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For purpose of understanding only.

Doctoral Regulations of the Faculty of Mathematics of Chemnitz University of Technology dated November 10, 2009

Based on § 40 sec. 2 in conjunction with § 13 sec. 4 sentence 1 and § 88 sec. 1 no. 2 of the law governing the universities in the Free State of Saxony (Saxon Universities Act - SächsHSG) in the version published on December 10, 2008 (SächsGVBl. (Saxony Law Gazette) page 900), last amended by article 10 of the Act of June 26, 2009 (SächsGVBl. p. 375, 377), the Board of the Faculty of Mathematics at Chemnitz University of Technology has issued the following Doctoral Regulations:

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I. General terms

§ 1

Designations

In these regulations, grammatically masculine personal designations are used. Naturally, they apply to all genders.

§ 2

Doctoral Degrees

- (1) The Faculty of Mathematics awards on behalf of Chemnitz University of Technology based on a Doctoral Procedure the academic degree doctor rerum naturalium (Dr. rer. nat).
- (2) The Faculty of Mathematics awards on behalf of Chemnitz University of Technology based on a decision of its Faculty Board in consent with the Senate the academic degree doctor rerum naturalium honoris cause (Dr. rer. nat. h. c.).

§ 3

Doctorate

- (1) By the Doctorate, the candidate proves his ability to achieve results by autonomous scientific work which are contributing to the further development of mathematic sub-disciplines as well as enriching their theories and methods.
- (2) The Doctoral Procedure comprises the Opening of a Doctoral Procedure, the assessment of the Doctoral Thesis, the completion of a Doctoral Viva (Rigorosum), the Public Defense (Disputatio) of the Doctoral Thesis and the award of the Doctoral Degree Dr. rer. nat.
- (3) Doctoral Procedures are opened for individual candidates. Each candidate submits an own and completed Doctoral Thesis characterizing his performances.

§ 4

Requirements for a Doctorate

- (1) For admission to a Doctorate, the successful completion of studies with a diploma or master examination – generally with above-average results – in a degree program in Mathematics at a university is required.
- (2) Particularly enabled graduates of universities or applied sciences fulfilling the requirements according to section 1, should be admitted to a Doctorate in case that they have been nominated for a Doctorate by the responsible faculty board of the university of applied sciences (co-operative Doctoral Procedure, § 40 sec. 1 sentence 4 SächsHSG). Within a co-operative Doctoral Procedure, the Doctoral Thesis shall be supervised by a professor of the Faculty of Chemnitz University of Technology or by a professor of the university of applied sciences individually or by a professor of the Faculty of Chemnitz University of Technology or by a professor of the university of applied sciences jointly. Further regulations should be determined within an agreement concluded between a professor of the Faculty assigned by the Board of the Faculty and a professor assigned by the subject area of the university of applied sciences.
- (3) Holders of a mathematical Bachelor degree may be admitted directly to a Doctorate within an aptitude test procedure, in cooperative procedure according to section 2 if applicable. By additional study performances comprising a scope of two terms which have to be absolved prior to the completion of the Doctoral Viva, the aptitude will be considered as proven under the condition that the respective examinations were completed by an average of grades of at least “good”. The decision on admission is taken by the Board of the Faculty determining also further details regarding kind and scope of additional study performances within the decision on admission.
- (4) In the case that an applicant with completed studies at a university or at an institution equivalent to a university is seeking for a Doctoral Degree on the scientific area of mathematics and this does not correspond to this degree acquired, the Examination Committee of the Faculty of Mathematics determines which examinations (at minimum three) within mathematical basic subjects have to be absolved prior to the completion of the Doctoral Viva. The candidate may make suggestions regarding the examination subjects taken from an offer determined by the Board of the Faculty. The candidate will get a proof regarding the completed supplementary examination. Duration and scope of the examinations are stipulated within the respective examination regulations.
- (5) The decision on the recognition of the equivalence of examinations absolved abroad belongs to the Board of the Faculty in reconsideration of valid agreements on equivalence. In cases of doubt, a statement of the Saxon State Ministry of Science and the Arts has to be obtained. Insofar equivalence has been approved, sections 1 to 4 apply respectively.

- (6) Candidates who have absolved a Doctoral Procedure already two times without success prior to their application, do not fulfill the requirements for a Doctorate anymore.

§ 5

Doctoral Performances

- (1) The Doctoral Degree will be awarded on the basis of a written scientific elaborate (Doctoral Thesis, cf. § 9) which has to be defended publically (Disputatio, cf. § 14) and a Doctoral Viva (Rigorosum, cf. § 13).
- (2) The Doctoral Thesis has to be submitted in German or English language. In case that by a decision of the Board of the Faculty also another foreign language will be admitted, a brief summary of the Doctoral Thesis in German or English language comprising a scope of six to twelve pages is a component of the Doctoral Thesis.
- (3) The elaboration of a Doctoral Thesis is only possible on a mathematical subject area competently represented by at least one professor adhering to the Faculty of Mathematics (§ 50 sec. 1 SächsHSG).
- (4) All other Doctoral Performances (Doctoral Viva, Public Defense) are delivered in German or English language.

II. Admission to Doctorate

§ 6

Application

- (1) The application for Opening of a Doctoral Procedure has to be submitted by the candidate to the Dean of the Faculty of Mathematics.
- (2) Within the application, the scientific area (in mathematics), in which the Doctorate shall be absolved, has to be clearly determined.
- (3) The following documents have to be attached to the application for a Doctorate
 1. certified, authenticated proofs regarding the successful completion of studies according to the requirements for a Doctorate stipulated in these Regulations,
 2. the Doctoral Thesis in four copies including theses,
 3. a declaration that the Doctoral Thesis was elaborated autonomously and that no other than the indicated sources and resources were used,
 4. a list of scientific publications,
 5. a declaration that the Doctoral Thesis was not submitted in the form provided or similar for the purpose of a Doctoral Procedure to another institution,
 6. a declaration of the candidate whether he has applied priorly (or parallelly) for Doctoral Procedures at another institutions as well as complete indication regarding the results of those procedures,
 7. a suggestion regarding the minor subject examined in the Doctoral Viva,
 8. a brief curriculum vitae (dealing particularly with the scientific career) as well as a declaration according to number 3 which have to be attached to each copy of the Doctoral Thesis,
 9. a police clearance certificate as extract from the Federal Central Register whose date of issue was no longer than three months to the day of application.
- (4) All documents mentioned have to be submitted in written form and are becoming property of Chemnitz University of Technology after the Opening of the Doctoral Procedure. With regard to the copies of the Doctoral Thesis, § 8 sec. 4 sentence 1 applies.
- (5) The application may be withdrawn by the candidate as long as the Doctoral Procedure had not been opened yet. It is then considered as not submitted and all documents will be returned to the candidate except the application. The application for withdrawal has to be submitted in written form.

§ 7

Opening of a Doctoral Procedure

- (1) The decision on the Opening of a Doctoral Procedure belongs to the Board of the Faculty.
- (2) Prior to this decision, it may return the Doctoral Thesis for elimination of formal deficiencies.
- (3) Within the decision on the Opening, the following determinations have taken:
 1. Approval of the topic of the Doctoral Thesis,
 2. Appointment of the examiners of the Doctoral Thesis; the candidate may make propositions in this respect which are not binding for the Board of the Faculty,
 3. Determination of the supplementary subject and the examiner of the minor subject within the Doctoral Viva; the candidate may make propositions in this respect which are not binding for the Board of the Faculty,
 4. Appointment of the examiner of the major subject,

5. Appointment of a Doctoral Commission comprising: a Chair, the examiners of the Doctoral Thesis and two observers.

The Chair has to be assigned to a professor of the Faculty of Mathematics of Chemnitz University of Technology. The Dean and the Chair of the Doctoral Commission are entitled to appoint further examiners as members of the Doctoral Commission.

- (4) In case conditions are imposed to the candidate according to section 2, the Opening has to be postponed until they were fulfilled.
- (5) The candidate will receive a written notification by the Dean regarding the Opening of the Procedure, the composition of the Doctoral Commission and the minor subject within the Doctoral Viva including examiner without any delay.
- (6) In case of Non-Opening, the Dean will inform the candidate about the reasons in written form. The notification has to be complemented by a notification on legal remedies (§§ 68 ff. Administrative Court Rules (VwGO)). In the case of Non-Opening, the candidate will get back all documents submitted except the application.
- (7) In the case that the candidate submits a written declaration on withdrawal after the Opening of a Doctoral Procedure or reasons emerge which would have inhibited the Opening, the Board of the Faculty terminates the Procedure. All documents including assessment reports received remain with the Faculty.

§ 8

Examiners

- (1) Within the decision of Opening, two examiners are appointed who have to be professors and of which one has not adhere to the awarding university.
- (2) The first examiner generally is the supervisor who guided the elaboration of the Doctoral Thesis. The candidate may make suggestions regarding the persons of the examiners. The Board of the Faculty is not bound to those propositions.
- (3) One of the examiners has to adhere to the Faculty of Mathematics of Chemnitz University of Technology.
- (4) The examiners are entitled to keep the Doctoral Theses submitted to them for assessment. The assessment reports shall be submitted to the Dean in written form within a period of three months. The elaboration of the assessment reports will not be remunerated.

III. Doctoral Thesis

§ 9 General

- (1) The Doctoral Thesis is a scientific work autonomously elaborated by the candidate himself. By the Doctoral Theses, the candidate proves his ability to achieve results on a subject area by autonomous scientific work which contribute to the further development of the subject area and its theories and methods.
- (2) An elaborate already rejected by a scientific body or used for other examination purposes cannot be approved as Doctoral Thesis. However, the Doctoral Thesis may include own or other results of that kind which have to be indicated in the list of sources.
- (3) Elaborates already published or partly published or submitted for publication may be a component of the Doctoral Thesis. The published parts have to be marked.
- (4) The results of the Doctoral Thesis have to be summarized in theses; they are a component of the Doctoral Thesis and have to be submitted typewritten or printed jointly with the Doctoral Thesis.
- (5) The Doctoral Thesis has to be submitted in typewritten or printed and bound form in four copies including the theses.

§ 10

Assessment of Doctoral Thesis

- (1) The examiners submit an independent and justified assessment report regarding the Doctoral Thesis and propose the approval or rejection, in the first case also the grade. The Doctoral Thesis shall only be approved under the condition that it fulfills the requirements according to § 3 sec. 1 and that it is in a publishable form. Conditions regarding minor changes or amendments to which the author agrees without any doubt are not opposed to an approval.
- (2) In case of approval, exclusively the following grades may be used:

„magna cum laude“ (very good, 1)

„cum laude“ (good, 2)

„rite“ (sufficient, 3)

The rejection corresponds to the grade:

„non sufficit“ (insufficient, 4)

for a particularly outstanding performance,

for an above-average performance,

for a performance corresponding to the requirements,

for a performance not corresponding to the requirements.

- (3) The Doctoral Thesis has to be assessed in the version submitted. The recommendation for approval of the Doctoral Thesis and the assessment must not depend on the fulfillment of conditions.

§ 11

Public Disclosure, Statements

- (1) After reception of all assessment reports regarding the Doctoral Thesis, the Dean informs the members of the Board of the Faculty, the professors and the postdoc members of the Faculty about the opportunity for access to the assessment reports including the propositions for grading in the Office of the Dean. In the case that all assessment reports were positive, a period of two weeks has to be provided for public disclosure, otherwise four weeks.
- (2) Each professor and each postdoc member of the Faculty of Mathematics is entitled to submit an individual statement in written form to the Dean of the Faculty of Mathematics until the end of the delay of Public Disclosure.

§ 12

Approval of Doctoral Thesis

- (1) In case that no appeal against the approval of the Doctoral Thesis (§ 11 sec. 2) was submitted and that no assessment report resulted in the grade "non sufficit", the Doctoral Thesis is approved. The Dean informs the candidate and the Chair of the Doctoral Commission about that within two weeks after the expiry of the delay for Public Disclosure at latest.
- (2) In case that at least one examiner has assigned the grade "non sufficit", the Doctoral Thesis is not approved.
- (3) In all other cases, the decision on approval or non-approval belongs to the Board of the Faculty based on the assessment reports and the statements submitted.
- (4) In case that the Doctoral Thesis is not approved, the Doctoral Procedure is terminated unsuccessfully. The candidate has to be informed about this decision in written form including reasons within two weeks after it had been taken. The notification has to include a notification on legal remedies (§§ 68 ff. VwGO).
- (5) In case that conditions are imposed (§ 10 sec. 1), the candidate has to fulfill them within a delay determined by the Doctoral Commission. The first examiner (§ 8 sec. 2) confirms the fulfillment of the conditions to the Chair of the Doctoral Commission.
- (6) After approval of the Doctoral Thesis, the candidate is entitled to get access to the assessment reports within four weeks.
- (7) Candidates, whose Doctoral Thesis were not approved, may apply for a new Doctoral Procedure with an essentially changed version of the non-approved Doctoral Thesis or a Doctoral Thesis dealing with another topic at the earliest half a year after the notification on the Non-Approval. The documents of the Doctorate remain in the case of non-approval of the Doctoral Thesis for the purpose of evidence with the Faculty. The application for a new Doctoral Procedure has to contain an indication regarding the prior non-approval.

§ 13

Doctoral Viva (Rigorosum)

- (1) The Doctoral Viva is a non-public oral examination requiring the proof of knowledge in one major and one minor subject from the candidate. It is implemented by an Examination Commission consisting of the examiner of the major subject, the examiner of the minor subject and the Chair of the Doctoral Commission as head. The major subject is the subject in mathematics with which deals the Doctoral Thesis. The minor subject is a subject which is not directly linked to the subject area of the major subject resp. to the subject of the Doctoral Thesis submitted. The subject area of the minor subject has generally to be represented by a professor adhering to Chemnitz University of Technology.
- (2) The Doctoral Viva is headed by the Chair of the Doctoral Commission. It has to be implemented on a date which is at least two weeks after the Opening of the Doctoral Procedure and prior to the date of the Public Defense (§ 14). The date of the Doctoral Viva is determined by the Dean in coordination with the Chair of the Doctoral Commission and the candidate.
- (3) The members of the Doctoral Commission are entitled to attend the Doctoral Viva with questioning and voting rights. A keeper of the minutes is appointed by the examiner of the major subject. The duration of the Doctoral Viva shall be one hour at minimum and 90 minutes at maximum.
- (4) The ongoing of the examination has to be fixed in a protocol which is signed by the Chair of the Doctoral Commission and becomes a component of the file of the Doctorate.
- (5) Immediately following the Doctoral Viva, the members of the Examination Commission discuss the result in a non-public meeting. They determine a grade for the Doctoral Viva according to § 10 sec. 2. The Doctoral Viva is passed in the case that the grade is at least "rite".

- (6) Immediately after the Doctoral Viva and the subsequent meeting, the Chair of the Doctoral Commission informs the candidate about the grade of the Doctoral Viva.
- (7) In the case that a candidate does not attend on the date determined for the Doctoral Viva without providing valid reasons, it is considered as not passed.
- (8) In the case that the Doctoral Viva is not passed, it may be repeated by decision of the Examination Commission on a date to be determined by the Doctoral Commission which has to be at least six months after the date of the Doctoral Viva which was not passed. The repetition is admissible for only one time.
- (9) In the case that the Doctoral Viva is definitely not passed, the Doctoral Procedure will be terminated without success. The candidate will be informed about that in written form by the Dean of the Faculty. This notification has to be complemented by a notification on legal remedies (§§ 68 ff. VwGO).
- (10) The passed Doctoral Viva is a requirement for the determination for the date of the Public Defense.

§ 14

Public Defense (Disputatio)

- (1) The date of the Public Defense is determined and announced on proposition of the Dean in coordination with the Chair of the Doctoral Commission and the candidate. The announcement has to take place at least two weeks prior to the date of the Public Defense. It shall happen six weeks after the approval of the Doctoral Thesis at latest. The Public Defense is implemented in German or English language.
- (2) The Disputatio includes a scientific presentation with a duration of about 30 minutes in which the candidate explains the most significant aspects of his Doctoral Thesis. The presentation is followed by a public discussion during which first the members of the Doctoral Commission and subsequent all attendants are entitled to ask questions. In this context, the examiners shall also present a short assessment of the scientific performances of the candidate. The duration of the public discussion shall not be longer than 60 minutes. The Public Defense may only be implemented under the condition that at minimum one examiner and at least three fifths (60%) of the members of the Doctoral Commission are attending. In justified exceptional cases, the Board of the Faculty is entitled to appoint substitute representatives for the observers of the Doctoral Commission.
- (3) The ongoing of the Public Defense and the discussion has to be fixed in a protocol which is signed by the Chair of the Doctoral Commission and becomes a component of the file of the Doctorate. The keeper of the minutes has to be appointed by the Chair of the Doctoral Commission.

§ 15

Assessment of Public Defense and Doctorate

- (1) Immediately subsequent to the Public Defense, the Doctoral Commission discusses the result in a non-public meeting. All professors and postdoc members of the Faculty who have attended before are entitled to participate with advisory vote. The Commission determines the grade for the Public Defense. In this regard, it has to refer to the grades according to § 10 sec. 2. The ongoing of this discussion has to be fixed in a protocol which has to be signed by the Chair of the Doctoral Commission.
- (2) In the case that the Doctoral Commission is assessing the Disputatio by "non sufficit", the Board of the Faculty takes the decision, based on the proposition of the Doctoral Commission, on the opportunity of a repetition for one time. This is possible at the earliest six months after the Disputatio which was not passed.
- (3) In the case that a candidate does not attend on the date determined for the Public Defense without providing valid reasons, the Public Defense is considered as not passed.
- (4) In the case that a candidate has definitely not passed the Public Defense, the Doctoral Procedure will be terminated with the assessment "non sufficit". The Dean informs the candidate about that in written form. This notification has to be complemented by a notification on legal remedies (§§ 68 ff. VwGO). The Doctoral Thesis and the file of the Doctorate including the assessment reports remain with the Faculty.
- (5) In the case that the Public Defense was passed, the Doctoral Commission determines in the same meeting (section 1) the overall grade of the Doctorate. In this regard, it is based on grades according to § 10 sec. 2. The ongoing of this discussion has to be fixed in a protocol which has to be signed by the attending members of the Doctoral Commission and becomes a component of the file of the Doctorate. Subsequently, the Chair announces in camera the overall grade to the candidate.
- (6) The overall grade is calculated from the weighted mean of the grades of the assessment reports and the grades of the Rigorosum and the Disputatio whereas the grades of assessment reports are weighted double. In this regard, only the first decimal place is considered. All other places are eliminated without rounding. The overall grade is on an average:

Up to and including 1.4 = "magna cum laude"
From 1.5 up to and including 2.4 = "cum laude"
From 2.5 up to and including 3.0 = "rite"
From 3.1 = "non sufficit".

- (7) In the case that the Doctoral Thesis was assessed with „magna cum laude“ by all examiners and that they determine expressively an outstanding Doctoral Thesis and that for the Rigorosum as well as for the Public Defense the grade "magna cum laude" was determined as well, the overall grade is "summa cum laude" (excellent).

IV. Completion of Doctoral Procedure

§ 16

Publication of Doctoral Thesis

- (1) The candidate has to make the approved version of the Doctoral Thesis (§ 12 sec. 1, 3 and 5) accessible for the scientific public in an appropriate way within one year after the Disputatio. In the case of section 2 number 3, the end of the annual delay refers to the conclusion of a contract with a publisher. In the case that a candidate misses culpably the delay, all rights acquired during the Doctoral Procedures are considered as expired.
- (2) The publication is done by the submission of six bound copies to the Library of Chemnitz University of Technology free of charge. In addition, the distribution has to be assured by selecting one of the following options:
 1. Submission of 40 printed and bound copies,
 2. The proof of publication in a journal,
 3. The proof of distribution by the University Publisher of Chemnitz University of Technology or by a commercial publisher with a minimum edition of 150 copies,
 4. By an electronic way of publication approved by the Board of the Faculty.
- (3) The submission of the mandatory copies has to be proven by the candidate by presenting the certification of receipt of the University Library to the Dean.
- (4) In justified cases, the Dean may prolong the delay according to section 1 once based on a justified application submitted in due time.
- (5) The Chair of the Doctoral Commission provides a report to the Board of the Faculty regarding the completion of the Procedure on its subsequent meeting.

§ 17

Issue of Certificate, Entitlement for use of Doctoral Degree

- (1) The Dean initiates the issue of the Certificate of the Doctorate. It is dated on the day of the successful Public Defense and comprises in addition to personal data of the candidate the certified academic degree, the scientific area, the topic of the Doctoral Thesis, the overall grade, the signatures of the President and the Dean as well as the seal of the university.
- (2) The Dean executes the Doctorate by the issue of the Certificate of the Doctorate after the candidate has submitted the mandatory copies according to § 16 of these Regulations.
- (3) By the issue of the Certificate of the Doctorate, the candidate is awarded the right to make use of the Doctoral degree according to § 2 sec. 1. Thus, the Doctoral Procedure is completed.

V. Invalidity and Legal Remedies

§ 18

Invalidity of Doctoral Performances

- (1) In the case it emerges prior to the issue of the Certificate of the Doctorate that the candidate has committed fraud within Doctoral Performances or that significant requirements for the admission to the Doctorate (§ 4) were not fulfilled, the Board of the Faculty may declare the Doctoral Performances already completed as invalid. The candidate has to be heard prior to a decision of that kind.
- (2) In the case that Doctoral Performances were declared as invalid, the Procedure has to be terminated according to § 12 sec. 4.

§ 19

Withdrawal of Doctoral Degree

The Doctoral degree is withdrawn by decision of the Board of the Faculty in the case it emerges that it was acquired by fraud regarding the requirements for a Doctorate of Doctoral Performances. Prior to a decision of that kind, the person affected has to be provided the opportunity for a statement. Apart from that, § 39 sec. 4 SächsHSG applies.

§ 20

Appeal

- (1) The appeal against decisions within the Doctoral Procedure is admissible according to §§ 68 ff. VwGO. The legal remedy has to be submitted within one month after the notification on the decision in written form or to transcript to the Dean. The Dean informs the Board of the Faculty of the Faculty of Mathematics about the appeal within a delay of six weeks after its reception.
- (2) The Board of the Faculty, after hearing the Doctoral Commission, has to decide within three months about the appeal. The notification on appeal is issued in written form with a justification and a notification on legal remedies.

§ 21

Entitlement for access to examination file

On application, the candidate is entitled to get access to his file of the Doctorate within one year after the completion of the Doctoral Procedure. The application has to be submitted in written form to the Dean.

VI. Honors

§ 22

Honorary Doctorate

- (1) The Faculty of Mathematics is entitled to award the academic honor of an Honorary Doctoral Degree (Doctor honoris causa) in order to recognize and acknowledge outstanding merits regarding the further development of mathematics and its applications (§ 2 sec. 2).
- (2) The personality to be honored must not be adherent to Chemnitz University of Technology,
- (3) The application for the award of an Honorary Doctoral Degree has to be submitted and justified by at minimum three professors of the Faculty of Mathematics. The Board of the Faculty examines after reception of two assessment reports from professors of the Faculty as well as two external assessment reports the particular merits of the personality to be honored (§ 40 sec. 6 SächsHSG). For approval of the application, the majority of the members of the Board of the Faculty is required.
- (4) The decision of the Board of the Faculty regarding the award of the Honorary Doctorate has to be approved by the Senate of Chemnitz University of Technology.
- (5) The award of the Honorary Doctorate is implemented in solemn manner (Laudatio) by handing over the Certificate of the Doctorate by the Dean.

VII. Final provisions

§ 23 Coming into force and Publication

These Doctoral Regulations are coming into force after their publication in the Public Announcements of Chemnitz University of Technology ("Amtliche Bekanntmachungen"). At the same time, the Doctoral Regulations of the Faculty of Mathematics from June 30, 2007 (Amtliche Bekanntmachungen Nr. 22/2007, p. 1293) cease to be into force. Doctoral Procedures opened until that point of time will be implemented according the Doctoral Regulations from June 30, 2007.

Issued on the basis of the decisions of the Faculty Board of the Faculty of Mathematics on July 9, 2009 and October 22, 2009 as well as the approval of the University Management on October 7, 2009.

Chemnitz, November 10, 2009

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Dean of the Faculty of Mathematics