



Guidelines

**Non-official reading version of the
Regulations of the Technische
Universität Bergakademie Freiberg
for the
Award of Doctorates
at the
Faculty of Materials Science and
Materials Technology
(5 July 2017)**

This is a translation of the regulations and is not legally binding. Some sections contain additional information to help international doctoral candidates better understand German Scientific Culture. For legal purposes please refer to the original German document (<https://tu-freiberg.de/grafa/formulare-ordnungen> → Promotionsordnung der Fakultät für Werkstoffwissenschaft und Werkstofftechnologie).

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 January 2013 (SächsGVBl. S. 3), as amended by article 11 of the Law of 29 April 2015 (SächsGVBl. S. 349), the Faculty of Materials Science and Materials Technology of the Technische Universität Bergakademie Freiberg with the approval of the Rectorate has passed the following:

**Regulations of the Technische Universität
Bergakademie Freiberg for the
Award of Doctorates
at the Faculty of Materials Science and
Materials Technology**

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I. SCOPE

These regulations govern the implementation of the doctoral procedures at the Faculty of Materials Science and Materials Technology of the TU Bergakademie Freiberg.

II. REGULAR CONFERRAL OF DOCTORATES

§ 1 Doctorate and Supervisor

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

(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 Materials Science and Materials Technology is only possible:

1. if the topic of the dissertation can be assigned to the field of science of at least one full-time university lecturer of the Faculty or if at least one full-time university lecturer of the Faculty 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)¹ is willing to supervise the doctoral 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 contains 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 alternative or special skills.

¹ in accordance with § 65, paragraph 1, sentence 3 of the Law on the Freedom of the Universities in the Free State of Saxony (SächsHSFG)

(6) A doctorate award procedure is structured as follows:

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

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

§ 2 Doctoral degree

(1) The doctorate procedures are carried out on the basis of the TU Bergakademie's right to award doctorates by its faculties. The organization of the doctorate procedures is supported by the Centre of Advanced Study and Research. After completing the doctorate procedure the Faculty of Materials Science and Materials Technology awards for the university the following academic degrees:

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

(2) In recognition of special contributions to science, technology, culture and art, the Faculty can confer a honorary academic degree (doctor honoris causa) on external persons. The honorary academic award is based on the TU Bergakademie's right to award doctorates and is fulfilled in accordance with the procedure of § 21. The letters E. h. (Ehren halber) are added to the doctoral degree Dr.-Ing. and the letters h.c. (honoris causa) are added to the doctoral degree Dr. rer. nat.

(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 the 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 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, and currently graduated with outstanding success and 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 decides, in consideration of equivalence agreements and recommendations of the Central Office for Foreign Education, whether or not the requirements in paragraph 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 examinations², in particular for interdisciplinary dissertations, and impose an obligation to gain the language knowledge necessary for the completion of the thesis. As a rule, the conditions have to be fulfilled within the first year after the Declaration of Intent, but at the latest until 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 Faculty Board decides which main subjects of the relevant course of study proposed by the supervisor, if any, should be successfully completed before the opening of the doctorate procedure.

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

(1) The eligibility process should determine, whether 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 achieve this qualification.

(2) The Faculty Board determines which courses need to be taken before admission for the doctorate. The stipulated courses must yield at least 60 credits (equivalent of

² lectures/modules and examinations to be passed

two semesters) and at most 120 credits (four semesters). Exceptions require the agreement of the Rector's office or of a commission assigned by the Rector. The number of these credits should be ascertained with respect to the overall assessment of the personal eligibility of the applicant. Special notice should be taken 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. The holders of a Bachelor's degree can also be obligated 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.

§ 6 Cooperative doctorates

(1) The basis of the cooperative doctorate procedure should be an agreement between two university lecturers commissioned by the responsible Faculty Boards of the University of Applied Sciences and the Faculty of Materials Science and Materials Technology.

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

(3) The thesis is to be supervised by a university lecturer from the Faculty of Materials Science and Materials Technology, either alone or together with a university lecturer from a University of Applied Sciences.

§ 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 delivered to the applicant in a written form 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. The reasons for the rejection must be set out and 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 Materials Science and Materials Technology. Apart from the Declaration of Intent itself, the following documents are to be submitted:

1. a curriculum vitae with statements of personal and professional development of the applicant,
2. a degree certificate from a university/University of Applied Sciences providing evidence about the graduation 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 intended doctorate,
7. the intended doctor title,
8. the field of science of the doctorate,
9. the approval of the supervisor(s).

(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, 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 Materials Science and Materials Technology or to a honorary professor within the meaning of § 1 paragraph 3 clause 2 or if significant parts of an interdisciplinary field cannot be represented by a full-time university lecturer of the Faculty of Materials Science and Materials Technology.

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 for the main and subsidiary subjects that should be examined in the viva or an application for a viva waiver and evidence of qualifications equivalent to the viva,
5. a curriculum vitae 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 the proposed reviewers, approved by the supervisor,
9. a proposal for the composition of the Doctorate Board, approved by the supervisor,
10. a declaration on the field of science 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 the candidate has 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 if 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. If the supervisor is not a university lecturer, he should be asked for 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 is not allowed, if:

1. the doctorate application is incomplete and, despite requests, the documents are not completely submitted,
2. any obligations 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 of the doctoral thesis by the reviewers 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 nominates 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. The members of the Doctorate Board must be independent and impartial.

(2) The Chair must be a full-time university lecturer at the Faculty of Materials Science and Materials Technology and must not be a reviewer in the respective doctorate procedure.

(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 having achievements at least adequate to a habilitation. In cooperative doctoral procedures, a reviewer must be a university teacher of the participating University of Applied Sciences. A reviewer must be appointed as primary reviewer. If the supervisor fulfils the requirements according to § 10 paragraph 3, sentence 1, he/she should be appointed to primary reviewer. To ensure transparency and quality of the doctorate procedure, the Faculty Board should examine the possibilities of appointing external reviewers (from outside its own faculty).

(4) In justified exceptional cases, the Chair of the Doctorate Board may nominate ex post or replace a member of the Doctorate Board without the authorisation through the Faculty Board.

(5) The Chair convenes the Doctorate Board and, in agreement with the supervisor, determines the date for the viva and for 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 the achievements of the doctoral candidates 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 about the acceptance or rejection of the thesis in accordance with § 13 paragraph 1,
2. to determine the final grade of the thesis in accordance with § 12 paragraph 2,
3. to carry out the public defence and to determine the result and grade of the public defence in accordance with § 16 paragraph 3,
4. to propose a possible repeat of the public defence in accordance with § 16 paragraph 4,

5. to bring about a decision on the overall doctorate process including the determination of the grade in accordance with § 17 paragraphs 1 and 2 and the award of the degree,
6. to keep a record of its own proceedings and decisions.

§ 11 Doctorate achievements

(1) The achievements of the doctoral candidates comprise:

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

(2) The thesis is a research paper authored by the applicant, presenting new results in the intended field of science of the doctorate. The thesis is proof of the applicant's ability to do independent academic research and to obtain results that develop the theories and/or methods in the respective branch of science. In consultation with the supervisor, the results of the doctoral work can be published before the doctorate award procedure is opened. Upon recommendation of the supervisor, the dissertation may be submitted in cumulative form. The formal requirements for the cumulative dissertation are regulated by the faculty's guidelines. 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. The title page must be in accordance with Appendix 1). If the Faculty Board approves another language for the thesis, then a six- to twelve-page summary of the thesis in German or English must be submitted.

(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 of the doctoral work or in an interdisciplinary area related to the thesis. The minor subject of the viva should be meaningfully related to the main field of the research, but it must be clearly distinct from the topics of the major subject. The candidate's minor subject should be in responsibility of a full-time professor from 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). Upon application, the viva can be substituted by equivalent scientific achievements. Further details are provided in the faculty's guidelines.

(5) The candidate's defence of the thesis is a public 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 dependent 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) 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 an opinion.

(4) If the thesis is graded as “unsatisfactory” by the majority of the reviewers, the Doctorate Board rejects the thesis and the doctorate is considered to have failed. The Dean of the Faculty will proceed in accordance with § 13, paragraph 2.

(5) After all requested assessments have been submitted in writing, the Dean will grant the access to the thesis to all university lecturers and habilitated scientists of the TU Bergakademie Freiberg for a period of 14 days. The Deans of the other faculties must be informed about this arrangement. The inspection of the thesis is organized by the Centre of Advanced Study and Research. The announcement should be made by a written notice or by notification via the intranet. The members of the Faculty Board are entitled to inspect the assessments of the reviewers, including the proposed grades. The university lecturers and the candidate are entitled to inspect the reviewers’ assessments without the grades. The grades can be seen only if the reviewers and the candidate have no objections.

(6) All university lecturers and habilitated scientists at the TU Bergakademie Freiberg have the right to submit a written statement in favour or against the acceptance of the thesis. The statement must be addressed to the Dean of the responsible faculty within the 14 day display period. The statement has to be justified in writing within 14 days after submission to the Dean of the Faculty.

§ 13 Decisions concerning thesis acceptance

(1) The Doctorate Board decides about the thesis acceptance or rejection and about the final grade of the thesis at the end of the display period but before the defence of the thesis. The grades given by the reviewers, any comments and objections received by the Chair, and the opinion of the Doctorate Board must be taken into consideration.

(2) If the thesis is not accepted, the doctoral candidate will be judged to have failed. In this case, the candidate will be notified in writing by the Dean of the Faculty that the thesis was rejected. The notification must explain the reasons for the rejection and be accompanied by an explanation of the candidate's right of appeal.

§ 14 The viva voce

(1) The viva voce 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. 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 is graded separately in the major and minor subject. Both grades are merged into an overall grade in accordance with § 12 paragraph 2. All grades are determined by a majority vote of all members of the Examination Board.

(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 first repetition of the viva. The Faculty Board decides the application, taking into account the view of the Examination Board. A second repetition of the viva is not allowed.

(7) If the candidate fails to pass the viva for the second time or if the application for the repetition of the viva is rejected, the doctorate will have failed. The Dean of the responsible 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 request, the Faculty Board can decide to substitute alternative academic requirements for the viva. Alternative 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 § 42 of the SächsHSFG, as long as its regulations allow for a procedure for giving a final grade.

§ 15 Structured doctoral studies

(1) Structured doctoral studies are not a doctoral study programme according to § 40 paragraph 10 SächsHSFG. The structured doctoral studies include the following elements:

1. completion of a subject-related study programme as well as obtaining additional interdisciplinary qualifications,
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. collaboration with a relevant professional institution (company, 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) Doctoral candidates who are doing their doctorate within the framework of a doctoral research programme or a bi-national doctorate agreement can be obliged by the Faculty Board to complete structured doctoral studies. This obligation will be given with the admission to the doctorate according to § 7 paragraph 1. The type and extent of the achievements to be provided within the structured doctoral studies are determined by the Faculty Board and communicated to the doctoral candidate.

(3) The structured doctoral studies can also be carried out individually, i.e. without belonging to a doctoral research programme or a bi-national doctorate agreement. 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 considered.

(4) Upon application, the doctoral candidate will receive a Diploma Supplement on the achievements provided in the structured doctoral studies.

§ 16 Public defence of the doctoral 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 to be 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 taking normally 30 minutes, of a short evaluation of the thesis by the reviewers and a discussion. In the scientific presentation, the candidate is required to expound clearly the fundamental ideas and the most important results 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 attendees are entitled to ask questions during the discussion. The Chair of the Doctorate Board 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 determines the result and the grade for the defence in accordance with § 12, paragraph 2.

(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 repetition of the public defence is unsuccessful or if the Faculty Board 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 will conclude immediately after the assessment of the defence the award of the doctoral degree in the relevant subject. The Board determines the final grade of the doctorate taking account of the grades given for the thesis, the public defence and the viva or 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)

An outstanding performance can be classified “with distinction” (summa cum laude) especially when all three parts of the doctorate (thesis, viva voce or alternative academic requirements, and defence) have been graded “very good”.

(3) Following the decision of the Doctorate Board, its Chair informs the candidate (and the attendees of the defence) about the successful completion of the doctorate in the presence of the Doctorate Board. Furthermore, the candidate is informed about the grade for the thesis, the grade for the defence and the overall grade. With the consent of the candidate, the grade of the thesis, the grade of the defence as well as the determined overall grade can be announced publicly to the candidate.

§ 18 Publication of the doctoral thesis

(1) The future doctor (candidate, who has satisfied all academic requirements: thesis, viva voce or alternative academic requirements, and public defence) is required to make the thesis available to the academic community.

(2) The doctoral thesis is regarded as published if the future doctor delivers within one year of the public defence five bound copies of the thesis to the University Library. These copies must be free of charge and printed on durable, wood and acid free paper, with a title page set out in accordance with Appendix 2. Moreover, the results of the doctoral work must be disseminated by either:

- a) publishing the fundamental ideas and results of the thesis in internationally recognized scientific journals, or
- b) delivering 20 additional copies of the thesis to the University Library, 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 mentioned in paragraph 2, letters b) and d), the University Library gets the rights to copy and publish the thesis or to make it available via information networks, free of charge.

(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 Faculty Board may, at the written request of the future doctor or the supervisor, delay publication by a maximum of three years with regard to the deadline referred to in paragraph 2 (above). At the request of the supervisor, the Dean of the Faculty 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 delivers 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) Within the framework of these Regulations for the Award of Doctorates, a joint doctorate procedure with a foreign university or faculty is possible if the Faculty of Materials Science and Materials Technology or some of its professors cooperate with their colleagues/peers from the foreign university/faculty. A joint doctoral procedure requires bilateral agreements between the TU Bergakademie Freiberg and the foreign university/faculty and the admission of the doctoral candidate at both universities.

(2) These agreements from 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. the modalities of cooperation between both universities in assessing the doctorate;
and
4. the method of certification of a successful doctorate and also the designation of the doctoral title.

(3) The agreements may stipulate recognition of the scientific work done at the foreign university and define the formation of a joint Examination Board. The guidelines for Examination Boards in these Regulations are not binding for bi-national Examination Boards with respect to their size and composition. The same applies for the modalities of the defence and the Doctorate Board.

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

(5) After the successful passing of the doctorate procedure, the candidate receives either one doctoral certificate signed by representatives of both universities or two separate certificates. In particular, the two separated certificates must specify explicitly that the doctoral title 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, containing justification of the award, can be submitted to the Senate of the TU Bergakademie Freiberg by at least two university lecturers of the Faculty. If the Senate approves the proposal, the Faculty Board will establish a committee that consists of five university lecturers of the Faculty and that is chaired by the Dean or by the Deputy Dean. The committee will produce the materials necessary for the Faculty Board to reach a decision.

(2) The decision to award the proposed honorary doctorate requires a two-thirds majority of the Faculty Board, 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 of an academic lecture given 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. The § 25 paragraphs 2 and 3 of these regulations 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 application must be addressed to the Faculty Board. 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 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 the receipt of the objection. The decision of the Faculty Board must be delivered to the appellant within this period. If this deadline cannot be met, the appellant must be informed about the reasons. The decision regarding the appeal must be delivered in writing and the grounds for it must be set out. The decision 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 achievements related to the doctorate, 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 by a two-thirds majority. 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 male and female persons in equal measure.

§ 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 Materials Science and Materials Technology, subject to the following sentences. For doctoral procedures that have been opened before these Regulations of the Award of Doctorates entered into force, 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, the Regulations of the Award of Doctorates of 16 March 2010 apply as a rule. However, these doctoral candidates

may also proceed according the new 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 9 May 2017 and the approval of the Rectorate of 6 June 2017.

Freiberg, 20 June 2017

signed:
Prof. Dr. David Rafaja
Dean of the Faculty of Materials Science and Materials Technology

Freiberg, 26 June 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 Werkstoffwissenschaft und Werkstofftechnologie
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

Layout of the title page of the submitted doctoral thesis

- Optional - in addition to the title page in German language

(Title)

by

(academic degree, first name, surname)

born on the in

THESIS

submitted to the
Faculty of Materials Science and Materials Technology
of the
Technische Universität Bergakademie Freiberg

to attain the academic degree of

.....
(academic degree)

.....
(abbreviation)

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 Werkstoffwissenschaft und Werkstofftechnologie

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

- Optional - in addition to the title page in German language

(Title)

by.....

(academic degree, first name, surname)

born on the in.....

THESIS

submitted to and approved by

the

Faculty of Materials Science and Materials Technology

of the

Technische Universität Bergakademie Freiberg

to attain the academic degree of

.....

(academic degree)

.....

(abbreviation)

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 Materials Science and Materials Technology

awards Mr./Ms.....

born on thein.....

the academic degree

.....

(Dr.....)

For the field of science

.....

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

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

the viva³ voce 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

³ 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.

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:

(e.g. supervisor).....
.....
.....

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 identified persons received 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.

