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**Guidelines**  
**Non-official reading version of the**  
**Regulations of the**  
**Faculty of Geosciences, Geoengineering**  
**and Mining**  
**for the**  
**Award of Doctorates at the**  
**TU Bergakademie Freiberg**

**(27 April 2020)**

This is an English language translation of the existing rules and regulations.

This translation has not been officially confirmed and is therefore not legally binding. Some sections contain additional information to help international doctoral candidates better understand German scientific culture. This English version is intended to assist young academics who may find it difficult to understand the original German one. If there is any contradiction between this translation and the German text of these regulations, then the German text is to be regarded as authoritative.

For legal purposes please refer to the original German document.

In accordance with § 40, paragraph 5 in conjunction with § 88 paragraph 1, clause 2 as well as §13, paragraph 4 of the Law on the Freedom of the Universities in the Free State of Saxony (Sächsisches Hochschulfreiheitsgesetz – SächsHSFG) in the version of the notice of 15 of January 2013 (SächsGVBl. S. 3), as amended by article 11 of the Law of 29 April 2015 (SächsGVBl. S. 349), the Faculty of Geosciences, Geoengineering and Mining of the Technische Universität Bergakademie Freiberg with the approval of the Rectorate has passed the following:

**Regulations of the Faculty of Geosciences, Geoengineering  
and Mining for the Award of Doctorates at the  
Technische Universität Bergakademie Freiberg**

Comment on language usage: references to persons refer to both genders.

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## **I. SCOPE**

These regulations govern the implementation of the doctoral procedures at the Faculty of Geosciences, Geoengineering and Mining of the TU Bergakademie Freiberg.

## **II. REGULAR CONFERRAL OF DOCTORATES**

### **§ 1 Doctorate and Supervisor**

(1) The doctorate is proof of the ability to achieve results which constitute the development of a branch of knowledge, its theories and methods by one's own independent academic work.

(2) In the course of the doctorate, apart from the above, specialist knowledge is deepened and extended to additional fields and additional interdisciplinary qualifications are gained.

(3) A doctorate at the Faculty of Geosciences, Geoengineering and Mining is only possible:

1. if the faculty has at least one full-time university lecturer either working in this field of science or who is able to cover a significant part of an interdisciplinary field and
2. if a university lecturer of the faculty (Professor, Junior Professor, Associate Professor who, in accordance with § 65, paragraph 1, sentence 3 of the Law on the Freedom of the Universities in the Free State of Saxony (SächsHSFG), has the membership rights of a university lecturer) is willing to supervise and assess the thesis (supervisor). Academic assistants and research associates can be assigned the independent supervision of a doctorate by the Faculty Board if they provide evidence of a habilitation. In exceptional cases the Faculty Board can assign the independent supervision of a doctorate to exceptionally qualified scholars who hold a doctorate, even without proof of habilitation. Honorary professors who are university teachers in the material sense (academic researchers and teachers who are entrusted with the independent representation of a scientific subject in research and teaching on the basis of their habilitation or other proof of qualification) may be assigned by the Faculty Board the independent supervision of a doctorate in specially justified cases.

(4) To structure the doctorate phase, a supervision agreement can be made between the supervisor and the graduate student. The supervision agreement must at least contain the research and learning objectives, a timetable and a work plan and details of annual reports.

(5) One co-supervisor can be named in the supervision agreement. Co-supervisors can be university lecturers or habilitated scholars of the TU Bergakademie Freiberg or other universities. Co-supervisors can also be representatives of industry, organisations or research institutes who are doctorate holders, if they possess equivalent or special skills.

(6) A doctorate procedure is structured as follows:

1. opening of the doctorate procedure
2. evaluation of the thesis
3. passing the viva or evidence of an equivalent academic achievement
4. public defence of the thesis and
5. award of the doctoral degree

An admission procedure (§ 7) precedes the doctorate procedure.

## **§ 2 Doctoral degree**

(1) The doctorate procedures are carried out on the basis of the TU Bergakademie's right to award doctorates from its faculties in conjunction with the Centre of Advanced Study and Research. The Faculty of Geosciences, Geoengineering and Mining awards for the university the following academic degrees after completing the doctorate procedure:

doctor rerum naturalium (Dr. rer. nat.) or  
Doktor-Ingenieur (Dr.-Ing.)

(2) In recognition of special contributions to science, technology, culture and art, the faculty can, on the basis of the TU Bergakademie's right to award doctorates in accordance to the procedure of § 21 confer the academic degrees named above honorarily (doctor honoris causa). The letters h.c. (honorius causa) are added to the doctoral degree Dr. rer. nat. and the letters E. h. (Ehren halber) are added to the doctoral degree Dr.-Ing.

(3) The degree “doctor philosophiae” (Ph. D.) can be awarded after completing of a doctoral study programme. The faculty, possibly in cooperation with other faculties, regulates more about doctoral study programmes.

## **§ 3 Responsibility**

(1) The Dean of that Faculty makes all decisions relating to the doctorate procedure unless these regulations give responsibility to the Doctorate Board or the Faculty Board.

(2) For interdisciplinary doctorates, in which two faculties are substantially involved, the supervisor applies to for up to two university lecturers from the relevant faculty to the meetings of the Faculty Board. The lecturers must be from the field of science that the supervisor believes best complements the interdisciplinary subject area of the doctorate.

## **§ 4 Admission requirements for a doctorate**

(1) An admission to doctoral studies can be awarded to those candidates:

1. a) who have obtained a Diploma (Diplom), Master's (Mastergrad) or Magister's

degree (Magistergrad) from a university or a state examination (Staatsexamen) in a degree course relevant to the field of doctoral studies, or  
b) who has completed a Bachelor's degree (Bachelorgrad) from a degree course lasting at least 6 semesters and relevant to the doctoral area, who graduated with outstanding success and who has completed the aptitude assessment procedure according to § 5 and

2. for whom a successful completion of the doctorate is considered probable, and
3. who has submitted a Declaration of Intent together with the other necessary documents in accordance with § 7,

unless otherwise stated in this paragraph below.

(2) For graduates with a Master's or Diploma degree from a University of Applied Sciences (Fachhochschule) the doctoral studies can be carried out within the framework of a cooperative procedure between the TU Bergakademie Freiberg and a University of Applied Sciences (§ 6).

(3) In the case of applicants with degrees from foreign universities, the Faculty Board, in consideration of equivalence agreements and recommendations of the Central Office for Foreign Education, decide whether or not the requirements in paragraphs 1 have been complied with.

(4) In order to ensure that the doctoral goal will be achieved, the Faculty Board can impose conditions for further studies and examinations, in particular for interdisciplinary dissertations, and for the gain of language knowledge necessary for the completion of the thesis. The conditions have to be fulfilled before the opening of the doctorate procedure.

(5) If the applicant has a degree in accordance with paragraph 1 which is not consistent with the branch of science of the doctoral degree, the responsibility of deciding which, if any, main subjects of relevant course of study should be successfully completed before the opening of the doctorate procedure lies with the Faculty Board upon proposal of the supervisor.

## **§ 5 Determination of eligibility for holders of Bachelor's degrees**

(1) The eligibility process should determine whether or not the holder of a Bachelor's degree is qualified in the intended thesis topic to the same level as the holder of a research-oriented Master's degree or university Diploma degree; alternatively it should accomplish this qualification.

(2) The eligibility process begins with the Faculty Board establishing which courses need to be taken before admission for the doctorate. The courses must take at least two semesters (60 credits) and at most four semesters (120 credits). Exceptions require the agreement of the Rector's office or of a commission assigned by the Rector. The length of time for these courses should be ascertained through an overall assessment of the personal eligibility of the applicant. Special notice should be paid to the type and form (e.g. course length) of the Bachelor's course. In the case of applicants with a Bachelor's degree from a foreign university, the equivalence agreements and

recommendations of the Central Office for Foreign Education and the equivalent German grade are to be taken into account. On holders of a Bachelor's degree the condition to do their doctorate within the framework of structured doctoral studies in accordance with the decision of the Faculty Board or within a graduate school of the TU Bergakademie Freiberg can also be imposed.

## **§ 6 Cooperative doctorates**

(1) The basis of the cooperative doctorate procedure should be formed by an agreement between two university lecturers commissioned by the responsible Faculty Board of the University of Applied Sciences and the Faculty of Geosciences, Geoengineering and Mining.

(2) The agreement needs the approval of the Faculty Board. Both university lecturers should take part in discussions concerning the agreement.

(3) The thesis should be supervised by a university lecturer from the Faculty of Geosciences, Geoengineering and Mining, either alone or together with a university lecturer from a University of Applied.

## **§ 7 Declaration of Intent to begin work on a doctorate and the admission procedure**

(1) Admission to a doctorate is decided by the Faculty Board, based on the applicant's Declaration of Intent to begin a doctorate. The decision on admission should be in a written form arrived at and available to the applicant no later than three months after the submission of the Declaration of Intent. The date of confirmation of the admission is the official start of the doctoral studies. A rejection of admission must be delivered in writing and the grounds for it must be set out. It must be accompanied by a statement of the applicant's legal right. A copy of the decision will be sent to the Centre for Advanced Study and Research.

(2) The Declaration of Intent must be submitted, via the supervisor, to the Faculty of Geosciences, Geoengineering and Mining. Apart from the Declaration of Intent itself, the declaration should include the following:

1. a cv (résumé) with statements of personal and professional development of the applicant.
2. a degree certificate from a university/University of Applied Sciences in the relevant field, including grades of the final examinations, module grades, and if necessary the ECTS status or equivalent.
3. the envisaged topic of the doctorate
4. a declaration of the acceptance of these regulations as well as the Regulations on Safeguarding Good Scientific Practice and on Handling Scientific Misconduct at TU Bergakademie Freiberg (necessary changes are possible; these will be announced publicly),

5. a declaration of possible previous doctorate attempts or currently open doctorate procedures,
6. the start and anticipated completion of the doctorate applied for,
7. the intended doctor title,
8. the field of science of the doctorate,
9. the approval of the supervisor(s) and
10. if necessary, an application for the substitution of the viva by equivalent academic achievements.

The Declaration of Intent should be submitted at the start of working on the doctorate. As a rule, the thesis must be submitted at least two years after the notice of intention. During this time, the supervisor must meet the doctoral student a number of times for consultation.

(3) An application for a doctorate will be rejected:

1. if the requirements in accordance with § 4 are not fulfilled,
2. if the Declaration of Intent is incomplete and, despite requests, is not completed or
3. if the field of science or essential parts of an interdisciplinary field cannot be assigned to a full-time university lecturer of the Faculty of Geosciences, Geoengineering and Mining or to a honorary professor within the meaning of § 1 paragraph 3 clause 2 or significant parts of an interdisciplinary field cannot be represented by a full-time university lecturer of the Faculty of Geosciences, Geoengineering and Mining.

### **III. DOCTORATE PROCEDURE**

#### **§ 8 Applying for a doctorate**

(1) The application must be made in writing through the Centre of Advanced Study and Research to the Dean of the Faculty. Multiple applications are not permitted.

(2) The following documents must be attached to the application:

1. five copies of the thesis in printed form and in electronic form in machine-readable PDF format,
2. a declaration in accordance with Appendix 4,
3. an abstract of the thesis (maximum 12 lines),
4. a suggestion as to what main and subsidiary subjects should be examined



- in the viva or evidence of qualifications equivalent to the viva and, if not yet submitted, an application for a viva waiver.
5. a curriculum vitae (résumé) with statements of personal and professional development,
  6. a list of scientific publications,
  7. ten copies of the main ideas of the thesis,
  8. the names of a proposed reviewers, approved by the supervisor,
  9. a proposal stating who will be on the Doctorate Board, approved by the supervisor,
  10. the field of the doctorate, if this has changed since submission of the Declaration of Intent,
  11. a declaration on securing and storing this primary data in accordance with § 7 of the Regulations on Safeguarding Good Scientific Practice and on Handling Scientific Misconduct at TU Bergakademie Freiberg,

(3) An application for a doctorate may be withdrawn as long as the Faculty Board has made no decision about the opening of the doctorate procedure. Once such a decision has been made, a withdrawal will lead to the suspension of the procedure and the candidate will be deemed to have failed the doctorate.

(4) After the opening of the doctorate procedure, all documents submitted by the candidate become the property of the Technische Universität Bergakademie Freiberg, regardless of the outcome of the procedure. The supervisors may keep the copies of the thesis handed to them after the assessment has been completed. Only if the application has been withdrawn before the doctorate procedure has been formally opened does the candidate have the right to have all submitted documents returned, apart from the application for the doctorate and the notice of withdrawal.

## **§ 9 Opening the doctorate procedure**

(1) When an application for a doctorate has been submitted, the Centre for Advanced Studies and Research checks that the documentation is complete. If the admission of the doctorate was subject to one or more conditions, the Centre for Advanced Studies and Research and, if necessary, the Dean will check the fulfilment of the condition.

(2) After this assessment, the Dean takes the request to the following Faculty Board meeting. The Faculty Board opens the procedure with a formal resolution or rejects the application. If the application is accepted, at least two reviewers and a Doctorate Board must be appointed. The Faculty Board can in addition request further postdoctoral scientists to submit a review. The Doctorate Board can be appointed at a later date but at the latest after submission of the reviewers' reports. If substitution of the viva has been applied for then a decision must be taken on the acceptance of the alternative

qualifications. Otherwise the major and minor subjects of the viva must be determined and the examiners for the viva be named.

(3) The opening of the doctorate procedure should not proceed:

1. if the doctorate application is incomplete and, despite requests, the documents are not completed,
2. if any conditions for further studies and examinations are not fulfilled, or the required conditions have not been met.

(4) The applicant has to be informed about the opening of the doctorate procedure in writing by the Dean within two weeks of the decision-making of the Faculty Board. At the same time the assessment has to be initiated.

(5) If the Faculty Board rejects an application for a doctorate, the Dean must notify the applicant in writing of the reasons for the rejection within one month of the decision. The notification must be accompanied by an explanation of the applicant's right of appeal.

## **§ 10 Doctorate Board and reviewers**

(1) The Faculty Board appoints a Doctorate Board and chooses a Chair. The Doctorate Board consists of the Chair, the reviewers, and at least two further full-time or retired university lecturers from the TU Bergakademie Freiberg, honorary professors as defined by § 1 paragraph 3 clause 2, or researchers with habilitation and, if applicable, postdoctoral scientists in accordance with § 9 paragraph 2 clause 4 as members entitled to vote. Additionally, consulting members can be taken on. At most, half of the Board members eligible to vote may come from the same institute. Independence and impartiality of members must be respected during their appointment.

(2) The Chair must be a full-time university lecturer at the Faculty of Geosciences, Geoengineering and Mining and must not be a reviewer in the doctorate in question.

(3) At least one reviewer must be a professor of a university according to § 60 or § 62 SächsHSFG. Further reviewers can be Junior Professors or professors from Universities of Applied Sciences, honorary professors within the meaning of § 1 paragraph 3 clause 2 and habilitated scientists or scientists who are able to demonstrate achievements at least adequate for a habilitation. The first supervisor should be a reviewer. In cooperative doctoral procedures, there is an obligation that a university teacher of the participating University of Applied Sciences is a reviewer. To ensure transparency and quality of the doctorate procedure, the Faculty Board should examine the possibilities of appointing experts from outside its own faculty.

(4) In unforeseeable exceptional cases, a one-off nomination or a replacement of a member of the Doctorate Board by the Chair without the authorisation of the Faculty Board is allowed. This shall be justified in the minutes and documented in a comprehensible manner. In particular, it is considered unforeseeable if the commission does not have a quorum despite the promise of a sufficient number of commission members. The Chair informs the Faculty Board via the Dean's Office.

(5) The Chair convenes the Doctorate Board and, in agreement with the supervisor, determines the date for the viva and the public defence of the thesis. The Doctorate Board is quorate when at least two thirds of its members eligible to vote - of which

the Chair and at least one reviewer, in the case of cooperative doctorate procedures the reviewer from the participating University of Applied Sciences – are present at the meeting. Abstentions in decisions relating to doctorates are not permitted.

(6) Meetings of the Doctorate Board are not held in public. The members of the Doctorate Board are bound to secrecy. If they are not public sector employees, the Chair must bind them to secrecy.

(7) The Doctorate Board has the following responsibilities:

1. to decide whether to accept or reject a thesis in accordance with § 13 paragraph 1,
2. to carry out the public defence and to decide the result and grade of the public defence in accordance with § 16 paragraph 3,
3. to propose a possible repeat of the public defence in accordance with § 16 paragraph 4,
4. to bring about a decision on the overall doctorate process including the determination of the grade in accordance with § 17 paragraphs 1 and 2,
5. to keep a record of its own proceedings and decisions.

## **§ 11 Doctorate requirements**

(1) The doctorate consists of the following parts:

1. a thesis
2. a viva or comparable academic achievement in the framework of a
3. structured doctorate in accordance with § 15 and public defence of the thesis.

(2) The thesis is a research paper authored by the applicant, in the intended field of science of the doctorate. The thesis is proof of the applicant's ability, through independent academic research, to obtain results that develop the theories and methods of a branch of science. Results from the thesis can, in consultation with the supervisor, be published before the opening of the doctorate procedure. Research that has been used for previous exams and graduation may not be used in the thesis.

(3) The thesis must be submitted in German or English (Title page in accordance with Appendix 1). If the Faculty Board decides that another language is permitted, then a six- to twelve-page summary of the thesis in German or English must be included.

(4) The viva is an oral examination which provides proof of a candidate's knowledge of the broader subject area; an Examination Board tests the candidate's knowledge of a major and a minor subject. The major subject must be in the field or interdisciplinary area of the thesis. The minor subject of the viva must be clearly distinct from yet still meaningfully connected to the major subject. The candidate's minor subject should normally be one that is represented by a full-time university lecturer at the TU Bergakademie Freiberg. The major and minor subjects are proposed by the candidate (§ 8 paragraph 2 number 4). The Faculty Board must approve the major and minor subjects and appoints the examiners (§ 9 paragraph 2).

(5) Upon request, the Faculty Board can decide to substitute alternative academic requirements for the viva. Equivalent academic requirements are:

1. completion of a structured doctoral training programme in accordance with § 15 or
2. completion of graduate study programme in accordance with § 15 of the SächsHSFG, as long as its regulations allow for a procedure for giving a final grade.

(6) The candidate's public defence of the thesis is a scientific presentation to a quorate meeting of the Doctorate Board, presided over by the Chair. The candidate must demonstrate the ability to expound the fundamental ideas of the thesis and to deal with any questions concerning its content.

## § 12 Assessment procedures

(1) The judgement of the reviewers should normally be reported in writing within two months after having been requested. In justified exceptional cases, after consultation with the Dean of the Faculty, this period can be extended.

(2) The reviewers assess the thesis with one of the following grades:

- |                  |     |   |
|------------------|-----|---|
| "very good"      | (1) | (magna cum laude - especially commendable),         |
| "good"           | (2) | (cum laude - above average accomplishment),         |
| "satisfactory"   | (3) | (rite - meeting the required standards),            |
| "unsatisfactory" | (4) | (non sufficit - not meeting the required standard). |

The thesis must be assessed in the form in which it was submitted. The assessment of the thesis must not be made dependant on any later revision. The reviewers may recommend revisions be made to the thesis before it is published. Any such changes must be approved by the Doctorate Board. These changes may not concern the scientific contents of the dissertation.

(3) The members of the Doctorate Board receive copies of the reviews and the dissertation thesis, preferably electronically, for decision-making purposes.

(4) If the thesis is graded as "unsatisfactory" by one reviewer, the Doctorate Board can propose to the Faculty Board that an additional scientist is asked to give a review. According to §10 (1), the additional reviewer is a member of the Doctorate Board.

(5) If the majority of the reviewers have given the grade "unsatisfactory", the dissertation shall be rejected by the Doctorate Board and the doctoral procedure is considered to have failed. The Dean of the Faculty will proceed in accordance with § 13, paragraph 2.

(6) After all the requested assessments have been submitted in writing, the Dean will, after informing the Centre of Advanced Study and Research, arrange for the thesis to be displayed for a period of 14 days. During this time, any university lecturer or scientist qualified as a university lecturer of the TU Bergakademie Freiberg may inspect the thesis. The Deans of the other faculties must be informed about this arrangement. The announcement should be made by a written notice or notification via the intranet. The members of the Faculty Board are entitled to inspect all written assessments, including the proposed grades. The university lecturers and the candidate are entitled to inspect the assessments. The university lecturers may not

see the proposed grades if either the reviewers or the candidate object to their doing so. For the applicant it is only possible to inspect the proposed grades if no objections are raised against it by the assessors.

(7) All lecturers and scientists qualified as lecturers at TU Bergakademie Freiberg have the right to submit a written statements in favour or against the acceptance of the thesis, to the appropriate Dean of Faculty within the 14 day display period. The statement has to be justified in writing within 14 days of submission to the Dean of the Faculty.

### **§ 13 Decisions concerning thesis acceptance**

(1) The Doctorate Board decides about the thesis acceptance or rejection at the end of the display period of the thesis and the assessments but before the defence of the thesis, if the legal requirements are met, also by circulation procedure. The reviews, any comments and objections received and the Doctorate Board's own view must be taken into consideration. Pursuant to § 54 paragraph 1 of the Sächsisches Hochschulfreiheitsgesetz (SächsHSFG) a circulation procedure is only permitted if the Doctorate Board has previously failed to reach a quorum at a meeting duly convened for this purpose.

(2) The doctorate will be judged to have failed if the thesis is not accepted. The Dean of the Faculty is required to notify the candidate in writing of the rejection of the thesis and the reasons for it. This notification must be accompanied by an explanation of the candidate's right of appeal.

### **§ 14 The viva voce**

(1) The viva is not public. It takes place in front of an Examination Board consisting of the examiner for the major subject, the examiner for the minor subject and the Chair of the Doctorate Board as Chief Examiner. The members of the Doctorate Board are also entitled to participate and vote.

(2) The viva must last at least 60 and not more than 90 minutes.

(3) The candidate must pass the viva before the public defence of the thesis.

(4) The candidate's performance in the major and minor subject will be given one overall grade in accordance with § 12 paragraph 2. The grade is determined by a majority vote of all the members of the Board of Examiners.

(5) There must be a record kept of the major matters, proceedings and conclusions of the viva. This record must be signed by the members of the Examination Board. The final grade is to be announced to the candidate at the end of the viva.

(6) If failed at first attempt, the candidate may apply for the viva to be repeated within one year of the announcement of the overall grade. The major and minor subjects cannot be altered for the second viva. The Board of Faculty decides the application, taking account of the view of the Examination Board. A second repetition of the viva is not allowed.

(7) If the candidate fails to pass the viva the second time or if the application for second viva is rejected, the doctorate will have failed. The Dean of the relevant Faculty is required to notify the candidate in writing and set out the reasons for the failure. This notification must be accompanied by an explanation of the candidate's right of appeal.

(8) Upon application to the Faculty Board, the viva can be substituted by equivalent scientific achievements in accordance with § 11, paragraph 5. More details are regulated in § 15.

## **§ 15 Structured doctoral studies**

(1) The structured doctoral studies include the following elements:

1. completion of a subject-related study programme as well as obtaining additional interdisciplinary qualifications at least to the extent stated in paragraph 4,
2. conclusion of a Supervision Agreement between the supervising university lecturer(s) and, if applicable, the co-supervisor and the graduate student in accordance with § 1 paragraph 4 and
3. contacts with a relevant professional institution (business, research institute etc.) or with a cooperating university if this is appropriate for the matter of the doctorate. This contact should entail a stay of the graduate student at the relevant institution as well as the regular information exchange with a tutor employed at this institution about the progress of the doctorate.

(2) The structured doctoral training programme can be carried out within a graduate school. In this case, allocated doctorates run largely simultaneously and the graduate school determines the study programme.

(3) The structured doctoral training programme can also be carried out individually, i.e. without belonging to a graduate school. The individual programme of study is based on the guidelines set out by the Faculty Board. The offers of the Centre of Advanced Study and Research or other establishments should also be taken into account.

(4) In the programme of study of the structured doctorate training, credits are acquired. One credit is equivalent to a workload of 30 hours (including preparation and follow-up). The viva can only be substituted if at least 15 credits have been gained. Of these, 4 credits must come from subject-specific courses that are graded. The faculties and graduate schools can make additional requirements and can decide on the relative proportion of subject-related programme of study and interdisciplinary qualifications. They can also decide on the requirement and recognition of qualifications from Bachelor's, Master's or Diplom degree courses other than those qualifying the candidate to undertake a doctorate. The prerequisite for the recognition of achievements in courses from Bachelor's, Master's or Diplom degrees is that these achievements have not already been gained in the framework of those courses qualifying to undertake the doctorate.

(5) When graduate students teach they both enhance their subject-related knowledge and improve their skills for disseminating this content. Graduate students receive credits for their teaching activities. Up to six credits can be taken into account towards the credits required according to paragraph 4, sentence 2. Graduate schools can make rulings diverging for their fields.

(6) Credits from courses at other German universities or equivalent 'Hochschule' or institutes of the Max Planck Society or the Helmholtz Association given specifically for

graduate students will be recognized upon approval by the supervisor unless the responsible Faculty Board has made a contrary decision. Knowledge and qualifications gained at institutes not mentioned above will be decided upon by the Faculty Board.

(7) The grade for the structured doctorate training programme is based on the graded courses in accordance with paragraph 4, sentence 4.

## **§ 16 Public defence of thesis**

(1) The date and the time for the public defence must be decided at least two weeks in advance. The candidate must be informed in writing and a public announcement made within university. The announcement should be made by a written notice or notification via intranet. Members of the Doctorate Board are invited to the public defence. The defence is normally to be carried out in German or English. The Doctorate Board decides about exceptions.

(2) The defence consists of a scientific presentation of normally 30 minutes, the evaluation of the thesis by the reviewers and a discussion. In the scientific presentation, the candidate is required to expound clearly the fundamental ideas of the thesis. In the discussion, the candidate must demonstrate a comprehensive knowledge of the subject and the ability to deal convincingly with its issues. All those present are entitled to ask questions during the discussion. The Chair may reject questions if they are not related to the subject. The candidate's academic career will be read out prior to the defence.

(3) After the defence, the Doctorate Board decides on the passing or failing of the defence.

(4) If the Doctorate Board grades the defence as "unsatisfactory", the candidate has the right to apply for a repeated defence within six months of the announcement of the grade. The Faculty Board decides the application taking into account the view of the Doctorate Board. The repeated defence must take place within 12 months of the candidate's application. A second repeat of the defence is not allowed.

(5) If the second public defence is unsuccessful or if the Board of Faculty rejects the application for a second defence in accordance with paragraph 4, the Dean of the Faculty must notify the candidate in writing. This notification must be accompanied by an explanation of the candidate's right of appeal.

## **§ 17 Classification**

(1) If the candidate successfully completes the public defence, the Doctorate Board, acting on behalf of the Faculty, decides on the passing of the doctorate immediately after the assessment of the defence. The Board determines the final grade of the doctorate taking into account the partial achievements (thesis, the public defence and the viva or, if applicable, the structured doctoral studies or the postgraduate courses). The final grade of the doctorate will be determined by majority vote of all members of the Doctorate Board. When determining the overall grade, the result of the thesis shall have priority.

(2) A doctorate can be classified in one of the following grades:

“very good”	(magna cum laude)
“good”	(cum laude)
“satisfactory”	(rite)

In exceptional cases, the overall grade "with distinction" (summa cum laude) may be awarded in the case of outstanding performance in all partial achievements and a unanimous decision by the Doctorate Board.

(3) Following the decision of the Doctorate Board, its Chair informs the candidate about the successful passing of all examinations in the presence of the Doctorate Board. On behalf of the faculty, the Chair also announces the successful conclusion of the doctoral procedure. At a closed session of the Board from which the public is excluded, the candidate will be informed about the overall grade. Immediately afterwards, with the written consent of the candidate, the overall grade can be communicated orally to the audience of the defence of the thesis.

(4) The formal conferral of the doctoral degree is carried out by the Dean on behalf of the Faculty and the University by handing over the certificate after all duties according to § 19 paragraph 1 have been fulfilled.

## **§ 18 Publication of thesis**

(1) The future doctor (candidate, who has satisfied all three academic requirements: thesis, viva and public defence, but has not yet completed the formalities of publication) is required to make the thesis available to the academic community.

(2) This requirement is satisfied if, within one year of the public defence, the future doctor delivers to the University Library five bound copies of the thesis, free of charge (printed on durable, wood and acid free paper, with a title page set out in accordance with Appendix 2), for the archive and guarantees, in addition, the distribution of the thesis by either:

- a) publishing the fundamental ideas and results of the thesis in one or more internationally recognized scientific journals, or
- b) delivering to the University Library 20 additional copies of the thesis, free of charge, in the form of books, photocopies or microfiches, or
- c) providing proof that the thesis has been published by a commercial publisher (with the publication identified as thesis on the reverse of the title page), or
- d) publishing the thesis on the Qucosa document server (<http://tubaf.qucosa.de>).

(3) In the cases from paragraph 2, letters b) and d), the University Library gets the right, free of charge, to copy and publish the thesis or to make it available via information networks.

(4) A University Library official will issue a receipt for the thesis which must be presented at the Centre of Advanced Study and Research.

(5) In exceptional circumstances, the Dean may, at the written request of the future doctor or the first supervisor, set a longer deadline or a delayed publication with regard to the deadline referred to in paragraph 2 (above). At the request of the supervisor, the Dean can decide on the publication version 2 b) (above). If the future doctor culpably fails to discharge the obligations set out in paragraph 2 by the stipulated deadline then all rights acquired by the award of the doctorate are lost and the doctorate procedure terminates.



## **§ 19 Doctoral certificate**

(1) The Centre of Advanced Study and Research awards the doctoral certificate to the future doctor after all requirements in accordance with § 18 have been met. The document (see Appendix 3) contains:

1. personal details
2. the academic degree awarded
3. the title of the thesis
4. names of the supervisor and the other reviewers
5. information about the viva or, if the viva was substituted, about the other scientific accomplishments
6. the field of science of the doctorate
7. the overall grade of the doctorate
8. the date of the award
9. the signatures of the Rector and the Faculty Dean
10. the official seal of TU Bergakademie Freiberg

(2) The receipt of the doctoral certificate confers the right to use the title of Doctor.

## **§ 20 Cotutelle de thèse**

(1) A joint doctorate procedure with a foreign university/faculty, within the framework of these Regulations for the Award of Doctorates, requires bilateral agreements between the TU Bergakademie Freiberg and the foreign university/faculty in which the Faculty of Geosciences, Geoengineering and Mining or some of its university teachers are involved, as well as the admission of the doctoral candidate at both universities.

(2) These agreements in accordance with paragraph 1 regulates especially:

1. the supervisors of the bi-national doctorate at both universities;
2. the minimum duration of research periods at each university;
3. modalities of cooperation of both universities in assessing the doctorate;  
and
4. the method of certification of a successful doctorate and also designation of the doctoral title.

(3) The agreements may stipulate recognition of the scientific work done at the foreign university and of the formation of a joint Examination Board. The guidelines for Examination Boards in these Regulations are not binding for the bi-national

Examination Board in respect to size and composition of the Board. The same applies for the defence and the Doctorate Board.

(4) Further agreement can rule the language of the thesis to be other than German or English if a six- to twelve- page abstract in German or English is included in the thesis. The same applies for the viva voce and defence.

(5) After the successful passing of the doctorate procedure, the candidate receives one doctoral certificate signed by representatives of both universities, or two separate certificates. From the certificate(s) it must be clear that the doctorate was awarded in a joint doctorate procedure for the same scientific accomplishment.

(6) A thesis that had been submitted to a foreign university and has not been accepted or was rejected cannot be re-submitted at the TU Bergakademie Freiberg.

#### **IV. HONORARY DOCTORATES**

##### **§ 21 Honorary doctorates**

(1) A proposal to award an honorary doctorate, setting out the grounds for it, can be submitted to the Senate by at least two university lecturers of the faculty. If the Senate approves, the Faculty Board will establish a committee of five university lecturers of the faculty, chaired by the Dean or the Deputy Dean. The committee will produce the materials necessary for the Faculty Board to reach a decision.

(2) The Faculty Board decides about the award of the proposed honorary doctorate, voting in a secret ballot. If it is decided to award the honour, the encomium can be drawn up in consultation with the person to be honoured.

(3) The award of the honorary doctorate consists of a statement of the reasons for the honour, the presentation of the certificate by the Rector and the Dean of the relevant Faculty and an academic lecture by the honorary graduate.

(4) If the holder of the degree has been legally convicted of an offence, the degree "Doctor Honoris Causa" or "Doktor Ehren halber" can be withdrawn. It must be withdrawn if the honoured person has been legally convicted of a crime. § 25 paragraphs 2 and 3 of these regulations shall apply mutatis mutandis.

#### **V. MISCELLANEOUS PROVISIONS**

##### **§ 22 Failure to attend viva or public defence**

If the candidate fails to attend the viva or public defence at the arranged time without valid reasons then the doctorate will be deemed to have failed.

## **§ 23 Rights of access to information and appeal**

- (1) Upon application, the candidate has the right of access to the doctoral file.
- (2) The candidate must apply in writing within one month of the announcement of the overall grade of the doctorate. The Dean will determine the time and place for the file to be inspected.
- (3) A written appeal against any decision made under these regulations can be lodged with the Dean of the relevant Faculty within one month of the decision being announced. The Dean must immediately inform the Faculty Board that there has been an appeal and pass the appeal to the Doctorate Board for comment.
- (4) Objection Authority is the Faculty Board. The Faculty Board must decide the appeal and inform the applicant within three months of its receipt. Its decision must be delivered to the appellant within this period. If this deadline cannot be met, the appellant must be informed of the reasons. The decision regarding the appeal must be delivered in writing and the grounds for it must be set out. It must be accompanied by a statement of the appellant's legal rights.

## **§ 24 Reapplication**

The candidate has the right to reapply for the opening of the doctoral procedure if the first doctorate fails in accordance with § 12, paragraph 4 or § 13, paragraph 2. With this application, a different thesis or a fundamentally revised version of the first thesis with the same topic must be submitted. Only one such reapplication for a doctorate is possible at the TU Bergakademie Freiberg. The earliest date for a reapplication is one year after the Dean's announcement that the doctorate has failed. The reapplication will be decided in accordance with § 9.

## **§ 25 Doctoral degree revocation**

- (1) The doctorate can be revoked if
  1. it emerges that the candidate materially misled the Faculty Board about the fulfilment of admission requirements or about the work undertaken for the degree, or
  2. facts become known, that would have precluded the awarding of the doctorate.
- (2) Prior to the revocation of the doctorate, the candidate has the right to make a statement to the Faculty Board.
- (3) The Faculty Board makes the decision to revoke it. The Dean notifies the affected person in writing of the revocation and the reasons for it. This notification must be accompanied by an explanation of the recipient's legal rights. The Dean also withdraws the awarded doctoral certificate.

(4) In cases of suspected scientific misconduct, in addition, the instructions of the Regulations on Safeguarding Good Scientific Practice and on Handling Scientific Misconduct at TU Bergakademie Freiberg apply for the procedure.

## **§ 26 Terms**

Masculine terms used in these regulations apply to all persons without regard to their gender.

## **§ 27 Coming into force and expiry of the regulations**

(1) These doctorate regulations come into force one day after they have been officially announced at the TU Bergakademie Freiberg. Simultaneously, the doctorate regulations of 16 March 2010 (Official Announcements of the TU Bergakademie Freiberg No. 05 of 16 March 2010) will cease to be effective for the Faculty of Geosciences, Geoengineering and Mining, subject to the following sentences. For doctoral procedures that have been opened prior to the coming into force of these Regulations for the Award of Doctorates, the doctorate regulations of 16 March 2010 apply. For doctoral candidates who have already submitted a Declaration of Intent but whose doctoral procedure has not yet been opened, as a rule, the Regulations of the Award of Doctorates of 16 March 2010 apply. However, the doctoral candidates concerned may also decide on the validity of these doctorate regulations. These doctorate regulations apply without exception to doctoral candidates who have not yet submitted a Declaration of Intent.

(2) Issued in accordance with the resolutions of the Faculty Board on 13 June 2017 and the approval of the Rectorate of 3 July 2017.

Freiberg, 8<sup>th</sup> August 2017

signed:  
Prof. Dr. Klaus Spitzer  
Dean of the Faculty of Geosciences, Geoengineering and Mining

Freiberg, 11<sup>th</sup> August 2017

signed:  
Prof. Dr. Klaus-Dieter Barbknecht  
Rector

Appendix 1.1

**Layout of the title page of the submitted doctoral thesis**

.....  
.....  
.....  
(Titel)

Der Fakultät für Geowissenschaften, Geotechnik und Bergbau  
der Technischen Universität Bergakademie Freiberg  
eingereichte

**DISSERTATION**

zur Erlangung des akademischen Grades

.....  
(academic degree)  
.....,  
(abbreviation)

vorgelegt

von.....  
(akademischer Grad, Vorname, Name)

geboren am..... in .....

Freiberg, den.....  
(Einreichungsdatum)

Appendix 1.2

**The title page layout of the submitted thesis**  
**- Optional - in addition to the title page in German language**

.....  
.....  
.....

(Title)

To the Faculty of Geosciences, Geoengineering and Mining

of the Technische Universität Bergakademie Freiberg

is submitted this

**THESIS**

to attain the academic degree of

.....

(academic degree)

.....

(abbreviation) submitted

by.....

(academic degree, first name, surname)

born on the ..... in.....

Freiberg .....  
(date of submission)

Appendix 2.1

**The layout of the title page of required copies of the doctoral thesis**

.....  
.....  
.....

(Titel)

Von der Fakultät für Geowissenschaften, Geotechnik und Bergbau  
der Technischen Universität Bergakademie Freiberg

genehmigte

**DISSERTATION**

zur Erlangung des akademischen Grades

.....  
(academic degree)

.....,  
(abbreviation)

vorgelegt

von.....  
(akademischer Grad, Vorname, Name)

geboren am ..... in .....

Gutachter.: .....  
.....  
.....  
(Titel, akademischer Grad, Vorname, Name, Ort)

Tag der Verleihung: .....

Appendix 2.2

**The title page layout of required copies of the thesis**  
**- Optional - in addition to the title page in German language**

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(Title)

To the Faculty of Geosciences, Geoengineering and Mining

of the Technische Universität Bergakademie Freiberg

approved

**THESIS**

to attain the academic degree of

.....

(Academic degree)

.....

(Abbreviation) submitted

by.....

(academic degree, first name, surname)

born on the ..... in.....

Reviewers: .....

.....

.....

(title, academic degree, first name, surname, place)

Date of the award .....



Appendix 3 Specimen of the Doctoral Certificate

**Technische Universität Bergakademie Freiberg**

The Faculty of Geosciences, Geoengineering and Mining

awards

Mr./Ms.....

born on the .....in.....

the academic degree

.....

(Dr.....)

For the specialist field.....

upon a regular or cooperative doctorate procedure, in which by means of the thesis,

.....  
.....  
.....

the viva voce (if viva voce was replaced by other scientific work this work is to be named i.e. the structured doctorate studies or post-graduate school) and the public defence the ability for independent research was demonstrated and passed with the overall grade

.....

Supervisor

Reviewer

Freiberg,

(Official stamp)

Rector

Faculty Dean

Appendix 4

**Declaration**

I hereby declare that I completed this work without any improper help from a third party and without using any aids other than those cited. All ideas derived directly or indirectly from other sources are identified as such.

In the selection and in the use of materials and in the writing of the manuscript I received support from the following persons:

.....  
.....  
.....

Persons other than those above did not contribute to the writing of this thesis. I did not seek the help of a professional doctorate-consultant. Only persons identified as having done so received any financial payment from me for any work done for me.

This thesis has not previously been submitted to another examination authority in the same or similar form in Germany or abroad.

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This English version is intended to assist candidates who may find it difficult to understand the original German one. If there is any contradiction between this translation and the German text of these regulations, then the German text is to be regarded as authoritative.