

# Dresden University of Technology

## Faculty of Medicine Carl Gustav Carus

### Doctorate Regulations pertaining to the academic degree of Ph.D.

dated 24th October 2014

*Please note, that the German version is the only legally binding text.*

Conformant with §§ 40 and 88 para. 1 nos. 2 and 13 and para. 4 sentence 1 of the Law on the Freedom of Universities and Colleges in the Free State of Saxony (Saxon University and College Freedom Law - SächsHSFG) of 10th December 2008 (Saxon Gazette of Laws and Ordinances, p. 900) in the version promulgated on 15th January 2013, the Faculty Council of the Faculty of Medicine Carl Gustav Carus of the Dresden University of Technology has passed the Doctorate Regulations below as statutes.

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#### Annexes

Where masculine titles, functions or pronouns are used in these regulations, they shall be considered to apply equally to both male and female persons.

**§ 1**  
**Scope of validity**

These regulations govern the conducting of doctorate proceedings leading to the academic degree of Doctor of Philosophy (Ph.D.) at the Faculty of Medicine Carl Gustav Carus.

**§ 2**  
**Doctorate degrees**

On behalf of the Dresden University of Technology and on the basis of proper doctorate proceedings, the Faculty of Medicine Carl Gustav Carus confers the academic degree of

Doctor of Philosophy  
(Ph.D.)

Prerequisite for conferment of the academic degree of Ph.D. is completion of a designated doctorate study programme involving either the faculty as a whole or else individual lecturers of the faculty in accordance with the applicable study programme documents.

**§ 3**  
**Doctorate proceedings**

- (1) Completion of the doctorate proceedings serves to demonstrate both a particular ability to work independently in accordance with scientific methods and scientific knowledge beyond that of general university study in the field of the life sciences and their closely related disciplines.
- (2) Proof is furnished by way of a thesis in accordance with § 10 and appropriate oral examinations in accordance with § 11 and § 12.

**§ 4**  
**Bodies involved in doctorate proceedings**

- (1) The body responsible for doctorate proceedings is the Faculty Council. To this end, the Faculty Council appoints a Doctorate Committee as its permanent representative body. The committee is chaired by the dean or by a university lecturer proposed by the dean, at least three further lecturers and three further scientists of the faculty staff holding a qualification equivalent to an habilitation, for example adjunct professors, Heisenberg fellows or TUD Young Investigators. The Faculty Council appoints the members of the Doctorate Committee for a term of three years on the basis of a proposal made by the vice-dean for research. Appointment for a further term of office is possible.
- (2) Upon the opening of specific doctorate proceedings leading to the academic degree of Ph.D., the Doctorate Committee appoints a Doctorate Commission to perform the tasks assigned to it by these regulations, nominates a chairman and appoints the assessors. The Doctorate Commission comprises at least five members, who must include the assessors. The chairman of the Doctorate Commission must be a university lecturer; the appointments to assessor are subject to § 10 para. 7. The members appointed to the Doctorate Commission should normally be university lecturers of the faculty. The appointment of members of the faculty staff holding an habilitation or equivalent qualification, for example adjunct professors, Heisenberg fellows or TUD Young Investigators, or likewise of university lecturers or other qualified persons from outside the faculty, is permissible in

exceptional cases, especially where the chosen topic necessitates. In the case of cooperative doctorate proceedings with a university of applied sciences (Fachhochschule), one member of the Doctorate Commission must be a lecturer of the university of applied sciences concerned.

- (3) The meetings of the Doctorate Committee and the Doctorate Commissions are not public. Their members are required to maintain confidentiality. Decisions of the Doctorate Committee and the Doctorate Commissions can only be passed if the chairman is present. The majority rules applicable for the passing of decisions are laid down in the stipulations of the Saxon University and College Freedom Law and the provisions regarding university committees in the Constitution of the Dresden University of Technology. Records are to be kept of all meetings and resolutions in matters pertaining to doctorate proceedings.

## **§ 5**

### **General procedural rules and appeals procedure**

- (1) The decisions of bodies responsible for elements of the doctorate proceedings are communicated to the candidate in writing. Negative decisions are announced by the chairman of the responsible body by way of a legally effective notice, which must contain the grounds for the decision and advice on available means of legal redress.
- (2) A formal appeal may be entered against any decisions with the character of administrative acts taken in the course of the doctorate proceedings. The body to which appeals must be directed is the Faculty Council. Decisions with the character of administrative acts in the course of the doctorate proceedings include, in particular:
  1. the rejection of an application for admission for a doctorate and acceptance as a doctorate candidate or the withdrawal of such acceptance,
  2. a decision not to open doctorate proceedings,
  3. the rejection of a thesis,
  4. the assessment of performances in the course of the doctorate proceedings,
  5. the rejection of an application to repeat components of the proceedings,
  6. the (premature) termination of doctorate proceedings without a result, and
  7. a decision not to award the doctorate degree.
- (3) The candidate may apply to inspect his/her doctorate file after completion of the doctorate proceedings.

## **§ 6**

### **Admission for a doctorate**

- (1) Admission for a doctorate is granted to applicants who
  1. have obtained a certificate of state examination or else a Diplom, Master or Magister degree from a university, in each case with at least the grade "good", in a course deemed suitable as a basis for scientific work in the field of the life sciences and their closely related disciplines,
  2. satisfy the personal prerequisites for use of the academic title of a doctor,
  3. have not already twice failed to complete doctorate proceedings successfully and are not currently engaged in such proceedings, and

4. have submitted an application for acceptance as a doctorate candidate together with all necessary documents in accordance with § 8.
- (2) Admission to doctorate proceedings is furthermore granted to applicants who have obtained a Bachelor degree and have successfully completed aptitude assessment in accordance with § 7. The stipulations of Para. 1 nos. 2 to 4 apply accordingly.
  - (3) Graduates of a university of applied sciences may be granted admission by way of a cooperative procedure.
  - (4) Admission for a doctorate is not granted to applicants who
    1. do not satisfy the requirements of Paras. 1 and 2,
    2. have engaged or engage the paid services of an agent to gain knowledge of opportunities to obtain a doctorate,
    3. in connection with the doctorate proceedings and preparations for such proceedings, pay fees or make use of free services contrary to the intentions and purpose of an examination procedure,
    4. in connection with the doctorate proceedings and preparations for such proceedings, have provided or provide paid services contrary to the intentions and purpose of an examination procedure.
  - (5) Decisions regarding recognition of the equivalence of foreign examinations and study qualifications are made by the Doctorate Committee, taking into account any equivalence treaties. In case of doubt, a statements is to be obtained from the Saxon State Ministry for Science and Art. In cases in which applicants have been permitted to use an academic degree obtained abroad in the form of a German degree entitling the holder to admission for a doctorate, this degree is to be recognised as equivalent.
  - (6) The decision on admission is announced within the framework of the decision on acceptance as a doctorate candidate in accordance with § 8.

## **§ 7 Aptitude assessment**

- (1) Applicants who, according to the stipulations of these regulations, can only be admitted for a doctorate on the basis of a positive aptitude assessment in accordance with § 6 must complete a three-month placement in the institute or clinic of the Faculty of Medicine Carl Gustav Carus at which they intend to seek the doctorate. A professor of the faculty acts as mentor during this period. At the end of the placement, the mentor gives a written assessment of the applicant's suitability as a doctorate candidate and presents his opinion to the Doctorate Committee. The applicant must furthermore produce a written paper on the current state of research in the field of the planned doctorate project, specifying the relevant literature and his working hypotheses (project outline). This forms the basis for a structured interview with the applicant before the Doctorate Committee. The Doctorate Committee reaches a decision on the aptitude of the candidate on the basis of the opinion presented by the mentor, the submitted project outline and the interview. Due consideration is here also to be given to the suitability of the studies already accomplished by the applicant as a foundation for treatment of the doctorate topic.
- (2) Written assessment by a mentor and the presentation of a project outline can be waived if the applicant furnishes proof of acceptance into a graduate school recognised as suitable by the Faculty of Medicine Carl Gustav Carus.

## § 8

### Acceptance as a doctorate candidate

- (1) A graduate who meets the prerequisites for admission in accordance with § 6 and intends to seek a doctorate from the Faculty of Medicine Carl Gustav Carus must apply for acceptance as a doctorate candidate before commencing work on the doctorate project. The application for acceptance as a doctorate candidate constitutes expression of the applicant's undertaking towards the faculty to complete doctorate proceedings there.
- (2) The application is to be addressed in writing to the chairman of the Doctorate Committee and must be accompanied by:
  1. notification of the intended subject of the thesis,
  2. the written declaration of a university lecturer or professor or equivalently qualified member of staff or a TUD Young Investigator of the Faculty of Medicine Carl Gustav Carus prepared to act as scientific supervisor for the candidate during elaboration of the thesis (and in the case of cooperative doctorate proceedings additionally a corresponding declaration of the academic supervisor of the cooperating institution),
  3. proof of fulfilment of the prerequisites for admission specified in § 6,
  4. a personal data sheet in chronological tabular form signed by the candidate and indicating the candidate's scientific background,
  5. a written declaration to the effect that these Doctorate Regulations are recognised,
  6. a written declaration that an application has been submitted to the appropriate registration authorities for a certificate of good conduct in accordance with § 30 para. 5 of the Federal Central Registry Act (BZRG) to be sent to the faculty, and
  7. a declaration containing the statements specified in Annex 2 to these Doctorate Regulations.
- (3) The Doctorate Committee passes a decision on acceptance or rejection as a doctorate candidate. Acceptance as a doctorate candidate is to be rejected if the qualification prerequisites in accordance with § 6 are not met. Acceptance as a doctorate candidate is likewise to be rejected if the applicant does not satisfy the personal prerequisites for later use of the academic title. The decision is also to take into consideration the contents of the certificate of good conduct obtained in accordance with Para. 2 no. 6. Acceptance may be made dependent on the fulfilment of certain further prerequisites, for example additional study achievements or additional examinations (so-called doctorate studies). In the case of doctorate proceedings leading to the academic degree of Ph.D. on the basis of a study course in medicine or dentistry, they must be furnished within the framework of a graduate school or a structured doctorate programme (Ph.D. programme). The details of the requirements are specified in consultation with the scientific supervisor. The purpose of the prerequisites is to advance specialist knowledge in the subject of the doctorate project and to promote the doctorate candidate's qualification to conduct independent research. Particular consideration is thus to be given to subject areas which have not been covered or else covered only to a minor extent by the candidate's scientific qualifications to date. In case of acceptance, the candidate's name is added to the list of doctorate candidates maintained by the faculty. A corresponding academic relationship is thus established between the faculty and the candidate; the applicant acquires the status of a doctorate candidate.

Following acceptance as a doctorate candidate, the candidate must acknowledge the obligation to observe the “Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations”.

- (4) The doctorate candidate is supervised by a university lecturer of the Faculty of Medicine Carl Gustav Carus or by a professor or other scientist holding a qualification equivalent to an habilitation or by a TUD Young Investigator (scientific supervisor). A supervision agreement based on the recommendations of the DFG and the Graduate Academy of the Dresden University of Technology is to be concluded between the scientific supervisor and the candidate.
- (5) The acceptance as a doctorate candidate may be withdrawn if the progress of the thesis or the results obtained to date at the given time give reason to doubt successful completion of the doctorate proceedings. In such cases, the supervisor must provide a written assessment to this effect. The candidate is to be heard before the withdrawal of acceptance. The candidate himself is also entitled to notify the dean of the faculty in writing that he no longer intends to complete doctorate proceedings. In all the aforementioned cases, the academic relationship with the faculty is terminated and the doctorate proceedings are deemed to have been unsuccessful. The candidate's name is removed from the list of doctorate candidates.
- (6) Acceptance as a doctorate candidate is an imperative prerequisite for the opening of doctorate proceedings.

## **§ 9**

### **Opening of doctorate proceedings**

- (1) Doctorate proceedings are opened on the basis of a formal application submitted by the candidate. The application for the opening of doctorate proceedings is to be addressed in writing to the chairman of the Doctorate Committee of the faculty. The application must be accompanied by:
  1. a personal data sheet in chronological tabular form signed by the candidate, indicating the candidate's scientific background,
  2. the notice of acceptance as a doctorate candidate in accordance with § 8 and documented proof of fulfilment of any prerequisites stipulated therein in officially authenticated form,
  3. two bound copies of the thesis in the English language (one of which is to include a summary in both the German and English languages, as specified under Point 4 below) and an electronic version on a suitable data carrier (CD); a further copy of the thesis is to be presented personally to the scientific supervisor,
  4. five printed copies of a summary of the thesis in the German and English languages (each max. 1,000 words),
  5. a list of the candidate's scientific publications, conference papers and other similar achievements; publications resulting from the work on the thesis are to be marked accordingly,
  6. written declarations by the candidate in accordance with the specimens enclosed as Annexes 1 and 2 to these regulations, and

7. a written declaration that an application has been submitted to the appropriate registration authorities for a certificate of good conduct in accordance with § 30 para. 5 of the Federal Central Registry Act to be sent to the faculty.

Proposals for the assessors to be appointed and for the subject areas to be examined in the rigorosum are to be enclosed with the application, albeit without claim to consideration in the final decision. Documents which were already part of the application for acceptance as a doctorate candidate in accordance with § 8 and do not require changes can already be recognised as valid for the opening of doctorate proceedings.

- (2) The candidate is permitted to withdraw the application for opening of doctorate proceedings, provided the proceedings have not yet been opened. In this case, the application is deemed not to have been submitted. If the candidate gives notice that he no longer wishes to continue doctorate proceedings which have already been opened, this results in termination of the doctorate proceedings and is treated as an unsuccessful attempt. In cases in which an application is withdrawn, whether before or after the opening of doctorate proceedings, the electronic version of the thesis remains in the records of the proceedings to date. The bound copies are returned to the candidate.
- (3) The Doctorate Committee decides on the opening of doctorate proceedings. The opening of doctorate proceedings is to be rejected if the candidate has not yet furnished proof of fulfilment of the prerequisites for acceptance as a candidate. The opening of doctorate proceedings is furthermore to be rejected if the candidate no longer meets the personal prerequisites for later use of the academic title. The decision is to take into consideration the contents of the certificate of good conduct obtained in accordance with Para. 1 no. 7. The opening of doctorate proceedings is likewise to be rejected, finally, if reasons are known which would furthermore lead to withdrawal of the academic title. If doctorate proceedings are not opened on grounds as specified in sentences 3 to 5 above, then § 17 shall apply. The notification of the opening of doctorate proceedings at the same time informs the candidate as to the members of the Doctorate Commission and the appointed assessors.
- (4) After opening the doctorate proceedings, the chairman of the Doctorate Committee transfers further responsibility for the proceedings to the Doctorate Commission.

## **§ 10** **The thesis**

- (1) The thesis is to provide proof of the ability to conduct independent scientific work. It should represent a significant contribution to research work in the field of the life sciences and their closely related disciplines and must contain new scientific findings.
- (2) The thesis is generally the self-contained individual work of one candidate. It may also be a product of joint research work. A scientific paper produced by several authors may be accepted as a thesis in exceptional cases, provided the individual contribution of the candidate can be clearly identified and separately assessed. Questions regarding authorship are to be resolved in accordance with the "Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations".
- (3) The thesis may also be furnished in the form of a series of scientific articles (cumulative thesis). In such cases, at least two thematically related articles must be submitted. The doctorate candidate must be named as the lead author. The thematic coherence of the articles is to be demonstrated by the candidate by way of introduction and discussion in a

separate written paper, which then forms the thesis in conjunction with the submitted articles. The articles must have been published in (a) leading international journal(s) of the field. The relevance of journals is determined on the basis of the current Impact Factor ranking according to the Journal Citation Report® in the ISI Web of Knowledge<sup>SM</sup> for the field concerned. The journal(s) should be found among the top half of the journals in the field concerned (“Subject Category”) according to the current Journal Citation Report®. Co-authorship is also permissible in the case of a cumulative thesis, if the candidate is the sole lead author of the articles and his individual doctorate performance can be clearly identified and separately assessed. Questions regarding authorship are to be resolved in accordance with the “Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations”.

- (4) A summary comprising a maximum of 1,000 words in each of the German and English languages is to be attached to the thesis. This summary is to be structured into paragraphs presenting the background, the problem/hypothesis, materials and methods, results and conclusion(s).
- (5) The thesis must include a declaration corresponding to Annex 2 to these regulations to document the observance of current legal requirements pertaining to the approval of clinical studies (Ethics Commission opinion), the stipulations of animal welfare legislation, the stipulations of genetic engineering legislation and observance of general data privacy rules.
- (6) The thesis is to be written in the English language. The source material and any other aids used in producing the thesis must be specified in full. Papers produced in connection with earlier examinations or graduations may not be used as theses. Prior publication of partial results of the thesis requires the written approval of the supervisor.
- (7) The thesis is assessed by two assessors qualified in respect of the scientific issues addressed by the thesis. In exceptional cases justified by important grounds, the Doctorate Committee may decide to involve a third assessor. The first assessor is to be an appointed professor of the Faculty of Medicine Carl Gustav Carus. The second (and, where appropriate, third) assessor may be a university lecturer or a scientist holding a qualification equivalent to an habilitation, for example an adjunct professor, Heisenberg fellow or TUD Young Investigator. The second assessor must not be a member of the same institute or clinic as the first assessor. One assessor must not be an author of joint publications together with the doctorate candidate. The second assessor is to be appointed from a subject area complementary to the topic of the thesis. The chairman of the Doctorate Commission cannot be appointed as an assessor.
- (8) The assessors recommend the Doctorate Commission to accept or reject the paper as a thesis in a personal and independent expertise. If an expertise recommends acceptance, then the assessor is to award the thesis one of the grades:

summa cum laude	= with distinction = an extraordinarily good performance (1.0)
magna cum laude	= very good = a particularly commendable performance (1.1 to 1.4)
cum laude	= good = an above-average performance (1.5 to 2.4)
rite	= sufficient = a performance meeting average demands (2.5 to 3.0)
non sufficit	= not sufficient = an inadequate performance (3.1 and higher)



Standardised criteria for assessment of the thesis are provided in Annex 3 to these regulations. The expertises should be communicated to the chairman of the Doctorate Commission within eight weeks. If submission of the expertise is delayed unduly despite repeated reminders, then the Doctorate Committee may withdraw the appointment of the original assessor and appoint a new assessor. Each expertise is to contain a statement on compliance with the “Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations” and, where the thesis contains experimental or empirical results, statements on the acquisition and quality of the data.

- (9) If an assessor recommends that the thesis be returned to the candidate for amendment or revision, then a decision in this respect is made by the Doctorate Commission. If no agreement can be reached on the matter by the Doctorate Commission, then a further university lecturer appointed at the proposal of the Doctorate Committee is to be consulted as an assessor. The Doctorate Commission may set a reasonable deadline of up to six months for renewed submission of the revised thesis. A returned thesis may only be re-submitted once. When the revised thesis is submitted, the assessors are to be asked to provide new expertises or else to amend their previous expertises accordingly.
- (10) After all expertises have been received, the thesis is presented for inspection in the faculty dean's office for a period of two weeks and this presentation is announced. University lecturers, professors and other members of the faculty staff holding a qualification equivalent to an habilitation, for example adjunct professors, Heisenberg fellows or TUD Young Investigators, are entitled to inspect the thesis and to view the expertises, without the grade recommendations, and may give their personal vote for or against acceptance of the thesis by submitting a written opinion with grounds to the dean or to chairman of the Doctorate Commission within the period of presentation. The members of the Faculty Council, the Doctorate Committee and the Doctorate Commission are also entitled to view the grade recommendations.
- (11) At the end of the inspection period, the Doctorate Commission makes a decision on acceptance or rejection of the thesis on the basis of the expertises and received opinions. In the case of acceptance, the Doctorate Commission at the same time makes a decision on the final evaluation of the thesis by awarding one of the grades specified in Para. 8. If the thesis is rejected and thus awarded the grade “not sufficient (non sufficit)”, the doctorate proceedings are terminated; the provisions of § 14 para. 1 then apply. The electronic copy of the rejected thesis remains in the records of the doctorate proceedings together with the expertises; the remaining copies are returned to the candidate.

## **§ 11**

### **The rigorosum**

- (1) In the case of doctorate proceedings leading to the academic degree of Ph.D., a rigorosum is to be held. By way of the rigorosum, the candidate must furnish proof of an adequate level of knowledge in the whole field in which the doctorate is sought. The rigorosum must not address the topic of the thesis.
- (2) The rigorosum is a non-public oral examination in the subject area in which the thesis was written (main subject) and in a minor subject to be proposed by the candidate and confirmed by the Doctorate Commission. It is to be held in the English language. The oral examination lasts at least 40 minutes, but should not exceed 60 minutes. Two-thirds of the examination time is to be allocated to the main subject.

- (3) The rigorosum is conducted by the Doctorate Commission, an examiner for the main subject and an examiner for the minor subject, and is chaired by the chairman of the Doctorate Commission. The examiners are appointed by the Doctorate Commission.
- (4) The chairman of the Doctorate Commission sets the date for the rigorosum in consultation with the examiners, as soon as the expertises on the thesis are received and provided both assessors recommend its acceptance; the doctorate candidate is notified accordingly by way of a written invitation at least two weeks in advance. At the same time, the chairman issues invitations to the members of the Doctorate Commission.
- (5) Immediately following the rigorosum, the examiners and the members of the Doctorate Commission discuss the result of the examination in a closed meeting. The candidate's performances in the main and minor subjects are assessed by awarding grades in accordance with § 10 para. 8. The overall grade is determined as a weighted average of the grades awarded for the main and minor subjects  $[(2 \times \text{main subject grade} + 1 \times \text{minor subject grade}) / 3]$ , calculated to one decimal place]. If the rigorosum is not passed, the grade "not sufficient (non sufficit)" is to be awarded; the provisions of § 14 para. 2 then apply. The examiner for the main subject informs the candidate regarding the overall grade awarded for the rigorosum immediately at the end of the meeting.
- (6) The essential course of the rigorosum is to be recorded by a recorder appointed by the examiner for the main subject, usually a member of the staff of the Faculty of Medicine Carl Gustav Carus holding a doctorate. The record is to be signed by the recorder and the examiner for the main subject and placed in the records of the doctorate proceedings.
- (7) Courses offered within the framework of structured graduate study programmes may be recognised as substitutes for the rigorosum provided they are completed with a final examination. To this end, separate certificates signed by the person responsible for the course and containing assessment grades awarded in accordance with § 10 Para. 8 in two thematically distinct subjects are to be presented to the Doctorate Commission when applying for the opening of doctorate proceedings in accordance with § 9.

## **§ 12 The defence**

- (1) Following acceptance of the thesis and successful completion of the rigorosum, the candidate must present the study results achieved by way of the thesis in a public lecture, and in a subsequent scientific discussion respond to questions from the auditorium in defence of those results. The lecture given by the doctorate candidate should not last more than 30 minutes; the defence should not exceed 30 minutes. The lecture is to be presented without notes in the English language.
- (2) The chairman of the Doctorate Commission sets the date for the defence after acceptance of the thesis and notifies the doctorate candidate by way of a corresponding invitation in written form at least two weeks in advance. At the same time, the chairman of the Doctorate Commission issues invitations to the members of the Doctorate Commission and announces the date of the defence publicly.
- (3) The defence is chaired by the chairman of the Doctorate Commission. It is to be conducted in the English language. All those present during the scientific discussion are entitled to ask questions. The chairman of the Doctorate Commission may reject questions which do not address the scientific subject of the thesis or the specialisation of the doctorate candidate within the field of the life sciences and their closely related disciplines.

- (4) Immediately following the defence, the Doctorate Commission decides whether the candidate has passed and evaluates the performance by awarding one of the grades specified in § 10 para. 8. If the defence is not passed, the grade “not sufficient (non sufficit)” is to be awarded; the provisions of § 14 para. 3 then apply.
- (5) The essential course of the defence is to be recorded by a recorder appointed by the chairman of the Doctorate Commission; the record of the defence is to be signed by the recorder and the chairman of the Doctorate Commission and placed in the records of the doctorate proceedings.

### **§ 13** **Overall grade**

- (1) If the thesis, the rigorosum and the defence are passed, the Doctorate Commission determines the overall grade to be awarded in the doctorate proceedings as soon as possible after the defence.
- (2) The overall grade is determined as follows:  $(a + b + c + d) / 4$ , where “a” stands for the grade awarded by the first assessor, “b” for the grade awarded by the further assessor, “c” for the grade awarded for the defence and “d” for the grade awarded for the rigorosum. Where three expertises are presented, the average grade awarded in the three expertises is multiplied by the factor 2 and the overall grade is then calculated with  $(a + c + d) / 4$ , where “a” now stands for the doubled average of all expertise grades. The overall grade is to be expressed in one of the terms specified in § 10 para. 8. If the thesis, the defence and the rigorosum have all been awarded the grade “summa cum laude” by all the assessors, then an overall grade of “with distinction (summa cum laude)” may be awarded. A further prerequisite for awarding of the overall grade “with distinction (summa cum laude)” is publication of a paper in which the candidate is named as sole or equal-ranking lead author.
- (3) The successful completion of the doctorate proceedings is to be announced to the public.

### **§ 14** **Repetition of components not passed**

- (1) If the doctorate proceedings are terminated in accordance with § 10 para. 11 sentence 3 following rejection of the thesis, then the candidate is permitted to request a further attempt to obtain a doctorate. To this end, but at the earliest after a period of six months, he may submit a new application for the opening of doctorate proceedings in accordance with § 9. The application is to be accompanied by either a new thesis or a fundamentally revised version of the original paper on the same topic. If new doctorate proceedings are opened, the Doctorate Commission appointed for the original proceedings is to be reappointed. If the second doctorate proceedings are also terminated unsuccessfully, no further applications for doctorate proceedings at the faculty are permitted.
- (2) If the rigorosum is not passed, it may be repeated once within a period of 12 months, but at the earliest after six months. The doctorate candidate must submit a corresponding application to the Doctorate Commission in writing within a period of four weeks. If the repeated rigorosum is not passed or held within the specified period, then the doctorate proceedings are terminated.
- (3) If the defence is not passed, the candidate may apply once to repeat the defence as part of the same doctorate proceedings within a period of 12 months, but at the earliest after three months. If the repeated defence is not passed or held within the specified period, then the doctorate proceedings are terminated.

**§ 15**  
**Publication of the thesis**

- (1) The candidate is required, within a period of three months after successful defence, to make the thesis accessible to the academic public in an appropriate manner by way of reproduction and presentation, free of charge, to the medical section of the Saxon State Library – State and University Library Dresden (SLUB). Subject to agreement with the supervisor, the doctorate candidate must either present five printed and bound copies of the thesis to the university library or else publish his work online via the university library's document server (Qucosa; <http://www.qucosa.de>). Online publication requires the consent of both the candidate and the supervisor and must not endanger any other publication submissions, patent applications or similar procedures.
- (2) The university library confirms presentation of the printed or electronic thesis or copies of the relevant publication(s) to the dean of the Faculty of Medicine Carl Gustav Carus.
- (3) In exceptional cases, which are to be justified specifically, the Doctorate Committee may grant an extension of the delivery deadline upon application by the candidate. If the deadline is exceeded culpably, then all rights acquired through performances during the doctorate proceedings are nullified and the doctorate proceedings are terminated without the awarding of the doctorate degree. The chairman of the Doctorate Committee is to notify the candidate accordingly in writing.

**§ 16**  
**Conclusion of the doctorate proceedings**

- (1) In case of a positive outcome of the doctorate proceedings, the chairman of the Doctorate Commission issues a recommendation to the Doctorate Committee to award the academic degree of Ph.D. The Doctorate Committee provides for execution of a doctorate certificate in the English and German languages and removes the candidate's name from the list of doctorate candidates.
- (2) The certificate contains not only the name, first name(s), academic title, date of birth and place of birth of the successful candidate, but also the title of the thesis, the academic degree awarded and the overall grade. It is executed on the date of the successful defence and bears the signatures of the rector and the dean of the faculty, alongside the seal of the Dresden University of Technology.
- (3) The dean of the faculty hands the certificate over to the candidate in a manner worthy of the occasion, as soon as confirmation of the delivery of the presentation copies in accordance with § 15 is received by the Doctorate Committee. This act concludes the doctorate proceedings. The conclusion of the proceedings is to be announced to the faculty public.
- (4) Following conclusion of the doctorate proceedings, the candidate becomes entitled to use the academic title conferred by way of the doctorate certificate.

**§ 17**  
**Premature termination of the doctorate proceedings**

- (1) The doctorate proceedings may be terminated and deemed to have been unsuccessful at any time after the decision on acceptance as a doctorate candidate if grounds become known which exclude the awarding of the academic degree. This applies in particular to deception in connection with proof of the qualifications required for admission or in

connection with actual doctorate performances, and to circumstances which affect the personal prerequisites for the candidate's use of the doctor title. In case of premature termination of the doctorate proceedings, all legal rights and entitlements which the candidate has acquired during the doctorate proceedings so far are nullified. His name is furthermore to be removed from the list of doctorate candidates. Decisions on termination of the doctorate proceedings are taken by the Doctorate Committee according to its best judgement.

- (2) The candidate is to be heard before premature termination of the doctorate proceedings. In cases of suspected scientific misconduct, the procedure shall be governed by the stipulations of the "Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations".

### **§ 18**

#### **Withdrawal of the academic title**

- (1) The doctor title is to be withdrawn if the candidate is found to have deceived the relevant bodies in connection with proof of the qualifications required for admission or in connection with actual doctorate performances and furthermore should circumstances become known which would have excluded the awarding of the doctorate degree. Decisions in this respect are taken by the Doctorate Committee.
- (2) If it is found that the academic qualifications for admission to doctorate proceedings were not met, without there having been any intention to deceive on the part of the candidate, and if this fact does not become known until after awarding of the academic degree, then the successful completion of the doctorate proceedings is deemed to have remedied this defect.
- (3) In cases of suspected scientific misconduct, the procedure shall be governed by the stipulations of the "Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations".

### **§ 19**

#### **Structured doctorate programmes and joint international doctorate proceedings**

The doctorate proceedings may be conducted within the framework of a structured doctorate programme or joint international proceedings, insofar as the Faculty of Medicine Carl Gustav Carus or individual university lecturers or other scientists of the faculty staff holding a qualification equivalent to an habilitation, for example adjunct professors, Heisenberg fellows or TUD Young Investigators, are involved. Appropriate supplementary provisions may be stipulated for such cases. It is furthermore to be ensured that the doctorate candidate obtains and furnishes proof of the qualifications demanded by these doctorate regulations. In case of doubt, the Doctorate Committee passes a decision on equivalence. In the case of joint international doctorate proceedings, the first assessor for the thesis must be a university lecturer of the Faculty of Medicine Carl Gustav Carus.

### **§ 20**

#### **Honorary doctorate**

- (1) An honorary doctorate title may be awarded to honour persons who have earned particular merits in respect of science, technology, culture and art in a field of science in accordance

with § 3 para. 1 and are furthermore linked in special manner with the faculty. The person to be honoured must not be active full-time at the Dresden University of Technology.

- (2) A proposal to confer an honorary doctorate may be submitted to the Faculty Council by at least two professors of the faculty, specifying sufficient grounds. A Doctorate Commission appointed by the Faculty Council, whose members may not include the persons submitting the proposal, examines the merits of the person to be honoured, obtains at least two further external expertises and recommends a decision to the Faculty Council.
- (3) The Faculty Council reaches a decision on the proposal by secret ballot.
- (4) The decision of the Faculty Council regarding conferment of an honorary doctorate is to be confirmed by the University Senate.
- (5) The honorary doctorate is to be conferred in a manner worthy of the occasion by handing over a certificate signed by the rector and the dean. The certificate is to contain a brief summary of the grounds for the conferment and the merits of the recipient. The honorary doctorate is to be conferred by the rector. The rector may delegate this right to the dean of the faculty.
- (6) The conferring of an honorary doctorate is to be notified to the Saxon State Minister for Science and Art.

## **§ 21**

### **Effective date and transitional provisions**

- (1) These regulations come into effect one day after publication in the Official Gazette of the Dresden University of Technology. After this date, the previous Doctorate Regulations of the Faculty of Medicine Carl Gustav Carus dated 24th July 2011 are deemed no longer effective insofar as they apply to the academic degree of Ph.D.
- (2) All doctorate proceedings leading to the academic degree of Ph.D. which are opened after the aforementioned effective date are to be conducted on the basis of these regulations. Decisions on acceptance as a doctorate candidate which are reached before the effective date of these regulations remain valid; the subsequent proceedings, however, are subject to the provisions of these regulations. Doctorate proceedings already opened at the time at which these regulations come into effect are to be completed on the basis of the provisions of the Doctorate Regulations of the Faculty of Medicine Carl Gustav Carus dated 24th July 2011. Executed on the basis of the resolutions of the Faculty Council of the Faculty of Medicine Carl Gustav Carus of 17th September 2014 and the approval of the Rector's Office of 7th October 2014.

Dresden, 24th October 2014

The Rector  
of the Dresden University of Technology

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

## Annex 1

### Statements for the opening of doctorate proceedings

1. I herewith declare that I have produced this paper without the prohibited assistance of third parties and without making use of aids other than those specified; notions taken over directly or indirectly from other sources have been identified as such. I declare furthermore that I have observed the "Guidelines on the safeguarding of good scientific practice, the prevention of scientific misconduct and the handling of violations" of the Dresden University of Technology.
2. I received assistance from the following persons in conjunction with the selection and evaluation of materials and creation of the manuscript:  
.....
3. No further persons were involved in the intellectual creation of the presented work. I have in particular not taken recourse to the assistance of a commercial doctorate advisor. No third parties have received remuneration or payment in kind from me, neither directly nor indirectly, for work in connection with the contents of the presented thesis.
4. This paper has not previously been presented in identical or similar form to any other German or foreign examination board.
5. Contents of this thesis have been published in the following form:  
.....
6. I confirm that I have not previously failed to complete doctorate proceedings successfully.
7. I confirm that I accept the Doctorate Regulations of the Faculty of Medicine Carl Gustav Carus of the Dresden University of Technology.
8. I have observed and complied with the Referencing Guide for Doctorate Theses of the Faculty of Medicine of the Dresden University of Technology.

Place, date

Signature of the candidate

(These statements are to be incorporated into the binding after the main body of the thesis)

## Annex 2

### Statements on the observance of legal stipulations

I herewith confirm that the following currently applicable legal requirements have been observed in connection with my thesis:

- Favourable opinion of the Ethics Commission in case of clinical studies, epidemiological studies with personal references or contexts covered by the law on medical devices  
Case ref. no of the responsible Ethics Commission: .....
- Observance of the stipulations of animal welfare legislation  
Case ref. no. of the approving authority for the project/participation: .....
- Observance of the stipulations of genetic engineering legislation/project number: .....
- Observance of the data privacy rules of the Faculty of Medicine and University Clinic Carl Gustav Carus.

Place, date

Signature of the candidate

(These statements are to be incorporated into the binding after the main body of the thesis)



## Annex 3

### Principles for the assessment of theses at the Faculty of Medicine Carl Gustav Carus of the Dresden University of Technology

In accordance with the Doctorate Regulations, the following grades may be used to assess doctorate theses: “summa cum laude” (1.0) “magna cum laude” (1.1 to 1.4), “cum laude” (1.5 to 2.4), “rite” (2.5 to 3.0), “non sufficit” (3.1 and higher).

1. Summa cum laude: An independently produced paper containing findings of high scientific value, equivalent to a publication in an international journal employing peer review, wherein the doctorate candidate has displayed extraordinary scientific achievement. Extraordinary scientific achievement may be assumed, for example, where essential elements of the thesis have led to a prominent scientific publication (as author or co-author) in a leading scientific journal employing peer review and internationally recognised in the field concerned, or else to a patent application (e.g. as joint applicant or co-entitled patent holder).
2. Magna cum laude: An independently produced paper containing findings of high scientific value, equivalent to a publication in an international journal employing peer review. The thesis displays very good methodical and formal execution, and the doctorate candidate has made a significant and independent contribution to the problem discussion and methodology.
3. Cum laude: An independently produced paper containing findings of scientific value. Essentially routine methods were applied and the paper displays no significant defects. The thesis is in terms of content equivalent to a publication in a journal with peer review or to a congress lecture.
4. Rite: An independently produced paper containing findings of value. Routine methods were applied and the paper displays no fundamental defects. The thesis is equivalent to a publication in a journal with peer review or to a congress lecture.
5. Non sufficit: All papers which do not satisfy at least the criteria for the grade “rite”. The acceptance of such theses is rejected.