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**REGULATIONS FOR THE AWARD OF DOCTORAL DEGREES AT THE  
TECHNISCHE UNIVERSITÄT MÜNCHEN (PROMOTIONSORDNUNG)**  
of 12 March 2012

Pursuant to Art. 13 (1) s. 2 in conjunction with Art. 64(1) and Art. 66 (2) s. 1 of the Bayerisches Hochschulgesetz (BayHSchG) [Bavarian Higher Education Act] the Technische Universität München (TUM) issues the following Regulations:

*Introductory statement on linguistic usage*

*In accordance with Art. 3 (2) of the German Constitution, women and men have equal rights. Any terms relating to persons and functions mentioned in the following regulations are equally valid for women and men.*

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## A) General provisions

### § 1

#### **Right to award doctoral degrees; scope and application**

- (1) <sup>1</sup>The right of Technische Universität München (TUM) to award the degree of *Doktor* is governed by the provisions stated below. <sup>2</sup>The doctoral degree is obtained from academic departments or Integrative Research Centers responsible for the conduct of the doctoral program (“responsible department”) and awarded by Technische Universität München.
- (2) <sup>1</sup>Technische Universität München awards the doctoral degree upon resolution of the responsible department. <sup>2</sup>In cases where the responsible department is not an academic department, its managing director takes over the tasks and responsibilities assigned to the dean pursuant to these Regulations.
- (3) TUM centrally maintains a doctoral candidacy list for the responsible departments that is updated annually; the data must be recorded according to Appendix 8.
- (4) The following degrees may be earned:
  1. *Doktor-Ingenieur (Dr.-Ing.)*
    - a. from the academic departments of
      - Architecture
      - Civil Engineering and Surveying
      - Electrical Engineering and Information Technology
      - Mechanical Engineering
    - b. from Munich School of Engineering (MSE)
    - c. in collaboration with one of the academic departments stated in clause 1 lit. a, this degree may be earned from the academic departments of
      - Chemistry
      - Informatics
      - Center of Life and Food Sciences Weihenstephan
  2. *Doktor der Naturwissenschaften (Dr. rer. nat.)*
    - a. from the academic departments of
      - Mathematics
      - Informatics
      - Physics
      - Chemistry
      - Center of Life and Food Sciences Weihenstephan
    - b. in collaboration with one of the academic departments stated in clause 2 lit. a, this degree may be earned from the academic departments of
      - Civil Engineering and Surveying
      - Mechanical Engineering
      - Electrical Engineering and Information Technology
      - Medicine
      - TUM School of Education
      - Sport and Health Science
      - Munich School of Engineering (MSE)
  3. *Doktor der Wirtschaftswissenschaften (Dr. rer. pol.) and Doktor der Volkswirtschaftslehre (Dr. oec. publ.)*
    - a. from the TUM School of Management

- b. from the Munich Center for Technology in Society (MCTS)
4. Doktor der Philosophie (Dr. phil.)
- a. from the academic departments of
    - Sport and Health Science
    - TUM School of Education
    - TUM School of Management, restricted to the subject areas of Social Sciences
    - Architecture
  - b. Munich Center for Technology in Society (MCTS)
5. Doktor der Medizin (Dr. med.), Doktor der Zahnheilkunde (Dr. med. dent.) and Doktor der Medizinischen Wissenschaft (Dr. med. sci.)  
from the academic department of Medicine
6. Doktor der Agrarwissenschaften (Dr. agr.) and Doktor der Forstwissenschaft (Dr. rer. silv.)  
from the Center of Life and Food Sciences Weihenstephan
7. Doktor der Sozialwissenschaften (Dr. rer. soc.)  
from the Munich Center for Technology in Society (MCTS)
- (5) <sup>1</sup>Responsibility for the doctoral program lies with the academic department or center (responsible department) where, based on the candidate's field of study or dissertation topic, his/her specialist subject is represented in accordance with § 6 (2) by an authorized examiner of TUM pursuant to § 10. <sup>2</sup>Upon the candidate's request, the department applied to by the candidate decides whether that department is responsible pursuant to subsection (2). <sup>3</sup>If the department applied to declines its responsibility, the dean will dismiss the application, specifying the grounds for the dismissal.
- (6) <sup>1</sup>As a rule, collaboration pursuant to subsection (2) involves an academic department or other responsible department of Technische Universität München. <sup>2</sup>Upon request of the responsible department's dean the department whose collaboration is requested will appoint an examiner pursuant to § 10 (1) as soon as possible.
- (7) The candidate will be notified of all decisions concerning subsections 5 and 6; any rejection must be substantiated.

## § 2

### Requirements for admission to a doctoral program

- (1) A doctoral degree may be pursued by candidates who
1. possess the educational requirements pursuant to §§ 3 to 5;
  2. submit a scholarly project of their own (dissertation), prove their ability to conduct independent scholarly work and give a concise presentation of the results;
  3. prove, in an oral examination, thorough knowledge of the disciplines to which the dissertation is dedicated;
  4. fulfill the statutory requirements to hold a degree;
  5. have not been awarded the desired degree previously;
  6. have not irrevocably failed a previous doctoral program for the same degree or for the same dissertation at TUM or another university.
- (2) Engaging professional dissertation writing or consulting services to obtain a doctoral degree is prohibited; candidates must confirm they have not used such services by signing the

declaration attached as Appendix 5.

### § 3

#### **Admission based on degree earned from a domestic university or Master's degree earned from a university of applied sciences (HAW)**

- (1) <sup>1</sup>In order to satisfy the educational requirements, candidates must have successfully completed either an above-average Diplom, Master's or Magister examination at a university, an equivalent state examination, or a Master's examination at a university of applied sciences (HAW). <sup>2</sup>Above average is defined to be a grade point average of at least 2.5 or a designation of at least "Gut bestanden" ("good") achieved in the final examination. <sup>3</sup>Above-average performance may also be demonstrated by scholarly achievements such as, for example, papers published after completion of studies; the decision will be made by the dean. <sup>4</sup>To pursue the degree Dr. med., Dr. med. dent., or Dr. med. sci., successful completion of the medical or dental examination will be considered sufficient. <sup>5</sup>To obtain the degree "Dr. med. sci.", the candidate must additionally prove successful completion of a doctoral program offered by the academic department of Medicine.

### § 4

#### **Admission based on another degree earned from a domestic university or institution of higher education**

- (1) Candidates who hold a Bachelor's degree from a university may pursue a doctoral program at TUM if they meet the two requirements indicated below:
1. an excellent Bachelor's degree obtained from a university after completion of a Bachelor's program of at least three years; a Bachelor's degree is considered excellent if the graduate is ranked among the top five percent of the graduating class;
  2. acceptance to a structured doctoral program at TUM. The standard period of study is, as a rule, a maximum of three years. Upon completion of the doctoral program the candidates must have obtained at least 300 credits including those earned for the Bachelor's degree. The doctoral program is structured to allow candidates to pursue a Master's degree in a parallel master's program. Further details must be provided in the regulations governing the relevant doctoral program.
- (2) <sup>1</sup>Graduates of a Diplom program at a university of applied sciences (HAW) may pursue a doctoral program at TUM if they obtained an outstanding Diplom degree in a discipline that is offered as a Master's program at TUM. <sup>2</sup>As a rule, a Diplom degree is considered outstanding if the graduate is ranked among the top ten percent of all graduates of the graduating class, evidence of which must be presented in writing.

### § 5

#### **Admission based on degree obtained from a foreign university**

- (1) <sup>1</sup>Degrees obtained from foreign universities will, upon request of the candidate, be recognized if they are equivalent to one of the examinations listed in § 3, clause 1. <sup>2</sup>Equivalence will be determined by the dean of the department responsible for the doctoral

program. <sup>3</sup>The equivalence agreements acknowledged by the Standing conference of the German ministers of education and cultural affairs (*Kultusministerkonferenz*) and the Association of universities and other higher education institutions in Germany (*Hochschulrektorenkonferenz*) must be complied with. <sup>4</sup>Where the dean is unable to determine the equivalence on the basis of these agreements, the Central Office of Foreign Education (*Zentralstelle für ausländisches Bildungswesen*) of the Standing conference of the German ministers of education and cultural affairs must be consulted, whose opinion must be considered.

- (2) <sup>1</sup>Further, the dean will determine whether the candidate's achievements are above average as defined in § 3 (1) clause 3. <sup>2</sup>To determine whether a foreign degree is considered above average, the result of the foreign examination is converted to the German grading system in accordance with the "*Vereinbarung über die Festsetzung der Gesamtnote bei ausländischen Hochschulzugangszeugnissen*" (resolution of the Standing conference of the German ministers of education and cultural affairs of 14/15 March 1991 as amended).
- (3) <sup>1</sup>Where a candidate has successfully completed the medical licensing examination (*Ärztliche Prüfung*) at a foreign higher education institution and equivalence is not established, the dean, upon the candidate's request, may give the candidate the opportunity to take an additional oral examination before an examination board consisting of three members to be appointed by the dean. <sup>2</sup>The requirement for admission is that the candidate demonstrates sufficient knowledge, experience and skills equivalent to the residency training (*praktisches Jahr*). <sup>3</sup>This supplementary examination must include all subjects of the medical licensing examination (*Ärztliche Prüfung*) and, in addition, anatomy, physiology, and biochemistry. <sup>4</sup>A competent observer must be present to take the minutes. <sup>5</sup>Further, § 15, subsection 1, clause 3 and § 6, subsections 2, 7, and 8 of the German Licensing Regulations for Physicians (*Approbationsordnung für Ärzte*) shall apply accordingly to oral examinations. <sup>6</sup>A failed examination may be repeated once. <sup>7</sup>To repeat an examination, candidates may apply to the dean within no more than six months from announcement of the examination result.
- (4) Subsections 1 to 3 shall apply accordingly to a Master's degree obtained from a foreign technical college (polytechnical school, university of applied sciences), and § 4, subsection 2 to a Diplom degree obtained from a foreign technical college.

## § 6

### Dissertation

- (1) <sup>1</sup>The dissertation is to demonstrate the candidate's ability to do independent research work and provide a clear description of the results, and must be an original, innovative contribution to the advance of science. <sup>2</sup>Prior publication of parts of the dissertation is permitted subject to subsection 7.
- (2) <sup>1</sup>A publication-based dissertation must be a scholarly work equivalent in all aspects to a dissertation as described in subsection 1; the requirements set out in Appendix 6 must be complied with. <sup>2</sup>The publication-based dissertation must provide a brief description of the scientific problem, problem-solving solutions, results and conclusions achieved and related literature. <sup>3</sup>The papers accepted for publication and published in print or electronic journals must be enclosed with the dissertation as appendix.
- (3) The dissertation must be on a topic that falls within a subject area represented by an authorized examiner of TUM pursuant to § 10.
- (4) <sup>1</sup>Prior to submission of dissertations written outside of the responsible department,

candidates must consult with a professor in charge of the discipline at TUM and obtain his/her approval. <sup>2</sup>Submission is not permitted if the dissertation was assigned or supervised by a professor who is not a faculty member of TUM.

- (5) <sup>1</sup>The dissertation must be written either in German or English. <sup>2</sup>In exceptional cases, upon approval of the dean and the first examiner, the dissertation may be written in a language other than German or English; in such a case the dissertation must include an abstract of the essential assessment-relevant results in German or English.
- (6) <sup>1</sup>The dissertation must be a candidate's original work. <sup>2</sup>It must include an abstract of the content and a complete bibliography of the literature and other information sources used. <sup>3</sup>A candidate's own publications pursuant to subsection 1, clause 2 must be identified as such.
- (7) <sup>1</sup>A candidate's previous scholarly works that have already been used for examination purposes may not be submitted as dissertation. <sup>2</sup>However, findings from the scholarly works may be used for the dissertation, provided that the underlying works are identified as such in the bibliography.
- (8) <sup>1</sup>Provided that a candidate fulfils the educational requirements stipulated in §§ 3 through 5, an authorized examiner of TUM as set out under § 10 has assigned a dissertation topic, the responsible department of TUM can administer the doctoral program, and a supervision agreement has been entered into between the examiner and the candidate, the candidate will be entered onto the doctoral candidacy list of TUM. <sup>2</sup>Entry onto the doctoral candidacy list must not be regarded as a decision to initiate the doctoral examination process.

## § 7

### **TUM Graduate School**

<sup>1</sup>By joining a Thematic Graduate Center or Faculty Graduate Center, candidates may become a member of TUM Graduate School where they, in addition to the general requirements of a doctoral program according to § 2, attend a qualification program while working on their dissertation. <sup>2</sup>Upon successful completion of the qualification program, TUM Graduate School will issue a certificate to each candidate. <sup>3</sup>In addition, membership in TUM Graduate School and successful completion of the TUM Graduate School's qualification program will be recorded on the doctoral degree certificate (Appendix 3a).

### **B) Application for doctoral candidacy**

## § 8

### **Submission of dissertation**

<sup>1</sup>The written application for initiation of the doctoral examination process must be submitted through the TUM examination office to the responsible department pursuant to § 1 (5). <sup>2</sup>The application must specify the doctoral degree pursued and the title of the dissertation. <sup>3</sup>The following documents must be enclosed with the application:

1. proof of educational requirements pursuant to §§ 3 to 5;
2. five identical copies of the dissertation in accordance with § 2 no. 2 and § 6 (1) and/or (2), and one electronic copy (pdf file) of the dissertation to be submitted to the responsible department at the same time;

3. an abstract of the dissertation of approx. 500 characters, which must be signed by either the authorized examiner pursuant to § 10 who suggested the topic of the dissertation (§ 10, subsection 2), or the professor involved according to § 6 (4);
4. a declaration pursuant to Appendix 5;
5. a list of prior publications pursuant to § 6 (1), clause 2;
6. a curriculum vitae listing, in particular, the candidate's educational background;
7. a certificate of good conduct. Non-German nationals must submit a certificate recognized as equivalent by the TUM. This requirement can be dispensed with for TUM members.

## § 9

### **Initiation of doctoral examination process**

- (1) <sup>1</sup>The TUM examination office will verify whether the application meets the requirements set out in § 8. <sup>2</sup>In this case, the examination office will forward the application to the dean (according to § 1 (5), clause 1) of the responsible department indicated by the candidate. <sup>3</sup>The dean will determine whether the academic department is responsible for the doctoral examination process and which doctoral degree applies pursuant to § 1. <sup>4</sup>If the dean does not consider the department indicated responsible, he/she will return the application to the examination office, stating the reasons for non-acceptance and, as the case may be, suggesting the department he/she considers to be responsible. <sup>5</sup>The examination office will forward the application to the suggested responsible department.
- (2) <sup>1</sup>The application for doctoral candidacy may be rejected only if
  1. the admission requirements set out in §§ 2 to 5 have not been fulfilled, or
  2. the certifications required under § 8 are incomplete or incorrect, or
  3. no department at TUM is responsible for administering the doctoral program, or collaboration pursuant to § 1 (4) cannot be realized.<sup>2</sup>Candidates must promptly be informed in writing if their application was rejected and on what grounds. <sup>3</sup>The rejection notification must be accompanied by information on legal remedies (Appendix 7).
- (3) If the application is accepted, the dean of the responsible department will reach a decision pursuant to § 10 as soon as possible.

### **C) Examination of dissertation**

## § 10

### **Examining committee**

- (1) <sup>1</sup>The responsible department appoints an examining committee consisting of a chair and one to three examiners; the third examiner may be appointed in the course of the assessment process. <sup>2</sup>The Committee members (authorized examiners) must be professors (*Hochschullehrer*) pursuant to Art. 2 (3) clause 1 of the *Bayerisches Hochschulpersonalgesetz*<sup>1</sup> (BayHSchPG) [Bavarian law governing university staff], Emeritus professors, retired professors, TUM Distinguished Affiliated Professors, TUM Junior

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<sup>1</sup>) The job titles "Professor", "Juniorprofessor", "Honorarprofessor", "Privatdozent" and "außerplanmäßiger Professor" are considered *Hochschullehrer* within the meaning of Art. 2 (3) clause 1 of BayHSchPG.

Fellows<sup>2</sup>, or fellows of the TUM Institute of Advanced Study (IAS). <sup>3</sup>The chair must not be an examiner at the same time. <sup>4</sup>The chair and at least one examiner must be professors of the responsible department as defined in Art. 2 (1) no.1 of the BayHSchPG. <sup>4</sup>In exceptional, justified cases it is sufficient that only one member of the examining committee is a professor of the academic department within the meaning of Art. 2 (1) no. 1 of the BayHSchPG.

- (2) <sup>1</sup>If an examiner authorized in accordance with (1) suggested the dissertation topic and supervised significant parts of the dissertation, he/she shall be appointed first examiner at his/her request. <sup>2</sup>If a dissertation on an interdisciplinary topic was suggested by an examiner authorized pursuant to (1) who is not a faculty member of the responsible department, this authorized examiner shall be appointed first examiner.
- (3) <sup>1</sup>One of the examiners pursuant to (1) may be a member of another domestic or foreign university. <sup>2</sup>Notwithstanding clause 1, in the case of cooperative doctoral programs (*kooperative Promotion*) with universities of applied sciences (HAW) a HAW professor must be appointed examiner if he/she was significantly involved in the supervision of the dissertation.
- (4) <sup>1</sup>In justified cases a reviewer (*Gutachter*) may be appointed second examiner. <sup>2</sup>In this case, upon resolution of the responsible department, an authorized examiner as set out under (1) must act as oral examiner. <sup>3</sup>Where a third examiner was appointed, clauses 1 and 2 apply accordingly.

## § 11

### **Assessment of dissertation**

- (1) <sup>1</sup>The dean will submit the doctoral candidacy application including all required documentation to the chair of the examining committee. <sup>2</sup>The chair will forward a copy of the dissertation to each examiner for assessment.
  - (2) <sup>1</sup>The examiners will assess the dissertation and attach written reports including grades, taking into consideration the requirements set out in § 6 (1), clause 1. <sup>2</sup>The reports will be submitted to the chair. <sup>3</sup>The chair will ensure that the reports are submitted in a timely manner (as a rule, no later than within three months).
- <sup>4</sup>The grades to be awarded are:
- “Passed with high distinction” (summa cum laude);  
 “Passed”; or  
 “Not Passed”.
- (3) If at least one report was submitted to the chair of the examining committee, the doctoral candidacy application cannot be withdrawn.
  - (4) <sup>1</sup>If one of the grades awarded is “Not Passed”, the doctoral project is failed; the doctoral examination process is therefore terminated. <sup>2</sup>The examining committee will decide whether or not the dissertation may be re-submitted with modifications or whether a major revision is necessary; the decision must be unanimous. <sup>3</sup>§§ 16 (2), clause 2, and 19 (1) shall apply

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<sup>2</sup>) TUM Junior Fellows lead third-party funded junior research groups independently and have autonomously developed the scientific program for these groups (see resolution of the TUM Board of Management [Beschluss des Hochschulpräsidiums] no. 7/23/03 of 20 March 2007/5 June 2007).

accordingly.

## § 12

### **Involvelement of faculty**

<sup>1</sup>Where the dissertation has been assessed at least as Passed by all examiners/reviewers, the chair of the examining committee will ensure that the dissertation, accompanied by the candidate's curriculum vitae and the examiners' reports, is sent to all full-time faculty (as specified in Art. 2 of the BayHSchPG) of the responsible department for decision as determined by faculty policy. <sup>2</sup>The decision must be submitted in writing, either designated as "*für Annahme*" (accepted) or, specifying the reasons, "*gegen Annahme*" (rejected) within a deadline to be determined by the dean and not to exceed two months.

## § 13

### **Acceptance of dissertation**

- (1) <sup>1</sup>The dissertation is accepted if the required number of "accepted" decisions has been received in accordance with § 12. <sup>2</sup>The required number is at least ten for academic departments with fewer than 40 professors, and at least 20 for the remaining academic departments. <sup>3</sup>If "rejected" decisions are received, the dean, after having heard the examiners/reviewers and authorized examiners who voted "rejected", will take a final decision as to whether the dissertation is accepted.
- (2) <sup>1</sup>If the dissertation is rejected, the doctoral project is failed and the doctoral examination process is terminated. <sup>2</sup>§ 16 (2), clause 2 and § 19 (1) shall apply accordingly.

### **D) Oral examination**

## § 14

### **Invitation to the oral examination**

- (1) <sup>1</sup>If the dissertation has been accepted pursuant to § 13 (1), the chair of the examining committee will schedule and supervise the oral examination. <sup>2</sup>If admission was granted pursuant to § 4 (1), admission to the oral examination requires evidence of an above-average Master's degree in accordance with § 3.
- (2) <sup>1</sup>The chair will invite, in writing, the candidate and the examining committee and, through announcement on the bulletin boards or electronic communication, the other authorized examiners of the responsible department no later than one week before the oral examination. <sup>2</sup>The examining committee in consultation with the candidate may grant members of the public permission to attend the oral examination, in which case the examination date will be posted on the bulletin board.
- (3) <sup>1</sup>As a rule, the oral examination is conducted in German. <sup>2</sup>At the candidate's request the oral examination will be conducted in English.

**§ 15****Oral examination, assessment of oral examination**

- (1) <sup>1</sup>Each candidate will be examined individually for approximately one hour. <sup>2</sup>Based on the dissertation topic, the examination will cover the broader discipline to which the dissertation is dedicated.
- (2) <sup>1</sup>The oral examination will be conducted by the examining committee. <sup>2</sup>The chair may allow questions of other authorized examiners. <sup>3</sup>The chair is to make sure that each examiner is allotted an adequate share of the examination time.
- (3) <sup>1</sup>The examiners record their grades on an assessment form pursuant to Appendix 1; the assessment is conducted in compliance with § 11 (2), clause 4. <sup>2</sup>Grades will be awarded only by examiners.
- (4) <sup>1</sup>If one of the grades awarded is “Not Passed” or in the event that the candidate fails to appear for the oral examination on grounds attributable to the candidate, the oral examination has been failed. <sup>2</sup>In this case § 16 (2), clause 2 will apply.

**E) Completion of examination****§ 16****Examination results**

- (1) <sup>1</sup>After completion of the oral examination the members of the examining committee will determine whether the examination has been passed and which denomination pursuant to § 17 (2) is to be awarded to the doctoral degree. <sup>2</sup>They may require the candidates to make modifications to their dissertation, if necessary. <sup>3</sup>These requirements must be recorded on the assessment form pursuant to Appendix 1 and a time limit must be set (three months maximum).
- (2) <sup>1</sup>Immediately following the examination, the chair of the examining committee will communicate the examination result to the candidate. <sup>2</sup>If the examination was failed, the candidate will receive a written notification, accompanied by a note on legal remedies (Appendix 7), stating the reasons why the examination was failed and the repeat options.
- (3) After completion of the doctoral examination process the candidate will have the opportunity to inspect the examination records within one year.

**§ 17****Assessment of doctoral program**

- (1) The date of conferral of the doctoral degree will be the date of successful completion of the oral examination.
- (2) <sup>1</sup>The overall grade for the doctoral program is calculated from the grades awarded by the examiners for the dissertation and the oral examination. <sup>2</sup>The denomination will be either “Passed” or “Not Passed”; the denomination “Passed with distinction” (summa cum laude) will be awarded only where consistently excellent grades were achieved for the dissertation

and the oral examination.

## § 18

### **Retention of examination and dissertation records**

- (1) <sup>1</sup>After successful completion of the doctoral examination process the examination records will be kept by the TUM examination office; one copy will be kept in the files of the responsible department. <sup>2</sup>The responsible department may request that any result-related documentation (for example, lab notebooks, equipment drawings, and measurement and performance data) remain with the department.
- (2) Where a candidate has irrevocably failed the doctoral program, the dissertation including the reports will be kept in the files of the TUM examination office; within the deadline stipulated in § 19 (1), it may not be resubmitted as dissertation to any other department.

### **F) Option to repeat failed parts of the doctoral program**

## § 19

- (1) Where a dissertation is rejected for the first time by TUM in accordance with § 11 (4) or § 13 (2) and the doctoral program is therefore failed, the candidate, within a deadline of two years from service of the rejection notice, may submit a new dissertation or a dissertation revised in compliance with the examining committee's consent pursuant to § 11 (4) through the examination office.
- (2) <sup>1</sup>If a candidate does not submit a revised or a new dissertation within the deadline set out in subsection (1), the doctoral program is deemed irrevocably failed. <sup>2</sup>The rights granted under § 3 (2) and § 6 (1) of the German Maternity Leave Act (*Mutterschutzgesetz*) and the provisions governing the granting of parental leave must be complied with.
- (3) <sup>1</sup>Where one of the grades awarded for the revised or new dissertation pursuant to § 11 (2) is "Not Passed" or where the dissertation is not accepted pursuant to § 13 (1), the doctoral program is deemed irrevocably failed. <sup>2</sup>In this case the candidate will receive a written notification, accompanied by a note on legal remedies, stating the grounds for the failure (Appendix 7).
- (4) <sup>1</sup>Where the dissertation submitted to TUM was graded at least as Passed by all examiners but the oral examination was failed, the candidate will only have to retake the oral examination. <sup>2</sup>The examination may be repeated only once, no earlier than three months and no later than one year after the failed oral examination. <sup>3</sup>If this deadline is not met, the candidate is no longer entitled to request that his/her dissertation be accepted and the doctoral program is considered irrevocably failed. <sup>4</sup>A second repetition of the oral examination is possible only in cases of hardship of which the chair of the examining committee must be informed in writing; the examining committee must decide by unanimous vote.

**G) Publication of dissertation****§ 20**

- (1) <sup>1</sup>After passing the oral examination, the candidate must make the authorized version of the dissertation available to the scholarly public by means of reproduction and dissemination. <sup>2</sup>The documents accepted for publication and published in print or electronic journals attached as appendix in compliance with § 6 (2), clause 3 will be exempt from the obligation to publish. <sup>3</sup>The candidate must submit the following documents free of charge to the TUM examination office:

six paper copies (DIN A 4 or DIN A 5, bound) and an electronic version, whose format and data medium must comply with the requirements of the TUM university library; the publication must contain an abstract in German and English language; the doctoral candidate will grant the TUM university library, the DDB (*Die Deutsche Bibliothek*) in Frankfurt, and the *Bayerische Staatsbibliothek* the right to publish the electronic version in data networks in perpetuity and to make it available to other data bases, and assures that the electronic version corresponds to the dissertation accepted by TUM; after the university library has processed the dissertation, the doctoral candidate is obligated to check the metadata and web version of his/her dissertation for completeness, accuracy and readability; the submission of files that do not meet the requirements as to format and data medium will not be recognized as a publication.

<sup>4</sup>The candidate shall grant TUM the right to produce and disseminate further copies of the dissertation. <sup>5</sup>The dissertation copies to be submitted must contain a title page as set out in Appendix 4. <sup>6</sup>The deadline for submission is one year, which may in special cases, in particular for reasons of data protection, be extended by the dean by up to one year.

**H) Joint supervision of the doctoral program together with a foreign university/academic department****§ 21****Requirements for joint supervision programs**

- (1) The joint supervision of a doctoral program with a foreign university/academic department requires that
1. an agreement for the joint supervision of the doctoral program has been entered into with the foreign university/academic department;
- or
- an individual collaboration agreement for a dual doctoral program has been entered into with the foreign university/academic department;
2. the agreement pursuant to (1) no. 1 is made in writing and signed by the dean and the president of the foreign university/academic department and the dean and president of TUM;
  3. a candidate has been admitted to doctoral candidacy both by TUM pursuant to §§ 2 through 5 and the foreign university/academic department.

- (2) <sup>1</sup>In accordance with the agreement delineated in (1) no. 1, the dissertation may be submitted to TUM or the foreign university/academic department. <sup>2</sup>Dissertations submitted to the foreign university/academic department that were accepted or rejected may not be resubmitted to TUM.
- (3) <sup>1</sup>If the dissertation is submitted to TUM, § 22 will apply. <sup>2</sup>If the dissertation is submitted to the foreign university/academic department, § 23 will apply.
- (4) In any publications and conference or congress papers arising out of jointly supervised dissertations both universities must be recognized as source.

## § 22

### **Submission to TUM**

<sup>1</sup>During the doctoral program, candidates will be supervised by a TUM authorized examiner pursuant to § 10 in compliance with § 6 (3) and a faculty member of the foreign university/academic department. <sup>2</sup>The chair of the examining committee, with equal representation of both universities, must be a professor of TUM. <sup>3</sup>The provisions of the Regulations for the Award of Doctoral Degrees (§§ 11-20) must be complied with. <sup>4</sup>The agreement referred to in § 21 (1) no. 1 must contain provisions on the conduct of the supervision.

## § 23

### **Submission to foreign university/academic department**

- (1) <sup>1</sup>Where the foreign university/academic department accepted the dissertation, the responsible department at TUM will, after submission of all necessary reports including the TUM supervisor's report, decide on the acceptance of the dissertation. <sup>2</sup>The dean will ensure that all other requirements of the agreement are complied with.
- (2) <sup>1</sup>If the dissertation is rejected by TUM, the joint program is considered terminated. <sup>2</sup>The rejected dissertation may not be resubmitted to TUM.
- (3) <sup>1</sup>If the foreign university/academic department rejects the dissertation, the joint program is considered terminated. <sup>2</sup>Subsection (2), clause 2 shall apply accordingly.

## § 24

### **Doctoral degree certificate**

- (1) After successful completion of the doctoral program under joint supervision with a foreign university/academic department, a joint doctoral degree certificate signed by both universities is issued, which states that the doctoral degree is jointly conferred by the universities in recognition of the candidate's scholarly achievements.
- (2) The agreement pursuant to § 21 (1) no. 1 will ensure that
  1. any foreign certificate issued in addition to the joint degree certificate mentions the joint doctoral program with TUM;
  2. the agreement contains the requirements set out in § 21 (4) hereinabove.

## I) Effective date of doctoral degree

### § 25

- (1) As verification of the award of the doctoral degree, the candidate will receive a preliminary certificate as indicated in Appendix 2 from the TUM examination office, provided the copies pursuant to § 20 have been submitted within the required deadline.
- (2) Prior to receipt of the certificate referred to in (1) the candidates have no right to use their doctoral degree.
- (3) <sup>1</sup>In addition, candidates will receive a German and English language certificate pursuant to Appendix 3a or 3b bearing the seal of TUM and the date of the completion of the doctoral degree pursuant to §17 (1). <sup>2</sup>Date and form of personal distribution will be determined by the responsible department. <sup>3</sup>An embossed certificate according to Appendix 3 c (DIN A3) will be available at extra cost.

## J) Honorary doctorate

### § 26

- (1) In recognition of outstanding scholarly, technical, medical, or artistic achievement, honorary doctorates (Dr.-Ing. E. h., Dr. rer. nat. h.c., Dr. rer. pol. h.c., Dr. oec. publ. h.c., Dr. phil. h.c., Dr. med. h.c., Dr. med. dent. h.c., Dr. med. sci. h.c., Dr. agr. h.c., Dr. rer. silv. h.c., Dr. rer. soc. h.c.) may, in rare cases, be awarded to individuals who are not currently employed by TUM.
- (2) <sup>1</sup>The award of an honorary doctorate requires a nomination stating why the nominee should be recognized, which must be adopted by at least one third of the professors of the responsible department. <sup>2</sup>The letter of nomination should indicate and recognize the scholarly, technical, medical, or artistic achievement on which the nomination is based. <sup>3</sup>The letter of nomination should demonstrate why the nominee's achievement is outstanding. <sup>4</sup>If available, evidence of the achievements should be included. <sup>5</sup>An honorary doctorate for achievements other than scholarly achievements (for example, patronage or sponsorship) is excluded.
- (3) <sup>1</sup>The dean will appoint a committee consisting of at least three professors who represent the nominee's discipline and will appoint from among the committee members a chair who must be a member of TUM. <sup>2</sup>The committee members will discuss whether or not the nominee's scholarly, technical, medical, or artistic achievement is outstanding and will, if necessary, solicit expert opinions.
- (4) <sup>1</sup>If the committee determines that the requirements for an honorary doctorate pursuant to subsection (1) have not been fulfilled, the nomination is rejected. <sup>2</sup>The same nomination cannot be submitted again at TUM. <sup>3</sup>If the committee approves the nomination, the dean, prior to the faculty council's resolution, will forward the letter of nomination and the committee report on which the nomination is based to the members of the faculty council.
- (5) The nomination is accepted if it is approved by the faculty council, the majority of the faculty council professors, the dean and the president; otherwise it is rejected and cannot be submitted again at TUM.
- (6) In cases where an academic department is not the responsible department according to

§ 1 (4), the entire scientific staff of the responsible department will carry out the duties of the faculty council.

- (7) The honorary degree certificate, in which the nominee's achievement is duly recognized, will be bestowed upon the nominee at an award ceremony.

## **K) Reconferment of doctoral degree certificate**

### **§ 27**

<sup>1</sup>On the occasion of the 50<sup>th</sup> anniversary of the awarding of a doctoral degree certificate, upon recommendation of the responsible academic department, the president may again confer the doctoral degree certificate ("golden doctorate award"). <sup>2</sup>Clause 1 will apply accordingly to the 25<sup>th</sup> anniversary ("silver doctorate award"). <sup>3</sup>The certificate will be conferred by the university at an award ceremony.

## **L) Invalidation of doctoral degree**

### **§ 28**

<sup>1</sup>If, prior to the award of the degree certificate, it is established that a candidate gained admission by misrepresentation, or practiced or attempted deceit, the responsible department must declare the doctoral program invalid and irrevocably failed. <sup>2</sup>This declaration must be notified to the president, who will communicate it to all German universities or other higher education institutions.

## **M) Revocation of doctoral degree**

### **§ 29**

<sup>1</sup>Revocation of the doctoral degree is subject to Art. 69 of the Bavarian Higher Education Act (*BayHSchG*). <sup>2</sup>The same shall apply to an honorary doctorate. <sup>3</sup>The president will communicate the revocation of the doctoral degree including the necessary details to all German universities.

## **N) Transitional provisions, final provisions**

### **§ 30**

- (1) <sup>1</sup>These Regulations for the Award of Doctoral Degrees shall enter into force on the day following their promulgation. §§ 3 to 6, §§ 10, 11, 15, and 17 shall apply to all candidates who enroll on the doctoral candidacy list pursuant to § 6 (8), clause 1 after the effective date of these Regulations. <sup>3</sup>Upon application to the academic department, the remaining candidates that are already enrolled on the doctoral candidacy list may decide to adopt the new Regulations. <sup>4</sup>The decision will be binding. <sup>5</sup>At the same time the Regulations for the Award of Doctoral Degrees of TUM of 1 August 2001, last amended 9 December 2011, shall, subject to sections 1 and, cease to be in effect.

- (2) Notwithstanding section (1), the regulations for Integrative Research Centers will apply from the effective date of § 1 (3) and (4) of the fifth amendment to the statutes (*Fünfte Satzung zur Änderung der Grundordnung*) of the Technische Universität München.
- (3) Notwithstanding § 1, the Center of Life and Food Sciences Weihenstephan will confer the degree “Dr. oec” for dissertation projects entered onto the doctoral candidacy list no later than 30 April 2003, and “Dr. oec. trop” entered no later than 31 December 2006.

**Appendix 1 page 1 [ad § 15 (3)]**

**DISSERTATION ASSESSMENT FORM**

**Doctoral Program of:** .....  
(first name) .....  
(last name) .....

**Date of acceptance:** .....

**Responsible department:** .....

**Topic:** .....

**Examining committee:**

Chair: .....

1<sup>st</sup> Examiner: .....

2<sup>nd</sup> Examiner: .....

3<sup>rd</sup> Examiner: .....

**Assessment of the Dissertation:**

<b>Examiner</b>	<b>Name</b>	<b>Date</b>	<b>Grade</b>
1 <sup>st</sup> Examiner:			
2 <sup>nd</sup> Examiner:			
3 <sup>rd</sup> Examiner:			

**Assessment of the Oral Examination**

<b>Examiner</b>	<b>Signatures</b>	<b>Date</b>	<b>Grade</b>
1 <sup>st</sup> Examiner:			
2 <sup>nd</sup> Examiner:			
3 <sup>rd</sup> Examiner:			

---

**Grade\*\* =** .....

\*\*) "Passed with high distinction (summa cum laude)\*\*\*", "Passed", "Not passed"

\*\*\*) The denomination "Passed with distinction" (summa cum laude) will be awarded only where consistently excellent grades were achieved for the dissertation and the oral examination.

## **Appendix 1 page 2**

The candidate has successfully completed the doctoral program pursuant to § 17 (2) of the Regulations for the Award of Doctoral Degrees; the designation \*) for the overall grade is

.....

### **Type of doctoral degree:**

.....

No \*\*\*\*) changes were required with regard to the publication of the dissertation pursuant to § 20.

Munich, ..... 20....

.....  
(Signature)  
Chair of the examining committee

---

\*) "Passed" or "Passed with high distinction" (summa cum laude)"

\*\*\*\*) Please delete if not applicable

## **Appendix 2**

### **PRELIMINARY DOCTORAL DEGREE CERTIFICATE**

Mr./Ms. ....  
(Name)

born in ..... on  
.....,

as part of his/her doctoral program

at the Technische Universität München

responsible department  
.....,

has demonstrated in his/her dissertation

.....  
.....  
.....

(title)

and the oral examination his/her ability to conduct independent scholarly research and has been awarded the designation

.....

The Technische Universität München confers upon him/her the degree of

Doktor ..... Dr. .... )  
(abbreviation)

Munich,  
(Date of delivery)

(Seal)

Head of the Examination Office  
of Technische Universität München

.....

## **Appendix 4**

### **Dissertation Title Page**

.....  
(name of responsible department)

.....  
.....  
(dissertation title)

.....  
(first name and surname)

Complete copy of the dissertation approved by responsible department of

.....  
of the Technische Universität München in partial fulfillment of the requirements for the degree of

Doktor .....

Chair: .....

Dissertation examiners:

1. ....
2. ....
3. ....

The dissertation was submitted to the Technische Universität München on .....  
and accepted by the responsible department of .....  
on .....

## **Appendix 5**

### **Affidavit**

I hereby declare that the dissertation titled

.....  
prepared under the guidance and supervision of

.....  
in/at .....

.....  
(academic department, institute, Lehrstuhl, clinic, hospital, department)

and submitted to the responsible department of

.....  
of TUM is my own, original work undertaken in partial fulfillment of the requirements for the doctoral degree. I have made no use of sources, materials or assistance other than those specified in § 6 (6) and (7), clause 2.

- I have not employed the services of an organization that provides dissertation supervisors in return for payment or that fulfills, in whole or in part, the obligations incumbent on me in connection with my dissertation.
- I have not submitted the dissertation, either in the present or a similar form, as part of another examination process.
- The complete dissertation was published in .....

The responsible department ..... has  
approved prior publication of the dissertation.

- I have not yet been awarded the desired doctoral degree nor have I failed the last possible attempt to obtain the desired degree in a previous doctoral program.
  - I have already applied for admission to a doctoral program at the academic department of .....
- at ..... (university)

by submitting a dissertation on the topic .....

.....  
with the result:

.....  
I am familiar with the publicly available Regulations for the Award of Doctoral Degrees of TUM, in particular § 28 (Invalidation of doctoral degree) and § 29 (Revocation of doctoral degree). I am aware of the consequences of filing a false affidavit.

- I agree
- I do not agree

that my personal data is stored in the TUM alumni database.

Munich, .....

.....  
Signature

## **Appendix 6**

### **Publication-based dissertation**

Publication-based dissertations will be accepted provided that the supervisor has given his/her written approval and the following requirements (2. through 5.) are met:

1. the dissertation must include an introductory and methodology section (20 pages); a discussion section across dissertation topics including a review of relevant literature;
2. the dissertation must include at least two first-author papers accepted for publication (full paper in an international, English language, peer-reviewed journal);
3. the candidate must be the first author of all publications included;
4. the dissertation must include a summary of each publication (one page), indicating the individual contributions of the candidate;
5. inclusion of selected original papers requires a separate letter of approval from each publisher. All other publications must be listed with a full publication citation for each. In the set of copies for the members of the examining committee all original papers must be included separately.

## **Appendix 7**

### **Legal Remedies**

**Within one month after announcement of the decision you may either file opposition to (see 1.) or directly take legal action against the decision (see 2.).**

#### **1. When filing an opposition:**

Opposition must be filed **in writing to or declared for the record of**

Technische Universität München,  
Hochschulreferat Studium und Lehre - Rechtsangelegenheiten  
Arcisstraße 21,  
80333 München.

Should a decision on the merits of the opposition not be made within a reasonable time limit without sufficient reason, an action may be brought before the Bayerisches Verwaltungsgericht [Bavarian Administrative Court] in Munich, postal address Postfach 20 05 43, 80005 München; street address Bayerstraße 30, 80335 München, in writing or declared for the record of the clerk's office of this court. The action may not be brought before expiration of a period of three months after the opposition has been filed unless a shorter time limit is required due to special grounds of the case. The action must state the claimant, the defendant (TUM) and the cause of action and should contain a specific claim. The facts and evidence substantiating the action should be stated and the decision against which the action is taken should be enclosed as original or counterpart. With the action and any briefs, copies should be enclosed for the other parties involved.

#### **2. When directly filing an action:**

The action may be filed to the

Bayerisches Verwaltungsgericht [Bavarian Administrative Court] in Munich,  
Postal address Postfach 20 05 43, 80005 München  
Street address Bayerstraße 30, 80335 München

in writing or declared for the record of the clerk's office of this court. The action must state the claimant, the defendant (TUM) and the cause of action and should contain a specific claim. The facts and evidence substantiating the action should be stated and the decision against which the action is taken should be enclosed as original or counterpart. With the action and any briefs, copies should be enclosed for the other parties involved.

#### **Note on Legal Remedies:**

- As a result of the *Gesetz zur Änderung des Gesetzes der Verwaltungsgerichtsordnung* of 22 June 2007 [act amending the law governing the execution of the Code of Administrative Court Procedure] (GVBl p. 390), facultative opposition proceedings in the field of [examination law/aptitude assessment] have been established to offer a choice between either filing opposition proceedings or directly filing an action.
- The filing of opposition proceedings or an action by e-mail is not admissible.
- By virtue of German federal law, a court fee advance must be paid for all actions before the administrative courts as of 1 July 2004.

## Appendix 8

### 1. Candidate's personal data

Surname		First name	
E-mail		Sex	
Place of birth		Date of birth	
Nationality			
Civil status			
Number of children		**If yes, age of children	
University entrance qualification	Type Location	Year	
Education	Academic 1 <sup>st</sup> degree	Type Degree program Subject University Location Overall grade	Year
	2 <sup>nd</sup> degree	...	
	3 <sup>rd</sup> degree	...	
Occupation	Vocational	If yes	Type Years

### 1. Dissertation working title

### 2. Information on doctoral project

Semester/initiation of doctoral candidacy	Year	
Voluntary enrolment as doctoral candidate		
Member of TUM Graduate School		
Academic department (of 1 <sup>st</sup> examiner)		
Field of research		
University of 2 <sup>nd</sup> examiner		
Do you pursue a joint doctorate?	If yes, university?	
Is the doctorate pursued a cooperative doctoral program?	If yes, university?	
Are you pursuing your dissertation research in a working group?	If yes, type of working group?	
Did you take a leave of absence from candidature?	If yes, why?	
Dissertation grant/scholarship, etc.?	If yes, from	
Employment/job during doctoral candidacy? if	If yes, with University/research institution ... Type of position ... Working hours External job Freelance	
**Is funding secured until completion of the doctoral program?	If yes, how many weekly hrs/semester?	
Do you teach courses while working on your dissertation?		yes      no
May we contact you by e-mail for information and/or surveys?		

\*Indicators based on official statistics

\*\*optional

Executed following a resolution of the Senate of the Technische Universität München of 15 February 2012 and approval of the president of the Technische Universität München of 9 March 2012.

Munich, 12 March 2012

Technische Universität München

Wolfgang A. Herrmann  
President

These Regulations were deposited at the Technische Universität München on 12 March 2012; the deposit was proclaimed by posting a notice on the TUM bulletin board on 12 March 2012. Day of proclamation shall therefore be 12 March 2012.