



Guidelines

Non-official reading version of the

Regulations of the

**Faculty of Mechanical, Process and Energy
Engineering**

**for the award of Doctorates at the
Technische Universität
Bergakademie Freiberg**

(12 June 2017)

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

**Regulations of the Faculty of Mechanical, Process and Energy Engineering for
the award of the doctorates at the
TU Bergakademie Freiberg**

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I. SCOPE

These regulations govern the implementation of the doctoral procedures at the Faculty of Mechanical, Process and Energy Engineering of the TU Bergakademie Freiberg.

II. REGULAR CONFERRAL OF DOCTORAL DEGREES

§ 1 Doctorate and Supervisor

(1) The doctoral graduation 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 scientific work.

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

(3) A doctorate at the faculty is only possible:

1. if the respective scientific field, or in the case of a multidisciplinary field significant parts of the multidisciplinary field, can be assigned to at least one university lecturer (Hochschullehrer) of the faculty and
2. if one person out of the group of above mentioned university lecturers (Professor, Junior Professor, Associate Professor)¹ is willing to supervise and assess the thesis (supervisor). In individual cases the Faculty Board can assign the eligibility of independently supervising doctorates to academic assistants and research associates, if their scientific qualification is proven by a habilitation. In exceptional cases the Faculty Board can assign the eligibility of independently supervising of a doctorate to exceptionally qualified scholars who hold a doctorate, even without proof of habilitation. Honorary professors who are university lecturers in the material sense (academic researchers and lecturers 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 eligibility to independently supervise a doctorate in specially justified cases.

(4) In order 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.

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)

(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 hold a doctoral degree, if they possess equivalent or special skills.

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

1. opening of the doctorate award procedure
2. evaluation of the thesis
3. public defence of the thesis
4. award of the doctoral degree

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

§ 2 Doctoral degree

(1) The doctorate procedures are carried out by the faculties of the TU Bergakademie Freiberg in conjunction with the Graduate and Research Academy on the basis of the TU Bergakademie's right to award doctoral degrees. After successful completion of the doctorate procedure the Faculty awards for the university the academic degree Doktor-Ingenieur (Dr.-Ing.).

(2) In recognition of special contributions to science, technology, culture and art, the Faculty can confer a honorary academic degree (doctor honoris causa) on the basis of the TU Bergakademie's right to award doctoral degrees and in accordance to the procedure of § 20. Then the letters E. h. (Ehren halber) are added to the doctoral degree Dr.-Ing.

§ 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) If two faculties are significantly involved in an interdisciplinary doctorate, at the request of the supervisor, up to two university lecturers from the faculty that best complements the academic field of the supervisor with regard to the interdisciplinary subject area of the doctorate are consulted for the meetings of the Faculty Board.

§ 4 Admission requirements for a doctorate

(1) Those persons can be admitted to do a doctorate,

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 the doctorate,

or

- b) who have completed a Bachelor's degree (Bachelorgrad) from a degree course with a standard period of study of at least 6 semesters relevant to the field of doctorate and who graduated with outstanding success and who have completed the aptitude assessment procedure according to § 5 and
- 2. for whom a successful completion of the doctorate is considered probable, and
- 3. who have submitted a Declaration of Intent together with the other required documents in accordance with § 7,

unless otherwise stated in the paragraphs below.

(2) For graduates with a Master's or Diploma degree from a University of Applied Sciences (Fachhochschule) the doctorate 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, decides whether or not the requirements in paragraph 1 are complied with.

(4) In order to ensure the achievement of the doctoral graduation, the Faculty Board can impose conditions for the accomplishment of additional study or examinations². The imposed 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 field of the doctorate, the responsibility of deciding which, if any, main subjects of the relevant degree course should be successfully completed before the opening of the doctorate procedure, lies with the Faculty Board upon proposal of the supervisor.

§ 5 Aptitude assessment procedure for holders of the bachelor's degree

(1) The aptitude assessment procedure should determine whether or not the holder of a Bachelor's degree has generally the same qualification for scientific work in the field of doctorate that is expected of a holder of a research-oriented Master's or Diploma degree; alternatively the aptitude assessment procedure is supposed to create this qualification.

(2) The aptitude assessment procedure begins with a declaration of the Faculty Board which performances (courses, examinations...) need to be accomplished before admission for the doctorate. The scope of the workload to be completed is

² lectures/modules and examinations to be passed

at least 60 credits (equivalent of two semesters) and may not exceed 120 credits (equivalent of four semesters). The scope of the performances should be ascertained through an overall assessment of the personal aptitude 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 award 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.

(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 of the faculty, 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 applicant should be informed about the decision in written form not 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. In the case of rejection of the admission the applicant must be informed in a written form. 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 Graduate and Research Academy.

(2) The Declaration of Intent must be submitted, via the supervisor, to the Faculty. Apart from the Declaration of Intent itself, the following documents are to be submitted:

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 providing evidence about the graduation in the relevant field, including the final grade, the grades of the final examinations or the module grades, and if available the ECTS rank 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 any previous doctorate attempts or currently open doctorate award procedures,
6. the start and anticipated completion of the doctorate applied for,
7. the field of science of the doctorate,
8. the approval of the supervisor(s)

The Declaration of Intent should be submitted at the start of working on the doctorate. There should generally be a period of at least two years between the submission of the Declaration of Intent and the submission of the dissertation. During this time, the supervisor must meet the doctoral candidate 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 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.

III. DOCTORATE AWARD PROCEDURE

§ 8 Application for the opening of the doctorate award procedure

(1) The application for the opening of the doctorate award procedure has to be submitted in a written form via the Graduate and Research Academy to the Dean of the Faculty. Parallel 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 main results of the thesis (maximum 12 lines)
4. a C.V. (résumé) with statements of personal and professional development,
5. a list of the applicant's scientific publications,
6. ten copies of the main findings of the thesis
7. a suggestion about potential reviewers, approved by the supervisor,
8. a suggestion about the composition of the Doctorate Commission, approved by the supervisor,

9. a declaration on the field of science of the doctorate, if this has changed since submission of the Declaration of Intent,
10. 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) The application for the opening of the doctorate award procedure may be withdrawn as long as the Faculty Board has not yet made a decision about the opening of the doctorate award procedure. A later withdrawal will lead to the termination of the procedure and the candidate will be deemed to have failed the doctorate.

(4) After the opening of the doctorate award procedure, all documents submitted by the candidate become the property of the TU Bergakademie Freiberg, regardless of the outcome of the procedure. The reviewers may keep the copies of the thesis handed over to them after the assessment has been completed. Only if the application has been withdrawn before the doctorate award procedure has been opened does the applicant have the right to request all submitted documents back, with the exception of the applications for the opening of the doctorate award procedure and its withdrawal.

§ 9 Opening of the doctorate award procedure

(1) After receipt of the application for the opening of the doctorate award procedure, the Graduate and Research Academy checks the completeness of the documents. If the admission of the doctorate was subject to one or more conditions, the Graduate and Research Academy and, if necessary, the Dean will check the fulfilment of the condition.

(2) In case of a positive assessment, the Dean will present the application in the following meeting of the Faculty Board. The Faculty Board either opens the doctorate award procedure or rejects its opening, both with a formal decision. If the doctorate award procedure is opened, at least two reviewers and the Doctorate Commission must be appointed. Additionally, the Faculty Board can request other postdoctoral scientists to submit an expert opinion on the thesis. If the supervisor is not a university lecturer, he should be asked for an expert opinion. The Doctorate Commission can be appointed at a later date but at the latest after the receipt of the reviewers' reports.

(3) In particular, the opening of the doctorate award procedure is to be refused:

1. if the application for the opening of the doctorate award procedure is incomplete and, despite requests, the documents have not been completed,
2. if any conditions for the accomplishment of additional studies or 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 award procedure in writing by the Dean within two weeks of the decision 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 the application for the opening of doctorate award procedure, the Dean must notify the applicant in writing of the reasons for the rejection within one month. The notification must be accompanied by an explanation of the applicant's right of appeal.

§ 10 Doctorate Commission and reviewers

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

(2) The Chair must be a full-time university lecturer of the Faculty and must not be a reviewer in the respective doctorate award 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 who are able to demonstrate at least habilitation-adequate achievements. In cooperative doctorate award procedures, there is an obligation that one university lecturer of the participating University of Applied Sciences is a reviewer. A primary reviewer must be appointed and this should be the supervisor if he fulfils the requirements according to § 10 paragraph 3, sentence 1. In order to ensure transparency and quality of the doctorate award procedure, the Faculty Board should examine the possibilities of appointing experts from outside its own faculty as reviewers.

(4) In well-founded exceptions, a one-off nomination or a replacement of a member of the Doctorate Commission by the Chair without the authorisation of the Faculty Board is allowed.

(5) The Chair convenes the Doctorate Commission and, in agreement with the supervisor, determines the date for the public defence of the thesis. The Doctorate Commission 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 doctorates 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 Commission are not held in public. The members of the Doctorate Commission are bound to secrecy. If they are not public sector employees, the Chair must bind them to secrecy.

(7) The Doctorate Commission 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 decide the result and grade of the public defence in accordance with § 15 paragraph 3,
4. to propose a possible repeat of the public defence in accordance with §15 paragraph 4,
5. to bring about a decision on the overall doctorate award procedure including the determination of the grade in accordance with § 16 paragraphs 1 and 2 and the award of the doctoral degree,
6. to keep a record of its own proceedings and decisions.

§ 11 Achievements to be provided in the doctorate award procedure

(1) The achievements of the doctoral candidates comprise:

1. a thesis
2. public defence of the thesis.

(2) The thesis is a scientific 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 achieve results through independent scientific work that represent a development of the branch of knowledge, its theories or methods. Results from the thesis can, in consultation with the supervisor, be published before the opening of the doctorate award procedure. Research that has been used for previous exams and/or graduations 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 public defence of the thesis by the candidate is a scientific event under the direction of the Chair of the Doctorate Commission in the presence of the quorum Doctorate Commission. In the public defence, candidates should prove that they are capable of clearly presenting the essential aspects of their thesis and of dealing with any questions concerning its content.

§ 12 Procedure for the assessment of the thesis

(1) The reports of the reviewers should normally be submitted 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 |
| “good” | (2) | (cum laude - above average |
| “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 Commission. These changes may not concern the scientific contents of the doctoral thesis.

(3) If the thesis is graded as “unsatisfactory” by one reviewer, the Doctorate Commission 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 reviewers, the Doctorate Commission rejects the thesis and the doctorate award procedure will be terminated without success. The Dean of the Faculty will proceed in accordance with § 13, paragraph 2.

(5) After all the requested assessments have been submitted in writing, the Dean will, after informing the Graduate and Research Academy, 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 and the candidate may not see the proposed grades if either the reviewers or the candidate object to their doing so.

(6) All university lecturers and habilitated scientists at TU Bergakademie Freiberg have the right to announce an intended submission of a written statement 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 its announcement to the Dean of the Faculty.

§ 13 Decisions concerning thesis acceptance

(1) The Doctorate Commission decides about the thesis acceptance or rejection and the final grade in accordance with § 12 paragraph 2 at the end of the display period of the thesis and the assessments but before the defence of the thesis. The grades given by the reviewers, any comments and objections received and the Doctorate Commission's own position must be taken into consideration.

(2) The doctorate award procedure is terminated without success 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 Structured doctoral studies

(1) Structured doctoral studies are not a doctoral study programme within the meaning of § 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 multidisciplinary qualifications,
2. conclusion of a Supervision Agreement between the supervising university lecturer 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 visit 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 Graduate and Research Academy or other establishments should also be taken into account.

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

§ 15 Public defence of thesis

(1) The date and the time for the public defence must be decided at least two weeks in advance and 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 Commission are invited to the public defence. The defence is normally to be carried out in German or English. The Doctorate Commission decides about exceptions.

(2) The defence consists of a scientific presentation of usually 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 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 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 Commission determines the result and the grade for the defence in accordance with § 12, paragraph 2.

(4) If the Doctorate Commission 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 Commission. 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 Board of Faculty rejects the application for a repetition of the 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.

§ 16 Grading

(1) If the candidate successfully completes the public defence, the Doctorate Commission will conclude immediately after the assessment of the defence the award of the doctorate in the relevant subject. The Commission determines the final grade of the doctorate taking account of the grades given for the thesis, the public defence and, 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 Commission. When determining the overall grade, the result of the thesis shall have priority.

(2) For the doctorate award procedure, the following overall grades can be given:

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

An outstanding performance can be classified “with distinction” (summa cum laude) especially if all parts of the doctorate award procedure have been graded “very good”. For this purpose, a unanimous decision of the Doctorate Commission is necessary.

(3) Following the decision of the Doctorate Commission, its Chair informs the candidate about the successful completion of the doctorate award procedure in the presence of the Doctorate Commission. At a closed session from which the public is excluded, the candidate will be informed about the grade for the thesis, grade for the defence and the overall grade. Immediately afterwards, 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 communicated orally to the audience of the defence of the thesis.

§ 17 Publication of thesis

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

(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.

§ 18 Doctoral certificate

(1) The Graduate and Research Academy awards the doctoral certificate to the future doctor after all requirements in accordance with § 17 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 supervisors and the other reviewers
5. the field of science of the doctorate
6. the overall grade of the doctorate
7. the date of the award
8. the signatures of the Rector and the Dean
9. the official seal of TU Bergakademie Freiberg

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

§ 19 Cotutelle de thèse

(1) A joint doctorate award procedure with a foreign university/faculty, within the framework of these Regulations for the Award of the doctoral degree “Doktor Ingenieur” (Dr.-Ing.), requires bilateral agreements between the TU Bergakademie Freiberg and the foreign university/faculty in which the faculty or some of its university lecturers 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. 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 of the doctoral degrees to be awarded.

(3) The agreements may stipulate recognition of the scientific work done at the foreign university or/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 Commission.

(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 public defence of thesis.

(5) After the successful passing of the doctorate award 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 award 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 submitted at the TU Bergakademie Freiberg again.

IV. HONORARY DOCTORATES

§ 20 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 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 an academic lecture by the honorary graduate.

(4) If the holder of the degree has been legally convicted of an offence, the degree "Doktor Ehrenhalber" can be withdrawn. It must be withdrawn if the honoured person has been legally convicted of a crime. § 24 paragraphs 2 and 3 of these regulations shall apply mutatis mutandis.

V. MISCELLANEOUS PROVISIONS

§ 21 Failure to attend viva or public defence of the thesis

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

§ 22 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 award procedure. 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 Commission 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.

§ 23 Reapplication

The candidate has the right to reapply for the opening of the doctoral award 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.

§ 24 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 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.

§ 25 Terms

Masculine terms used in these regulations apply to male and female persons in equal measure.

§ 26 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 Mechanical, Process and Energy Engineering, subject to the following sentences. For doctoral award procedures that have been opened prior to the coming into force of these Regulations for the award of the doctoral degree "Doktor Ingenieur" (Dr.-Ing.), the doctorate regulations of 16 March 2010 apply. For doctoral candidates who have already submitted a Declaration of Intent but whose doctoral award 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 11 April 2017 and the approval of the Rectorate of 15 May 2017.

Freiberg, 1st June 2017

signed:
Prof. Dr-Ing. Thomas Bier
Dean of the Faculty of Mechanical, Process and Energy Engineering

Freiberg, 7th 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 Maschinenbau, Verfahrens- und Energietechnik
der Technischen Universität Bergakademie Freiberg
eingereichte

DISSERTATION

zur Erlangung des akademischen Grades
Doktor-Ingenieur (Dr.-Ing.)

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)

To the Faculty of Mechanical, Process and Energy Engineering

of the Technische Universität Bergakademie Freiberg is submitted this

THESIS

to attain the academic degree of

Doktor-Ingenieur

(Dr.-Ing.)

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 Maschinenbau, Verfahrens- und Energietechnik
der Technischen Universität Bergakademie Freiberg

genehmigte

DISSERTATION

zur Erlangung des akademischen Grades

Doktor-Ingenieur

(Dr.-Ing.)

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

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

(Title)

To the Faculty of Mechanical, Process and Energy Engineering
of the Technische Universität Bergakademie Freiberg
approved

THESIS

to attain the academic degree of

Doktor-Ingenieur

(Dr.-Ing.)

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 Mechanical, Process and Energy Engineering awards

Mr./Ms.....

born on thein.....

the academic degree

Doktor-Ingenieur

(Dr.-Ing.)

for the specialist field.....

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

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

and ... (other achievements within the framework of i.e. structured doctoral studies or, if applicable, a 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:

(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 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.