

**Regulations for the fifth alteration to the doctoral regulations  
of the Faculty of Mechanical Engineering at RWTH Aachen University  
as of 07.08.2008  
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**Please note:**

**Only the German version of these regulations as published in the official announcements is binding (RWTH Aachen University, Official Announcement No. 2018/116, 29.06.2018). This translation is to be used only as guidance for doctoral candidates with international degrees.**

Due to Sect. 2, Para. 4 and 67, Para. 3 of the Law on Universities in the State of North Rhine-Westphalia (Law on Higher Education (Hochschulgesetz) – HG) of Sep. 16, 2014 (GV. NRW P. 547), last altered by Article 3 of the Law on the Alteration of the Law on Higher Education of Oct. 17, 2017 (GV. NRW P. 806), RWTH Aachen University issued the following Doctoral Regulations of the Faculty of Mechanical Engineering:

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## **I General information**

### **§ 1 Doctorate rights**

- (1) The Faculty of Mechanical Engineering at RWTH Aachen University holds the doctorate rights.
- (2) By a doctorate the ability to independent academic work exceeding the general goal of studies is proven. The ability is detected on the basis of a notable written work (dissertation), which represents the progress of the status of the academic insight, and an oral examination. Upon a successful conclusion of the doctorate, the doctoral degree will be awarded in male or female form.
- (3) The Faculty of Mechanical Engineering awards the doctoral degree of Engineering Sciences (Dr.-Ing.) and of Natural Sciences (Dr.rer.nat.).

### **§ 2 Doctorate admissions board**

- (1) The faculty forms a doctorate admissions board consisting of members of the faculty council and chaired by the dean or the vice-dean. All faculty university lecturers according to Sect. 35, HG may participate in doctorate admission board meetings in an advisory capacity. Adjunct professors, honorary professors and post-doctoral lecturers from the faculty may participate in the meetings of the doctorate admissions board in an advisory capacity if the meeting concerns doctoral procedures in which they were involved as members of the doctoral committee.
- (2) The doctorate admissions board has to perform the following tasks:
  - a) Ascertainment of the doctoral requirements and decision on the admission to the doctorate according to Sect. 8-11
  - b) Acceptance of doctoral candidates according to Sect. 12
  - c) Initiation of doctoral procedures, including the nomination of reviewers and the doctorate committee, respectively the non-initiation of doctoral procedures according to Sect. 13
  - d) Decisions on special cases in doctoral procedures and objections to decisions of the doctorate committee

The doctorate admissions board may transfer the execution of the day-to-day business to its chairperson; this does not apply to objection procedures.

- (3) Meetings of the doctorate admissions board are not public. Its members are obliged to secrecy.
- (4) The doctorate admissions board decides with simple majority of votes of the members of the faculty council. Upon tie of votes the vote of the chairperson is decisive.

The doctorate admissions board has a quorum if at least a number of members corresponding to the number of faculty council members, among them the chairperson, are present. The minutes have to be kept on discussions of the doctorate admissions board.

- (5) The chairperson of the doctorate admissions board must inform the applicant about the outcome of the doctoral procedure. This is carried out in written form including an advice on applicable legal remedies.

### **§ 3**

#### **Doctorate committee**

- (1) For carrying out the doctoral procedure a doctorate committee is formed. The reviewers and further members according to Para. 2 to 4 are part of it, a total of at least four and at the most nine persons.
- (2) The doctorate committee chooses the additional members, namely at least two and at the most seven. They must be university lecturers according to Sect. 35 HG, professors relieved of their teaching duties or retired professors, adjunct professors, honorary professors, post-doctoral lecturers or junior professors. For interdisciplinary dissertations a representative of another faculty or university must be consulted for the topic which is not covered by the Faculty of Mechanical Engineering. The dean of the other faculty must be informed.
- (3) Every professor according to Sect. 35 HG of the Faculty of Mechanical Engineering can be announced member of the doctorate committee on his or her application through the doctorate admissions board. This application must have been received until the deadline of the period of objection according to Sect. 14, Para. 2. If the doctorate admissions board rejects the nomination, the applicant may appeal to the faculty council against this. The final nomination of the members of the doctorate committee must be carried out before the decision on acceptance of the dissertation.
- (4) The doctorate admissions board decides on the chairperson of the doctorate committee who must not be a reviewer. Junior professors, adjunct professors and honorary professors may not chair in the case of doctoral procedures. University lecturers according to Sect. 35 HG, who belong to the same academic department as the supervisor are also not permitted to chair the doctorate committee in the relevant doctoral procedure.
- (5) All members of the doctorate committee have a right to vote. The doctorate committee decides with simple majority of votes. Upon tie of votes the vote of the chairperson is decisive.
- (6) In case an already nominated member of the doctorate committee is not able to carry out the doctoral procedure (i.e. absence due to illness) the doctorate admissions board chooses a substitute member. Withdrawal from the doctorate committee is only possible with compelling grounds. Reasons for withdrawal must be communicated to the doctorate admissions board without delay and must be substantiated, where appropriate.

## § 4 Reviewers

- (1) The doctorate admissions board nominates at least two reviewers for the examination of the dissertation. Reviewers are as a general rule university lecturers according to Sect. 35 HG, professors relieved from teaching duties or retired, adjunct professors, honorary professors or post-doctoral lecturers at RWTH Aachen University or they may also be employed by another German or foreign university or research facility. Associate professors may only be entrusted with the responsibility of reviewer if at least two years have passed since their habilitation. Junior professors may as a rule only be entrusted with the responsibility of reviewer if they have completed their three years of probation.
- (2) At least one of the reviewers must be professor according to Sect. 35 HG of the Faculty of Mechanical Engineering.
- (3) One of the reviewers must be the supervisor of the dissertation in terms of Sect. 5, Para. 4. If the supervisor does not hold the doctoral qualification being sought through the doctoral procedure, the other reviewers should possess the doctoral qualification that is to be attained through the doctoral procedure.
- (4) Within the framework of a cooperation with RWTH Aachen University, professors employed at universities of applied sciences may also take over the reviewer function. The requirement for this is proof of an academic qualification, which has the level of a habilitation according to Sect. 36, Para. 1, No. 4 HG. The existence of the requirement will be determined by the doctorate admissions board. If a lecturer from a University of Applied Sciences assumes the function of a reviewer, an additional reviewer who is a university lecturer according to paragraph 2 must be arranged. The lecturer from the University of Applied Sciences will assume the function of third reviewer in this case. Within this cooperative supervision, the range and content of adequate preparatory studies for the doctoral studies according to Sect. 67, Para. 4, Cl. 1, Letter b) HG must be determined for the individual doctoral candidate together with his or her mentor of the university of applied sciences.
- (5) Upon application and after formal examination by the PhD Committee, research group leaders with an ERC grant and/or an Emmy Noether Group, who work in the Faculty of Mechanical Engineering or in a superordinate research project with the Faculty of Mechanical Engineering, may also be appointed as reviewers. If the research group leader leaves, the respective chair management takes over the supervision, if no other position subsequently entitles him to supervise a doctoral candidate. In this case, the supervision agreement must also be signed by the chair management.
- (6) If both reviewers belong to the same academic department a third reviewer, or a further member according to Sect. 3 paragraph 2, who does not belong to this academic department will be appointed to the doctorate committee.

## **§ 5**

### **Dissertation**

- (1) The applicant has to present an academic work (dissertation) independently written by him-/herself in German or English. At request the doctorate admissions board may permit a dissertation in a different language. In this case the doctorate admissions board may demand an authenticated translation which presents the binding text. The decision on admitting a dissertation written in another language is made by the doctorate admissions board as soon as the request is submitted.
- (2) The dissertation must for the major part be assignable to the scientific areas of the Faculty of Mechanical Engineering.
- (3) Works from earlier exams and already published works may not be used as a dissertation. Prior publications in excerpts are permissible in agreement with the mentor and must be announced to the Faculty of Mechanical Engineering.
- (4) The dissertation must have been produced in academic contact with a university lecturer according to Sect. 35 HG, a professor relieved of teaching duties or retired, an adjunct professor, an honorary professor or a post-doctoral lecturer of the Faculty of Mechanical Engineering. The lecturer is obligated to ensure appropriate academic supervision during the doctoral procedure. The willingness to perform this obligation is usually confirmed through the conclusion of a supervision agreement conforming to the current standard template of RWTH Aachen.

## **§ 6**

### **Evaluation of the doctoral examination**

- (1) If the dissertation is rejected or the oral retake (Sect. 16, Para. 7) remains unsuccessful, the dean informs the applicant by naming reasons the doctoral examination is failed and including legal instructions.
- (2) If the doctoral examination is failed, the dissertation may not be presented again for the purpose of a doctorate.
- (3) A repeated doctorate request is permitted only once and not prior to expiry of one year after announcement of the rejection.
- (4) Copies of the dissertation in which complaints and other notes are entered, however at least one copy, will remain at the Faculty of Mechanical Engineering until the end of the procedure.
- (5) If the oral examination is successful, the doctoral examination is passed.
- (6) The doctorate committee determines a final grade with the judgment  
  
“with distinction” (summa cum laude),  
“very good” (magna cum laude),

“good” (cum laude) or  
“sufficient” (rite).

In lieu of the final grade separated grades for the dissertation and the oral exam may be given.

- (7) The result must be communicated to the applicant within 14 days. The evaluation of the doctoral performance shall be completed at the latest six months after presentation of the dissertation.

## **§ 7**

### **Doctoral performances**

Doctoral performances in terms of these doctoral regulations are:

- a) the dissertation
- b) the oral examination
- c) the submission of mandatory copies.

Only after fulfillment of the doctoral performances can the doctorate be completed by awarding the doctoral certificate.

## **II Admission to doctoral studies**

### **§ 8**

#### **General admission requirements for graduates of German universities**

- (1) Admitted to the doctoral procedure will be those who prove
- a) a degree after an appropriate university degree program with a standard period of study of at least eight semesters for which a different degree as “Bachelor” is being awarded, or
  - b) a degree after an appropriate university degree program with a standard period of study of at least six semesters and subsequent adequate studies which prepare for the doctorate in the doctoral subjects, or
  - c) a degree in a master degree program in terms of Sect. 61, Para. 2, Subpara. 2 HG

as well as academic performance and achievements demonstrating the capacity for independent scientific work in the framework of doctoral studies.

- (2) The according to Para. 1 b) adequate studies usually have a duration of four semesters and cover 15 hours per week each semester and they include the production of an academic final thesis. Content of the studies, number and nature of the certificates will be individually determined with the candidate and his/her mentor by the doctorate admissions board. Hereby, the basic topics of the diploma degree program mechanical engineering must be accounted for. It is important for the requirements that a qualification according to Para. 1 a) is granted.

- (3) Precondition for the doctorate to Dr.-Ing. is the degree Diplom-Ingenieur (diploma engineer) or proof of a completed master degree program in terms of Sect. 61, Para. 2, Subpara. 2 HG in the field of engineering or a degree according to Para. 1 in an engineering degree program. Holders of a mathematical-natural scientific degree according to Para. 1 may be admitted to the doctorate, respectively the Dr.-Ing., if it is ascertained before initiating the procedure that the dissertation is of engineering interest and the applicant has sufficient engineering skills. In exceptional cases the same applies to holders of other occupation-qualifying degrees of a university in a different subject.
- (4) Precondition for the doctorate to Dr.rer.nat. is a degree according to Para. 1 in a mathematical-natural scientific degree program. Holders of an engineering degree according to Para. 1 may be admitted to the doctorate to Dr.rer.nat. if it is ascertained before initiating the procedure that the dissertation is of mathematical or natural scientific interest and the applicant has sufficient mathematical or natural scientific skills. In exceptional cases the same applies to holders of other occupation-qualifying degrees of a university in a different subject.
- (5) In cases of uncertainty, the dean will decide whether previous studies are to be classified within the field of Engineering (Para. 3) or the field of Mathematics/Natural Science (Para. 4). If it is not possible to attribute previous studies to either of these disciplines, the dean will suggest that the doctorate admissions board reject the application to doctoral studies.
- (6) Academic qualifications in the following subjects for example, can be classified within the Engineering field:
- Mechanical Engineering
  - Chemical Engineering
  - Electrical Engineering
  - Business Administration & Engineering: Mechanical Engineering
  - Business Administration & Engineering: Electrical Engineering
  - Teacher Training programs: Machine Technology and Textile Technology
  - Civil Engineering
- (7) Academic qualifications in the following subjects for example, can be classified within the Mathematics/Natural Science field:
- Physics
  - Computer Science
  - Mathematics
  - Chemistry
  - Materials Science
- (8) To determine the Engineering or Mathematical/Natural Science relevance according to Para. 3, subpara. 2 and Para. 4 subpara. 2, the supervisor is required to conduct a specialist assessment answering the following questions:
- What is the likely topic of the dissertation?



- Which expertise does the candidate demonstrate with regard to the topic of the dissertation which justify doctoral studies for the title Dr.-Ing./Dr. rer. nat.?
  - Which mathematical/natural science or engineering methodology will the candidate apply?
  - In which “research area” of the Faculty of Engineering will the work be located? Why is it appropriate for the candidate to pursue doctoral studies in the Faculty of Mechanical Engineering (i.e. why more appropriate than within another faculty)?
  - Which supplements may be required according to Para. 11, Sect. 3, Subpara 2?
- (9) Upon the existence of extraordinary academic performances, the doctorate admissions board may admit an applicant to the doctoral procedure on request of three professors of the Faculty of Mechanical Engineering with a majority of two thirds of its members in appropriate execution of the principles of Sect. 49, Para. 11 HG.

## **§ 9**

### **Admission to the doctorate on the basis of an international degree**

- (1) A general precondition for the admission to the doctorate also is an occupation-qualifying degree or another final exam completing the degree program after an appropriate university degree program with a standard period of study of at least eight semesters including an academic final thesis integrated into the studies, if the respective degree was acquired at a university outside of Germany, and
- a) due to international treaties it must be considered equal to corresponding degrees which can be acquired at German universities,
  - b) due to evaluation statements of the Central Office for Foreign Education Systems at the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder or the German Rector’s Conference, it is to be evaluated as a general precondition for admission to the doctorate,
  - c) due to treaties with partner universities outside of Germany it is to be evaluated by RWTH Aachen University as equal to a corresponding degree which may be obtained at RWTH Aachen University.

The doctorate admissions board may impose further educational conditions on the applicant due to the acquirement of a degree abroad within the framework of the doctorate, with a technical connection to the scientific topic which is dealt with, respectively is supposed to be dealt with, in the dissertation.

- (2) If the degree does not meet with the general admission requirements in terms of Para. 1, the admission to the doctorate only occurs if the degree was acquired in an appropriate university degree program with a standard period of study of at least six semesters and subsequent adequate studies which prepare for the doctorate according to Sect. 8, Para. 3 are proven.

## **§ 10**

### **Center for Doctoral Studies**

Each applicant may in addition to the general admission requirements complete a doctorate program within the framework of the Center for Doctoral Studies. It should further the applicant's academic independence and allow them to acquire academic key qualifications.

## **§ 11**

### **Application for checking the admission requirements**

- (1) Each applicant who intends to complete doctoral studies at the Faculty of Mechanical Engineering must submit an application form for examination of the admission requirements. This application should be submitted in the second year of doctoral studies (after completing the induction phase). This application is not equal to the final application to the doctoral examination according to Para. 12.

The application form is not synonymous with the concrete application form for admission to the doctoral examination according to Sect. 12.

- (2) The application form according to Para. 1 must be submitted in written form to the doctorate admissions board of the Faculty of Mechanical Engineering. The application form contains the intended topic of the dissertation as well as a declaration stating that the student accepts the doctoral regulations. With the fully completed application form (current version can be found on the homepage of the Faculty of Mechanical Engineering) the following must be submitted:
- a) the completed and signed supervision agreement, in which the PhD student and the supervisor agree to adhere to the principles of good scientific practice of RWTH Aachen of 28/03/2000, in the current version (published in the official announcements of RWTH Aachen);
  - b) proof of already completed admission requirements according to Sect. 8, 9 (Certificates and transcripts of record must be submitted as officially certified copies. Certified translations of documents that are not in German must be submitted upon request);
  - c) an overview of the scientific background in the form of a signed curriculum vitae;
  - d) the fully completed questionnaire on PhD student statistics.
- (3) The doctorate admissions board decides on admission or rejection as a doctoral candidate. Admission may be connected with imposing conditions for completing additional studies or exams according to Sect. 8 and 9.
- (4) The applicant receives a written notification about the admission or rejection. He or she will be notified of a rejection in written form providing reasons and including legal instructions.

### **III Doctoral procedure**

#### **§ 12**

#### **Application for admission to the doctoral examination**

- (1) The application form of the applicant for admission to the doctoral examination must be submitted in written form to the doctorate admissions board of the Faculty of Mechanical Engineering.
- (2) The application form must contain:
  - a) the information which doctoral degree is striven for.
  - b) the title of the dissertation.
- (3) To the application form the following should be added:
  - a) a tabular presentation of the curriculum vitae and academic career of the applicant,
  - b) the required certificates according to Sect. 8 to 11.
  - c) a good-conduct certificate from the Federal Central Register of document type O. The presentation of a good-conduct certificate is not necessary if the applicant works in public or church service, since here it had already been presented upon employment. This has to be examined individually.
  - d) a dissertation corresponding to Sect. 5, Para. 1; four printed and bound hardcopies as well as one digital copy.
  - e) one specimen copy of each respective publication.
  - f) the information if, and where applicable, by whom the dissertation was primarily mentored.
  - g) a statement in lieu of oath that the applicant has independently produced the dissertation and has indicated all help claimed in the dissertation.
  - h) a statement in lieu of oath about earlier submitted doctorate requests and their result, if applicable, including the point in time, the national or international university concerned, the faculty and the topic of the dissertation.
  - i) A written declaration that the candidate acknowledges the Principles for Ensuring Good Academic Practice at RWTH Aachen and has observed these principles.
- (4) If the dissertation was produced in an RWTH Aachen University external facility, the applicant must provide a written statement that the publication of the dissertation does not violate existing property rights.
- (5) Certificates are to be handed in as officially authenticated copies. For certificates which are not written in German, authenticated copies are to be added upon request.

#### **§ 13**

#### **Initiation of the doctoral procedure**

- (1) The doctorate admissions board initiates the doctoral procedure as soon as a written doctoral application and the documents to be handed in (cf. Sect. 12) have been received completely and the reviewers have declared their willingness to do an expert's report. The initiation

must at the latest be conducted in the next but one meeting of the doctorate admissions board following the submission of the request.

- (2) Upon initiation of the procedure the reviewers and the doctorate committee are to be called. The applicant receives immediate notification about the initiation.
- (3) After the initiation, the chairperson of the doctorate admissions board transfers the continuation of the doctoral procedure to the doctorate committee.
- (4) In case the doctoral application and the documents handed in simultaneously do not meet the requirements (cf. Sect. 8, 9, 10, 11) the doctoral procedure will not be initiated. The applicant immediately receives a written notification about the rejection, providing reasons and including an advice on applicable legal remedies.
- (5) An application form for initiating a doctoral procedure submitted to the Faculty of Mechanical Engineering may at the latest be taken back three months after the announcement of the initiation of the doctoral procedure according to Para. 2.

#### **§ 14**

#### **Examination of the dissertation**

- (1) The reviewers examine the dissertation and report back to the faculty within three months in separate written expert's reports. They request acceptance or rejection of the dissertation, if applicable revision, or the non-consideration for lack of competency of the faculty including reasons for their recommendation. An expert's report supporting the acceptance of the dissertation must contain a suggested grade. In case a reviewer is not capable of handing in his or her expert's report within four months, the doctorate admissions board has to nominate another reviewer.
- (2) After receiving the expert's reports, the dean displays the dissertation and the expert's reports for statements or, if applicable, for a written objection on part of the professors according to Sect. 35 HG of the faculty and the members with a doctorate of the faculty council. The duration of the display is set to two weeks. The deadline for objections ends each time with the end of the second workday after the end of the duration of the display.
- (3) In case the reviewers unanimously recommend the acceptance of the dissertation and no objection was made, the dean determines that the dissertation is accepted. In case the reviewers unanimously recommend the rejection of the dissertation and no objection was made against this, the dean determines that the dissertation is rejected.
- (4) In case the reviewers contradict each other regarding the acceptance of the dissertation or at least one of the reviewers recommends revision or non-consideration according to Para. 1 or objection was made in due course, the dean presents the dissertation to the doctorate committee. The committee discusses the matter in reasonable time. It may recommend the consultation of further reviewers. The doctorate committee recommends acceptance, rejection or revision of the dissertation according to Sect. 14 or non-consideration. If the recommendation is unanimous, the dean initiates the necessary findings. The non-consideration is not equal to a rejection of the dissertation.

- (5) If a unanimous recommendation according to Para. 4 does not materialize, the dean presents the dissertation together with the expert's reports, statements and objections to the doctorate admissions board. The doctorate admissions board will immediately decide on acceptance, rejection or revision of the dissertation according to Sect. 14 or non-consideration according to Para. 1 on the basis of the available recommendations; the acceptance of the dissertation requires the existence of two approving expert's reports.

## **§ 15**

### **Revision of the dissertation**

- (1) The doctorate admissions board or the doctorate committee can request the applicant according to Sect. 14, Para. 4, respectively Sect. 14, Para. 5, with fixing a deadline, to revise the dissertation. The conditions for the revision are to be put on record and must be communicated. The deadline may be extended only once. If the deadline is exceeded, the doctorate admissions board or the doctorate committee informs the dean. The dean determines that the dissertation is rejected.
- (2) After revision of the dissertation in due course, the dissertation will be examined again according to Sect. 14. The reports about the revised version should particularly deal with the question whether the conditions according to Para. 1 are fulfilled appropriately; the rejection of the revised version of a dissertation is only permissible if the conditions were not fulfilled appropriately, or if there exist such strong academic objections against paragraphs which were rephrased or newly added to the dissertation which make a rejection of the dissertation necessary.

## **§ 16**

### **Oral examination**

- (1) After the acceptance of the dissertation the dean will arrange an oral examination. It will be conducted by the doctorate admissions board in accordance with Paragraph 5.
- (2) The dean informs the professors according to Sect. 35 HG of the Faculty of Mechanical Engineering, the rector, the other deans, the members of the doctorate committee and the members of the faculty council as well as the candidate of time and location of the oral examination within a deadline of at least ten days. Time and location of the oral examination will also be published by putting up a note.
- (3) The members of the doctorate admissions board have the right to participate in the oral examination as guests. Further guests will only be permitted in accordance with the candidate if they are members of RWTH Aachen holding a doctorate degree. Doctoral candidates who have started working on a dissertation topic may be permitted as audience provided that the candidate does not disagree.
- (4) Each candidate must be examined individually. The oral examination will generally be conducted in German. Upon request of the candidate the examination may be conducted in English.

- (5) The oral examination will be conducted by at least three examiners which must include the chair of the doctorate committee, the supervisor and one further reviewer. The oral examination consists of a lecture of 45 minutes about a topic which deviates from the dissertation as well as an examination of at least 45 minutes which ranges from the dissertation to topics from the whole subject to which the dissertation belongs.
- (6) The doctorate committee decides immediately after the oral examination on the result of the examination.
- (7) If the oral examination is unsuccessful it may be repeated only once and only at the Faculty of Mechanical Engineering. Enrollment for the repetition exam may be done at the earliest after three and at the latest after 18 months.

### § 17

#### **Publication of the dissertation**

- (1) After the candidate has passed the doctoral examination he or she presents the dissertation to the dean in the version intended for publication. The dean gives this permission in accordance with the reviewers, after possible conditions are fulfilled.
- (2) The faculty in charge is authorized to demand from the doctoral candidates that he or she
  - adds a summary of no more than one machine-written or printed page of his or her work and transfers the right to publish this summary to the university or offer it to a publisher or a data-base,
  - writes the title and the summary in two languages (in general in German and English).
- (3) The doctoral candidate is obliged to allow the academic public access to his or her dissertation through duplication and distribution. This is either done
  - a) by submitting 10 mandatory copies in the faculty's office and 34 mandatory copies in the Central University Library, each in book or photo print; or
  - b) by publication in an academic journal; in this case handing in 10 mandatory copies in the faculty's office and 14 mandatory copies in the Central University Library is necessary; additionally it must be noted i.e. on the backside of the title page in which journal the publication was done (including publisher and location), all mandatory copies must be marked with the note "D 82 (dissertation RWTH Aachen University, [indicating the year of the oral examination])"; or
  - c) by distribution through the book trade by a commercial publisher with a minimum circulation of 150 copies; in this case handing in 10 mandatory copies in the faculty's office and 14 mandatory copies in the Central University Library is necessary; additionally it must be noted i.e. on the backside of the title page where the publication was done (including publisher and location), all mandatory copies must be marked with the note "D 82 (dissertation RWTH Aachen University, [indicating the year of the oral examination])"; or
  - d) by submitting an electronic version in the Central University Library whose file format and transfer must be coordinated with the Central University Library. Further

10 mandatory copies must be submitted to the faculty's office. For the publication a summary in German and English is obligatory. The doctoral candidate transfers the right to publish the electronic version in data networks to the Central University Library, the DNB (German National Library, Deutsche Nationalbibliothek) in Frankfurt/Leipzig and, if applicable, the German Research Foundation's Special Collection Library (DFG-Sondersammelgebietsbibliothek), and assures that the electronic version corresponds with the accepted dissertation. The Central University Library checks the submitted version for readability and correspondence with the requested conditions. The submission of files which do not meet the requested conditions regarding file format and transfer does not count as a publication.

All mandatory copies which must be submitted have to contain a special title page bearing the name; an educational background or curriculum vitae may be added. They must be printed on non-aging wood- and acid-free paper and must be bound long-lasting. Furthermore, they must be technically flawless. If found that the copies do not meet these criteria they will generally be rejected. A work rejected in this way counts as non-published; the doctoral certificate will therefore not be awarded.

- (4) The dissertation must be published at the latest one year after the oral examination. In justified cases the dean may extend the deadline. If the applicant misses his or her deadline, all rights acquired with the examinations will expire.

### **§ 17 a** **Cotutelle**

- (1) The prerequisite for doctoral studies jointly supervised by a foreign university (partner university) is an individual cooperation contract for the performance and supervision of doctoral studies as well as the examination or assessment of doctoral academic performance.
- (2) The individual cooperation contract may stipulate that both universities are represented equally in the doctorate committee.
- (3) After successful conclusion of the doctorate procedure the Faculty of Mechanical Engineering will award an academic title according to Para. 1, Sect. 3 and the partner university will award a qualification according to the regulations in the respective country. These academic titles may only be borne alternatively.

### **§ 18** **Doctoral certificate and doctoral supplement**

- (1) After submitting the mandatory copies, a doctoral certificate will be issued according to the sample included in the appendix of these doctoral regulations, and it will be signed personally by the rector and the dean. The doctoral certificate bears the date of the submission of the mandatory copies in the Central University Library. The reviewers recommending the acceptance of the dissertation should be named in the doctoral



certificate. The doctoral procedure will be completed by awarding the doctoral certificate. After receiving the doctoral certificate, the applicant has the right to hold the doctoral degree.

- (2) If the dissertation was jointly mentored and examined by a professor according to Sect. 35 HG of the Faculty of Mechanical Engineering and a professor of a foreign university, and if the doctoral procedure was carried out by the Faculty of Mechanical Engineering and the faculty of the foreign university, two certificates must be issued in such a way that these certificates form one single certificate in terms of content. Hereby only one academic degree will be awarded.
- (3) For conducting the doctoral degree program, the applicant receives a doctoral supplement of the Center for Doctoral Studies about the performances completed there.

### **§ 19**

#### **Honorary doctorate and renewal of the doctoral certificate**

- (1) The senate may award the academic honorary degree and title of Doctor of Engineering Sciences upon request of the Faculty of Mechanical Engineering to persons who show extraordinary personal, academic, technical or artistic performances in a field cultivated by the university. They may not be members of or belong to RWTH Aachen University.
- (2) The faculty can only put in honorary doctorate applications for doctoral degrees for which it holds the doctorate rights. For preparation of this application, the faculty should seek at least two external expert's reports. The faculty council decides on the application to the senate in two sessions. The application needs the support of two thirds of the present members of the doctorate admissions board.
- (3) The rector executes the honorary doctorate by presentation of a doctoral certificate with acknowledgements of contributions of the doctoral candidate.
- (4) Doctors of RWTH Aachen University, who distinguished themselves for their academic or practical professional occupation, may be honored with a renewal of their doctoral certificate after 50 years or at extraordinary occasions. The decision on this honor is taken by the faculty which represents the subject in which the doctorate was initially carried out.

### **§ 20**

#### **Revocation of the doctorate**

- (1) The doctorate may be revoked
  - a) if it subsequently transpires that the admission to doctoral studies was granted on the basis of false statements regarding significant admission criteria,
  - b) if it subsequently transpires that deception was used regarding the academic achievements leading to the award of a doctorate degree,
  - c) if scientific misconduct is determined in connection with the dissertation, or



- d) if the doctoral graduate is found guilty of a deliberate crime and is legally sentenced to at least one year in prison.
- (2) If circumstances come to light that justify revocation of the doctorate according to Para. 1, the doctoral graduate is to be consulted regarding the accusations before a decision is made by the doctorate admissions board. In the event of an oral consultation, a written record is to be taken.
- (3) Decisions to the disadvantage of the doctoral graduate will be communicated in writing by the doctorate admissions board stating the basis of the decision and including legal instructions.
- (4) The invalidity of the doctoral performances or the withdrawal of the doctorate will be communicated to all German universities by RWTH Aachen University.
- (5) The regulations according to Para. 2 to 4 are valid correspondingly for withdrawing degree and title of an honorary doctor.
- (6) After a decision according to Para. 1 or 2, the doctoral certificate has to be withdrawn or invalidated in another way.

## **§ 21**

### **Access to examination files**

After completion of the procedure, the candidate may be granted insight into the examination files upon request. The request must be submitted within one month after announcement of the examination result. The chairperson of the doctorate admissions board determines time and location of the inspection.

## **§ 22**

### **Coming into effect**

These doctoral regulations will be published in the official announcements of RWTH Aachen University and will come into effect on the day after their publication.

The Rector  
of RWTH Aachen University

Aachen, 27.06.2018

sgd Schmachtenberg  
Univ.-Prof. Dr.-Ing. E. Schmachtenberg