



Translation of the

**Doctoral degree regulations  
for the Faculty of Civil and Environmental Engineering  
at Ruhr-Universität Bochum**

of 10<sup>th</sup> April 2017 and the Statutes amending the Doctoral degree regulations  
of 22<sup>nd</sup> May 2019

The English translation exclusively serves informational purposes.  
Solely the German version is binding.

**Doctoral degree regulations for the Faculty of  
Civil and Environmental Engineering  
at Ruhr-Universität Bochum  
of 10th April 2017 and the Statutes amending  
the Doctoral degree regulations of 22nd May 2019**

Based on section 2 para. 4 in conjunction with section 67 para. 3 and 4 of the law on universities in the state of North Rhine-Westphalia (University Law - HG) of 16th September 2014 (GV. NRW. S. 547), Ruhr-Universität Bochum has issued the following specific doctoral degree regulations for the Faculty of Civil and Environmental Engineering on the basis of its general doctoral degree regulations of 4th November 2014:

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### Preamble

At Ruhr-Universität Bochum, it is possible to undertake a doctorate in all of the subjects and areas of research focus at the university.

With the general doctoral degree regulations, Ruhr-Universität Bochum expresses its responsibility for all doctorates in that it

- Guarantees a high level of transparency and quality in procedures and thus contributes to quality assurance;
- Both sets university-wide standards and takes into account subject-specific regulation requirements;
- Facilitates interdisciplinary doctoral projects and doctorates in cooperation with other universities.

Within the rules of the general doctoral degree regulations at Ruhr-Universität Bochum, the structure of the doctorate and the undertaking of the doctoral degree procedure are the responsibility of the faculties involved and institutions providing the doctorate. The Faculty of Civil and Environmental Engineering has adopted these rules in the present specific doctoral degree regulations and specified and supplemented them with subject-specific provisions.

The Research School supported by all of the faculties makes a generic and transferable qualification offer to all doctoral candidates and allows all doctoral candidates to structure the doctorate according to subject-specific stipulations and their own preferences.

Doctoral candidates are considered to be early career researchers.

Ruhr-Universität Bochum considers itself bound to a pronounced culture of support, which is evident in a supervision agreement signed by the doctoral candidate and the supervisors.

All doctoral candidates are obliged to enrol with the university in accordance with section 67 para. 5 HG. Acceptance as a doctoral candidate at the Faculty of Civil and Environmental Engineering is a prerequisite for enrolment for the doctorate.

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### § 1 Doctoral degree

- (1) Ruhr-Universität Bochum issues doctoral degrees via its faculties and doctorate-providing institutions.
- (2) The doctoral degree can be awarded as “Dr.” or as “Philosophiae Doctor” (PhD).
- (3) The following doctoral degree is acquired at the Faculty of Civil and Environmental Engineering at Ruhr-Universität Bochum: Doktor-Ingenieur (Dr.-Ing.).
- (4) A doctoral degree that has already been awarded cannot be acquired a second time.
- (5) At the Faculty of Civil and Environmental Engineering at Ruhr-Universität Bochum, an honorary doctoral degree can be awarded for special scientific achievements or for services to science as Doktor-Ingenieur Ehren halber (Dr.-Ing. E.h.).

### § 2 Purpose and procedure of gaining a doctorate

- (1) The doctorate demonstrates the ability to undertake independent academic work in the field of civil and/or environmental engineering beyond the general study aim in accordance with section 58 para. 1 HG. The ability is ascertained based on a written paper (doctoral thesis), which expands the state of knowledge in its field, and a viva voce examination.
- (2) The doctorate process comprises:
  1. Acceptance as a doctoral candidate,
  2. The writing of a doctoral thesis (i.e. a considerable written academic paper, section 11) and
  3. The conducting of a doctoral degree procedure.

The doctoral degree procedure consists of:

1. Approval for the doctoral degree procedure (section 9),
2. The taking of a viva voce examination (presentation and defence, section 13) and
3. The submission of the deposit copies of the doctoral thesis and the evidence of publication in accordance with section 16.

### § 3 Doctoral board

- (1) The doctoral board for the Faculty of Civil and Environmental Engineering decides on the conducting of a doctoral degree procedure and all matters regarding the observance of the doctoral degree regulations. The doctoral board can transfer the conducting of ongoing business to its chair. The doctoral board is the appeal body as defined by the Code of Administrative Procedure.
- (2) The following members belong to the doctoral board for the Faculty of Civil and Environmental Engineering:
  1. All full-time employed professors,
  2. All full-time employed junior professors,
  3. All habilitated persons, associate professors and adjunct professors employed in the faculty,

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4. Two members from the group of research assistants, at least one of whom must have a doctorate.

Research assistants with doctorates, to whom the rector at Ruhr-Universität Bochum has transferred the independent undertaking of tasks in teaching and research, belong to the group of professors according to clause 1; they have their rights and obligations without restriction. This applies analogously to all corresponding provisions of these doctoral degree regulations.

Members without doctorates from the group according to clause 4 have no voting right in decisions regarding academic and/or pedagogical content.

- (3) The members in accordance with para. 2 clause 4 are elected by the members of their group with a majority of votes and confirmed by the faculty council. The term of office is three years. Re-election is permitted.
- (4) Either the dean or his/her representative holds the chair of the doctoral board.
- (5) The meetings of the doctoral board are private. They are called by the chair. The doctoral board has a quorum if the majority of its members are present. It makes its decisions with the majority of the members present who have voting rights in all regards. In the event of a tied vote, the chair has the casting vote. Minutes are to be taken under the responsibility of the chair for every meeting.
- (6) The doctoral board has the following tasks in particular:
  1. Decision regarding acceptance as a doctoral candidate in accordance with section 6,
  2. Decision regarding approval for the doctoral degree procedure in accordance with section 9,
  3. Specification of studies in preparation for a doctorate in accordance with section 5 para. 1 letter b,
  4. Specification of further credits and other achievements in accordance with section 5 para. 2,
  5. Commencement of the doctoral degree procedure with appointment of the doctoral committee in accordance with section 10,
  6. Decision regarding the acceptance of the doctoral thesis in accordance with section 12,
  7. Setting of the date of the viva voce examination; if not passed, setting of the deadline for re-examination in accordance with section 13 para. 1 and 10,
  8. Determination of the unsuccessful termination of doctoral degree procedures in accordance with section 12.
- (7) The applicant is to be notified in writing of the decision of the doctoral board regarding the unsuccessful termination of the doctoral degree procedure, with a statement of the reasons. The decision is to be provided with instructions on the right to appeal.
- (8) The doctoral board can delegate individual duties to the chair in accordance with para. 6.

### § 4 Interdisciplinary doctoral board

- (1) In the event of interdisciplinary doctoral degree procedures, a joint doctoral board can be established by the doctoral boards of the faculties involved and the doctorate-providing institutions at the proposal of the first supervisor. This doctoral board consists of the doctoral board chairs of the faculties involved and doctorate-providing institutions at Ruhr-Universität Bochum and at least four further members from the respective faculties or doctorate-providing

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institutions. This interdisciplinary doctoral board exists only for the duration of the doctoral degree procedure.

- (2) The further members of the interdisciplinary doctoral board are elected by the doctoral boards of the faculties involved and doctorate-providing institutions for the duration of the procedure and are recruited from the status groups stated under section 3 para. 2.
- (3) The degree “Philosophiae doctor” (PhD) is generally awarded for interdisciplinary doctoral degree procedures. Upon application, one of the other degrees stated in section 1 para. 3 of the general doctoral degree regulations can also be awarded by the faculties involved.
- (4) In the event of an interdisciplinary doctoral degree procedure, the deans’ offices of the affected faculties and doctorate-providing institutions independently and amicably govern the administrative responsibilities for the procedure.
- (5) Section 3 para. 6, 7 and 8, and section 19 apply correspondingly.

### § 5 Requirements for a doctorate

- (1) Access to a doctorate is given to those who demonstrate
  - a) A degree following relevant university studies with a standard period of study of at least eight semesters, for which a degree other than a bachelor’s degree is awarded, or
  - b) A degree following relevant higher education studies with a standard period of study of at least six semesters and subsequent suitable studies in preparation for the doctorate, or
  - c) A degree from a relevant Master’s course as defined by section 61 para. 2 clause 2 HG.

The courses of study at the Faculty of Civil and Environmental Engineering and the Faculty of Mechanical Engineering at Ruhr-Universität Bochum and equivalent courses at other universities are generally relevant here.

- (2) Those who fulfil the qualification in accordance with para. 1 and have an above-average degree or outstanding professional qualifications for the doctoral project can be approved for a doctorate. The doctoral board can specify suitable requirements upon approval for the doctorate in accordance with para. 1. These are usually two additional examinations from a Master’s course. The type and scope are specified at the proposal of the first supervisor by the doctoral board. The examinations can be retaken once. Applications from persons with degrees from universities and higher education establishments are to be handled equally with regard to access to the doctorate.
- (3) Those who have acquired a qualified degree in a field other than that stated under para. 1, who work or have worked as a research assistant in the faculty (at least two years) and whose subject of study is an engineering, mathematical or scientific subject are usually approved for the doctorate with no additional requirements. The application for approval for a doctorate is supplemented in this regard by an assessment by the first supervisor.
- (4) Approval in accordance with para. 1 letter b) can take place with a very good degree in the standard period of study and subsequent appropriate studies in preparation for the doctorate. The overall grade of the degree must be at least “very good” and the degree thesis assessed as at least 1.0. The studies in preparation for the doctorate worth at least 60 CPs from the curriculum of the associated Master’s course are specified by the doctoral board in consultation with

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the applicant. The achievements of the preparatory studies must be gained within one academic year and passed on average with a minimum grade of “very good”. Acceptance as a doctoral candidate can then be requested.

- (5) For people who have achieved their degree in countries outside of the European Union, the same requirements apply where the equivalence of the degree has been established. The doctoral board decides on the equivalence of the degrees based on the intergovernmental agreements, the classification of the university at which the degree was acquired, and based on agreements with partner universities. In the event of doubts regarding equivalence, the Central Office for Foreign Education Systems should be consulted.
- (6) To commence a doctorate at the Faculty of Civil and Environmental Engineering at Ruhr-Universität Bochum, the doctoral board must have ascertained that the applicant possesses sufficient knowledge in a prevalent scientific language – either German or English.

### § 6 Acceptance as a doctoral candidate

- (1) An application for acceptance as a doctoral candidate is to be addressed in writing to the chair of the doctoral board, stating the working title of the planned doctoral thesis. The acceptance is associated with the obligation to enrol at Ruhr-Universität Bochum and admission to the RUB Research School.
- (2) The following documents are to be enclosed with the application:
  1. A curriculum vitae stating the educational background,
  2. Certified copy of a degree certificate in accordance with section 5 para. 1,
  3. Certified copy of a certificate providing eligibility for studies at a German university or another university entrance qualification,
  4. A signed supervision agreement in accordance with section 7 para. 8,
  5. Acknowledgement of the “guiding principles for research” in the respective current version, documented with a signature,
  6. A declaration regarding whether and, if necessary, when and where the applicant has already undertaken or is undertaking an attempt at a doctorate,
  7. The consent of a further person if the first supervisor is a temporary member of the faculty,
  8. Upon approval in accordance with section 5 para. 1 b, evidence of the studies undertaken in preparation for the doctorate.
- (3) The doctoral board decides on the acceptance. Acceptance must be refused if
  - a) The formal requirements for the doctorate are not met,
  - b) No competent member is available at Ruhr-Universität Bochum to act as one of the two supervisors,
  - c) The provision of work equipment and/or a workstation is not ensured.
- (4) The doctoral board can neither arrange for a member of Ruhr-Universität Bochum to accept or reject a candidate as a doctoral candidate nor assign doctoral candidates to a member of Ruhr-Universität Bochum for supervision against their will.
- (5) The applicant is informed of the decision in writing. Requirements in accordance with section 5 para. 2 and 3 are formulated in this. A rejection is to be justified. Upon acceptance, the applicant is added to the directory of doctoral candidates. Acceptance as a doctoral candidate is not associated with a decision regarding approval for the doctoral degree procedure.

### § 7 Supervision and supervision agreement

- (1) Acceptance as a doctoral candidate justifies a claim to referral by the doctoral board, supervision by at least two supervisors and approval in accordance with section 9 for the evaluation of the doctoral thesis. The first supervisor must be educated in the subject area that is relevant to the doctoral project. The second supervisor can represent a different subject area than the first supervisor.
- (2) The first supervision of doctoral projects can be undertaken by:
  - a) All persons who are members of the doctoral board in accordance with section 3 para. 2 clauses 1 to 3 upon commencing the supervisory relationship,
  - b) Persons in retirement at Ruhr-Universität Bochum who were members of the doctoral board in accordance with section 3 para. 2 clauses 1 to 3 immediately before entering retirement.
- (3) The second supervision can also be assumed by university lecturers in another faculty or at another higher education institution in Germany or abroad, in addition to the persons stated in para. 2. Research assistants with doctorates of the faculty who have the same subject-specific qualifications as junior professors can be appointed as supervisors by an individual decision of the doctoral board.
- (4) If the first supervisor leaves the Faculty of Civil and Environmental Engineering, he/she can continue supervision for a duration of up to three years.
- (5) For doctorates for which the doctoral thesis is not written in the faculty (external doctorates), continuous supervision is required by the proposing university lecturer of the faculty.
- (6) In the event of good cause, the doctoral board can appoint another suitable academic as a supervisor during the doctorate at the request of the supervisor or the doctoral candidate. Good cause exists in the event of a breakdown of the relationship of trust among those involved. If no supervisory relationship can be arranged, acceptance as a doctoral candidate in accordance with section 6 is withdrawn.
- (7) In cases of conflict, the responsible doctoral board and – for doctoral candidates – the ombudsman at RUB Research School as well as – for the supervisor – the ombudsman at Ruhr-Universität Bochum are available as points of contact.
- (8) The rights and obligations of doctoral candidates and supervisors are governed by a supervision agreement, which must contain the following elements:
  1. Name of the doctoral candidate, name of the first supervisor and start of the doctoral project,
  2. Working title of the anticipated doctoral thesis,
  3. A synopsis that describes the research questions of the anticipated doctoral thesis and the research methods.
  4. Recommendation of the supervisors with regard to the determination of requirements,
  5. Signatures of the doctoral candidate and supervisors. The name and signature of the second supervisor should be submitted at the latest 24 months after submission of application.

### § 8 Structuring of the doctorate

Ruhr-Universität Bochum offers doctoral candidates the possibility of structuring their doctorate. Where necessary, they can acquire a qualification profile coordinated to their individual research project by making use of the qualification opportunities in the faculty or the RUB Research School. Courses as part of innovative training networks, doctoral courses or other subject-specific formats for the structured doctorate and courses from the RUB Research School can be recognised.

### § 9 Approval for the doctoral degree procedure

- (1) Those who submit a doctoral thesis and meet the requirements of sections 5 and 6 are approved for the doctoral degree procedure.
- (2) Following completion of the doctoral thesis, the doctoral candidate addresses a written application for approval for the doctoral degree procedure to the chair of the doctoral board. The following documents are to be enclosed with the application:
  1. Printed copies of the doctoral thesis in bound form, which include a tabular CV at the end with information regarding educational background; the number of copies of the doctoral thesis corresponds to the number of members of the doctoral committee in accordance with section 10 plus one copy for the procedural file.
  2. A one-sided summary of the doctoral thesis in German or English, which includes the title of the doctoral thesis and the name of the applicant and is signed by this person as well as the first supervisor,
  3. A data carrier with the doctoral thesis in electronic form as a document with full-text search capabilities as well as the summary in accordance with para. 2,
  4. A signed declaration with the following wording: "I declare on oath that I have written the submitted doctoral thesis independently and without unauthorised third-party assistance, have not used any literature other than the literature stated, and that I have indicated all sections of text incorporated in full or paraphrased as well as any graphics, tables and evaluation programmes used. Furthermore, I affirm that the submitted electronic version corresponds to the written version of the doctoral thesis and the paper has not been submitted or assessed as doctoral work in this or a similar form.",
  5. A declaration that digital diagrams only contain the original data or clear documentation of the nature and scope of content-amending image editing,
  6. The written assurance that no commercial mediation or consulting has been obtained,
  7. Where necessary, a declaration by the applicant regarding the exclusion of the university public at the viva voce examination as defined by section 63 para. 4 HG,
  8. In interdisciplinary procedures, proposal of the academic degree to be awarded.
  9. Information concerning which university lecturer in the faculty has supervised the work,
  10. An official copy of the criminal record if exmatriculation took place more than three months before submission of application and the applicant is not employed in the civil service,
  11. Evidence regarding the meeting of requirements where acceptance as a doctoral candidate has been granted in accordance with section 5 para. 2. If the requirements are not met successfully, the doctoral board withdraws acceptance as a doctoral candidate.
- (3) The doctoral candidate can make proposals with regard to appointments to the doctoral committee in his/her application.

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- (4) The doctoral board decides on approval for the doctoral degree procedure and the commencement of the doctoral degree procedure based on the submitted documents. Approval can be declined if
- The documents were not submitted or not submitted in full by the set deadline,
  - Approval was requested at another university at the same time,
  - Parts of the doctoral thesis were not written by the candidate him/herself or the thoughts and writings of someone else's work were not clearly indicated.

Commencement can also be denied if one of the reasons stated in section 17 para. 5 for the revocation of the doctoral degree exists for the doctoral candidate.

- (5) The applicant is informed of the decision in writing. A rejection is to be justified and provided with instructions on the right to appeal. If the application is rejected, all of the submitted documents with the exception of one copy of the doctoral thesis are to be returned to the applicant.

### § 10 Doctoral committee

- (1) The doctoral board determines a doctoral committee with a chair for every doctoral degree procedure. The chair of the doctoral committee is determined by the doctoral board by choosing from the members of the faculty stated under section 3 para. 2 under clauses 1 and 2. The doctoral committee is the committee responsible for conducting the viva voce examination and determining the overall grade.
- (2) The doctoral committee consists of at least the chair, the evaluators of the doctoral thesis and, if the subject area of the chair corresponds to the subject area of the doctoral thesis, a member unfamiliar with the subject from the group of university lecturers, whose subject area does not fall within the subject area of the doctoral thesis. If the supervision and evaluation are not undertaken by the same person, the supervisors are also members of the doctoral committee if they are university lecturers. For cumulative doctoral theses, at least one evaluator who is not also the co-author of a contribution to the cumulative doctoral thesis must be involved.
- (3) If the doctoral candidate is approved for the doctoral degree procedure, the doctoral committee appoints the evaluators for the doctoral thesis. Every doctoral thesis is evaluated by at least two evaluators. The evaluators are obliged to submit independent written evaluations.
- (4) The first evaluation is generally written by the first supervisor of the doctoral thesis. When appointing the second evaluator, the proposals of the doctoral candidate should be taken into account where possible. At least one evaluator must belong to the group of people stated in section 3 paragraph 2 clause 1 to 3. If a research assistant with a doctorate of the faculty has supervised the doctorate in accordance with section 7 para. 3, the doctoral board may appoint her or him as an additional evaluator. The following can be appointed as evaluators:
- Members of the doctoral board in accordance with section 3 para. 2 clauses 1 to 3,
  - Persons in retirement at Ruhr-Universität Bochum who were members of the doctoral board in accordance with section 3 para. 2 clauses 1 to 3 immediately before entering retirement,
  - Qualified professors or habilitated research assistants in other faculties at Ruhr-Universität Bochum or other universities.

Upon request, decision-making takes place via a secret ballot.

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- (5) All members of the doctoral committee have the right to vote. The doctoral committee decides with a simple majority of votes. In the event of a tied vote, the chair has the casting vote. Abstention is not permitted.
- (6) If a previously appointed member of the doctoral committee is not able to undertake the doctoral degree procedure (e.g. due to absence resulting from illness), the chair of the doctoral board elects a substitute member.

### § 11 Doctoral thesis

- (1) The doctoral candidate must demonstrate the ability to undertake independent research in his/her field of research in the doctoral thesis. The doctoral thesis must contain the candidate's own, new research findings and fulfil academic requirements in terms of their presentation. It must be possible to allocate them to a subject area that is represented by a university lecturer at the faculty. The doctoral board decides upon exceptions to this regulation.
- (2) The doctoral thesis or a part thereof may not be or have been used in any other doctoral degree procedure or comparable procedure at a university in Germany or abroad, insofar as these regulations do not state otherwise.
- (3) The doctoral thesis must be written in German or English.
- (4) The doctoral thesis is to be submitted in a bound or stitched form ready for printing to the chair of the doctoral board.
- (5) An advance publication of doctoral thesis results is agreed by mutual agreement between the first supervisor and the doctoral candidate. Results published in advance are to be indicated in the doctoral thesis.
- (6) If the doctoral thesis is the result of joint research, the individual contribution by the doctoral candidate must be correspondingly documented or presented in detail.
- (7) Several academic works can be recognised as a doctoral thesis if they have a thematic link and, in their entirety, meet the requirements in accordance with section 11 para. 1 (cumulative doctoral thesis). A cumulative doctoral thesis consists of at least three publications in international publication media with review procedures. These are supplemented by a paper that introduces the topic, explains the conceptual framework of the individual works, and summarises the achieved results (summary). The implementation regulations of the doctoral board govern this in more detail. A cumulative doctoral thesis requires the consent of the first supervisor and must be requested at the latest with the submission of an application for approval for the doctoral degree procedure by the doctoral candidate to the doctoral board and approved by this.
- (8) The doctoral thesis can be withdrawn by the doctoral candidate if no evaluation yet exists. In this case, the doctoral thesis is considered not submitted and the doctoral degree procedure as not commenced. If the doctoral candidate withdraws the doctoral thesis at a later date, the doctoral degree procedure is terminated without success.
- (9) A copy of the doctoral thesis is retained at Ruhr-Universität Bochum as per the "Directives on the Retention, Separation, Archiving and Destruction of Files", even if the procedure is terminated without success.

### § 12 Assessment of the doctoral thesis

(1) The doctoral thesis is transferred to the evaluators by the doctoral board. They each provide a recommendation to the doctoral committee in independent written evaluations regarding the acceptance, supplementation, reworking or rejection of the work, generally within three months of transferral of the doctoral thesis. In the event of acceptance, they also propose an assessment in accordance with para. 2.

(2) The assessment takes place with the marks and grades:

Marks 1.0 or 1.3	grade very good,
Marks 1.7; 2.0 or 2.3	grade good,
Marks 2.7; 3.0; 3.3	grade satisfactory,
Marks 3.7; 4.0	no grade.

The assessment may include the proposal that the doctoral committee may deliberate on the allocation of the grade “with distinction” in the overall assessment in accordance with section 14 para. 4.

- (3) If an evaluator recommends returning the doctoral thesis to the doctoral candidate with suggested supplements or reworking, the doctoral committee decides on this and may set a suitable deadline for re-submission. If the deadline is not observed, the doctoral thesis is considered rejected.
- (4) It is only possible to return the doctoral thesis and re-submit it once in accordance with para. 3. Upon re-submission, the doctoral thesis is to be presented to the same evaluators as before the return.
- (5) The evaluators can link their assessment to a requirement to supplement and rework the doctoral thesis for printing.
- (6) If the marks of the evaluators differ by more than a whole mark, the dean or vice dean is entitled to obtain a further evaluation prior to a majority decision by the doctoral board. If one of the evaluators recommends rejecting the doctoral thesis, the doctoral board is to appoint a further evaluator, who also becomes a member of the doctoral committee.
- (7) The doctoral thesis and the evaluations are made accessible to the members of the doctoral committee and all members of the doctoral board by being put on display in the dean's office for two weeks. The stated group of people is to be notified in writing of the display period.
- (8) Every member of the doctoral board in accordance with section 3 para. 2 clauses 1 to 3 has the right to make a statement on the doctoral thesis and the evaluations, whereby the statement must be registered during the display period and submitted to the dean.
- (9) The doctoral board decides on the ultimate acceptance or rejection of the doctoral thesis based on the evaluations and any statements.
- (10) If the doctoral thesis is rejected, the doctoral degree procedure is concluded. One further work or a fundamentally revised version of the current work on the same topic can be submitted at the earliest after six months. If a further rejection is issued, no further attempts at a doctorate in the faculty are permitted.

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### § 13 Viva voce examination

- (1) If the doctoral thesis is accepted, the doctoral board sets the date for the viva voce examination in agreement with the candidate at the suggestion of the chair of the doctoral committee. The doctoral candidate is to be informed of the date at the latest two weeks prior to this, a shorter period is possible with his/her consent.
- (2) The viva voce examination should be undertaken within six months following submission of the doctoral thesis. If the candidate misses an examination date or the examination is halted, the examination is considered to have not been passed, unless there is good cause, which must be reported immediately in writing and shown to be credible. In the event of illness, a medical certificate is to be submitted. If the doctoral committee acknowledges the reason, a new examination date is set.
- (3) Members of the doctoral board, the doctoral committee and, where applicable, the current supervisors of the doctoral thesis are invited to the viva voce examination.
- (4) The viva voce examination is undertaken by the doctoral committee under the leadership of the chair. Members of the doctoral committee and the members of the doctoral board who are eligible to provide supervision are entitled to ask questions in the defence (section 7, para. 2).
- (5) In the viva voce examination, the doctoral candidate should demonstrate that he/she is able to present the results of the doctoral thesis in a comprehensible manner, justify them when faced with questions and objections, discuss them academically, place them in an academic context, and that he/she has suitable knowledge in the doctoral subject area.
- (6) The viva voce examination consists of a 30-minute presentation by the doctoral candidate on the most important results of the doctoral thesis. Furthermore it includes a subsequent discussion (defence) between the doctoral committee and the candidate of about an hour regarding the doctoral thesis and the doctoral subject area. The presentation and the defence are to be given in German or English.
- (7) The viva voce examination is open to members of the university in accordance with section 63 para. 4 HG. If a declaration exists in accordance with section 9 para. 2 clause 7, the university public is to be excluded. Guests may be invited. The doctoral board is not considered part of the university public. The number of listeners can be limited by the chair of the doctoral committee for reasons of space.
- (8) Minutes are to be kept of the result of the viva voce examination, which are to be signed by the members of the doctoral committee.
- (9) Immediately after the viva voce examination is finished, the doctoral committee decides in a non-public meeting whether the performance of the doctoral candidate meets the requirements for the viva voce examination stated in section 13 para. 5 and 6 and assesses these, in the event of a positive decision, with a mark and a grade in accordance with section 12 para. 2.
- (10) If the viva voce examination is assessed as not passed, it can be retaken once at the earliest after six months, at the latest after three years. A further repeat is only possible in justified exceptional cases following approval by the doctoral board. Section 13 para. 1 applies accordingly to repeat examinations.

### § 14 Assessment of the doctorate

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- (1) Immediately after the viva voce examination is finished, the doctoral committee decides in a non-public meeting whether the overall performance of the doctoral candidate meets the requirements stated in section 2.
- (2) The mark for the doctoral thesis is an arithmetic mean of the marks awarded by the evaluators.
- (3) The doctoral committee then determines an overall grade for the doctorate, taking into account the marks of the doctoral thesis and the viva voce examination. The mark for the doctoral thesis with a weighting of two thirds and the mark for the viva voce examination with a weighting of one third are taken into account in the overall grade for the doctorate.
- (4) If all of the individual performances have been rated with the grade “very good” and at least one evaluator has suggested deliberating on the awarding of the grade “with distinction” in accordance with section 11 para. 2, the doctoral committee can award the grade “with distinction” instead of a grade in accordance with section 12 para. 2 in outstanding exceptional cases and taking into consideration the overall impression. Only the overall grade is to be noted on the doctoral certificate.
- (5) The chair of the doctoral committee notifies the doctoral candidate in camera of the result of the deliberations and the overall assessment immediately following the decision of the doctoral committee.
- (6) If the examination has been passed, the qualification phase of the doctorate is completed. The chair of the doctoral board issues a provisional certificate for this on the condition of the outstanding deposit copies. This certificate does not yet entitle the holder to bear the title of doctor.

### § 15 Right of appeal

- (1) Rejection decisions made in accordance with this regulation are to be justified in writing, provided with instructions on the right to appeal, and announced to the doctoral candidate.
- (2) In accordance with the regulations of the Code of Administrative Procedure, an objection can be submitted against decisions by the doctoral committee and the doctoral board within one month of announcement to the chair of the doctoral board in writing or in the minutes where the notice relates to the assessment of examination results.
- (3) The doctoral board can amend decisions against which objections have been raised. If the objection is directed against the assessment of doctorate performance by the doctoral committee, an amended decision can only be made with the consent of the doctoral committee that decided on the contested assessment. If the objection is not remedied, a notification of objection is issued by the chair of the doctoral board. The notification of objection is to be justified, provided with instructions on the right to appeal and delivered.
- (4) After the completion of the doctoral degree procedure, i.e. when the certificate has been handed over, the candidate or a person appointed by her/him has the right to access all written doctoral documents within a period of three months. These documents are not accessible to third parties.

### § 16 Deposit copies and publication

- (1) Once the viva voce examination has been passed, the chair of the doctoral board informs the doctoral candidate whether binding modifications are to be made to the doctoral thesis before

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publication in accordance with section 12 para. 5. The correspondingly revised manuscript is to be submitted to the first evaluator for approval prior to production of the deposit copies. The deposit copy for the procedural file is to be countersigned by the first evaluator.

- (2) The doctoral candidate is obliged to render his/her doctoral thesis accessible to the academic public within a suitable period of time. This obligation is fulfilled with the submission of a total of five printed copies (three in the university library and two in the dean's office of the faculty), one of which remains in the examination file. In addition, one electronic version is to be submitted to each the university library and the dean's office, whereby the file format and the data carrier are to be coordinated with the university library. Upon submission of the deposit copies, the doctoral candidate must declare in writing to the dean that the submitted electronic version corresponds in terms of form and content to the evaluated version that has been approved for publication.
- (3) The deposit copies must be submitted within one year following the viva voce examination. In the event of a justified application before the expiration of the deadline, the doctoral board can extend the delivery deadline once. If the doctoral candidate misses these deadlines, all rights acquired as a result of the examination expire.
- (4) As, in the event of a cumulative doctorate, key parts of the doctoral thesis have already been published upon submission or have been accepted for publication by a journal, paragraphs 1 to 3 only relate to the supplementary academic paper (summary including reference to the publications belonging to the work).

### **§ 17 Doctoral certificate; holding and revocation of the doctoral degree**

- (1) The doctorate certificate is issued and awarded on the day of the viva voce examination, once the doctoral candidate has fulfilled the obligations in accordance with section 16. The doctorate certificate only contains the overall grade. It is signed by the dean. Section 4 para. 4 applies accordingly in the event of interdisciplinary doctoral degree procedures.
- (2) With the issuance of the doctorate certificate, the doctorate is complete and the now doctorate holder is entitled to bear the title 'Doktoringenieurin (Dr.-Ing.)' or 'Doktoringenieur (Dr.-Ing.)'.
- (3) If the doctoral candidate has been approved in accordance with section 5 para. 1 letter b) and, following the preparatory studies, has acquired a further 60 CPs in the subject area selected for the studies in preparation for a doctorate, he/she receives a diploma for the corresponding qualification of a Master of Science with the doctoral certificate.
- (4) If it is ascertained before the issuance of the doctoral certificate that the doctoral candidate is guilty of fraud within the doctoral degree procedure, the doctoral board can reject the doctorate and declare the procedure as invalid.
- (5) The revocation of the doctoral degree and the confiscation of the doctoral certificate can take place if the doctorate holder
  - a) Has obtained the doctoral degree through scientific misconduct, fraud or fundamentally incorrect information, or if the prerequisites of approval for the doctorate were wrongly assumed to have been met,
  - b) Is sentenced to imprisonment of at least one year due to an intentional criminal offence,
  - c) Is sentenced due to an intentional criminal offence, in the preparation or perpetration of which he/she has misused the doctoral degree,

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- d) Proves to be unworthy of bearing the title of doctor due to subsequent scientific misconduct.
- (6) The decision regarding the revocation of the doctoral degree lies with the faculty council with the majority of its members with doctorates. The decision is announced to the doctoral candidate by the dean.
- (7) The rector of Ruhr-Universität Bochum informs the responsible ministry of the revocation of the doctoral degree.

### § 18 Doctoral degree procedure in cooperation with other universities

The doctoral boards can agree with other, especially foreign, universities on the undertaking of joint doctoral degree procedures and the joint awarding of a doctoral degree. Corresponding contracts are to be signed by the faculty/faculties involved and the doctorate-providing institution(s); these can contain deviations from the provisions of these regulations.

### § 19 Honorary doctorate

- (1) The faculty council can issue, as an exceptional award, the title of 'Doktor-Ingenieur Ehrenhalber (Dr.-Ing. E.h.)' in accordance with section 1 para. 5 to personalities who have made outstanding scientific contributions or technical achievements and are not university lecturers at Ruhr-Universität Bochum.
- (2) The procedure can only be initiated upon application by a third of the professorship of the faculty to the chair of the doctoral board. An acceptance of the application requires the consent of two-thirds of the members of the doctoral board.
- (3) If the doctoral board supports the initiation of the procedure, it selects from among its members a committee consisting of the dean as chair and four further professors. This reports to the doctoral board on the merits of the person being honoured.
- (4) A four-fifths majority of the members of the doctoral board is required for the doctoral board to submit a recommendation to the faculty council regarding the decision on an honorary doctorate. Members with voting rights who are prevented from participating personally in the vote can submit their vote in writing.
- (5) The honorary doctorate is presented formally by the dean by awarding a certificate.

### § 20 Renewal of the doctorate certificate

- (1) The doctoral certificate can be renewed in a formal manner in the 50th anniversary year of its issuance at the proposal of the faculty ("golden doctorate").
- (2) Paragraph 1 applies correspondingly to the 25th anniversary year ("silver doctorate").
- (3) The awarding takes place where possible centrally in the university as part of an official ceremony.

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### § 21 Entry into force, transitional provisions and amendments

- (1) The doctoral degree regulations of the Faculty of Civil and Environmental Engineering enters into force on the day after its publication in the Official Announcements of Ruhr-Universität Bochum.
- (2) Doctoral degree procedures that are commenced after these doctoral degree regulations enter into force are undertaken in accordance with these doctoral degree regulations.
- (3) Admission requirements that were adopted according to the previous doctoral degree regulations fundamentally remain unchanged unless the applicant requests validation in accordance with these doctoral degree regulations.
- (4) Procedures that have already commenced are completed in accordance with the doctoral degree regulations valid at the time that the procedures were commenced.

Issued on the basis of the decision by the faculty council of the Faculty of Civil and Environmental Engineering at Ruhr-Universität Bochum on 19.10.2016.

Bochum, 10<sup>th</sup> April 2017

The Rector  
at Ruhr-Universität Bochum  
University professor Dr. Axel Schölmerich