

TECHNISCHE UNIVERSITÄT ILMENAU

Doctoral Procedure of the Technische Universität Ilmenau

- General Regulations -

- in the version of the 10th amendment dated 10 October 2017 -

Table of contents

- § 1 In general**
- § 2 Purpose and content of a doctorate**
- § 3 Dissertation paper**
- § 4 Admission requirements**
- § 5 Application for PhD applicants and acceptance as doctoral student**
- § 6 Application**
- § 7 Opening of the doctoral examination procedure**
- § 8 Assessment of the thesis and continuation of the proceedings**
- § 9 Scientific discussion**
- § 10 Procedure of the scientific discussion**
- § 11 Assessment and graduation of the scientific discussion**
- § 12 Total evaluation of the doctoral procedure**
- § 13 Publishing the dissertation paper**
- § 14 Termination of the doctoral procedure**
- § 15 Award of the PhD**
- § 16 (has been cancelled)**
- § 17 Preconditions for a joint doctoral procedure**
- § 18 Submission at the Technischen Universität Ilmenau**
- § 19 Submission at a foreign university/faculty**
- § 20 PhD certificate**
- § 21 Publishing the dissertation paper in a joint doctoral procedure**
- § 22 Honorary graduation**
- § 23 Revocation of the PhD degree**
- § 24 Rules of procedure**
- § 25 Transitional provisions and arrangements**

§ 26 Commencement of the regulations

Annex 1

Annex 2

Annex 3

Annex 4

§ 1 In general

(1) The Technische Universität Ilmenau awards the following academic degrees through the respective / responsible / relevant departments after a successful doctoral procedure:

Doctor engineer (Dr.-Ing.)

Department of Electrical Engineering and Information Technology;
Department of Mechanical Engineering;
Department of Computer Science and Automation
according to the special provisions set forth by these regulations

Doctor rerum naturalium (Dr. rer. nat.)

Department of Mathematics and Natural Science;
Department of Computer Science and Automation
according to the special provisions set forth by these regulations

Doctor philosophiae (Dr. phil.)

Department of Economic Science and Media

Doctor rerum politicarum (Dr. rer. pol.)

Department of Economic Science and Media

Doctor iuris (Dr. iur.)

Department of Economic Science and Media

(1) The regulations for honorary doctorate are derived from § 22.

(2) All references to people and roles in these regulations apply equally to men and women.

(3) Based on corresponding cooperation agreements, doctoral procedures can be carried out together with other German universities and foreign universities. The German universities in question are entitled to award doctorates and the foreign universities are entitled to award doctorates according to the country's legal procedures, and using the title in question is allowed in Germany (§ 53 Abs. 3 ThürHG). Details for a double doctorate with foreign universities are stipulated in §§ 17-21.

(4) The same academic degree can only be awarded to a person once, except for honorary doctorates.

(5) Departments can introduce special regulations in addition to this doctoral procedure, as far as no other regulations have been provided.

§ 2 Purpose and content of a doctorate

The doctorate provides evidence of the ability and qualification of carrying out in-depth independent academic work. This evidence is provided with the dissertation paper as an independent contribution to advances made in scientific perception (§ 3) and a scientific debate (§ 9).

§ 3 Dissertation paper

(1) The dissertation is a scientific paper written by the applicant. This scientific paper indicates an extension of the current scientific perception. It might have already been published partially without referring to a planned or ongoing doctoral procedure. The dissertation paper has to be written in the German or English language. If the paper is written in English, an abstract written in German is required.

(2) A dissertation paper which has been rejected after opening the doctoral procedure by another department or another university having the authority to confer doctoral degrees must not be submitted as a dissertation.

(3) Diploma thesis or other scientific papers which have already been the subject of examinations are not accepted as a dissertation paper and cannot be submitted. However, results of such examination papers can be used in the dissertation paper but have to be indicated in the list of sources.

§ 4 Admission requirements

(1) A candidate who would like to get admission for a doctoral procedure must have completed a study course in an academic degree program like diploma studies, Master's program or Master (Magister) study at a university or passed an equivalent state examination or Master's examination at a university of applied sciences. Evidence is provided by the submitted certified copies of the references, documents and certificates. Candidates who graduated from Technische Hochschule/Technische Universität Ilmenau do not need to have the documents certified. The topic of the dissertation must be assigned professionally by a department of the Technische Universität Ilmenau. The department council determines the professionally correct assignment.

(2) The department council is empowered to request respective proof of the additional study and examination achievements and / or qualifications justified by the professional requirements of the doctoral procedure and para. 1. In addition, the Special Provisions can set further requirements relating to the assessment of the university degree qualifying the candidate for the doctoral procedure. The admission requirements for applicants with a university of applied sciences diploma or a Bachelor degree are set by the department in question. According to the quality management system at TU Ilmenau, the department council may only ask an applicant for providing evidence of a maximum of two additional subject examinations.

(3) In case the applicant studied and passed his/her examinations abroad, the department council, when deciding the application, considers existing contractual arrangements at national or university level and also refers to the recommendations of the Ständige Konferenz der Kultusminister der deutschen Bundesländer (Standing Staff of Conference of the Ministries of Culture Affairs of the German Länder) about the equivalent value of graded and non-graded academic performances according to the para. 1 and 2. In case there is no equivalence given as stated in the para. 1 or 2, the department council can demand a course with the appropriate subject examinations for achieving the necessary equivalence.

The scope of the additional course must not exceed the length and requirements of the Master's program or main course in the major at Technische Universität Ilmenau to which the topic of the dissertation paper refers.

(4) The certificates for required grades for courses according to para. 2 or 3 are to be submitted before admission to the doctorate as stated in § 7 para. 2.

§ 5 Application for PhD applicants and acceptance as doctoral student

(1) A person meeting the admission requirements stated in § 4 par. 1 and intending to prepare a dissertation has to apply in writing to the department which is responsible for his/her group to be accepted as doctoral candidate (Promotionsgesuch – application for PhD applicants). The applicant has to submit the topic of the thesis planned. The applicant must previously ask a person – as mentioned in paragraph 3 sentence 1 – whether he/she is willing and ready to supervise the dissertation. The working title of the dissertation must also be discussed and settled with this person. A supervision agreement is signed. The agreement and the documents mentioned in § 4 para. 1 must accompany the application.

(2) The application for PhD applicants is sent to the Dean of the department in question. Within two months the department council decides on the applicant's request. The applicant should be given an opportunity of being heard. The department council must notify the applicant of the decision in writing. The department council must give reasons in any rejection decision.

(3) After being accepted as PhD candidate, the doctoral student is assigned to a professor, junior professor or research fellow (in the legally same position), a university lecturer or assistant professor, außerplanmäßiger Professor (irregular professor), retired professor or a honorary professor (who is a doctor in the appropriate field) as academic supervisor. The department is obliged to grant support and assistance with the preparation of the doctoral thesis and to start the doctoral examination procedure when all requirements are met. However, the acceptance as doctoral candidate does not mean to be entitled to the start of a doctoral examination procedure according to § 7. In justified cases, a professor of a university of applied sciences who represents the subject of the doctoral project in the group can be asked to supervise the academic project of the doctoral candidate. An appropriate agreement has to be signed with the university of applied sciences in question.

(4) In case the supervisor and the doctoral candidate find good reason to terminate their agreement in the course of the project according to para. 1, the Dean of the department in question must be informed immediately about the reason for the termination. After the supervisory relationship has been terminated, the doctoral candidate has to find a new supervisor, the department will assist him/her. If there is no new supervisor available, the acceptance as a doctoral candidate will be cancelled one year after the receipt of the letter outlining the termination of the supervisory relationship. Within this period the doctoral candidate can still apply for admission to the PhD examination procedure.

(5) When the doctoral candidate has accepted admission, he/she is obliged to inform the department council about the progress of the dissertation project. The first report is to be provided after six years from the beginning of the project and then, according to the decision of the department council, after two further years, when no application for starting the PhD examination procedure has been submitted so far.

(6) The acceptance of admission as doctoral candidate can be rejected when

- a) the doctoral candidate submitted incomplete or false data/details in the application,
- b) scientific misconduct has been determined according to the principles ensuring standard codes of scholarly conduct and ethical behavior in professional scientific research as stated by the Senate (in the version in force) or
- c) the doctoral candidate does not meet his/her reporting duties as stated in para. 5.

The doctoral candidate must be given an opportunity of being heard before any decision is made. The decision of the department council must be submitted to the applicant in writing including a justification of the decision.

(7) The department council reviews the application for acceptance as a doctoral candidate when and as long as the application for admission to a doctoral procedure has been submitted by an applicant

- a) who will primarily work on his/her dissertation and has not submitted the application within six years or
- b) who is predominantly busy elsewhere and has not submitted the application within eight years.

As a result of this review the admission as a doctoral candidate will be cancelled when the doctoral student does not make any effort continuing the project or when the doctoral student is not able to cope with the topic of the dissertation. The department council makes the decision acknowledging the supervisor's report according to para. 5 and consulting the supervisor. Paragraph 6 sentence 2 and 3 are applied accordingly. The review is to be repeated when a new report is submitted.

§ 6 Application

The application for admission to a doctoral procedure is to be sent in writing to the responsible department. The following documents are also to be submitted:

1. a written declaration stating that the applicant is familiar with the valid doctoral regulations,
2. documents which are required according to § 4 para. 2 and 3, in case they have not been submitted to the department yet,
3. the applicant's CV,
4. a list of scientific publications/papers,
5. academic/scientific career (particularly lecturing and teaching and/or research work),
6. four copies of the dissertation printed or typed and an electronic version of the dissertation
7. a declaration according to Annex 1 of these regulations,

8. evidence proving the payment of the tuition fees in the amount stipulated by the requirements (Gebührenordnung) of the TU Ilmenau.

§ 7 Opening of the doctoral examination procedure

(1) The Dean of the department reviews the application and states if all prerequisites according to § 6 have been met. If this is the case, the Dean submits the application immediately to the department council for discussion and decision. The Dean ensures that the procedure is carried out purposefully and within a reasonable period of time.

(2) When the department council has agreed to the application for the admission to the doctoral examination procedure, the department council appoints a doctoral committee, which is made up of the chairperson, the reviewers and two further members or staff members of the Technische Universität Ilmenau according to para. 4. When selecting the committee members, the department council also determines and decides on the relevant groups according to § 9 para. 2 which will be referred to in the non-public scientific discussion. The doctoral committee decides on approval, amendments or rejection of the dissertation, makes decisions on the scientific debate, evaluates the PhD degree and performance and defines possible conditions for the publication of the dissertation.

(3) The dissertation is evaluated by at least two reviewers.

(4) The chairperson of the doctoral committee must be a professor of the department. At least two expert opinions have to be submitted by professors or assistant professors whereas one reviewer must be professor at the department. The other reviewer(s) might be professor(s) or postdoctoral academic(s) at the TU Ilmenau or at any other university. At least one reviewer is employed at the TU Ilmenau. It is not allowed to have two reviewers who represent the same group at the TU Ilmenau. All members of the doctoral committee must hold a doctorate. Further members of the committee can be retired professors of the Technische Universität Ilmenau. According to sentence 4 and the specific regulations of a department, there can be variations and changes. In cases stated in § 5 para. 3 sentence 4 and referring to a supervising professor from a university of applied sciences, this professor is also member of the doctoral committee.

(5) In case of a doctoral procedure for a graduate of a university of applied sciences, one member of the doctoral committee can be a professor from the university of applied sciences the candidate graduated from.

(6) The meeting of the doctoral committee is conducted in camera and the committee has a quorum with five members and when at least three members, including the chairperson, are present. If the number of committee members is higher than five, two thirds of the committee members must be present, this also includes the chairperson. The decisions of the doctoral committee are made by a simple majority unless otherwise specified. In case of parity of votes, the vote of the chairperson is decisive. The decisions made must be recorded in the minutes. The members of the committee are obliged to observe confidentiality towards third parties with regard to any facts known/learned in the closed session.

(7) The Dean of the department informs the doctoral student in writing about the opening of the doctoral procedure and the members of the doctoral committee.

(8) If the department council rejects the application for admission to the doctoral procedure, the Dean informs the applicant immediately. The rejection letter has to state the reasons for the decision made and informs about the candidate's statutory rights. The person concerned has to be given the opportunity of being heard.

(8) The application can be withdrawn before the decision of the department council is made. In such a case, the application is considered as not having been submitted. The documents provided and the copies of the dissertation submitted are to be returned to the applicant.

(9) In case it becomes evident after the opening of the doctoral procedure that the declaration according to Annex 1 of these regulations is knowingly false or incomplete, the admission can be withdrawn. Paragraph 8 applies in such a case.

§ 8 Assessment of the thesis and continuation of the proceedings

(1) The reviewers evaluate the dissertation submitted in writing separately and individually if it can be accepted as a doctoral accomplishment. The evaluation takes place according to the following range:

magna cum laude	=	1=	Very good
cum laude	=	2=	Good
rite	=	3=	Satisfactory
non sufficit	=	4=	Unsatisfactory

In case the dissertation is evaluated with "magna cum laude", the reviewer additionally considers if the final mark "summa cum laude" can be given. The Dean points out this opportunity to the reviewer separately. The Specific Regulations can refer to a different scale.

(2) The reviewers' reports must be submitted to the chairperson of the doctoral committee not later than three months after the opening of the doctoral procedure. Exceeding the period as stated in sentence 1 can lead to the decision of the department council to appoint a new reviewer.

(3) When all reviewers mark the dissertation with the grade "rite", the doctoral procedure is continued according to § 9.

(4) If at least one reviewer marks the dissertation with the grade "non sufficit", the doctoral committee has to decide whether the procedure is continued. The decision can be based on an additionally provided reviewer report.

(5) When the majority of reviewers marks the dissertation with the grade "non sufficit", the dissertation is rejected and the doctoral procedure is ended without success as stated in § 14 para. 2.

(6) After the date for the non-public scientific discussion has been settled, the doctoral student is allowed to read the reviewer reports and to get to know the grades.

§ 9 Scientific discussion

(1) The scientific discussion consists of a closed session and a public session held, in general, in German or English. It is not necessary that the two sessions take part on the same day.

(2) In the closed session the doctoral student should demonstrate detailed knowledge of the subject of the dissertation and the related basics. This refers to two groups, which are represented at the TU Ilmenau and by the members of the doctoral committee. The closed session should not be longer than 30 minutes per group. Here the specific regulations can consider different approaches and regulations.

(3) In the public session the doctoral student describes the scientific task, his/her methodological approach and the conclusions drawn and shows that he/she is able to present and assess the task and results of the thesis adequately, to classify the thesis in the scope of the associated groups and to indicate further tasks. Prerequisite for the admission to the public session is the graduation of the closed session with at least the grade "rite". The public session consists of the doctoral student's report and the following discussion. The report should last for at least 30 minutes but should not be longer than 40 minutes. The discussion is presided by the chairperson of the committee set up according to § 10 para. 3. All those present are entitled to ask questions, and the chairperson can reject questions which do not refer to the scientific topic. The discussion should not last longer than 40 minutes.

§ 10 Procedure of the scientific discussion

(1) The chairperson of the doctoral committee fixes the date for the two sessions in coordination with the Dean, the members of the doctoral committee and the doctoral student. After announcing and publishing the date for the public session, it is to ensure that the dissertation is made available for the public in the department for at least two weeks.

(2) The closed session takes place in the presence of the chairperson of the doctoral committee and two members of the doctoral committee, who represent the groups according to § 9 para. 2 (board of examiners). Further members of the doctoral committee can join the examination.

(3) The public session takes place according to the quorum as stated in § 7 Abs. 6.

(4) Written minutes have to be taken from both scientific discussions.

The minutes of the closed session are to be signed by the chairperson of the examination board (chairperson of the doctoral committee) and the other members present. The minutes of the public session are to be signed by the chairperson and the present members of the doctoral committee.

(5) Should the doctoral student miss an appointment of the scientific discussion without giving any reason, he/she will have one week time for submitting credible proof that he/she did not miss the appointment deliberately. Otherwise, § 14 para. 1 is valid.

(6) The participants of the public session sign an attendance list.

§ 11 Assessment/graduation of the scientific discussion

(1) The graduation of the closed session is made immediately after finishing it by the examination board according the following scale:

magna cum laude	= 1 =	Very good
cum laude	= 2 =	Good
rite	= 3 =	Satisfactory
non sufficit	= 4 =	Unsatisfactory.

The specific regulations can refer to a different scale of grades. The doctoral student is informed about the result and the grade. In case of "non sufficit", the doctoral student is informed in writing about the result and the letter also contains information the doctoral student's statutory rights. In case the closed session is marked "non sufficit", the doctoral committee decides on a repetition at the request of the doctoral student. The application has to be submitted within three months.

(2) The evaluation of the public session is carried out by the doctoral committee in the composition as stated in §10 para. 3 and according to para. 1.

§ 12 Total evaluation of the doctoral procedure

(1) Based on the evaluation of the dissertation and the results of the closed and the public session, the doctoral committee decides after evaluating the public session if the PhD procedure can be completed and agrees upon a final mark.

The final mark is a weighted average based on the arithmetic average of the grades of the dissertation with a weighting factor 2 and the arithmetic average of the grades of the scientific discussions with a weighting factor 1. The second and all following digits after the point are to be cancelled.

In case of intermediate values, 1.1 to 1.5 is marked "very good", above 1.5 up to 2.5 the result is "good" and grades exceeding 2.5 are marked "satisfactory". In case the mark exceeds 3.0 or part of the scientific discussion was marked repeatedly "unsatisfactory", the PhD procedure is not completed. Here § 14 para. 2 is valid.

The following total grades can be seen according to the scale:

summa cum laude	=	excellent
magna cum laude	=	very good (1)
cum laude	=	good (2)
rite	=	satisfactory(3)

(2) The doctoral committee can give the final grade "summa cum laude" when all reviewers have evaluated the dissertation with "magna cum laude" and the scientific discussion has also been assessed with "magna cum laude", provided that at least one reviewer has recommended the with "magna cum laude" evaluated dissertation for being awarded with the final grade "summa cum laude".

(3) The specific regulations can refer to a different scale of grades and assessment.

(4) The chairperson of the doctoral committee informs the doctoral student immediately about the final grade and the chairperson also informs the Dean of the department about the result of the doctoral procedure.

(5) On proposal of the reviewers, the doctoral committee can impose revision requirements which have to be met before the dissertation is published. The fulfilment of the requirements will be reviewed.

§ 13 Publishing the dissertation

(1) Before the doctoral procedure is completed after a successfully carried out scientific discussion, the dissertation paper has to be made available to the scientific public adequately through relevant reproduction and distribution, considering any conditions, according to § 12 para. 5. This is the case when the author sends the dissertation paper free of charge to the university library:

1. Copy of the thesis in electronic form: covering an electronic copy and four printed copies of the thesis. The electronic copy is available permanently on the university publication server of the university library; data transfer, data carrier and data format are to be settled with the university library.
2. Printed copies of the thesis: submission of 10 printed copies.
3. Publishing house publication: submission of six copies when a commercial publisher provides the distribution through the book trade and bindingly ensures a minimum quantity of 150 copies or deliverability over a period of at least two years.

The copies for the university library have to be printed on non-aging, wood-free and acid-free paper. Furthermore, abstracts in German and English must be provided for publication reasons. These abstracts should not be longer than 2,400 characters. The doctoral student allows the university library to use these abstracts.

(2) The day of the submission of the thesis, the day of the scientific discussion in an open session and the names of the reviewers must be mentioned in the copies of the thesis for the university library.

§ 14 Termination of the doctoral procedure

(1) When the doctoral student declares that he/she wants to discontinue the doctoral procedure after the written report of one reviewer is provided, the doctoral procedure is terminated without success. The same procedure applies to candidates who missed the date for the scientific discussion without giving good reason. The doctoral procedure is also terminated when the doctoral student has missed the publication of the thesis according to § 13 within 12 months after the completion of the public part of the scientific discussion without any excuse.

(2) When an unsuccessful doctoral procedure is terminated, the Dean informs the doctoral student in writing about the termination. The doctoral student has to be granted access to the files. The termination letter has to be accompanied by an explanation of the appeal procedure. One copy of the thesis is added to the files of the department.

(3) If it becomes apparent before the PhD certificate is issued that the doctoral student knowingly provided false or misleading information, the department council decides if the doctoral procedure is to be terminated according to para. 2. In case of doubt, the procedure is to be suspended until the matter is decided. The doctoral student must be given the opportunity to outline his/her views against the accusations.

§ 15 Award of the PhD

(1) The Dean of the department hands out the PhD certificate when the doctoral student has completed the publication process according to § 13 and the university library has confirmed this completion in writing.

(2) The PhD certificate contains: the doctoral student's name, the topic, the final mark of the dissertation, the date of the public session of the scientific discussion, the signatures of the University's President and the Dean of the department as well as the seal of the TU Ilmenau.

(3) With the receipt of the PhD certificate the doctoral student has the right to use the title of Doctor and to display the associated degree awarded by the Technische Universität Ilmenau.

(4) With regard to limitation regulations, the graduation is completed with the announcement of the final mark of the dissertation.

§ 16 (has been cancelled)

§ 17 Preconditions for a joint doctoral procedure

(1) A joint doctoral procedure together with a foreign university/faculty requires the following:

- a. Conclusion of an agreement about the border-crossing co-support of doctoral students with the foreign university/faculty or an individual cooperation agreement with the foreign university/faculty referring to the implementation of a double doctoral procedure;
- b. Admission to doctoral procedure at both the Technische Universität Ilmenau (according to § 4) and the foreign university/faculty.

(2) Provided further details are stated in the cooperation agreement according to para.1 lit. a, the thesis can be submitted at the Technische Universität Ilmenau or the foreign university/faculty. Thesis, which have already been submitted and accepted or refused at the foreign university/faculty, cannot be submitted at the Technische Universität Ilmenau again. The cooperation agreement has to ensure according to para. 1 lit. a. that thesis submitted, accepted or rejected at the Technische Universität Ilmenau are not submitted a second time at the foreign university/faculty.

(3) When the dissertation paper is submitted at the Technische Universität Ilmenau, the § 18 is valid. When the dissertation paper is submitted at the foreign university/faculty, the § 19 is valid.

(4) The marks are set according to the regulations of the university where the dissertation paper is submitted. The other university/faculty appropriately marks the thesis according to its regulations for doctoral procedures.

(5) The dissertation paper must be submitted either in German or in English, an abstract in the national language of the universities/faculties involved must accompany the thesis. However, in exceptional cases and with approval of the primary supervisor and the approval of the department/faculty dealing with the doctoral procedure, the thesis can also be submitted in another foreign language.

§ 18 Submission at the Technische Universität Ilmenau

(1) While the doctoral procedure is performed, support and supervision is given through a professor, junior professor, post-doctorate lecturer, qualified professor, irregular professor (außerplanmäßiger Professor) or post-doctorate honorary professor working at TU Ilmenau and a professor of the foreign university/faculty, who is entitled to examine thesis and supervise candidates according to the regulations of the foreign university. The supervision service is based in the agreement according to § 17 para. 1 lit. a.

(2) The two supervisors should also be appointed as reviewers according to § 5 para. 3.

(3) When the dissertation paper has been submitted and accepted at the Technische Universität Ilmenau, the foreign university/faculty is provided copies of the thesis for approval as per the usual procedure. When the foreign university/faculty approves the procedure, the department in question at TU Ilmenau reviews the documents according to the regulations in §§ 7 to 10. As a rule, the department council appoints additionally at least two professors from the professors of the foreign university/faculty as members of the doctoral committee, who are entitled to take examinations according to the regulations of the foreign university/faculty. The professors from the foreign university/faculty are invited to the scientific discussion.

(4) In case the dissertation paper has been accepted at the Technische Universität Ilmenau, but denied by the foreign university/faculty which refuses to continue the doctoral procedure, the joint procedure is terminated. Then the doctoral procedure is continued according to the General Regulations of these PhD Regulations. For the oral examination a new doctoral committee can be appointed upon the decision of the department according to § 7 para. 2, 3.

§ 19 Submission at a foreign university/faculty

(1) When the dissertation paper is submitted at a foreign university/faculty, the foreign university/faculty decides about acceptance or progress of the procedure after assessing the thesis. A professor of the foreign university/faculty, who is entitled to take examinations according to the relevant provisions of this foreign university/faculty, and a professor, junior professor, post-doctorate lecturer, qualified professor, irregular professor (außerplanmäßiger Professor) or post-doctorate honorary professor working at TU Ilmenau supervise the doctoral student working on his/her thesis together. The PhD Regulations of the foreign university/faculty in question are applied. Further details of the joint supervision are according to § 17 para. 1 lit. a.

(2) The two supervisors are also to be appointed reviewers according to § 5 para. 3.

(3) When the dissertation paper has been submitted and accepted at the foreign university/faculty, the TU Ilmenau is provided copies of the thesis for approval as per the usual procedure. When the TU Ilmenau approves the procedure, the examination takes place at the foreign university/faculty according to their regulations.

(4) In the agreement according to § 17 para. 1 lit. a. is to be determined that, as a rule, at least one supervisor and a professor of the TU Ilmenau must be appointed as examiners.

(5) In case the dissertation paper has been accepted at the foreign university/faculty, but denied by TU Ilmenau, which refuses to continue the doctoral procedure, the joint procedure is terminated. Then the doctoral procedure is continued according to the General Regulations of the PhD Regulations at the foreign university/faculty.

§ 20 PhD certificate

(1) After the completion of the joint doctoral procedure, the Technische Universität Ilmenau and the foreign university/faculty issue a PhD certificate each for awarding the PhD degree according to the respective national regulations.

Both certificates state that the PhD degree was awarded by the universities which joined for this scientific achievement (Annex 4).

(2) The agreement according to § 17 para. 1 a. ensures that, in case of an additionally issued foreign certificate, this certificate contains a note about the joint doctoral procedure with the Technische Universität Ilmenau. The certificate also contains the appropriate grades scale.

§ 21 Publishing the dissertation paper in a joint doctoral procedure

When the dissertation paper is submitted within the framework of a joint doctoral procedure at a foreign university/faculty according to § 17, the obligation of sending copies of the thesis to the university library remains unaffected. The regulations in §§ 13 and 15 para. 1 apply accordingly.

§ 22 Honorary graduation

(1) The TU Ilmenau can award scientists, public figures and prominent members of business for their outstanding scientific and/or intellectual-creative achievements with the academic degrees listed in § 1 para.1 with the corresponding remark by the relevant department. Such cases cover an honorary graduation.

(2) For an honorary graduation according to para 1, the academic degrees listed in § 1 para. 1 receive the following additional statement:

1. Academic degree in German language

- Long version: "Ehren halber" (honorary doctorate)
- Short version: "E.h."

2. Academic degree in Latin

- Long version: "honoris causa"
- Short version: "h.c."

(3) At the request and by the decision of the Senate, the procedure for an honorary graduation is opened. According to § 33 para. 1 Nr. 14, para. 3 ThürHG, members of the Senate are eligible to submit a request containing the following:

- the professional resume of the proposed person,
- a detailed justification of the proposal,
- the proposal of an honorary graduation,

- proposal of a department for carrying out the honorary graduation.

The application is to be sent to the University's President.

(4) Considering the draft and the voting on the Senate resolution according to para. 3 refer to a closed session of the Senate. The resolution must contain a concerted realistic proposal for a department, where the honorary graduation should take place. The proposal for a department must meet the requirements stated in § 1 para. 1.

(5) Continuing the procedure requires two meetings of the department council which are not open to the public. The first meeting decides on the invitation of two external speakers for laudations. In the second meeting and on the basis of the commitment of the laudations, the continuation of the proceedings is discussed and a decision is made.

(6) The conclusion of the proceedings is drawn by the confirmation of the Senate in a closed session. According to para. 5, the department submits a proposal to the Senate including the laudations and the decision of the department council.

(7) In the honorary graduation the candidate is awarded with a PhD certificate signed by the University's President and the Dean of the department in question and with the university's seal according to Annex 3. The certificate highlights the candidate's merits. In an appropriate setting for this event the certificate is handed over to the candidate. The University's President invites the candidate, the Senate and the professors of the department to this event.

(8) All German speaking universities and equivalent institutions are informed about the honorary graduation by the President of the Technische Universität Ilmenau.

§ 23 Revocation of the PhD degree

(1) If, after concluding the doctoral procedure, it becomes known that the declaration according to Annex 1 of these regulations has been made knowingly incorrectly or incompletely and the submission of the thesis as an independent contribution to scientific progress turns out to be a deception, the awarding of the doctoral degree is to be cancelled.

(2) Within the meaning of the respective Land law for revocation of academic degrees, a doctoral degree is to be cancelled when the holder of the degree fabricates data in the scope of research and teaching, infringes deliberately the intellectual property rights of others, carries out human subject experiments and has such experiments carried out by a third party. Human subject experiments are forbidden by law, also when these experiments are carried out without the permission of the parties concerned. The revocation of the doctoral degree also refers to illegal animal experiments when the degree holder carries out such experiments or has such experiments carried out by a third party. The doctoral degree is also cancelled when the degree holder seeks to decry people or groups of people in a manner violating human dignity or when the degree holder incites or prompts hatred, violence or arbitrary measures against people or groups of people.

(3) Apart from the above mentioned, the legal regulations are valid for revocation of the doctoral degree

(4) The department council of the department concerned makes the decision on the revocation of the doctoral degree in agreement with the University's President.

§ 24 Rules of procedure

(1) Based on the position statement of the department council, the University's President decides on the appeal against the decision in the doctoral procedure.

(2) According to § 111 ThürHG, the Thüringer Verwaltungsverfahrensgesetz (Administrative Procedure Act, ThürVwVfG) is applied in the version which is currently in force, as far as these regulations do not contain similar or conflicting provisions.

§ 25 Transitional provisions and arrangements

Applicants who received admission to the doctoral procedure before these regulations came into force and whose scientific discussion takes place at a time when these regulations are valid, are admitted according to § 3 of the PhD regulations dated 9 July 1991 in the version dated 7 December 1993. The doctoral procedure is carried out according to §§ 7 to 16 and 23 to 26 of these regulations.

§ 26 Commencement of the regulations

These PhD regulations become effective on the first day of the following month when the regulations have been published in the common official journal of the Thuringian Ministry of Culture and the Ministry of Science, Research and Arts. At the same time the PhD regulations of the Technische Universität Ilmenau dated 9 July 1991 expire / are repealed.

The 9th amendment of these regulations – General Regulations – becomes effective on the day when it has been published in "Verköndungsblatt" (journal) of the university. This version is valid for all applications for a doctoral procedure submitted on this day.

Ilmenau, 13 November 2014

signed by
Univ.-Prof. Dr. rer. nat. habil.
Dr. h. c. Prof. h. c. mult. Peter Scharff
President

Annex 1

Declaration

I certify that I prepared the submitted thesis independently without undue assistance of a third party and without the use of others than the indicated aids. Data and concepts directly or indirectly taken over from other sources have been marked stating the sources.

When selecting and evaluating the following materials, the persons listed below helped me in the way described respectively for a charge/free of charge¹⁾:

1.
2.
3.

Further persons were not involved in the content-material-related preparation of the thesis submitted. In particular, I have not used the assistance against payment offered by consultancies or placing services (doctoral consultants or other persons). I did not pay any money to persons directly or indirectly for work or services which are related to the content of the thesis submitted.

So far the thesis have not been submitted identically or similarly to an examination office in Germany or abroad.

I have been notified that any incorrectness in the submitted above mentioned declaration is assessed as attempt to deceive and, according to § 7 para. 10 of the PhD regulations, this leads to a discontinuation of the doctoral procedure.

(city, date)

(signature)

1) Delete as applicable.

Annex 2

The

TECHNISCHE UNIVERSITÄT ILMENAU

awards through this certificate

Mr./Ms. (Title, first name, surname)
born on..... in

with the academic degree

(long version of the degree)
((short version of the degree))

after proving his [her] scientific competences in a regular doctoral procedure at the department (name of the department) by submitting thesis on the topic

(topic)

with the overall verdict

(grade).

Ilmenau, (date of the scientific debate / discussion)

President

Dean

(signature)
(title, first name, surname)

(embossed stamp)

(signature)
(title, first name, surname)

back or footnote:

grading scale: summa cum laude, magna cum laude, cum laude, rite.

Annex 3

The

TECHNISCHE UNIVERSITÄT ILMENAU

awards through this certificate

at the request of the **Department of ...**

and by decision of the

Academic Senate

Mr./Ms. (title, surname, first name)

born on in.....

with the academic degree and the honorary doctorate

(*honorary doctorate, long version*)
(*short version*)

honoring the achievements

Ilmenau, (day of the ceremony)

President

Dean

(signature)
(title, first name, surname)

(embossed stamp)

(signature)
(title, first name, surname)

Annex 4

The

TECHNISCHE UNIVERSITÄTILMENAU

awards through this certificate

Mr./Ms. (title, first name, surname)
born on..... in

with the academic degree

(long version of the degree)
((short version of the degree))

after proving his [her] scientific competences in a regular doctoral procedure at the department (name of the department) by submitting thesis on the topic

(topic)

with the overall verdict

(grade).

This doctoral procedure was carried out together with the ...*university*.... This certificate and the certificate of the ...*university*... represent a joint doctoral certificate.

Ilmenau, (date of the scientific debate / discussion)

President

Dean

(signature)
(title, first name, surname)

(embossed stamp)

(signature)
(title, first name, surname)

back or footnote:

grading scale: summa cum laude, magna cum laude, cum laude, rite.