

## **Regulations Governing Doctoral Studies**

**in the Faculty of Electrical Engineering and Information Technology**

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**Please note: This publication is an English translation of the Regulations Governing Doctoral Studies. Only the German original of these regulations as published in the Official Announcement of RWTH Aachen University (“Amtliche Bekanntmachungen”) is legally binding.**

Based on § 2 (4) and 67 (3) of the Higher Education Act of the State of North Rhine-Westphalia (Hochschulgesetz; HG) in the version of the announcement dated September 16, 2014 (Law and Official Gazette of the State of North Rhine-Westphalia p. 547), most recently amended by Art. 3 of the Act to Ensure the Accreditation of Study Programs in North Rhine-Westphalia dated October 17, 2017 (Law and Official Gazette of the State of North Rhine-Westphalia p. 806), RWTH Aachen University (Rheinisch-Westfälische Technische Hochschule; RWTH) has issued the following Regulations Governing Doctoral Studies of the Faculty of Electrical Engineering and Information Technology:

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## I General

### § 1

#### Right to Award Doctorates

- (1) The Faculty of Electrical Engineering and Information Technology of RWTH Aachen University has the right to award doctorates.
- (2) The doctorate establishes the candidate's ability to undertake independent academic work that exceeds the general objective of the Master's study programs of the Faculty of Electrical Engineering and Information Technology. The ability is determined based on a thesis (dissertation) of high quality demonstrating an advancement of the state of scientific knowledge and an oral examination (defense). The doctoral degree is awarded upon successful completion of the doctorate.
- (3) The Faculty of Electrical Engineering and Information Technology awards the degree of Doktorin/Doktor der Ingenieurwissenschaften (Dr.-Ing.) [Doctor of Engineering Sciences] and Doktorin/Doktor der Naturwissenschaften (Dr. rer. nat.) [Doctor of Natural Sciences].

### § 2

#### Doctoral Committee

- (1) The Faculty forms a doctoral committee. All members of the Faculty Council are on the committee. The chairperson of the doctoral committee is the dean. In the absence of the dean, the committee shall be chaired by one of the vice-deans.
- (2) The doctoral committee shall perform the following tasks:
  1. determining the doctoral requirements in accordance with § 8 through 10,
  2. accepting the doctoral candidates in accordance with § 11,
  3. initiating the doctoral procedure, including appointing the reviewers or not initiating the doctoral procedure,
  4. deciding on special cases during doctoral procedures and appeals against decisions made by the doctoral commission.
- (3) The doctoral committee meetings are not public. Its members are sworn to secrecy.
- (4) The doctoral committee makes decisions with a simple majority. In the event of a tie, the chairperson's vote shall decide the matter. The doctoral committee has a quorum when more than half of its members, including the chairperson or their deputy, are present. A record shall be kept of the doctoral committee meetings.
- (5) The doctoral committee's chairperson shall inform the candidate about any decisions relating to them by a written notification that includes information on legal remedies.

### § 3

#### Doctoral Commission

- (1) A doctoral commission is formed to perform the doctoral procedure. It includes the reviewers and other members, totaling a minimum of four and a maximum of nine people in accordance with Paragraphs 2 through 4.

- (2) The chairperson of the doctoral committee appoints at least two and at the most seven other members to the doctoral commission. These members must be university instructors in accordance with § 35 HG, professors relieved of teaching duties or retired, adjunct professors, honorary professors, or private lecturers (Privatdozenten). These members are to be members of the Faculty of Electrical Engineering and Information Technology.
- (3) In accordance with § 35 HG of the Faculty of Electrical Engineering and Information Technology, every university instructor can be nominated as a member of the doctoral commission by the doctoral committee at their request. This application must be submitted no later than the appeal deadline in accordance with § 14 (2). If the chairperson of the doctoral committee rejects the nomination, the candidate may call in the Faculty Council. The final members of the doctoral commission must be appointed before the decision on the acceptance of the dissertation is made.
- (4) The chairperson of the doctoral committee shall appoint the chairperson of the doctoral commission. This individual may not be the reviewer.
- (5) All members of the doctoral commission shall have voting rights. The doctoral commission makes decisions with a simple majority. In the event of a tie, the chairperson's vote shall decide the matter.
- (6) If members appointed to the doctoral commission are not able to carry out the doctoral procedure (e.g. due to illness), the chairperson of the doctoral committee shall select a replacement member where necessary. If, in exceptional circumstances, this is not possible at short notice, the doctoral commission has a quorum when at least three members, including the chairperson and at least one supervisor, are present. The chairperson shall include the reason for the smaller doctoral commission in the record of the meeting.

#### **§ 4**

#### **Reviewers**

- (1) The doctoral committee shall appoint at least two reviewers for the examination of the dissertation, usually from the group of university instructors in accordance with § 35 HG, professors relieved of teaching duties or retired, adjunct professors, honorary professors, or private lecturers (Privatdozenten), or visiting professors within the meaning of § 39 (2) HG to the Faculty of Electrical Engineering and Information Technology.
- (2) The supervisor is one of the reviewers in accordance with § 5 (4).
- (3) At least one of the reviewers must be a university instructor in accordance with § 35 HG of the Faculty of Electrical Engineering and Information Technology. The doctoral committee can decide on exceptions in justified cases.
- (4) One of the reviewers can also be a university instructor, adjunct professor, honorary professor, or private lecturer (Privatdozent) employed at another German or international university or research institution. The doctoral committee must determine appropriate qualifications for international supervisors.
- (5) If the content of the presented dissertation also includes a discipline pertaining to another faculty, one or several university instructors, adjunct professors, private lecturers (Privatdozenten), or honorary professors from this faculty can be appointed as reviewers by the doctoral committee; the dean of the other faculty is to be informed in accordance with § 35 HG.
- (6) Within the scope of a joint doctorate with RWTH Aachen University, instructors at a university of applied sciences can also be appointed as a third reviewer in addition to two reviewers in accordance with Paragraphs 1 through 5 of this Section. Evidence of a scientific qualification at habilitation level in accordance with § 36 (1) No. 4 HG shall be required for this. The doctoral committee shall determine whether the requirements have been met. As part of this joint supervision, the scope and content of the studies that are adequate and in preparation for

the doctorate in accordance with § 67 (4) Sentence 1 No. 2 HG are to be determined for each doctoral candidate together with the supervisor of the university of applied sciences.

## § 5

### Dissertation

- (1) The candidate is required to submit an academic thesis (dissertation) that they have written independently in German or English.
- (2) A substantial part of the dissertation must relate to the scientific fields of the Faculty of Electrical Engineering and Information Technology.
- (3) Excerpts from previous examination work and the use of own publications are to be agreed with the supervisor.
- (4) The dissertation must have been produced under academic guidance from a university instructor, a professor relieved of teaching duties or retired, an adjunct professor, an honorary professor, or a private lecturer (Privatdozent) from the Faculty ("supervisor"). They are required to ensure appropriate academic supervision during the doctoral procedure. The willingness to accept this responsibility is usually confirmed by entering into a supervision agreement according to the valid version of the RWTH Aachen University template.

## § 6

### Grading of the Doctoral Examination

- (1) If the candidate passes the oral examination (defense) after prior acceptance of the dissertation if they pass the doctoral examination.
- (2) The doctoral commission shall determine an overall grade of the doctoral examination as
  - "with distinction" (summa cum laude),
  - "very good" (magna cum laude),
  - "good" (cum laude) or
  - "sufficient" (rite).
- (3) If the dissertation is rejected or if the candidate fails the repeat oral examination (§ 16 (7)), the dean shall inform the candidate that they have not passed the doctoral examination, stating the reasons for this and providing information on legal remedies.
- (4) If the doctoral examination is not passed, the dissertation cannot be presented again for the purposes of a doctorate, including to another faculty.
- (5) The candidate shall only be given one final attempt at the same or another faculty and no earlier than one year after the rejection has been announced. A new paper is to be presented.
- (6) If the dissertation is rejected or the doctoral examination is not passed, copies of the dissertation in which objections or other comments have been included and, at the very least, one copy shall remain with the Faculty.
- (7) The candidate must be informed of the result of the doctoral examination within 14 days. The evaluation of the doctoral examination is to be completed no later than six months following the presentation of the dissertation.

## § 7

### Doctoral Degree Requirements

Doctoral degree requirements within the meaning of these regulations are:

- a. the dissertation,
- b. the oral examination (defense),
- c. the publication of the dissertation.

Once these doctoral degree requirements have been met, the doctorate can be declared completed by issuing a doctoral certificate.

## II Admission to the Doctoral Program

### § 8

#### General Admission Requirements

- (1) The doctoral procedure can commence if the candidate has obtained
  - a) a degree after completing relevant university studies with a standard study period of at least eight semesters for which a degree other than “Bachelor” is awarded, or
  - b) a degree after completing relevant university studies with a standard study period of at least six semesters and subsequent adequate courses in the doctoral subjects that prepare the candidates for the doctorate, or
  - c) a Master’s degree within the meaning of § 61 (2) Sentence 2 HG,and can demonstrate their suitability to undertake the independent scientific work necessary for a doctorate through their academic work and achievements.
- (2) The scope of courses and related assessment criteria considered suitable preparation for the doctorate according to Paragraph 1 b) are generally determined by the doctoral committee or, in individual cases, by its chairperson after oral or written consultation with the candidate and the supervisor.
- (3) If the degree in accordance with Paragraph 1a) or 1c) does not meet the necessary requirements for the doctoral subject, further coursework and other achievements that show the candidate’s ability for a doctorate may be requested. The scope and related assessment criteria of these achievements are generally determined by the doctoral committee or, in individual cases, by its chairperson after oral or written consultation with the candidate and the supervisor.
- (4) The prerequisite for the doctorate in engineering (Dr.-Ing.) or science (Dr.rer.nat) is a Master’s degree within the meaning of § 61 (2) Sentence 2 HG or a Diplom degree in the fields of electrical engineering, information technology, physics, computer science, or mathematics. The doctoral committee shall decide on whether to recognize other relevant scientific degrees.
- (5) If a candidate shows exceptional scientific achievements, the doctoral committee may admit the candidate to the doctoral procedure at the request of three university instructors of the Faculty with a majority of two thirds of its members in accordance with the provisions of § 49 (11) HG.

### § 9

#### Admission to the Doctoral Program Based on a Degree Awarded by an International University

- (1) A general requirement for admission to the doctoral program within the meaning of § 8 (1a) is a professional qualification or another final examination to complete a relevant scientific course with a standard period of study of at least eight semesters including an academic final thesis integrated into the course awarded by a university outside Germany if the degree
  1. is to be considered equivalent to corresponding degrees that are awarded at German universities based on intergovernmental agreements, or
  2. is to be considered a general requirement for admission to the doctoral program based on evaluations of the Central Office for Foreign Education at the Standing Conference

of the Ministers of Education (ständige Konferenz der Kultusminister) of the federal states or the German Rectors' Conference (Hochschulrektorenkonferenz),

3. is to be considered equivalent with a relevant degree that can be awarded at RWTH Aachen University based on agreements with partner universities outside of Germany by RWTH Aachen University.
- (2) Within the scope of admission to the doctoral program based on a degree awarded by an international university, the doctoral committee may make additional conditions that are related to the scientific field that is to be addressed in the dissertation.

## § 10

### Center for Doctoral Studies (CDS)

In addition to the general admission requirements for the doctoral program, every candidate must also acquire a subject-related qualification at the Center for Doctoral Studies (CDS) of RWTH Aachen University. Participation at the CDS is to encourage the candidate's scientific independence and also allow them to acquire key academic qualifications. Participation at the CDS does not entitle the candidate to be admitted to the doctoral procedure in accordance with § 8 (1).

## § 11

### Application for Admission to the Doctoral Program

- (1) Every candidate who intends to join the doctoral program at the Faculty or would like to enroll as a doctoral candidate at RWTH Aachen University shall submit an application for admission to the doctoral program to the doctoral committee of the Faculty. The Faculty shall particularly review whether the candidate meets the admission requirements for a doctorate at the Faculty. The application shall be submitted in writing to the doctoral committee of the Faculty.
- (2) The following must be submitted together with the application:
  - a) the pursued doctoral title,
  - b) the intended topic of the dissertation,
  - c) the letter of intent in the form of a supervision agreement in the version valid at RWTH Aachen University at the time of registration signed by a university instructor in accordance with § 35 HG of the Faculty, which states their willingness to supervise the candidate with the dissertation;
  - d) all documents necessary to review the admission requirements in accordance with § 8 and 9 as well as whether any conditions are to be met. If the admission requirements in accordance with § 8 and 9 cannot be proven with documents and certificates when submitting the application, the admission requirements can be met by providing a certificate from the university that the course has been successfully completed. The documents and certificates must be submitted within 6 months.
  - e) overview of the scientific career, including evidence about additional completed studies or exams as well as a declaration of any past unsuccessful doctoral procedures;
  - f) a declaration that the candidate accepts these Regulations Governing Doctoral Studies.
  - g) a certificate of good conduct from the Federal Central Register of document type O. Presentation of the certificate of good conduct is not required if the candidate works in the public or church service.



- h) an affidavit on whether the candidate has submitted doctoral applications in the past and if so, the submitted dissertations as well as information on the results, the times, the German or international universities, their Faculties as well as the topics of the dissertations,
  - i) a written declaration that the candidate has acknowledged the Guidelines and Procedures for Safeguarding Good Scientific Practice at RWTH Aachen University,
- (3) The doctoral committee decides whether to accept or reject a doctoral candidate. Acceptance may be conditional on completing additional study programs or examinations.
  - (4) The candidate shall be notified immediately in writing of the acceptance. They shall receive a written notification of rejection or conditional acceptance from the chairperson of the doctoral committee, including the reasons for this decision and information on legal remedies.
  - (5) Candidates must submit certified copies of certificates. It is sufficient to submit a single copy together with the original certificate for the application for admission. Certified translations of certificates not in English or German are to be included on request. The candidate shall bear any costs incurred for obtaining the certificates.

### **§ 11a**

#### **Data Collection, Processing, and Transfer**

In accordance with § 5 of the Act on Statistics for Higher Education (Hochschulstatistikgesetz – HSchStG), universities must collect personal data about those who have been admitted to doctoral programs in accordance with § 11 (4). The personal data of the doctoral candidates are automatically stored by the University and are processed by the IT Center as well as the Central University Administration in order to comply with legal requirements. The University will only transmit the data if this is necessary to comply with its legal duties or duties specified in statutes. Data transfer to the Statistical Office of the State of North Rhine-Westphalia (IT NRW) concerns the data collection characteristics in accordance with § 3 (1), § 4 and § 5 (2) HSchStG.

### **III Doctoral Procedure**

#### **§ 12**

#### **Application for the Initiation of the Doctoral Procedure**

- (1) The candidate's application for the initiation of the doctoral procedure shall be submitted in writing to the doctoral committee of the Faculty of Electrical Engineering and Information Technology. The candidate's prior admission of the candidate to the doctoral procedure by the doctoral committee in accordance with § 11 (4) Sentence 1 is a prerequisite.

- (2) The application must include:
  - a) the pursued doctoral title,
  - b) the title of the dissertation,
  - c) a CV in tabular form presenting the candidate's career and education,
  - d) evidence of the achievements that may be required in accordance with § 8, 9 and 10,
  - e) a certificate of good conduct from the Federal Central Register of document type O if the certificate of good conduct presented in accordance with § 11 (2 g) is more than 6 months old. Presentation of the certificate of good conduct is not required if the candidate works in the public or church service,
  - f) a dissertation in the form of a word-processing text ready for printing, four bound copies in accordance with § 5 (1). The doctoral dissertation can be submitted later, within a deadline of 3 months, if the supervisor has agreed to this in writing, otherwise a new application for initiation of the procedure must be submitted.
  - g) a specimen copy of any publications,
  - h) information on the academic supervisor of the dissertation,
  - i) an affidavit that the candidate has independently completed the dissertation and has indicated any means of support used in the dissertation,
  - j) an affidavit that no other doctoral applications have been submitted after submitting the application for admission to the doctoral program in accordance with § 11,
  - k) a written declaration that the candidate has adhered to the Guidelines and Procedures for Safeguarding Good Scientific Practice at RWTH Aachen University,
  - l) a brief summary of the dissertation of no more than two printed pages,
  - m) explanation and justification for deviations from the application in accordance with § 11.
- (3) If the dissertation was produced at an institution outside RWTH Aachen University, the candidate must submit a written declaration that the publication of the dissertation does not violate any existing trade secrets.
- (4) Certified copies of certificates are to be submitted unless they were already submitted with the application for admission to the doctoral program. Certified translations of certificates not in German are to be included on request. The candidate shall bear any costs incurred for obtaining the certificates.

## **§ 13**

### **Initiation of the Doctoral Procedure**

- (1) The doctoral committee initiates the doctoral procedure once a written application for the initiation of the doctoral procedure in accordance with § 12 has been received in full and the reviewers have declared that they are willing to provide an expert opinion. The procedure is initiated no later than one week of the scheduled meeting of the doctoral committee following the receipt of the application in full, unless there are reasons preventing the initiation of the procedure.
- (2) The reviewers are to be appointed upon initiation. The candidate shall be notified of the initiation immediately in writing. If the doctoral committee rejects the initiation of the doctoral procedure, the candidate shall be informed by the doctoral committee's chairperson immediately in writing, stating the reasons for this decision along with information on legal remedies.

- (3) An application to initiate the doctoral procedure that has been submitted to the University can be withdrawn within a week of the announcement of the initiation of the doctoral procedure.

## **§ 14**

### **Examination of the Dissertation**

- (1) The reviewers examine the dissertation and report back to the Faculty in separate written expert opinions, ideally within three months. They can request that the dissertation either be accepted, rejected, revised, or not even considered if they deem the Faculty not to be the responsible authority. They must furthermore include the reasons justifying their recommendation. An expert opinion supporting the acceptance of the dissertation must include a recommended grade. If a reviewer is not able to prepare their expert opinion within six months, the doctoral committee may appoint another reviewer.
- (2) Once the expert opinions have been received, the dean shall present the dissertation and the expert opinions to the Faculty's instructors and the members of the Faculty Council who have a doctorate degree to allow them to make a statement or, if necessary, submit a written objection. The dissertation and expert opinions shall be available for review for a period of 10 days. The start of this period is announced within the Faculty together with the planned examination date. The objection period expires at the end of the second working day following the end of the review period.
- (3) If the reviewers unanimously recommend the acceptance of the dissertation and no objection has been made, the dean shall determine that the dissertation is accepted. If the reviewers unanimously recommend the rejection of the dissertation and no objection has been made, the dean shall determine that the dissertation is rejected.
- (4) If the reviewers disagree on the acceptance of the dissertation or at least one of the reviewers recommends that the dissertation be revised or not considered and an objection has been submitted within the deadline, the dean shall present the dissertation to the doctoral commission. It shall discuss the submission within a reasonable period of time. It can recommend consulting further reviewers. The doctoral commission recommends whether the dissertation is to be accepted, rejected, revised, or not to be considered. If the recommendation is made unanimously, the dean shall make the necessary determinations. Non-consideration does not mean that the dissertation has been rejected.
- (5) If a unanimous recommendation in accordance with Paragraph 4 cannot be achieved, the dean shall present the dissertation together with the expert opinions, statements, and objections to the doctoral committee. Based on the recommendations, it shall make a decision immediately on the acceptance, rejection or revision of the dissertation, or non-consideration. Dissertation acceptance requires the submission of two supporting expert opinions.

## **§ 15**

### **Revision of the Dissertation**

- (1) In accordance with § 14 (4) and § 14 (5), the doctoral committee or the doctoral commission can ask the candidate to revise the dissertation once within a deadline. The conditions for the revision are to be put on record and are to be communicated. The deadline can only be extended once. If the deadline is exceeded, the doctoral committee or the doctoral commission shall inform the dean. The dean shall determine the dissertation rejected.
- (2) Once the dissertation has been revised within the deadline, it shall be reexamined in accordance with § 14. The expert opinion of the revised version must particularly address the question of whether the conditions in accordance with Paragraph 1 have been adequately met. The revised version of the dissertation may only be rejected if conditions have not been ade-

quately met or if there are strong scientific objections to sections that were rephrased or newly added to the dissertation during the revision that make rejecting the dissertation necessary.

## § 16

### Oral Examination/Defense

- (1) Once the dissertation has been accepted, the dean will arrange an oral examination or defense. It will be conducted by the doctoral commission in accordance with Paragraph 5.
- (2) The dean shall inform the university instructors of the Faculty of Electrical Engineering and Information Technology, the rector, the other deans, the members of the doctoral commission, and the members of the Faculty Council as well as the candidate of the time and place of the oral examination within a deadline of at least ten days in accordance with § 14 (2).
- (3) The members of the doctoral committee have the right to take part in the oral examination as guests. Other guests are only permitted with the consent of the candidate if they are members of RWTH Aachen University who hold a doctorate. Doctoral candidates who have started working on a dissertation topic are to be admitted as audience members, unless the candidate objects to this.
- (4) Each candidate shall be examined individually. The oral examination is conducted in German or English as agreed with the candidate.
- (5) The oral examination is conducted by the doctoral commission and lasts for at least one hour. It covers the dissertation as well as topics from the entire field of electrical engineering and information technology. A record on the proceedings and the result of the oral examination shall be prepared.
- (6) The doctoral commission shall decide the result immediately after the oral examination.
- (7) If the candidate fails the oral examination, it may only be repeated once and only at the same faculty. The candidate can enroll to repeat the examination no earlier than three months and no later than 18 months following the oral examination.

## § 17

### Publication of the Dissertation

- (1) Once the candidate has passed the doctoral examination, they shall present the dissertation to the dean for the approval of the version intended for publication. The dean shall issue this approval in agreement with the reviewers once any additional requirements that may have been stipulated are met.
- (2) The Faculty of Electrical Engineering and Information Technology is entitled to request that the doctoral candidate
  1. include a summary of their work of no more than one printed page and transfer the right to the University to publish this summary or offer it to a publisher or a database, and
  2. write the title, subtitle, and summary in two languages (usually in German and English).
- (3) The doctoral candidate is required to make their dissertation available in an appropriate manner to the scientific community by way of copying and distribution. This happens either by

- a) submitting a deposit copy to the Faculty and 30 deposit copies to the University Library in the form of a book or photo print, or
  - b) publishing it in a scientific journal; in this case, it is necessary to submit a deposit copy to the Faculty and 14 deposit copies to the University Library; it must also be stated, e.g. on the back of the title page, in which journal the dissertation is published (including the publisher and its location), all deposit copies must include the note "D 82 (Diss. RWTH Aachen University), [indicating the year of the oral examination], or
  - c) distribution in book stores by a commercial publisher with a minimum circulation of 150 copies (that may also be printed if necessary); in this case, it is necessary to submit a deposit copy to the Faculty and 14 deposit copies to the University Library; it must also be stated, e.g. on the back of the title page, which publisher published the dissertation (including the publisher and its location), all deposit copies must include the note "D 82 (Diss. RWTH Aachen University), [indicating the year of the oral examination], or
  - d) submitting an electronic copy to the University Library, the data format and transfer of which is to be agreed with the University Library, together with a deposit copy. The publication must include a summary in German and English. The doctoral candidate shall transfer the right to publish the electronic version in data networks to the University Library, the DDB (German Digital Library) in Frankfurt/Leipzig and, if applicable, the German Research Foundation's Special Collection Library and ensures that the electronic version corresponds with the accepted dissertation. The University Library shall check the delivered version to ensure it is legible and meets the specified requirements. The submission of files that do not meet the specified file format and data carrier requirements shall not be considered a publication. The doctoral candidate must also submit their agreement to publish their CV.
- (4) Depending on the number of expert opinions, the Faculty shall receive additional deposit copies, of which one shall be passed on to each of the appointed reviewers.
  - (5) All copies to be submitted must include a separate title page and the educational background of the author. They must be printed on age-resistant, wood-free and acid-free paper and permanently bound together. They must also be technically flawless. If it is determined that the copies do not meet these criteria, they shall be rejected. Rejected work shall be considered unpublished; the doctoral diploma shall therefore not be issued.
  - (6) The dissertation is to be published no later than one year after the oral examination. In justified exceptional cases, the dean may extend the deadline. If the candidate misses the deadline, all rights acquired with the examination shall expire.

## **§ 17a**

### **Joint Doctorate**

- (1) A doctoral procedure jointly supervised with an international university (partner university) requires entering into an individual cooperation contract for the performance and supervision of the doctoral project and evaluation and assessment of the doctoral degree requirements. The cooperation contract is entered into by the Faculty with the involvement of the supervisor.
- (2) The individual cooperation contract may stipulate that the involved universities must be represented equally on the doctoral commission.
- (3) After successfully completing the doctoral procedure, the Faculty of Electrical Engineering and Information Technology shall award an academic degree in accordance with § 1 (3) and the partner university an academic degree in accordance with its applicable regulations. These academic grades may not be used concurrently.

## § 18

### Doctoral Diploma

- (1) After the dissertation has been published, a doctoral diploma is issued and signed personally by the rector and the dean. The doctoral diploma bears the date of submission of the deposit copies to the University Library. The reviewers who recommend acceptance of the dissertation are to be named on the doctoral diploma. The doctoral procedure is completed when the doctoral diploma is issued. After receiving the doctoral diploma, the candidate has the right to carry the doctor title.
- (2) If the candidate has participated in courses by the Center for Doctoral Studies (CDS), they shall also receive a doctoral supplement documenting these achievements.

## § 19

### Honorary Doctorate and Renewal of the Doctoral Certificate

- (1) Upon request by the Faculty of Electrical Engineering and Information Technology, the Senate may award the academic degree and title of an honorary doctor of engineering (Dr.-Ing.) or science (Dr.rer.nat.) honoris causa (h.c.) to individuals who show extraordinary personal, scientific, technical, or artistic performances in a field in which the University specializes. They may not be members or associates of RWTH Aachen University.
- (2) The Faculty may only submit honorary doctorate applications for the doctoral degrees that it is entitled to award. In preparation for this application, the Faculty should obtain at least two external expert opinions. The Faculty Council shall decide on the application to the Senate in two sessions. The application requires the support of at least two thirds of the members of the doctoral committee.
- (3) The rector awards the honorary doctorate by presenting a doctoral certificate which commends the merits of the individual.
- (4) Doctors of the Faculty who are distinguished for their scientific or practical professional work may be honored with the renewal of the doctoral certificate after 25 or 50 years or on extraordinary occasions. The Faculty shall decide on this honor.

## § 20

### Revocation of the Doctoral Degree

- (1) The doctoral degree may be revoked
  - a) if it transpires that it was achieved on the basis of false statements regarding significant requirements for admission to the doctoral program,
  - b) if it transpires that it was achieved using deception regarding the doctoral degree requirements,
  - c) if academic misconduct has been determined in relation to the dissertation or
  - d) if the doctoral graduate has been sentenced to at least one year in prison after being found guilty of a deliberate crime.
- (2) If circumstances come to light that would justify the revocation of the doctoral degree in accordance with Paragraph 1, the doctoral graduate shall be consulted with regarding the ac-

cusations before the doctoral committee makes a decision. If an oral hearing is held, a record of the hearing is to be taken.

- (3) The doctoral committee shall communicate decisions detrimental to the doctoral candidate as well as the reasons for these decisions in writing and with information on legal remedies.
- (4) RWTH Aachen University shall inform all other German universities of the invalidity of the doctoral work or the revocation of the doctoral degree.
- (5) The provisions of Paragraphs 2 through 4 shall apply accordingly to the revocation of the degree and the title of an honorary doctor.
- (6) Following a decision in accordance with Paragraph 1, the doctoral diploma shall be revoked or invalidated in another way.

## § 21

### Viewing of Examination Records

After completing the oral examination, the candidate may submit a request to view their examination records. The application shall be submitted within a month of the announcement of the examination results. The chairperson of the doctoral committee shall determine the place and time to view the records.

## § 22

### Entry Into Force and Transitional Provisions

- (1) These regulations shall be published in the official announcements of RWTH Aachen University and will enter into force on the day after publication.
- (2) Candidates who have started their doctoral work before January 1, 2017 and do not wish to matriculate or return as a doctoral candidate of the Faculty can submit the application for the assessment of the admission requirements and the application for admission to the doctoral examination in accordance with § 11 and 12 of the Regulations Governing Doctoral Studies of the Faculty of Electrical Engineering and Information Technology dated June 3, 2008 in the version of the first regulation to amend the Regulations Governing Doctoral Studies dated December 15, 2015. The new regulations of § 11 and 12 shall apply to candidates who have started their doctoral work after January 1, 2017 or would like to matriculate or return as a doctoral student of the Faculty.

Issued based on the resolution of the Faculty Council of the Faculty of Electrical Engineering and Information Technology dated January 1, 2019.

Rector  
of RWTH  
Aachen University

Aachen, dated February 22,  
ed 2019

sgd. Rüdiger

Prof. Rüdiger