

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

## **Doctoral Regulations of the Faculty of Natural Sciences at Chemnitz University of Technology dated January 31, 2011**

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 21 of the Act of December 15, 2010 (SächsGVBl. p. 387, 400), the Board of the Faculty of Natural Sciences at Chemnitz University of Technology has issued the following Doctoral Regulations:

### **Table of contents**

#### **I. In general**

- § 1 Doctoral degrees
- § 2 Doctorate
- § 3 Requirements for admission
- § 4 Doctoral Performances
- § 5 Doctoral Committee

#### **II. Opening of a Doctoral Procedure**

- § 6 Application
- § 7 Decision on Opening
- § 8 Examiners

#### **III. Doctoral Performances**

- § 9 Doctoral Thesis
- § 10 Assessment of Doctoral Thesis
- § 11 Approval of Doctoral Thesis, Doctoral Commission
- § 12 Disclosure, Appeals
- § 13 Public Defense
- § 14 Overall assessment of Doctoral Performances
- § 15 Failure to attend and repetition

#### **IV. Completion of Doctoral Procedure**

- § 16 Award of Doctoral Degree
- § 17 Publication of Doctoral Thesis
- § 18 Invalidity of Doctoral Performances
- § 19 Withdrawal of Doctoral Degree
- § 20 Appeal

#### **V. Honors**

- § 21 Honorary Doctorate
- § 22 Jubilees

#### **VI. Special provisions**

- § 23 Joint Doctorates

## **VII. Formal provisions**

§ 24 General procedural provisions

§ 25 Access

§ 26 Transitional Regulations, Coming into force, Publication

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

### **I. In general**

#### **§ 1**

##### **Doctoral degrees**

- (1) The Faculty of Natural Sciences 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 Natural Sciences awards on behalf of Chemnitz University of Technology based on a decision of its Faculty Board the academic degree doctor rerum naturalium honoris causa (Dr. rer. nat. h. c.).

#### **§ 2**

##### **Doctorate**

- (1) By the Doctorate, the candidate proves academic knowledge and the ability to achieve results by autonomous scientific work which are contributing to the further development of a scientific area as well as enrich its theories and methods. The scientific areas assignable to the Faculty are those represented in an appropriate way by professors of the Faculty.
- (2) Subsequent to a successful Doctoral Procedure, the candidate will be awarded the entitlement for use of the Doctoral degree according to § 1 (§ 16).
- (3) The charge of fees complies with the University Regulations on Fees and Payments ("Hochschulgebühren- und -entgeltordnung") of Chemnitz University of Technology.

#### **§ 3**

##### **Requirements for admission**

- (1) The decision on admission belongs upon application of the candidate to the Doctoral Committee (§ 5).
- (2) To a Doctorate may be admitted who have acquired a diploma or master degree at a university or who has absolved successfully a state examination. The applicant shall hold the degree in a subject area which is assignable from the content to the topic of the Doctoral Thesis. For holder of a diploma degree of a university of applied sciences section 5 sentence 5 applies additionally.
- (3) Graduates of a university of applied sciences who fulfill the requirement according to section 2 shall be admitted to a Doctorate in the case that they were recommended for a Doctorate by the responsible Faculty Board of the university of applied sciences (cooperative Doctoral Procedure). Within the cooperative Doctoral Procedure the university of applied sciences and the university are working together. The Doctoral Committee regulates and documents the cooperative procedure in the respective case.
- (4) Candidates who have acquired a diploma or master degree of a university or who have absolved successfully a state examination on a subject area which may not or only partially be assigned from the content to the topic of the Doctoral Thesis could be admitted for a Doctorate in the case that the prior studies are suitable as basis for the scientific work on the area of the Doctoral Thesis. Necessity, kind and scope of additional performances are determined by the Doctoral Committee in the respective case.
- (5) Holders of a Bachelor degree of a university could also be admitted to a Doctorate without the requirement of acquisition of another degree by an aptitude test procedure. The aptitude is proven by additional study performances which have to be delivered prior to the Opening of a Doctoral Procedure. The Doctoral Committee takes the decision on kind and scope of the additional supplementary performances. The Doctoral Committee also determines that the aptitude of the candidate based on a procedure according sentences 1 to 3 has been proven. This applies respectively to holders of a Bachelor or diploma degree of a university of applied sciences.
- (6) To the Doctoral Committee also belongs the decision on the recognition of equivalence of examinations absolved abroad in consideration of valid agreements on equivalence. In the case that equivalence is determined, sections 1 to 5 apply accordingly.

- (7) Candidates according to sections 1 to 5 could be admitted to a Doctorate in the case that a professor of the Faculty has declared in written form to the Faculty that the work is assignable to a scientific area represented by him and that he agrees to assess the work.
- (8) Candidates, whose Doctoral Procedures were already terminated two times without success prior to their application according to § 6, do not fulfill the requirements for a Doctorate anymore.

#### **§ 4**

##### **Doctoral Performances**

- (1) The Doctoral degree is awarded based on written scientific work (Doctoral Thesis § 9) and its Public Defense (§ 13).
- (2) Doctoral Performances may generally be delivered in German or English language. Exceptions depend on the prior approval of the Doctoral Committee.
- (3) The Doctoral Committee may make specifications regulating the formal design of the Doctoral Thesis..

#### **§ 5**

##### **Doctoral Committee**

- (1) The responsibility for all decisions within Doctoral Procedures belongs generally to the Doctoral Committee. It is a standing body appointed by the Faculty Board with a term of office of 3 years acting in issues regarding Doctorate on behalf of the Faculty. The committee includes a Chair, three other professors as well as a postdoc scientific staff member or a doctoral student of the Faculty of Natural Sciences. The Chair is held by the Dean or an appointed professor of the Faculty of Natural Sciences designated by him.
- (2) The meetings of the Doctoral Committee are not open to the public. Its members are bound to confidentiality.
- (3) The decision of the Doctoral Committee are taken by simple majority of the votes. In the case of tie vote, the vote of the Chair is decisive. The Doctoral Committee is quorate in the case that more than half of its members attend. The meetings of the Doctoral Committee have to be recorded in a protocol.

## **II. Opening of a Doctoral Procedure**

#### **§ 6**

##### **Application**

- (1) The application for Opening of a Doctoral Procedure has to be submitted by the candidate to the Dean of the Faculty.
- (2) The following documents have to be enclosed with the application:
  1. Certified, authenticated proofs of the completion of studies according to the requirements for a Doctorate stipulated by these Regulations,
  2. A Doctoral Thesis in six copies as well as six copies of a summary with a scope of not more than 800 words (about two DIN-A4 pages),
  3. A list of publications, presentations, patents and other scientific performances,
  4. A declaration that the Doctoral Thesis was elaborated autonomously and that no other than the indicated sources and resources were used,
  5. A declaration of the candidate if he has applied priorly or at the same time for Doctoral Procedures to other institutions as well as complete indications regarding the result of those Procedures,
  6. A curriculum vitae, particularly regarding the scientific career.

Optionally, the candidate may make propositions regarding the appointment of examiners. All documents have to be submitted in written form and become property of Chemnitz University of Technology after the Opening of the Procedure. Regarding copies of the Doctoral Thesis, also § 8 sec. 3 applies. The documents according to sentence 1 number 2 have to be submitted additionally as pdf-formatted files.

- (3) A brief summary of the scientific career as well as a declaration according to section 2 sentence 1 number 4 have to be enclosed with each copy of the Doctoral Thesis.
- (4) 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 the candidate will get back all documents except the application. The application for withdrawal has to be submitted in written form.

## **§ 7**

### **Decision on Opening**

- (1) The decision on the Opening of a Doctoral Procedure belongs to the Doctoral Committee. Prior to this decision, the Doctoral Thesis may be returned for the elimination of formal deficiencies.
- (2) Within the decision on Opening, the exact designation of the scientific area and the examiners have to be determined. In the case that conditions were imposed to the candidate according to section 1, the Opening has to be postponed until their fulfillment.
- (3) The candidate will be informed without delay about the Opening by written notification. In the case of non-Opening, the Chair of the Doctoral Committee informs the candidate about the reasons in written form within four weeks. In the case of non-Opening, the candidate will get back all documents submitted except the application.
- (4) In the case that the candidate submits a written application for withdrawal after the Opening of a Doctoral Procedure or if reasons emerge which could have inhibited the Opening, the Doctoral Committee terminates the Procedure. The documents including assessment reports already received remain with the Dean.

## **§ 8**

### **Examiners**

- (1) Within the decision on Opening, two professors will be appointed as examiners.
- (2) The first examiner generally is the professor who has supervised the elaboration of the Doctoral Thesis scientifically (supervisor).
- (3) The examiners are entitled to keep the Doctoral Theses handed over to them for assessment.

## **III. Doctoral Performances**

### **§ 9**

#### **Doctoral Thesis**

- (1) For acquisition of the Doctorate, a written scientific work which was elaborated autonomously and which contributes to the further development of the scientific area (Doctoral Thesis) has to be submitted. The Doctoral Thesis has to be defended publically. It has to comply with scientific requirements with regard to the methods applied as well as concerning the presentation of facts. The sources as well as other resources used within the elaboration have to be indicated comprehensively.
- (2) Works which have already been completely or partly published may be approved as Doctoral Thesis or may be a component of a Doctoral Thesis. The parts already published have to be marked.
- (3) Requirements for secrecy are not compatible with a Doctoral Procedure. Facts/ partial aspects which are subject to secrecy must not be a component of a Doctoral Thesis.

## **§ 10**

### **Assessment of Doctoral Thesis**

- (1) The examiners submit an assessment report regarding the Doctoral Thesis and justify their proposition regarding its approval or rejection, in the first case also regarding its assessment. The Doctoral Thesis may only be approved under the condition that it fulfills the requirement according to § 2 sec. 1 and § 9. Conditions regarding minor changings or amendments to which the candidate agrees indubitably are not opposed to an approval.
- (2) In the case of approval, the following grades are provided:
  - „magna cum laude“ (grade 1.0)
  - „cum laude“ (grade 2.0)
  - „rite“ (grade 3.0).For more sophisticated grading, the grade may be upgraded or reduced by – 0.3 or + 0.3. The rejection corresponds to the grade:
  - „non sufficit“ (not sufficient).
- (3) The recommendation for approval of a Doctoral Thesis and the assessment must not depend on the fulfillment of conditions regarding content-related revision.

## **§ 11**

### **Approval of Doctoral Thesis, Doctoral Commission**

- (1) The decision on approval of a Doctoral Thesis based on the assessment reports belongs to the Doctoral Committee. The candidate has to be informed about the decision within two weeks in written form. In the case that the Doctoral Thesis was not approved, the candidate has to be informed by the Chair of the Doctoral Committee about the reasons for the non-approval and the decision to terminate the Procedure.
- (2) In the case that conditions were imposed according to § 10 sec. 1, the candidate has to fulfill them within a delay determined by the Doctoral Committee. The first examiner confirms the fulfillment of the conditions towards the Doctoral Committee.
- (3) In the case of approval of the Doctoral Thesis, the Doctoral Committee appoints a Doctoral Commission. To this belong the Chair, both examiners and one observer at minimum. The Chair heads on behalf of the Faculty the further procedure, he has to be a professor of the Faculty. The Chair must not be an examiner in the same procedure. The observer generally have to be appointed from the group of professors. Otherwise they have to be qualified as a university lecturer (habilitation). The Dean and the Chair of the Doctoral Committee are entitled to appoint further observers in order to assure the quorum. The Chair of the Doctoral Committee informs the candidate about the composition of the Doctoral Commission. The notification has to be done at least 14 days prior to the date of the Defense insofar the candidate not agrees to a shorter delay.
- (4) The Doctoral Commission is quorate in the case that at minimum four members, among them the Chair, attend. The Doctoral Commission takes decisions by simple majority. In case of tie vote, the vote of the Chair is decisive. Abstention from voting is not admissible.
- (5) The meetings of the Doctoral Commission are not open to the public. Its members are bound to confidentiality. During the implementation of the Defense (§ 13) and the determination of the overall grade (§ 14), generally the attendance of the supervisor is required (§ 8 sec. 2).
- (6) Subsequent to the approval of the Doctoral Thesis, the candidate is entitled to get access to the assessment reports. The propositions for grades and the names of the examiners are exempted from that.
- (7) Candidates, whose Doctoral Thesis was not approved, may apply at the earliest half a year after the decision regarding the non-approval had been taken for a new Doctoral Procedure with a significantly changed version of the Doctoral Thesis that was not approved or with a thematically different Doctoral Thesis. The documents related to the Doctorate remain in the case of non-approval with the Faculty for the purpose of evidence. Within the application for a new Doctoral Procedure, the prior non-approval has to be indicated.

## **§ 12**

### **Disclosure, Appeals**

- (1) The decision on the approval has to be announced to the public of the Faculty. From this moment on, a brief summary of the work has to be publically accessible. The Chair of the Doctoral Committee informs the professors of the Faculty that and where they have access to the assessment reports and the Doctoral Thesis. In the case that all assessment reports are positive, a period of disclosure of two weeks, otherwise of four weeks, has to be provided. During this time, the Doctoral Thesis is disclosed to all members and adherents of the Faculty for access. The start and the end of the period of disclosure have to be announced.
- (2) During the period of disclosure of the Doctoral Thesis (section 1), statements and appeals may be submitted in written form via the Dean to the Doctoral Committee. The decision on these appeals belongs to the Doctoral Committee. The appeals may also be turned into an issue of the debate during the public Defense.

## **§ 13**

### **Public Defense**

- (1) The Defense shall prove the ability of the candidate to present the results achieved during the elaboration of the Doctoral Thesis and to defend them against questions and appeals as well as deriving from that to argue within comprehensive scientific contexts in a scientific debate. Thus, the scientific debate refers to the Doctoral Thesis and those scientific areas to which the topic of the Doctoral Thesis is assignable or who are neighbored to that.
- (2) The Defense includes a presentation of the candidate regarding his Doctoral Thesis which is not longer than 30 minutes and the subsequent scientific debate. The Defense may be implemented in German or English language. Deviations from that are possible in the case that the candidates applies for that within his application for the Opening of a Doctoral Procedure (§ 6).

- (3) During the scientific debate, each attendant is entitled to ask questions.
- (4) The conduct of the Defense has to be fixed in a protocol. The protocol has to be signed by the keeper of the minutes and the Chair of the Doctoral Commission immediately subsequent to the Defense and to be included in the file of the Doctorate.
- (5) Immediately subsequent to the Defense, the Doctoral Commission determines in a non-public meeting if the candidate has passed the Defense and assesses it by assigning one of the grades according to § 10 sec. 2. All professors who have attended before may participate with advisory vote, the same applies for the determination of the overall grade according to § 1. In the case that the Defense was not passed, it has to be assessed by "non sufficit".

#### **§ 14**

##### **Overall assessment of Doctoral Performances**

- (1) In the case that the Public Defense had been passed, the Doctoral Commission determines immediately following its assessment the overall grade of the Doctorate. Within its calculation, the assessment of the Doctoral Thesis shall be given priority. The grades according to § 10 sec. 2 are provided whereas for the overall grade only the grades without gradation are admissible.
- (2) The overall grade may be summa cum laude (excellent). This requires that both assessment reports came the result magna cum laude and the Defense was assessed with that grade as well and that the candidate has proven outstanding scientific performances. A decision of that kind has to be taken unanimously by all attending members of the Doctoral Commission.
- (3) Subsequent to the Public Defense, the Chair informs at first the candidate about the overall grade. If the candidate not disagrees, the Chair announces afterwards the overall grade to the entire auditorium.
- (4) The Doctoral Committee issues a written provisional notification regarding the assessment of the Doctoral Performances to the candidate. This provisional notification is generally not an entitlement for the use of the Doctoral degree.

#### **§ 15**

##### **Failure to attend and repetition**

- (1) In the case that the candidate does not attend to the date determined for the Defense without providing valid reasons, the Doctoral Performance is considered as not delivered.
- (2) In the case that the candidate does not pass the Public Defense according to § 13, the Doctoral Commission decides whether, based on the kind of the deficiencies emerged, the opportunity for a repetition of the Defense for one time should be accorded to the candidate or whether the Doctoral Procedure will be terminated with the assessment "non sufficit". The Dean informs the candidate about that in written form. The Doctoral Thesis and the file of the Doctorate including the assessment reports remain with the Faculty.

#### **IV. Completion of Doctoral Procedure**

#### **§ 16**

##### **Award of Doctoral Degree**

- (1) In the case of positive conduct of the Procedure, the Chair of the Doctoral Commission recommends the award of the academic degree to the Doctoral Committee. Subsequent to a respective decision of the Doctoral Committee, the Dean initiates the issue of the Certificate of the Doctorate.
- (2) The Certificate comprises in addition to the name, first name, academic degree, date and location of birth of the candidate also the title of the Doctoral Thesis, the designation of the scientific area, the academic degree "Dr. rer. Nat." to be awarded, the date of the Defense and the overall grade. It bears the signatures of the President of Chemnitz University of Technology, of the Dean of the Faculty and the seal of Chemnitz University of Technology.
- (3) The Dean hands over the Certificate to the candidate as soon as the submission of the mandatory copies according to § 17 has been proven. By the handing over of the Certificate, the Doctorate is implemented, the entitlement for the use of the Doctoral degree acquired and the Doctoral Procedure completed.
- (4) In justified exceptional cases, the Doctoral Committee may accord the entitlement for use of the Doctoral degree to the candidate already to the time of the issue of the written provisional notification according to § 14 sec. 4 and prior to the handing over of the Certificate.

## **§ 17**

### **Publication of Doctoral Thesis**

- (1) Within one year after the Defense, the candidate has to make the approved version of the Doctoral Thesis (§ 10 sec. 1, § 11 sec. 2) accessible for the scientific public in an appropriate way (publication). In the case of section 2 number 2, the end of the annual delay refers to the conclusion of a contract with a publisher. If the candidate misses culpably the delay, all rights acquired within the Doctoral Procedure are considered as expired.
- (2) The publication can be done optionally by the submission free of charge to the Library of Chemnitz University of Technology of
  1. 6 copies in the case that the entire Doctoral Thesis was published by the publishing service of Chemnitz University of Technology or by a journal or
  2. 6 copies in the case that the Doctoral Thesis was published by the University Publisher of Chemnitz University of Technology or by a scientific publisher acknowledged by the Faculty, that a commercial publisher overtakes the distribution via the bookstores and that a minimum edition of 100 copies can be proven or
  3. 50 printed copies, bound in A 5-format; in exceptional cases also A4-format may be approved.
- (3) In justified cases, the Chair of the Doctoral Committee may prolong the delay according to section 1 once based on a justified application submitted in due time.

## **§ 18**

### **Invalidity of Doctoral Performances**

- (1) In the case that prior to the handing over of the Certificate of the Doctorate it emerges that the candidate has committed fraud within Doctoral Performances or that significant requirements for the admission to a Doctorate (§ 3) had not been fulfilled, the Faculty Board may declare already delivered Doctoral Performances as entirely or partly invalid.
- (2) In the case that all Doctoral Performances are declared as invalid, the Procedure has to be terminated.

## **§ 19**

### **Withdrawal of Doctoral Degree**

The Doctoral degree may be withdrawn by decision of the Faculty Board in the case that it was acquired by fraud or that after its award facts emerged which would have inhibited its award.

## **§ 20**

### **Appeal**

- (1) It is admissible to appeal against decisions within the Doctoral Procedure. The legal remedy has to be submitted within one month after the notification on the decision in written form or to the transcript to the Dean. The Dean informs the Faculty Board about the appeal within six weeks after its reception.
- (2) The Faculty Board has to take a decision about the appeal within three further months.

## **V. Honors**

### **§ 21**

#### **Honorary Doctorate**

- (1) The Faculty is entitled to award the academic honor of a doctor rerum naturalium honoris causa (Dr. rer. nat. h. c.) in order to honor and acknowledge outstanding merits related to natural sciences.
- (2) The personality to be honored must not adhere to Chemnitz University of Technology.
- (3) The application for the award of an Honorary Doctorate has to be submitted and justified by at minimum three professors of the Faculty. The Faculty Board examines after gathering two further assessment reports of professors of the Faculty and one external assessment report the particular merits of the personality to be honored.
- (4) The award of the Honorary Doctorate has to be implemented by the handing over of a Certificate signed by the President and the Dean in a solemn manner corresponding to the cause. Within the Certificate, the reason and the merits have to be briefly summarized.

### **§ 22**

#### **Jubilees**

- (1) The Faculty is entitled to honor the recurrent anniversary of the award of the Doctoral degree.
- (2) Date, cause and manner of such acknowledgement have to be determined by the Faculty Board.

## **VI. Special provisions**

### **§ 23**

#### **Joint Doctorates**

For the implementation of Joint Doctorates with other institutions, deviations from the provisions of these Regulations in individual cases are admissible by decision of the Faculty Board but only in the frame of legal provisions according to SächsHSG and only insofar this is absolutely necessary for the implementation of Joint Doctorates in individual cases.

## **VII. Formal provisions**

### **§ 24**

#### **General procedural provisions**

- (1) Each decision related to these Regulations has to be protocolled and signed by the Chair of the respectively responsible body. The protocols have to be included into the file of the Doctorate.
- (2) Rejecting decisions with regard to the Doctoral Procedure have to be announced and delivered verifiably to the person affected within four weeks, calculated from the day the decision was taken, in written form and by indicating reasons. Negative decisions with regard to the Defense are announced to the person affected also orally without delay. All notifications have to be complemented by a notification on legal remedies. Prior to rejecting or other negative decisions, the candidate has to be heard. Decisions regarding the assessment of Performances are exempted from that.
- (3) All rejecting decisions may, in the case of evident necessity, disclosed in an appropriate way to the Deans of other faculties of the university as well as to similar faculties of other scientific universities. Special attention shall be paid to the provisions of data protection in this context.

### **§ 25**

#### **Access**

- (1) On application, the candidate is entitled to get access to his file of the Doctorate.
- (2) The application has to be submitted within one month after the notification on the overall grade in written form to the Dean. The Dean determines time and location of the access. This is possible after the decision on the award (§ 16).

### **§ 26**

#### **Transitional regulations, Coming into force, Publication**

Already opened Procedures are continued according to the new Regulations, on application of the candidate according to the former Regulations. Admissions already being approved remain unaffected. These Doctoral Regulations enter into force on the day of their publication in the Public Announcements of Chemnitz University of Technology ("Amtliche Bekanntmachungen"). The present Doctoral Regulations were determined by the decisions of the Faculty Board of the Faculty of Natural Sciences of Chemnitz University of Technology on November 24, 2010 and on January 26, 2011 and approved by the University Management on January 5, 2011. The Doctoral Regulations of October 10, 2001 (Amtliche Bekanntmachungen No. 139, p. 1700) ceases to be into force from the moment when all Procedures opened on the point of time of coming into force of the new regulations are completed.

Chemnitz, January 31, 2011

The Dean  
of the Faculty of Natural Sciences

Prof. Dr. Karl Heinz Hoffmann