

Doctoral regulations of Faculty III – Process Sciences

of 22 September 2021

Please note that this is a non-binding translation of the Doctoral Regulations

Doctoral Regulations of Faculty III – Process Sciences

On 22 September 2021, the Faculty Board of Faculty III - Process Sciences adopted the following doctoral regulations*) in accordance with Section 18 (1) sentence 1 no. 1 of the Constitution of Technische Universität Berlin in the version published on 20 September 2018 (TU Official Gazette No. 19/2018, p. 182):

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Section 1 Scope and basics

(1) These doctoral regulations apply to awarding the academic titles Dr.-Ing. (Doctor of Engineering Sciences) and Dr. rer. nat. (Doctor of Natural Sciences) at Faculty III – Process Sciences at Technische Universität Berlin.

(2) The Faculty may present proposals to the Academic Senate for awarding one of the doctoral degrees in subsection 1 honoris causa (h.c.) in recognition of outstanding academic achievement.

(3) For the purpose of these regulations, university instructors include professors, junior professors, university lecturers, and full-time *Privatdozenten*.

(4) The doctoral degrees cited in subsection 1 shall be awarded only once per academic chair.

Section 2 Objective and content of the doctorate

(1) ¹The doctorate establishes that the candidate has the capacity to make an independent contribution to scientific research and development. ²This is demonstrated by a written dissertation and a successful scientific defense.

(2) ¹The dissertation is a scientific treatise written by the doctoral candidate that advances the scientific state of the art in a research area. ²The focus of the dissertation depends on the doctoral degree: for a Dr.-Ing., the focus is on an engineering science, and for a Dr. rer. nat., it is on a mathematical or natural science. ³The dissertation is generally written in German or English. ⁴With the approval of the Faculty Board, it may also be written in another language. ⁵An abstract must always be provided in

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both German and English.

⁶The dissertation must be represented within the Faculty by a full-time university instructor. ⁷Prior partial or complete publication of the dissertation is permitted.

(3) ¹The dissertation as a scientific treatise can consist of separate published papers or papers submitted for publication (*kumulative Dissertation* or dissertation by publication). ²These must follow an internal logic which has to be coherently demonstrated by an overall introduction and concluding discussion. ³Further details regarding the type and number of contributions are determined by the Faculty.

(4) ¹Prepublications of scientific findings which constitute part of the dissertation or individual contributions to a dissertation by publication may be co-authored. ²In such cases the candidate is required to demonstrate the substantial ideas, content and methodologies they have contributed to the work.

(5) In their scientific defense, the candidate should present the methodological approach and the scientific conclusions of the dissertation and thereby demonstrate their ability to assess the problems and findings of the dissertation and understand their significance within the relevant discipline.

Section 3 Admission requirements

(1) ¹In order to be admitted as a doctoral candidate, an applicant must have successfully completed a master's degree at a university or university of applied sciences (*Fachhochschule*) or a comparable degree (*Diplom, Magister, or Staatsexamen*). Generally, the aforementioned university degrees must have been completed in an engineering field for a Dr.-Ing. and in mathematics or a natural science for a Dr. rer. nat. ²If a university degree was acquired in a subject area which does not correspond to the doctoral degree, the Faculty Board may require additional academic achievements and examinations.

(2) ¹Academically outstanding candidates with a bachelor's degree may be directly admitted to a doctoral degree on the basis of a qualification procedure without obtaining a further degree as defined in subsection 1 above. ²In such cases, sufficient academic aptitude is demonstrated by

*) Approved by the TU Berlin Executive Board on 07.12.2021.

1. The successful completion of at least one and up to three admission exams in the subject area of the proposed doctoral research and related fields and one published work, generally as lead author, in a relevant publication with academic quality assurance, or
2. The successful completion of the entry phase of a graduate school or a comparable program. The entry phase must have a minimum duration of two semesters, be recognized by the Faculty and be completed by at least one exam.

³At least one of the admission exams referred to in sentence 2, no. 1 may not be conducted by a supervisor. ⁴The admission exam verifies that the applicant has the required scientific and methodological abilities in the intended field of their doctoral studies. ⁵No further study achievements are required. ⁶Details regarding pre-publication as well as the content, form and conducting of admission examinations are governed by the Faculty's implementing regulations. ⁷A failed admission exam cannot be repeated at the same or another faculty at Technische Universität Berlin.

(3) ¹An applicant with a *Diplom* degree from a university of applied sciences is required to further demonstrate their academic aptitude to pursue a doctorate. ²Proof of aptitude is provided within the scope of the candidate's declaration of intent to pursue a doctorate pursuant to Section 4 by an above-average degree (with distinction, very good or good) and by passing at least one and up to three assessment examinations in accordance with the regulations in subsection 2.

(4) ¹If the applicant completed their university studies abroad, the Faculty Board may accept the equivalence of their university degree with a German university degree as per subsection 1 under consideration of an expert evaluation to be obtained from the relevant unit at Technische Universität Berlin. ²In the event that the Faculty Board does not recognize the equivalence of a degree, additional studies and examinations may be required or the application rejected.

(5) The additional qualifications referred to in subsections 1 to 4 must be obtained prior to the application to commence a doctoral procedure.

(6) The Faculty Board is required to deny admission to the doctoral procedure if a candidate's submitted thesis or similar work has already been failed in the context of a doctoral procedure at a research university.

Section 4 Declaration of intent to pursue a doctorate

(1) ¹The applicant must declare in writing their intent to pursue a doctorate to the Faculty at the earliest possible date. ²This declaration must contain a description of the intended subject of the dissertation, a work plan, as well as the documents referred to in Section 5 (1), sentence 3, nos. 1-3; candidates who have completed a *Diplom* degree at a university of applied sciences must include their *Diplom* thesis, as well as any other academic work. ³A doctoral dissertation must be supervised by one of the Faculty's full-time university instructors or one of the Faculty's junior research group leaders who has completed a doctorate. The supervisor's agreement must be submitted together with the candidate's declaration of intent to pursue a doctorate. ⁴In the event that a dissertation is not to be supervised by a full-time university instructor at the Faculty, confirmation of availability to act as a reviewer as per Section 6 (4) sentence 1 from a full-time university instructor at the Faculty must be submitted together with the candidate's declaration of intent to pursue a doctorate.

⁵Furthermore, the candidate and their supervisor or supervisors shall conclude a supervision agreement in accordance with the relevant provisions of Technische Universität Berlin. ⁶The aforementioned provisions are passed by the committee at Technische Universität with responsibility for doctoral regulations. ⁷The dean assesses the application and informs the applicant in writing of either their acceptance and possible conditions, or rejection in accordance with subsection 3.

(2) ¹If an applicant is accepted, they are entitled to reasonable support from the Faculty in completing their dissertation, within the scope of the available materials and personnel. ²There is no legal entitlement to a workplace at the University. ³University instructors who have provided their consent are required to supervise a candidate's work unless the Faculty Board accepts their reasons for terminating the supervision as valid.

(3) ¹The Faculty Board may only reject an application if

1. The subject area of a part of the intended dissertation topic that is significant for its assessment is not represented by a full-time university instructor at the Faculty;
2. The thesis seems not to be practicable within the scope of the materials and personnel available or due to the subject;
3. The requirements stated in Section 3 are not met.

²Rejections must be substantiated in writing to the applicant. Section 11 (4) sentence 1 applies accordingly.

(4) ¹If a declaration of intent to pursue a doctorate is accepted, the applicant becomes a doctoral candidate. ²Unless employed by Technische Universität Berlin, the doctoral candidate is required to register as a student at Technische Universität Berlin in accordance with Section 25 (2) BerlHG (Berlin State Higher Education Act).

(5) The acceptance of a declaration of intent to pursue a doctorate can be revoked by the Faculty Board with good reason.

Section 5 – Admission to the doctoral procedure

(1) ¹An application for admission to the doctoral procedure must be submitted in writing to the Faculty. ²Applications are also admissible even if the declaration of intent to pursue a doctorate has not been previously registered in accordance with Section 4 (1), or has been rejected by the Faculty Board. ³Applications must also include:

1. A declaration that the applicant is conversant with the current doctoral regulations at Technische Universität Berlin;
2. The documents specified in Section 3;
3. A curriculum vitae;
4. Four printed copies of the dissertation and an electronic version as a pdf file. If the dissertation is to be assessed by more than two reviewers, the appropriate number of copies must be provided;
5. Details as to what extent the dissertation or parts of the dissertation have already been published, together with a list of these publications and a copy of each. Dissertations which have been co-authored with other researchers also require

a list of the names of the co-authors and details of the candidate's own contribution as per Section 2 (4);

6. A statutory declaration to the effect that the dissertation has been written independently, that aids and sources have been cited and, in cases of co-authored works, that the presentation of the applicant's own contribution is accurate in accordance with point 5;
7. A declaration as to whether at an earlier date or concurrently an intent to pursue a doctorate in accordance with Section 4 has been submitted or a doctoral procedure applied for at another university or faculty. If applicable, complete details should be provided concerning the outcome (see also Section 7 (4), sentence 3).

(2) The doctoral applicant may propose the reviewer of their dissertation, whose choice must be justified in writing and submitted with the application to the doctoral procedure.

(3) The application to the doctoral procedure and all submitted documents will remain at the Faculty for ten years; thereafter they will be stored in the University Archives.

Section 6 Commencement of the doctoral procedure

(1) ¹The dean of the Faculty checks to see if the application meets all requirements. ²If so, the application to the doctoral procedure will be presented without delay to the Faculty Board for consultation and decision.

(2) The members of the Faculty Board as well as professors and junior professors who are members of the Faculty are entitled to inspect the submitted documents.

(3) ¹If the Faculty Board approves the application for admission to the doctoral procedure, it will appoint a doctoral committee. ²This consists of a chair and at least two evaluators, one of whom should not be a member of Technische Universität Berlin. ³If it emerges that one or more of the reviewers is also a co-author of the research findings or other work of the candidate, the doctoral committee must also include an equal number of members (reviewers, chair) who are not co-authors.

(4) ¹The chair and at least one of the reviewers must be full-time university instructors at the Faculty. ²The chair can also be a junior research group leader with a doctorate or a visiting professor at the Faculty. ³Details are regulated in the Faculty's implementing regulations. ⁴A person belonging to the groups defined in sentences 1 and 2 above, who is appointed as a supervisor in accordance with Section 4 (1), will also continue to fulfill the requirements stated in sentence 1 and 2 after retirement, or as an emeritus professor, or if they change to another university. In such cases, they will continue to be regarded as a member of TU Berlin.

⁵Anyone who is a university lecturer, private lecturer, associate professor, honorary professor or head of a junior research group with a doctorate at the same or another faculty of Technische Universität Berlin or at another university or comparable scientific institution in Germany or abroad may be appointed as a reviewer in accordance with subsection 3, sentence 2; this also includes retired persons who have been relieved of their duties or persons from the groups referred to in sentence 5. ⁶In special justified cases, a researcher from Germany or abroad with a doctorate who is not a university instructor may also be appointed as an external reviewer. ⁷The Faculty Board can also additionally appoint reviewers solely for the purpose of evaluating the dissertation. ⁸These reviewers may not be involved in collaborative work with the candidate and are not members of the

doctoral committee. ⁹However, their assessment must be taken into account by the doctoral committee. ¹⁰Section 6 (4) sentences 4-7 and Section 7 (1) and (2) apply accordingly to these reviewers.

(5) The Faculty dean informs the doctoral candidate of the opening of the doctoral procedure as well as the members of the doctoral committee and the names of any other additional reviewers as per Section 6 (4) sentence 8.

(6) ¹The dean informs the applicant without delay if the Faculty Board rejects their application for admission to the doctoral procedure. ²The rejection must be substantiated in writing and issued with an instruction concerning the right to appeal. ³This is to be issued by the dean. ⁴The dean informs the Executive Board of the decision.

Section 7 Assessment of the dissertation

(1) ¹The reviewers check separately and independently if the dissertation meets the requirements of a doctorate. ²For pre-published works, they also check the details regarding the candidate's own contributions as per Section 2 (4) sentence 2. ³Assessments are in written form and grade the dissertation as

very
good,
good,
satisfactory,
adequate,
insufficient.

(2) ¹Assessments are to be presented to the dean of the Faculty not later than three months after the opening of the doctoral procedure. ²Copies of assessments are submitted to the chair of the doctoral committee by the dean. ³Any failure to meet this deadline must be justified to the chair of the doctoral committee.

(3) If the majority of assessments are positive, the chair of the doctoral committee recommends to the dean that the doctoral procedure should continue.

(4) ¹If the majority of assessments are negative, the dissertation is rejected and the doctoral procedure discontinued. ²The Faculty dean informs the candidate in writing that their doctoral procedure has been discontinued (as per Section 11 (4) sentence 1). ³The dean informs the Faculty Board at its next session of the decision to discontinue the doctoral procedure. ⁴A rejected dissertation may not be submitted as a doctoral dissertation at another faculty at Technische Universität Berlin.

(5) ¹If exactly half of the assessments grade the dissertation "insufficient," the Faculty Board, in consultation with the doctoral committee and the candidate, appoints a further reviewer who should be a university instructor at another university. ²The decision to continue the doctoral procedure as per subsection 3 or to discontinue it as per subsection 4 is then based on the majority of the assessments.

Section 8 Scientific defense

(1) ¹If the doctoral procedure is continued, the dean agrees with the doctoral committee and the candidate a date for the scientific defense. ²The dean invites the following persons to attend at least 14 days prior to the scheduled date:

- a) Members of the doctoral committee as well as additional reviewers and the candidate;
- b) Members of the Faculty Board, additional university professors, honorary professors and research associates with doctorates who are members of the Faculty, the members of the Executive Board;
- c) Any additional academics, who do not have to be members of Technische Universität Berlin, upon receipt of a justified proposal by the doctoral candidate or members of the Faculty Board.

³The dissertation is made available for review by the persons referred to sentence 2 for a period of at least 14 days prior to the scientific defense. ⁴Members of the doctoral committee, full professors, and members of the Faculty Board may view the assessments in accordance with Section 7. ⁵The dean may grant access to the assessments to the persons cited under sentence 2, letter c).

(2) ¹ The scientific defense is open to the University public; the chair of the doctoral committee may, upon application from the candidate, admit non-members of Technische Universität Berlin to the scientific defense. ²The scientific defense is usually held in German or English; the chair of the doctoral committee may permit exceptions provided that all members of the doctoral committee agree. ³The candidate, chair of the doctoral committee and at least one of the reviewers from TU Berlin as well as one of the external reviewers are required to be present throughout the entire scientific defense. ⁴In justified exceptional cases and with the agreement of the candidate and the other members of the doctoral committee as well as the dean, the persons required to attend as per sentence 3 may also attend via audio and video links. ⁵They then count as present. ⁶A simultaneous scientific defense for more than one doctoral candidate is not permitted. ⁷If the candidate or a member of the doctoral committee is unable to attend the scientific defense in person due to circumstances beyond their control, the chair of the doctoral committee may, with the agreement of the candidate and the dean, arrange attendance via audio and video link. ⁸This then counts as the person being present. ⁹Should the entire doctoral committee be unable to attend the scientific defense in person due to circumstances beyond their control, the chair of the committee may, with the agreement of the candidate and other members of the committee as well as the dean, agree to the scientific defense being conducted via audio and video link as an online conference. ¹⁰If participants are only involved in the discussion via video and audio transmission or if the entire discussion is conducted in virtual form, the technical and data protection requirements for the transmission must be met, and the principle of orality, accessibility for the University public, and collegiality must be respected in the deliberations and decisions of the doctoral committee.

(3) ¹The scientific defense consists of a talk of normally 30 minutes given by the doctoral candidate about the dissertation and a subsequent discussion with the reviewers about the subject area of the dissertation. ²Invited participants may, with the agreement of the chair of the doctoral committee, also direct questions to the candidate about the dissertation at the end of the discussion.

³The discussion generally lasts one hour. ⁴The scientific defense lasts at least 90 minutes, but should not exceed 120 minutes.

(4) ¹Immediately after the scientific defense, the doctoral committee will decide in a non-public meeting whether the doctoral candidate has passed the scientific defense with the classification

very
good
,
good
,
satisfactory or

adequate,
or if the candidate has failed the defense.

²Additionally, the doctoral committee aggregates the decisions of the reviewers into a joint decision of

Very
good,
good,
satisfactory or
adequate.

³If the candidate passes the scientific defense, the doctoral committee decides on the basis of the classifications for the dissertation and the scientific defense if the doctoral procedure has been passed with an overall classification of:

distinction (or summa cum laude), very good (or magna cum laude),
good (or cum laude), or passed (or rite).

⁴The overall classification “passed with distinction” may only be awarded if all reviewers assessed the dissertation as “very good” without qualification, and the scientific defense has been assessed as “very good” without qualification by all members of the doctoral committee.

(5) ¹A written record should be prepared regarding the scientific defense, containing (at least) the following information:

- Place, date and duration of the scientific defense
- Candidate's name
- Title of dissertation
- Members of the doctoral committee
- Assessment of the dissertation
- Assessment of the scientific defense
- Overall assessment
- Remarks concerning the publication
- Attendance list.

²The written record is to be signed by the members of the doctoral committee who attended the scientific defense.

(6) ¹The chair of the doctoral committee informs the doctoral candidate of their result without delay and issues them with a temporary certificate. ²Minor or stylistic modifications to the dissertation may be agreed between the doctoral candidate and the doctoral committee. ³The dean is informed of the overall result of the doctorate and advises the Faculty Board.

(7) ¹If the candidate does not pass the scientific defense as per subsection 4, they may within one month of being informed request a repeat of the defense. ²The repeat of the scientific defense must take place within 12 months of the candidate being informed of the result. ³The above subsections apply accordingly. ⁴If the candidate initiates an appeal procedure in accordance with Section 8 b within the same period, this has a suspensive effect until its conclusion with regard to the deadline for applying to repeat the scientific defense; in such cases, the candidate must submit a request to repeat the scientific defense no later than two weeks after the conclusion of the appeal procedure. ⁵The doctoral procedure is discontinued if the doctoral candidate does not request a repeat of the scientific defense or does not pass the repeat scientific defense. ⁶The dean is to be informed of the discontinuation of the doctoral procedure as per Section 11 (4) and informs the Faculty Board.

Section 8 a – File inspection

¹Files may be inspected during an open doctoral procedure in accordance with Section 29 VwVfG. ²Files may also be inspected within one year of the conclusion of the doctoral procedure. ³Applications to inspect files are to be submitted to the dean.

Section 8 b – Appeals

(1) ¹The doctoral candidate may appeal against the result of the doctoral procedure, against the assessments of individual reviewers as per Section 7 (1) as well as against the assessment of the oral defense by the doctoral committee as per Section 8 (4) after being informed of the overall assessment. ²As part of this process, the original assessments may not be adjusted to the detriment of the candidate.

(2) ¹Appeals are to be submitted to the dean in writing explaining the reasons for the appeal within two weeks of the candidate being informed of the result. ²The reasons for the appeal must make clear which specific assessments are being appealed.

(3) ¹The dean is responsible for ensuring that the appeal procedure is properly conducted. ²The dean forwards the appeal to the chair and members of the doctoral committee. ³The reviewers affected by the appeal or the doctoral committee in the case of an appeal against the assessment of the oral defense reconsider their assessments, taking account of the arguments presented in the justification for appeal, and respond in writing. ⁴The doctoral committee reviews the doctorate in light of the written response and provides a written assessment of the appeal procedure, providing reasons for its decision. ⁵This must be submitted to the dean within three months of the appeal being entered.

(4) The dean informs the candidate in writing of the result of the appeal procedure.

Section 9 Publication of the dissertation

(1) ¹ Before the doctorate can be awarded to the candidate upon passing the scientific defense, the dissertation must be made accessible to the scientific public in a suitable manner within twelve months following the scientific defense.

²This period may be extended in duly justified cases and on application to the Faculty.

(2) ¹The dissertation is deemed to have been made accessible to the scientific public in a suitable manner if the author provides the University Library free of charge the version of the dissertation approved by the doctoral committee for publication. ²The University Library checks that the version provided meets the required specifications.

³A dissertation can be submitted in the following formats:

1. One bound and durable copy and an identical electronic version, whose data format and data carrier must conform to the requirements of the University Library;
2. Fifteen bound and durable copies in letterpress;

3. In the case of monographs and as long as a commercial publisher agrees to distribute and commits by contract to make the work available on the market for four years, three copies indicated as a dissertation on the copyright page and stating Technische Universität Berlin as the place of dissertation.

(3) ¹The copies submitted to the University Library have to include a title page meeting the requirements of the University. ²A sample title page is available at the University Library.

(4) Furthermore, the candidate has to transfer the abstract electronically as per Section 2 (2) sentence 5 for the purpose of its dissemination via bibliographic databases.

Section 10 Awarding the doctorate

(1) The dean completes the doctoral procedure by awarding the doctoral certificate as soon as the doctoral candidate has fulfilled the requirements of Section 9.

(2) The bilingual certificate (German/English) states the subject, the overall assessment of the doctoral procedure and the date of the scientific defense, and bears the dated signatures of the president and the dean as well as the seal of Technische Universität Berlin.

(3) The awarding of the doctoral certificate entitles the doctoral candidate to use the awarded title.

(4) The faculty administration maintains a file of submitted doctoral applications and awarded doctorates.

Section 11 – Withdrawal of the doctoral application, discontinuation of the doctoral procedure

(1) ¹An application to withdraw an application for the doctoral procedure is to be submitted in writing to the Faculty Board. ²The dean will check to see if a written assessment has already been submitted. ³If no assessment has been submitted, the application to withdraw can be approved. ⁴This information is submitted immediately to the Faculty Board for discussion and decision.

(2) If the doctoral candidate fails or refuses to comply with a request made by the dean without a valid reason recognized by the Faculty Board, or if they fail to submit the revised version of the dissertation in the prescribed form within twelve months after a positively assessed scientific defense without valid reason, the doctoral procedure shall be discontinued by decision of the Faculty Board.

(3) ¹If it is determined prior to awarding the doctoral certificate that the doctoral candidate has deliberately made scientific misrepresentations, the Faculty Board will decide, upon providing the doctoral candidate opportunity to comment, whether the doctoral procedure should be continued or not. ²If there are doubts concerning the grounds for suspicion, the procedure will be suspended pending clarification.

(4) ¹The dean must issue and substantiate decisions concerning the discontinuation of the doctoral procedure in writing, including an instruction concerning the right to appeal. ²The Executive Board is to be notified.

Section 12 Joint doctoral procedure with foreign educational institutions

(1) To foster international cooperation, the Faculty may conduct a joint doctoral procedure with foreign universities or comparable educational institutions.

(2) ¹The framework for the joint doctoral procedure is established on an individual basis in an agreement stipulating that the provisions of these doctoral regulations apply to the joint doctoral procedure. ²Any deviation from these doctoral regulations may be incorporated into the agreement in accordance with the provisions below.

(3) It must be ensured that the acquired title can be held in the country of the university or comparable educational institution with which the agreement is to be concluded.

(4) ¹A submitted dissertation and a scientific defense are required for the joint doctorate. ²In the event that the dissertation and/or the scientific defense are completed in the national language of the foreign university/comparable educational institution, or a language other than German, a written abstract or summary must be provided in German. ³A significant part of the work on the dissertation must be completed at Technische Universität Berlin.

(5) For the assessment of the joint doctorate, each university or comparable educational institution shall appoint the same number of reviewers in addition to the chair of the doctoral committee.

(6) The doctoral documents are retained by the university or comparable educational institution where the scientific defense takes place; the other university or comparable educational institution will also receive copies.

(7) A bilingual doctoral certificate, referring to the joint doctoral procedure and stating the doctoral degree to be held in the respective countries, issued by the university or comparable educational institution at which the scientific defense took place will be awarded and signed by both institutions. The certificate will also bear the seal of both institutions.

Section 13 - Honorary doctorates

(1) ¹At the request of the Faculty, Technische Universität Berlin may, by decision of the Academic Senate, award the following academic titles in recognition of outstanding academic merit pertaining to one of its areas: Dr.-Ing. E. h. (Honorary Doctor of Engineering Sciences), or Dr. rer. nat. h. c. (Honorary Doctor of Natural Sciences).

²The awardee may not be an active member of Technische Universität Berlin.

(2) ¹The resolution of the Faculty Board requires two readings. ²Both ballots must be secret.

(3) ¹The awarding of an honorary doctorate also requires the decision of the Academic Senate. ²Further details are governed by the internal regulations of the Academic Senate.

(4) An additional academic honorary degree as per subsection 1 may only be awarded if any previous honorary degree was awarded by another university and for other reasons.

(5) The honorary doctorate is awarded by presenting a certificate bearing the seal of Technische Universität Berlin and signed by the president and the dean and stating the merits of the awardee.

(6) All German-speaking universities will be notified of the awarding of the doctorate by the Executive Board of Technische Universität Berlin.

Section 14 - Revoking a doctorate

(1) ¹A doctorate awarded by TU Berlin can be revoked if

1. it subsequently emerges that it has been acquired as a result of cheating, threats, bribes or paid intervention or if the conditions for awarding the doctorate have clearly not been met;
2. the awardee proves unworthy of the title as a result of subsequent serious scientific misconduct.

(2) ¹If the Faculty Board decides that possible sufficient grounds for revoking a title as per subsection 1 exist, it will appoint a doctoral commission in accordance with Section 6 (3) and open procedures to revoke the doctorate. ²The doctoral supervisor may not be a member of this commission.

(3) ¹The doctoral commission examines if the conditions for revoking a doctorate as stated in subsection 1 have been met and presents its recommendation and reasons to the TU Berlin Executive Board. ²The doctorate holder is provided opportunity to comment as part of the procedure. ³Minutes must be taken of any oral hearing before the doctoral commission. ⁴In cases judged as less serious, a recommendation may be made for the University to officially reprimand the doctorate holder.

(4) ¹The decision is the responsibility of the Executive Board of TU Berlin and is made on the basis of the recommendation of the doctoral commission. ²The decision is communicated to the doctorate holder in writing. ³This decision is to be substantiated and include instructions concerning the right to appeal. ⁴A decision to revoke a doctorate also includes the requirement to return the doctoral certificate to TU Berlin and to destroy and not make further use of any copies of the certificate. The person is no longer permitted to use the title.

(5) ¹A procedure to revoke a doctorate will not be initiated for doctorates awarded more than 20 years ago. ²A procedure to revoke a doctorate will not be initiated posthumously.

Section 14 a – Revoking an honorary doctorate

(1) An honorary doctorate awarded by TU Berlin can be revoked if

1. it subsequently emerges that it has been acquired as a result of cheating, threats, bribes or paid intervention or if the conditions for awarding the doctorate have clearly not been met;
2. the awardee proves unworthy of the title as a result of subsequent serious scientific misconduct.

(2) ¹If the Faculty Board decides that possible sufficient grounds for revoking a title as per subsection 1 exist, it will decide in two readings if the conditions for revoking an honorary doctorate as per subsection 1 are met. ²The honorary doctorate holder is provided opportunity to comment as part of the procedure. ³Minutes must be taken of any oral hearing before the doctoral commission. ⁴The vote on revoking an honorary doctorate shall be conducted by secret ballot and the result submitted to the Academic Senate for comment.

(3) ¹The decision to revoke is the responsibility of the Executive Board of TU Berlin and is made on the basis of the recommendations of the Faculty Board and the Academic Senate. ²The decision is communicated to the honorary doctorate holder in writing. ³The decision is to be substantiated and include instructions concerning the right to appeal. ⁴A decision to revoke an honorary doctorate also includes the requirement to return the doctoral certificate to TU Berlin and to immediately destroy and not make further use of any copies of the certificate. The person is not permitted to use the title.

(4) All German-speaking universities will be notified by the Executive Board of Technische Universität Berlin.

(5) ¹A procedure to revoke a doctorate will not be initiated for honorary doctorates awarded more than 20 years ago. ²A procedure to revoke an honorary doctorate will not be initiated posthumously.

Section 15 Transitional arrangements

¹Doctoral procedures that were commenced prior to these regulations taking effect will be concluded in accordance with the regulations that have thus far pertained. ²Candidates who had already applied for acceptance as a doctoral candidate prior to these regulations taking effect may, within a period of two years after their entry into force, conclude their doctorate in accordance with the regulations that applied at the time of their application. ³The decision is to be made when applying and is irrevocable.

Section 16 – Entry into force/Expiration

(1) These regulations come into effect the day after their publication in the Official Gazette (*Amtliches Mitteilungsblatt - AMBI.*) of Technische Universität Berlin.

(2) At the same time, except for the scope of Section 15, the Doctoral Regulations of Faculty III dated 23 September 2020 (TU Official Gazette No. 22/2020 dated 25 November, 2020) for doctoral studies at Faculty III - Process Sciences shall cease to be effective.