

Please note that this document is a non-binding convenience translation. Only the German version of the document entitled "Promotionsordnung der Medizinischen Fakultäten der Universität Heidelberg zur Erlangung des medizinischen bzw. zahnmedizinischen Doktorgrades (Dr. med. bzw. Dr. med. dent.)", dated 2 November 2015 (published in the President's bulletin [Mitteilungsblatt des Rektors] of 27 November 2015, p. 1533), last amended on 11 January 2016 (President's bulletin of 18 February 2016, p. 7), has legal validity.

Doctoral Degree Regulations of the Medical Faculty of Heidelberg University for obtaining the doctoral degree in Medicine or Dental Medicine (*Dr. med.* and *Dr. med. dent.*)

dated 2 November 2015

On the basis of §§ 32 and 38, paragraph 4, of the State Law of Baden-Württemberg on Higher Education (Landeshochschulgesetz - LHG), last modified by the third Act on the Amendment of Higher Education Law (Drittes Hochschulrechtsänderungsgesetz - 38. HRÄG) of 1 April 2014 (GBl. of 8 April 2014, p. 99), the senate of Heidelberg University determined these examination rules and regulations on 27 March 2015.

Approved by the President on 2 November 2015.

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§ 1 Doctorate

- (1) The medical faculties confer the academical degree “Medical Doctor” (Dr. med.) or “Doctor of Dental Medicine” (Dr. med. dent.) for doctoral academic performance or on an honorary basis.
- (2) The medical faculties are committed to the Guiding Recommendations of the Senate of Heidelberg University for the support of young academic talents, and adequately apply these principles in accordance with the basic principles of good academic practice.

§ 2 Components of the doctorate

- (1) Doctoral academic performance consists of the creation of new scientific knowledge and serves as proof of qualification for independent scientific work. Within the context of doctoral academic performance and in order to obtain the doctoral degree, it may be necessary to gain practical experience in the institutions associated with the faculty or, with prior approval, in external institutions.
- (2) Doctoral academic performance consists of a scientific thesis (dissertation) completed independently by the candidate, and an oral examination concerning the subject of the dissertation.

§ 3 Decision-making bodies for the conferment of doctoral degrees

- (1) Unless otherwise specified, the doctoral conference is responsible for decisions on all matters relating to doctorates.
- (2) The doctoral conference consists of the professors and associate professors of the corresponding medical faculty who belong to the faculty council, are entitled to vote and are not yet retired, as well as the president of the doctoral committee or his/her representative. The chair of the doctoral conference is the dean or a representative appointed by him/her.
- (3) The doctoral conference appoints a doctoral committee comprised of at least six members from among the professors and associate professors of the corresponding medical faculty who are not retired. The members are appointed for three years. Members may be re-elected. Each committee appoints a chair and a vice-chair.
- (4) The doctoral conference confers tasks in accordance with §§ 5 to 11 to the doctoral committee.
- (5) The doctoral conference determines criteria for the assessment of dissertations.

§ 4 Admission requirements for the doctorate

- (1) Admission to the doctoral degree procedure will be authorised for those who have successfully completed a degree programme in accordance with the regulations on licensing doctors or the examination rules and regulations for dental medicine, as well as the examinations in medicine or dental medicine, and who have submitted the documents in accordance with § 5, paragraph 2. Admission must be denied if
 - documentation of previous degree programmes indicates that a doctoral degree or equivalent academic degree has previously been earned at either a German or foreign institute,
 - more than one unsuccessful attempt at a doctoral degree programme has already been pursued.
- (2) As an exception to paragraph 1, candidates who have already successfully completed the first portion of the medical examination in accordance with German regulations for the licensing of medical doctors (ÄAppO) or have successfully completed the dental studies preliminary examination in accordance with German regulations for the licensing of dentists (ZÄPrO) or who have successfully completed an equivalent examination prior to the successful completion of medical or dental studies are eligible for provisional admittance to the doctoral programme. This provisional admittance will be revoked if the medical or dental examination is not successfully completed according to the terms of the licensing regulations. Documentation of the successful completion of the final examination must be submitted within five years of provisional admittance. Prior to the expiration of this period, upon application and in justified cases, approval may be granted to extend the time period for submitting documentation of the successfully completed final examination. If documentation of the successfully completed final examination is not submitted within the five-year period and, during this time, permission has not been granted in accordance with the guidelines set forth for an extension, the provisional admittance will be revoked and Heidelberg University will not be compelled to retain, evaluate, or archive any documents that were submitted as a part of the application for admission process.
- (3) Multi-author dissertations will not be accepted.
- (4) If the dissertation research has been carried out at an institute that is not associated with the faculty, written consent from the individual in charge at that institute, normally the head of department, must additionally be submitted. This will not be applicable in the event that this individual is the candidate's supervisor.
- (5) Applicants who have completed their examinations at non-German institutions may be admitted to the doctoral degree programme if they have successfully passed a foreign medical or dental examination whose requirements are equivalent to the German examination in terms of the required prior education and course of study. Decisions regarding equivalency of education or foreign examinations will be taken by the Dean following an evaluation by the Central Office for Foreign Education (ZAB) at the Standing Conference of the Ministers

of Education and Cultural Affairs (KMK) in Bonn or another equivalent authority, which will determine whether or not equivalency exists.

- (6) Upon recommendation of the doctoral committee, the Dean may, in the case of missing documentation needed for establishing equivalency (e.g. aptitude tests in certain medical or dental subject areas), allow candidates who successfully pass an aptitude test to be admitted to the doctoral degree programme. The aptitude test may be repeated once.
- (7) The dean may, in justifiable cases, require that a language aptitude test be taken for the language in which the dissertation is to be written.

§ 5 Application and acceptance of doctoral students

- (1) Applications for acceptance as a doctoral students must be submitted to the head of the doctoral committee. Decisions as to whether or not a candidate may be admitted as a doctoral student will be made by the doctoral committee.
- (2) Along with the application for admittance to the doctoral degree programme, the following documents must also be submitted:
 1. information about the intended dissertation topic, including a brief conceptualisation;
 2. a statement of agreement from a supervisor pursuant to § 6, paragraph 1. This must be documented in a doctoral agreement pursuant to § 6, paragraph 2.
 3. in the event that the doctorate is being pursued simultaneously to studies, documentation that a grade of "1" has been earned. sections of the medical or dental preliminary examination or an equivalent examination as well as proof of current matriculation in a medical or dental degree programme.
 4. if required, a statement as set forth in § 4, paragraph 4.
- (3) Admission can be denied if
 1. documents are not complete, or
 2. the intended dissertation subject is manifestly unsuitable or does not fall within the faculty's scope of responsibility,
 3. there are reasons that would justify revocation of an academic degree, or if an academic degree has already been revoked.
- (4) Along with submitting the application for admittance, the doctoral candidate must also set up an online doctoral file by registering on the central online portal. The data is to be maintained by the doctoral student throughout the duration of the doctoral degree programme.
- (5) A decision on the application will generally be taken during the semester within six weeks. Candidates whose application are denied must be informed in writing, including the reason(s) for denial as well as information on the procedure for appeal.

- (6) Upon admitting a doctoral student, the faculty obliges itself for a period of five years to support the doctoral student in his/her work on the dissertation and to evaluate the final dissertation on the basis of the research conducted. In justified cases and upon application, an extension to this time period may be granted by the doctoral committee.
- (7) A minimum time frame of one year is required between the application for admission and the application to be admitted to the doctoral degree examination.

§ 6 Academic supervision of doctoral students

- (1) Any professor or associate professor on the faculties of the Medical Faculty Heidelberg or the Medical Faculty Mannheim may supervise doctoral students. In order to ensure an objective evaluation of the student's performance, no relative or spouse/partner is permitted to serve as supervisor. The right to supervise doctoral students may, upon recommendation of the faculty, be transferred to qualified research associates (e.g. heads of junior research groups). In this case, the Heidelberg University Senate's guidelines governing the recommendation of leaders and the promotion of junior academic personnel must be observed.
- (2) The doctoral student and the supervisor will collaborate to create a written doctoral agreement that complies with the requirements of the respective medical faculty and the contents of which will, at a minimum, fulfil the requirements set forth in § 38, para. 5, line 3 of the Landeshochschulgesetz (LHG) (statutes governing universities in Baden-Wuerttemberg). The details of the doctoral agreement will determine the implementation rules that will be established by the respective medical faculty.
- (3) The faculty council may establish guidelines for doctoral degree procedures, including e.g. the involvement of doctoral students in doctoral research training groups, doctoral programmes, or as leaders of workshops in which doctoral students from a particular subject or subject group present their doctoral projects.
- (4) For dissertations that are not completed under the direct supervision of a faculty member of a research or clinical institution as defined in paragraph 1, but are instead completed at an institution not associated with the respective medical faculty, consent from the individual responsible at that institution, as defined in § 4, paragraph 4, for the submission of the dissertation must be provided.
- (5) In the event of disputes, the university's ombudsperson for doctoral students may serve as a mediator.

§ 7 Dissertation

- (1) The dissertation must meet with scientific standards and demonstrate the candidate's ability to undertake independent academic work in the dissertation subject.

- (2) In completing the dissertation, should the expertise of a third party become necessary, this contribution must be made explicit and the candidate's own work be clearly identified.
- (3) The dissertation is to be submitted in either German or English.
- (4) The contents of the dissertation are permitted to have been previously published. In this case, the candidate must be at least the co-author of the publication in question.
- (5) Upon application by the supervising faculty member, in individual cases, a cumulative dissertation may be permitted. Requirements for the Dr. med. and Dr. med. dent. degree programmes include the submission of a minimum of two subject-related, peer-reviewed publications to leading international journals, with the candidate listed as primary author. At least one of these articles must be an original publication; the second may be an overview. Decisions on the recognition of specific journals will be taken by the doctoral committee. Publications with shared primary authorship will not be recognized. No publication submitted as part of a cumulative dissertation may be a component of any other (on-going or completed) doctoral degree programme. Cumulative dissertations must include a detailed introduction that discusses the relationship of the publications to the research performed by the candidate and the research group. For each publication, the candidate must submit an official statement detailing his/her contribution to the publication. Significantly more than 50% of the text in which the results are presented and the discussion documented (in original publications) or (in overviews) of the authorship of the text must be the work of the candidate. This must be attested to in written form by all co-authors and the supervising faculty member.

§ 8 Admission to the doctoral degree examination

- (1) Upon completion of the dissertation, but no sooner than one year following admittance to the doctoral degree programme, the candidate must apply to the doctoral committee for admission to the doctoral examination. The application must include the following documents:
 1. the number of copies of the dissertation required by the respective faculty as well as a digital copy of the dissertation;
 2. a statement affirming that the digital copy and the hard copy of the dissertation are identical;
 3. a certificate confirming the successful completion of the medical or dental examination or an application as stipulated in § 4, paragraph 2;
 4. a curriculum vitae;
 5. if applicable, sections of the applicant's dissertation or other manuscripts that have been accepted for publication;
 6. if applicable, documentation regarding other required academic performance as stipulated in § 6, paragraph 3;
 7. a statement from the applicant that he/she has not, on the basis of the academic degree already completed or currently being pursued, applied for or completed a doctoral degree programme similar to the

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	<p>one currently being pursued at another institution; if the applicant has pursued but not completed another doctoral degree programme or has been refused admission to another doctoral degree programme, the dissertation topic and the name of the university must be provided;</p>	
(2)	<p>8. an affidavit as stipulated in Appendix 2 of these doctoral degree regulations;</p> <p>9. a copy of the instructions provided by the university pertaining to the meaning of the affidavit and potential legal ramifications, signed by the applicant;</p> <p>10. if applicable, a statement from the applicant affirming that the regulations of the currently valid animal protection laws have been observed (approved animal testing application) or the legally-required statement of approval from the Ethics Commission; copies of these approvals must be submitted;</p> <p>11. a summary of the dissertation in German and/or English, in the number of copies required by the respective faculty; and</p> <p>12. a declaration of consent stating that electronic data processing programmes may be used to check the dissertation for compliance with general academic standards. Requests for exceptions must be justified and be submitted in writing to the doctoral committee, which will take a decision on the request.</p>	
(2)	<p>Decisions regarding admission the the doctoral examination will be taken by the doctoral committee, generally within a six-week period.</p>	
(3)	<p>Admission must be denied if:</p>	
	<p>1. the candidate does not meet the requirements for admission to the doctoral programme;</p> <p>2. the documents listed in paragraph 1 are incomplete;</p> <p>3. the dissertation does not address or is unrelated to a medical topic;</p> <p>4. circumstances exist that would legally prevent the conferring of a doctorate or that would justify its revocation;</p> <p>5. the applicant has previously earned a doctorate in the same discipline (medicine or dentistry); or</p> <p>6. the applicant has previously earned an equivalent doctorate in the same discipline (medicine or dentistry) at a foreign institution; and</p> <p>7. the applicant has failed at more than one previous attempt to earn a doctorate.</p>	
(4)	<p>Denials must be communicated to the applicant in writing, providing the justification for denial as well as information on the procedure for appeal.</p>	
(5)	<p>Following approval for admission to the examination, and as long as the doctoral conference has not yet reached a final decision, the candidate may withdraw a dissertation that has been submitted. The candidate must submit a statement to this effect to the doctoral committee. If the candidate withdraws his or her dissertation, the doctoral programme is terminated.</p>	

§ 9 Evaluation of the dissertation

- (1) Following admission to the doctoral examination (§ 8), a written evaluation of the dissertation will be carried out by a minimum of two professors or associate professors; at least one of the evaluators must be a member of the relevant faculty. Normally, the faculty member who is supervising the dissertation will be the first reviewer. This will also be the case if the supervising faculty member is no longer a member of the relevant faculty. Additional reviewers, including external reviewers, may be appointed by the doctoral committee; in cases where the topic borders on other subject areas, the reviewers may be selected from faculties of those subject areas. Additional reviewers may also include professors from universities that offer related scientific programmes or from the Baden-Wuerttemberg Cooperative State University (DHBW).
- (2) Reviewers will normally be appointed within two months of submission of the dissertation and no later than following the first meeting of the doctoral committee after this deadline.
- (3) Reviewers will evaluate the aims, rendering, and scientific validity of the dissertation and make a recommendation to the doctoral committee as to its acceptance or rejection. If the dissertation is accepted, it will be evaluated according to the standards of the criteria established by the doctoral conference (§ 3, paragraph 5). Reviewers may recommend conditions for the final version of the dissertation. The doctoral committee will establish reasonable deadlines for submission of the evaluations.
- (4) The doctoral committee may request that additional evaluations be obtained and that conditions for corrections to the dissertation be established. The written doctoral dissertation is to be evaluated in accordance with the criteria set forth by the doctoral conference (§ 3, paragraph 5). For dissertations that are to be designated “summa cum laude”, the doctoral committee will obtain two additional evaluations.

§ 10 Admission to the oral examination

- (1) On the basis of the evaluations submitted, the doctoral committee will make a recommendation for the grade for the dissertation (§ 9). If the doctoral committee recommends a grade of a minimum of “rite” (passed), the candidate will be admitted to the oral examination (§ 11). Following successful completion of the oral examination, the doctoral committee will submit the dissertation to the doctoral conference for acceptance, with a recommendation for the grade for the combined doctoral examinations. During the time period between admittance to the oral examination and the finalisation of the dissertation, members of the doctoral conference in the central faculty offices may view the document. If the doctoral committee does not recommend at least the grade “rite” (“passed”) for the dissertation, the dissertation will be submitted to the doctoral conference for a decision.
- (2) If the dissertation is rejected by the doctoral conference, the doctoral degree programme will be terminated and be assessed as a failed attempt at a doctoral programme. Rejections must be made in writing, stating the justification and providing information on the procedure for appeal.

§ 11 Oral doctoral examination

- (1) If the doctoral committee for the dissertation recommends at least a grade of “rite” (“passed”), the chair of the doctoral committee will appoint two examiners for the oral examination from among the professors and associate professors and designate one of these to be the chair.
- (2) The examination will be conducted by a minimum of two examiners, who, in the event that they belong to the same organisational unit, will not teach in the same subject area. The candidate’s supervising professor may serve as an examiner, even if he/she is no longer a faculty member.
- (3) The chair of the examination commission, in consultation with the second examiner and the candidate, will determine the date for the defence. If the applicant fails to appear at the established appointment, the examination will be graded as “failed”. If, through no fault of his/her own, the candidate fails to appear, a new appointment will be set. If either of the examiners does not appear for the established appointment, a new appointment will be set.
- (4) The oral examination must be taken no later than twelve months following submission by the doctoral committee (§10, paragraph 1) of the recommended grade for the dissertation. In justified cases, the doctoral committee may grant a time extension. If the oral examination is not taken, the degree requirements will not have been satisfied and the doctoral degree programme will be ended. The written component of the degree programme that has already been completed will become void. The incomplete programme will be assessed as an unsuccessful attempt to complete a doctoral programme.
- (5) The oral examination is open to all university members and lasts a maximum of 60 minutes. The subsequent advising and announcement of the grade are not open to the public. Questions may only be posed to the candidate by the examiners. Upon significant grounds, e.g. to ensure that the examination will not be interrupted, observers may be prohibited from attending the examination.
- (6) The oral examination will be held as a defence, with a brief presentation by the candidate, followed by questions from the examiners. Examination contents are based upon the dissertation along with the fundamentals of neighbouring subject areas. A protocol is to be completed for the oral examination. Following the oral examination, the examiners will meet privately to consult and take a decision as to their assessment of the oral examination results. The overall examination will be assessed as either “passed” or “failed”. The examination will only be considered to be passed if every examiner grants a grade of “passed”. In addition, both examiners may submit a recommendation for the overall doctoral grade (in accordance with § 12) to the doctoral committee.
- (7) If the candidate fails to pass the oral examination, he or she may repeat the examination within a period of six months. This time period may be extended

upon application and on justifiable grounds. The application must be submitted to the doctoral committee within six months following the oral examination. If the candidate fails to pass the examination on the second attempt, the degree programme will be terminated and will be assessed as an unsuccessful attempt at a doctoral degree programme. The candidate must be informed in writing of the termination of the degree programme and be provided with information on the procedure for appeal.

§ 12 Assessment of doctoral examinations

Based on the grade recommendation from the doctoral committee (§ 10, paragraph 1), the doctoral conference will take a decision regarding the overall grade for the doctorate. The following grades will be awarded:

- for outstanding performance: summa cum laude
- for very good performance: magna cum laude
- for good performance: cum laude
- for satisfactory performance: rite
- for unsatisfactory performance: non sufficit

Intermediary grades are not permitted.

§ 13 Publication of the dissertation

- (1) Following completion of the doctoral degree programme, the dissertation must be published. Publication may be achieved through:
 1. reproduction of copies of the text. In this event, five copies must be submitted to the university library.
 2. digital publication in Open Access on the university repository/Heidelberg document server heiDOK, operated by the university library, <http://archiv.ub.uni-heidelberg.de/volltextserver/>. The candidate thereby transfers to the university library and the German Library (DDB) in Frankfurt/Leipzig the right to publish the digital version in data networks. In addition, three printed and bound copies of the identical text must also be provided to the university library. Other forms of digital publication may be used only upon consent from the university library.
 3. in a series of publications or as a self-contained book distributed by a publisher, provided that documentation of a minimum print run of 100 copies is provided. In this case, the university library must be provided with three copies. If the publisher has a print-on-demand process in place to fulfil additional orders, a lower minimum print run may be accepted. It is the responsibility of the doctoral candidate to provide evidence thereof.
 4. in an academic journal, in print or digital form. In this case, the university library must be provided with three copies. The doctoral committee reserves the right to decide which series, publishing houses, academic journals, or compilations are suitable for publication.
- (2) In addition, copies of the dissertation must also be provided to the faculty. The number of copies required will be determined by the faculty. A summary of the

dissertation must also be made available on a digital device so that it may be published by the faculty. A request to have a portion of the resulting expense covered may be submitted.

§ 14 Conferment of the doctoral degree in medicine or dental medicine

- (1) If the applicant has successfully completed the doctoral degree programme, he or she will be conferred with a doctorate through the in-person or postal delivery of the doctoral diploma. The doctoral degree programme will have been successfully completed when
1. the dissertation has received a minimum grade of “rite” from the doctoral conference;
 2. the oral examination has been passed in accordance with § 11;
 3. the medical or dental examination required in accordance with licensing regulations or the examination rules and regulations for medical doctors and dentists has been successfully passed or the requirements in § 4, paragraphs 5 and 6 have been fulfilled;
 4. all required documents have been submitted to the faculty;
 5. and the publication requirements have been fulfilled.

The diploma will indicate the dissertation title and grade and will note the date of conferment of the doctorate as that upon which the doctoral degree programme was successfully completed. It will be signed by the dean of the respective faculty.

- (2) The right to use of the title "Doctor" is acquired only upon receipt of the doctoral diploma.

§ 15 Conferment of the honorary doctoral degree (h.c.) in medicine or dental medicine

- (1) With the approval of the Senate, and providing that no doctorate in medicine or dental medicine has previously been earned at Heidelberg University, the faculty may award an honorary doctorate in medicine or dental medicine for exceptional service in the area of medicine or dental medicine or in closely-related areas.
- (2) A minimum of two faculty members who are professors or associate professors must submit requests for the awarding of the honorary degree. The application will be adjudicated by all authorised active teaching professors and associate professors of the relevant medical faculty who are also members of the faculty council. It must be approved with a 75% majority of the members in attendance who are eligible to vote. To prepare for its decision, the faculty council will appoint two rapporteurs from among its members.
- (3) The conferment of the degree Dr. med.h.c. or Dr. med. dent. h.c. will be awarded through issuance of the appropriate diploma, signed by the dean, upon which the candidate's service will be noted.

§ 16 Revocation of admission; nullification of doctoral results

- (1) If, prior to the issuance of the doctoral diploma, it is discovered that the candidate falsified conditions for admission or that essential conditions for admission were mistakenly believed to have been fulfilled, the doctoral committee may revoke admission to the doctoral degree programme. This will also apply if facts become known that would justify revocation of a doctorate under state law.
- (2) If, prior to the issuance of the doctoral diploma, it is discovered that the candidate has cheated on a doctoral examination, individual or all doctoral examinations may be declared invalid. In severe cases, admittance to the doctoral degree programme may be revoked.
- (3) Decisions as described in paragraphs 1 and 2 will be taken by the doctoral conference. The candidate must be granted a hearing prior to a decision being reached. The decision must be justified in writing and the candidate must be provided with information on the procedure for appeal.

§ 17 Revocation of doctorate

- (1) The revocation of a doctorate is governed by state law. If state law does not specify otherwise, the doctoral conference is responsible for administering revocation of doctoral degrees.
- (2) The candidate must be granted a hearing prior to a decision being reached. The decision must be justified and the candidate must be provided with information on the procedure for appeal.
- (3) Paragraphs 1 and 2 also apply to the revocation of honorary doctorates.

§ 18 Coming into force and transitional provisions

- (1) These doctoral degree regulations become effective on the first day of the month following their publication in the President's Bulletin (Mitteilungsblatt des Rektors). At that time, the doctoral degree regulations of the medical faculty at Heidelberg University for conferment of the doctoral degree in medicine or dentistry (Dr. med. or Dr. med. dent.) from 22 September 2006 (President's Bulletin of 29 September 2006, p. 715) will cease to be in effect.
- (2) Doctoral students who, at the time that the doctoral degree regulations come into force, have already applied for admittance to the doctoral examination, will be governed by the doctoral degree regulations of 22 September 2006. Upon request and provided that it does not violate laws governing universities in Baden-Wuerttemberg (LHG), the doctoral degree regulations as described in paragraph 1 may be applied.

Heidelberg, 2 November 2015

Professor Dr. rer.nat. Bernhard Eitel
President

Appendix 1

Basic principles of the medical faculty at Heidelberg University for safeguarding good academic practice

This information is based on pertinent recommendations from the German Research Foundation (DFG) and the German Rectors' Conference.

1. Basic principles of good academic practice

All persons involved in academic research (including doctoral students) are obliged to follow the principles of good academic practice and to exemplify these principles to others. These principles are to be taught to students and junior researchers. Responsibility for this lies in main part upon professors. In keeping with recommendations from the German Research Foundation (DFG) ("Self-Regulation in Science" Commission, January 1998), the following general principles apply to good academic practice:

- Observance of the rules for academic work
- Documentation of results attained, including secure retention of primary data
- Consistent self-review with regard to results attained and subsequent conclusions reached
- Integrity with regard to the significance of third-party contributions to one's own work
- Responsible supervision of junior researchers
- Unrestricted coordination of all contributions from within a research group by the group's leader
- Publication of research results and announcement of all conditions necessary to their understanding

2. Violation of the rules for good academic practice

Violations of the rules for good academic practice and, dependent upon the circumstances, the commitment of academic fraud or incitement to academic fraud, include:

- fabrication, falsification, or suppression of data;
- plagiarism;
- fraudulent claim of authorship in publications;
- omission of rightful authorship;
- omission of or insufficient academic discussion within the research group;
- inadequate supervision of doctoral students;
- loss of or insufficient documentation of original data;
- failure to instruct research participants with regard to the rules of good academic practice;

- disparagement of good academic practice;
- breach of confidentiality as an evaluator or supervisor;

3. Responsibilities associated with implementation of the rules of good academic practice;

Every scholar bears responsibility for his/her own actions in the context of academic work. Leaders of research groups bear responsibility for ensuring that within the group, the rules for good academic practice are provided and adhered to. This calls for on-going communication within the research group and, in particular, the open exchange of scientific data in the context of continuous internal group discussions.

It is therefore the responsibility of leaders of academic research groups to ensure that all group members are made aware of their rights and obligations with regard to good academic practice. They must create conditions that enable adherence to these rules. It is especially important that the hypotheses, theories and, in particular, the scientific data produced by individual members of the group are openly discussed and critically assessed. Leadership of a research group demands active involvement and the ability to maintain an overview. If it is not possible to fully meet these requirements, leadership tasks must be delegated.

4. Supervision of doctoral students

Supervisors will work with their doctoral students before the student begins work on the dissertation to create a written outline of the goals of and methods for carrying out the planned project. The outline must contain a statement affirming that the supervisor has instructed the doctoral student regarding the rules of good academic practice. If conflicts arise between participants as the project progresses, the chair of the doctoral committee or the university's independent ombudsperson for doctoral students may be brought in to serve as mediators.

5. Documentation requirements

Primary data that forms the basis for publications is to be maintained for a period of ten years on durable and secure media within the research group in which it was generated. The responsibility for this resides with the respective researcher. This individual is required to maintain documentation that enables the creation of required protocols. Each experiment and every numerical calculation is to be documented to the utmost detail, so that, if needed, another researcher will be able to recreate the experiment or to comprehend the basis of the calculations. The primary test of a scientific experiment is its repeatability. Protocols and work journals must be hardcover and contain through-numbered pages; there may be no missing pages. They must be securely stored. The disappearance of original documents from a laboratory is a violation of the principle rules of scientific diligence and justifies a primary suspicion the the scientist has conducted him/herself in a dishonest or grossly negligent manner.

If a researcher moves to a different institution, the original data is to remain where it was first generated. In exceptional individual agreements between the "old institution" and the "new institution" at which the researcher is now working, the storage of the original data may be regulated differently. Agreements regarding storage of the protocols are to be stated on the original data medium with the signatures of all participants.

6. Publications, authorship

The authors of scholarly publications bear the responsibility for the content thereof. “Honorary authorships” will not be recognised.

In publications in which new scientific findings, in particular, are presented, the findings are to be exhaustively and coherently described. The author’s own work and the contributions of others are to be completely and correctly identified (citations). Previously published findings are to be presented clearly and as repetitively as necessary to ensure that the interrelationships are understood.

Only those persons who have personally and significantly contributed to the conception of the study, the experiments, the generation, analysis and interpretation of data, or the formulation of the manuscript and who have consented to the joint publication may be listed as authors, indicating that they share responsibility for the publication. All other contributions, such as purely organisational responsibility for the acquisition of funding or leadership of the institute or organisational unit in which the publication has been created, do not entitle an individual to be listed as an author. The degree to which the doctoral student has contributed to a publication should, when possible, also be reflected in the student being listed as primary author.

Appendix 2

The affidavit is normally to be submitted in writing. The option of recording the affidavit in a written record remains in effect. The written statement should contain the following text:

„Affidavit

1. The submitted doctoral dissertation on the topic of:

..... is my own independent work.

2. I did not seek unauthorised assistance from a third party and I have employed no sources or means other than those listed. I have clearly marked any direct and indirect quotations taken from the work of others.

3. I have not, as yet, submitted this dissertation, neither in full nor in part, to a university in Germany or abroad, as part of an examination procedure.

Title of the dissertation:

University and year:

Type of examination or qualification:

4. I hereby confirm the accuracy of the above statement.

5. I am aware of the significance of this affidavit and of the legal ramifications in the event of untrue or incomplete statements.

I affirm in lieu of oath that the above statements are to the best of my knowledge true and complete.

Place and date

Signature

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