



## **Doctoral degree regulations of the Hamburg University of Technology dated December 18, 2024**

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On March 19, 2025, the Executive Board of the Hamburg University of Technology (TUHH) approved the new version of the doctoral degree regulations of the Hamburg University of Technology adopted by the Academic Senate of the TUHH on December 18, 2024 on the basis of Section 85 (1) No. 1 in conjunction with Section 70 (6) of the Hamburg Higher Education Act (HmbHG) of July 18, 2001 (HmbGVBl. 2001, p. 171), last amended on July 11, 2023 (HmbGVBl. p. 243) in accordance with Section 108 (1) HmbHG:

### **§ 1 Right to award doctorates**

(1) Hamburg University of Technology awards academic degrees on the basis of these regulations:

1. Doktor-Ingenieurin oder Doktor-Ingenieur (Dr.-Ing.),
2. Doktorin der Naturwissenschaften oder Doktor der Naturwissenschaften (Dr. rer. nat.),
3. Doktorin der Wirtschafts- und Sozialwissenschaften oder Doktor der Wirtschafts- und Sozialwissenschaften (Dr. rer. pol.),
4. Doktorin der Philosophie oder Doktor der Philosophie (Dr. phil.).

(2) The doctorate is awarded on the basis of a scientific paper (dissertation) and a public presentation followed by an oral examination.

(3) Hamburg University of Technology shall also award academic degrees in accordance with § 19:

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1. Doktor-Ingenieurin Ehren halber oder Doktor-Ingenieur Ehren halber (Dr.-Ing. E.h.),
2. Doktorin der Naturwissenschaften Ehren halber oder Doktor der Naturwissenschaften Ehren halber (Dr. rer. nat. h.c.),
3. Doktorin der Wirtschafts- und Sozialwissenschaften Ehren halber oder Doktor der Wirtschafts- und Sozialwissenschaften Ehren halber (Dr. rer. pol. h.c.),
4. Doktorin der Philosophie Ehren halber oder Doktor der Philosophie Ehren halber (Dr. phil. h.c.).

## **§ 2 Doctoral committee**

(1) The Doctoral Committee is a standing committee of the Academic Senate. It decides, in agreement with the Dean of Studies concerned, whether the requirements of a doctoral candidate for admission to doctoral studies have been met. The Doctoral Committee also decides on the application to open a doctoral procedure (§ 6), on the selection of the supervisor (§ 7), the chairperson of the Examination Board (§ 13) and, in agreement with the Dean of Studies concerned, on the selection of the assessors (§§ 9, 10) and the examiners (§ 13). It shall ensure that the doctoral procedure is conducted in an orderly and expeditious manner.

(2) The doctoral committee consists of five members from among the professors and two members with a doctorate from among the academic staff.

(3) The members of the Doctoral Committee are elected by the Academic Senate for a period of two years from among the members of the Technical University. When electing the members, the Academic Senate shall ensure that the range of subjects offered by the Deans of Studies is taken into account. The Academic Senate appoints the Chairperson from among the professorial members of the Doctoral Committee. The Doctoral Committee elects a deputy chairperson from among its professorial members.

## **§ 3 Requirements for the doctorate Dr.-Ing., Dr. rer. nat, Dr. rer. pol. and Dr. phil.**

(1) The prerequisite for admission to doctoral studies is generally a relevant academic degree from a German academic university with a diploma, a Master's degree or a state examination. The applicant must demonstrate an aptitude for in-depth independent academic work. This is evidenced by a degree certificate (Diplom, Master's, state examination), which must generally show an overall grade of at least "good" (equivalent to "fully satisfactory" for the state examination in law).

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(2) The academic degree Dr.-Ing. may be awarded if the dissertation is of an engineering nature and the doctoral candidate has in-depth scientific knowledge in the subject area of the dissertation.

(3) The academic degree Dr. rer. nat. may be awarded if the dissertation is of a scientific nature and the doctoral candidate has in-depth scientific knowledge in the subject area of the dissertation.

(4) The academic degree Dr. rer. pol. may be awarded if the dissertation is of an economic or social science nature and the doctoral candidate has in-depth academic knowledge in the subject area of the dissertation.

(5) The academic degree Dr. phil. may be awarded if the dissertation is of a humanities nature and the doctoral candidate has in-depth academic knowledge in the subject area of the dissertation.

(6) If the in-depth academic knowledge in the subject area of the dissertation required in paragraphs 2 to 5 is not already by the high-quality completion of a relevant academic degree within the meaning of paragraph 1, the Doctoral Committee shall examine whether the doctoral candidate nevertheless has comprehensive knowledge in the subject area of the dissertation. For this purpose, the Doctoral Committee may require additional evidence and knowledge tests.

(7) Graduates of universities of applied sciences with at least a good degree from a university of applied sciences may be admitted to doctoral studies if the doctoral committee determines that the doctoral candidate has in-depth knowledge of engineering, natural sciences, economics, social sciences or humanities in the subject area of his or her degree program and in the subject area of the dissertation, if this differs from the subject area of the degree program. In order to determine the in-depth knowledge in the subject area of the degree program, the doctoral committee may require knowledge examinations consisting of at least three examinations from the degree program of the Hamburg University of Technology, taking into account in particular basic subjects from the Bachelor's degree program, by naming the examiners. The examinations must relate to courses of study at the University of Technology that are most closely related to the course of study completed by the doctoral candidate at the University of Applied Sciences. All examinations must be taken and passed within one year; the weighted average grade of these examinations must be "good" or better. The credit points of the respective examinations serve as weighting factors. In the event of failure, each examination may be repeated once. If the subject area of the dissertation differs from the subject area of the degree program, paragraph 6 must also be applied.

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(8) Doctoral candidates who have successfully completed an academic degree at a foreign academic university may be admitted to doctoral studies, provided that they are equivalent to a German academic degree and the ability to carry out in-depth independent academic work is evident. A Master's degree course attended abroad should have a regular study period of two years. For the equivalence and recognition of periods of study and academic achievements at foreign universities, the equivalence agreements and recommendations approved by the Conference of Ministers of Education and Cultural Affairs and the German Rectors' Conference, where relevant, are decisive in addition to the certificates of the doctoral candidates. If the recommendation of the Central Office for Foreign Education is unconditionally positive, the Doctoral Committee will generally admit the applicant. Otherwise, the Doctoral Committee may require additional examinations to determine equivalence. The following applies:

1. In the event of minor reservations, the Doctoral Committee shall make admission dependent on the result of an informal knowledge test and an equivalence assessment of the foreign thesis (diploma thesis, Master's thesis); this knowledge test and equivalence assessment must be carried out by the intended supervisor of the thesis and by a professor of the Hamburg University of Technology additionally appointed by the Doctoral Committee.
2. In the event of minor concerns – particularly with regard to the breadth and duration of the degree program – the doctoral committee will, after consultation with the head of the relevant dean's office, order additional knowledge examinations and/or the writing of a thesis. These must be taken and passed within one year; the weighted average grade of these examinations must be "good" or better. The credit points of the respective examinations serve as weighting factors. In the event of failure, each examination may be repeated once.
3. If there are serious concerns, approval is excluded.

#### **§ 4 Admission to doctoral studies**

(1) The candidate must obtain a decision from the Doctoral Committee as to whether he or she fulfills the requirements for doctoral studies (application for admission to doctoral studies). This decision should be made before work on the doctorate begins. The decision and any additional requirements must be communicated to the candidate in writing.

(2) The application for admission to doctoral studies must be submitted in writing to the Chairperson of the Doctoral Committee. It should be submitted at least two

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years, in the case of an external doctorate at least three years, before the application for the opening of the doctoral procedure is submitted. The application must be accompanied by the following documents and declarations:

1. a complete and up-to-date curriculum vitae in tabular form with a detailed description of your education,
2. the indication of the preliminary topic of the dissertation,
3. a declaration from the supervisor stating that he or she is willing to supervise the thesis. In this declaration, the supervisor must confirm the provisional topic of the dissertation,
4. Proof of completed university studies and, if applicable, proof of the requirements stipulated in Section 3 (7) or (8) of the Doctoral Degree Regulations in the original or as publicly certified transcripts or copies,
5. a declaration as to whether the applicant has already undergone or applied for doctoral procedures and, if so, with what result.

(3) The application must be rejected if

1. the requirements specified under § 3 are not met,
2. there are facts on the basis of which the doctoral candidate has proven to be unworthy of holding the academic degree of a doctor,
3. the subject area of the doctorate is not adequately represented at Hamburg University of Technology,
4. the applicant has definitively failed in a doctoral procedure to obtain the same academic degree,
5. the applicant already holds a doctoral degree in the subject area applied for (engineering, natural sciences, economics, social sciences or humanities) or
6. the annexes to be submitted with the application for admission to doctoral studies are not submitted to the doctoral committee despite a reminder and deadline.

## **§ 5 Dissertation**

(1) The dissertation serves as proof of the ability to carry out in-depth independent academic work. It must advance scientific knowledge and can be written either as a monograph or as a cumulative publication. The decision on the form of the dissertation is made by agreement between the supervisor and the doctoral candidate.

(2) In the case of a monograph, parts of the dissertation should be published in advance.

(3) The following regulations apply to a cumulative dissertation:

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1. The dissertation is based on thematically related scientific articles. The applicant must have contributed to at least three of these articles. In the case of a joint publication, the applicant must provide written confirmation from the other participating authors that he or she has been predominantly involved.
2. Journals recognized in the respective subject area or proceedings of outstanding international scientific conferences that are subject to a strict peer-review process are permitted as publication organs.
3. The publications must have been published or accepted for printing.
4. An appropriate peer review process must be documented in all of the above cases.
5. The cumulative dissertation must contain an independently written, substantial part that goes beyond the publications. This should be approximately 30–50 pages long. In terms of content, it should clarify the connection between the publications, present the research results in a comprehensive manner and, if necessary, also deepen sub-areas relevant to the dissertation.

## **§ 6 Opening of the doctoral procedure**

(1) The purpose of the doctoral procedure is to determine whether the doctoral candidate can be awarded one of the doctoral degrees specified in Section 1 (1).

(2) The doctoral candidate may apply in writing to the Chair of the Doctoral Committee for the doctoral procedure to be initiated at the earliest after the dissertation is ready for submission. The application must be accompanied by

1. six copies of the dissertation in hardcover printed form using a cover sheet, the form of which is determined by the doctoral committee, and a complete and up-to-date curriculum vitae in tabular form at the end of the dissertation. In the case of a cumulative doctorate, the underlying publications must be included in the submitted copies. These copies of the dissertation must not contain any acknowledgements, religious references or similar. The dissertation must be written in German or English
2. a written declaration from the supervisor that the dissertation is ready for submission,
3. in the case of a cumulative dissertation:
  - a) a written declaration by the supervisor that the submitted dissertation in its entirety fully meets the requirements for a cumulative dissertation in accordance with the provisions of these doctoral degree regulations.

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- b) a confirmation from the other participating authors that the applicant has been predominantly involved in the relevant joint publications in accordance with Section 4a (3) and that they are aware that the publication is to be used for a cumulative doctorate.  
The Doctoral Committee shall provide a binding form for this purpose.
- 4. an indication of which doctoral degree is expected to be pursued.
- 5. a declaration in lieu of an oath on a form "Declaration in lieu of an oath (PDF)" prescribed by the doctoral committee stating that
  - a) the work has been produced independently,
  - b) the passages taken from other sources in terms of location or content are identified as such,
  - c) the guidelines of good scientific practice within the meaning of the Code of the German Research Foundation (DFG) were taken into account, and
  - d) the statutes on safeguarding good scientific practice and dealing with suspected cases of scientific misconduct have been complied with,
  - e) did not make use of the paid assistance of placement or advisory services when preparing the content and material of the work and
  - f) the work has not previously been submitted to an examination authority in the same or a similar form either in Germany or abroad,
- 6. a notification of pre-publication of parts of the dissertation. The title, author, publication organ and year of publication must be stated and submitted on a separate sheet. If no publications are available, this must also be stated,
- 7. a display of student work (student research project, project work, Bachelor's/Master's thesis), the content of which has been incorporated into the dissertation,
- 8. a separate abstract of the dissertation of no more than one DIN A4 page in the language in which the dissertation is written. A German or English version can also be attached.
- 9. an additional abstract for library purposes of about 5 lines in German and English.

(3) The application to initiate the doctoral examination procedure and the annexes to be attached to it must be submitted to the Chair of the Doctoral Committee.

(4) The doctoral procedure shall be opened by resolution of the Doctoral Committee if the candidate has been admitted to doctoral studies in accordance with § 4 and the documents and declarations to be attached to the application in accordance with paragraph 2 have been submitted in full and in due form.

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(5) Once the doctoral procedure has been initiated, all professors and habilitated academics in the relevant dean's office will be informed of the submission of the dissertation.

(6) As long as no expert opinion on the dissertation has been received, the doctoral candidate may withdraw from the doctoral procedure upon written request without the doctoral procedure being deemed to have failed.

## **§ 7 Supervision of the dissertation**

(1) All professors and all academics who have completed their habilitation are admitted as supervisors who

1. are employed full-time at the Hamburg University of Technology,
2. have retired from full-time employment at the Hamburg University of Technology or
3. are employed full-time at non-university research institutions and have been appointed by the Hamburg University of Technology or
4. have been awarded a teaching license as a private lecturer by the Hamburg University of Technology and work full-time at non-university research institutions in the greater Hamburg area with which there is a contractually agreed cooperation in major areas of research and teaching.

(2) Persons who have been awarded the academic title of "Professor" in accordance with § 17 (1) HmbHG are also admitted as supervisors and

1. have a habilitation or
2. have completed a junior professorship without tenure track with a positive interim evaluation.

(3) The recipient of an Emmy Noether grant from the German Research Foundation may be admitted as a supervisor in individual cases upon application to the Doctoral Committee.

(4) In the case of Section 70 (7) HmbHG (cooperative doctorate with the Hamburg University of Applied Sciences), a person from among the full-time professors and habilitated academics of the Hamburg University of Applied Sciences shall participate in the supervision of the doctorate in addition to a supervisor within the meaning of paragraph 1. The same applies to other universities of applied sciences.

(5) If the supervisor drops out after the doctoral procedure has been opened, the Doctoral Committee shall endeavor to ensure the continued supervision of the dissertation at the candidate's request.



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(6) If a supervisor ceases to meet the requirements for supervision specified in paragraphs 1-4 after admission and before the opening of a doctorate, he or she shall continue to be considered a supervisor of ongoing doctorates for a further three years within the meaning of these doctoral regulations.

## **§ 8 Joint doctoral procedure with foreign academic universities**

(1) In order to promote international cooperation, the TUHH can carry out a joint doctoral procedure with foreign academic universities or comparable educational institutions that have the right to award doctorates.

(2) The framework for the joint doctoral procedure shall be defined for the individual case in a contractual agreement with the foreign academic university or the competent body under local law. This agreement may deviate from the provisions of these Doctoral Degree Regulations. The academic quality and its objective determination must not be impaired by this. The Academic Senate must approve the contractual agreement in accordance with sentence 1. The Academic Senate may transfer the responsibility for approval in accordance with sentence 3 to the Doctoral Committee.

(3) The contractual agreement must specify at which institution the oral examination is to be held and at which institution the records of the doctoral procedure are to be kept.

(4) The contractual agreement must specify the language and form in which the doctoral certificate(s) are to be issued.

## **§ 9 Experts**

(1) The dissertation must be assessed by the supervisor and another person from among the professors or habilitated academics. In justified exceptional cases, academics with a doctorate may be entrusted with the assessment. Up to three further reviewers may be appointed in order to cover the subject range of the dissertation. At least one reviewer must be a full-time member of the Hamburg University of Technology or work full-time at non-university scientific research institutions if he or she has been appointed as a professor by the Hamburg University of Technology in an appointment procedure. Retired professors or retired habilitated academics are still considered full-time members of the Hamburg University of Technology for the purposes of these regulations up to three years after leaving active service.

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(2) Each reviewer must have special expertise in the field of the doctorate. In the case of professors, this can be assumed if the doctorate focuses on the area of their professorship. In addition, at least one reviewer should have obtained the same doctoral degree as the one the doctoral candidate is seeking, or have a degree in the subject area of the doctoral degree sought.

## **§ 10 Appointment of the experts**

(1) The supervisor submits a proposal for the reviewers to the head of the relevant dean's office promptly after submitting the application for the doctoral examination procedure, enclosing a copy of the dissertation or a summary of its content. In doing so, he/she shall explain the reviewer proposal and state whether, in his/her opinion, the dissertation is of an engineering, natural science, economic or social science or humanities nature. In the case of a cumulative dissertation, at least one reviewer must be appointed who has not been involved in any of the publications listed there.

(2) The Dean of Studies Committee of the relevant Dean of Studies decides on a reviewer proposal for submission to the Doctoral Committee. As a rule, the reviewers may not belong to the same institute or the same working group. The Dean of Studies Committee may obtain the opinion of the spokespersons of the research focus areas in preparation for its decision. When deciding on the reviewer proposal(s), the Dean of Studies Committee is neither bound by the supervisor's proposal nor by the assessments obtained from the spokespersons of the research focus areas.

(3) The Doctoral Committee shall appoint the reviewers on the basis of the proposal in accordance with paragraph 2. If the Doctoral Committee does not agree with a reviewer proposal, the submitting Dean of Studies Committee shall submit a new reviewer proposal, taking into account any information provided by the Doctoral Committee. If there are also objections to the new proposal, the Doctoral Committee may appoint the reviewers without a further proposal from the Dean of Studies Committee.

(4) The Doctoral Committee shall inform the candidate of the names of the reviewers when it decides to open the doctoral examination procedure.

## **§ 11 Assessment procedure**

(1) The reviewers have the right to request further information from the doctoral candidate via the doctoral committee in addition to the dissertation in order to review the results contained in the dissertation.

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(2) The reviews shall be submitted to the Doctoral Committee by the reviewers within three months of receipt of the dissertation to be reviewed. If a reviewer has not yet submitted a review within this period, the Chair of the Doctoral Committee may replace the defaulting reviewer with another reviewer in agreement with the Dean of Studies concerned; Section 10 (2) shall apply accordingly.

(3) The reports must conclusively state which doctoral degree is to be awarded in accordance with Section 1 (1). The Doctoral Committee shall decide on the degree to be awarded.

(4) In the event of significant doubts regarding the worthiness of the doctorate, the dissertation may be returned once to the candidate for revision by the Doctoral Committee at the request of at least one reviewer. The candidate may resubmit the dissertation. A deadline of six months is set for the revision and resubmission; the deadline begins with the announcement of the decision to revise. Upon justified request by the doctoral candidate, the deadline may be extended appropriately. The reviewers prepare the reviews on the basis of the newly submitted dissertation.

## **§ 12 Evaluation and acceptance of the dissertation**

(1) The reviewers shall provide a written, reasoned assessment of the dissertation, which shall be summarized by one of the following grades:

- excellent,
- very good,
- good,
- enough,
- not enough.

(2) If the grades are "sufficient" or better, the dissertation is accepted. If the grades in the reviews differ by two or more grades, the Doctoral Committee shall seek clarification. If the difference in the assessment cannot be resolved in this way, the Doctoral Committee shall obtain a further expert opinion

(3) If an assessment is "not sufficient", a further expert opinion must be obtained. If necessary to cover the breadth of the dissertation, up to three further reviews may be obtained. If one of the further reviews also concludes with the assessment "insufficient", the doctoral project is rejected and thus terminated

(4) If a review obviously does not meet the usual academic standards or if there are justified concerns regarding the objectivity of the reviewer, the Doctoral Committee may obtain a further review after consultation with the relevant Dean of Studies Committee.

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(5) The grade "excellent" may only be awarded by the reviewers if the work represents an outstanding achievement that significantly advances scientific knowledge. An assessment with the grade "excellent" must be justified in detail and comprehensibly in the review. In particular, the exceptional scientific achievement and its presentation as well as the special significance of the work must be acknowledged. In addition, the particular quality of the publications considered and the journals or conferences in which the work was published must be explicitly stated.

(6) After acceptance of the reviews by the Doctoral Committee, the dissertation shall be made available for inspection by members of the Hamburg University of Technology for a period of two weeks at a location to be announced by the Doctoral Committee. The start and end dates of the display period must be stated in the announcement. During this period, professors and habilitated academics at Hamburg University of Technology may also inspect the reviews upon written request. Professors and habilitated academics at Hamburg University of Technology may submit comments to the doctoral committee on the dissertation, the expert opinions or both within the period of time specified in sentences 1 and 2. The comments should be made in writing, but at least in text form (e-mail). If serious concerns are raised regarding the quality or assessment of the dissertation, the dissertation shall be returned to the Doctoral Committee, which shall decide on the further procedure. The doctoral committee will endeavor to clarify the matter in consultation with the reviewers. If there are still concerns, the doctoral committee may obtain up to three further reviews.

(7) As soon as the doctoral procedure has been completed, the Doctoral Committee shall grant the doctoral candidate access to the reviews upon written request; the names and addresses of the reviewers shall not be disclosed unless the doctoral candidate asserts an irrefutable legal interest in this.

### **§ 13 Audit Committee**

(1) The Doctoral Committee shall appoint an Examination Board for each doctorate. The examination committee shall conduct the oral examination (§ 14). It determines the grades for the dissertation and the oral examination as well as the overall grade (Section 15 (1) and (2)).

(2) The examination board consists of the chairperson and at least two persons from among the reviewers. In addition, up to three further persons may be appointed as examiners.

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(3) In the case of doctorates in cooperation with the Hamburg University of Applied Sciences pursuant to Section 70 (7) HmbHG, a person from the group of full-time professors or habilitated academics belonging to the Hamburg University of Applied Sciences shall be appointed to the examination committee.

(4) At least one examiner must be a full-time member of the Hamburg University of Technology. A retired examiner is still considered a full-time member of the Hamburg University of Technology for the purposes of these regulations up to three years after leaving active service.

(5) If the dissertation has been assessed as "excellent" by at least one reviewer, a member of the doctoral committee shall be appointed to the examination board from among the professors and habilitated academics who belong to it. In addition to the other examiners, he or she shall ensure in particular that the overall grade "excellent" is only awarded if the requirements set out in Section 15 (2) are clearly met.

(6) Examiners may be appointed:

- Professors, habilitated academics who are qualified in the subject area of the dissertation or related subject areas.
- The reviewers of the dissertation.
- Persons with a doctorate in the field of the dissertation who are not members of the Hamburg University of Technology.

(7) The applicant may propose up to two of the examiners.

(8) The Chairperson of the Examination Committee shall be appointed by the Doctoral Committee from among the full-time professors of the Hamburg University of Technology appointed by it to the Examination Committee. He or she shall receive a copy of the dissertation and the expert opinions and shall then submit a written statement to the Chairperson of the Doctoral Committee within one month on the acceptance and grading of the dissertation and give reasons for any dissenting statements. If his or her statement indicates a judgment on the dissertation that differs significantly from the expert opinions, the Doctoral Committee shall seek clarification before the doctoral procedure is continued. § Section 12 paragraph 6 sentences 6-8 apply accordingly .

## **§ 14 Oral examination**

(1) After acceptance of the dissertation and expiry of the period of interpretation in accordance with Section 12 (6), the candidate and the examiners shall be invited in writing to the oral examination by the Chair of the Examination Committee.

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(2) The oral examination shall take place no later than six weeks after acceptance of the dissertation. It shall be conducted by the Chairperson of the Examination Board. The date of the oral examination shall be set by the chairperson of the examination committee after consultation with the candidate. The candidate will be informed of the names of all members of the examination committee at the latest when the invitation to the oral examination is issued.

(3) If the examination board is not fully present for the oral examination, the examination must be postponed to another date.

(4) The examination takes place in person. In justified exceptional cases, individual examiners may be connected via video upon application to the Doctoral Committee.

(5) If the candidate misses the date of the oral examination, the examination is deemed to have been failed with the legal consequences of Section 15 (4) if the candidate does not provide sufficient excuse for the delay; otherwise, the chairperson of the examination committee will set a new date in a timely manner.

(6) The oral examination may be conducted in German or English. In principle, the examination shall be held in the language in which the dissertation is written. This may be deviated from by agreement between the examination committee and the candidate. The examination begins with an approximately half-hour presentation by the candidate on the aim, approach and results of the dissertation; this is followed by a discussion lasting a maximum of 30 minutes. The presentation and the discussion are open to the university public.

(7) Following the presentation and discussion in accordance with paragraph 6, the oral examination shall continue for approximately one hour in camera with the aim of examining the candidate's academic qualifications in the field of the dissertation and related subject areas. Minutes shall be taken of the oral examination and signed by the members of the examination committee.

## **§ 15 Examination results**

(1) Immediately after completion of the oral examination, the examination committee shall decide on the result of the examination in a closed session. It shall determine the grades for the oral examination and the grade for the written dissertation, taking into account all expert opinions in accordance with Section 12 and any comments in accordance with Section 12 (6), as well as the overall grade. The grading system pursuant to § 12 paragraph 1 shall apply.

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(2) The overall grade "excellent" can only be awarded by unanimous decision of the Examination Board if special additional achievements of the doctoral candidate are proven. As a rule, this requires the doctoral candidate's predominant involvement in two publications. The publications accepted are journals recognized in the respective subject area or proceedings of outstanding international scientific conferences that are subject to a strict peer review process.

(3) The chairperson of the examination committee shall immediately inform the candidate of the result in camera.

(4) If the performance in the oral examination is not assessed as at least "sufficient", the doctorate cannot be completed. The oral examination may be repeated once after three months at the earliest, but after one year at the latest. If the oral examination is also assessed as "insufficient" in the case of a retake, the doctorate shall be deemed to have failed. The doctoral procedure is completed when the failure of the doctorate becomes final or legally binding.

## **§ 16 Publication of the dissertation**

(1) The dissertation must be published within one year of completion of the oral examination. Prior to this, the candidate must submit the publication-ready manuscript to one of the reviewers for confirmation of identity with the assessed dissertation, taking into account any editorial requirements. The reviewer forwards his or her statement to the chairperson of the doctoral committee. If the dissertation cannot be published within the specified time for an important reason, the chairperson of the doctoral committee may extend the deadline upon justified request, which must be submitted before the deadline expires. If the candidate culpably misses the submission deadline, he or she shall lose his or her rights arising from the doctorate.

(2) The dissertation must be made accessible to the public in an appropriate manner. This is fulfilled if the candidate publishes the dissertation free of charge.

1. one copy for the examination files and
2. ten copies for the respective institute or working group of the Hamburg University of Technology and
3. to the University Library either
  - a) 20 copies in book or photo print for the purpose of distribution or
  - b) three copies if a commercial publisher is responsible for distribution via the book trade and a minimum print run of 150 copies is proven or a five-year availability is guaranteed, or

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- c) three copies if an electronic publication is made on the document server of the Hamburg University of Technology,

has delivered. When publishing electronically on the document server of the Hamburg University of Technology, the recommendations regarding technical and legal aspects of publishing on the Open Access Repository of the TUHH must be taken into account.

(3) All copies of the dissertation to be submitted in accordance with paragraph 2 must be firmly bound using a cover page and reverse side, the form of which shall be determined by the Doctoral Committee. Notwithstanding § 6 paragraph 2 number 1, copies of the dissertation submitted in accordance with paragraph 2 may also contain acknowledgements in text form in the language in which the dissertation was written. Acknowledgements and dedications with a religious background are not permitted. The curriculum vitae does not necessarily have to be published or may be published in abridged form. The title of the dissertation may not be changed in connection with its publication in accordance with paragraph 2. In the case of a cumulative dissertation, the published version should contain the underlying publications.

(4) Upon request, the doctoral committee may approve the publication of a version of the dissertation that deviates from the original (e.g. shortened for publication) if the reviewers confirm that this version reflects the essential content of the dissertation. The dissertation may also be published in several consecutive parts.

## **§ 17 Conferral of the doctoral degree**

(1) If the requirements pursuant to Section 16 (1) sentence 2 have been fulfilled, the candidate shall receive the doctoral certificate. The doctoral procedure is deemed to be completed when the certificate is issued.

(2) The certificate shall contain the title of the dissertation and the overall grade in accordance with Section 15 (1). Notwithstanding deviating agreements or regulations in the case of joint doctorates with foreign academic universities or the Hamburg University of Applied Sciences, the certificate shall bear the signatures of the President of the Hamburg University of Technology and the Chairperson of the Doctoral Committee, the seal of the Hamburg University of Technology and the date on which the oral examination was successfully completed. Otherwise, the form of the doctoral certificate shall be determined by the Doctoral Committee. In the event of rejection of the doctorate, the candidate will be notified in writing with reasons and information on legal remedies.



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(3) Upon receipt of the certificate, the candidate acquires the right to use the doctoral degree "Doktor-Ingenieurin" or "Doktor-Ingenieur" (Dr.-Ing.), "Doktorin der Naturwissenschaften" or "Doktor der Naturwissenschaften" (Dr. rer. nat.), "Doktorin der Wirtschafts- und Sozialwissenschaften" or "Doktor der Wirtschafts- und Sozialwissenschaften" (Dr. rer. pol.) or "Doktorin der Philosophie" or "Doktor der Philosophie" (Dr. phil.). Until receipt of the doctoral certificate, the use of the doctoral degree, even with a possible addition to the not yet completed acquisition of the degree, is not permitted.

### **§ 18 Promotion Supplement**

After successfully completing their doctoral project, doctoral candidates can apply for a doctoral supplement to be issued by the Graduate Academy for Technology and Innovation at the Hamburg University of Technology in addition to the doctoral certificate to be issued under the responsibility of the doctoral committee. The acquisition of the doctoral supplement requires that the doctoral candidates have attended courses recognized by the Graduate Academy during their doctoral phase to teach and expand key scientific and professional skills as well as for individual career planning to the minimum extent recommended for the area of the Graduate Academy at the time of the application for admission to the doctorate. The doctoral supplement is issued and signed by the academic director of the Graduate Academy and handed over together with the doctoral certificate at the earliest.

### **§ 19 Honorary doctorate**

(1) At the suggestion of a dean's committee or the general assembly of a research focus, persons who have rendered outstanding services to engineering, natural sciences, economics, social sciences or the humanities may be awarded the academic degree "Doctor of Engineering Honorary Half" or "Doctor of Engineering Honorary Half" (Dr.-Ing. E.h.), "Doctor of Natural Sciences Honorary Half" or "Doctor of Natural Sciences Honorary Half" (Dr. rer. nat. h.c.), "Doctor of Economic and Social Sciences Honorary Half" or "Doctor of Economic and Social Sciences Honorary Half" (Dr. rer. pol. h.c.) or Doctor of Philosophy Honorary Half or Doctor of Philosophy Honorary Half (Dr. phil. h.c.).

(2) The proposal shall be submitted to the Academic Senate together with a justification. The Academic Senate shall appoint a committee consisting of at least three professors of the Hamburg University of Technology. One professor must be a member of the Academic Senate.

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(3) The committee shall review the justification submitted by the proposing dean's committee or by the proposing general meeting of the research focus and prepare a statement. The committee may request further documents for this purpose. If the committee recommends an honorary doctorate, it shall also prepare a laudatory speech.

(4) The Academic Senate shall decide on the award of the honorary doctorate and the laudatory speech on the basis of the statement referred to in paragraph 3.

(5) The President shall present the honoree with a certificate containing the laudatory speech. The certificate shall be presented at an event appropriate to the award ceremony.

## **§ 20 Withdrawal of the doctoral degree**

(1) If it becomes apparent after completion of the doctoral procedure that the doctoral degree has been obtained by deception or in any other unlawful manner, the Doctoral Committee shall declare the doctoral candidate unworthy. The doctoral degree is then to be withdrawn so that the degree or title may no longer be used. The offense of deception or unlawful acquisition also includes cases in which someone has acquired the doctoral degree through third parties, used plagiarism, falsified scientific results or otherwise violated the rules of good scientific practice in connection with the acquisition of the doctoral degree to a more than insignificant extent.

(2) In addition to the requirements of paragraph 1, the Academic Senate of the Hamburg University of Technology may, at the request of the President, subsequently revoke an honorary doctorate in accordance with § 19 if the person to whom the doctorate was awarded by the Hamburg University of Technology has proven to be unworthy of holding an academic degree due to their subsequent conduct or if the degree was awarded in the unrepachable ignorance of the Hamburg University of Technology of the unworthiness of the candidate. This revocation requires a 2/3 majority in the Academic Senate.

(3) The decision of revocation shall be communicated to the dean's offices of the Hamburg University of Technology and the other universities of the Federal Republic of Germany.

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## **§ 21 Procedural defects**

Purely procedural defects in the doctoral procedure can be remedied by a decision of the Doctoral Committee in favor of the candidate; in this decision, the Doctoral Committee determines that the procedural defect has no material influence on the result of the examination.

## **§ 22 Review of the doctoral procedure**

At the request of one of the parties involved in the procedure or the candidate, the Doctoral Committee is obliged to review the doctoral procedure. The request must be submitted no later than three months after completion of the procedure. The review must be initiated immediately. If the Doctoral Committee does not resolve the objection, it shall submit the objection to the Academic Senate for a decision and issue a notice of objection.

## **§ Section 23 Entry into force and transitional provisions**

These Doctoral Degree Regulations shall enter into force on the day following their publication in the Official Gazette. They shall apply for the first time to doctoral candidates who have submitted their application to commence the doctoral procedure after these regulations come into force. For all other doctoral candidates, the provisions of the doctoral regulations previously applicable to them shall continue to apply.

*Hamburg, December 18, 2024*

*Hamburg University of Technology*

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This version of the doctoral degree regulations of Hamburg University of Technology is **not legally binding**. Only the version published in the Official Gazette („Amtlicher Anzeiger“) of the Free and Hanseatic City of Hamburg dated April 4, 2025 (No. 27 (C 1160 B)) is legally binding.