



Official Notices

Year: 2018

No. 25

Rostock, 16/05/2018

Doctoral Regulations of the Faculty of Computer Science
and Electrical Engineering at the University of Rostock,
dated 8 May 2018

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Pursuant to Section 43 para. 3 in conjunction with Section 2 para. 1 sentence 3 of the Higher Education Act (Landeshochschulgesetz - LHG) of the State of Mecklenburg-Vorpommern in the version promulgated on 25 January 2011 (Official Gazette of the State of Mecklenburg-Vorpommern p.18), last amended by Section 3 of the Act of 11 July 2016 (Official Gazette of the State of Mecklenburg-Vorpommern pp. 550, 557), the University of Rostock issues the following Doctoral Regulations for the Faculty of Computer Science and Electrical Engineering:

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Section 1

Right to award doctorates

- (1) A doctorate demonstrates the ability to carry out in-depth, independent academic work in a field within the Faculty of Computer Science and Electrical Engineering (Fakultät für Informatik und Elektrotechnik; IEF).
- (2) The Faculty awards the academic degree of Doctor of Engineering (Dr.-Ing.).
- (3) The doctorate is awarded on the basis of an academic paper written by the applicant (hereinafter referred to as the "Dissertation") and a public defence of the Dissertation. Joint dissertations are excluded.

Section 2

Fields of doctoral study

At the Faculty of Computer Science and Electrical Engineering, doctorates can be pursued in the fields of computer science and electrical engineering or their didactic method, or in interdisciplinary fields with a focus on computer science or electrical engineering. The Faculty Council decides on admission to doctoral studies in other subject areas.

Section 3

Supervision of doctoral students

- (1) All professors and members of the Faculty with a post-doctoral qualification, including associate members, have the right to supervise Dissertations. In addition, members of the Faculty with a doctorate can be assigned as a supervisor of a Dissertation if the Faculty Council so decides and if they are independently responsible for a research area, for example junior research group leaders on the Emmy Noether Programme. Professors from universities of applied sciences may be involved in supervision (cooperative doctorate).
- (2) It is recommended that a supervision agreement is concluded with a supervisor. This supervision agreement does not establish any claims under labour law.
- (3) Persons preparing a Dissertation may be enrolled as doctoral candidates, provided that the doctoral project is supervised by a person under paragraph 1. Further details are governed by the matriculation regulations.
- (4) The supervision relationship may also be continued for a period of three years after the supervisor has left the Faculty.
- (5) If the supervision of the Dissertation ends due to the resignation or death of the supervisor, the Dean, at the request of the doctoral student, shall appoint a member of the Faculty in accordance with paragraph 1, who shall assume the supervision.

Section 4

Admission to doctoral studies

- (1) An application for admission to doctoral studies should be made before starting to write the Dissertation. The application for admission must be submitted no later than when the application is made for the doctoral process

in accordance with Section 5. An application for admission to doctoral studies must be made via the Dean to the Faculty Council (which decides on admission) by naming the supervisor in accordance with Section 3 paragraph 1 and submitting a university degree certificate (certified copy or transcript). The decision on admission contains the binding statement that the requirements for initiating the doctoral process in accordance with Section 7 are met (with the exception of the submission of the Dissertation).

(2) The prerequisite for admission to doctoral studies is a degree in computer science, electrical engineering or information technology from a university with a diploma or Master's degree. In addition, a university diploma, Master's or state examination are recognised as admission requirements, where these have been obtained in another engineering subject, in mathematics, in the natural sciences, in a teacher training course with a focus on computer science or technology, or in interdisciplinary courses with a focus on computer science, information technology or electrical engineering. The above diplomas and Master's must be recognised for admission to doctoral studies by the respective faculty association.

(3) Foreign degrees and academic degrees are the same as domestic degrees, if they give the same guarantee of the applicant's abilities in terms of nature, scope and duration. Existing equivalence agreements must be taken into account. In cases of doubt, an expert opinion can be obtained from the Central Office for Foreign Education of the Conference of the Ministers of Education and Cultural Affairs.

(4) In principle, it is possible for graduates with qualifications not covered by paragraph 2, in particular highly qualified university of applied sciences graduates with a diploma or Master's degree (final grade not less than 2.0), to pursue doctoral studies. In this case, the following shall be added to the application under paragraph 1:

1. Academic curriculum vitae.
2. Certificate of graduation (certified transcript or copy) and a copy of the final thesis.
3. List of publications and lectures.
4. Statement as to whether the candidate has previously applied for a doctorate at the University of Rostock or at another university and, if so, with what result.

(5) In the cases described in paragraph 4, a case-by-case examination will be conducted to determine whether the candidate possesses the academic qualifications for the title of Dr.-Ing. in one of the Faculty's doctoral fields. The candidate shall demonstrate the candidate's qualifications at a public colloquium before an admissions committee appointed by the Dean of Studies. After the presentation, the colloquium shall examine the candidate on the content of the presentation and on the fundamental methods of computer science, information technology and electrical engineering. The Dean of Studies gives the candidate reading recommendations for this purpose in advance. Professors from universities of applied sciences may be included in the examination process. Following the examination, a recommendation is made to the Faculty Council regarding admission to doctoral studies. The decision of the Faculty Council must be communicated to the applicant in writing by the Dean.

Section 5

Request for admission to the doctoral process

- (1) The applicant must submit a request for admission to the doctoral process in writing to the Dean after admission to doctoral studies (Section 4). The request must include:
1. Three copies of the Dissertation (Section 6). Further copies of the Dissertation must be supplied if more than two reviewers are appointed.
 2. Electronic version of the Dissertation in PDF format.
 3. An up-to-date curriculum vitae in table format.
 4. An up-to-date list of academic publications. In the case of cumulative Dissertations, the author must prove the candidate's share of the respective publications.
 5. A statement that the candidate has written the submitted Dissertation independently and without outside help, has not used sources and aids other than those indicated by the candidate, and that the candidate has identified as such the passages or content taken verbatim from the works used by the candidate.
 6. A statement as to whether the candidate has previously applied for a doctorate at the University of Rostock or at another university and, if so, with what result.
 7. On request, a non-binding proposal for the selection of the reviewers.
- (2) The proposal may be withdrawn by the candidate as long as the doctoral process has not yet been initiated.

Section 6

Dissertation

- (1) The Dissertation serves as proof of the academic qualification of the candidate. It must cover a subject area represented by the Faculty. The results presented with the Dissertation must have been achieved independently, take into account the current state of the academic field and extend the state of academic knowledge. The valid version of the rules to ensure good academic practice and to avoid academic misconduct at the University of Rostock must be observed.
- (2) The Dissertation must be written in German or English. Irrespective of the language chosen, both a German and an English summary are part of the Dissertation.
- (3) The results of the Dissertation may previously have been published in whole or in part. Multiple works already published may be submitted as a Dissertation if they are closely related in terms of time and subject matter and if they satisfy the overall requirements of a Dissertation. In this case, a summary of the findings shall be submitted, showing the relationship between the partial conclusions.
- (4) The electronic version of the Dissertation may be checked using plagiarism detection software.

Section 7

Initiation of the doctoral process

- (1) The prerequisite for initiating the doctoral process is the candidate's admission to the doctoral programme in accordance with Section 4 and the submission of the application documents in accordance with Section 5.
- (2) At the request of the candidate under Section 5, the Faculty Council shall decide within two months whether or not to initiate the doctoral process. If the doctoral process cannot be initiated due to incomplete documentation, the candidate will be asked to submit the missing documents immediately.
- (3) Once the decision to initiate the doctoral process has been taken, the chair of the doctoral committee, the reviewers under Section 9 and the composition of the doctoral committee under Section 8 must be determined. After prior consultation with the Dissertation supervisor, proposals will be submitted to the Faculty Council.
- (4) The Dean must inform the candidate of the decision in writing within 14 days.

Section 8

Doctoral coordinator and doctoral committee

- (1) The Faculty Council appoints one university lecturer for each doctorate in the fields of computer science and electrical engineering as the doctoral coordinator. The duration of the appointment is linked to the respective term of the Faculty Council.
- (2) The doctoral committee is appointed by the Faculty Council on the recommendation of the doctoral coordinator when the process is initiated. It consists of the chair, the reviewers, other competent academics with a doctorate or post-doctoral qualification from the same Faculty or from other academic institutions, including universities of applied sciences. If the doctorate is a cooperative doctorate with a university of applied sciences, one member of the committee shall be a professor of a university of applied sciences. If the Dissertation is a Dissertation with interdisciplinary content, the committee should be supplemented by members from the corresponding subject.

Section 9

Review of the Dissertation

- (1) The Dissertation must be evaluated by at least two reviewers, of whom at least two must be university professors. Professors at universities of applied sciences, academics with a post-doctoral qualification and academics with a doctorate in this field may also be nominated as reviewers. At least one reviewer must work full-time at the Faculty of Computer Science and Electrical Engineering. At least one reviewer must not be a member of the University of Rostock.
- (2) The reviewers are asked to accept or reject the appointment within 14 days. The review should be completed within three months of acceptance of the role of reviewer.

(3) The reviews help the Faculty Council make its decision. The reviews must indicate whether the Dissertation meets the requirements for a doctoral degree (Dr.-Ing.). The reviewers recommend that the Faculty accept or reject the Dissertation.

(4) Each reviewer must grade the Dissertation using one of the following grades:

magna cum laude (very good - 1)

cum laude (good - 2)

rite (adequate - 3)

non sufficit (inadequate - 5)

If, in the opinion of the reviewer, an overall grade of "summa cum laude" (excellent) can be considered for the Dissertation, the reviewer should express this in the reviewer's opinion.

(5) The copy of the Dissertation given to a reviewer for review becomes his or her property.

Section 10 Acceptance of the Dissertation

(1) The Faculty Council decides whether to accept a Dissertation on the basis of the received reviews.

(2) Notwithstanding paragraph 1, the doctoral coordinator may accept a Dissertation if the following criteria are met:

a) All the reviewers recommend acceptance.

b) The grades proposed by the reviewers do not deviate from each other by more than one grade level.

(3) In case of doubt, further reviews can be obtained. Further reviews must be obtained if the Dissertation has been reviewed by only two reviewers and the reviewers' proposed grades differ by more than one grade level, or if one reviewer assesses the Dissertation with the grade "non sufficit".

(4) A Dissertation must be rejected by the Faculty Council if two reviewers have graded it as "non sufficit".

(5) The decision on whether or not to accept the Dissertation must be communicated to the candidate by the Dean in writing within 14 days of the decision.

(6) The Dissertation must be made publicly accessible at least 14 days before the defence in accordance with Section 12.

Section 11 Rejected Dissertations

(1) Rejection of the Dissertation marks the end of the doctoral process.

(2) A copy of the Dissertation that has not been accepted remains with the Faculty.

(3) Candidates whose Dissertations have not been accepted may apply for the doctoral process again with a substantially changed or a thematically different Dissertation once more and no sooner than one year after rejection.

(4) The application for the doctoral process for a second time must be accompanied by a declaration regarding the previous rejection (see Section 5 paragraph 1 No. 6).

Section 12 Defence

(1) The defence is the final part of the doctoral process. It can only be carried out after the doctorate has been accepted.

(2) The candidate must defend the conclusions reached in the Dissertation. In a presentation with a maximum duration of 30 minutes and a discussion of about one hour, the candidate must prove that the candidate can theoretically substantiate the academic results of the candidate's Dissertation, that the candidate has a thorough command of the subject area to which the candidate's Dissertation belongs and that the candidate can look beyond the limits of the candidate's subject.

(3) The defence must be conducted in German or English.

(4) The defence is a public process. The chair of the doctoral committee presides over the defence. The defence can only be carried out if the majority of the members of the doctoral committee and the majority of the reviewers (but at least two reviewers) are present. With the consent of the candidate, the reviewers may be allowed to participate in the defence by video-conference; they shall then be deemed to be present.

(5) In order to prepare for the defence, the candidate must be granted access to the reviewer opinions at the candidate's request following acceptance of the Dissertation.

(6) The content and course of the defence shall be recorded in minutes, which shall be signed by all members of the doctoral committee present.

(7) In the minutes of the defence, conditions may be imposed for correction of the deposit copies, which must be completed within three months. The conditions must be communicated to the doctoral candidate following the defence. Compliance with the conditions must be checked by the chair of the doctoral committee and confirmed on record by the chair.

(8) If the candidate does not appear on the date of the defence for reasons for which the candidate is responsible, the defence shall be deemed not to have been passed. If the candidate is not responsible for the reasons for not appearing on the date of the defence, the chair of the doctoral committee shall set a new date.

Section 13 Assessment of the defence

(1) After the defence, an assessment of the defence shall be carried out by the doctoral committee in private consultation. All members of the Faculty Council present may take part in the deliberations. First of all, a grade shall be awarded for the presentation and a grade shall be awarded for the

defence of the thesis. Then an overall mark for the defence shall be determined, whereby the grade for the presentation and the defence of the thesis have equal weight.

- (2) The defence must be assessed with one of the following grade:
 - magna cum laude (very good - 1)
 - cum laude (good - 2)
 - rite (adequate - 3)
 - non sufficit (inadequate - 5)
- (3) Decisions shall be taken by a simple majority of the votes of the members of the doctoral committee present. In the event of a tie, the chair has the casting vote.
- (4) The grade will be announced to the candidate after the doctoral committee's deliberations.
- (5) If the defence has been assessed as "non sufficit", it shall be deemed not to have been passed. In this case, the defence may be repeated within 6 months at the candidate's request. If the defence for a second time is also not passed, the doctoral process is deemed to have been unsuccessful.

Section 14

Determination of the overall grade for the doctorate

(1) Once the defence has been passed, the doctoral committee will award an overall grade for the doctorate, taking into account the reviewer grades and the overall grade for the defence. In justified exceptional cases, the arithmetic mean of the individual marks may not be used, if the doctoral committee decides such by a 2/3 majority of the members present. One of the following grade shall be awarded:

- magna cum laude (very good - 1)
- cum laude (good - 2)
- rite (adequate - 3)

The committee may propose to the Faculty Council that the overall grade of "magna cum laude" be upgraded to "summa cum laude".

- (2) The overall grade "summa cum laude" may be awarded if the work has been marked "magna cum laude" by all reviewers, the defence has also been marked "magna cum laude", and all the reviewers present at the defence have confirmed the overall grade "summa cum laude".
- (3) The chair shall inform the candidate of the committee's decision.

Section 15

Publication of the Dissertation

The deposit copy regulations of the University of Rostock apply to the delivery of deposit copies of the Dissertation.

Section 16

Award of the doctoral degree

- (1) The Faculty Council shall decide on the award of the doctorate with the overall grade for the doctorate having been determined by the doctoral committee in accordance with Section 14.
- (2) Once the decision on award of the doctorate has been made, the doctoral process is completed.
- (3) Following a positive decision by the Faculty Council to award the academic degree of Doctor of Engineering (Dr.-Ing.), written notice is sent to the candidate by the Academic Self-Governance Department of the University of Rostock.
- (4) After delivery of the deposit copies of the Dissertation, a certificate awarding the academic degree of Dr.-Ing. is issued in German. The certificate includes the title of the Dissertation, the overall grade and the date of award by the Faculty Council.
- (5) The doctoral certificate is signed by the Dean of the Faculty of Computer Science and Electrical Engineering and bears the seal of the University. The document is then formally delivered by the Dean or sent by mail. Upon receipt of the certificate, the doctoral candidate receives the right to assume the degree and title of Doctor.

Section 17

Right of appeal and objection

- (1) At the written request of a member of the doctoral committee, procedural matters must be submitted to the Faculty Council for a decision.
- (2) The applicant may lodge an appeal against a decision that infringes the candidate's rights in writing within one month of notification of the decision, or record an objection with the Dean of the Faculty of Computer Science and Electrical Engineering. The Faculty Council shall review whether it can resolve the objection. If this is not the case, it shall submit the objection to the Rector for a decision. The Rector shall issue the decision on the objection.

Section 18

Doctoral records

A record of the course of the doctoral process must be kept and signed by the Dean and the chair of the doctoral committee. After completion of the doctoral process, the candidate may be granted access to the doctoral records upon request. The application must be submitted to the Dean within one month of completion of the doctoral process.

Section 19

Honorary doctorates

- (1) In recognition of outstanding academic achievements in the field of computer science, electrical engineering or information technology, the Faculty Council may, following a majority vote, award the degree of Honorary Doctor of Engineering (Dr.-Ing. eh.).

(2) The honorary doctorate is awarded following delivery of a specialist lecture by the recipient of the award and presentation of a certificate in which the candidate's merits must be stated.

(3) The Academic Senate shall give an opinion on the decision of the Faculty Council to award the honorary doctorate.

Section 20 Withdrawal of the doctorate

(1) The Faculty Council may declare the doctoral achievements invalid or withdraw the doctoral degree:

- 1) if it is discovered that the doctoral candidate is guilty of deception or attempted deception in proving the doctoral achievements;
- 2) if essential requirements for the admission of the doctorate have not been fulfilled.

(2) The person concerned must be given the opportunity to make a statement to the Faculty Council before the decision is made.

Section 21 Final provisions

(1) These doctoral regulations shall enter into force on the day following their publication in the Official Notices of the University of Rostock. At the same time, the doctoral regulations of 18 July 2005 shall cease to be valid for new doctoral processes initiated at the Faculty of Computer Science and Electrical Engineering.

(2) All doctoral processes initiated before the date in paragraph 1 sentence 1 will be completed in accordance with the previously valid doctoral regulations.

Issued on the basis of the resolution of the Academic Senate of the University of Rostock, dated 2 May 2018.

Rostock, 8 May 2018

The Rector
of the University of Rostock,
Prof. Wolfgang D. Schareck

Appendix 1:

Recommendation for the title page of the Dissertation

(Title of the Dissertation)

Dissertation to

obtain the academic degree of Doctor of
Engineering (Dr.-Ing.)

from the Faculty of Computer Science
and Electrical Engineering at the
University of Rostock

submitted by

(First name, last name), born on (date of birth) in (place of birth)
from (place of residence)

Rostock, (date)

(Note: for the deposit copies, the names of the reviewers and of the institutions they work for must also be provided.)