

Technische Universität Dresden  
Fakultät Informatik  
Doctorate Regulations

Dated 27 October 2014

## **About this Translation**

### **Important Note**

**The present English version of the study and examination regulations is a non-official version. It has no legal binding effect. Only the German version which can be found in the official announcement (Amtliche Bekanntmachungen der TU Dresden: <http://www.verw.tu-dresden.de/AmtBek/>) is legally binding.**

### **Official Original Document**

Technische Universität Dresden, Fakultät Informatik, Promotionsordnung vom 27.10.2014, ausgefertigt auf Grund des Fakultätsratsbeschlusses der Fakultät Informatik der Technischen Universität Dresden vom 18.6.2014, der Genehmigung des Rektorats vom 30.09.2014 und dem Beitrittsbeschluss des Fakultätsrates vom 15.10.2014.

### **Version of the Translation**

Version of 27 October 2014

Translation of the previous version of the Doctorate Regulations of 23.02.2011 by Christoph Wernhard and Bertram Fronhöfer, translation of the updates to the previous version of the Doctorate Regulations by Ulrike Schöbel.

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## Glossary

Technical terms occurring in these regulations are translated as follows:

<i>Abschluss [des Promotionsverfahrens]</i>	<i>closing</i>
<i>Angehöriger der Fakultät</i>	<i>associate of the Fakultät</i>
<i>Annahme als Doktorand</i>	<i>acceptance as doctoral candidate</i>
<i>Antrag auf Annahme als Doktorand</i>	<i>application for acceptance as doctoral candidate</i>
<i>Doktorand</i>	<i>doctoral candidate</i>
<i>Eröffnung [des Promotionsverfahrens]</i>	<i>opening</i>
<i>ergebnislose Beendigung des Promotionsverfahrens</i>	<i>termination without result of the doctoral graduation procedure</i>
<i>erfolgloser Promotionsversuch</i>	<i>unsuccessful attempt of a doctoral graduation</i>
<i>Fachdiskussion</i>	<i>professional discussion</i>
<i>fakultätsöffentlich</i>	<i>to the members of the Fakultät</i>
<i>Gutachten</i>	<i>review</i>
<i>Gutachter</i>	<i>reviewer</i>
<i>Hochschule</i>	<i>university</i>
<i>Hochschullehrer</i>	<i>professor</i>
<i>in der Regel</i>	<i>normally</i>
<i>LP</i>	<i>credit points</i>
<i>Mitglied der Fakultät</i>	<i>member of the Fakultät</i>
<i>Promotion (allgemein)</i>	<i>doctorate</i>
<i>Promotion (bzgl. eines Kandidaten)</i>	<i>doctoral graduation</i>
<i>Promotionsausschuss</i>	<i>doctorate committee</i>
<i>Promotionskommission</i>	<i>doctoral graduation commission</i>
<i>Promotionsleistungen</i>	<i>doctoral graduation achievements</i>
<i>Promotionsordnung</i>	<i>doctorate regulations</i>
<i>Promotionsurkunde</i>	<i>doctoral graduation certificate</i>
<i>Promotionsverfahren</i>	<i>doctoral graduation procedure</i>
<i>promoviert</i>	<i>post-doctoral</i>
<i>Studienleistungen</i>	<i>study achievements</i>
<i>wissenschaftlicher Mitarbeiter</i>	<i>research assistant</i>
<i>Zulassung zur Promotion</i>	<i>admission to doctoral graduation</i>
<i>Zweitmitglied der Fakultät</i>	<i>secondary member of the Fakultät</i>

On the basis of §§40, 88 Abs. 1 Nr. 2, 13 Abs. 4 Satz 1 of the law about higher education institutes in the Free State of Saxony (*Sächsisches Hochschulgesetz – SächsHSG*) dated 10 December 2008 (*SächsGVBl. S. 900*), in the version of the announcement of 15.01.2013, *Fakultät Informatik* of the *Technische Universität Dresden* has enacted the following doctorate regulations as statutes (*Satzung*).

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## §1 Scope

These regulations control the implementation of doctoral graduation procedures at the *Fakultät Informatik*.

## §2 Doctoral Degrees

(1) The *Fakultät Informatik* confers on behalf of the *Technische Universität Dresden* and on the basis of a doctoral graduation procedure the academic degree

Doktoringenieur (Dr.-Ing.) or  
Doktor rerum naturalium (Dr. rer. nat.) or  
Doctor of Philosophy (Ph.D.).

(2) In addition, by respective decision of the *Fakultätsrat*, the *Technische Universität Dresden* confers the academic degree

Doktoringenieur honoris causa (Dr.-Ing. h.c.) or  
Doktor rerum naturalium honoris causa (Dr. rer. nat. h.c.).

## §3 Doctoral Graduation

(1) The doctoral graduation shall produce evidence of the special ability to autonomously perform scientific work, as well as of a scientific literacy in the field of computer science that exceeds the general study objectives.

(2) Except for the case of a honorary doctorate according to § 19, this evidence is provided by the dissertation according to § 11 and by the oral doctoral graduation achievements according to § 12.

(3) A precondition for the graduation as Dr.-Ing. is the assessment by the *Fakultät* that the dissertation deals essentially with engineering aspects of computer science. A precondition for the graduation as Dr. rer. nat. is the assessment by the *Fakultät* that the dissertation is essentially concerned with mathematical/structural aspects of computer science. A precondition for the graduation as a Ph.D. is the successful completion of the doctoral studies course of computer science according to the regulations in force.

## §4 Doctoral Graduation Committees

(1) The responsible board for doctorates is the *Fakultätsrat*. For this purpose, it forms a doctorate committee as a permanent board of the *Fakultät*. Its members

are the dean, or a professor suggested by him, acting as chair, at least three more professors and a post-doctoral research assistant of the *Fakultät*. The members of the doctorate committee are appointed by the *Fakultätsrat* for a tenure of three years. Re-appointment is possible.

(2) With the opening of a concrete doctoral graduation procedure, the doctorate committee appoints a doctoral graduation commission whose tasks are assigned according to these regulations and it appoints its chair. While installing the doctoral graduation commission, the doctorate committee appoints the reviewers of the dissertation. The doctoral graduation commission consists of at least five members, and it must include the reviewers and the *Fachreferent*. Normally professors of the *Fakultät* will be appointed as members of the doctoral graduation commission; in exceptional cases, it is possible to appoint post-doctoral staff members of the *Fakultät* that have autonomous research responsibility, or TUD Young Investigators. The chair of the doctoral graduation commission has to be a professor of the *Fakultät*; § 10 Section 4 applies to the reviewers. If required by the topic, also professors, or renowned scientists with specialization on the field of the dissertation, that are not members of the *Fakultät* may be appointed. When executing cooperative doctoral graduation procedures with a *Fachhochschule*, one member of the doctoral graduation commission should be a professor of the responsible *Fachhochschule*.

(3) The meetings of the doctorate committee and of the doctoral graduation commission are not public. Their members are sworn to secrecy. The attendance of at least four members, including the chair, is required for the doctoral graduation commission to have a quorum. For the doctorate committee to have a quorum and for both boards the policies for decision by majority are subject to the regulations of the *Sächsisches Hochschulgesetz* and the directives of the *Grundordnung der TU Dresden für Hochschulgremien*. Minutes have to be kept on the deliberations and decisions in matters concerning doctoral graduation.

## **§5 General Rules of Proceeding and Opposition Proceedings**

(1) Decisions of the responsible boards in a doctoral graduation procedure are communicated to the candidate in writing. Incriminating decisions are communicated by the chair of the responsible board in form of an official notification with possible appeal (*rechtsmittelfähiger Bescheid*) that must include a justification and instructions on the right to appeal.

(2) Against those decisions made in the doctoral graduation procedure that have the quality of an administrative act, formal opposition proceedings take place. The

agency that has to deal with an opposition is the *Fakultätsrat*. Opposition has to be addressed to the dean. Decisions in the doctoral graduation procedure that have the quality of an administrative act are in particular:

1. non-admission to the doctoral graduation and rejection as doctoral candidate, as well as withdrawal of the acceptance as doctoral candidate,
2. non-opening of the doctoral graduation procedure,
3. non-acceptance of the dissertation,
4. evaluation of the additional study achievements, the status talk and the doctoral graduation achievements,
5. non-admission to retake failed doctoral graduation achievements,
6. termination without result of the doctoral graduation procedure (abort), and
7. non-conferral of the doctoral degree.

(3) After closing of the doctoral graduation procedure, on request, the candidate is permitted to inspect his doctoral graduation file.

## §6 Admission to Doctoral Graduation

(1) An applicant is admitted to a doctoral graduation procedure if s/he

1. has obtained a *Diplom*, *Master* or *Magister* degree from a university, or has obtained the *Staatsexamen* at least with grade “*gut*” and with a final thesis that normally should have been evaluated at least with grade “*gut*”;
2. satisfies the personal prerequisites for bearing a doctoral degree;
3. has not twice finished unsuccessfully a doctoral graduation procedure, nor is involved in a pending doctoral graduation procedure, and
4. has submitted an application for acceptance as doctoral candidate according to § 7 including all required documents.

Graduates of a *Fachhochschule* should be admitted to doctoral graduation if they have been recommended for doctoral graduation by the responsible *Fakultätsrat* of the *Fachhochschule*. A respective written declaration issued by the dean of the responsible *Fakultät* of the responsible *Fachhochschule* has to be supplemented as original to the application according to § 7.

(2) In addition, candidates are admitted to doctoral graduation who have acquired a *Bachelor* degree at least with grade “*sehr gut*” and with a final thesis that has been evaluated at least with grade “*sehr gut*”.

(3) An applicant is not admitted to doctoral graduation if s/he

1. does not satisfy the preconditions of Section 1 or 2,

2. is involved or involves paid intermediaries for the purpose of indicating possibilities of doctoral graduation,
3. is in relation to the doctoral graduation procedure and its preparation, pays charges or uses services free of charge which contradict the aim and purpose of an examination procedure.

(4) The doctorate committee decides on the recognition of equivalence of foreign examinations and degrees. In particular, equivalence agreements or a statement of the *Sächsische Staatsministerium für Wissenschaft und Kunst* may provide a basis for its decision. In cases where it has been approved for the applicant to bear a degree obtained in a foreign country as a German degree that qualifies for doctoral graduation, the degree has to be recognized as equivalent.

(5) The decision on admission is issued subordinately with the decision on acceptance as doctoral candidate according to § 7.

## **§7 Acceptance as Doctoral Candidate**

(1) Who satisfies the requirements for admission according to § 6 and intends doctoral graduation at the *Fakultät Informatik*, has to apply for the acceptance as doctoral candidate. An application for acceptance as doctoral candidate announces to the *Fakultät* the applicant's intention to graduate there as a doctor within the following six years.

(2) The application has to be addressed in writing to the chair of the doctorate committee. Together with the application, the following has to be submitted:

1. the envisaged topic of the dissertation and the pursued academic degree,
2. the written declaration of a member or associate of the *Fakultät*, to be willing to supervise the applicant scientifically during the preparation of the dissertation, and a suggestion of a *Fachreferent*. Normally, supervisors and *Fachreferenten* are professors. In justified exceptional cases, at the written suggestion of a professor it is possible to appoint post-doctoral staff members of the *Fakultät* that have autonomous research responsibility or TUD Young Investigators as supervisors or *Fachreferenten*. The doctorate committee decides on this issue;
3. the certificate about the prerequisites for admission according to § 6,
4. a tabular and personally signed curriculum vitae including a presentation of the scientific development, and including documentary certificates of passed additional studies or examinations in legally attested form,
5. if applicable, a written declaration about unsuccessful past doctoral graduation procedures,
6. a written declaration that these doctorate regulations are acknowledged,

7. the written declaration that a *Führungszeugnis* according to § 30 Abs. 5 *Bundeszentralregistergesetz (BZRG)*, to be sent to the *Fakultät*, has been applied for at the responsible registration office.

(3) The doctorate committee decides on acceptance or rejection as doctoral candidate. With the acceptance, the supervisor is confirmed and the *Fachreferent* determined. The *Fachreferent* has the task to evaluate the status talk according to § 9 and, in addition, as a member of the doctoral graduation commission to ask in-depth expert questions at the defense. In accepting the doctoral candidate, the candidate has to be obliged to follow the "Rules of Good Scientific Practice, Avoiding Scientific Misconduct, and Dealing with Infringements". A candidate agreement has to be signed by the doctoral candidate and the supervisor which follows the recommendations of DFG (German Research Foundation) or the Graduate Academy of Technische Universität Dresden. The candidate agreement has to be produced no later than 3 months after the acceptance of the candidate into the doctoral list.

(4) The acceptance as doctoral candidate has to be rejected, if admission prerequisites concerning subject matter according to § 6 are not satisfied. Moreover, the acceptance as doctoral candidate has to be rejected, if the personal prerequisites for bearing a doctoral degree are not given with the applicant. The decision has also to be made under consideration of the *Führungszeugnis* according to § 7 Section 2, No. 7. Acceptance may be coupled with the provision of additional study achievements according to § 8. In case of acceptance, the applicant is inserted into the doctoral candidate list, which has to be maintained by the *Fakultät*; a doctoral candidate relationship between the *Fakultät* and the candidate comes into being, the applicant gets the status of a doctoral candidate.

(5) Acceptance as doctoral candidate may be withdrawn, if the state of the preparation of the dissertation or the results available so far do not give reason to expect a successful conclusion of the doctoral graduation procedure. A respective written statement of the supervisor must be presented. Before withdrawal of acceptance as doctoral candidate, the candidate has to be heard. The decision is made by the doctorate committee, but not prior to the expiry of a period of three years. In addition, the doctoral candidate may, after acceptance as doctoral candidate, indicate in writing and addressed to the dean of the *Fakultät* that s/he does no longer intend to graduate as a doctor. All of the cases mentioned above terminate the doctoral candidate relationship with the *Fakultät* and have as a consequence the termination without result of the doctoral graduation procedure. The doctoral candidate has to be deleted from the doctoral candidate list.

(6) Acceptance as doctoral candidate is a mandatory prerequisite for the opening of the doctoral graduation procedure.

(7) A doctoral candidate that aspires to achieve the doctoral degree of a Ph.D. has to submit the certificate of enrollment in the doctoral studies course of computer science within 3 months after the acceptance to the doctoral list

## **§8 Additional Study Achievements**

(1) For a successful doctoral graduation, additional study achievements can be specified as preconditions for acceptance as doctoral candidate. On the one hand, this has the goal to foster the doctoral graduation project regarding contents, and, on the other hand, it shall ensure a broad professional foundation of the doctoral candidates, especially in areas that so far have not been covered at all or covered only to a small extent.

(2) If a *Diplom, Magister, Master* or *Staatsexamen* degree from a university are submitted, certifying the graduation from a course of study that is relevant for the dissertation topic, and which comprises at least 50% computer science contents, and the standard period of study is at least 9 semesters, then no additional study achievements are required. If the standard period of study in the degrees mentioned in the first sentence, is less than 9 semesters or if it is an engineering sciences, natural sciences, or mathematics *Diplom, Magister, Master, or Staatsexamen* degree of a university with less than 50% computer science contents, then the extent of the required additional study achievements should normally be between 9 credit points and 18 credit points. In all other cases, the extent of the additional study achievements may comprise up to 27 credit points. For the evaluation of a *Master* degree concerning the extent of the required computer sciences contents, according to sentence 1 and 2, and concerning the standard period of study, the preceding Bachelor degree plus the *Master* degree concerned, will be checked jointly.

(3) The specification of the additional study achievements is done by the doctorate committee in coordination with the supervisor. They are rendered in one or several oral examinations intended for that purpose, in German or English, conducted by at least two examiners or a single examiner in presence of a competent associate. As examiners only professors of the *Fakultät* are appointed; and it is the doctorate committee's responsibility.

(4) The evaluation of the oral examinations is done by the respective examiners. The following grades have to be used:

1	= <i>very good (sehr gut)</i>	= an outstanding achievement;
2	= <i>good (gut)</i>	= an achievement that is significantly above average requirements;
3	= <i>satisfactory (befriedigend)</i>	= an achievement that corresponds to average requirements;
4	= <i>sufficient (ausreichend)</i>	= an achievement that still meets requirements, despite deficiencies;
5	= <i>not sufficient (nicht ausreichend)</i>	= an achievement that does not meet requirements because of significant deficiencies.

If there is just a single oral examination to be taken, it must be passed at least with “good”. If there are several oral examinations, the average of the grades of the singular examinations must at least reach by way of calculation the grade “good”. It is obtained according to the following scheme:

Average up to and including 1.5	= <i>very good,</i>
Average from 1.6 up to and including 2.5	= <i>good,</i>
Average from 2.6 up to and including 3.5	= <i>satisfactory,</i>
Average from 3.6 up to and including 4.0	= <i>sufficient,</i>
Average from 4.1	= <i>not sufficient.</i>

However, an overall grade is not formally determined. The evaluation of the singular examinations is communicated by the examiners to the chair of the doctorate committee, who notifies the applicant in writing about the result. If several oral examinations were taken, the chair of the doctorate committee also determines the average of the grades of the singular examinations according to Sentence 5.

(5) The additional study achievements have to be rendered at the latest two years after acceptance as doctoral candidate. Regardless of this time limit, a re-take is possible once, within half a year after notification about the examination result, if the required grade or the required average of grades has not been accomplished at the first attempt. If the required result has not been accomplished after the retake, this has as a consequence the termination without result of the doctoral graduation procedure. The doctoral candidate has to be deleted from the doctoral candidate list. The same applies if the additional study requirements are not accomplished within the provided time limits, unless there are reasons for failure of meeting the time limits that are not within the doctoral candidate's responsibility.

## §9 Status Talk

(1) Prior to the opening of the doctoral graduation procedure, the applicant has to give a scientific talk in German or English, about the state-of-the-art in his working area (status talk), followed by a professional discussion. Its goal is to work up in a well-founded way the scientific area intended for the dissertation and

to derive from this the essential open questions. The professional discussion may also go beyond the core field of the dissertation's topic and may address related areas.

(2) The status talk should normally take place one year prior to the intended defense of the dissertation. Its duration is at most 45 minutes; the total duration of status talk and professional discussion should not exceed 2 hours. The status talk and the subsequent professional discussion are open to the members of the *Fakultät* and have to be announced in an appropriate way one week in advance. The supervisor and the *Fachreferent* according to § 7 Section 2 No. 2 and § 7 Section 3 Sentence 3 are required to attend.

(3) Following the status talk and the professional discussion, the supervisor and the *Fachreferent* evaluate the total achievements of the applicant as *passed* (*bestanden*) or *not passed* (*nicht bestanden*) and communicate the result to the chair of the doctorate committee, who notifies the applicant in writing about the result. If the status talk has not been passed, it may be retaken once after at least three months. If the status talk has not been passed anew, this has as a consequence the termination without result of the doctoral graduation procedure. The doctoral candidate has to be deleted from the doctoral candidate list.

## **§10 Opening of a Doctoral Graduation Procedure**

(1) Doctoral graduation procedures are opened upon formal application of the doctoral candidate. The application for opening a doctoral graduation procedure has to be addressed in writing to the chair of the doctorate committee. With the application, the following has to be submitted:

1. a tabular and personally signed curriculum vitae with a presentation of the scientific development,
2. the certificate about acceptance as doctoral candidate according to § 7 as a copy, and documentary certificates in legally attested form about the satisfaction of additional conditions imposed there, as the case may be,
3. the dissertation in five bound copies and in an electronic version, as well as the electronic version of an abstract, normally in German or English language,
4. a list of the scientific publications of the doctoral candidate,
5. the written declaration of the doctoral candidate according to the template in the appendix,
6. the written declaration that a *Führungszeugnis* according to § 30 Abs. 5 *Bundeszentralregistergesetz (BZRG)*, to be sent to the *Fakultät*, has been applied for at the responsible registration office.

7. in case of aspiring a graduation as a Ph.D., the certificate of the successful completion of the doctoral course of studies in computer science is required.

In addition, without entitlement of consideration, suggestions for the reviewers may be supplied with the application. Documents that already have been part of the application for acceptance as doctoral candidate and which do not need modifications may be recognized as valid.

**(2)** Withdrawal of the application for opening a doctoral graduation procedure by the doctoral candidate is permitted as long as it has not yet been opened. In this case, the application is considered as not having been submitted. If, after the opening of the doctoral graduation procedure, the doctoral candidate indicates that s/he does not want to pursue it, this has as a consequence the conclusion of the doctoral graduation procedure and it is considered as an unsuccessful attempt of a doctoral graduation.

**(3)** The doctorate committee decides on the opening of the doctoral graduation procedure. To this part of the meeting, the supervisor should be invited and s/he should be granted the right to speak. The opening has to be rejected, if the satisfaction of additional conditions imposed with the acceptance as a doctoral candidate, as the case may be, or if the passing of the status talk according to § 9, or both, are not yet accounted for. In addition, the opening of the doctoral graduation procedure has to be rejected if the personal prerequisites for bearing a doctoral degree are no longer present at the applicant. The decision has also to be made under consideration of the *Führungszeugnis* according to § 7 Section 2, No. 7. Finally, the opening of the doctoral graduation procedure has to be rejected if there are reasons which would, besides that, lead to withdrawal of the doctoral degree. If the doctoral graduation procedure is not opened for reasons according to Sentence 3 to 5, then § 16 applies. The notification of the doctoral candidate about the opening of the doctoral graduation procedure simultaneously provides information about the composition of the doctoral graduation commission and the reviewers.

**(4)** The dissertation is evaluated by two reviewers that are renowned experts on the scientific issues of the dissertation. One of the reviewers has to be a university professor that was appointed according to § 60 or § 62 SächsHDSFG. The second reviewer can be a professor of a *Fachhochschule*, a Junior-Professor, or a TUD Young Investigator, or has to give proof of scientific achievements that equal at least to a habilitation. It is not allowed to appoint the chair of the doctoral graduation commission as a reviewer. The first reviewer must be a member or a secondary member of the *Fakultät Informatik der Technischen Universität Dresden*; normally this is the supervisor. The second reviewer is required not to be an associate of the *Technische Universität Dresden (der Technischen Universität*

*Dresden angehören*). In justified cases a third review may be requested from a university professor or a reviewer with scientific achievements that equal at least to a habilitation.

(5) The chair of the doctorate committee transfers the doctoral graduation procedure after its opening to the doctoral graduation commission for its further execution.

## **§11 Dissertation**

(1) The dissertation provides evidence of autonomous scientific work. It shall provide a significant contribution in the area of computer science and has to contain new scientific insights.

(2) Normally, the dissertation is a completed singular work of the doctoral candidate. It may also be developed from collaborative research work. A scientific work that has been written by several authors may be accepted as a dissertation, in exceptional cases, provided that the individual share of the doctoral candidate is clearly marked, delimitable and evaluable. Concerning the authorship, § 6 Abs. 1 and 2 of the "Rules of Good Scientific Practice, Avoiding Scientific Misconduct and Dealing with Infringements" apply.

(3) Normally, the dissertation should be written in German or English. The doctorate committee decides on exceptions, if requested by the doctoral candidate together with the application for opening the doctoral graduation procedure. The source materials as well as other auxiliary means that have been used for the preparation of the dissertation have to be indicated completely. Works that served already for previous examinations or graduations are not allowed to be used as dissertation.

(4) The reviewers recommend the acceptance or rejection of the work as a dissertation to the doctoral graduation commission by means of personal and independent reviews. If acceptance is recommended, then the dissertation has to be evaluated by the reviewers with the following ratings:

- summa cum laude = with distinction  
an achievement that is exceptionally good
- magna cum laude = very good  
an achievement that has to be especially recognized
- cum laude = good  
an achievement that is superior to the average
- rite = satisfactory  
an achievement that meets average requirements

If the acceptance of the dissertation is rejected, it has to be evaluated as

- non sufficit = not sufficient  
an achievement that is not suitable

The assessment of the first reviewer has also to give information on compliance with the "Rules of Good Scientific Practice, Avoiding Scientific Misconduct, and Dealing with Infringements". It has also to give information about retrieval and quality of data in experimental or empirical parts of the dissertation. The reviews should be received by the chair of the doctoral graduation commission within three months. If the preparation of the reviews is delayed excessively, in spite of repeated reminders, the doctorate committee may withdraw the appointment of the belated reviewer and appoint a new reviewer.

(5) If a reviewer suggests editorial changes, these may be expressed by the doctoral graduation commission as conditions imposed on the doctoral candidate and be verified, involving the respective reviewer, before publication of the dissertation. If a reviewer recommends to pass the dissertation back to the doctoral candidate for supplementing or reworking, then the doctoral graduation commission decides on this. If the doctoral graduation commission does not reach a respective agreement, it calls in a further professor as reviewer, who is appointed on its suggestion by the doctorate committee. The doctoral graduation commission may set an appropriate time limit of up to six months for resubmission of the reworked dissertation. For a resubmitted dissertation, new reviews, or supplements of the available reviews, respectively, are to be requested from the reviewers.

(6) After reception of all reviews, the dissertation and the reviews are put on display for two weeks in the dean's office at the *Fakultät*, and the displaying is announced. The members of the *Fakultätsrat*, the doctorate committee and the doctoral graduation commission are entitled to inspect the reviews including the rating suggestions. The other professors of the *Fakultät* and the applicant are entitled to inspect the reviews. For professors and applicants, inspection of the rating suggestions is only possible if there have not been raised any objections against this by the reviewers and by the applicant. Within the display period, every member of the *Fakultät* is entitled to pronounce in favor or against the acceptance of the dissertation, and submit a statement including the reasons within fourteen days in writing to the dean.

(7) After the display period, the doctoral graduation commission decides on acceptance or rejection of the dissertation on the basis of the reviews and the received votes. In case of an acceptance, the doctoral graduation commission simultaneously decides on the final evaluation of the dissertation, using the ratings mentioned in § 11 Section 4. If the dissertation is rejected, and thus evaluated as "not sufficient (non sufficit)", the doctoral graduation procedure is terminated; § 13

Section 1 applies. A copy of the rejected dissertation together with the reviews remains in the doctoral graduation file.

## **§12 Defense**

(1) If the dissertation has been accepted, the doctoral candidate has to present the results obtained in the dissertation in a public talk and, in a subsequent scientific discussion, has to face questions from the auditorium in order to defend the results (defense). The talk of the doctoral candidate should have a duration of 45 minutes; the defense should not exceed 2 hours in total.

(2) The date of the defense is determined by the chair of the doctoral graduation commission after acceptance of the dissertation, and the doctoral candidate is summoned by the chair in writing. The period of notice is two weeks. In addition, the chair of the doctoral graduation commission invites the members of the doctoral graduation commission and publicly announces the date of the defense.

(3) The defense is chaired by the chair of the doctoral graduation commission. Normally, it has to be in German or English. In exceptional cases, by decision of the doctorate committee, deviations may be admitted, if formally requested in time by the doctoral candidate in agreement with the doctoral graduation commission at the chair of the doctorate committee. In the scientific discussion all attendants are eligible to ask questions. The chair of the doctoral graduation commission may reject questions that are either not related to the doctoral candidate's special orientation in the area of computer science or not related to the scientific topic of his dissertation.

(4) Immediately after the defense, the doctoral graduation commission decides whether the doctoral candidate has passed the defense and evaluates it with the ratings mentioned in § 11 Section 4. If the defense has not been passed, it has to be evaluated as "not sufficient (non sufficit)"; § 13 Section 2 applies.

(5) If the dissertation and defense have both been passed, the doctoral graduation commission sets the overall grade of the doctoral graduation procedure. The ratings mentioned in § 11 Section 4 have to be used there. For the determination of the overall grade, the result of the dissertation should have precedence. If the dissertation has been evaluated by at least one reviewer with "summa cum laude", and by the remaining reviewer with "magna cum laude", as well as the defense with "summa cum laude", and the doctoral candidate has provided evidence for extraordinary scientific achievements, then the overall rating "with distinction (summa cum laude)" may be assigned. The determination of this rating

requires a two-thirds majority of the attending members of the doctoral graduation commission. The successful graduation has to be publicly announced.

(6) The essential course of the defense has to be recorded by a minute-taker, who has to be appointed by the chair of the doctoral graduation commission; the minutes have to be signed by the minute-taker and the chair of the doctoral graduation commission and have to be included in the doctoral graduation file.

### **§13 Retake of Failed Doctoral Graduation Achievements**

(1) After termination of the doctoral graduation procedure according to § 11 Section 7 Sentence 3 as a consequence of the rejection of the dissertation, the doctoral candidate may make a further attempt at doctoral graduation. For this purpose, after half a year at the earliest, the candidate may submit a new application for opening a doctoral graduation procedure according to § 10. With the application, another dissertation or a fundamentally reworked version of the first work with the same topic has to be submitted. In case of opening the doctoral graduation procedure, the doctoral graduation commission that has been appointed in the first attempt at doctoral graduation should be appointed. If also the second doctoral graduation procedure is terminated unsuccessfully, further applications for doctoral graduation to the *Fakultät* are inadmissible.

(2) If the defense is not passed, upon request of the doctoral candidate, the defense may be retaken once within a year in the same doctoral graduation procedure. The request may be submitted after three months, at the earliest. If the retake is not passed or not accomplished at due date, the doctoral graduation procedure is terminated.

### **§14 Publication of the Dissertation**

(1) The applicant is obliged to make the dissertation available within a period of one year in an appropriate way to the scientific public by reproduction and by handing it over free of charge to the Sächsische Landesbibliothek - Staats- und Universitätsbibliothek Dresden (SLUB)/ Saxon State and University Library Dresden.

(2) The obligation according to § 14 Section 1 has to be fulfilled by the applicant by handing over five bound copies, in letterpress or photo printing and a complete electronic version of the dissertation in a common format that is accepted by SLUB. The bound copies may also be produced and distributed by a commercial publisher, if the number of printed copies is at least 150 copies, and if on the back

of the title page at least the title of the dissertation as well as the place and date of the doctoral graduation are stated.

(3) In exceptional cases for which special reasons have to be provided, the dean of the *Fakultät* or the doctorate committee may, on request of the applicant, permit an extension of the submission period. If the submission deadline is culpably missed, all rights acquired by achievements in the doctoral graduation procedure cease and it terminates without conferring the academic degree. The chair of the doctorate committee has to notify the applicant about this in writing.

## **§15 Closing of the Doctoral Graduation Procedure**

(1) After a positive course of the doctoral graduation procedure, the chair of the doctoral graduation commission recommends to the doctorate committee the conferral of the academic degree according to § 2 Section 1. The doctorate committee initiates the issuing of the doctoral graduation certificate and the deletion of the doctoral candidate from the doctoral candidate list.

(2) The doctoral graduation certificate comprises, apart from last name, first name, academic degree, date and place of birth of the doctoral candidate, the title of the dissertation, the academic degree that is to be conferred and the overall grade. It is dated to the day of the defense and bears the signature of the *Rektor* and of the dean of the *Fakultät* as well as the seal of the *Technische Universität Dresden*.

(3) In a form that is in accordance with the occasion, the dean of the *Fakultät* hands out the certificate, as soon as the delivery of the obligatory copies according to § 14 has been confirmed by the doctorate committee. With this, the doctoral graduation procedure is closed. The closing of the doctoral graduation procedure has to be announced to the members of the *Fakultät*.

(4) After closing of the doctoral graduation procedure, the doctoral candidate is entitled to bear the academic degree conferred with the certificate.

## **§16 Abort of the Doctoral Graduation Procedure**

(1) The doctoral graduation procedure may be aborted at any time after the decision on acceptance as doctoral candidate, if facts get known that preclude the conferral of an academic degree. This applies in particular in case of deception when providing evidence of prerequisites for admission or doctoral graduation achievements, as well as circumstances that concern the personal prerequisites

of the candidate for bearing the doctoral degree. With the termination without result of the doctoral graduation procedure, all those rights and claims cease that the doctoral candidate has acquired previously in the doctoral graduation procedure. The candidate has to be deleted from the doctoral candidate list. The decision on termination is made by the doctorate committee just or convenient.

(2) Before termination without result of the doctoral graduation procedure, the doctoral candidate has to be heard. In case of suspected scientific misconduct, the regulations of the "Rules of Good Scientific Practice, of Avoiding Scientific Misconduct and Dealing with Infringements" apply.

## **§17 Withdrawal of the Academic Degree**

(1) The conferral of the doctoral degree has to be revoked, if the doctoral candidate has deceived at providing evidence of prerequisites for admission or doctoral graduation achievements, or, besides, facts get known that would have excluded a conferral of the doctoral degree. The decision is made by the doctorate committee.

(2) If the prerequisites for the admission that concern subject matter have not been satisfied, without the doctoral candidate's intention to deceive, and this gets known only after conferral of the academic degree, then this deficiency is cured by the passing of the doctoral graduation achievements.

(3) In case of suspected scientific misconduct, the regulations of the "Rules of Good Scientific Practice, of Avoiding Scientific Misconduct and Dealing with Infringements" apply.

## **§18 Structured Doctoral Programs and Joint International Doctoral Graduation Procedures**

The doctoral graduation may also take place within the framework of a structured doctoral program or of a joint international doctoral graduation procedure, insofar as the *Fakultät Informatik* or single professors of the *Fakultät* are participating. Respective supplementary regulations may be provided. In this case it has to be ensured that the doctoral candidate acquires and provides evidence for the qualification required according to these doctorate regulations. In case of doubt, the doctorate committee decides on whether this equivalence is given.

## **§19 Honorary Doctorate**

(1) With the conferral of the honorary doctoral degree according to § 2 Section 2, personalities may be honored, who have achieved extraordinary merits in science and technology in the area of computer science and, additionally, are extraordinarily involved with the *Fakultät*. It is not allowed that the personality to honor works full-time at the *Technische Universität Dresden*.

(2) A proposal, with sufficient justification, for conferring a honorary doctoral degree may be addressed to the *Fakultätsrat* by at least two professors of the *Fakultät*. A doctoral graduation commission to be appointed by the *Fakultätsrat*, with at least five professors as members, not including the submitters of the proposal, examines the merits of the personality to honor, obtains at least two further reviews, at least one of them from outside TU Dresden, and suggests a decision to the *Fakultätsrat*.

(3) The *Fakultätsrat* decides in a secret ballot on the proposal. To the respective meeting of the *Fakultätsrat* all professors of the *Fakultät* have to be invited three weeks in advance. Eligible to vote are all members of the *Fakultätsrat* and the additional professors attending the meeting. A two-thirds majority is required for acceptance of the proposal.

(4) The decision of the *Fakultätsrat* on the conferral of the honorary doctoral degree has to be confirmed by the *Senat*.

(5) The conferral of the honorary doctoral degree has to be implemented in a dignified form according to the occasion by handing over a certificate signed by the rector and by the dean. On the certificate, the reasons and merits have to be summarized. The conferral of the honorary doctoral degree is executed by the rector. The rector is allowed to transfer this right to the dean of the *Fakultät*.

(6) The conferral of a honorary doctoral degree has to be announced to the Saxonian minister for science and art.

## **§20 Doctorate Jubilee**

The *Fakultät* may honor the 50th anniversary of the conferral of the doctoral degree, if this seems appropriate with respect to the special scientific merits of the person to honor as well as his/her special close association with the *Fakultät* or the *Technische Universität Dresden* as a whole. The choice of the occasion and the form of the honoring is a matter of the *Fakultät*. The decision on this is made by the *Fakultätsrat*.

## **§21 Coming into Effect and Transition Regulations**

(1) These regulations are published in the *Amtliche Bekanntmachungen der TU Dresden* and take effect the day after publishing.

(2) It is recommended to but not mandatory for doctoral candidates that have already been accepted as doctoral candidates when the amendment record came into force, to sign a candidate agreement according § 7 Abs. 3.

Issued on the basis of the decision of the *Fakultätsrat* of the *Fakultät Informatik* dated 18 June 2014 and on the basis of the approval by the rectorate dated 30 September 2014 and on the basis of the accession decision of the *Fakultätsrat* of 15.10.2014.

Dresden, 27 October 2014  
Rector of the *Technische Universität Dresden*

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

## Appendix

### Declarations for the Opening of the Doctoral Graduation Procedure

1. I hereby assure that I created the present work without inadmissible help of third parties and without use of other auxiliary means than those specified; thoughts that are directly or indirectly taken over from other sources are marked as such.
2. At the selection and evaluation of the material, as well as at the preparation of the manuscript, I received supporting services from the following persons: . . . .
3. Additional persons have not been involved at the mental creation of the present work. In particular, I did not make use of the assistance of a commercial dissertation consultant. Third-parties did neither directly nor indirectly receive benefits of pecuniary value for works that are related to the content of the present dissertation.
4. Up to now, neither in Germany nor in any other country the work has been presented in this or a similar form to another examination agency, and it has not yet been published either.
5. I confirm that I acknowledge the applicable doctorate regulations of the *Fakultät Informatik* of the *Technische Universität Dresden*.

Location, date

Signature of the doctoral candidate