

## **Doctoral Regulations of the Department of Physics at TU Dortmund University of 19<sup>th</sup> December 2022**

On the basis of Section 2 (4) in conjunction with Section 67 (3) of the Higher Education Act of the State of North Rhine-Westphalia (*Hochschulgesetz NRW, HG*) of 16 September 2014 (GV.NRW. p.547), as last amended by the Act of 30 June 2022 (GV.NRW. p.780b), TU Dortmund University has issued the following regulations:

### **Table of Contents:**

Section 1 Right to award doctorates

Section 2 Purpose of the doctorate

Section 3 Doctoral Commission

Section 4 Prerequisite for admission to doctorate

Section 5 Application for admission to the doctoral procedure

Section 6 Admission to the doctoral procedure

Section 7 Enrollment

Section 8 Supervision

Section 9 Revocation of admission to the doctoral procedure

Section 10 Structured doctoral program

Section 11 Membership in the Graduate School

Section 12 Dissertation

Section 13 Application for acceptance of the dissertation and submission of the dissertation

Section 14 Opening of the doctoral procedure and appointment of assessors

Section 15 Examination Board

Section 16 Assessment of the dissertation

Section 17 Oral examination

Section 18 Result of the examination

Section 19 Repetition of the oral examination

Section 20 Publication of the dissertation

Section 21 Completion of the doctoral examination procedure

Section 22 Doctoral studies in joint supervision with another institution of higher education

Section 23 Invalidation of results of doctoral studies

Section 24 Withdrawal of the doctoral degree

Section 25 Legal remedy

Section 26 Honorary doctorate

Section 27 Entry into force

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

### **Section 1 Right to award doctorates**

- (1) TU Dortmund University has the right to award doctorates.
- (2) It awards the degree of Doctor of Natural Sciences (Dr. rer. nat.) on the basis of a doctorate in physics in accordance with these Doctoral Regulations. The Department of Physics is responsible for the doctoral procedure.
- (3) Upon application by the Department of Physics, TU Dortmund University may award the honorary doctoral degree (Dr. rer. nat. h.c.) (Section 26).

### **Section 2 Purpose of the doctorate**

The doctorate proves that the doctoral candidate has a special aptitude for independent scientific work that goes beyond the general study objective. The qualification is determined on the basis of a written work (dissertation), which advances the state of scientific knowledge, an oral examination and the successful completion of the structured doctoral program.

### **Section 3 Doctoral Commission**

- (1) A Doctoral Commission shall be established to implement the doctoral studies and to perform the other tasks assigned to it by these Doctoral Regulations.
- (2) The Doctoral Commission consists of seven members of the Department of Physics, four of them from the group of university teachers according to Section 11 (1) sentence 1 no. 1 HG, two members from the group of academic staff according to Section 11 (1) sentence 1 no. 2 HG and one member from the group of students according to Section 11 (1) sentence 1 no. 4 HG, who should be a doctoral student. The chair must be taken by a person from the group of university teachers. The members of the Doctoral Commission are elected by the Department Council on the basis of proposals from the respective groups. Re-election is permitted. The term of office of the commission members is 2 years, for the student member one year. A deputy member is elected for each group. The composition of the Doctoral Commission is to be announced.
- (3) The Doctoral Commission has the following tasks in particular:
  - determination of the requirements for doctoral studies according to Section 4 and decision on admission to doctoral studies according to Section 6,
  - opening of the doctoral procedure and appointment of the assessors according to Section 14,
  - determination of the Examination Board according to Section 15,
  - setting of deadlines and dates,
  - decision on special cases in doctoral procedures,
  - decision on appeals/objections.
- (4) The Doctoral Commission ensures that the provisions of the Doctoral Regulations are observed. It regularly reports to the Department Council on the development of the doctoral procedures and, if necessary, makes suggestions for amending the Doctoral Regulations and improving the doctoral procedures.
- (5) The Doctoral Commission can delegate the handling of current business to the Chairperson. Decisions on rejection notices and appeals/objections are made by the Doctoral Commission as a body.
- (6) The members of the Doctoral Commission are obliged to maintain confidentiality. If they are not in public service, they are to be obligated to this by the Chairperson.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

- (7) The meetings of the Doctoral Commission are not public. The Doctoral Commission constitutes a quorum if more than half of the voting members are present. The Doctoral Commission decides by simple majority. In the event of a tie, the Chairperson has the casting vote. In the case of decisions concerning examination performance, only members from the group of university teachers and research assistants with a doctoral qualification have the right to vote.

#### **Section 4 Prerequisite for admission to doctoral studies (Section 67 (4) HG)**

- (1) If the other admission requirements are fulfilled, anyone will be admitted to the doctoral procedure who can prove to have
- a relevant Master's degree with 300 credits and a grade of 2.0 or better, or
  - a degree awarded on completion of a relevant degree program at an institution of higher education with at least 8 semesters of standard program duration, for which a degree other than a Bachelor's degree is awarded, and a grade of 2.0 or better, or
  - a relevant Master's degree with less than 300 credits and a grade of 2.0 or better, followed by successful completion of the studies preparatory to the doctorate, or
  - a degree from a relevant university degree program of at least 6 semesters and a grade of 1.1 or better, followed by successful completion of studies preparatory to the doctorate.
- (2) In justified exceptional cases, the Doctoral Commission may also admit applicants who have not achieved the minimum grades required in subsection 1 lit. a) to d).
- (3) Relevant in the sense of subsection 1 is a degree program in the subjects of physics or medical physics. Regarded as relevant is also a degree program in other natural sciences, engineering or mathematics, which has a sufficiently high proportion of content from the subject areas of physics or medical physics. The Doctoral Commission may also admit other applicants in justified exceptional cases. The Doctoral Commission can make the admission according to sentence 3 dependent on the completion of studies preparatory to the doctorate in the sense of subsection 4.
- (4) Applicants who have a degree according to subsection 1 lit. c) or d) must complete studies preparatory to the doctorate of at least 2 semesters or at least 60 credits before final admission to the doctorate. The scope of the studies preparatory to the doctorate in accordance with subsection 3 sentence 3 depends on the knowledge that the applicant must acquire in order to compensate for the lack of relevance of the studies in the sense of subsection 1. The exact content and scope of the studies preparatory to the doctorate is determined by the Doctoral Commission. Candidates with a Bachelor's degree according to subsection 1 lit. d) must additionally prove their suitability for doctoral studies as determined by the Doctoral Commission.
- (5) Those who have not acquired their degree within the area of application of the Basic Law (*Grundgesetz*, GG) can be admitted if the equivalence of the degree is determined. The determination is made by the Doctoral Commission upon application by the candidate. In cases of doubt, the Central Office for Foreign Education (*Zentralstelle für ausländisches Bildungswesen*, ZAB) must be consulted.

#### **Section 5 Application for admission to the doctoral procedure**

- (1) The applicant shall submit his/her application for admission to the doctoral procedure in writing to the Chairperson of the doctoral Examination Board prior to commencing work on the dissertation. The following documents must be submitted with the application:
- the topic of the dissertation,

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

- a written confirmation of the willingness to supervise the dissertation by a supervisor permitted according to Section 8,
- proof of the admission requirements according to Section 4, in particular by submitting final certificates for higher education and presentation of the university entrance qualification,
- a curriculum vitae in tabular form showing the educational, scientific and professional career of the applicant.

A certificate of enrollment must be submitted to the Doctoral Commission for the first time no later than 6 weeks after admission (see Section 7).

- (2) The application must be accompanied by declarations as to whether the applicant
- had already applied for a doctoral procedure at TU Dortmund University, or
  - has been the subject of such proceedings and has either completed or abandoned them, or
  - has already been admitted to doctoral procedure elsewhere and is pursuing these doctoral studies, or
  - has terminated or completed such proceedings.
- In the latter case, the obtained doctoral degree must be indicated.

- (3) In addition, the application must be accompanied by a declaration signed by the applicant stating that he/she has taken note of the regulations regarding the publication of the dissertation (Section 20) and the sustainable use of research data (Section 14 of the Administration and Usage Regulations of the "Dortmund Graduate School of Physics").

### **Section 6 Admission to the doctoral procedure**

- (1) The Doctoral Commission examines the application documents according to Section 5 for completeness and for fulfilment of the prerequisite for the doctorate according to Section 4. If the application documents are incomplete, the Doctoral Commission may impose stipulations (*Auflagen*) on the applicant. The Doctoral Commission informs the applicant in writing about the admission or non-admission as a doctoral candidate.
- (2) The application for admission should be rejected if
- the applicant does not fulfil the requirements according to Section 4 or has not submitted the missing documents within the deadline set by the Doctoral Commission,
  - the subject area of the dissertation is not represented in the department or if, according to the subject area of the dissertation, the degree of Doctor of Natural Sciences (Dr. rer. nat.) cannot be awarded in the case of the doctorate, or
  - a subject-related competent supervision of the dissertation is not ensured.
- The application for admission may be rejected if a previous doctoral procedure has already been discontinued or definitively and unsuccessfully terminated. Reasons must be given for a rejection notice and instruction on legal remedies must be provided.
- (3) If an admission has been granted subject to stipulations pursuant to subsection 1, such approval may be revoked if the stipulations have not been fulfilled in due time.
- (4) Within the framework of the doctoral procedure, the special concerns of chronically ill doctoral candidates or doctoral candidates with disabilities must be taken into account in order to ensure equal opportunities for them. With regard to maternity protection, the relevant provisions of the Maternity Protection Act (*Mutterschutzgesetz, MSchG*) apply.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

## Section 7 Enrollment

All doctoral candidates are obliged to enrol at TU Dortmund University until the completion of the doctoral procedure, i.e. until the award of the certificate. The enrollment requires the admission to the doctoral procedure. The certificates of enrollment have to be submitted to the Doctoral Commission via the Graduate School (see Section 11) together with the reports according to Section 10 (2) of the Administration and Usage Regulations (*Verwaltungs- und Benutzungsordnung*) of the "Dortmund Graduate School of Physics", but the first certificate at the latest six weeks after admission. Sentences 1 to 3 apply accordingly to applicants who are completing studies preparatory to the doctorate.

## Section 8 Supervision

- (1) After admission to the doctoral procedure and upon proposal of the doctoral candidate, the Doctoral Commission appoints a university teacher or a member of the department with a postdoctoral lecture qualification (*Habilitation*) as supervisor of the dissertation.
- (2) In agreement with the doctoral candidate, the number of supervisors can be increased to two. The additional supervisor can belong to another department of TU Dortmund University or to another domestic or foreign university. The additional supervisor must be a university teacher at a university with the right to award doctorates or a member of a university with a postdoctoral lecture qualification (*Habilitation*).
- (3) Exceptionally, a supervisor with a doctoral degree according to subsection 1 and/or subsection 2 is sufficient if the Department Council, upon proposal of the Doctoral Commission, has previously determined by resolution a special scientific qualification for supervising the doctoral studies that goes beyond the mere doctorate (special scientific capability).
- (4) The central tasks of the supervisor are to,
  - discuss a timetable for the completion of the dissertation with the doctoral candidate and agree on the structured doctoral program,
  - to be regularly informed by the doctoral candidate about the progress of his/her project during the preparation of the dissertation and to contribute to the solution of subject-related questions in an advisory capacity,
  - to comment comprehensively in oral or written form on contributions provided by the doctoral candidate.
- (5) In particular, the doctoral candidate is obliged to report regularly to his/her supervisor on previous and planned activities.
- (6) The supervisors and the doctoral candidate conclude a written supervision agreement that regulates the rights and obligations of the doctoral candidate and the supervisors and must be signed by them. The supervision agreement has to regulate the following aspects in particular:
  - persons involved (doctoral candidate, supervisors),
  - topic of dissertation,
  - project outline, i.e. time and work plan structured in terms of content,
  - tasks and duties of the doctoral candidate,
  - tasks and duties of the supervisor,
  - mutual commitment to the principles of good scientific practice as well as the principles of good supervision,
  - regulations in the event of conflicts.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

### **Section 9 Revocation of admission to the doctoral procedure**

- (1) The Doctoral Commission can revoke the admission to the doctoral procedure at the earliest two years after admission to the doctorate in agreement with the supervisor if the doctoral candidate does not make the necessary and reasonable efforts to complete the dissertation and successfully complete the structured doctoral program. The doctoral candidate must be heard before a decision is made.
- (2) Beyond this, the Doctoral Commission may, in agreement with the supervisor, request the doctoral candidate to submit an interim report on the status of his/her dissertation after a period of 1 year, or set a deadline for the doctoral candidate to submit the dissertation.

### **Section 10 Structured doctoral program**

- (1) All doctoral students take part in a structured doctoral program at the "Dortmund Graduate School of Physics" (Graduate School) during the doctoral procedure.
- (2) Within the framework of the structured doctoral program, the doctoral candidates are to acquire subject-specific and interdisciplinary qualifications. This should be done in a modular way, i.e. the doctoral students' competences should be individually supplemented by completing the structured doctoral program. The doctoral candidate and the supervisors determine the framework for an individual structured doctoral program before the start of the doctorate.
- (3) Until the submission of the dissertation, the doctoral candidates must have participated in qualification measures with a total of at least 30 CP from the four areas of subject-related qualification, interdisciplinary qualification, supervision and teaching as well as publication and science communication.
- (4) In the process, the following quantities of CP must be taken:
  - In the area of subject-related qualification, a minimum of 5 and a maximum of 19 CP,
  - In the area of interdisciplinary qualification, a minimum of 3 and a maximum of 12 CP,
  - In the area of publication and science communication, a minimum of 4 and a maximum of 19 CP.A maximum of 10 CP can come from the area of supervision and teaching.
- (5) The needs of doctoral candidates with families are to be taken into account appropriately in the planning and completion of the structured doctoral program.
- (6) In the area of subject-related qualification, the annual submission of written reports on the progress of the dissertation is obligatory according to Section 10 (2) of the "Dortmund Graduate School of Physics". In the area of interdisciplinary qualification, the participation in a module on good scientific practice and training in the area of equal opportunities is mandatory. The training in the area of equal opportunities must be completed within one year after admission to the doctoral procedure.
- (7) The crediting of the various qualification measures is regulated in the module handbook. This is not part of these Doctoral Regulations. It is decided by the Department Council of the Department of Physics and has to be reported to the Rectorate.
- (8) If doctoral candidates are also members of another structured training program (e.g. as a member of a Research Training Group), the supervisors may also recognise achievements made within the framework of the other program for the structured doctoral program in consultation with the Doctoral Commission. The recognition of the achievements must be recorded in writing.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

- (9) In cases of doubt, the Doctoral Commission decides on the recognition of achievements within the structured doctoral program.

### **Section 11 Membership in the Graduate School**

- (1) All doctoral students of the Department of Physics who have been admitted to the doctoral procedure after 31 December 2022 are members of the "Dortmund Graduate School of Physics" upon admission.
- (2) Membership ends with the successful completion of the doctoral procedure, i.e. with the award of the certificate in accordance with Section 21, with withdrawal from the doctoral procedure in accordance with Section 13 (3), with revocation of admission in accordance with Section 9, with final failure of the doctorate or other termination of the doctoral procedure.
- (3) Further details on membership are regulated by the Administration and Usage Regulations of the "Dortmund Graduate School of Physics".

### **Section 12 Dissertation**

The doctoral candidate must submit an independent scientific thesis in the scientific field of physics that represents an advance in the state of scientific knowledge. Parts of the dissertation that have already been the subject of a final thesis of a successfully completed state or academic examination procedure are to be marked as such. The dissertation may build on the findings of such parts, but must then substantially deepen or extend these findings. All passages that are taken from other works in terms of wording or meaning are to be identified. Literature and references are to be summarised in a detailed bibliography. The publication of partial results of the dissertation prior to submission is permitted if the partial results were developed for the purpose of writing the dissertation and the doctoral candidate has already been admitted to the doctoral procedure. The dissertation must be submitted in German or English.

### **Section 13 Application for acceptance of the dissertation and submission of the dissertation**

- (1) The doctoral candidate's application for acceptance of the dissertation must be submitted in writing to the Doctoral Commission of the department.
- (2) To be submitted with the application:
- the dissertation in 3 bound, typewritten copies and as an electronic file on a suitable data carrier,
  - a current curriculum vitae/resumé in tabular form showing the educational, scientific and professional career of the doctoral candidate,
  - a summary of the dissertation of no more than one DIN A4 page in German and English, whereby the summary may also be part of the dissertation,
  - a written affidavit that the dissertation was written independently and that all sources and assistance used were noted in the dissertation,
  - a statement as to whether the dissertation or parts of the dissertation have already been submitted in the present version or in another version at TU Dortmund University or at another university in connection with a state or academic examination,
  - confirmation of successful completion of the structured doctoral program,
  - a confirmation signed by the doctoral candidate and the person responsible for research data management in the working group or the supervisor on the complete backup and the application of previously agreed quality criteria for the storage and documentation of data important for the doctorate according to Section 14 of the Administrative and Usage regulations of the "Dortmund Graduate School of Physics",
  - if applicable, a statement that in the case of the oral examination the discussion should be public.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

- (3) Withdrawal from the doctoral procedure must be declared in writing to the Doctoral Commission. It is only permissible as long as a final rejection of the dissertation has not taken place, or after acceptance of the dissertation until the beginning of the oral examination. In all other cases of withdrawal, the examination is deemed to have been failed. Section Section 16 (8) applies accordingly.

#### **Section 14 Opening of the doctoral procedure and appointment of assessors**

- (1) The Doctoral Commission opens the doctoral procedure when a written application for acceptance of the dissertation and the documents to be submitted with it (Section 13) are complete. With the opening of the doctoral procedure, the Doctoral Commission appoints at least two assessors of the dissertation. Proposals made by the doctoral candidate may be taken into consideration. At least one of the supervisors of the dissertation is to be appointed as an assessor.
- (2) One of the assessors must be a university teacher of the Department of Physics or a member of the department with a postdoctoral lecture qualification (*Habilitation*).
- (3) The other assessor must also be a university lecturer at a university with the right to award doctorates or a member of a university with a postdoctoral lecture qualification (*Habilitation*).
- (4) Exceptionally, a doctoral degree of the assessor according to subsection 2 and/or subsection 3 is sufficient if the Department Council has previously determined by resolution the special scientific qualification, which goes beyond the mere doctoral degree, for participation in the doctoral procedure.
- (5) The doctoral procedure should be completed no later than six months after submission of the dissertation.

#### **Section 15 Examination Board**

- (1) After the opening of the doctoral procedure, the Doctoral Commission appoints an Examination Board and its Chairperson. The Examination Board usually consists of the Chairperson and three other members. The Chairperson and one further member must be a university teacher of the Department of Physics or a member of the Department of Physics with a postdoctoral lecture qualification (*Habilitation*). The other members must be university teachers of a university with the right to award doctorates or members of a university with a postdoctoral lecture qualification (*Habilitation*). Exceptionally, a doctoral degree is sufficient if the Department Council has previously determined a special scientific qualification for participation in the doctoral procedure on the recommendation of the Doctoral Commission. The assessors should be members of the Examination Board. If the doctorate is carried out jointly with another university, the Examination Board can be expanded. The Examination Board can be expanded subsequently by appointing a third assessor in accordance with these regulations (Section 16 (2, 6, 7)), who will also be appointed as a member of the Examination Board.
- (2) The doctoral candidate can make suggestions for the composition of the Examination Board. When appointing the examiners, the suggestions of the doctoral candidate should be followed if possible.
- (3) The tasks of the Examination Board are:
  - decision on acceptance or rejection of the dissertation,
  - grading of the dissertation,
  - conduct and grade the oral examination,
  - determination of the overall result,

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**



- determination of the readiness of the dissertation for printing or issuing of stipulations for the form of the dissertation intended for publication, taking into account the suggestions of the assessors.
- (4) The Examination Board makes its decision on the result of the oral examination and the overall result immediately after the oral examination. Abstentions are not permitted. The Examination Board should reach its decision by consensus. If a consensus cannot be reached, it shall reach its decision by majority vote. The Examination Board only constitutes a quorum if all members are physically present or present in digital form in accordance with Section 17 (4) sentence 2.

### **Section 16 Assessment of the dissertation**

- (1) As a rule, the assessors submit independent, reasoned assessments to the Doctoral Commission within 6 weeks after the opening of the doctoral procedure. The assessors propose acceptance, revision or rejection of the dissertation in their assessments.
- (2) If they apply for acceptance of the dissertation, they shall propose a grade for the dissertation. Grades are considered to be
- "summa cum laude" (with distinction),
  - "magna cum laude" (very good),
  - "cum laude" (good),
  - "rite" (passed).
- If both assessors propose the grade "summa cum laude" (with distinction), a third assessment must be obtained from an assessor who is not a member of TU Dortmund University; Section 14 (2) sentences 3 and 4 apply accordingly.
- (3) If the acceptance of the dissertation was unanimously approved, it will be displayed with the assessments for a period of two weeks in the Dean's Office of the Department of Physics for inspection by the members of the Department of Physics who are entitled to examine and who fulfil the requirements according to Section 15 (1) sentences 4 and 5. In addition, the dissertation with the assessments can be made available in electronic form to the persons named in sentence 1 for the same period of time with the prior consent of the doctoral candidate and the assessors in text form, taking into account the provisions of data protection law. The display will be announced in a suitable manner within the department. If no objection is received within three working days after the end of the display period, the dissertation is accepted.
- (4) If the assessors agree that the dissertation should be rejected, the Doctoral Commission determines that the dissertation has been rejected. A rejected thesis remains in the files of the Department of Physics together with all assessments. If the dissertation is rejected, the doctorate is failed.
- (5) If the assessors unanimously agree to a revision of the dissertation, the Doctoral Commission, on the recommendation of the assessors, sets an appropriate deadline of a maximum of six months within which the dissertation must be resubmitted. If the doctoral candidate fails to meet the deadline without good cause or fails to comply with the imposed stipulations, the dissertation is to be rejected. Subsection 4 sentences 2 and 3 apply accordingly.
- (6) If the assessors do not agree on the acceptance, revision or rejection of the dissertation, the Doctoral Commission appoints another assessor. The third assessment is the deciding one. In cases of doubt, the Examination Board decides.
- (7) In the case of a justified objection against the acceptance of the dissertation within the deadline, the Examination Board decides on the further procedure after obtaining the opinions of the involved

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

assessors. In cases of doubt, another assessor must be consulted. In this case, the Examination Board decides on the final acceptance or rejection of the submitted work as a dissertation on the basis of all available assessments and statements.

- (8) The Chairperson of the Doctoral Commission shall inform the doctoral candidate of any decision taken. Rejection decisions shall be justified and accompanied by instructions on the right to appeal. The doctoral candidate must be given a legal hearing beforehand.

### **Section 17 Oral examination**

- (1) After the final acceptance of the dissertation, the Doctoral Commission sets a date for the oral examination. The oral examination should take place within three months after the final acceptance of the dissertation. The doctoral candidate and the members of the Examination Board are to be invited to the oral examination with a notice period of one week. The date of the oral examination will also be announced in the department in an appropriate form.
- (2) The oral examination takes place in the form of a doctoral lecture and a discussion (*Rigorosum*). It serves to determine whether the doctoral candidate, based on special scientific knowledge and skills, is able to justify the results he/she has developed in the dissertation, to elaborate on them and to place them in the context of the field of physics.
- (3) The doctoral lecture should last 30 minutes and contain the main results of the dissertation. At the beginning, an introduction should be given that is also comprehensible to the general public. The subsequent discussion should usually last 60 minutes, but no longer than 90 minutes.
- (4) The oral examination generally takes place in the physical presence of the members of the Examination Board and the doctoral candidate. As an exception, individual members of the Examination Board may participate in the oral examination digitally if the doctoral candidate has given his/her prior consent in text form. The other members of the Examination Board must be informed in advance. The majority of the members of the Examination Board must participate in the oral examination in physical presence. Recording of the examination is not permitted.
- (5) The oral examination is usually held in German. If the dissertation is written in English, the oral examination will take place in English at the request of the doctoral candidate.
- (6) The oral examination is an individual examination. It is conducted by the Chairperson of the Examination Board. Only members of the Examination Board are entitled to examine and ask questions. The essential subjects and results of the oral examination are to be recorded in a protocol.
- (7) The doctoral lecture is public. As a rule, the discussion is not public. Upon declaration of the doctoral candidate, the discussion takes place in public (Section 13 (2)).
- (8) If the doctoral candidate fails to attend the oral examination without sufficient excuse or breaks off the examination, it is deemed to have been failed.

### **Section 18 Result of the examination**

- (1) Immediately after the oral examination, the Examination Board decides in a closed session, on the basis of the available reports and the performance in the oral examination, whether the doctoral candidate is to be awarded a doctorate, whether the doctoral candidate must repeat the oral examination or whether the doctorate is to be rejected.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

- (2) If the Examination Board decides that the doctoral candidate is to be awarded a doctoral degree, it determines the grade for the dissertation and the oral examination. For the designation of the grades, Section 16 (2) applies accordingly. The evaluation of the dissertation by the Examination Board is based on all assessments. The dissertation may only be assessed with "summa cum laude" (with distinction) if all three examiners have proposed this grade as the predicate for the dissertation.
- (3) The Examination Board then determines the overall grade for the doctorate. In determining the overall grade, particular weight is generally to be given to the evaluation of the dissertation. Section 16 (2) applies accordingly to the designation of the grades. The overall grade "summa cum laude" (with distinction) may only be awarded if both the dissertation and the oral examination have been graded "summa cum laude" (with distinction).
- (4) Subsequently, in the presence of the Examination Board, the Chairperson of the Examination Board informs the doctoral candidate of the assessment of his/her performance as well as of any change requirements for the publication of the dissertation.
- (5) The Doctoral Commission issues a provisional certificate to the doctoral candidate on the result of the dissertation, the oral examination and the doctorate. In the event of rejection of the doctorate, Section 16 (8) shall apply accordingly.

#### **Section 19 Repetition of the oral examination**

- (1) The doctoral candidate can repeat a failed oral examination once - within one year. The date for the repetition is determined by the Doctoral Commission in consultation with the Examination Board.
- (2) If the Examination Board has finally rejected the doctorate after the repeat examination has not been passed, the doctoral procedure is definitively terminated without success. The decision on the final failure must be justified and accompanied by instructions on the right to appeal. The doctoral candidate must be given a legal hearing beforehand.

#### **Section 20 Publication of the dissertation**

- (1) After successful completion of the doctoral procedure, the doctoral candidate is obliged to make his/her dissertation available to the scientific public in an appropriate manner through reproduction and dissemination. The manuscript intended for publication is to be submitted to the Chairperson of the Doctoral Commission. The Chairperson, with the participation of the assessors, checks whether the stipulations imposed by the Examination Board have been fulfilled.
- (2) The dissertation has been made accessible to the scientific public in an appropriate manner if the author - in addition to the copies required for the examination documents for archiving - delivers three copies free of charge to the university library for archiving. These copies must be printed on non-ageing, wood-free and acid-free paper and bound in a durable binding. On the back of the title page, the publication must be identified as a dissertation in the Department of Physics, stating the location of the dissertation.
- (3) In addition, dissemination must be ensured by
  - the delivery of an electronic version produced in accordance with university library guidelines, or
  - proof of distribution via the book trade by a commercial publisher with the contractually assured guarantee that the dissertation will be available at any time through inclusion in the list of available books and that further copies will be reprinted at short notice if there is sufficient demand, or

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

- by a commercial publisher with a minimum print run (*Druckauflage*) of 150 copies, or
- proof of publication of the complete dissertation in a scientific journal.

In the first case, the doctoral candidate transfers to the university the right to produce and distribute further copies of the dissertation or to make them available in data networks within the framework of the university library's legal duties.

- (4) The dissertation must be published no later than one year after the oral examination. In justified exceptional cases, the Chairperson of the Doctoral Commission may extend the deadline. If the doctoral candidate misses the deadline set for him/her, all rights which have been acquired through the examination expire.

### **Section 21 Completion of the doctoral procedure**

- (1) As soon as the last doctoral examination has been successfully completed, a doctoral certificate will be issued on the date of the successfully passed oral examination. The doctoral certificate is to be signed by the Dean and the President.
- (2) The right to use the doctoral degree arises with the award of the doctoral certificate.

### **Section 22 Doctorate in joint supervision with a department of another university**

- (1) The doctoral degree can also be awarded in cooperation with a department of another university with the right to award doctorates from Germany or abroad. If the doctoral procedure was carried out in cooperation with a university without the right to award doctorates, this can be indicated in the doctoral certificate.
- (2) The implementation of a doctoral procedure with a department of another university requires the conclusion of a written agreement in which the departments undertake to enable a joint doctorate and to regulate details of the cooperation. The agreement may deviate from the doctoral regulations in individual points within the meaning of these regulations. Before the agreement is signed, it must be adopted by the Department Council on the proposal of the Doctoral Commission.
- (3) If the respective valid Doctoral Regulations of the participating departments provide for a structured doctoral program according to Section 10, the departments of the universities shall agree on where the doctoral candidate has to complete this program, or which parts of the program of the respective other university are recognised.

### **Section 23 Invalidation of doctoral dissertations**

- (1) If it becomes apparent before the doctoral certificate is awarded that the doctoral candidate has cheated or attempted to cheat in the procedure or that essential requirements for the doctorate have not been met, the Department Council shall declare the doctorate invalid at the request of the Doctoral Commission.
- (2) The doctoral candidate must be given the opportunity to be heard before the decision of the Department Council. The decision must be justified and accompanied by instructions on the right to appeal.

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

### **Section 24 Withdrawal of the doctoral degree**

- (1) The doctoral degree shall be revoked if it subsequently transpires that it has been acquired by deception or if, in particular as a result of a false declaration made intentionally or negligently by the doctoral candidate, essential requirements for the award have been erroneously regarded as having been met.
- (2) The Department Council decides on the withdrawal of the doctoral degree. The concerned person must be given the opportunity to be heard before the decision of the Department Council. The decision must be justified and accompanied by instructions on the right to appeal.

### **Section 25 Legal remedy**

- (1) An objection against decisions of the Doctoral Commission and the Examination Board can be lodged in accordance with the provisions of the Administrative Court Rules (*Verwaltungsgerichtsordnung, VwGO*). The objection is to be addressed to the Chairperson of the Doctoral Commission. The Doctoral Commission decides on objections against decisions of the Examination Board. The Department Council decides on objections against decisions of the Doctoral Commission. The doctoral candidate must be given the opportunity to make a statement before any onerous decisions are made.
- (2) The doctoral candidate's right to inspect the examination files is governed by the statutory provisions.

### **Section 26 Honorary doctorate**

- (1) The doctoral degree "honorary" (Dr. rer. nat. h.c.) may only be awarded for outstanding or extraordinary achievements.
- (2) Members of TU Dortmund University cannot be awarded the doctoral degree "honorary". Scientists who were members of TU Dortmund University until a few years ago should not be awarded the doctoral degree "honorary".
- (3) The Rectorate decides on the award of the doctoral degree "honorary" on the recommendation of the Department Council.

### **Section 27 Entry into force**

These regulations come into force on 1 January 2023. At the same time, the Doctoral Regulations of the Department of Physics of TU Dortmund University of 26 November 2014 (Official Communications of TU Dortmund University: AM No.19/2014, p.106), last amended by the amendment regulations of 18 November 2020 (AM No.26/2020, p.1), shall expire. They shall continue to apply in their currently valid version for all doctoral candidates who applied for admission to the doctoral procedure before these Doctoral Regulations came into force, unless they apply for the application of these Doctoral Regulations in writing. The application is irrevocable.

Issued on the basis of the resolution of the Department Council of the Department of Physics at TU Dortmund University of 26 October 2022.

### **Note**

Attention is drawn to the fact that, pursuant to Section 12 (5) of the Higher Education Act of the State of North Rhine-Westphalia (*Hochschulgesetz, HG NRW*), a violation of procedural or formal requirements of

**This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.**

the university's regulatory or other autonomous law can no longer be asserted after the expiry of one year from the date of this announcement, unless

1. the regulations have not been duly published,
2. the Rectorate has previously objected to the decision of the committee adopting the regulations,
3. the formal or procedural fault has been notified to the university in advance and the violated legal provision and the fact giving rise to the fault have been indicated, or
4. the legal consequence of the exclusion of the right to complain was not pointed out when the regulations were publicly announced.

Dortmund, [day][month in writing]2022

The President  
of TU Dortmund University

---

University Professor  
Dr. Manfred Bayer