
8th Amendment to the Doctoral Regulations

In accordance with § 7 (4) no. 5 of the law for the further organisational development of the Technische Universität Darmstadt (TU Darmstadt Law) from 5 December 2004 (GVBl. I, p. 382), last changed by Article 2 of the law from 30 November 2015 (GVBl. I p. 517)- TU Darmstadt Law, the new version of the General Doctoral Regulations of the Technische Universität Darmstadt that was adopted by the Senate of the Technische Universität Darmstadt with the 8th amendment on 20 December 2017 was approved by a resolution of the Presidential Board on 8 February 2018. It will be published as a supplement to the statutes.

Darmstadt, 08/02/2018

President of the Technische Universität Darmstadt

Prof. Dr. Hans Jürgen Prömel

General Doctoral Regulations of the Technische Universität Darmstadt from 12 January 1990 (ABl. 1990, p. 658) as amended for the 8th time in the version from 21 December 2017 (PO/AT)

§1 The doctorate

Right of the departments to award doctorates

(1) According to the general regulations of these Doctoral Regulations and the specific regulations of the relevant department, the departments of the Technische Universität Darmstadt are entitled to award the following academic degrees:

Doctor of Engineering (Dr.-Ing.);
Doctor rerum naturalium (Dr.rer.nat.);
Doctor rerum politicarum (Dr.rer.pol.);
Doctor philosophiae (Dr. phil.);
Doctor iuris (Dr. Iur.).

(2) A doctorate is proof of special academic qualifications. As a general rule, a completed academic study programme at a university verified with a degree that qualifies students for a profession is required as a prerequisite.

(3) To encourage interdisciplinary research, doctorates in more than one department are possible. In such cases, the department to which the student submits their formal application for acceptance as a doctoral candidate (§ 7) is considered to be the lead department. The doctoral board of the lead department can be supplemented for the subsequent doctoral examination

procedure with members from the doctoral boards in those departments whose specialist evaluation is also required for the dissertation. The lead department awards the doctorate. The membership of the doctoral board should reflect the interdisciplinary character of the dissertation through the appropriate selection of referees.

(4) A simultaneous doctorate at both a German and foreign university (double doctorate) is permitted. Further details for such doctorates are governed in a cooperation agreement between the participating universities, which must include, in particular, regulations for the referees, location and completion of the oral examination, the design of the degree certificate and details about publication.

(5) A joint doctoral examination procedure with another technical university or university for applied sciences (cooperative doctorate) is possible. The specific regulations of the department can include specialist regulations in this area. The responsible bodies in this case are the committees in the department to whom the formal application for acceptance as a doctoral candidate is submitted. If the University Act of the State of Hesse, these Doctoral Regulations or the specific regulations do not include any regulations to the contrary, the specific details of the joint supervision and participation of the partner universities in conjunction with the responsible departments are governed by a cooperation contract between the universities involved.

§ 2 Responsibility

(1) The doctoral board and examination committee of the department in question is responsible for making decisions on the doctoral procedures, unless otherwise stated in these Doctoral Regulations.

(2) The specific regulations in each department are considered supplementary to these Doctoral Regulations and must not contradict the regulations contained within them.

(3) With the consent of Executive Board of the Technische Universität Darmstadt, one or more departments are permitted to set up graduate schools as interdisciplinary academic institutions of TU Darmstadt. Students who obtain their doctorate at a graduate school can be registered as doctoral candidates in the associated department. If several departments are involved in one graduate school, the responsible department is determined based on the primary professorship of the supervising professor.

(4) Within the framework of these Doctoral Regulations/General Section (PO/AT) and the specific regulations in the department, graduate schools may issue their own specific regulations for the doctoral procedures and the organisation of the supervision process. The organisational structure of the graduate schools can be defined in consultation with the departments involved.

§ 3 Doctoral board

(1) The members of the doctoral board are:

- a) The dean or his/her deputy as the chairperson;
- b) At least three full-time professors as permanent members;
- c) At least one research fellow with a doctorate (alternatively, a research fellow without a doctorate with an advisory vote);
- d) A student member with an advisory vote.

(2) The members of the doctoral board according to (1) b) and c) are appointed by the department council for a period of three years. The member according to (1) d) is appointed for a period of one year. The appointment periods should overlap to ensure continuity.

(3) The doctoral board is responsible for all procedural matters. In particular, the doctoral board is responsible for approving the initiation of the doctoral examination procedure, establishing the examination committee and appointing its chairperson, supervisors and referees. The doctoral board decides on the recognition of certificates, including in cases where the subject area of the dissertation is not identical to the subject area(s) of the completed course of studies, as well as foreign certificates, with the assistance of the responsible directorate within university administration where necessary. An officially certified translation of the foreign certificate must be submitted. The assessment statements issued by the Central Office for Foreign Education (ZAB) at the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany provide authoritative guidance when deciding on the recognition of foreign certificates.

§ 4 Examination committee

(1) The examination committee consists of:

- a) The chairperson from the group of full-time professors in the lead department for the doctorate. If the chairperson is unavailable, a member of the examination committee from this group will assume this function;
 - b) The referees for the dissertation
 - c) At least two additional persons who are full-time professors in the department or are authorised to be selected as a referee in accordance with § 11.
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The doctoral board should ensure that the majority of members on the examination committee are from the group of full-time professors at the Technische Universität Darmstadt. The specific regulations of the department can make this majority compulsory. At least one member of the examination committee must hold the doctorate being awarded or represent a corresponding academic field.

(2) The examination committee decides on the acceptance, revision or rejection of dissertations, carries out the dissertation defence and assesses the doctoral performance. It decides if the dissertation defence should be repeated and sets any conditions for publication of the dissertation. The requirements must be documented in the minutes.

§ 5 Objections to decisions made during the doctoral examination procedure

(1) Every rejection or other decision taken by the doctoral board that affects the legal position of the applicant must be justified and accompanied by information on legal remedies.

(2) If an objection against a decision made by the doctoral board or examination committee is submitted and the affected body does not wish to redress the decision based on the objection, the dean will present the objection together with the vote of the relevant body to the president for a decision in accordance with (4).

(3) The dean reports at least once a year to the department council in a closed session about ongoing and concluded objection proceedings.

(4) The president issues the decision about the objection.

§ 6 Joint doctoral board for multiple departments

(1) The specific regulations of related departments can permit the formation of joint doctoral boards, if the specific regulations are the same in both departments.

(2) In the case of joint doctoral boards, the regulations in § 3 also apply with the following stipulations:

- a) The chairperson of the joint doctoral board rotates between the deans of the departments involved or their deputies during their terms of office. Other regulations can also be stipulated.
 - b) The permanent members of the doctoral board are appointed by the department councils of the departments involved. The number of members and processes for appointing them are collectively stipulated in the specific regulations.
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(3) All other decisions within the responsibility of the department councils according to these Doctoral Regulations are to be reached by the department council for the department to which the student sends their formal application for acceptance as a doctoral candidate.

§ 7 Acceptance as a doctoral candidate

(1) The doctoral relationship begins with the acceptance of the student as a doctoral candidate. The topic for the dissertation must be taken from research areas that are sufficiently represented in the research and teaching at the TU Darmstadt. The applicant must recommend a supervisor in their formal application for acceptance as a doctoral candidate. A written statement from the recommended supervisor should be included. The recommended supervisor has the right to decline to supervise the student. The formal application for acceptance as a doctoral candidate must be immediately submitted to the dean of the responsible department after receiving confirmation of supervision from the supervisor.

(2) The formal application for acceptance as a doctoral candidate must contain the following information:

- a) Proof of a university degree that entitles the student to complete their doctorate according to these Doctoral Regulations;
- b) A recommendation for the supervisor in accordance with § 10 (1); if a supervisor is recommended in accordance with § 11 (2) b), an additional positive vote by a member of the group of professors in the department must be presented;
- c) Other information required for the doctoral board to take a decision, which are published on the department's website.
- d) Information required for university statistics.

(3) The specific regulations of the department stipulate the specialist focus of the university degrees that qualify the student to complete their doctorate. They can define a minimum grade for the university degree to be submitted and also demand additional proof that the student meets the requirements for the doctorate.

(4) The information required for the university statistics, how it is collected and the form in which it is transmitted is defined by the Executive Board of TU Darmstadt.

(5) The conditions for acceptance as a doctoral candidate are either:

- a) A master's degree from TU Darmstadt that qualifies the student to complete a dissertation in the intended subject area for the dissertation or an equivalent degree for a master's study programme at a university or higher education institution which comprised a total of 300 credit points (CP) according to the ECTS system. According to the guidelines in the specific regulations for the relevant department, university studies that are concluded with a state examination are considered as equivalent. The de-
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gree is considered to be equivalent if there is no significant difference to the degree awarded at the Technische Universität Darmstadt. The doctoral board decides whether this is the case during the acceptance process.

- b) A master of education degree in teaching at vocational schools which comprised at least 120 credit points (CP) according to the ECTS system, insofar as permitted in the specific regulations of the department;
- c) A degree included in the specific regulations for the department, where due to its special nature and following a positively concluded aptitude assessment procedure, it can be guaranteed that the student has an equivalent qualification to a master's degree for initiating the doctoral examination procedure.
- d) A degree from a foreign university for an equivalent study programme according to a) or b) that qualifies the student for a doctorate in the country where the university degree was awarded and which is recognised by the doctoral board for the relevant department. Applicants that meet the requirements according to (5) but have completed a degree in accordance with (5) a) in a different subject to the subjects named in the specific regulations for the lead department for the doctorate in accordance with (3), can be accepted as a doctoral candidate if this is in the interests of interdisciplinary research and the applicant also possesses the required specialist knowledge in the intended area for the dissertation.

(6) The doctoral board is responsible for deciding on whether to accept a doctoral candidate. If an aptitude assessment procedure according to § 7 a) is required, the doctoral board decides on the required documentation for guaranteeing equivalence in accordance with (5) a), especially proof of successful participation in courses. Reasons must be given for a decision to reject the application for acceptance of a doctoral candidate. Incomplete applications and those that do not meet the formal requirements will be rejected. The application is also rejected if it cannot be guaranteed that a person in accordance with § 10 (1) is available to provide sufficiently competent supervision of the dissertation or if the required resources are not available. The student has no right to the completion of an aptitude assessment procedure or to acceptance as a doctoral candidate. By accepting the doctoral candidate, the doctoral board guarantees the subsequent assessment of the work.

§ 7a Aptitude assessment procedure

(1) If the requirements according to § 7 (5) have not been determined or there is some doubt with regards to the specialist focus of a degree, an aptitude assessment procedure is carried out in accordance with specific regulations defined in the relevant department.

(2) The aptitude assessment procedure is used to determine whether a candidate possesses the abilities to carry out independent scientific research as part of their doctorate. The aptitude assessment procedure may require the completion of examinations and attendance of certain courses as a condition of acceptance. Acceptance under certain conditions entitles the person in question to enrol as a doctoral student. The length of the aptitude assessment procedure should generally not exceed two semesters. The aptitude assessment procedure ends with an assessment of “suitable” or “not suitable”. If the conditions have not been fulfilled, acceptance as a doctoral candidate is revoked in the form of a written notification from the chairperson of the doctoral board.

(3) The department can regulate the design of the procedure and other details of the aptitude assessment procedure in their specific regulations. If no regulations to the contrary have been defined, the latest version of the General Doctoral Regulations of the Technische Universität Darmstadt (APB) from 19 April 2004 (State Gazette no. 25 from 21 June 2004, p. 1998) are valid.

§8 Initiating the doctoral examination procedure and approval

(1) The doctoral examination procedure is initiated by a written application submitted by the doctoral candidate to the dean of the responsible department. The following must be enclosed with the application to initiate the doctoral examination procedure:

- a) A CV and overview of the student's education.
- b) One to six printed copies of the dissertation according to the guidelines in the specific regulations and an identical electronic copy for the completion of the doctoral examination procedure.
- c) A declaration that the electronic version is identical to the printed version.
- d) A declaration about whether the student has previously attempted to obtain a doctorate. If this is the case, further information must be provided on the date, university, dissertation topic and result of the attempt.

(2) The doctoral board decides on whether to approve the initiation of the doctoral examination procedure.

(3) Approval for the initiation of the doctoral examination procedure will be refused if the required documentary proof in accordance with (1) has not been provided or not fully provided. It can also be rejected if the student already attempted to gain a doctorate and the reasons for failing led to the withdrawal of the doctorate.

(4) Applicants that are not members of the Technische Universität Darmstadt but meet the conditions in § 7 (except for the confirmation of su-

pervision) can directly apply to initiate the doctoral examination procedure as an unsupervised doctoral candidate. This application will be rejected if the topic of the dissertation is not sufficiently represented by the research and teaching in the department or if the proper design and implementation of the research and/or the correct execution of the research project cannot be verified.

(5) Proof of payment of the doctoral fee of Euro 100.00 must be provided in the form of the corresponding receipt. The fee will be reimbursed if the dissertation is honoured with an academic prize. Furthermore, the chairperson of the doctoral board may upon application defer the payment of the fee for needy applicants whose abilities promise an exceptional doctoral performance until after the assessment of their work, at which point the fee may also be reduced or waived. A refund of an already paid fee is only permitted as an exception in the case of properly withdrawn applications for the initiation of the doctoral examination procedure.

(6) The student is permitted to withdraw their application to initiate the doctoral examination procedure after they have provided specific reasons and these reasons have been accepted by the doctoral board, insofar as the doctoral examination procedure has not already been stopped due to the rejection of the dissertation or the oral examination has already begun. In all cases, a copy of the submitted dissertation remains in the doctoral files.

§9 The dissertation

(1) The contents of the dissertation must focus on one of the specialist areas covered in the department and it must make a contribution to the further development of scientific knowledge as a piece of independent research that satisfies accepted scientific standards. The dissertation must be submitted in German or English. Other languages are possible with the prior agreement of the doctoral board. In this case, a corresponding application should be made where possible at the time the decision is being made about whether to accept the student as a doctoral candidate. The right to submit this application at a later date remains unaffected. A list of all the sources used by the applicant must be enclosed with the dissertation, as well as a declaration from the student that the work has been completed independently, except for any assistance explicitly referred to within the dissertation.

(2) Work that has already been used for examination purposes will not be accepted as a dissertation. However, the results of such examination work may be used for the dissertation, whereby the work in question must be referenced in the list of sources.

(3) If a research project has been completed by several doctoral candidates, a separate doctoral examination procedure must be carried out for each candidate.

(4) It is possible to submit a cumulative dissertation comprising multiple different publications if this is permitted in the specific regulations for the department. However, the student has no legal right to submit this form of dissertation. The cumulative dissertation must be preceded by a detailed synopsis that presents the scientific framework and classifies the individual publications within the overall context. The specific regulations will govern the specific design of the cumulative dissertation and cover, in particular:

- The design of the synopsis about the sections of the dissertation;
- The minimum number of publications that need to be included and the requirements for the publication status (at least a letter of acceptance from the publisher);
- As well as the possibility of co-authorship.

The publications must have been in peer-reviewed academic publications. A declaration is required from the referees of the doctoral examination procedure that they were not involved in the review process for the publications.

(5) If the publications submitted in the cumulative dissertation were not solely authored by the doctoral candidate, a declaration signed by the doctoral candidate, all co-authors and also the academic supervisor (generally the referee) must be submitted that allows the independent work of the candidate to be assessed based on understandable criteria and thus enables a clear distinction between each author's contribution to the publications. The contribution made by the doctoral candidate to each publication must be explicitly stated. A cumulative dissertation is excluded for doctoral candidates in the sense of § 7 (5) b) and § 7 (5) c). The regulations for initiating the doctoral examination procedure and the dissertation must be fulfilled by all sections of the cumulative dissertation.

§10 Supervision of the dissertation

(1) Dissertations are generally written under the supervision of one of the members of the group of professors. In special cases, they can be supervised by one of the people listed in § 11 (2). The specific regulations of the department can also define other regulations regarding supervision.

(2) The supervision relationship requires prior acceptance in accordance with § 7. The form of the supervision relationship and the rights and obligations of those involved can be stipulated in a written supervision agreement in consultation between the supervisor and the doctoral candidate. The supervision agreement must correspond to the principles of

good scientific practice and create binding framework conditions for the supervision. The specific regulations of the department may include regulations on the form of the relationship between the supervisor and the doctoral candidate.

(3) The doctoral board must be informed in writing about the reasons for a change in supervisor or an interruption or termination of the supervision relationship before the initiation of the doctoral examination procedure. The supervision relationship can be terminated by the supervisor or the doctoral candidate with a notice period of six weeks by stating the reasons. The relationship can be terminated by mutual agreement at any time. If the supervision relationship has been terminated or this is necessary due to reasons for which the doctoral candidate is not responsible, the doctoral board is obligated to use all of the resources available to it to find another person in accordance with (1) to continue the supervision. In the event of conflict, all parties must be given the opportunity to make a statement in advance.

(4) If another member of the group of professors takes over supervision, a new application for acceptance as a doctoral candidate in accordance with § 7 of these Doctoral Regulations is not required.

(5) In general, there should not be more than five years between acceptance as a doctoral candidate and the initiation of the doctoral examination procedure. After five years, the doctoral examination procedure should either have been initiated through submission of the dissertation or a report on the status of the dissertation should be presented to the doctoral board along with an application for an extension. This application should indicate how the dissertation will be successfully concluded within a suitable deadline, which should not generally exceed a period of two years. If no application for an extension in the sense of sentence 1 has been submitted after the 5 year deadline has expired and the doctoral examination procedure has not yet been initiated, the doctoral relationship is terminated. In this case, acceptance as a doctoral candidate is withdrawn by the doctoral board. If after examining the report and the status of the doctoral dissertation, it is expected that the doctoral examination procedure will be initiated within the extended deadline in the application, the deadline will be extended in accordance with sentence 1. If this is not the case, acceptance as a doctoral candidate is withdrawn by the doctoral board. The doctoral candidate must be permitted to submit a statement before the acceptance as a doctoral candidate is withdrawn. The withdrawal of acceptance as a doctoral candidate is excluded if the candidate can prove that they were not responsible for the delay. In this case, an appropriate amount of time should be added to the deadline in accordance with sentence 1. Reasons for extending the deadline include, in particular, parental leave in accordance with § 15 of the German Law on Parental Allowance and Parental Leave (BEEG), as well as periods of voluntary service of up to two years in accordance with the Federal Voluntary Service Law. The withdrawal of acceptance as a doctoral candidate will be issued in writing. If it is not possible to deliver the notification to the student, the withdrawal will be made public by posting it on the notice board in the Dean's Office. The notification of withdrawal

gives the university the legal right to exmatriculate the doctoral candidate, if she or he has been matriculated. If a withdrawal has been issued in accordance with this paragraph, the doctorate is not considered to have been failed in accordance with § 24 (1); § 24 (3) continues to be valid.

(6) The completion of a dissertation without supervision is not excluded according to these regulations. § 7 and § 8 continue to be valid. In this case, a confirmation of supervision implies a commitment to be supervised.

(7) The supervisor can apply to the department or also their contact on the doctoral board for the immediate termination of the supervision relationship with the doctoral candidate if one or more of the following applies:

- The mutual trust between the supervisor and the doctoral candidate has been permanently damaged;
- Serious violations against the fundamental rules of the Technische Universität Darmstadt or the safety regulations have been identified;
- Behaviour that would justify termination without notice if a regular work contract existed has occurred.

Before the termination of the supervision relationship, the doctoral candidate will be given the opportunity to make a statement to the doctoral board. A decision on the termination of the supervision relationship will be made by the doctoral board after examining the statement submitted by the doctoral candidate.

(8) If the supervision relationship is terminated, acceptance as a doctoral candidate is withdrawn, except in the case of § 10 (3).

§11 Appointment of referees

(1) After approving the initiation the doctoral examination procedure, the doctoral board assigns the first referee and at least one co-referee for the dissertation. The referees should be full-time professors at the Technische Universität Darmstadt or full-time professors at another university.

(2) In justified cases, the following can also be chosen as a referee:

- a) Professors who have been relieved of duties, retired professors, part-time professors, honorary professors, unbudgeted professors, guest lecturers, private lecturers at the Technische Universität Darmstadt;
- b) Members of the Technische Universität Darmstadt in programmes with the aim of qualifying for a professorship (junior researchers and scientists) for which the following applies:

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- aa. Outstanding doctorate;
 - bb. Other appropriate scientific achievements at their career level, based on the internationally accepted measurement standards for the relevant discipline;
 - cc. Teaching experience after obtaining their doctorate;
 - dd. Successful verification of the achievements named in bb) and cc) in a quality-assured, competitive process with independent reviewers outside of TU Darmstadt;
- c) Members of the group of professors at a technical university or university for applied sciences;
 - d) Leading scientist at a recognised non-university research institute.

(3) The specific regulations of the department can define a minimum number of referees from the group of full-time professors in the department.

(4) The doctoral candidate can also suggest referees.

(5) In the case of a double doctorate in the sense of § 1 (4), the partner university will also appoint a first referee and a co-referee.

§12 Evaluation

(1) All referees produce a reasoned evaluation of the dissertation that is submitted to the dean. The evaluation contains a recommendation for the acceptance or rejection of the work or, in exceptional cases, the return of the dissertation for revisions or additions. In addition to a recommendation for the acceptance of the dissertation, the referees issue the dissertation with one of the following grades: “excellent”, “very good”, “good” or “satisfactory”.

(2) If the evaluation has not been submitted within eight weeks of the appointment of the referee, the chairperson of the doctoral board should seek further clarification. If the evaluation has still not been submitted after a further eight weeks, the doctoral board must appoint a new referee and, where necessary, set the date for the dissertation defence. Sentence 2 does not apply if it was already decided when initiating the doctoral examination procedure that the dissertation defence would be held at the latest in the next semester and the evaluations are expected up to eight weeks before this date.

(3) The dean forwards the referee evaluations to the members of the doctoral board and the examination committee and makes the dissertation and the evaluations available for viewing. All professors in the lead department for the doctorate, all members of the department council and, in justified cases, professors from other departments have a right to view these documents. They are made available for a period of two weeks. This deadline can be extended by a maximum of two further

weeks if requested by a member of the doctoral board. The forwarding, display and viewing of the documents can be carried out using secured electronic means.

(4) Professors in the lead department for the doctorate have the right to announce that they will submit a special evaluation in writing within the viewing deadline. This evaluation must be presented within two weeks.

5) The doctoral candidate has the right to receive information about the evaluations submitted by the referees, insofar as this is necessary in order to prepare for their examination.

§13 Decision on the acceptance of the dissertation

(1) After the viewing period has expired, the doctoral board makes a decision on whether to accept or reject the dissertation based on the recommendations from the referees and taking into account any special evaluations submitted. In the case of conflicting recommendations from the referees and other cases of doubt, additional referees can be appointed or other evaluations can be requested in order to make a final decision. The doctoral candidate can also submit a statement in these cases; the final decision is made by the doctoral board based on a recommendation from the examination committee.

(2) The date for the oral examination will be set by the dean at the latest when the dissertation is accepted.

(3) Only in exceptional cases will the examination committee decide to return the dissertation to the candidate for revisions or additions within a specified deadline. The doctoral candidate is notified in writing about the revisions and/or additions, as well as the specified deadline. This deadline should not be longer than one year. The deadline can be extended for special reasons. If the doctoral candidate submits the dissertation again by the deadline, it is evaluated again and a decision is made in accordance with the regulations described above. If the doctoral candidate does not meet the deadline, the dissertation is considered to be rejected.

§14 Dissertation defence

(1) An oral examination is held by the examination committee for every doctoral candidate individually in the form of a dissertation defence.

(2) Minutes are produced about the course, important content and results of the examination.

§15 Invitation to the dissertation defence

(1) The dean personally invites the following people to the dissertation defence: the president and the deans of all departments at the Technical University Darmstadt, all members of the doctoral board, as well as the members of the department council and all professors of the department. The language of the dissertation defence is stated in the invitation if it is not being held in German.

(2) In the case of a double doctorate in the sense of § 1 (4) or a cooperative doctorate in the sense of § 1 (5), the cooperation agreement can define which people from the cooperation partner are invited.

§16 The dissertation defence process

(1) On the date of the examination, the doctoral candidate holds a public presentation on his or her dissertation or a topic selected by the candidate from the subject matter covered by the dissertation. The length of the presentation should not exceed 30 minutes.

(2) The dissertation defence involves publicly defending the dissertation in front of the examination committee. The dissertation defence is based on the content of the dissertation and takes into account the evaluations. In addition, it focuses on selected problems in the field of research and related topics in other fields, as well as on the current state of research. The members of the examination committee are expected to actively engage in the discussion with the doctoral candidate. In addition, all professors from the department have the right to ask questions. The dissertation defence generally lasts for one hour.

(3) The public presentation and the dissertation defence can be held in German and English as determined by the examination committee. If a dissertation has been submitted in a different language, the dissertation defence can also be held in this language with the consent of the examination committee. In all cases, a German version of the minutes (§ 14 (2)) must also be produced.

(4) In the case of a double doctorate in the sense of § 1 (4), the cooperation agreement may define that the presentation is supplemented by a foreign language section. In this case, the length of the entire presentation should not exceed 45 minutes.

(5) If a referee is prevented from appearing in person, the specific regulations may allow for them to participate in the dissertation defence via electronic video and audio transmission with the consent of the doctoral board, all members of the examination committee and the doctoral candidate. This also applies to the determination of the overall verdict in accordance with § 17. The identity of those people participating electronically must be verified and documented in the minutes. If electronic participation is not possible from the beginning or becomes impossible during the process, only the votes of those members of the examination

committee who are present are counted. If there is no quorum as a result, the dissertation defence must be repeated.

§17 Overall verdict

(1) Directly following the oral examination, the examination committee holds a private meeting to decide on the result of the oral examination. If the result is positive, the examination committee determines the overall verdict for the doctorate on the basis of the evaluations and the performance in the oral examination. The departments should ensure that all professors in the departments participate in this meeting.

(2) The following grades may be given: “passed with distinction”, “passed with a very good grade”, “passed with a good grade”, “passed”, “failed”.

(3) Based on the referee evaluations, the examination committee defines whether there are any conditions for the publication of the dissertation and what these conditions are in writing. The conditions are documented in the minutes for the oral examination.

(4) Following the conclusion of the meeting, the chairperson notifies the doctoral candidate about the overall verdict and, where necessary, any conditions and also points out that the candidate only has the right to carry the doctoral title after the award of the doctorate. The doctoral examination procedure is thus concluded. Doctoral students are exmatriculated at the end of the semester in which they are notified about their overall verdict.

§18 Examination files

The examination files are confidential and are kept in the department. During the doctoral examination procedure, only the members of the examination committee and the members of the doctoral board are allowed access to the files. § 5 (2) and § 12 (3) and 5 remain unaffected. Following the completion of the doctoral examination procedure, but no longer than one year after the award of the doctorate, the doctoral candidate is permitted to view the examination files, evaluations and the minutes of the oral examination upon application.

§19 Publication of the dissertation

(1) After passing the examination, the doctoral candidate must publish the dissertation within a period of one year, taking into account any conditions stipulated by the examination committee (§ 17 (3)). The version to be published must be checked by the first referee to ensure that it complies with any possible conditions and approved for publication. The

first referee decides which appendices are published. Appendices that are not in text form can only be published in electronic form in file formats agreed with the University and State Library Darmstadt. In the case of revisions during the course of the doctoral examination procedure (e.g. conditions, editorial amendments), a further declaration must be submitted to confirm that the second electronic version to be submitted in this case is identical to the approved version for publication.

(2) The publication must be identified as a dissertation from the Technische Universität Darmstadt. The dissertation must be published in full. Publication of the electronic version on the university publication server of the Technische Universität Darmstadt must also be identified as a dissertation from the Technische Universität Darmstadt with a corresponding title sheet. A declaration must be submitted with the dissertation that grants the university the following rights to the version of the dissertation approved for publication after the conclusion of the doctoral examination procedure:

- a) The perpetual and irrevocable right to distribute and save the dissertation electronically on its own servers, as well as to make it accessible on international data networks;
- b) The right to pass on the dissertation to the German National Library and library services operated by partners, who also have the right to permanently save it;
- c) The right to produce individual full copies of the dissertation using a print-on-demand service for users in accordance with §53 of the German Copyright Act (UrhG);
- d) The right to migrate the dissertation into other formats, insofar as this is necessary for using or archiving it;
- e) The right to freely pass on metadata about the dissertation to databases or directories.
- f) If the dissertation is published by a publishing house, this right is subject to the resolatory condition that verification of the publication is provided within the prescribed deadline. An abstract in German and English should be enclosed with the dissertation, which has been approved by the first referee together with the approval for the publication of the dissertation.

(3) The dissertation is generally published as an electronic version on the university publication server of Technische Universität Darmstadt, for which the rights to this form of publication are granted to the Technische Universität Darmstadt. For the purpose of using it in libraries, an abstract in German and English should be enclosed with the dissertation, which has been approved by the first referee together with the approval for the publication of the dissertation. The file format and information about the publication licence used must be agreed with the University and State Library Darmstadt, which will check the delivered version for readability and its compliance with the stipulated conditions. The submission of files

that do not comply with the stipulated conditions (or are found to be partially or fully unreadable in any other way) does not fulfil the requirement for publication. The information on the publication licence used (e.g. Creative Commons licence) must be embedded in the electronic document.

(4) If the dissertation is published in printed form by a publishing house, the doctoral candidate must prove to the Technische Universität Darmstadt that it will be distributed by book stores, a minimum print run of 150 copies is guaranteed and the publication is listed in the directory of deliverable books (VLB). A minimum print run is also considered to be guaranteed if the publishing house obligates themselves to print the dissertation after receiving a corresponding level of demand (print on demand). For the copies of the dissertation distributed in book stores, it is sufficient for the publication of the work to specify that it is a dissertation, stating the place where it was completed and the Technische Universität Darmstadt as the awarding university. The doctoral candidate should endeavour to ensure that the publishing contract grants the Technische Universität Darmstadt the right, either immediately or after a certain deadline has expired, to publish an electronic version of the dissertation on the university publication service.

(5) If the publishing house publishes the dissertation in electronic form, the doctoral candidate must prove to the Technische Universität Darmstadt that the publishing contract grants the Technische Universität Darmstadt the free, irrevocable and perpetual right to use the dissertation. The publishing house must guarantee permanent, barrier-free access to the dissertation for members of the Technische Universität Darmstadt and users of the University and State Library Darmstadt.

(6) In general, all sections of a cumulative dissertation must be published in electronic form by the doctoral candidate on the university publication server of Technische Universität Darmstadt. In the case of a cumulative dissertation, it is not necessary to publish already published sections of the dissertation or sections that are intended for publication in the sense of § 9 (4) sentence 2. The publication of a cumulative dissertation can also be carried out by uploading only those sections of the cumulative dissertation that have not yet been published on the university publication server of Technische Universität Darmstadt, in addition to those sections of the dissertation that have already been published or sections that are intended for publication (§ 9 (4) sentence 2). The publication on the university publication server must contain bibliographic information for the already published sections or the sections that are intended for publication (§ 9 (4) sentence 2). § 20 (3) and § 22 continue to be valid.

§20 Type and number of obligatory copies

(1) The doctoral candidate is obligated, if the dissertation is published in print by a publishing house, to deliver six obligatory copies of the print run for the dissertation to the University and State Library Darmstadt

within one year of the oral examination, which can be freely used by the University and State Library Darmstadt. In the case of electronic publication, no obligatory copies in printed form need to be submitted to the University and State Library Darmstadt. The obligation to make external digital content accessible in accordance with §19 (5) remains unaffected. In the case of a cumulative dissertation, the obligatory copies consist of the synopsis in accordance with §9 (4) sentence 2 including the bibliographic information for the already published sections or the sections that are intended for publication (§ 9 (4) sentence 2).

(2) In the case of a double doctorate in the sense of § 1 (4) or a cooperative doctorate, the obligatory copies specified in the regulations of the partner institution must be additionally submitted to the partner institution. The type and number of obligatory copies is governed by the regulations of the partner institution. The partner institution can also be granted the right to produce and distribute further copies of the dissertation. The right granted in accordance with § 19 (5) must also be granted to the partner university.

(3) The delivery deadline can be extended in justified cases by one year upon timely application to the doctoral board.

(4) If the doctoral candidate does not comply with the delivery obligation described above, the doctorate is considered to have been failed. The same applies if the doctoral candidate does not comply with the conditions according to § 17 (3) or cannot provide proof of publication or provide this proof within the stipulated deadline.

§21 Award of the doctorate

(1) As soon as proof of publication has been provided, the University and State Library Darmstadt will inform the responsible department about the delivery. The doctorate will then be awarded by issuing the doctoral certificate to the doctoral candidate. From this point in time, the student awarded the doctorate has the right to carry the doctoral title.

(2) Following the submission of a special application, the doctorate can be awarded in exceptional cases before publication with the approval of the doctoral board and the president if the electronic version has been submitted to the University and State Library Darmstadt and a publication date within the deadline according to § 20 (1) has been guaranteed. If the dissertation is being published by a publishing house, the publishing contract must be submitted at the time of application and it must be ensured that the dissertation will be published within the deadline in § 20 (1) and the obligatory copies are delivered at the same time. An acceptance letter is considered the same as a publishing contract. If the doctoral candidate does not comply with the publication or delivery obligations within one year, the regulations in § 20 (4) and § 24 (2) apply. The deadline according to § 20 (1) is extended to two years if proof is provided that the dissertation has been accepted for publication in a peer-reviewed journal.

(3) If sections of the dissertation have not yet been published in the case of a cumulative dissertation, the regulations in (2) apply accordingly.

(4) In the case of a double doctorate in the sense of § 1 (4), the cooperation contract may also include additional requirements for the award of the doctorate in addition to those regulations in (1).

§22 Doctoral certificate

(1) The doctoral certificate is dated on the day of the oral examination and three copies are produced. The certificate carries the signatures of the dean of the department and the President of Technische Universität Darmstadt and also the seal of the university. It does not contain the academic degree awarded to the doctoral candidate. In general, the following text is found on the doctoral certificate:

TECHNISCHE UNIVERSITÄT DARMSTADT

CERTIFICATE

During the term of office of president.....

and the Dean

the department

issues this certificate to award Mr./Mrs.
<N.N.>.....

born on dd.mm.jjjj.....
in.....

the academic degree of doctor (Dr. ...)

after he/she proved his/her scientific qualifications in his/her dissertation and the dissertation defence during a properly conducted doctoral examination procedure with the involvement of the referees.....

The overall verdict was.....

Darmstadt, dd.mm.jjjj.....

The President

The Dean

(Seal)

(2) In the case of a double doctorate in the sense of § 1 (4) or a cooperative doctorate in the sense of § 1 (5), the cooperation agreement may include regulations that deviate from those in (1).

§23 Repeating the doctoral examination procedure

(1) If the first attempt at the doctoral examination procedure was unsuccessful due to the rejection of the dissertation, it is permitted to make one further attempt at the doctoral examination procedure by submitting a new dissertation. This new attempt is permitted at the earliest one year after the date the first dissertation was rejected. This also applies if the first application was rejected at another university.

(2) If the oral examination was failed, only this examination needs to be repeated. The examination can only be repeated once, at the earliest six months and at the latest one year after the failed oral examination. In special cases, the deadline can be extended upon application from the candidate.

(3) If the doctoral requirements were not fulfilled due to failure to meet delivery obligations or other breaches of these doctoral regulations, the doctoral board will decide on the terms under which the doctoral examination procedure may be repeated. It is not permitted to repeat the doctoral examination procedure, if the candidate was not awarded the doctorate in accordance with § 25 or if the doctorate awarded to the student has been revoked.

§24 Refusal to award and revocation of the doctorate

(1) If it is discovered after awarding the doctorate that important requirements for the approval of the doctoral examination procedure were falsely assumed, or that the doctoral candidate has cheated or attempted to cheat in their performance during the doctoral examination procedure, the university will refuse to award the doctorate. This decision will be taken by the doctoral board.

(2) If the doctorate has already been awarded, the applicable state regulations for the revocation of a doctorate apply. The return of the doctoral certificate is governed by the regulations in the Administrative Procedures Act of Hessen (Hessisches Verwaltungsverfahrensgesetz) from 1 December 1976 (GVBl. I., p. 454).

(3) Before any decision is made to refuse to award or revoke the doctorate, the affected party must be given the opportunity to make a statement about the allegations made about them within an appropriate period of time.

§25 Honorary doctorates

(1) Following a joint decision by one or more departments and the Senate, the following honorary doctorates may be awarded on rare occasions to people who have earned special recognition for their scientific or artistic achievements:

Honorary Doctor of Engineering (Dr.-Ing. E.h.),
Doctor rerum naturalium honoris causa (Dr. rer. nat. h.c.),

Doctor rerum politicarum honoris causa (Dr. rer. pol. h.c.),
Doctor philosophiae honoris causa (Dr. phil. h.c.),
Doctor iuris honoris causa (Dr. iur. h.c.).

(2) An honorary doctorate is awarded in the form of a certificate specially created for this occasion, in which the special achievements of the person are highlighted.

§26 Transition and concluding provisions

(1) The General Doctoral Regulations of the Technische Universität Darmstadt from 12 January 1990 (ABl. 1990, p. 658) including the changes in the 8th amendment come into force on the day after their publication as a supplement to the statutes in the university gazette. At the same time, the General Doctoral Regulations in the version with the 7th amendment from 28 September 2010 (supplement to the statutes no. 4, 2010, p. 3) cease to be in force. The Executive Board of the Technische Universität Darmstadt is authorised to publish an edited version of the new General Doctoral Regulations/General Section in the version with the 8th amendment as a supplement to the statutes in the university gazette of the Technische Universität Darmstadt.

(2) The specific regulations of the department remain in force, unless they contradict the regulations in these General Doctoral Regulations.

Darmstadt, 08/02/2018

President of the Technische Universität Darmstadt

Prof. Dr. Hans Jürgen Prömel
