

# Inofficial Translation. Not legally binding! For purpose of understanding only.

## **Doctoral Regulations of the Faculty of Mechanical Engineering at Chemnitz University of Technology dated April 4, 2017**

Based on § 40 sec. 5 in conjunction with § 13 sec. 4 sentence 1 and § 88 sec. 1 no. 2 of the law governing the freedom of universities in the Free State of Saxony (Saxon Freedom of Universities Act - SächsHSFG) in the version published on January 15, 2013 (SächsGVBl. (Saxony Law Gazette) page 3), last amended by article 11 of the Act of April 29, 2015 (SächsGVBl. p. 349, 354), the Board of the Faculty of Mechanical Engineering at Chemnitz University of Technology has issued the following Doctoral Regulations.

In the following, the generic masculine will generally be used for reasons of better legibility. All personal designations apply naturally to all genders.

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### **I**

#### **In general**

#### **§ 1**

##### **Doctoral Degrees**

- (1) Based on the entitlement of Chemnitz University of Technology to award Doctorates, the Faculty of Mechanical Engineering awards after the completion of a Doctoral Procedure the academic degree

Doctor-Engineer (Dr.-Ing.).

- (2) Based on the entitlement of Chemnitz University of Technology to award Doctorates, the Faculty of Mechanical Engineering awards based on the decision of its Faculty Board the academic degree

Honorary Doctor-Engineer (Dr.-Ing. E.h.).

#### **§ 2**

##### **Doctorate**

- (1) By the Doctorate, the candidate proves his ability to achieve results on an area in engineering by autonomous scientific work which are contributing to the further development of theories and methods of the scientific discipline.
- (2) The proof is done within a regular Doctoral Procedure. This includes:
1. the admission to a Doctorate,
  2. the Opening of a Doctoral Procedure by submission of the Doctoral Thesis,
  3. the approval of the Doctoral Thesis after reception of positive assessment reports,
  4. the non-public Rigorosum (oral examination),
  5. the Public Defense of the Doctoral Thesis (scientific presentation and Disputatio),
  6. the publication of the Doctoral Thesis,
  7. the submission of the mandatory copies and
  8. the issue of the Certificate of the Doctorate.
- (3) After successful completion of the regular Doctoral Procedure according to section 2 sentence 2 number 8, the candidate will be awarded the entitlement for use of the degree Doctor-Engineer (Dr.-Ing.).
- (4) Doctoral Procedures are opened for individual candidates. Each candidate submits an own and complete Doctoral Thesis characterized by his individual performances.
- (5) Doctoral Procedures generally have to be delivered in German. Exemptions have to be approved by the Doctoral Committee prior to the application for Opening of a Doctoral Procedure according to § 8.

- (6) The charge of fees complies with the University Regulations on Fees and Payments (“Hochschulgebühren- und -entgeltordnung”) of Chemnitz University of Technology.

### **§ 3**

#### **Doctoral Committee**

- (1) The Faculty establishes a Doctoral Committee as a standing body appointed by the Faculty Board acting on behalf of the Faculty in all issues regarding Doctorate. The Doctoral Committee consists of five professors from which one takes over the Chair. The members of the Doctoral Committee are appointed for a term of office of three years. The re-appointment is admissible.
- (2) The Doctoral Committee is responsible for the following tasks:
1. the compliance of a candidate with the requirements for a Doctorate,
  2. the decision on admission to a Doctorate,
  3. the decision on the opening of a Doctoral Procedure,
  4. the appointment of the examiners and the Doctoral Commission,
  5. the decision on approval of the Doctoral Thesis after reception of the assessment reports,
  6. the decision on the award of a Doctoral degree based on the recommendation of the Doctoral Commission and initiation of the issue of the Certificate,
  7. the decision on appeals against decisions of the Doctoral Commission,
  8. the preparation of decisions which have to be taken by the Faculty Board.

On demand, the Chair of the Doctoral Committee has to provide a report regarding its activities to the Faculty Board.

- (3) The meetings of the Doctoral Committee are not open to the public. Its members are bound to confidentiality.

### **§ 4**

#### **General Procedural Provisions**

- (1) Bodies responsible for issues regarding Doctorate (Faculty Board, Doctoral Committee, Doctoral Commission) are quorate in the case that there was a regular call for the meeting and that more than half of the members, who are entitled to vote, attend.
- (2) Decisions in issues regarding Doctorate are taken by the majority of the votes of the attending members.
- (3) Each decision in issues regarding Doctorate has to be recorded and to be integrated in the file of the Doctorate. Negative decisions in issues regarding Doctorate have to be verifiably announced to the person affected within a delay of one month, starting from the day of the decision, in written form jointly with a justification and a notification on legal remedies.
- (4) The person affected is entitled to appeal in written form to the Dean of the Faculty of Mechanical Engineering against negative decisions in issues regarding Doctorate within a delay of one month starting from the reception of the respective written notification. The Faculty Board has to take a decision on the appeal within a delay of another three months.
- (5) The documents submitted by the candidate within a Doctoral Procedure including one copy of the Doctoral Thesis remain with the Faculty. An entitlement for reclaim of the documents submitted except the formal application is only be given in the case of an admissible withdrawal of the application for Opening of a Doctoral Procedure according to § 8.
- (6) On application, the candidate is entitled to get access to the file of his Doctorate. The application has to be submitted within one month after the announcement of the overall grade in written form to the Doctoral Committee. The Chair of the Doctoral Commission determines date and location of the access.

## II Requirements for Admission to a Doctorate

### § 5 Admission

The implementation of a Doctoral Procedure requires the admission of a candidate for a Doctorate. The decision on the admission to a Doctorate belongs to the Doctoral Committee on application of the candidate. There is no claim on admission to a Doctorate.

### § 6 General requirements for admission

- (1) At the Faculty of Mechanical Engineering, a candidate may be admitted for a Doctorate in the case that he has acquired a Diploma or Master degree within university studies in an engineering subject close to the topic selected for the Doctoral Thesis which generally have to be completed with an above-average result (grade „good“ or better) and under the condition that a professor of the Faculty of Mechanical Engineering has given his consent for taking over the supervision of the Doctorate. The Doctoral Committee is entitled to require from the candidate to deliver additional study and examination performances in engineering subjects. Those study and examination performances to be delivered are determined in a special study plan for the acquisition of the admission to a Doctorate.
- (2) In order to further enhance the trans-disciplinary work, also a candidate who has acquired a Diploma or Master degree within university studies in another subject than the area according to section 1 by completing them with an above-average result (grade “good” or better) may be admitted for a Doctorate under the condition that the studies completed are appropriate as basis for scientific work on the area of the Doctoral Thesis and that a professor of the Faculty of Mechanical Engineering has given his consent for supervision of the Doctorate. The Doctoral Committee is entitled to require from the candidate to absolve supplementary examinations in engineering subjects which should not be directly linked to the topic of the Doctoral Thesis. The supervisor may make propositions in this respect.
- (3) Graduates, who have acquired a Diploma or Master degree within a degree program close to topic of the Doctoral Thesis at a university of applied sciences, may be admitted for a Doctoral Procedure in the case that they have absolved the final examination with an above-average result (holder of a Diploma degree: overall grade 1.9 or better, holder of a Master degree: grade “good” or better). For a candidate according sentence 1, section 1 sentences 2 and 3 apply accordingly. Within a cooperative Doctoral Procedure towards a Doctorate of graduates from universities of applied sciences according to section 1, 2 and 4, the university and the university of applied sciences are collaborating (§ 40 sec. 4 SächsHSFG). In this case, the Doctorate shall be jointly supervised and assessed by a professor of Chemnitz University of Technology and a professor of the university of applied sciences.
- (4) Graduates, who have acquired a Bachelor degree within an engineering degree program close to the topic of the Doctoral Thesis with an outstanding result (overall grade 1.5 or better), may be admitted for a Doctorate under the condition that the ability for scientific work has been proven within Aptitude Test. The application for the Opening of an Aptitude Test Procedure according to sentence 1 has to be submitted to the Doctoral Committee. This determines in coordination with the supervising professor resp. the supervising professors the study performances required for proof of scientific aptitude comprising a scope of about 90 credit points. The Aptitude Test Procedure shall not last longer than three terms at maximum. It is completed by an examination. A certificate regarding a successfully completed Aptitude Test Procedure is not issued.
- (5) The decision on the recognition of equivalence of university degrees acquired abroad belongs to the Doctoral Committee in consideration of valid agreements on equivalence. Insofar equivalence is recognized, sections 1 to 4 apply accordingly.

- (6) Examinations to be absolved according to sections 1, 2, 3 and 4 have to be proven prior to the application for the Opening of a Doctoral Procedure (§ 8). They are considered as proven in the case that they were completed at least with "good" in the average of grades.

## **§ 7**

### **Application for admission to a Doctorate**

- (1) The application for admission to a Doctorate has to be submitted in written form to the Chair of the Doctoral Committee of the Faculty. The following documents have to be enclosed with the application:
1. the projected topic of the Doctoral Thesis including a brief summary of the scientific problem, the approach for its solution and the working steps planned,
  2. the declaration of consent of a professor of the Faculty of Mechanical Engineering or in the case of a cooperative Doctorate of two professors according to § 6 sec. 3 sentence 3 to supervise the candidate scientifically during the elaboration of the Doctoral Thesis,
  3. the proof on the acquisition of a university degree according to § 6 sec. 1, 2, 3, 4 or 5,
  4. a curriculum vitae with portrait photo and scientific career including proofs of already absolved additional studies or examinations,
  5. a declaration on prior unsuccessful Doctoral Procedures,
  6. a declaration on the acceptance of these Doctoral Regulations.

All documents listed in section 1 have to be submitted in written form and have to be signed by the candidate; the documents according to number 3 have to be authenticated officially.

- (2) The application on admission to a Doctorate is considered as a declaration of the intention of the candidate to acquire a Doctorate at the Faculty within the upcoming six years. The Doctoral Committee examines, based on the prior qualifications of the candidate, if he may be admitted directly to a Doctorate or if additional study and examination performances according to § 6 sec. 1, 2, 3 and 4 have to be delivered. The candidate will receive a written notification on the admission and eventual conditions or on the rejection.
- (3) The Faculty of Mechanical Engineering maintains a list of doctoral candidates. By the positive decision on the application for admission to a Doctorate, the candidate will be integrated in the list and thus receives the status of a doctoral candidate.
- (4) The integration in the list of doctoral candidates and the admission to a Doctorate are not bound to an employment.
- (5) The admission to a Doctorate and the integration in the list of doctoral candidates may be withdrawn by the Doctoral Committee after hearing of the supervising professor in the case that the application for Opening of a Doctoral Procedure has not been submitted at latest six years after the application for admission to a Doctorate.

## III

### **Opening of a Doctoral Procedure**

## **§ 8**

### **Application for the Opening of a Doctoral Procedure**

- (1) The application for the Opening of a Doctoral Procedure requires the admission to a Doctorate according to § 7. It has to be submitted by the candidate in written form to the Chair of the Doctoral Commission of the Faculty of Mechanical Engineering.
- The following documents have to be enclosed with the application:
1. a personal data sheet including information regarding the personal profile and professional career as well as the educational background,
  2. the certification of the admission to a Doctorate including the confirmation of study and examination performances according to § 6 sec. 1, 2, 3 and 4,

3. a Doctoral Thesis according to § 11 in 4 bound copies including one electronically readable version (CD) each as well as 5 copies of a brief summary (scope of 10 pages at maximum),
4. a list of publications, presentations, patents, significant student works and other scientific performances,
5. a declaration of the candidate according to § 8 sec. 2,
6. a declaration that an application for the issue of a police clearance certificate (§ 30 sec. 5 Act on Federal Register of Criminal and Court Records) to Chemnitz University of Technology, Faculty of Mechanical Engineering was submitted to the responsible registration office and that it dates not longer than six months ago,
7. propositions for the examiners in accordance with the supervisor according to § 10 and the consent of the supervisor to the submission of the Doctoral Thesis.

All documents have to be submitted in written form and have to be signed by the candidate.

- (2) Jointly with the application for Opening of a Doctoral Procedure, the candidate has within a written declaration
  1. to assure that the submitted work was elaborated without inadmissible assistance as well as without use of other than the indicated resources and that reflections taken directly or indirectly from other sources are marked as such in the work,
  2. to declare the persons who have supported him within the selection and evaluation of the material as well as within the elaboration of the manuscript,
  3. to assure that no other than the persons declared in number 2 participated in the intellectual elaboration of the submitted work, particularly that no services of a doctoral consultant were used and that no third parties received neither directly nor indirectly payments for services which are related to the content of the Doctoral Thesis submitted,
  4. to assure that the submitted work was not submitted neither in Germany nor abroad in the same or in a similar form to another examination authority for the purpose of a Doctorate or within another examination procedure,
  5. to assure that within the elaboration of the work, the regulations for good scientific practice were respected,
  6. to declare where, when, with which topic and with which result prior unsuccessful attempts for a Doctorate happened,
  7. to declare his consent to the electronical check of the Doctoral Thesis with regard to eventual plagiarism.

All documents listed have to be signed by the candidate.

- (3) The withdrawal of the application for the Opening of a Doctoral Procedure is admissible as long as it had not been opened by the Faculty yet. In this case, the application is considered as not submitted and the candidate will get back all documents except the application. A later application for withdrawal leads to the termination of the Doctoral Procedure. The application for withdrawal has to be submitted in written form.

## **§ 9**

### **Opening**

- (1) In the case that all documents to be submitted have been received, the Doctoral Committee takes the decision on the Opening of a Doctoral Procedure. The decision on the Opening has to include:
  1. the determination of the examiners of the Doctoral Thesis
  2. the approval of the title of the Doctoral Thesis.
- (2) Prior to this decision, the Doctoral Committee may return the Doctoral Thesis for elimination of formal deficiencies.
- (3) The candidate will receive a written notification on the Opening or Non-Opening of the Doctoral Procedure.

- (4) In the case that a Doctoral Procedure will not be opened, the application of the candidate as well as one copy of the Doctoral Thesis and of the brief summary each remain with the file of the Doctorate. All other documents submitted will be returned to the candidate.

## **§ 10**

### **Examiners**

- (1) By the decision on the Opening, at least two examiners are appointed with relations to the scientific area of the Doctoral Thesis. One of the examiners has to be a professor appointed according to § 60 or § 62 SächsHSFG at the Faculty of Mechanical Engineering of Chemnitz University of Technology. The other examiners may be professors of universities of applied sciences or junior professors or they can prove at minimum performances equivalent to a habilitation. The supervisor generally counts among the examiners. In exceptional cases, he may have retired within the past three years after having taken over the supervision or may have left the Faculty within the past two years. In the case of cooperative Doctoral Procedures one of the examiners adheres to the respective university of applied sciences.
- (2) The examiners are at the same time the examiners within the Rigorosum.
- (3) Within the process of appointment of the examiners, special attention should be laid on their impartiality.

## **IV**

### **Doctoral Thesis**

## **§ 11**

### **In general**

- (1) The Doctoral Thesis is a completed individual work of the candidate. By the Doctoral Thesis, the ability for autonomous scientific work shall be proven and it should provide a contribution to the research work on the area of engineering sciences. It has to contain new scientific findings and to comply to scientific requirements regarding methods applied and presentation of facts.
- (2) The topic of the Doctoral Thesis has to be assignable to the scientific profile of the Faculty of Mechanical Engineering. The title of the Doctoral Thesis should be brief and concise.
- (3) An elaborate which was already rejected by a scientific body or which was already used for other examinations or graduations is not eligible for submission as Doctoral Thesis anymore.

## **§ 12**

### **Assessment of Doctoral Thesis**

- (1) The examiners submit an individual, independent and justified assessment report in written form regarding the Doctoral Thesis which in any case has to be kept confidentially and make a suggestion concerning the approval or rejection, in the first case also the assessment.
- (2) In the case of approval, the following grades are provided:

"magna cum laude" (very good)	= a particularly acknowledgeable performance
"cum laude" (good)	= an above-average performance
"rite" (sufficient)	= a performance corresponding to the average requirements

A rejection corresponds to the following grade:

"non sufficit" (insufficient)	= a non-sufficient performance.
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- (3) The assessment reports should also include the approval or rejection of the brief summary of the Doctoral Thesis and provide a statement whether those are reflecting the most significant content of the Doctoral Thesis. The assessment report could also impose conditions regarding amendments and supplements which are not significantly changing the content of the Doctoral Thesis and which have to be fulfilled by the candidate prior to the publication of his Doctoral Thesis.
- (4) The examiners are entitled to keep the Doctoral Theses handed over to them for assessment. The assessment reports shall be submitted in written form within three months to the Chair of the Doctoral Committee. The elaboration of the assessment reports is not remunerated.
- (5) The Doctoral Committee, after reception of all assessment reports of the examiners, takes the decision on the continuation of the Doctoral Procedure:
  1. In the case that the examiners recommend the approval of the Doctoral Thesis, it will be disclosed to the public.
  2. In the case that one examiner came to the assessment "non sufficit", the Faculty may nonetheless initiate the public disclosure of the Doctoral Thesis. It may also make the decision depending on further assessment reports. In the case that more than one examiner came to the assessment "non sufficit", the Doctoral Thesis has to be rejected and the Doctoral Procedure has to be terminated with the grade "non sufficit".
  3. In the case that one examiner recommends to return the Doctoral Thesis to the candidate for amendments and changings, the decision belongs to the Doctoral Committee. In this respect, the Doctoral Committee may determine a delay up to six months until the re-submission. The re-submission of a returned Doctoral Thesis is only one time possible. Regarding the re-submitted Doctoral Thesis, the examiners are asked to submit new assessment reports resp. to make amendments to their former assessment reports.
  4. In the case that an examiner appointed by the Doctoral Committee refuses to take over the elaboration of an assessment report, the Doctoral Committee appoints another examiner.

### **§ 13**

#### **Public Disclosure of Doctoral Thesis**

- (1) The Doctoral Thesis will be disclosed to the public for a duration of 10 working days in the Office of the Dean of the Faculty of Mechanical Engineering and the disclosure will be announced. Each postdoc member of the Faculty is entitled to announce a statement for or against the approval of the Doctoral Thesis within the delay of public disclosure and to submit the statement including justification within two weeks subsequent to the announcement in written form to the Chair of the Doctoral Committee.
- (2) The professors of the Faculty are entitled to get access to the assessment reports including the propositions of grades.
- (3) The candidate is entitled to get access to the assessment reports excluding the propositions of grades.

### **§ 14**

#### **Approval of Doctoral Thesis**

- (1) Based on the assessment reports and the statements submitted according to § 13 sec. 1 sentence 2, the Doctoral Committee takes the decision on approval or non-approval of the Doctoral Thesis as well as on the continuation or termination of the Procedure. The candidate has to be informed about the decision immediately by written notification.
- (2) Candidates, whose Doctoral Thesis had not been approved, may apply for a new Doctoral Procedure at the earliest six months after the decision according to section 1 with a significantly changed version of the not approved or a thematically changed Doctoral Thesis. In the letter of application for a new Doctoral Procedure, the prior non-approval has to be mentioned.



- (3) Conditions imposed by the examiners according to § 12 sec. 3 sentence 2 and conditions in the same sense imposed by the Doctoral Committee deriving from the statements submitted during the public disclosure of the Doctoral Thesis, if applicable, are not opposed to the approval.

## **V**

### **Doctoral Viva (Rigorosum) and Defense**

#### **§ 15**

##### **Doctoral Commission**

- (1) By the approval of the Doctoral Thesis, the Doctoral Committee appoints a Doctoral Commission. To this belong:
  1. A Chair and
  2. the examiners of the Doctoral Thesis.

The Chair has to be a professor of the Faculty of Mechanical Engineering. The Doctoral Committee may appoint other observers entitled for examinations as members of the Doctoral Commission. The Doctoral Committee informs the candidate about the composition of the Doctoral Commission by written notification.

- (2) The Doctoral Commission
  1. determines in coordination with the supervisor the date for the Rigorosum and the date for the Public Defense of the Doctoral Thesis. The Office of the Dean informs the candidate by written notification about these dates at least two weeks before and announces the date of the Defense to the public,
  2. appoints the keeper of the minutes, generally being appointed by the supervisor, for the Rigorosum and the Defense,
  3. implements the Rigorosum and the Defense,
  4. assesses the Rigorosum as well as the Defense, proposes an overall grade for the performance of the Doctorate and decides, if applicable, about conditions imposed for the publication of the Doctoral Thesis.
- (3) The meetings of the Doctoral Commission are not open to the public. All persons involved in the procedure are bound to confidentiality.

#### **§ 16**

##### **Doctoral Viva (Rigorosum)**

- (1) The Rigorosum shall determine that the candidate disposes of deeper knowledge in engineering sciences and that he can prove that within a scientific oral examination.
- (2) The Rigorosum is not open to the public and shall have a duration of 60 minutes at minimum at 90 minutes at maximum. It is headed by the Chair of the Doctoral Commission and may be implemented only under the condition that all examiners attend. In the case of more than two examiners, the attendance of two examiners is considered as sufficient. The conduct of the Rigorosum has to be fixed in a protocol which is signed by the Chair of the Doctoral Commission and the keeper of the minutes and which becomes a component of the file of the Doctorate. Immediately following, the Doctoral Commission assesses the Rigorosum by using one of the grades according to § 12 sec. 2. The candidate has to be informed about the pass or fail of the examination without delay.
- (3) In the case that the Rigorosum was not passed, one single repetition is possible. In this case, a date already determined for the Defense has to be cancelled. The Doctoral Commission may make the admission to a repetition of the Rigorosum depend on conditions. In the case that the candidate does not pass the repeat examination, the Doctoral Procedure is terminated with the assessment "non sufficit". The candidate will be informed about that by the Doctoral Committee in written form.

## **§ 17**

### **Defense**

- (1) The Defense requires the passed Rigorosum. The Defense shall prove that the candidate is able to present the results elaborated within his Doctoral Thesis and to defend them against questions and objections within a scientific debate (Disputatio). The Disputatio thus refers to the content of the Doctoral Thesis and the scientific areas to which the topic of the Doctoral Thesis is assigned or which are in direct correlation with it.
- (2) The Defense is open to the public and shall not last longer than two hours. It is headed by the Chair of the Doctoral Commission and may only be implemented under the condition that at least two examiners attend. The Defense comprises:
  1. the introduction to the scientific career of the candidate by the Chair of the Doctoral Commission,
  2. a scientific presentation of the candidate with a scope of 30 minutes,
  3. the scientific debate (Disputatio).

The conduct of the Defense has to be fixed in a protocol which is signed by the members of the Doctoral Commission and the keeper of the minutes and which becomes a component of the file of the Doctorate.

- (3) The Chair of the Doctoral Commission may reject questions which are not related to the scientific issue.

## **§ 18**

### **Failure to attend**

In the case that the candidate does not attend on the date determined for the Rigorosum or for the Defense without providing valid reasons, the respective Doctoral performance will be assessed by „non sufficit“.

## **§ 19**

### **Assessment of Defense and Doctorate**

- (1) Immediately subsequent to the Defense, the Doctoral Commission discusses the results in a non-public meeting.
- (2) The Doctoral Commission determines a grade for the Defense according to § 12 sec. 2. In the case that the candidate does not pass the Defense (grade “non sufficit”), the Doctoral Procedure will be terminated with the assessment “non sufficit”. The candidate will be informed about that in written form by the Doctoral Committee.
- (3) In the case of positive assessment of the partial performances within a Doctoral Procedure – the Doctoral Thesis, the Rigorosum and the Defense – the Doctoral Commission makes a proposition regarding the overall grade of the Doctorate and recommends the award of the academic degree Doctor-Engineer (Dr.-Ing.) to the Faculty.
- (4) The overall grade according to § 12 sec. 2 is calculated from the grades of the assessment reports of the Doctoral Thesis as well as the grades for the Rigorosum and the Defense whereas the written reports are counting 60% and the Rigorosum and the Defense together 40% of the overall degree. The overall degree of the Doctorate may also be “summa cum laude” (excellent). This requires that the Doctoral Thesis was assessed with “magna cum laude” by all examiners, that the Rigorosum and the Defense were assessed with the same grade and that the candidate has proven outstanding scientific performances.
- (5) Conditions based on the assessment reports and the statements submitted have to be integrated in the protocol of the Defense and have to be notified to the candidate in written form by the Doctoral Committee. Significant changes regarding content are not admissible. The copy remaining with the Faculty must not be changed.
- (6) The Chair of the Doctoral Commission informs the candidate in camera and without delay about the proposition for the overall grade and about conditions, if applicable. The candidate has to be advised that the entitlement for use of the Doctoral degree is conferred not until the publication of the Doctoral Thesis and the handing over of the Certificate.

**VI**  
**Completion of Doctoral Procedure**

**§ 20**

**Publication of Doctoral Thesis**

- (1) The candidate has to make the approved version of the Doctoral Thesis accessible to the scientific public in an appropriate way within one year after the Defense. In case of a publication according to section 3 number 2, the annual delay refers to the conclusion of a contract with a publisher. In the case that the candidate culpably misses the delay, all rights acquired within the Doctoral Procedure are considered as expired. The Doctoral Committee informs the candidate about this in written form. The Doctoral Committee may prolong this delay one time upon an justified application submitted in due time.
- (2) One examiner, generally the supervisor, approves, after examination if the conditions according to § 10 sec. 5 were fulfilled by the candidate in an appropriate manner, the version to be published.
- (3) The publication may be done optionally by the submission to the Library of Chemnitz University of Technology free of charge of
  1. 20 printed and bound copies or
  2. 6 printed and bound copies in the case of publication by the university publisher of Chemnitz University of Technology or by another recognized scientific publisher taking over the distribution by the bookstores for the time of availability. The publication has to be marked as thesis. This may be done either by integration of the front page of the Doctoral Thesis or by the indication of a thesis annotation in the imprintor
  3. 6 printed and bound copies in case of publication of an identic electronic version of the Doctoral Thesis within the full-text-archive of Chemnitz University of Technology.

**§ 21**

**Certificate**

- (1) The Doctoral Committee takes the decision, based on the proposition of the Doctoral Commission, on the overall grade of the Doctorate according to § 19 sec. 3 and initiates the issue of a Certificate of the Doctorate.
- (2) The Certificate includes in addition to name, first name, academic degree, date and location of birth of the candidate the title of the Doctoral Thesis, the academic degree to be certified and the overall grade. It is dated on the day of the Defense and bears the signatures of the President and the Dean of the Faculty of Mechanical Engineering as well as the seal of Chemnitz University of Technology.
- (3) The Certificate of the Doctorate will be handed over as soon as the candidate proves the publication of the Doctoral Thesis according to § 20. By the handing over of the Certificate, the Doctorate is done, the entitlement for use of the Doctoral degree is acquired and the Doctoral Procedure completed.

## **VII Honors**

### **§ 22 Honorary Doctorate**

- (1) By the award of the Honorary Doctorate

Honorary Doctor-Engineer (Dr.-Ing. E.h.)

personalities may be honored for significant merits regarding science and technology. The personality to be honored must not adhere to Chemnitz University of Technology.

- (2) An well-justified application for the award of an Honorary Doctoral Degree is submitted by at minimum two professors to the Faculty Board. In case of approval of the Faculty Board, the Procedure will be initiated. In this respect, a Doctoral Commission appointed by the Faculty Board to which the applicants must not adhere asks for at least two assessment reports. The professor of the Faculty are entitled for access to all assessment reports after their reception for a period of 10 working days at the Office of the Dean. Subsequently, the Doctoral Commission, after examination of the merits of the personality to be honored, is submitting a proposition for decision to the Faculty Board. The Faculty Board and all attending professors decide by secret ballot about the application and the proposition for decision by a majority of three-quarters of the attending members entitled to vote.
- (3) The award of the Honorary Doctorate has to be implemented in a solemn manner corresponding to the purpose by handing over a Certificate highlighting the significant merits and signed by the President and the Dean. The award of the Honorary Doctorate is done by the Dean of the Faculty of Mechanical Engineering.

## **VIII Invalidity**

### **§ 23 Invalidity of Doctoral Performances**

- (1) In the case that prior to the issue of the Certificate of the Doctorate it emerges that the candidate has committed fraud during Doctoral Performances or that significant requirements for the admission to a Doctorate had not been fulfilled, the Faculty Board may, by a two-thirds-majority of the attending members entitled to vote, declare the already completed Doctoral Performances as completely or partly invalid. Prior to a decision, the candidate has to be heard.
- (2) In case that all Doctoral Performances are declared as invalid, the Procedure has to be terminated accordingly.

### **§ 24 Withdrawal of Doctoral Degree**

- (1) The academic degree may be withdrawn according to university legal regulations.
- (2) The argumentation for the withdrawal has to withstand legal assessments. Prior to the withdrawal, the candidate has to be offered the opportunity for a statement.
- (3) The decision on the withdrawal is taken by the Faculty Board by a two-thirds-majority of the attending members entitled to vote.

**IX**  
**Final provisions**

**§ 25**

**Coming into force and Transitional Regulations**

These Doctoral Regulations are coming into force on the day of their publication in the Public Announcements of Chemnitz University of Technology (“Amtliche Bekanntmachungen”). Procedures already opened at that point of time are implemented according to the Doctoral Regulations valid when they were opened. Candidates, who have submitted an application for admission to a Doctorate already prior to the coming into force of these Doctoral Regulations, are entitled to apply for implementation of their Doctoral Procedure according to these Doctoral Regulations. Already opened Procedures for the award of an Honorary Doctorate will be continued according to these Regulations.

Issued on the basis of the decision of the Faculty Board of the Faculty of Mechanical Engineering on January 30, 2017 and the approval of the University Management of Chemnitz University of Technology on March 15, 2017.

Chemnitz, April 4, 2017

The Dean  
of the Faculty of Mechanical Engineering of  
Chemnitz University of Technology

Prof. Dr. Thomas Lampke