

Technische Universität Dresden

Doctoral Degree Regulations for the Faculty of Environmental Sciences

As at 22/08/2014

In accordance with Section 40, 88 (1) No. 2, 13 (4) Clause 1 of the law on the freedom of universities in the free state of Saxony (Saxon Freedom of Universities Act - SächsHSFG) from 10 December 2008 (Saxon legal and regulatory code (SächsGVBl), p. 900), last altered by the law from 18/12/2012 (SächsGVBl. p. 568), the Faculty Board of the Faculty of Environmental Sciences at the Technische Universität Dresden has issued the following Doctoral Degree Regulations.

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Annex 1 Declaration of Independent Work

Section 1 Scope

These regulations govern the implementation of the Doctoral Degree Regulations of the Faculty of Environmental Sciences.

Section 2 Doctorates

(1) The Faculty of Environmental Sciences shall grant the following degrees for the Technische Universität Dresden following a doctoral examination procedure

Doctor rerum silvaticarum (Dr. rer. silv.) (Doctor of Forestry Science),

Doktoringenieur (Dr.-Ing.) (Doctor of Engineering)

Doctor rerum naturalium (Dr. rer. nat.) (Doctor of Natural Sciences) or

Doctor of Philosophy (Ph.D.).

Obtaining the Ph.D is subject to the successful completion of the corresponding Faculty's doctoral course of study according to the applicable study path.

(2) The Faculty Board may decide to allow the Technische Universität Dresden to award the following degrees

Doctor rerum silvaticarum honoris causa (Dr. rer. silv. h. c.), (Honorary Doctor of Forestry Science)

Doktoringenieur honoris causa (Dr.-Ing. h.c.) (Honorary Doctor of Engineering) or

Doctor rerum naturalium honoris causa (Dr. rer. nat. h. c.) (Honorary Doctor of Natural Sciences)

Section 3 Doctoral Studies

(1) Doctoral studies serve to prove both the particular ability to conduct independent research as well as proof of a clear academic education in a specific research field going beyond the general study objectives. Results must be presented with the research (dissertation) which contribute significantly to the further development of research field, its theories and methods.

(2) The proof shall be submitted through the dissertation according to Section 10 and the public defence according to Section 11, except for the case of an honorary doctorate according to Section 18.

Section 4 Doctoral Committees

(1) The committee responsible for doctorates is the Faculty Board. They shall form a Doctoral Committee for this purpose as the committee responsible for the Faculty.

(2) The Doctoral Committee shall consist of the Dean or Associate Dean as chairman, two university lecturers from each discipline, a postdoctoral researcher from each discipline as voting members and the office of the Dean as an advisory member. The members of the Doctoral Committee are appointed by the Faculty Board for a term of three years. Reappointment is possible. The Doctoral Committee shall appoint a Doctoral Board for the tasks assigned to them according to these regulations with the beginning of individual doctoral examination procedures, and it shall decide its chairman and appoint the consultant. The Doctoral Committee shall be authorised to make decisions if at least five members, including three lecturers, including the chairman, are present.

(3) The Doctoral Board shall consist of at least four members, which must include the chairman and the consultant. Lecturers must usually be appointed to the Doctoral Board. The appointment of TUD Young Investigators from the faculty as well as other researchers qualified as lecturers either within or external to the university, or researchers with qualifications which are adequate for teaching, is possible. The chairperson must be a lecturer from the faculty; Section 10 (4) shall apply for the consultant. The chairperson may not also be the consultant. When implementing cooperative doctoral examination procedures with a university, a member of the doctoral committee must be a lecturer of the responsible university. The Doctoral Board shall be authorised to make decisions if more than half of its members, including the chair person, are present.

(4) The meetings of the Doctoral Committee and the Doctoral Board shall not be public. Their members are obligated to maintain confidentiality. The Doctoral Committees shall decide with a simple majority. Where votes are tied, the vote of the chairperson shall be authoritative.

Section 5 General Rules of Procedure and Appeal Proceedings

(1) Decisions by the responsible committees for doctoral examination procedures shall be conveyed to the candidates in writing. Negative decisions shall be given by the chairperson of the responsible committee in a notice which is open to appeal, which must be justified and must provide information on the legal remedies.

(2) There is a formal procedure for making appeals against decisions in the doctoral examination procedure for which an administrative act quality is relevant. The reviewing authority shall be the Faculty Board. The appeal must be filed with the Dean. Decisions in the examination procedure with an administrative act quality are, in particular:

1. Non-acceptance of the doctoral candidate into the doctoral candidate list and the non-admission to doctoral studies, as well as the revocation of the acceptance of the doctoral candidate.
2. Non-commencement of doctoral examination procedures,
3. Non-acceptance of the dissertation,
4. Evaluation of the examination components,
5. Non-admission to re-sit examination components,
6. An inconclusive termination of the doctoral examination procedures and
7. Non-granting of the doctorate.

(3) The candidate shall be granted access to the doctoral examination records after the completion of the doctoral examination procedures, upon a written request.

Section 6

Admission to Doctoral Studies

(1) Those parties shall be admitted to doctoral examination procedures who

1. have a diploma or master's degree at a university or have passed the state examination in an area relevant for the doctoral programme with an overall grade of at least "good",
2. fulfil the personal conditions for having a doctorate,
3. have not twice already finished doctoral examination procedures unsuccessfully or who are not already participating in pending doctoral examination procedures and
4. have submitted a request according to Section 8 to be accepted as doctoral candidates with all required documents.

(2) Furthermore, those parties shall be admitted to doctoral examination procedures who

1. have a diploma or master's degree at a university or have passed the state examination in a subject which is outside of the doctoral programme with an overall grade of at least "good",
2. have completed a bachelor's degree in an area relevant for the doctoral programme with an overall grade of at least "very good"

and have completed the aptitude assessment according to Section 7. (1) No. 2 to 4 shall apply accordingly.

(3) Graduates may be admitted in a cooperative process.

(4) Those parties shall not be admitted to doctoral examination procedures who

1. do not fulfil the conditions of sections 1 and 2,
2. hire or have hired agents for the purposes of demonstrating doctorate opportunities in exchange for money,
3. pay fees as well as make use of free services in connection with the doctoral examination procedures and the preparation for them which contradict the aim and purpose of an examination procedure,
4. perform or have performed paid services in connection with the doctoral examination procedures and their preparation which contradict the aim and purpose of an examination procedure,

(4) The Doctoral Committee shall decide on the recognition of the equivalent value of international examinations and degrees in consideration of agreements on equivalence. In case of doubt, the opinion of the Saxon Ministry of Science and the Fine Arts must be obtained. In cases where applicants are permitted to use a degree obtained from abroad in the form of a German degree authorised to lead to a doctoral programme, this degree shall be recognised as equivalent.

(5) The Doctoral Committee shall decide on the admission to doctoral studies in all cases as part of the decision on acceptance as a doctoral candidate according to Section 8.

Section 7

Aptitude Assessment Procedure

(1) For applicants according to Section 6 (2) No. 1, the aptitude for doctoral studies shall be determined using an oral assessment in the desired field of study as well as in two associated disciplines. Applicants according to Section 6 (2) No. 2 must submit a research paper in the desired field of study, in addition to the oral assessment, in order to establish their aptitude for doctoral studies. The oral assessment shall correspond in its requirements to those of an oral subject or module examination in a diploma or master's examination. The research paper shall be equivalent to a dissertation within a diploma or master's examination. The provisions of the applicable diploma or master's examination regulations of the faculty should be drawn on accordingly for the acceptance of these works in the aptitude assessment procedure where nothing concrete is regulated in the following.

(2) The oral assessment shall be conducted by at least two examiners or one examiner in the presence of an expert observer. The research paper shall be assessed by two examiners. The examiners must be researcher from the faculty who are qualified to teach. They shall be appointed by the Doctoral Committee upon the mutual suggestion of the envisaged academic supervisor and the academic Dean of the subject area concerned, and said Doctoral Committee shall also determine the two further examination subjects from the associated disciplines upon the same the same suggestion. In this respect, a first examiner must be specified in all cases, who must always be appointed from the doctoral field of study.

(3) For the positive determination of the aptitude for doctoral studies, the oral assessment and the research paper must both be passed with a grade of at least "good".

(4) The results of the tests in the aptitude assessment procedure shall be given to the applicant by the first examiner in writing. In the case of a negative aptitude evaluation, this shall take place through a notice which can be appealed; the appeal procedure shall also be conducted by the first examiner in consideration of all participating examiners.

Section 8

Acceptance as a Doctoral Candidate

(1) Those who fulfil the admission conditions according to Section 6 and intend to commence doctoral studies in the Faculty of Environmental Sciences must request acceptance as a doctoral candidate. A request of acceptance as a doctoral candidate shall be the statement from the applicant to the faculty of the intention to earn a doctorate within 6 years.

(2) The request must be submitted in writing to the chairman of the Doctoral Committee. The following should be submitted with the request:

1. the intended dissertation topic and the desired degree,
2. the written declaration from a lecturer from the faculty or a TUD Young Investigator from the faculty of their readiness to supervise the applicant during the writing of the dissertation according to paragraph 4; for cooperative procedures this should additionally include the written declaration of readiness of a lecturer from the university,
3. proof of the admission conditions according to Section 6,

4. a tabular and hand-signed CV with a description of the applicant's scientific career including officially certified copies of the documentary proof of additional studies or examinations which have been completed,
5. a written declaration of any previously unsuccessful doctoral examination procedures,
6. a written declaration that these Doctoral Degree Regulations have been recognised and
7. the written declaration that a current certificate of good conduct to be sent to the faculty according to Section 30 (5) of the Federal Central Registry Law (*Bundeszentralregistergesetz-BZRG*) has been requested from the registry office.

(3) The Doctoral Committee shall decide on the acceptance or rejection as a doctoral candidate. The acceptance as a doctoral candidate must be rejected if the admission conditions according to Section 6 have not been fulfilled. The acceptance must also be rejected if the applicant does not satisfy the personal conditions for having a doctorate. The decisions must also be made in consideration of the certificate of good conduct according to (2) No. 7. The acceptance can also be linked with the issuing of requirements that additional pieces of work or examinations amounting to a maximum of two to three semesters or 15 ECTS must be undertaken, which must be completed as part of the doctoral studies and passed with an average grade of "good". The coursework and examinations are detailed in the offers from the diploma and master's degree programmes of the faculty. In the event of acceptance, the applicant shall be registered on the doctoral candidate list to be kept by the faculty; a doctoral candidate relationship shall arise between the faculty and the candidate, the applicant shall receive the status of doctoral candidate and shall be admitted to the doctoral programme. With the acceptance of the doctoral candidate, the candidate shall be obliged to observe the "Guidelines for ensuring good research practice, avoiding misconduct in research and dealing with breaches".

(4) The supervision of the doctoral candidate shall be carried out by a lecturer of the faculty or a TUD Young Investigator from the faculty (academic supervisor). In the event that the supervision is not continuously ensured, e.g. if the academic supervisor retires or there is the expiration of a contract, an additional lecturer or researcher qualified to teach from the faculty shall be appointed as a second supervisor. The Doctoral Committee shall decide on this. A supervision agreement which follows the recommendations of the DFG and the Graduate Academy of the Technische Universität Dresden should be concluded between the academic supervisor and the doctoral candidate.

(5) The acceptance of the doctoral candidate may be revoked if the status of the completion of the dissertation or the hitherto existing results do not lead to the expectation that the doctoral examination procedure can be successfully completed. The doctoral candidate must be informed of this before revocation. This decision shall be made by the Doctoral Committee. The doctoral candidate may, after being accepted as a doctoral candidate, also notify the chairperson of the Doctoral Committee in writing that they no longer wish to obtain a doctorate. All aforementioned cases shall terminate the doctoral relationship with the faculty and shall result in the unsuccessful termination of the doctoral examination procedures. The doctoral candidate must be removed from the doctoral candidate list.

Section 9

Commencing Doctoral Examination Procedures

(1) Doctoral examination procedures shall be formally begun at the request of the doctoral candidate. The request for beginning doctoral examination procedures must be submitted to the chairman of the Doctoral Committee in writing. The request must include:

1. a tabular and hand-signed CV showing the applicant's personal and professional career as well as their education;
2. a copy of the decision regarding the acceptance of the doctoral candidate according to Section 8 and officially certified copies of the documentary proof of compliance with any requirements made,
3. the dissertation in five bound copies and an electronic version on a data storage medium,
4. a bibliography of the research publications of the doctoral candidate,
5. the written declaration of the doctoral candidate according to the draft attached in Annex 1 and
6. the written declaration that a current certificate of good conduct to be sent to the faculty according to Section 30 (5) of the BZRG has been requested from the registry office.

Furthermore, suggestions for the consultant may be attached without a claim for consideration. Documents which were already components of the request for acceptance as a doctoral candidate and which require no changes may be recognised as valid.

(2) The withdrawal of the request to begin doctoral examination procedures by the doctoral candidate is permitted as long as they have not already begun. In this case the request shall be considered as not having been made. If the doctoral candidate indicates, after beginning doctoral examination procedures, that they no longer wish to continue, this shall result in the termination of the doctoral examination procedures and shall be considered as an unsuccessful attempt at doctoral study. In this case only the electronic copy of the submitted dissertation shall be kept in the doctoral records.

(3) The Doctoral Committee shall decide on the beginning of the doctoral examination procedures. This beginning shall be declined if compliance with the possible requirements bound with acceptance as a doctoral candidate is not proven. Commencing doctoral examination procedures shall be declined, in addition, if the personal conditions for having a doctorate no longer exist for the doctoral candidate. The decision must also be made in consideration of the certificate of good conduct according to (1) No. 6. Finally, commencing doctoral examination procedures must be declined if there are grounds which would lead to the withdrawal of the doctoral degree. If the doctoral examination procedures are not begun for reasons as per clauses 3 to 5, Section 15 shall apply. In this case only the electronic copy of the submitted dissertation shall be kept in the doctoral records.

(4) The chairman of the Doctoral Committee shall assign the doctoral examination procedures to the Doctoral Board after they have begun for their further continuation; Section 4 (3) shall apply. The doctoral candidate shall receive a written notice from the chairman of the Doctoral Committee regarding the beginning of procedures. The notice to the doctoral candidates regarding the beginning of doctoral examination procedures shall also provide information regarding the composition of the Doctoral Board and the consultants.

Section 10 Dissertation

(1) The dissertation proves the ability to perform in-depth, independent scientific work. It should make a significant contribution to the relevant scientific field, contain new scientific findings, and meet high scientific demands in respect of the methods used and presentation.

(2) The dissertation is an isolated piece of individual work by doctoral students. By way of deviation from this, with the written approval of the dissertation supervisor the dissertation can also be undertaken by submitting a series of professional scientific articles (cumulative dissertation). In this case, it must also correspond to a monographic dissertation in terms of quality and intrinsic coherence. To do this, at least two topical, related professional articles that have already been published in, or at least accepted by, international journals with an evaluation system or specialist publications with an evaluation system must be submitted; publications that appeared prior to the application for admission as a doctoral student are not permitted, however. The topical context of the works and their methodical/technical background must be presented by doctoral students in writing in a separate paper, and forms the dissertation together with the professional articles submitted. Co-authorships are permitted for cumulative theses if the doctoral student is the lead author of the professional article and their individual doctoral work can be clearly distinguished and assessed; this must be outlined and confirmed in writing by the dissertation supervisor at the beginning of the doctoral process. Section 6 Para. 1 and 2 of the "Guidelines on Ensuring Good Scientific Practice, Avoiding Scientific Misconduct, and Dealing With Violations" ("*Richtlinie zur Sicherung guter wissenschaftlicher Praxis, zur Vermeidung wissenschaftlichen Fehlverhaltens und für den Umgang mit Verstößen*") shall apply for authorship.

(3) The dissertation must usually be in German or English. The doctoral committee decides upon exceptions in consultation with the dissertation supervisor, provided that the doctoral student requests this at the same time as applying for admission as a doctoral student. Full references must be provided for the source material and other material used to produce the dissertation. Work that has already been submitted for previous examinations or awards may not be used as the dissertation. The prior publication of parts of the dissertation shall require written approval from the scientific supervisor.

(4) The dissertation is assessed by three reviewers, who must be established in the scientific field of the dissertation. One reviewer must be an appointed professor of the Technische Universität Dresden in accordance with Section 60 or Section 62 SächsHSFG (*Sächsisches Hochschulfreiheitsgesetz* [Freedom of Higher Education Institutions Act]). Other reviewers may be TUD Young Investigators from the Faculty, university professors, or junior professors, or they must be able to give proof of *Habilitation*-level work as a minimum. The lead reviewer is usually the scientific supervisor. One of the reviewers must not belong to the Technische Universität Dresden. In the case of cumulative theses, only one reviewer may be a co-author of the professional article on which the dissertation is based. In the event of cooperative doctoral procedures with university graduates, a lecturer of the University should be appointed as a reviewer.

(5) The reviewers provide the doctoral committee with personal and independent reports recommending whether to accept or reject the work as a dissertation. If acceptance is recommended, the dissertation is graded by the reviewers with the following grades:

magna cum laude (1.0)	= very good = particularly outstanding work
cum laude (2.0)	= good = above-average work
rite (3.0)	= satisfactory = work corresponding to average requirements

If the acceptance of the dissertation is refused, it shall be graded with

non sufficit (4.0)	= dissatisfactory = work not satisfying requirements
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To differentiate assessments, the half-grades 1.3 (very good), 1.7 (good), 2.3 (good), 2.7 (rite), and 3.3 (rite) can also be awarded. The grade 3.7 is not allowed. The report by the scientific supervisor should also include comments on compliance with the "Guidelines on Ensuring Good Scientific Practice, Avoiding Scientific Misconduct, and Dealing With Violations", and also comments on the collection and quality of data for experimental and empirical parts of the dissertation.

(6) The report should be submitted to the chair of the doctoral committee within three months. If the production of the report is delayed despite repeated reminders about fees, the doctoral committee may revoke the appointment of the defaulting reviewer and appoint a new reviewer. The same shall apply in the event that a reviewer cannot produce the report for unforeseeable reasons.

(7) If a reviewer recommends that the dissertation is returned to the doctoral student for amendment or revision, the doctoral commission shall make a decision on this. If the doctorate commission cannot reach an agreement on this, it shall bring in a further university lecturer as a reviewer, who shall be appointed by the doctorate committee at their proposal. The doctorate commission may set a reasonable period of six months for resubmission of the revised dissertation. A returned dissertation may only be resubmitted once. New reports or amendments to existing reports must be requested from the reviewers for a resubmitted dissertation.

(8) Following receipt of all reports, the dissertation shall be displayed in the office of the spokesperson for the relevant specialist department for a period of two weeks, and the display shall be announced. The university lecturer and scientific employees of the faculty shall have the right to inspect the dissertation, reports and proposed grades, and to submit and justify their personal vote for or against the acceptance of the dissertation to the chairman of the doctoral commission in writing within the display period. The doctoral student shall also be entitled to inspect the reports and proposed grades.

(9) (Following the lapse of the display period, the doctoral commission shall make a decision on the foundations of the reports and the votes submitted on the acceptance or rejection of the dissertation. If the dissertation is rejected, the doctoral procedure shall end; Section 12 Para. 1 shall apply. A copy of the rejected dissertation shall be retained by the reviewers in the doctoral records.

Section 11 Public Defence

(1) The public defence should show whether the doctoral student can present the results developed in the dissertation and defend them in response to questions and objections in a subsequent discussion; it should also show whether they have a scientific education exceeding that of university study.

(2) The chair of the doctoral commission sets the deadline for the defence following acceptance of the dissertation, and invites the doctoral student to it in writing. The notification period shall be two weeks. The chair of the doctoral commission also invites the members of the doctoral commission, and publicly announces the date of the defence.

(3) The defence is led by the chair of the doctoral commission. It is normally performed in German or English. The doctoral committee may make a decision deviating from this in exceptional cases if the doctoral student, in agreement with the doctoral commission, promptly requests this from the chair of the doctoral committee.

(4) The defence covers the dissertation and the fields of science that the topic of the dissertation is allocated to or based on. It begins with a presentation by the doctoral student, which may not last longer than 30 minutes. In the following scientific discussion, all those present are able to ask questions. The chair of the doctoral commission may reject questions not relating to the scientific subject. The discussion should last at least 30 minutes, and shall be ended by the chair after 90 minutes at the longest.

(5) The doctoral commission shall make a decision on the assessment of the defence immediately following the defence. When doing so, the presentation and the disputation shall be graded separately with the grades stated in Section 10 Para. 5. If the defence is not passed, Section 12 Para. 2 shall apply.

(6) If the dissertation and the defence are passed, the doctoral commission shall determine the overall grade for the doctoral procedure. The arithmetic mean of the individual grades of the report, presentation, and disputation is used to calculate the overall grade. When doing so, the second digit after the decimal point is disregarded. The possible grades are:

summa cum laude	(1.0)	outstanding
magna cum laude	(1.1 - 1.5)	very good
cum laude	(1.6-2.5)	good
rite	(2.6-3.5)	satisfactory
non sufficit	(3.6 - 4.0)	dissatisfactory

The chair of the doctoral commission informs those present at the verbal examination of whether the student has passed.

(7) The fundamental course of the defence must be recorded by a secretary, who is suggested by the doctoral committee and appointed by the chair of the doctoral commission; the record must be signed by the secretary and the chair of the doctoral commission, and filed in the doctoral records.

Section 12

Reproduction of Failed Doctoral Work

(1) Following completion of the doctoral procedure in accordance with Section 10 Para. 7 (3) and rejection of the dissertation, the doctoral student may make one further attempt at the doctoral procedure. To do so, they may make a new application to commence the doctoral procedure in accordance with Section 9 after six months at the earliest. With the application, another dissertation or a fundamentally revised version of the initial work with the same topic must be submitted. In the event of recommencing the doctoral procedure, the doctoral commission that was appointed for the first doctorate attempt shall be appointed again. If the second doctoral procedure also ends unsuccessfully, no further doctorate applications to the faculty are permitted.

(2) If the defence is not passed, it can be repeated within the same doctoral procedure once within a year, but at the earliest after six months, upon written application by the doctoral student. The application may be made after 2 months at the earliest. If the repeated defence is not passed or performed within the specified period of time, the doctoral procedure shall end.

Section 13

Publication of the Dissertation

(1) The doctoral student shall be obliged to make the accepted and approved dissertation available to the scientific community in an appropriate way within a period of one year of the defence. They may fulfil this obligation by providing five printed and bound copies on archival, wood-free, and acid-free paper and supplying an electronic version with all images, tables and graphics, whereby the data format and data storage device must be agreed upon with the Saxony Regional, State and University Library of Dresden (*Sächsische Landesbibliothek - Staats- und Universitätsbibliothek Dresden*, SLUB). If third-party rights prevent the publication of previously published professional articles in the case of a cumulative dissertation, references to the publicly available articles shall be sufficient for the previously published parts of the dissertation.

(2) The cover sheet must be designed according to the latest SLUB recommendations. Consistency with the original dissertation must be stated on the reverse of the title page in all copies beneath the title, as well as the location and date of the dissertation.

(3) If the dissertation is different from the text presented to the reviewers, it may only be published as the dissertation within the faculty with the consent of the supervisor.

(4) The doctoral student must provide proof that the copies have been provided to the Saxony Regional, State and University Library of Dresden in the form of a receipt.

(5) In exceptional cases, which be justified specially, the doctoral committee can allow the submission deadline to be exceeded upon application by the doctoral student. If the deadline set is intentionally surpassed, all rights acquired from work in the doctoral procedure and the procedure itself shall end without awarding an academic grade. Section 15 Para. 1 (3-5) shall apply accordingly in this case.

Section 14

Conclusion of Doctoral Examination Procedures

(1) Following a positive procedure, the chair of the doctoral commission transfers the doctoral procedure back to the doctoral committee. This checks whether the doctoral procedure has been performed without any procedural errors. If it is determined that the procedure has been performed properly, the doctoral committee arranges the production of the doctoral degree and striking of the doctoral student off the doctorate list.

(2) The doctoral degree states the surname, first and middle names, academic grade, and the date and place of birth of the doctoral student, as well as the title of the dissertation, the academic grade awarded, and the overall grade. It is produced on the date of the verbal examination, and bears the signatures of the rector and the Dean of the faculty as well as the seal of the Technische Universität Dresden.

(3) The Dean of the faculty gives the doctoral student the degree in an appropriate format as soon as written confirmation of the submission of the copies in accordance with Section 13 is received by the Dean's office. The doctoral procedure is thus completed. The conclusion of the procedure must be announced publicly to the faculty.

(4) Following completion of the doctoral procedure, the doctoral student is entitled to bear the academic grade awarded with the degree.

Section 15

Termination of Doctoral Examination Procedures

(1) The doctoral procedure may be terminated without a result at any time following the decision to admit the doctoral student if issues arise that prevent the awarding of the academic grade. This shall apply in particular for deception when proving the admission criteria or doctoral work, as well as for issues affecting the candidate's personal prerequisites for bearing the doctoral grade. Upon the unsuccessful termination of the doctoral procedure, all legal positions and claims that the doctoral student has acquired in the doctoral procedure so far shall lapse. They shall be struck off the doctorate list. The doctoral committee shall make the decision on termination at its own discretion.

(2) The doctoral student must have a hearing before the termination of the doctoral procedure. In cases of suspicion of scientific misconduct, the "Guidelines on Ensuring Good Scientific Practice, Avoiding Scientific Misconduct, and Dealing With Violations" shall apply for the procedure.

Section 16

Withdrawal of Degree

(1) The awarding of the doctoral degree shall be withdrawn if the doctoral student has committed deceit when providing proof of the admission criteria or when performing doctoral work, or other issues arise that would have prevented the awarding of the doctoral degree. The faculty board shall make this decision.

(2) If the subject-specific criteria for admission as a doctoral student were not met without the doctoral student intending deceit, and if this issue only becomes known following awarding of the academic grade, this error shall be rectified by passing the doctoral work.

(3) In cases of suspicion of scientific misconduct, the "Guidelines on Ensuring Good Scientific Practice, Avoiding Scientific Misconduct, and Dealing With Violations" shall apply for the procedure.

Section 17

Structured Doctoral Programme and Joint International Graduation

(1) The doctorate can also be undertaken within the scope of a structured doctorate programme or a joint international doctoral procedure, provided that the faculty of environmental sciences or individual university lecturers within the faculty are involved.

(2) The performance of such procedures shall be governed separately for the individual case, or generally between the faculty and the education institution involved. When doing so, it must be ensured that the doctoral student acquires and proves the qualification required under these doctorate regulations. The contractual regulations shall apply in addition to the provisions of these doctorate regulations. In case of doubt, the doctoral committee shall make a decision on whether this equivalence is present.

(3) In the event of a joint doctoral procedure, at least two university lecturers from the faculty of environmental sciences must be on the doctoral commission. These university lecturers may only be appointed with the approval of the doctoral committee.

Section 18

Honorary Doctorates

(1) The honorary awarding of a doctorate in accordance with Section 2 Para. 2 honours persons who have acquired special merits in the field of science in which the faculty is involved, and have a connection with the faculty. The person to be honoured may not be active at the Technische Universität Dresden on a full-time basis.

(2) An application for the honorary awarding of a doctorate can be made to the faculty board by at least two professors of the faculty with adequate grounds.

(3) The faculty board shall make a decision on the application by secret ballot. A doctoral commission to be appointed by the board, which does not have a hearing with the applicant, reviews the merits of the person to be honoured, obtains at least two external reports, and gives the faculty board a recommendation for decision. In the secret ballot, all members of the extended faculty board are entitled to vote. The decision is made based on a three-quarters majority of those present and entitled to vote.

(4) The faculty board's decision to award an honorary doctorate must be confirmed by the senate.

(5) The honorary doctorate is awarded by giving a certificate signed by the rector and the Dean in an appropriate format. The grounds and merits must be summarised on the certificate. The honorary doctorate is awarded by the rector. The rector may assign this right to the Dean of the faculty.

(6) The awarding of the doctorate must be declared to the Saxony State Ministry for Science and Art (*Sächsisches Staatsminister für Wissenschaft und Kunst*).

Section 19

Entry into Force and Transitional Regulations

(1) These regulations shall enter into force on the date of publication in the official notices of the Technische Universität Dresden. Upon the entry into force of these regulations, the doctoral regulations of the Faculty of Environmental Sciences of 2 May 2005 shall become ineffective.

(2) All doctoral procedures beginning after their entry into force shall be undertaken on the basis of these regulations. Decisions on admission as a doctoral student that were already made prior to the entry into force of these regulations shall retain their validity; these regulations shall apply beyond that, however. Doctoral procedures already commenced on the date of the entry into force of these regulations shall be completed on the basis of the provisions of the doctoral regulations of the faculty of environmental sciences of 2 May 2005.

Produced on the basis of the resolution of the board of the faculty of environmental sciences of 28 July 2014 and approval by the office of the rector of 12 August 2014.

Dresden, 22/08/2014

The rector
of the Technische Universität Dresden

[signature]

Prof. Dr.-Ing. habil. DEng/Auckland
Hans Müller-Steinhagen

Annex 1

Note on the commencement of the doctoral procedure

(1) I hereby assure that I have produced the present work without inadmissible help from third parties and without aids other than those stated; ideas taken directly or indirectly from external sources are identified as such.

(2) When selecting and evaluating the material and also when producing the manuscript, I have received support from the following persons:

(3) No further persons were involved in the intellectual production of the present work. In particular, I have not received help from a commercial doctoral adviser. No third parties have received monetary benefits from me, either directly or indirectly, for work relating to the content of the presented dissertation.

(4) The work has not previously been presented in the same or a similar format to another examination body in Germany or abroad, nor has it - unless it is a cumulative dissertation - been published.

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