Regulations for the PhD-Degree Program Experimental Medicine of the Faculty of Medicine of the Eberhard Karls Universität Tübingen

Please note: This translation is provided as a courtesy only and does not replace the original German, which remains the sole binding version.

As per Section 38 paragraph 2 sentences 4 and 5 in combination with Section 38 paragraph 4 of the Landeshochschulgesetz (State Higher Education Act) of the State of Baden-Württemberg of January 1, 2005, last changed by the Universitätsmedizingesetz (University Medicine Act) of February 7, 2011, the Senate of the University of Tübingen approved the following regulations for the PhD degree program in Experimental Medicine of the Faculty of Medicine of the Eberhard Karls Universität Tübingen on August 23, 2011. The President of the University gave his assent on July 21, 2011.

Preliminary remark:

According to Article 3, paragraph 2 of the German Constitution, men and women are equal before the law; all masculine titles and descriptions of functions named in these Regulations apply equally to men and women.

Section 1 Objectives

(1) The PhD program Experimental Medicine at the Faculty of Medicine Tübingen provides project-oriented postgraduate training in basic and applied medical research. It is designed to promote highly talented young scientists. The goal of the program is to enable students to carry out independent scientific work and to provide them with advanced professional qualifications for jobs in research or related areas.

(2) The PhD program generally lasts three years. After successfully completing the course of study and passing the PhD examination, the student is awarded the academic title of “Doctor of Philosophy” (PhD) by the Faculty of Medicine of the University of Tübingen.

(3) One goal of the PhD program is to improve the scientific training of especially motivated students of medicine and dentistry of the University of Tübingen. Within the framework of a double degree combining the German Staatsexamen (state examination) in medicine/dentistry and a PhD in Experimental Medicine these students are both trained as medical and dental clinicians and awarded the academic title PhD.

Section 2 Admission Requirements

(1) The PhD program is aimed particularly at students and graduates of medicine and dentistry, graduates of the medicine-related degree programs Molecular Medicine and Medical Technologies as well as graduates of degree programs with comparable curricula such as veterinary medicine, the natural sciences, master’s degree programs in Neural and Behavioral Sciences and in Cellular and Molecular Neurosciences. Decisions on the comparability of curricula and degrees are made by the PhD Board.

A prerequisite for admission to the PhD program is graduation with above-average grades in one of the following degree programs in Germany:

a. Staatsexamen in medicine or dentistry
or
b. a suitable master’s degree
or
c. a suitable four-year degree from a university.
(2) Notwithstanding paragraph (1) a., students enrolled in the degree programs medicine (Staatsexamen) or dentistry (Staatsexamen) at the University of Tübingen and who have successfully passed the first section (M1) of the ärztliche Prüfung (state examination in medicine) or zahnärztliche Vorprüfung (intermediate state examination in dentistry) may already be admitted to the PhD program while still completing the above-mentioned first Staatsexamen degree. The prerequisite as stipulated by Section 60 paragraph 2 number 4 of the Landeshochschulgesetz is that the student must prove on the basis of his previous academic performance at the university that the parallel courses of study can be successfully completed during the prescribed period of study. Proof of the successful passing of the second part of the ärztliche Prüfung or of the zahnärztliche Prüfung (state examination in dentistry) is a prerequisite for admission to the PhD examination.

Students enrolled on the basis of Section 2 paragraph 2 are first admitted into a qualification phase. Final admission to the PhD program is granted after submission of proof of the completion of at least 18 ECTS out of the total credit points required by the PhD program and submission of a proposal for the planned research work according to Section 6 (3). As a rule, the requirements of the qualification phase should be completed within 3 years; an extension may be granted upon application. If the student elects not to continue PhD studies after successfully completing the qualification phase, the credits completed until that point shall be confirmed in a certificate.

(3) 1) Degrees awarded in other degree programs and by foreign universities may be recognized if they are equivalent. 2) Equivalency agreements approved by the Kultusministerkonferenz (Standing Conference of the German Ministers of Education and Cultural Affairs) and the Hochschulrektorenkonferenz (German Conference of University Presidents) may be consulted for assistance in making decisions on the equivalency of foreign academic degrees. 3) If there are doubts about equivalency, the Zentralstelle für ausländisches Bildungswesen (German Central Office for Foreign Education) may be heard. 4) If equivalency is uncertain, an oral examination can be carried out to determine whether the applicant is qualified to carry out the scientific work in the intended field of the doctoral degree. 5) In this examination the candidate must prove that he possesses knowledge meeting the standards of German final examinations for the above-named degree programs. 6) The examination is administered by two persons with the rank of Professor, Hochschuldozent or Privatdozent who have been appointed by the Chairman of the PhD Board. 7) The examination shall last approx. 45 minutes; at the request of the candidate it may be conducted in English. 8) The examination is passed if both examiners grade the examination with “passed.” 9) If the examination is graded “failed” by at least one of the examiners, the examination may be repeated once.

(4) 1) Partly qualified graduates of a Diplom degree program at a Fachhochschule (German University of Applied Science) or Berufsakademie (German University of Cooperative Education) may be admitted to the PhD program if they demonstrate in a probation period that they possess the same qualifications to carry out scientific work in the field of the doctoral degree as a university graduate. 2) The same applies to particularly qualified graduates of a bachelor’s degree program who do not fall under Section 2 paragraph 1 c. 3) As a rule, a prerequisite for admission to a probation period is that the candidates belong to the top 10 percent of their graduating class at the Hochschule or Berufsakademie at which they were enrolled at the time of their graduation examination; fulfillment of this prerequisite is to be demonstrated by the candidate by submitting a certificate from the respective institution. 4) The probation period generally lasts two to a maximum of three semesters. 5) The PhD Board, where appropriate following the recommendation of the supervisor, decides which modules are to be completed in this period (as a rule up to 30 ECTS) or, in the case of particularly qualified graduates of a bachelor’s degree program who do not fall under Section 2 paragraph 1 c, up to 60 ECTS.
Section 3 The PhD Board

(1) The PhD Board is responsible for the planning and implementation of the PhD degree program pursuant to these PhD Regulations.

(2) The PhD Board consists of a chairperson and 5 additional members. The chairperson and the members of the board are elected by the Fakultätsrat (Faculty Council) for a period of 4 years and are confirmed in their office by the Dean. Full-time members of the Faculty of Medicine with the rank of Professor or Privatdozent are eligible for election. At least one of the professors should be a member of the Faculty of Science. Re-election is possible. The doctoral supervisor may be heard when there are questions pertaining to his advisee’s case. Additional experts may be consulted if special questions arise.

(3) The scientific and clinical focus areas of the faculty should be represented as comprehensively as possible in the PhD Board.

(4) A quorum is reached when more than half of the members of the PhD Board are present.

(5) Meetings of the PhD Board are closed to the public.

(6) If no other provisions are made, decisions are made on a majority basis. In the case of a tie, the vote of the board chairperson decides. As a rule, voting is carried out by open ballot. If a vote is taken on the grading of a dissertation, the protocol shall record the results of the election and, where applicable, the decision-finding and voting process, as well as the number of members concurring with each of the reviews, objections or parts thereof.

(7) The members of the PhD Board are sworn to secrecy. This pledge also includes the non-disclosure of any documents used in the deliberation process.

(8) Decisions of the PhD Board are to be communicated with the candidates in writing. In the case of a rejection the decision must always be sent together with information on the available legal remedies.

(9) The members of the PhD Board have the right to take part in the dissertation defense.

Section 4 Admission to the PhD program

The selection of participants in the PhD program is made on the basis of the qualifications and motivation of the candidates for the selected course of study and later profession. The selection of the best-suited participants is made by the PhD Board on the basis of the submitted application papers and the results of a selection interview as described in Section 4 (3).

(1) As a rule, the course of study begins twice a year. Application deadlines are set by the Dean of the Faculty of Medicine.

(2) Application papers are to be submitted to the Dean’s Office and addressed to the Chairman of the PhD Board. They include:

   a. an application for the PhD program to be submitted using the form provided by the University of Tübingen
   b. a motivational letter describing the applicant’s reasons for choosing to apply for the PhD program
   c. working title and a short description of the planned dissertation project and details of the financing and scientific supervision of the project
   d. a university diploma showing the final grade. In cases listed in Section 2 paragraph 2, a Zwischenzeugnis (interim transcript) showing the grade must be submitted. However, the university diploma must be handed in before the candidate can be admitted to the PhD examination.
e. a Zeugnis der allgemeinen Hochschulzugangsberechtigung (German secondary school diploma qualifying the student for admission to university)

f. a curriculum vitae in table form

g. a statement from the doctoral advisor stating that he agrees to supervise the doctoral work as specified in Section 5

h. where applicable, documentation of professional education or training, practical and scientific employment pertinent to the applicant’s qualifications for PhD studies

i. where applicable, proof of pertinent subject-specific publications

j. evidence of adequate English-language skills; applicants whose mother language or school language is not English should provide a certificate from one of the following language tests:

i. Test of English as a foreign language (TOEFL)

ii. International English Language Testing System (IELTS)

iii. Cambridge Main Suite of English examinations

iv. alternatively, a good grade in English (10-15 points) on a German Hochschulzugangsberechtigung.

(3) On the basis of the written applications, selected candidates are chosen for interviews. Selection criteria include previous study grades and diplomas as well as the additional documented qualifications listed in (2). The selection interviews are conducted by a member of the PhD Board acting as chairperson of the selection board and at least two additional full-time professors or Privatdozenten appointed by the PhD Board. The purpose of the interview is to determine the motivation, the special scientific qualifications and the suitability of the candidate for the planned research project, the candidate’s academic career up to that point as well as the quality and feasibility of the planned research project.

(4) After the selection interview the suitability of the candidate is evaluated. If the selection board does not reach an agreement, the various votes are recorded in writing. The selection interview as well as the evaluations of the candidate’s suitability are summarized in writing and submitted to the PhD Board. This PhD Board makes the final decision on the admission; if necessary for the decision-making process, it may schedule an additional selection interview in front of the entire PhD Board.

(5) Candidates are informed of the results of the selection proceedings by the Dean. Notifications of admission are sent by the Amt für Studienangelegenheiten (Office of Student Affairs). Rejection letters must always be sent together with information on the available legal remedies. If an application is rejected, the candidate may re-apply once.

Section 5 Supervision

(1) The primary supervisor must be a member of the faculty with the rank of Juniorprofessor, Professor, Hochschuldozent or Privatdozent. As a rule, he is the leader of the work group in which the student’s research project will be carried out. The PhD student and the primary supervisor conclude a Betreuungsvereinbarung (supervision agreement) following the template provided by the Faculty of Medicine.

(2) The PhD Board appoints a doctoral committee for each PhD student consisting of the primary supervisor and two additional members with expertise in the area of the dissertation. At least one member of the doctoral committee must have the rank of full-time professor at the Faculty of Medicine. Professors, including those from Fachhochschulen, junior professors, retired and emeritus professors, Privatdozenten, honorary professors and guest professors, qualified members of non-university research institutes and foreign universities and, after decision on an individual basis, experienced scientific staff with doctoral degrees are eligible for appointment as members of the doctoral committee.
(3) If the candidate received his degree in a subject that is part of another faculty at the University of Tübingen, one of the three members of the doctoral committee must be appointed from that faculty or department. That member shall be recommended by the dean of the respective faculty.

(4) The PhD Board may delegate the task of appointing the doctoral committee to the Chairperson of the PhD Board.

(5) The doctoral candidate shall make regular reports (at least once a year) on the progress of his doctoral project to the doctoral committee in a joint meeting. The doctoral committee advises the PhD student with regard to the volume and content of the doctoral studies and, where appropriate, additional requirements, discusses the PhD student’s research proposal with him, submits written comments on the PhD student’s preliminary reports (Section 6 paragraph 3) and, together with additional examiners, forms the examination board for the oral examination (Section 10 paragraph 2).

Section 6 The PhD degree program

(1) As a rule, the PhD degree is completed in 3 academic years.

(2) The course of study includes an experimental or equivalent theoretical research dissertation as well as project-related and interdisciplinary coursework (lectures, practicals and seminars) from a catalog of compulsory and elective courses. The PhD Board shall develop a curriculum with mandatory and recommended courses. Courses offered by the Graduate Academy, a graduate school or research training group may also be incorporated in the curriculum.

(3) At the latest 12 months after admission to the PhD program, the PhD student shall submit to his doctoral committee an extensive proposal for his planned research project and an updated timeline for the dissertation on the basis of preliminary work and first results. This deadline may be extended if additional requirements must be fulfilled according to Section 2 paragraph 4 or, if a double degree is being pursued, as per Section 2 paragraph 2. The doctoral committee shall discuss the further procedure with the PhD student and if necessary recommend changes. After this step the PhD student shall submit a progress report once a year to the doctoral committee.

(4) In consultation with their doctoral committees, PhD students shall develop an individual study program in the framework of the above-mentioned curriculum. This individual program shall be submitted to the PhD Board for approval. The minimum number of ECTS points for all coursework (lectures, seminars and laboratory courses or practicals) during the PhD program is 30, six of which should be completed in the form of laboratory courses or practicals. For PhD students in the qualification phase described in Section 2 (2), the rules given in the curriculum for this group apply.

(5) Academic success in the courses of the PhD program is monitored in regular examinations which are part of the degree program and is confirmed in grades issued by the instructors responsible for the individual courses. For each successfully absolved course, credits are awarded according to the European Credit Transfer System (ECTS). In the case of courses not certified with ECTS points, the PhD Board shall decide on the number of credit points to be awarded corresponding to the amount of work involved in the course. Successful participation in courses is documented with a certificate of attendance.

(6) Students are encouraged to acquire additional interdisciplinary and professional qualifications during their PhD studies, for example by taking advantage of the activities offered by the Graduate Academy. Such activities can be recognized as courses as defined in paragraph 4 and can count up to 4 ECTS credit points.
Section 7 Dissertation

(1) The PhD dissertation is a requirement for the degree. In the dissertation, PhD students show that they are able to independently work on and solve a defined scientific problem within a set period of time using suitable methods.

(2) As a rule, the dissertation must be started at the time of admission to the PhD program. Exceptions are possible when a double degree as defined in Section 2 (2) is being pursued and the delayed commencement of the research work has been applied for by the PhD student and his supervisor and approved by the PhD Board. The time at which the dissertation is actually begun shall be officially recorded.

(3) As a rule, the time between the issuing of the dissertation topic and the submission of the dissertation is three years. An extension of one year may be granted upon request if sufficient grounds are given. The corresponding supporting documents are to be submitted with the request. Decisions on the granting of exceptions are made by the PhD Board. Maternity leave as defined in the German Mutterschutzgesetz (Maternity Protection Law) and childcare leave are to be made possible.

(4) Topic, definition of the problem and scope of the dissertation are to be chosen so that the deadline for completion given in paragraph 3 can be met.

(5) With the scientific work submitted in manuscript form (dissertation) the candidate must demonstrate his ability to perform scientific work independently. The candidate must present his own research results in the appropriate form and breadth. The dissertation must be written in English. Scientific progress must be recognizable, and the most important results of the work should be published or accepted for publication in the form of one or more original articles in high-ranking, English-language scientific journals. The PhD Board may set up additional criteria for the form and scope of a dissertation.

(6) Publications and manuscripts accepted for publication may be included in a dissertation in monograph form if they were written independently and under the sole responsibility of the candidate. In each case a coherent overall concept for the approach to the topic must be presented. This overall concept must be clearly visible in the introductory section, the formulation of the scientific question and the conclusion. If passages of the dissertation are part of one or more joint publications, the candidate must have written his contribution independently and under his sole responsibility. His individual contribution must be clearly recognizable, and the content and extent of that contribution must correspond to the requirements laid out in paragraph 1. The candidate must outline the scope of the joint project, state the names of the co-contributors and their contributions to the total project, explain the significance of his own contributions to the joint work and provide a statement of the co-contributors to that effect.

(7) The dissertation represents independent work and as such is to be done by the PhD student alone. However, the same object of scientific study may be examined by more than one student if each student explores a different topic.

(8) The dissertation is given the grade “fail” and the candidate loses the right to take the PhD examination if the dissertation is not submitted within one year after the deadline for the submission of the dissertation as laid out in paragraphs 2 and 3, unless the PhD student is not at fault for missing the deadline. The PhD Board may allow a second extension of the submission deadline if a well-justified application for extension is made. If no extension of the deadline is requested, the right to take the PhD examination is lost. The PhD Board shall issue a written declaration to that effect, along with an explanatory statement and information on the available legal remedies. It shall inform the Student Office of the final loss of the right to take the examination. The legal consequences result from Section 9 paragraph 9.
Section 8 Admission to and registration for the PhD examination

The application for admission to and registration for the PhD examination may be submitted to the PhD Board within the deadline set in Section 7 (3) and Section 7 (8), as soon as the doctoral committee establishes that the practical scientific work has been completed. The papers listed below are to be handed in to the Dean’s Office along with the application for admission to the PhD examination. The time at which the application is submitted shall be recorded.

(1) Evidence of the regular and successful participation in the agreed-upon compulsory and elective courses (at least 30 credit points).

(2) For students of medicine [or dentistry] pursuing a double degree according to Section 2 paragraph 2, proof of passing the ärztliche Prüfung or the zahnärztliche Prüfung

(3) Three printed copies of the dissertation

(4) A curriculum vitae showing the professional and scientific career of the applicant

(5) A declaration of any previous enrollment in a doctoral program, whether completed or not, or any corresponding examinations that the candidate has taken

(6) A declaration stating whether the submitted dissertation has already been published in part or in whole and whether it has been previously submitted in part or in whole in the form of a dissertation or other thesis required for a degree, where applicable stating when and where, in which subject, and with which grade

(7) A declaration that the principles and recommendations of the university for the safeguarding of good scientific practice have been observed; where applicable, the corresponding opinion of the ethics commission and a declaration that the work conformed to regulations on genetic engineering and animal experimentation

(8) A declaration with the following wording:
  “I hereby declare that the doctoral dissertation submitted with the title: .... was written independently using only the stated sources and aids and that quotes and excerpts, literal or otherwise, are marked correspondingly. I declare on oath that these statements are true and that I have concealed nothing. I am aware that false declarations or affirmations in lieu of an oath can be punished with a jail sentence of up to three years or with a fine.”

(9) A declaration of the candidate that the opportunity to participate in the PhD program was not acquired on a commercial basis. In particular the candidate shall declare that he did not involve any organization that seeks supervisors for the writing of dissertations against payment or that fulfills part or all of the candidate’s requirements with respect to examinations. Furthermore, the candidate declares that he is aware of the legal consequences of the use of services provided by a commercial agencies selling research or dissertations and of the legal consequences of untruthfulness in this declaration (exclusion from acceptance as a PhD student, exclusion from admission to doctoral programs, termination of doctoral proceedings and the withdrawal of conferred titles on grounds of fraud as defined in Section 14).

Section 9 Review and evaluation of the dissertation

(1) The Chairperson of the PhD Board appoints two reviewers for the evaluation of the dissertation, both of whom must have the rank of professor, junior professor, Hochschuldozent or Privatdozent. As a rule, the first reviewer is the professor, junior professor, Hochschuldozent or Privatdozent who acted as supervisor for the dissertation. In
exceptional cases, a third professor, junior professor, Hochschuldozent or Privatdozent may be consulted as a reviewer.

(2) If possible, the reviewers should submit their reports to the Dean’s Office within two months of receiving the dissertation. If a review has not been completed within this period of time, the Chairperson of the PhD Board may appoint another reviewer.

(3) 1) The reviewers recommend acceptance or rejection of the dissertation or its return for revisions (cf. Section 10 (4)). 2) The reviewers' reports must contain:

1. a critical evaluation of the content,
2. a recommendation for the acceptance or rejection of the dissertation, stating the reasons for the recommendation
3. if acceptance is recommended, a suggestion for one of the following grades:

<table>
<thead>
<tr>
<th>Grade Description</th>
<th>Grade</th>
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<tbody>
<tr>
<td>excellent (summa cum laude)</td>
<td>0</td>
</tr>
<tr>
<td>very good (magna cum laude)</td>
<td>1</td>
</tr>
<tr>
<td>good (cum laude)</td>
<td>2</td>
</tr>
<tr>
<td>satisfactory (rite)</td>
<td>3</td>
</tr>
</tbody>
</table>

3) The grade “very good” = 1 can be graded down by 0.3 points with a minus sign. 4) The grade “good” = 2 can be graded up or down by 0.3 points with a plus or a minus sign. 5) The grade “satisfactory” = 3 can be graded up by 0.3 points with a plus sign.

(4) If a reviewer sees weaknesses in the dissertation without rejecting it altogether, the PhD Board can return the dissertation for one round of revisions within a set deadline.

The doctoral proceedings rest until the dissertation is resubmitted. If the dissertation is resubmitted, the doctoral proceedings continue with the current version, even if the revision recommendations are not followed or are followed only in part. If the deadline is not met by the candidate, the doctoral proceedings continue with the originally submitted version, unless the candidate is not at fault for missing the deadline.

(5) If all of the reviewers give the dissertation at least the grade of “rite”, the dissertation counts as accepted.

(6) If all of the reviewers give the dissertation the same grade, it shall be given that grade. If the reviewers give the dissertation different grades and are unable to reach a compromise, the PhD Board shall appoint an additional reviewer. If the reviewers submit different grades, an average grade is calculated as the arithmetic mean. If the arithmetic mean is not a whole number, only the first decimal place is used. All other decimal places are disregarded without rounding. In calculating the average, the number is to be rounded to the closest full grade. If the average lies exactly in the middle between two whole grades, it shall be rounded up to the better grade.

(7) The grade “summa cum laude” is awarded when particularly high evaluation criteria are met. The grade “summa cum laude” is reserved for dissertations which lead to new, particularly significant scientific insights and which are produced using new experimental or observation methods or new approaches developed by the PhD student. An additional review must be obtained from an external reviewer who is appointed by the PhD Board and who does not belong to the doctoral committee. In the case of different grade recommendations, the PhD Board shall recommend a grade. The grade “summa cum laude” is only to be awarded if, in addition to a dissertation with the grade of excellent, the PhD student has also published results from the dissertation as sole first author in an international, English-language, peer-reviewed journal that is highly ranked for the particular field of investigation. The PhD Board may also set additional prerequisites for the awarding of the grade “summa cum laude.”
(8) If one of the reviewers recommends rejection of the dissertation, the PhD Board shall appoint an additional reviewer. If this additional reviewer also recommends rejecting the dissertation, the dissertation shall count as rejected. Otherwise the PhD Board decides whether additional evaluations shall be solicited or whether the evaluation process shall be closed. The PhD Board shall then decide by majority vote whether to accept the dissertation. The grade is decided by each member of the PhD Board submitting a grade according to paragraph 3. The arithmetic mean of the submitted votes is calculated as described in paragraph 5.

(9) In those cases where the dissertation is given a final rejection according to paragraph 8, the student’s right to a doctoral examination in the PhD program is conclusively forfeited. The rejected dissertation remains on file with the reviews. The PhD Board shall inform the Student Office of this decision. With the conclusive loss of the right to take the doctoral examination, the admission to the PhD program expires as per Section 32 paragraph 2 number 5 of the Landeshochschulgesetz. According to Section 62 paragraph 2 number 5 Landeshochschulgesetz the legal consequence is the official removal from the register of students. The PhD student is dismissed from the university.

Section 10 PhD defense and evaluation of the defense

(1) The defense takes the form of an oral examination and is a mandatory part of the PhD program. It consists of a 30-minute oral presentation of the dissertation by the PhD student in front of the examination committee followed by a discussion of topics and methods in connection with the candidate’s dissertation and covering fundamental problems of the subject area. The discussion shall not last longer than 60 minutes. The defense shall take place within three months of receipt of the last review.

(2) The examination committee is appointed by the PhD Board and consists of five examiners, generally including the primary supervisor, the other two members of the doctoral committee and two additional examiners. Professors, junior professors and Privatdozenten as well suitably qualified members of non-university research institutes and foreign universities are eligible for appointment. At least one member of the examination committee should belong to a different faculty. All members of the PhD Board have the right to participate in the examinations.

(3) The examination committee described in paragraph 2 grades the examination as follows:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Value</th>
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<tbody>
<tr>
<td>excellent (summa cum laude)</td>
<td>0</td>
</tr>
<tr>
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<td>1</td>
</tr>
<tr>
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<td>2</td>
</tr>
<tr>
<td>satisfactory (rite)</td>
<td>3</td>
</tr>
<tr>
<td>fail (insuffizienter)</td>
<td>4</td>
</tr>
</tbody>
</table>

1) The grade “very good” = 1 can be graded down by 0.3 points with a minus sign. 2) The grade “good” = 2 can be graded up or down by 0.3 points with a plus or a minus sign. 3) The grade “satisfactory” = 3 can be graded up by 0.3 points with a plus sign.

(4) If the defense is not passed, it may be repeated only once, at the latest two months after the first attempt. If the second attempt is also given a failing grade, the defense conclusively counts as not passed. The Dean shall send official written notification with an explanatory statement and information on the available legal remedies. Section 9 paragraph 9 also applies.

(5) After the defense the PhD Board determines the final grade for the examination. After deliberations each examiner awards one of the grades listed in Section 10 paragraph 3. If the grades given by the examiners differ from each other, the arithmetic mean of the submitted votes is calculated, using only the first decimal place. The examination counts as passed if the average is at least a grade of 3.5.
Section 11 Overall grade

(1) 1) After the student has successfully passed the oral examination the Chairperson determines the overall grade. 2) This is calculated as the average of the grade for the dissertation and the grade for the oral examination; the grade for the dissertation counts double. 3) The overall grade is:

- with an average up to 0.5: summa cum laude (excellent),
- with an average from above 0.5 to 1.5: magna cum laude (very good),
- with an average from above 1.5 to 2.5: cum laude (good),
- with an average from above 2.5 to 3.5: rite (adequate).

4) The candidate is informed of the overall grade by the Chairperson.

(2) 1) The candidate receives a certificate stating the overall grade with which the examination procedure was successfully absolved. 2) On the certificate it must be noted that it does not confer the privilege of using the academic title “Doctor.”

Section 12 Publication of the dissertation

(1) The candidate is obligated to publish his dissertation within two years of the day of the oral examination. This deadline may be extended by the Chairperson if a justified request is made.

(2) Before printing or electronic publication the candidate must submit a written statement to the Chairperson whether and, if applicable, to what extent the published version differs from the version submitted with the application for admission to the PhD examination. If the two versions differ, the reviewers or, if they are unable, the Chairperson must approve the changes. The changes shall be approved if the deviations are not substantial. If the changes are not approved, the candidate may appeal to the PhD Board.

(3) The title page of the dissertation must follow the template provided by the PhD Board. At the end of the dissertation the author may append the curriculum vitae handed in with the application to submit the dissertation. If the dissertation appears as a stand-alone book with a commercial publisher, in a journal or in electronic form, the mandatory copies must include the title page according to paragraph 5 as a loose insert. Before publication the title page and, where applicable, the foreword, the dedication and the curriculum vitae must be submitted to the Chairperson for approval.

(4) The following applies to the mandatory presentation copies of the dissertation:

1. As a rule, 30 presentation copies must be submitted.
2. If the dissertation is published in a scientific journal or distributed in bookstores by a commercial publisher and a minimum print run of 150 can be proven, only four presentation copies must be submitted.
3. Subject to the approval of the doctoral committee, the obligation to publish and distribute the dissertation can also be fulfilled by the submission of an electronic version whose file format and data media conform to the specifications of the University Library of the University of Tübingen. In this case three presentation copies must also be submitted. The doctoral candidate must affirm that the electronic version is identical to the printed copies.

In the first case at least five presentation copies, in the second case four and in the third case three presentation copies must be printed on non-aging, wood- and acid-free paper and given a durable binding.

In cases one and three, the candidate confers on the University of Tübingen the non-exclusive right to make and distribute additional copies of his dissertation as per the
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university’s legal duties. In case 3, he also confers the non-exclusive right to make the dissertation available in data networks; the doctoral candidate is to be informed beforehand in writing that conferring this right could prevent or impede a later publication of the dissertation elsewhere.

(5) If the candidate does not comply with the obligation to publish or does not provide the mandatory number of presentation copies within the set deadline, the PhD Board can declare the loss of all rights that the candidate acquired as a result of the examination.

Section 13 Conferral of the academic degree of “Doctor of Philosophy” (PhD)

(1) After the PhD program has been successfully completed and the mandatory presentation copies of the dissertation have been submitted, the Faculty of Medicine of the Eberhard Karls Universität Tübingen confers the academic degree “Doctor of Philosophy” (PhD) on the doctoral student. The doctoral candidate may request to have the subject area of his doctoral work appended to the title; the decision shall be made by the PhD Commission on a case-by-case basis.

(2) A diploma in English shall be issued confirming the conferral of the degree. The conferral carries with it the right to use the academic title PhD.

Section 14 Invalidity of the doctorate and withdrawal of the doctoral degree

(1) If the candidate attempts to influence the results of his examinations by fraud or the use of non-permitted aids, the examination in question shall be given the grade “fail” (“insuffizient”, 4.0) and rejected. The decision is made by the PhD Board. In grave cases of attempt to deceive in the oral examination the candidate can be barred from re-taking the examination (Section 10 paragraph 4).

(2) If it should become evident after the announcement of the grades that the candidate employed deceitful means in the doctoral examination or dissertation, that major requirements for the doctoral degree were mistakenly taken to be fulfilled or that other violations were made, the corresponding decisions can be reversed if the conditions set out in Section 48 of the Landesverwaltungsverfahrensgesetz (State Administration Act) of the State of Baden-Württemberg are given. If the doctoral diploma has already been handed over, it shall be recalled. The doctoral title can also be withdrawn on the basis of the pertinent legal regulations.

Section 15 Access to examination records

(1) Upon application, the student shall be allowed inspection of his written examinations, the corresponding reports of the examiners and the examination protocols for a period of up to one year after completion of the examination procedure.

(2) The application is to be submitted to the Chairperson of the PhD Board, who shall set the time and place for access to the records.

Section 16 Special provisions for the conferral of a doctorate in joint supervision with a foreign university

(1) Doctoral proceedings may be conducted in joint supervision with a foreign university if a corresponding agreement has been signed with the foreign university and approved by the
PhD Board. The provisions of these PhD Regulations apply in as far as no other provisions are noted in the following.

(2) The candidate is supervised by one academic faculty member of each of the two participating universities. The supervisor from the foreign university is appointed as second reporter in the Tübingen doctoral proceedings. If he is prevented from acting as second reporter, another member of the foreign university shall be nominated by that university. In the agreement referred to in paragraph 1, it must be ensured that the Tübingen supervisor of the dissertation or, alternatively, another member of the Faculty of Medicine Tübingen participates in the doctoral evaluation process of the foreign university.

(3) If an equivalent oral examination takes place at the foreign university with the participation of the Tübingen supervisor or of the member of the University of Tübingen appointed to substitute for him, that examination may replace the oral doctoral examination described in these Regulations. In this case no overall grade is calculated. Details are to be set out in the agreement made with the foreign university.

(4) If an oral examination is carried out according to the provisions of these Regulations, professors of the foreign university can be appointed as examiners. Details are to be elaborated in the agreement to be made with the foreign university.

(5) The title of PhD and the corresponding foreign degree can be conferred jointly by both universities. If two separate diplomas are issued for the conferral of the degree, these shall indicate the fact that the doctoral degree was conferred in joint supervision. In each case it should be noted that the doctoral graduate has the right to use the academic title in either the German or the foreign form and that the names of both universities supervising the doctoral proceedings can be added in parentheses.

Separate records for the grades issued for the doctoral examination and dissertation are always issued by each of the two universities.

**Section 17 Coming into effect**

These Regulations take effect on the day following their publication in the *Amtliche Bekanntmachungen* (official announcements) of the Eberhard Karls Universität Tübingen.

Tübingen, August 23, 2011

Prof. Dr. Bernd Engler
President
Principles of the Faculty of Medicine of the Eberhard Karls Universität Tübingen for the Safeguarding of Good Scientific Practice

This text is based on the recommendations of the Deutsche Forschungsgemeinschaft (DFG) and the Hochschulrektorenkonferenz (German Conference of University Presidents) HRK.

1. The principles of good scientific practice

Scientists and scholars (including PhD students) are obligated to observe the principles of good scientific practice and to set a good example with their own work. These principles shall be made known to students and young scientists. The responsibility for doing this lies in particular with university professors. According to the recommendations of the DFG (Commission on Professional Self Regulation in Science, January 1998) the following general principles of good scientific practice apply:

- observation of the fundamentals of scientific work;
- documentation of results, including the securing and storing of primary data;
- critical questioning of one’s own findings and the conclusions drawn from those findings;
- honesty with regard to the contributions of third parties to one’s own work;
- responsible mentorship of young scientists and scholars;
- unrestricted coordination of the contributions of all members of a workgroup by the leader;
- publication of results and disclosure of all the conditions necessary for their execution.

2. Violations of the principles of good scientific practice

The following actions are considered violations of the rules of good scientific practice and, under certain conditions, constitute scientific fraud or incitement to scientific fraud:

- fabrication, falsification or withholding of data;
- plagiarism;
- authorship in publications when gained under false pretences;
- failure to acknowledge justified authorships;
- lacking or insufficient scientific discussion in the work group;
- inadequate supervision of PhD students;
- loss or inadequate documentation of original data;
- failure to instruct participants in research on the principles of good scientific practice;
- defamation with regard to good scientific practice;
- betrayal of confidence as a reviewer or superior.
3. Responsibility to implement the rules of good scientific practice

Every scientist is responsible for his own behavior in the context of scientific work. Anyone who leads a work group is responsible for ensuring that the conditions for good scientific practice are provided within his own work group and that the rules are observed.

This presupposes active communication within the work group and in particular the disclosure of scientific data as a part of a constant internal dialog within the group.

For this reason it is the task of the leaders of scientific work groups to ensure that all the members of a group are aware of their rights and obligations in the context of good scientific practice. They must provide the environment needed to conform to these rules. In particular, they must make a point of ensuring that the hypotheses, theories and above all scientific data developed and acquired by the individual members of group are openly discussed and subjected to critical examination. The leadership of a scientific work group demands presence and awareness. Where these conditions are not met adequately, leadership tasks must be delegated.

4. Supervision of PhD students

Together with the PhD student, the supervisor shall work out a written outline of the goals and execution of the planned project before work is actually taken up. The outline includes the written confirmation that the PhD student was made aware of the principles of good scientific practice by his supervisor. If in the course of doctoral work a conflict between student and supervisor should arise, the Dean or the Chairperson of the PhD Board may be consulted as mediators.

5. Documentation requirements

Primary data forming the basis of publications must be kept available on durable media in the work group in which they were gathered for a period of ten years. The individual scientist is responsible for ensuring this and for demonstrating proper recording of data. All steps of each experiment and each numerical calculation must be recorded in such detail that another scientist would be able to reproduce the experiment or calculations. The reproducibility of a scientific experiment is its primary test. Laboratory notebooks must have a sewn binding and consecutively numbered pages. Pages may not be removed from the notebook. Laboratory notebooks must be securely stored. The disappearance of original records from a laboratory is a violation of the basic principles of careful scientific practice and justifies a prima facie assumption of dishonesty or gross negligence.

If a scientist moves to a different institution, the original records remain as a matter of principle in the laboratory of origin. In special cases, arrangements can be made between the “old” and “new” institutions at which the scientist works to allow for other provisions for the storage of the original data. Agreements about the storage of laboratory records should be recorded on the original data carriers and signed by the persons involved.

6. Publication, authorship

Authors of scientific publications bear joint responsibility for the content of those publications. A so-called “honorary authorship” is not acceptable.

In publications, particularly those reporting new scientific findings, the results must be described completely and understandably. Correct and complete references must be given to previous work by the authors and by others.

Previously published findings must be clearly marked as such and repeated only where they are necessary for an understanding of the context.

Only those persons who have made significant contributions to the conception of studies or experiments, to the generation, analysis and interpretation of data and to the preparation of
the manuscript and who have consented to its publication shall be named as authors of an original scientific publication, thereby assuming responsibility for it. Where appropriate, the extent of the contribution of PhD students to a publication may be reflected in their first authorship.