary requirements are not met or not met in due time, acceptance of the doctoral candidate may be revoked by the Doctoral Admissions Committee. Paragraph 4, clauses 2 and 3 shall apply.
- (6) Initially, the doctoral candidate is accepted for three years, with this acceptance expiring at the end of the semester following these three years. An extension by another year may be applied for in writing with the Chairperson of the Doctoral Admissions Committee. The Doctoral Admissions Committee, in agreement with the supervisor according to Art. 10, cl. 1 or the supervisors according to Art. 10, cl. 2, shall refuse extension of this period if no noticeable progress is achieved in the work on the doctoral thesis and the doctoral candidate is responsible for that. When deciding, the degree of completion of the doctoral thesis will be taken into account.
- (7) In case the supervisor can no longer fulfill his/her task for an important reason, the Doctoral Admissions Committee shall hear the doctoral candidate and, if possible, appoint another competent person authorized by the KIT Department to participate in doctoral procedures according to Art. 3.

Article 12 Doctoral Thesis

- (1) The doctoral thesis shall provide evidence of the doctoral candidate's qualification to carry out independent in-depth scientific work and to adequately present the results. The doctoral thesis shall have a title page in the form specified in Annex 1a of these Regulations, a table of contents, a clear abstract, and a list of all literature used by the doctoral candidate.

- (2) The doctoral thesis may also be based on prior publications or work submitted for publication. It must contribute to an advancement of knowledge corresponding to that of a monographic doctoral thesis and meet the requirements outlined in par. 1. Prior publications or work submitted for publication must be related coherently in terms of their topic and may be incorporated in the doctoral thesis, provided that the doctoral candidate is the sole author or has independently developed a major part of it as a co-author. Prior publications or work submitted for publication must be put into context. A mere stringing together of prior publications or work submitted for publication shall not be sufficient. It must be clearly visible which parts of the doctoral thesis have already been published or submitted for publication. If the doctoral candidate is co-author according to cl. 3, independent development of a major part of the publication must be assured as outlined in No. 7 of Annex 5b of these Regulations.
- (3) The doctoral thesis must be written in German or, in agreement with the supervisor, in English. When the doctoral thesis is written in English, it must be preceded by an abstract in German. On the candidate's written request, the Doctoral Admissions Committee decides on the permission of other languages.
- (4) Only work that has never been used completely or in major parts for a graduation before will be accepted as a doctoral thesis. The Doctoral Admissions Committee shall decide on justified exceptions on the candidate's request in writing.

Article 13 Application for Admission to the Doctoral Procedure

- (1) Whoever fulfills the requirements for admission to the doctorate according to Art. 4 may apply for admission to the doctoral procedure. The application shall be submitted in writing to the KIT Dean of the KIT Department. Prior acceptance as a doctoral candidate is not required.
- (2) The application for admission to the doctoral procedure must contain the title of the doctoral thesis and the postal address of the doctoral candidate. The following documents must be enclosed with the application:
 1. Certificates and documents according to Art. 11, par. 2, Nos. 1 and 2,
 2. the doctoral thesis in quadruplicate and an electronic version of the doctoral thesis,
 3. an affirmation in lieu of oath according to Annex 3 of the present Regulations,
 4. an applicant's signed copy of the instructions provided by KIT on the meaning and penal consequences of an affirmation in lieu of oath in accordance with Annex 4 of the present Regulations,
 5. a declaration in writing according to Annex 5b of the present Regulations stating in particular that the "Regeln zur Sicherung guter wissenschaftlicher Praxis am

Karlsruher Institut für Technologie (KIT)“ (Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)) have been observed,

6. a list of all scientific publications of the applicant,
7. a proposal of the subject of the presentation for the oral examination (Art. 17, par. 5),
8. the doctoral degree certificate, if the doctoral candidate has already been conferred a doctoral degree.

In addition, the doctoral candidate may propose reviewers according to Art. 15, par. 2.

- (3) As long as no reviewer's report on the doctoral thesis has been presented, the doctoral candidate can withdraw once the application for admission to the doctoral procedure. In this case, the application shall be deemed as not having been submitted.
- (4) A doctoral candidate who failed in a previous doctoral procedure may apply only once again for admission to the doctoral procedure and do so not earlier than one year upon refusal of the first application for admission to the doctoral procedure. Resubmission of a previously rejected doctoral thesis shall not be allowed, if the resubmitted version is identical to the previously submitted version. It is permitted to submit a revised version of the previously rejected doctoral thesis.

Article 14 Start of the Doctoral Procedure

- (1) In case the documents submitted for admission according to Art. 13, par. 2 are complete and the admission requirements outlined in Art. 4 are fulfilled, the procedure is started by the Chairperson of the Doctoral Admissions Committee, unless the latter decides that there is a reason for refusal according to par. 2. The start of the doctoral procedure is notified in writing to the doctoral candidate.
- (2) The Doctoral Admissions Committee decides to refuse the start of the doctoral procedure, if
 1. no person authorized by the KIT Department to participate in doctoral procedures according to Art. 3 declares to be scientifically responsible for the area covered by the doctoral thesis,
 2. the applicant has already made more than one unsuccessful attempt to achieve the doctorate,
 3. a doctoral degree was revoked for legal reasons,
 4. reasons exist for the revocation of the doctoral degree according to the legal provisions,
 5. the applicant has committed a major violation of the principles of good research practice,

6. the applicant has already been conferred the doctoral degree in philosophy (Dr. phil.), or
 7. if the applicant has or had a contractual relationship against payment with a commercial advisor relating to the doctorate.
- (3) If the documents submitted for admission are incomplete according to Art. 13, par. 2 or the admission requirements specified in Art. 4 are not fulfilled, the Chairperson of the Doctoral Admissions Committee shall refuse admission to the doctoral procedure. The doctoral procedure is completed unsuccessfully. Article 11, par. 4, clauses 2 and 3 shall apply.

Article 15 Appointment of Reviewers

- (1) Upon the initiation of the doctoral procedure, the Doctoral Admissions Committee shall appoint two reviewers to review the doctoral thesis submitted.
- (2) The reviewers shall be persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3. For factual reasons, the Doctoral Admissions Committee may appoint as reviewer a person authorized to participate in doctoral procedures by another KIT Department or another university or a professor of a University of Applied Sciences or the Baden-Württemberg Cooperative State University. At least one reviewer must be a person authorized by the KIT Department to participate in doctoral procedures as specified in Art. 3. If the Chairperson of the Doctoral Admissions Committee is reviewer, the tasks with respect to the said doctoral procedure shall be transferred to a professor according to Art. 44, par. 1, cl. 1, No. 1, LHG, who is member of the KIT Department. The Doctoral Admissions Committee shall not be bound to the proposals submitted by the doctoral candidate according to Art. 13, par. 2, cl. 2 when appointing the reviewers.
- (3) Reviewer shall be the person authorized to participate in doctoral procedures at KIT according to Art. 3, under whose supervision the doctoral thesis was completed.
- (4) The persons authorized to participate in doctoral procedures at KIT according to Art. 3 and appointed reviewers by the Doctoral Admissions Committee may refuse appointment for an important reason only.

Article 16 Acceptance and Assessment or Rejection of the Doctoral Thesis

- (1) Each reviewer shall submit to the Doctoral Admissions Committee an independent review on the doctoral thesis three months upon appointment as reviewer at the latest. The review contains the justified recommendation of acceptance or rejection of the thesis and, in case of its recommended acceptance, an assessment as specified in par. 2.
- (2) The grade to be given for a doctoral thesis recommended for acceptance may be:

sehr gut	(very good)	(magna cum laude)	= 1,
gut	(good)	(cum laude)	= 2, or
genügend	(sufficient)	(rite)	= 3.

- (3)** In the case of particularly outstanding achievements, the reviewer may propose in his/her review to award the overall rating “ausgezeichnet” (with distinction) (summa cum laude) when a corresponding result is achieved in the oral examination. This proposal must be justified.
- (4)** As soon as all reviews have been submitted, the Doctoral Admissions Committee shall inform the persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 that the doctoral thesis and the reviews will be displayed for inspection at the Dean’s Office for a period of 14 days. Until one week upon expiry of this period, persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 may, in written form, object to the doctoral thesis and the grade proposed, with the reasons being indicated.
- (5)** In case all reviewers have recommended acceptance of the doctoral thesis and no objection has been made, the Doctoral Admissions Committee shall declare acceptance of the doctoral thesis and determine the grade as the unrounded arithmetic mean of the grades proposed by the reviewers. In case of an objection, the Doctoral Admissions Committee, after having heard the reviewers, shall decide whether the objection is to be considered in assessing the doctoral thesis. The Doctoral Admissions Committee may decide to request another review before the decision will be made. If the objection is to be considered, the Doctoral Admissions Committee, together with the reviewers, shall decide on the acceptance or rejection of the doctoral thesis. If acceptance of the doctoral thesis is agreed upon, every member of the Doctoral Admissions Committee and every reviewer shall propose a grade according to par. 2. From these proposals, the arithmetic mean shall be determined as the grade of the doctoral thesis.
- (6)** In case the doctoral thesis is recommended to be rejected by one, but not all reviewers, the Chairperson of the Doctoral Admissions Committee shall appoint a person authorized to participate in doctoral procedures according to Art. 3 as another reviewer, who then will also be an additional member of the group of examiners according to Art. 17, par. 3. In this case, the display period according to par. 4 shall begin upon receipt of the additional review only. If no objection is made, the Doctoral Admissions Committee, together with the reviewers, shall decide on the acceptance or rejection of the doctoral thesis. In case of a tie, the vote of the Chairperson shall decide. In case it is agreed on the acceptance of the doctoral thesis, the unrounded arithmetic mean is determined from the grades proposed by all reviewers as the grade of the doctoral thesis. In case of an objection, par. 5, clauses 2 and 4 through 6 shall apply. A reviewer who has rejected the doctoral thesis may demand that he/she is not mentioned as reviewer in the thesis.

- (7) In case all reviewers recommend rejection of the doctoral thesis and no objection is made, the Doctoral Admissions Committee, together with the reviewers, shall decide on acceptance or rejection of the doctoral thesis. Paragraph 5, cl. 3 shall apply. In case the doctoral thesis is accepted, par. 5, clauses 5 and 6 shall apply. In case of an objection, par. 5, clauses 2 and 4 through 6 shall apply.
- (8) In case a reviewer found deficiencies in the doctoral thesis without rejecting it in general, he/she may request in his/her review the elimination of deficiencies as a prerequisite for the publication of the doctoral thesis. In this case, the Doctoral Admissions Committee accepts the thesis subject to compliance with the corresponding requirements. As for the rest, the reviewed version of the doctoral thesis shall be deemed to have been approved for publication.
- (9) In case the doctoral thesis has been rejected, the candidate shall be informed by the Chairperson of the Doctoral Admissions Committee according to Art. 11, par. 4, cl. 2. With this, the doctoral procedure is terminated unsuccessfully. A copy of the doctoral thesis, together with the reviews, shall be kept in the files.

Article 17 Oral Examination

- (1) The oral examination shall prove that the doctoral candidate is able to conduct a scientific conversation and to defend the propositions of his/her doctoral thesis. The doctoral thesis is subject of the oral examination.
- (2) The oral examination takes place in the form of a scientific presentation by the doctoral candidate, followed by a colloquium. The oral examination has a duration of approximately 90 minutes. The presentation shall take about 20 minutes, the colloquium about 70 minutes. The examination shall be chaired by the Chairperson of the Doctoral Admissions Committee or a deputy named by him/her.
- (3) The examiners participating in the oral examination shall be the chairperson of the oral examination, the reviewers, and three other persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3 and appointed by the Doctoral Admissions Committee. If an examiner cannot participate in the oral examination, the Chairperson of the Doctoral Admissions Committee shall appoint as deputy a person authorized to participate in doctoral procedures according to Art. 3.
- (4) The general course of the oral examination is recorded in the minutes.
- (5) The examiners specified in par. 3 shall decide within three weeks upon acceptance of the doctoral thesis on the suitability of the subject proposed by the doctoral candidate for the presentation during the oral examination according to Art. 13, par, 2, No. 7. This subject shall be related to the subject of the doctoral thesis. The subject proposed may be accepted or refused. The doctoral candidate must be informed immediately and in

writing about the decision. If a subject proposed is rejected, the doctoral candidate can make another proposal within three weeks upon notification of the rejection. The examiners shall decide on the other subject proposed within three weeks. Three subjects at the maximum may be proposed successively. If no further subject is proposed within the period specified in cl. 4 or if three subject proposals are rejected, the Doctoral Admissions Committee shall determine the subject.

- (6) Having determined the subject of the presentation for the oral examination, the date of the oral examination shall be notified by the Doctoral Admissions Committee to the doctoral candidate in writing. The time span between the notification and the date of the oral examination must be not less than 14 days. The examination shall take place not later than four months after announcement of the subject. A shorter or longer period may only be fixed in agreement with the doctoral candidate.
- (7) The date and place of the oral examination shall be announced to the members of the KIT Department.
- (8) The persons authorized by the KIT Department to participate in doctoral procedures according to Art. 3, the President, Members of the Executive Board, and the KIT Deans of the other KIT Departments shall be invited to the oral examination.
- (9) Provided that seats are available, the oral examination shall be open to the members of the KIT Department, who have completed their university studies and do not already have the right to participate as a result of par. 8. For an important reason or on justified request of the doctoral candidate, the public may be excluded.

Article 18 Assessment of the Oral Examination

- (1) Directly after the oral examination, the examiners specified in Art. 17, par. 3 shall assess the oral examination of the doctoral candidate. Every examiner shall independently award a grade. This grade may be:
 - 1 = sehr gut (very good),
 - 2 = gut (good),
 - 3 = genügend (sufficient),
 - 4 = nicht genügend (not sufficient).The grades of 1.5 (gut bis sehr gut (good to very good)) and 2.5 (genügend bis gut (sufficient to good)) are permitted.
- (2) The final grade of the oral examination shall be the unrounded arithmetic mean of the individual grades according to par. 1. The oral examination shall be passed, if this grade is 3.0 or better. Otherwise, the candidate is informed that he/she has not passed the oral examination according to Art. 11, par. 4, cl. 2.

- (3) In case the doctoral candidate does not participate in the oral examination on the fixed date without giving an important reason, the oral examination shall be deemed to have been failed.

Article 19 Repetition of the Oral Examination

- (1) If the doctoral candidate fails in the oral examination, he/she may apply once in writing for a repetition of the oral examination not earlier than six months upon the failure in the previous oral examination.
- (2) If the doctoral candidate does not apply for a repetition of the oral examination within a period of one year upon failure or does not pass the repeated examination, the doctoral procedure then shall be terminated unsuccessfully.
- (3) The candidate shall be informed about the unsuccessful termination of the doctoral procedure according to Art. 11, par. 4, cl. 2. If, due to a lacking application for a repetition of the oral examination within the period specified in par. 2, the oral examination is failed, Art. 11, par. 4, cl. 3 shall apply in addition. Together with the documents, the doctoral thesis shall remain in the files.
- (4) Upon written request by the doctoral candidate, the Doctoral Admissions Committee shall decide on justified exceptions.

Article 20 Withdrawal from the Oral Examination

- (1) In case the candidate is unable to take part in the oral examination due to illness or another important reason, the Doctoral Admissions Committee shall approve withdrawal from the oral examination on written request. This request shall be addressed without delay to the Doctoral Admissions Committee, with the reason of the withdrawal being indicated and the corresponding proofs being attached. In case of an illness, a medical certificate containing the medical information necessary to assess the inability to take part in the examination shall be added.
- (2) In case withdrawal from the oral examination is approved, a new date shall be fixed for the examination. Otherwise, the oral examination shall be deemed to have been failed. In this case, Art. 11, par. 4, clauses 2 and 3 shall apply.

Article 21 Overall Grade for the Doctorate

- (1) Following the discussion of the candidate's oral examination, the examiners shall determine the overall grade for a successful doctorate according to Art. 17, par. 3.
- (2) The overall grade is the weighted mean of the grade of the doctoral thesis and the grade of the oral examination according to Art. 18, par. 2, cl. 1, with the doctoral thesis having

weight 2 and the oral examination having weight 1. The overall grade for the doctorate may be for a weighted mean

smaller than 1.5 "sehr gut" (very good, magna cum laude)

of 1.5 to smaller than 2.5 "gut" (good, cum laude),

of 2.5 to 3.0 "bestanden" (passed, rite).

- (3) By way of exception in case of outstanding results, the examiners may unanimously decide to award the overall grade "ausgezeichnet" (with distinction; summa cum laude) according to Art. 17, par. 3, if the results are 1.0 and at least one of the reviewers proposed to do so according to Art. 15, par. 2.
- (4) The overall grade for the doctorate, the grade of the doctoral thesis, and the grade for the oral examination shall be communicated to the doctoral candidate by the KIT Dean in writing.
- (5) On the doctoral candidate's request, the KIT Department shall issue a preliminary certificate of the successful completion of the doctorate with the overall grade being indicated.

Article 22 Publication of the Doctoral Thesis and Submission of the Deposit

Copies

- (1) Within one year after passing the oral examination, the doctoral thesis shall be published.
- (2) For this purpose, the doctoral candidate shall submit to the Chairperson of the Doctoral Admissions Committee the final version of the doctoral thesis envisaged for publication. The Chairperson of the Doctoral Admissions Committee permits publication when the formal requirements and, if applicable, additional requirements made according to Art. 16, par. 8, cl. 2 have been met. If the additional requirements have not been met, the doctoral candidate is granted appropriate time for remedy. In case the doctoral candidate does not fulfill the additional requirements within this time, the doctoral procedure is terminated unsuccessfully. In this case, Art. 11, par. 4, clauses 2 and 3 shall apply.
- (3) Depending on the type of publication, the following copies or files shall be handed over to the KIT Library within the period indicated in par. 1:
 - a) A machine-readable file meeting the requirements specified by the KIT Library in case of publication of an electronic version with unrestricted access by public data networks via the repository of the KIT Library,

- b) twelve printed and archivable copies in case of publication by photoprint. This also applies to doctoral theses published in a scientific series that is not published by a publishing house,
- c) three printed copies in case of publication by a publishing house and availability in bookstores, if a minimum circulation of 150 copies and/or unrestricted access to the doctoral thesis on the Internet in electronic form is ensured, or
- d) three copies in case of publication in a scientific journal.

The KIT Library shall certify in writing the publication and compliance with the delivery obligation.

- (4)** The versions submitted in accordance with par. 3, cl. 1, a or b must have a title page according to Annex 1b of these Regulations or contain bibliographic data on the doctoral thesis. The copies published according to par. 3, cl. 1, c or d must contain the notation that the publication represents a doctoral thesis approved by the KIT Department of Humanities and Social Sciences of Karlsruhe Institute of Technology (KIT) and must indicate the date of the oral examination. In case the reviewers approve a title other than that of the examination copy, this title shall also be indicated in the doctoral thesis.
- (5)** In cases of par. 3, cl. 1, a, the doctoral candidate shall transfer to Karlsruhe Institute of Technology (KIT) the permanent right to make the doctoral thesis available in data networks within the limits of the statutory tasks of the KIT Library. The KIT Library shall check the delivered version of the doctoral thesis for legibility and agreement with the requirements of the KIT Library according to par. 3, cl. 1, a. Delivery of files that do not meet these requirements shall not be deemed a publication and delivery.
- (6)** In cases of par. 3, cl. 1, b, the doctoral candidate shall transfer to Karlsruhe Institute of Technology (KIT) the permanent right to produce and disseminate further copies of the doctoral thesis.
- (7)** In justified individual cases of delivery according to par. 3, cl. 1, a and on written request by the doctoral candidate, the Chairperson of the Doctoral Admissions Committee may deem the obligations outlined in pars. 1 and 3 to be also fulfilled when the doctoral thesis can be made publicly accessible with a certain delay only due to a non-disclosure notice resulting from a patent application or due to a publication in a journal. In this case, the doctoral candidate must have fulfilled all delivery requirements, the time of latest publication must be indicated in the non-disclosure notice, and it must be possible for the publication to be made by the KIT Library without any further interference by the doctoral candidate. Fulfilling of the above requirements will be certified in writing by the Chairperson of the Doctoral Admissions Committee. A non-disclosure notice may be applied for using the form given by the KIT Library for a period of up to two years, which may be extended twice by another year, but for not more than a duration of four years after the signature date. The application for extension of the non-disclosure notice shall

be made two weeks prior to its expiry at the latest. On the certificate according to par. 3, cl. 2, the KIT Library will indicate the existence and duration of the non-disclosure notice.

- (8) The doctoral candidate shall declare in writing to the KIT Library that the version submitted is identical in terms of contents with the version reviewed and approved.
- (9) In case the deadline specified in par. 1 is missed, any and all rights acquired as a result of the doctoral examination shall expire. Upon written request by the doctoral candidate, the KIT Dean may extend the deadline specified in par. 1 up to a total duration of three years in justified cases. Further extension shall be excluded. The KIT Library shall be informed in writing about this decision.

Article 23 Award of the Doctorate and Doctoral Degree Certificate

- (1) The doctoral degree certificate shall be issued with the date of the oral examination, signed by the President and the KIT Dean, and provided with the seal of Karlsruhe Institute of Technology. Its layout corresponds to that in Annex 2.
- (2) In addition to the doctoral degree certificate, a doctoral degree report shall be issued. It contains the title of the doctoral thesis, the overall grade of the doctorate with the Latin translation given in brackets, and the names, academic degrees, titles, and positions of the reviewers. It shall be signed by the KIT Dean and provided with the seal of the KIT Department.
- (3) The doctorate is awarded by the KIT Dean handing over the doctoral degree certificate. The doctoral degree certificate will be handed over only after publication of the doctoral thesis and delivery of the deposit copies according to Art. 22.
- (4) Prior to the award of the doctoral degree certificate, neither the doctoral degree nor the title of doctor with an addition, such as “designatus (des.)” (designated) or “in spe” (to be) shall be used.

Article 24 Invalidity of the Doctorate and Revocation of the Doctoral Degree

- (1) If, prior to the delivery of the doctoral degree certificate, it is established that the doctoral candidate is guilty of deception when proving his/her doctoral achievements or that essential prerequisites for admission to the doctorate have erroneously been taken for granted, the Doctoral Admissions Committee may declare the doctoral procedure to be invalid and completed without success after the corresponding decision by the Doctoral Admissions Committee. The KIT Dean shall inform the President about this decision.
- (2) In case the requirements for admission to the doctoral procedure were not fulfilled without the doctoral candidate wishing to deceive and if this is established after delivery of the doctoral degree certificate only, this deficiency may be deemed remedied.

- (3) The doctoral degree may be revoked by the Doctoral Admissions Committee, if it is found out later that it was achieved by deception. As for the rest, the legal provisions shall apply.
- (4) Prior to the decision of the Doctoral Admissions Committee on the invalidity of the doctorate and on the revocation of the doctoral degree, the candidate shall be given the opportunity to comment on the facts relevant to this decision.
- (5) Incriminating decisions of the Doctoral Admissions Committee according to pars. 1 and 3 shall be notified in writing to the candidate, with the reasons and information on the rights to appeal being indicated.
- (6) Return of the doctoral degree certificate shall be subject to Art. 52 LVwVfG.

Section 3: Honors

Article 25 Honorary Doctorate

- (1) On the request of a member of the KIT Department, the KIT Department may award the academic degree of a “Doktor der Philosophie ehrenhalber“ (Dr. phil. h.c.) or “Doktorin der Philosophie ehrenhalber“ (Dr. phil. h.c.) (Honorary Doctor of Philosophy) to persons who are no members of Karlsruhe Institute of Technology (KIT) or of one of its bodies in recognition of outstanding scientific merits within the KIT Department’s fields of teaching and research.
- (2) The KIT Senate shall decide on the award of the honorary doctorate upon proposal by the Executive Board in agreement with the KIT Department or upon proposal by the KIT Department in agreement with the Executive Board. The KIT Department Council shall deliberate on the proposal in two readings. For preparation, it shall establish an advisory commission of at least three members of the KIT Department. The decision on the proposal to be submitted to the KIT Senate shall require a three-fourths majority of the present members of the KIT Department Council.
- (3) The honorary doctorate shall be awarded by the KIT Dean handing over in an adequate setting the certificate of honor which points out the merits of the honored person. The certificate shall be signed by the President and the KIT Dean and shall be provided with the seal of Karlsruhe Institute of Technology (KIT).

Article 26 Doctoral Jubilee

In case of special merits for science or the exceptionally close relationship of the person to be honored with Karlsruhe Institute of Technology (KIT), the KIT Department may renew a doctoral certificate awarded by it. Such a renewal can be made for the first time on the occasion of the 25th anniversary of the day the doctoral degree was awarded. The respective decision shall be made by the KIT Department Council.

Section 4: Concluding Provisions

Article 27 Entry into Force, Transition Regulation

- (1)** The present Regulations for the Award of the Doctoral Degree shall enter into force on the day after publication in the official announcements of Karlsruhe Institute of Technology (KIT).
- (2)** At the same time, the Regulations for the Award of the Doctoral Degree of Universität Karlsruhe (TH) for the Department of Humanities and Social Sciences of July 16, 2007 (Official Announcement No. 54 of August 15, 2007) shall cease to be in force.
- (3)** In case a doctoral agreement was concluded according to Art. 10 or acceptance of the doctoral candidate was expressed according to Art. 11, par. 3 prior to the entry into force of the present Regulations for the Award of the Doctoral Degree, these doctoral procedures shall continue to be subject to the Regulations for the Award of the Doctoral Degree of Universität Karlsruhe (TH) for the Department of Humanities and Social Sciences of July 16, 2007 (Official Announcement No. 54 of August 15, 2007). Upon written request by the doctoral candidate, the provisions of the present Regulations for the Award of the Doctoral Degree may apply.

Karlsruhe, October 4, 2016

Professor Dr.-Ing. Holger Hanselka
(President)

Annex 1a (German)

(Titel der Arbeit)

Zur Erlangung des akademischen Grades eines/einer
DOKTORS / DOKTORIN DER PHILOSOPHIE (Dr. phil.)

bei der KIT-Fakultät für Geistes- und Sozialwissenschaften des
Karlsruher Instituts für Technologie (KIT)
eingereichte

DISSERTATION

von

Please note that the preceding German text must be used exclusively. This English translation is a service provided for your information only.

Annex 1a (English)

(Title of the Doctoral Thesis)

DOCTORAL THESIS
submitted by ...

for conferral of the academic degree of a
Doctor of Philosophy (Dr. phil.)

at the KIT Department of Humanities and Social Sciences
of Karlsruhe Institute of Technology (KIT).

Annex 1b (German)

(Titel der Arbeit)

Zur Erlangung des akademischen Grades eines/einer
DOKTORS/DOKTORIN DER PHILOSOPHIE (Dr. phil.)

von der KIT-Fakultät für Geistes- und Sozialwissenschaften des
Karlsruher Instituts für Technologie (KIT)

angenommene
DISSERTATION

von

KIT-Dekan / KIT-Dekanin: Prof. Dr.

1. Gutachter / Gutachterin:

2. Gutachter / Gutachterin:

(gegebenenfalls weitere Gutachter / Gutachterinnen)

Tag der mündlichen Prüfung:

Please note that the preceding German text must be used exclusively. This English translation is a service provided for your information only.

Annex 1b (English)

(Title of doctoral thesis)

DOCTORAL THESIS
submitted by

for conferral of the academic degree of a
Doctor of Philosophy (Dr. phil.) and
accepted by the KIT Department of Humanities and Social Sciences
of Karlsruhe Institute of Technology (KIT).

KIT Dean: Prof. Dr.

1st reviewer:

2nd reviewer:

(if applicable, further reviewers)

Date of oral examination:

Annex 2

Das Karlsruher Institut für Technologie (KIT)

verleiht
awards,

durch die KIT-Fakultät für Geistes- und Sozialwissenschaften
in the KIT Department of Humanities and Social Sciences

(Name)

geboren am XX. Monat XXXX in Geburtsort
born on Month XX, XXXX in place of birth

Titel und Würde eines/einer
the degree and honors of

Doktors/Doktorin der Philosophie
(Dr. phil.)

nachdem er/sie in ordnungsgemäßem Promotionsverfahren durch seine/ihre Dissertation
after having proved his/her scientific competence and abilities by successful completion of the regular doctoral procedure and by his/her thesis

(Titel der Dissertation)

sowie durch die mündliche Prüfung seine/ihre wissenschaftliche Befähigung erwiesen hat.
followed by a successful oral examination and defense.

Karlsruhe, XX. Monat XXXX
Karlsruhe, Month XX, XXXX

Präsident/-in des
Karlsruher Instituts für Technologie (KIT)

Dekan/-in der KIT-Fakultät für
Geistes- und Sozialwissenschaften

Annex 3 (German)

Die eidesstattliche Versicherung ist schriftlich abzugeben. Die Möglichkeit einer Aufnahme der eidesstattlichen Versicherung zur Niederschrift bleibt unberührt. Die schriftliche Erklärung hat folgenden Wortlaut:

Eidesstattliche Versicherung gemäß § 13 Absatz 2 Satz 2 Ziffer 3 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Geistes- und Sozialwissenschaften:

1. Bei der eingereichten Dissertation zu dem Thema

.....

handelt es sich um meine eigenständig erbrachte Leistung.

2. Ich habe nur die angegebenen Quellen und Hilfsmittel benutzt und mich keiner unzulässigen Hilfe Dritter bedient. Insbesondere habe ich wörtlich oder sinngemäß aus anderen Werken übernommene Inhalte als solche kenntlich gemacht.

3. Die Arbeit oder Teile davon habe ich wie folgt/bislang nicht* an einer Hochschule des In- oder Auslands als Bestandteil einer Prüfungs- oder Qualifikationsleistung vorgelegt.

Titel der Arbeit:

Hochschule und Jahr:

Art der Prüfungs- oder Qualifikationsleistung:

4. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

5. Die Bedeutung der eidesstattlichen Versicherung und die strafrechtlichen Folgen einer unrichtigen oder unvollständigen eidesstattlichen Versicherung sind mir bekannt.

Ich versichere an Eides statt, dass ich nach bestem Wissen die reine Wahrheit erklärt und nichts verschwiegen habe.

Ort und Datum

Unterschrift

*Nicht Zutreffendes streichen. Bei Bejahung sind anzugeben: der Titel der andernorts vorgelegten Arbeit, die Hochschule, das Jahr der Vorlage und die Art der Prüfungs- oder Qualifikationsleistung.

Please note that the preceding German text must be used exclusively. This English translation is a service provided for your information only.

Annex 3 (English)

The present affirmation in lieu of an oath shall be given in writing. The possibility of an oral affirmation in lieu of an oath for recording shall remain unaffected. The declaration in writing shall have the following wording:

Affirmation in lieu of oath according to Art. 13, par. 2, cl. 2, No. 3 of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Department of Humanities and Social Sciences:

1. The doctoral thesis covering the subject _____ represents my own independent work.

2. I only used the sources and aids indicated without any impermissible assistance by third persons. In particular, I have indicated any and all contents taken over from other works either literally or in substance.

3. The doctoral thesis or parts thereof have been submitted to a university in Germany or abroad as part of the examination or qualification work as follows/have not yet been submitted to a university in Germany or abroad as part of the examination or qualification work.*

Title of the work:

University and year:

Type of examination or qualification work:

4. I herewith confirm correctness of the above declarations.

5. I am aware of the significance of the affirmation in lieu of oath and the penal consequences of an incorrect or incomplete affirmation in lieu of oath.

I affirm in lieu of oath that, to the best of my knowledge, these statements are true and I have not concealed anything.

Place and date

Signature

*Delete as appropriate. In the former case, please indicate the title of the thesis submitted elsewhere, the university, the year of submission, and the type of examination or qualification work.

Annex 4 (German)

Eidesstattliche Versicherung Belehrung

Die Universitäten in Baden-Württemberg verlangen eine Eidesstattliche Versicherung über die Eigenständigkeit der erbrachten wissenschaftlichen Leistungen, um sich glaubhaft zu versichern, dass der/die Promovend/-in die wissenschaftlichen Leistungen eigenständig erbracht hat.

Weil der Gesetzgeber der Eidesstattlichen Versicherung eine besondere Bedeutung beimisst und sie erhebliche Folgen haben kann, hat der Gesetzgeber die Abgabe einer falschen eidesstattlichen Versicherung unter Strafe gestellt. Bei vorsätzlicher Abgabe einer falschen Erklärung droht eine Freiheitsstrafe bis zu drei Jahren oder eine Geldstrafe.

Eine fahrlässige Abgabe (also Abgabe, obwohl Sie hätten erkennen müssen, dass die Erklärung nicht den Tatsachen entspricht) kann eine Freiheitsstrafe bis zu einem Jahr oder eine Geldstrafe nach sich ziehen.

Die entsprechenden Strafvorschriften sind § 156 StGB (falsche Versicherung an Eides Statt) und § 161 StGB (fahrlässiger Falscheid, fahrlässige falsche Versicherung an Eides Statt).

§ 156 StGB: Falsche Versicherung an Eides Statt

Wer vor einer zur Abnahme einer Versicherung an Eides Statt zuständigen Behörde eine solche Versicherung falsch abgibt oder unter Berufung auf eine solche Versicherung falsch aussagt, wird mit Freiheitsstrafe bis zu drei Jahren oder mit Geldstrafe bestraft.

§ 161 StGB: Fahrlässiger Falscheid, fahrlässige falsche Versicherung an Eides Statt

Absatz 1: Wenn eine der in den § 154 bis 156 bezeichneten Handlungen aus Fahrlässigkeit begangen worden ist, so tritt Freiheitsstrafe bis zu einem Jahr oder Geldstrafe ein.

Absatz 2: Strafflosigkeit tritt ein, wenn der Täter die falsche Angabe rechtzeitig berichtigt. Die Vorschriften des § 158 Abs. 2 und 3 gelten entsprechend.

Ort und Datum

Unterschrift

Please note that the preceding German text must be used exclusively. This English translation is a service provided for your information only.

Annex 4 (English)

Affirmation in Lieu of Oath Instructions

The universities in Baden-Württemberg demand an affirmation in lieu of oath stating that the scientific achievements made represent own work in order to be sure that the doctoral candidate has performed the scientific work on his/her own.

As the legislator attaches particular significance to the affirmation in lieu of oath and the latter may have major consequences, the legislator has made an incorrect affirmation in lieu of oath punishable. An intentional wrong affirmation may be punished by imprisonment of up to three years or a fine.

A negligent affirmation (i.e. an affirmation made although you should have recognized that the declaration is not true) may be punished by imprisonment of up to one year or a fine.

The corresponding penal provisions are Art. 156 StGB (Penal Code) (wrong affirmation in lieu of oath) and Art. 161 StGB (Penal Code) (perjury, negligently wrong affirmation in lieu of oath).

Article 156 StGB: Wrong affirmation in lieu of oath

Persons making a wrong affirmation in lieu of oath to a competent authority or making incorrect statements in reliance on such an affirmation shall be punished with imprisonment for up to three years or with a fine.

Article 161 StGB: Perjury, negligently wrong affirmation in lieu of oath

Paragraph 1: If one of the actions specified in Arts. 154 to 156 was made negligently, this may be punished by imprisonment of up to one year or a fine.

Paragraph 2: Impunity shall apply, if the offender corrects the wrong statement in due time. The provisions of Art. 158, paragraphs 2 and 3 shall apply accordingly.

Place and date

Signature

Annex 5a (German)

Versicherung gemäß § 11 Absatz 2 Ziffer 4 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Geistes- und Sozialwissenschaften

1. Einen erheblichen Verstoß gegen die Grundsätze guter wissenschaftlicher Praxis habe ich bislang nicht begangen.

2. Es gab bisher keine Promotionseignungsprüfung oder gleichwertige Prüfung an einer Universität oder dieser gleichgestellten Hochschule, an der ich erfolglos teilgenommen habe.¹

3. Diesem Promotionsverfahren gingen keine anderen Promotionsverfahren voran und ich bin in keinen weiteren Promotionsverfahren Kandidat/-in
oder

Diesem Promotionsverfahren gingen die folgenden Promotionsverfahren voran bzw. in den folgenden Promotionsverfahren bin ich Kandidat/-in:

Universität:

Fakultät:

Titel der Dissertation:

Stand des Promotionsverfahrens:

4. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.²

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

b) Es liegen keine Gründe vor, die nach den gesetzlichen Bestimmungen die Entziehung des Doktorgrades rechtfertigen.

5. Ein Vertragsverhältnis zu einem/einer gewerblichen Promotionsberater/-in besteht bzw. bestand nicht.

6. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

¹ Gilt nur für Hochschulabsolventen/-innen gemäß § 4 Absatz 5 Promotionsordnung / Zu streichen, sofern nicht zutreffend.

² Zu streichen, sofern nicht zutreffend.

Please note that the preceding German text must be used exclusively. This English translation is a service provided for your information only.

Annex 5a (English)

**Affirmation According to Art. 11, par. 2, No. 4 of the Regulations of
Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the
KIT Department of Humanities and Social Sciences**

1. I have not yet seriously violated the principles of good research practice.
2. I have not yet participated without success in any doctoral aptitude test procedure or equivalent test at a university or equivalent college.¹
3. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.

or

This doctoral procedure was preceded by the following doctoral procedures/I am candidate in the following doctoral procedures:

University:

Department:

Title of Doctoral Thesis:

Status of Doctoral Procedure:

4. I was awarded the degree of Doctor of _____ by _____.²
 - a) This doctoral degree was not revoked for legal reasons.
 - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
5. A contractual relationship with a commercial advisor relating to the doctorate does not exist or did not exist.
6. I herewith confirm the correctness of the above statements.

Place and date

Signature

¹ Only applies to university graduates according to Art. 4, par. 5 of these Regulations / Delete as appropriate.

² Delete as appropriate.

Annex 5b (German)

Versicherung gemäß § 13 Absatz 2 Satz 2 Ziffer 5 der Promotionsordnung des Karlsruher Instituts für Technologie (KIT) für die KIT-Fakultät für Geistes- und Sozialwissenschaften

1. Einen erheblichen Verstoß gegen die Grundsätze guter wissenschaftlicher Praxis habe ich bislang nicht begangen.

2. Es gab bisher keine Promotionseignungsprüfung oder gleichwertige Prüfung an einer Universität oder dieser gleichgestellten Hochschule, an der ich erfolglos teilgenommen habe.¹

3. Diesem Promotionsverfahren gingen keine anderen Promotionsverfahren voran und ich bin in keinen weiteren Promotionsverfahren Kandidat/-in.

oder

Diesem Promotionsverfahren gingen die folgenden Promotionsverfahren voran bzw. in den folgenden Promotionsverfahren bin ich Kandidat/-in:

Universität:

Fakultät:

Titel der Dissertation:

Stand des Promotionsverfahrens:

4. Durch

.....

wurde mir bereits der Grad des Doktors/der Doktorin der

.....

verliehen.²

a) Dieser Doktorgrad wurde nicht aus gesetzlichen Gründen entzogen.

b) Es liegen keine Gründe vor, die nach den gesetzlichen Bestimmungen die Entziehung des Doktorgrades rechtfertigen.

5. Ein Vertragsverhältnis zu einem/einer gewerblichen Promotionsberater/-in besteht bzw. bestand nicht.

6. Die „Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)“ habe ich beachtet.

¹Gilt nur für Hochschulabsolventen/-innen gemäß § 4 Absatz 5 Promotionsordnung/Zu streichen, sofern nicht zutreffend.

²Zu streichen, sofern nicht zutreffend.

7. In die Dissertation wurden Vorveröffentlichungen einbezogen, bei denen ich im Rahmen einer Mitautorenschaft jeweils einen signifikanten Teil selbstständig erbracht habe. Eine Aufstellung mit den Angaben:¹

Autoren/Autorinnen:

Titel der Vorveröffentlichung:

Veröffentlicht in:

ist dieser Erklärung beigefügt. Die Aufstellung ist Bestandteil dieser Erklärung.

8. Die Dissertation oder Teile davon wurden nicht bei einer anderen Fakultät als Dissertation eingereicht.

oder

Die Dissertation oder die nachfolgenden angegebenen Teile davon wurden

..... (Teile der Dissertation)

an der

Universität:

Fakultät:

als

eingereicht.²

9. Die Richtigkeit der vorstehenden Erklärungen bestätige ich.

Ort und Datum

Unterschrift

¹ Gilt nur für Hochschulabsolventen/-innen gemäß § 4 Absatz 5 Promotionsordnung/Zu streichen, sofern nicht zutreffend.

² Zu streichen, sofern nicht zutreffend.

Please note that the preceding German text must be used exclusively. This English translation is a service provided for your information only.

Annex 5b (English)

Affirmation According to Art. 13, par. 2, cl. 2, No. 5 of the Regulations of Karlsruhe Institute of Technology (KIT) for the Award of the Doctoral Degree at the KIT Department of Humanities and Social Sciences

1. I have not yet seriously violated the principles of good research practice.
2. There has not yet been any doctoral aptitude test procedure or equivalent test at a university or an equivalent college, in which I participated without success.^{1*}
3. This doctoral procedure was not preceded by any other doctoral procedures and I am no candidate in any other doctoral procedure.
Or
This doctoral procedure was preceded by the following doctoral procedures/I am candidate in the following doctoral procedures:
University:
Department:
Title of Doctoral Thesis:
Status of Doctoral Procedure:
4. I was awarded the degree of Doctor of by ...^{2*}
 - a) This doctoral degree was not revoked for legal reasons.
 - b) There are no reasons justifying revocation of the doctoral degree according to the legal provisions.
5. A contractual relationship with a commercial advisor relating to the doctorate does not exist or did not exist.
6. I have observed the “Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie” (Rules for Safeguarding Good Research Practice at Karlsruhe Institute of Technology (KIT)).

^{1*}Applies to university graduates according to Art. 4, par. 5 of the Regulations for the Award of the Doctoral Degree only/delete as appropriate.

^{2*}Delete as appropriate.

7. The doctoral thesis incorporates previous publications, of which I independently developed major parts as a co-author. A list with the following information is attached to this declaration^{1*}:

Authors:

Title of Previous Publication:

Published in:

The list is an integral constituent of this declaration.

8. The doctoral thesis or parts thereof were not submitted as a doctoral thesis to any other Department.

Or

The doctoral thesis or the following parts thereof (parts of the doctoral thesis) were submitted to

university:

department:

as ...^{2*}

9. I herewith confirm the correctness of the above statements.

Place and date

Signature

^{1*} Applies to university graduates according to Art. 4, par. 5 of the Regulations for the Award of the Doctoral Degree only/delete as appropriate.

^{2*} Delete as appropriate.