

Only the officially promulgated German version is legally valid

Regulations for the Awarding of Doctoral Degrees at the Technical University of Munich

Dated 23 August 2021

In accordance with Art. 13(1) Sentence 2 in conjunction with Art. 64(1) and Art. 66(2) Sentence 1 of the Bavarian Higher Education Act [Bayerisches Hochschulgesetz (BayHSchG)], the Technical University of Munich (TUM) issues the following regulations:

Table of Contents:

A) General

- [§ 1 Scope and Application of Right to Award Doctoral Degrees](#)
- [§ 2 Requirements for Commencement of the Doctorate](#)
- [§ 3 Admission Based on Degree Awarded by a Domestic University or Master's Degree Awarded by a Domestic University of Applied Sciences \(HAW\)](#)
- [§ 4 Admission Based on Another Degree Awarded by a Domestic University or Institution of Higher Education](#)
- [§ 5 Admission Based on Degree Awarded by a Foreign University](#)
- [§ 6 Entry on the Doctoral Candidacy List and Membership in the TUM Graduate School](#)
- [§ 7 Dissertation](#)

B) Application for Graduation

- [§ 8 Submission of Dissertation](#)
- [§ 9 Initiating the Doctoral Examination Process](#)

C) Assessment of the Dissertation

- [§ 10 Examination Committee](#)
- [§ 11 Assessment of the Dissertation](#)
- [§ 12 Involvement of Teaching Faculty](#)
- [§ 13 Acceptance of the Dissertation](#)

D) Oral Examination

- [§ 14 Invitation to the Oral Examination](#)
- [§ 15 Oral Examination and Its Assessment](#)

E) Completion of Examination

- [§ 16 Examination Results](#)
- [§ 17 Assessment of the Doctorate](#)
- [§ 18 Retention of Examination and Dissertation Records](#)

F) Option to Repeat Failed Parts of the Doctorate

- [§ 19](#)

- G) [Reasonable Accommodation](#)
[§ 20](#)
- H) [Publication of the Dissertation](#)
[§ 21](#)
- I) [Cooperative Doctoral Programs with a Foreign University or Department](#)
[§ 22 Joint Supervision](#)
[§ 23 Jointly Conducted Doctoral Examination Process](#)
- J) [Issuance of Doctoral Degree and Certificate](#)
[§ 24](#)
- K) [Honorary Doctorate](#)
[§ 25](#)
- L) [Re-Conferment of Doctoral Degree](#)
[§ 26](#)
- M) [Invalidation of Doctoral Degree](#)
[§ 27](#)
- N) [Revocation of Doctoral Degree](#)
[§ 28](#)
- O) [Transitional and Final Provisions](#)
[§ 29](#)

Appendices to the Doctoral Regulations

[Appendix 1 Dissertation Title Page](#)

[Appendix 2 Affidavit](#)

[Appendix 3: Supervision Agreement Template](#)

A) General

§ 1

Scope and Application of Right to Award Doctoral Degrees

- (1) ¹The right of the Technical University of Munich (TUM) to award the doctoral degree is governed by the following provisions. ²The doctoral degree is obtained from schools and departments, as well as TUM Campus Straubing (“degree-awarding institutions”) and awarded by the university. ³The degree-awarding institution, which is responsible for the conduct of the doctoral and examination process, is the institution to which the supervising authorized TUM examiner in accordance with § 10 belongs. ⁴The degree-awarding institution is responsible for the orderly conduct of the doctoral process.
- (2) ¹The TUM doctoral candidacy list comprises the individual doctoral candidacy lists compiled by each degree-awarding institution. ²Each head of the degree-awarding institution is charged with compiling the list for his or her institution. ³The TUM Graduate School consolidates the individual lists.
- (3) The following degrees are awarded at TUM:
1. At the School of Engineering and Design:
 - a) Doktor*in der Ingenieurwissenschaften (Dr.-Ing.)
 - b) Doktor*in der Philosophie (Dr. phil.)
 - c) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 2. At the School of Life Sciences:
 - a) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 - b) Doktor*in der Agrarwissenschaften (Dr. agr.) and Doktor*in der Forstwissenschaft (Dr. rer. silv.)
 - c) Doktor*in der Ingenieurwissenschaften (Dr.-Ing.)
 3. At the School of Management:
 - a) Doktor*in der Wirtschafts- und Sozialwissenschaften (Dr. rer. pol.)
 - b) Doktor*in der Volkswirtschaftslehre (Dr. oec. publ.)
 - c) Doktor*in der Philosophie (Dr. phil.)
 - d) Doktor*in der Rechtswissenschaften (Dr. jur.)
 4. At the School of Social Sciences and Technology:
 - a) Doktor*in der Wirtschafts- und Sozialwissenschaften (Dr. rer. pol.)
 - b) Doktor*in der Volkswirtschaftslehre (Dr. oec. publ.)
 - c) Doktor*in der Philosophie (Dr. phil.)
 - d) Doktor*in der Sozialwissenschaften (Dr. rer. soc.)
 - e) Doktor*in der Rechtswissenschaften (Dr. jur.)
 - f) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 5. At the Department of Chemistry:
 - a) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 - b) Doktor*in der Ingenieurwissenschaften (Dr.-Ing.)
 6. At the Department of Electrical and Computer Engineering:
 - a) Doktor*in der Ingenieurwissenschaften (Dr.-Ing.)
 - b) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 7. At the Department of Informatics:
 - a) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 - b) Doktor*in der Ingenieurwissenschaften (Dr.-Ing.)
 8. At the Department of Mathematics: Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 9. At the School of Medicine:

- a) Doktor*in der Medizin (Dr. med.), Doktor*in der Zahnheilkunde (Dr. med. dent.) and Doktor*in der Medizinischen Wissenschaft (Dr. med. sci.)
 - b) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
10. At the Department of Physics: Doktor*in der Naturwissenschaften (Dr. rer. nat.)
11. At the Department of Sport and Health Sciences:
- a) Doktor*in der Philosophie (Dr. phil.)
 - b) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
12. At the Technical University of Munich – Campus Straubing for Biotechnology and Sustainability (TUM CS):
- a) Doktor*in der Naturwissenschaften (Dr. rer. nat.)
 - b) Doktor*in der Wirtschafts- und Sozialwissenschaften (Dr. rer. pol.)
 - c) Doktor*in der Ingenieurwissenschaften (Dr.-Ing.)
- (4) ¹Each institution awarding the doctoral degree, in agreement with the TUM Extended Board of Management, issues regulations defining the criteria for the award of the respective doctoral degree and the related quality assurance measures. ²These regulations form the basis for the rationale of the doctoral degree being pursued at the respective institution in accordance with § 6(1) Sentence 3 and its award in accordance with § 9(1).

§ 2

Requirements for Commencement of the Doctorate

- (1) A doctoral degree may be pursued by candidates who
1. possess the educational requirements set out in §§ 3 to 5;
 2. have completed the qualification program of the TUM Graduate School (TUM GS) at the respective degree-awarding institution, as set out in § 8 Sentence 3 No. 1;
 3. submit a scholarly project of their own (dissertation in accordance with § 7), proving their ability to conduct independent scholarly work, and give a clear presentation of the results;
 4. prove, in an oral examination in accordance with § 15(1), thorough knowledge of the disciplines to which the dissertation is dedicated;
 5. are worthy in the sense of the legal regulations governing the use of academic degrees, i.e. there is no current or pending criminal conviction related to his or her academic activity that would render the candidate unworthy;
 6. does not already hold the doctoral degree in question;
 7. have not irreversibly failed a previous attempt at the doctorate for the same degree or for the same dissertation at TUM or another university.
- (2) Engaging professional dissertation writing or consulting services to obtain a doctoral degree is prohibited; candidates must confirm they have not used such services by signing the declaration attached as Appendix 2.

§ 3

Admission Based on Degree Awarded by a Domestic University or Master's Degree Awarded by a Domestic University of Applied Sciences (HAW)

¹In order to satisfy the admission requirements, candidates must have successfully completed either an above-average *Diplom*, master's or Magister examination at a university, an equivalent state examination, or a master's examination at a university of applied sciences (HAW). ²An above-average performance is deemed to have been achieved if the final examination was passed with an overall grade of at least 2.5 or with a designation of at least "Passed with merit"; in the case of a German state law examination, an above-average performance is deemed to have been achieved with an overall grade of 9.0 points or higher (entirely satisfactory). ³Otherwise, above-average performance can also be proven by academic achievements, such as publications, which were produced after completion of the relevant studies; the head of the degree-awarding institution decides. ⁴To pursue the degree Dr. med., Dr. med. dent., or Dr. med. sci., candidates are required to have passed the medical or dental examination. ⁵To obtain the degree "Dr. med. sci.", candidates must additionally verify successful completion of a doctoral program offered by the TUM School of Medicine.

§ 4

Admission Based on Another Degree Awarded by a Domestic University or Institution of Higher Education

- (1) Candidates who hold a bachelor's degree from a university may pursue a doctorate at TUM if they meet both of the following two requirements:
 1. an excellent bachelor's degree obtained from a university after completion of a bachelor's program of at least three years; a bachelor's degree is considered excellent if the graduate is ranked among the top five percent of the graduating class;
 2. ¹acceptance to a doctoral degree program at TUM. ²The doctoral degree program is structured to allow candidates to pursue a master's degree in a parallel master's program. ³Upon completion of the doctoral degree program, candidates must have obtained at least 300 credits including those earned for the bachelor's and the master's degree. ⁴Further details must be provided in the regulations governing the relevant doctoral degree program.
- (2) ¹Graduates of a *Diplom* program at a university of applied sciences (HAW) may pursue a doctorate at TUM if they provide proof of an "outstanding" degree in a program of study that is comparable to a master's program at TUM. ²As a rule, a *Diplom* degree is considered outstanding if the graduate is ranked among the top ten percent of all graduates of the graduating class, evidence of which must be presented in writing or with a verified electronic document.

§ 5

Admission Based on Degree Awarded by a Foreign University

- (1) ¹Degrees obtained from foreign universities may, upon request of the candidate, be recognized if they are deemed equivalent to one of the examinations listed in § 3 Sentence 1. ²Equivalence will be determined by the head of the degree-awarding institution responsible for the doctoral process. ³The equivalence agreements approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the *Länder* and the German Rectors' Conference apply. ⁴If the head of the degree-awarding institution is unable to determine equivalence on the basis of these documents, the Central Office for Foreign Education of the Standing Conference is to be consulted on the question of equivalence; its opinions are to be taken into account and a decision deviating therefrom is to be justified.

- (2) ¹The head of the relevant degree-awarding institution also decides whether above-average performance within the meaning of § 3 Sentence 3 has been demonstrated. ²In order to determine whether the foreign final examination meets the requirement of above-average performance, the result of the foreign examination is converted into the German grading system by applying the Agreement on the Determination of the Overall Grade for Foreign University Entrance Certificates (Resolution of the Standing Conference of Ministers of Education and Cultural Affairs of 14/15 March 1991, as amended).
- (3) ¹If the applicant has taken the medical examination at a foreign university and if the examination is not deemed equivalent, the head of the relevant degree-awarding institution may, at the applicant's request, invite the applicant to take an additional oral examination before a three-member examination board appointed by the head of the degree-awarding institution. ²To take part in this oral exam, the applicant must demonstrate sufficient knowledge, experience and skills commensurate with the training received during the practical year. ³This supplementary examination must include all subjects of the medical licensing examination (Ärztliche Prüfung) and, in addition, anatomy, physiology, and biochemistry. ⁴An expert assessor must be present at the examination to keep an official record. ⁵Further, § 15(1) Sentences 3 and 6, as well as Sections 2, 7, and 8 of the German Licensing Regulations for Physicians (Approbationsordnung für Ärzte) apply accordingly. ⁶A failed examination may be repeated once. ⁷To repeat an examination, applicants may apply to the head of the degree-awarding institution within no more than six months from announcement of the examination result.
- (4) Sections (1) to (3) apply accordingly to applicants holding a master's degree obtained from a foreign technical college (polytechnical school, university of applied sciences), and § 4(2) to a *Diplom* degree obtained from a foreign technical college.

§ 6

Entry on the Doctoral Candidacy List and Membership in the TUM Graduate School

- (1) ¹An application for entry on the doctoral candidacy list must be submitted to the degree-awarding institution via the DocGS portal using a verified TUM ID or in writing. ²The request is to be granted, provided that
1. the documents verifying educational prerequisites according to §§ 3 to 5 have been submitted in electronic form with a verification code or as an officially certified copy;
 2. a dissertation topic has been assigned by an authorized examiner at TUM in accordance with § 10 (supervisor);
 3. responsibility for the doctoral process has been designated to a degree-awarding institution in accordance with § 1(1) Sentence 3;
 4. an application for admission to a graduate center has been submitted within the scope of a supervision agreement between the applicant, the supervisor and the respective graduate center, stating the doctoral degree pursued.
- ³Applicants will be issued official notification of acceptance specifying the doctoral degree to be pursued; a rejection must be substantiated. ⁴Entry on the doctoral candidacy list must not be regarded as a decision to initiate the doctoral examination process.

- (2) ¹Upon entry on the doctoral candidacy list, candidates become members of the relevant graduate center and, thus, of the TUM Graduate School. ²If a candidate chooses a graduate center that does not belong to his or her degree-awarding institution, consent of the hosting graduate center and of the degree-awarding institution must be obtained, which can only be refused for substantive subject-related reasons. ³The same applies to such requests made after commencement of the doctorate. ⁴Candidates are issued a certificate upon completion of the qualification program. ⁵When membership in the TUM Graduate School ends, the candidate is removed from the doctoral candidacy list; further details are regulated by the statutes of the TUM Graduate School.
- (3) ¹Candidates wishing to withdraw from the doctoral process may terminate the supervisory relationship at any time. ²The supervisory relationship may also be terminated at any time by mutual agreement. ³The supervisor may only terminate the supervision agreement unilaterally if there are valid academic reasons or if the relationship of trust has been ruptured. ⁴Before unilateral termination of a supervision agreement by a supervisor, a feedback meeting resulting in a negative outcome must have taken place, a mediation process must have failed and, after consultation with the supervisor and the doctoral candidate, it must be determined by the head of the degree-awarding institution that the supervisory relationship is to be terminated. ⁵In this case, the degree-awarding institution is required to facilitate an alternative, professionally appropriate supervision relationship, unless the doctoral candidate has forfeited his or her right to continue the doctorate through his or her conduct. ⁶This will be determined by the degree-awarding institution and communicated by decision of the president.

§ 7 Dissertation

- (1) ¹The dissertation consists of a monograph or of published articles put in scientific context (publication-based dissertation). ²Degree-awarding institutions may, by resolution, permit a combination of a doctoral thesis with another medium (media dissertation) as an additional form of the dissertation.
- (2) Regardless of its form, the dissertation must demonstrate the candidate's ability to carry out independent scientific work and to present its results clearly, and it must make a new, further-reaching and coherent scientific contribution of its own.
- (3) ¹The publication-based dissertation must provide a description of the scientific problem, the approaches used to solve it, results and conclusions achieved and related literature, all of which are to be presented in such a way as to express the position and classification of the work in an overarching scientific context and its contribution to the scientific dialog beyond the articles on which the publication-based dissertation is based. ²For this purpose, the degree-awarding institutions adopt guidelines that define the scope of the written text and the number, type, requirements, and weighting of the publications and ensure that, in the case of joint publications, individual contributions are made transparent and that the relevant confirmations of co-authors are provided. ³Within the scope of their guidelines, degree-awarding institutions are required to ensure that at least two accepted publications are included, which have been prepared under the main authorship of the doctoral candidate (full paper, generally in English, in an internationally circulated, peer-reviewed medium), while respecting the legal positions protected by copyright. ⁴The papers accepted for publication and published in print or electronic journals must be enclosed with the dissertation as an appendix.
- (4) ¹In the case of a media dissertation, the dissertation must consist of a combination of a written scientific paper with another medium, in particular a durably documented creative work (media dissertation). ²If a decision has been made in accordance with Section (1)

Sentence 2, the TUM Board of Management adopts guidelines based on the recommendation of the degree-awarding institution, which define the scope and weighting of the written work, as well as the type, requirements, and weighting of the creative work and ensure that the individual contribution of the doctoral candidate is made clear in the case of jointly produced creative works. ³The guidelines ensure that the creative work can be cited and has been produced by the doctoral candidate in a leading role.

- (5) ¹The dissertation must be written either in German or English. ²In exceptional cases, upon approval of the head of the degree-awarding institution and the primary examiner, the dissertation may be written in a language other than German or English; in such a case, the dissertation must include an abstract of the essential assessment-relevant results in German or English.
- (6) ¹The dissertation must be a candidate's original work. ²It must include an abstract of the content and a complete bibliography of the literature and other information sources used.
- (7) ¹Any parts of the dissertation that have been previously published must be identified as such. ²A candidate's work that has already been used for examination purposes may not be submitted as a dissertation; however, results from this work may be used for the dissertation, whereby the work in question must be identified as such in the text and marked in the bibliography.

B) Application for Graduation

§ 8

Submission of Dissertation

¹Candidates must apply to initiate the doctoral examination process on the DocGS portal using a verified TUM ID, or in writing through the TUM Office of Doctoral Affairs at the degree-awarding institution in accordance with § 1(1) Sentence 3. ²The application must specify the doctoral degree pursued and the title of the dissertation. ³The following documents must be enclosed with the application:

1. ¹Confirmation of participation in the qualification program of the TUM Graduate School. ²Each doctoral candidate must provide verification that the following qualification elements have been completed:
 - a) membership in the TUM Graduate School for at least two years,
 - b) participation in the kick-off seminar,
 - c) participation in subject-specific courses totaling at least 6 semester credit hours, to be distributed across the entire doctoral phase
 - d) active integration in the academic environment of TUM, at a level adequate for scientific qualification,
 - e) a feedback meeting about the doctoral project,
 - f) confirmation that the research project was discussed within the international expert community.

³Details on these qualification elements are set out in §16 of the statutes of the TUM Graduate School. ⁴In addition, each doctoral candidate must provide evidence of participation in the mandatory qualification elements of the respective graduate center, which are specified in the corresponding regulations. ⁵The Integrative Research Institutes can offer doctoral candidates subject-specific integrative training programs that

can be recognized by the respective graduate centers to fulfill the qualification program of the TUM Graduate School. ⁶In special cases, the doctoral candidate may apply to the graduate dean via the head of the degree-awarding institution for a waiver of the qualification elements required for the doctorate.

2. an electronic version (pdf-file) of the dissertation according to § 7 Sections 1 to 4;
3. a summary of the dissertation of about 500 characters, as well as an English translation of the title, must be provided if the dissertation was not written in English;
4. a declaration in accordance with Appendix 2
5. a list of prior publications in accordance with § 7(7)
6. a curriculum vitae listing, in particular, the candidate's educational background.

§ 9

Initiating the Doctoral Examination Process

- (1) ¹The TUM Office of Doctoral Affairs verifies whether the application meets the requirements set out in § 8. ²In this case, it forwards the application to the head (in accordance with § 1(1) Sentence 3) of the degree-awarding institution named by the doctoral candidate. ³The head of the degree-awarding institution decides if it is responsible for conducting the examination process and which doctoral degree applies in accordance with § 1. ⁴If the head does not consider his or her degree-awarding institution responsible, he or she will return the application to the TUM Office of Doctoral Affairs, stating the reasons for the decision and, as the case may be, suggesting the degree-awarding institution he or she considers to be responsible. ⁵The TUM Office of Doctoral Affairs will forward the application to the suggested institution.
- (2) ¹The application for graduation may be rejected only if
 1. the admission requirements set out in § 2 have not been fulfilled,
or
 2. the verifications required under § 8 are incomplete or incorrect,
or
 3. no degree-awarding institution at TUM is responsible for carrying out the doctoral examination process.

²Candidates must be informed promptly in writing if their application has been rejected and on what grounds. ³The rejection notification must be accompanied by information on legal remedies.
- (3) ¹If the application is accepted, the head of the degree-awarding institution will reach a decision in accordance with § 10 as soon as possible. ²Once responsibility has been affirmed, the head should make every effort to see that the oral examination is held, as a rule, within six months.

Assessment of the Dissertation

§ 10 Examination Committee

- (1) ¹The degree-awarding institution appoints an Examination Committee consisting of a chair and one to three examiners; the third examiner may be appointed in the course of the examination process. ²The Committee members (authorized examiners) must be university educators (*Hochschullehrer*innen*) within the meaning of Art. 2(3) Sentence 1 of the Bavarian Act on Higher Education Staff [*Bayerisches Hochschulpersonalgesetz*¹ (BayHSchPG)], Emeritus professors, retired professors, TUM Distinguished Affiliated Professors, or fellows of the TUM Institute for Advanced Study (IAS). ³In addition, TUM Junior Fellows² are granted examination privileges for doctoral candidates they supervise. ⁴The chair may not serve concurrently as an examiner. ⁵The chair and at least one examiner must be university educators within the meaning of Art. 2(3) Sentence 1 of the BayHSchPG of the degree-awarding institution. ⁶In justified exceptional cases, it is sufficient that only one member of the Examination Committee is a university educator within the meaning of Art. 2(3) Sentence 1 of the BayHSchPG of the degree-awarding institution. ⁷The degree-awarding institution is, as a rule, appropriately represented by a university educator appointed jointly with another degree-awarding institution of TUM or an external partner institution.
- (2) ¹With the appointment as an examiner, the authorization to serve as examiner for this doctoral examination process is deemed established. ²If a supervisor who was authorized to conduct examinations as set out in (1) at the time of the candidate's entry on the doctoral candidacy list leaves the university before the Examination Committee is appointed, this supervisor may be appointed to the Examination Committee as an internal examiner for ongoing doctoral procedures for a period of three years from the time of the supervisor's departure. ³Upon application by the supervisor, this period may be extended by the degree-awarding institution.
- (3) If a person authorized to conduct examinations as set out in (1) has initiated the dissertation and supervised significant parts of it, this person, upon his or her request, should be appointed as the first examiner.
- (4) ¹One examiner as set out in (1) may also belong to another domestic or foreign university. ²In the case of an Examination Committee comprised of three examiners, two examiners may belong to another domestic or foreign university. ³Departing from Sentence 1, in the case of cooperative doctorates with an HAW, a professor of the HAW is to be appointed as examiner, if this person was significantly involved in the supervision of the dissertation.
- (5) ¹In justified cases, it is permissible that the second examiner serves as expert reviewer of only the dissertation. ²In this case, upon resolution of the degree-awarding institution, an authorized examiner as set out in (1) must act as oral examiner. ³If a third examiner has been appointed, Sentences 1 and 2 apply accordingly.

¹ The job titles *Professor, Juniorprofessor, Honorarprofessor, Privatdozent* and *außerplanmäßiger Professor* are considered *Hochschullehrer* within the meaning of Art. 2 (3) clause 1 of BayHSchPG.

² TUM Junior Fellows lead third-party funded junior research groups independently and have autonomously developed the scientific program for these groups (see resolution of the TUM Board of Management [*Beschluss des Hochschulpräsidiums*] no. 7/23/03 of 20 March 2007/5 June 2007).

§ 11 Assessment of the Dissertation

- (1) ¹The head of the degree-awarding institution submits the application for graduation with all accompanying documents to the chair of the Examination Committee. ²The chair forwards the dissertation to the examiners for assessment.
- (2) ¹Each examiner assesses the dissertation independently and attaches a written report including an assessment, taking into consideration the requirements set out in § 7(2). ²The reports are to be submitted to the chair in a form clearly attributable to the individual examiner. ³The chair ensures that the reports are submitted in a timely manner (as a rule, no later than within three months). ⁴Possible assessments are as follows:

"Pass" or
"Fail".

Doctoral work demonstrating achievements warranting special recognition additionally receive the designation "magna cum laude"; outstanding performances in an international comparison additionally receive the designation "summa cum laude".
- (3) If at least one report has been submitted to the chair of the Examination Committee, the application for graduation can no longer be withdrawn.
- (4) ¹If one of the assessments is "Fail", the attempt at the doctorate is failed; the doctoral examination process is therefore terminated. ²The Examination Committee decides whether the dissertation may be re-submitted with significant revision or an entirely new dissertation is necessary; the decision must be unanimous. ³Paragraph 16(2) Sentence 2 and §19(1) apply accordingly.
- (5) Within the scope of assessment of the dissertation, the degree-awarding institution and examiners may use special software to check for plagiarism.

§ 12 Involvement of Teaching Faculty

¹If the dissertation is assessed as "Pass" by all examiners and reviewers, the chair of the Examination Committee ensures that the dissertation, together with the examiners' reports, is made available to a committee of members of the teaching faculty in digital form for decision via circular resolution. ²If the degree-awarding institution is a TUM department, this faculty committee consists of all full-time university educators (Art. 2(3) Sentence 1 BayHSchPG), TUM Junior Fellows and honorary professors, as well as the full-time adjunct teaching professors and adjunct professors of that institution. ³If the degree-awarding institution is a TUM school or the TUM Campus Straubing, the School Council or Institute Council establishes different faculty committees for specific subject areas, each comprising at least 20 members of its teaching faculty. ⁴Each member from the group of persons of the degree-awarding institution listed in Sentence 2 is assigned to at least one faculty committee corresponding to the subject area in which he or she is authorized to teach, as well as to its related subject areas. ⁵In order to achieve the minimum number of committee members according to Sentence 3, members of other degree-awarding institutions at TUM or other domestic universities may also be appointed; cooperation agreements are to be drawn up for this purpose, as necessary. ⁶The decisions of faculty committee members must be submitted in writing within a deadline to be determined by the head of the degree-awarding institution but not to exceed four weeks and are to designate their decision to "accept" or "reject" the dissertation; a decision to reject must specify reasons.

§ 13 Acceptance of the Dissertation

- (1) ¹The dissertation is accepted if the required number of decisions to “accept” has been submitted in accordance with § 12. ²For faculty committees of fewer than 20 members within the context of § 12 Sentence 2, the required number is at least 10, at least 15 where there are between 20 and 40 members, and at least 20 where there are more than 40 members. ³If even one decision to "reject" is submitted, or if too few decisions to "accept" are submitted, the Executive Board of the school or the head of the TUM department or of TUM Campus Straubing, after hearing the examiners/reviewers and authorized examiners who voted to "reject", will make the final decision.
- (2) ¹If the dissertation is rejected, the attempt at the doctorate is failed and the doctoral examination process is terminated. ²Paragraph 16(2) Sentence 2 and §19(1) apply accordingly.

D) Oral Examination

§ 14 Invitation to the Oral Examination

- (1) ¹If the dissertation has been accepted in accordance with § 13(1), the chair of the Examination Committee will schedule and supervise the oral examination. ²If permission to commence the doctorate was granted in accordance with § 4(1), admission to the oral examination requires evidence of an above-average master’s degree as set out in § 3.
- (2) ¹The chair invites the doctoral candidate and the Examination Committee, as well as the other members of the degree-awarding institution authorized to conduct examinations, to the oral examination at least one week in advance. ²The invitation of the other authorized examiners of the degree-awarding institution may also be made by notification on the homepage, on the intranet, or by electronic notification. ³The provisions of data protection law must be observed. ⁴In agreement with the doctoral candidate, the Examination Committee may admit members of the public to the audience; in some cases, they may be admitted for only parts of the examination; in this case, the Examination Committee will announce the date of the oral examination on the homepage.
- (3) ¹As a rule, the oral examination is conducted in German or English. ²The decision is made by the Examination Committee in consultation with the doctoral candidate.
- (4) ¹In consultation with the doctoral candidate, the Examination Committee may determine that the oral examination is to be conducted in the form of a video conference or by video transmission of one or more participants. ²The software approved by TUM for this purpose is to be used. ³In this case, the invitation is issued in electronic form by sending a link; other authorized examiners of the degree-awarding institution wishing to take part must express their interest to the chair of the Examination Committee no later than three working days before the scheduled examination. ⁴The chair enables participation. ⁵Otherwise, the chair must cancel the exam and reschedule it. ⁶Data protection regulations apply.

§ 15 Oral Examination and Its Assessment

- (1) ¹Each doctoral candidate will be examined individually for approximately one hour. ²Based on the dissertation topic, the examination will cover the broader discipline to which the dissertation is dedicated.
- (2) ¹The oral examination will be conducted by the Examination Committee. ²The chair may allow questions of other authorized examiners. ³Assessments will be given only by examiners. ⁴The chair is to ensure that each examiner is allotted and fulfills his or her duties as examiner in an adequate share of the examination time.
- (3) The examiners submit their written assessment to the chair in a form that can be clearly assigned to the individual examiner; the assessment is to be carried out in accordance with §11(2) Sentence 4.
- (4) ¹If one of the grades awarded is "Fail" or in the event that the candidate fails to appear for the oral examination on grounds attributable to the candidate, the oral examination has been failed. ²In this case § 16(2) Sentence 2 applies.

E) Completion of Examination

§ 16 Examination Results

- (1) ¹After completion of the oral examination, the members of the Examination Committee determine whether the examination has been passed and whether one of the designations as set out in § 17(2) Sentences 3 and 4 is to be awarded to the doctoral degree. ²The chair enters the overall result on an assessment form. ³The members of the Examination Committee, if necessary, indicate the changes to be made to the dissertation by the doctoral candidate. ⁴These requirements are to be recorded on the assessment form and a time limit must be set (three months maximum). ⁵The chair is responsible for verifying compliance with the requirements. ⁶She or he approves the release before publication.
- (2) ¹The chair of the Examination Committee informs the doctoral candidate of the assessment of the oral examination, the dissertation, and the overall assessment following the examination. ²If the examination was failed, the doctoral candidate receives written notification stating the grounds for failure and including a note on legal remedies, as well as the options for repeat examination.
- (3) After completion of the doctoral examination process, the candidate will have the opportunity to inspect the examination records within one year.

§ 17 Assessment of the Doctorate

- (1) The date of conferral of the doctoral degree will be the date of successful completion of the oral examination.

- (2) ¹The overall assessment of the doctorate is determined from the individual assessments made by the examiners for the dissertation and the oral examination. ²The overall result of the doctorate is "Pass" or "Fail". ³The designation "magna cum laude" presupposes a particularly commendable scientific achievement and can only be awarded if the dissertation and the oral examination are evaluated accordingly by all examiners with "magna cum laude" or better. ⁴The designation "summa cum laude" requires an outstanding scientific performance in international comparison and can only be awarded if the dissertation and the oral examination are assessed accordingly by all examiners.

§ 18

Retention of Examination and Dissertation Records

- (1) ¹After successful completion of the doctoral examination process, the examination records will be kept by the TUM Office of Doctoral Affairs; one copy will be kept on file at the degree-awarding institution. ²The degree-awarding institution may request that any result-related documentation (for example, lab notebooks, equipment sketches, and measurement and performance data) remain in its records.
- (2) If the attempt at the doctorate is irreversibly failed, the dissertation with the examiners' reports remain on file at the TUM Office of Doctoral Affairs.

F) Option to Repeat Failed Parts of the Doctorate

§ 19

- (1) Where a dissertation is rejected for the first time by TUM in accordance with § 11(4) or § 13(2) and the attempt at the doctorate is therefore failed, the candidate, within a deadline of two years from receipt of the rejection notice, may submit a new dissertation or, with the approval of the Examination Committee as set out in § 11(4), a revision of the original dissertation to the TUM Office of Doctoral Affairs.
- (2) ¹If a doctoral candidate does not submit a revised or a new dissertation within the deadline set out in Section (1), the attempt at the doctorate is deemed irreversibly failed. ²In this case, the doctoral candidate receives written notification stating the grounds for failure and including a note on legal remedies. ³The protection periods specified in the German Maternity Leave Act (*Mutterschutzgesetz*) must be observed. ⁴In addition, parental leave in accordance with the Federal Parental Allowance and Parental Leave Act (*Bundeselterngeld- und Elternzeitgesetz*) and periods of nursing care in accordance with the Nursing Care Leave Act (*Pflegezeitgesetz*) should be taken into account.
- (3) ¹Where one of the grades awarded for the revised or new dissertation pursuant to § 11(2) is "Fail" or where the dissertation is rejected in accordance with § 13(1), the attempt at the doctorate is deemed irreversibly failed. ²In this case, the candidate receives written notification stating the grounds for failure and including a note on legal remedies.
- (4) ¹Where the dissertation submitted to TUM was graded "Pass" by all examiners but the oral examination was failed, the candidate must retake only the oral examination. ²The examination may be repeated only once, no earlier than three months and no later than one year after the failed oral examination. ³If this deadline is not met, the candidate is no longer entitled to request that his or her dissertation be accepted, and the attempt at the doctorate is considered irreversibly failed. ⁴A second opportunity to repeat the oral examination is possible only in cases of hardship of which the chair of the Examination

Committee must be informed in writing; the Examination Committee must decide by unanimous vote.

G) Reasonable Accommodation

§ 20

- (1) ¹For the conduct of the doctoral examination process, consideration is to be given to the type and severity of any disability. ²If a doctoral candidate can credibly demonstrate that she or he is unable to take the examination in whole or in part in the stipulated form due to a long-term or permanent physical disability or chronic illness, this may be compensated for by an appropriate extension of the working time or a different arrangement of the examination process. ³A medical certificate must be submitted upon request.
- (2) Decisions regarding Section (1) are made by the Examination Committee.

H) Publication of the Dissertation

§ 21

¹After passing the oral examination, the candidate must make the authorized version of the dissertation available to the scholarly public by means of reproduction and dissemination. ²The manuscripts accepted for publication and published in print or electronic journals attached as an appendix in compliance with § 7(3) Sentence 4 are exempt from the obligation to publish. ³In addition to an abstract in German and English, the doctoral candidate must deliver for the purpose of publication and free of charge:

1. an electronic version of the dissertation to the TUM University Library, the file format and data carrier of which correspond to the specifications of the TUM University Library; the doctoral candidate transfers to the TUM University Library, the German National Library and the Bavarian State Library the right to publish the electronic version in data networks for an unlimited period of time and to make it accessible to other databases and assures that the electronic version corresponds to the accepted dissertation; the doctoral candidate is obliged to check the metadata and the network version of his or her dissertation for completeness, correctness, and readability; the submission of files that do not comply with the required specifications regarding file format and data carrier is not considered as publication; or
2. five copies in paper form (DIN A 4 or DIN A 5 bound) with ISBN to the TUM Office of Doctoral Affairs.

⁴The candidate grants TUM the right to produce and disseminate further copies of the dissertation. ⁵The dissertation copies to be submitted must contain a title page as set out in Appendix 1. ⁶The dissertation must be published within one year after the oral examination (cut-off period). ⁷This period may be extended by the head of the degree-awarding institution for up to a further year upon request, in particular for reasons of data protection.

I) Doctorate in Collaboration with a Foreign University/Department

§ 22 Joint Supervision

¹As a prerequisite for a jointly supervised doctoral project with a foreign university or department, a cooperation agreement regulating supervision modalities and stipulating that the doctoral degree is to be awarded exclusively by the home university must be entered into with the partner university. ²As far as possible, the partner university will be taken into account when appointing members to the Examination Committee. ³After successful completion of the doctoral examination process under joint supervision at TUM, a doctoral certificate is issued in which the joint supervision is duly noted.

§ 23 Jointly Conducted Doctoral Examination Process

- (1) A doctoral examination process conducted jointly with a foreign university or department requires that
 1. an agreement for the joint conduct and supervision of the doctoral project, as well as for the review and assessment of the doctoral work has been entered into with the foreign university or department, and
 2. a candidate has been admitted to doctoral candidacy both by TUM in accordance with §§ 2 through 6 and to the foreign university or department.
- (2) ¹On successful completion of a joint doctoral examination process, the doctoral candidate receives a doctoral degree awarded jointly by the participating universities for an independent scientific achievement, which may be used in either the German or foreign designation. ²The participating universities may each issue a doctoral degree certificate for this purpose, containing a reference to the other doctoral degree certificate and indicating that the awarded doctoral degree may only be used either in its German or in its foreign designation. ³Alternatively, a joint doctoral certificate may be issued by the participating universities.

J) Issuance of Doctoral Degree and Certificate

§ 24

- (1) As verification of the award of the doctoral degree, the candidate receives a preliminary certificate as indicated in Appendix 2 from the TUM Office of Doctoral Affairs, provided the copies of the dissertation as set out in § 21 have been submitted within the required deadline.
- (2) Prior to receipt of the preliminary certificate, candidates do not have the right to use their doctoral degree and title.
- (3) ¹In addition, the doctoral candidate receives a certificate in German and English bearing the seal of TUM and the date of the completion of the doctoral degree in accordance with § 17(1), as well as, in the case of a distinction, the additional designation "magna cum laude" or "summa cum laude". ²In addition, a special context in which the doctoral project

was carried out (for example, an Integrative Research Institute or a cooperative doctorate with a university) may be noted on the certificate. ³Date and form of issuance to the doctoral candidate will be determined by the degree-awarding institution. ⁴An ornamental certificate is available at a cost.

K) Honorary Doctorate

§ 25

- (1) In recognition of outstanding scholarly, technical, medical, or artistic achievement, honorary doctorates (Dr.-Ing. E. h., Dr. rer. nat. h.c., Dr. rer. pol. h.c., Dr. oec. publ. h.c., Dr. phil. h.c., Dr. med. h.c., Dr. med. dent. h.c., Dr. med. sci. h.c., Dr. agr. h.c., Dr. rer. silv. h.c., Dr. rer. soc. h.c.) may, in rare cases, be awarded to individuals who are not currently employed by TUM.
- (2) ¹The award of an honorary doctorate requires a nomination stating why the nominee should be recognized, which must be adopted by at least one third of the university educators (*Hochschullehrer*innen*, as specified in Art. 2 of the BayHSchPG) of the degree-awarding institution. ²The institution to award the degree may submit applications for honorary doctorates only for those doctoral degrees it has the right to award in accordance with § 1(3). ³The letter of nomination must indicate and recognize the scholarly, technical, medical, or artistic achievement on which the nomination is based. ⁴The letter of nomination should demonstrate why the nominee's achievement is outstanding. ⁵If available, evidence of the achievements are to be included. ⁶An honorary doctorate for achievements other than scholarly achievements (for example, patronage or sponsorship) is not permissible.
- (3) ¹The degree-awarding institution establishes a committee consisting of at least three university educators (*Hochschullehrer*innen*, as specified in Art. 2 of the BayHSchPG) and appoints from among them a chair who must be a member of TUM. ²The committee members assess whether the nominee's scholarly, technical, medical, or artistic achievement is outstanding and will, if necessary, solicit expert opinions.
- (4) ¹If the committee determines that the requirements for an honorary doctorate as set out in Section (1) have not been fulfilled, the nomination is rejected. ²The application cannot be submitted again at TUM. ³If the committee approves the application, the head of the degree-awarding institution must make the application and the full committee report available to the members of the Faculty Council, School Council, or Institute Council before the decision is taken.
- (5) The application is accepted if it is approved by the Faculty Council, School Council, or Institute Council, the majority of professors serving on those bodies, the head of the degree-awarding institution, and the president; otherwise, the application is rejected and cannot be repeated at TUM.

L) Re-Conferment of Doctoral Degree

§ 26

¹On the occasion of the 50th anniversary of the awarding of a doctoral degree certificate,

upon recommendation of the responsible school or department, the president may re-confer the doctoral degree (“Golden Doctorate”). ²Sentence 1 applies accordingly to the 25th anniversary (“Silver Doctorate”). ³The certificate will be conferred by the university at an award ceremony.

M) Invalidation of Doctoral Degree

§ 27

¹If, prior to the award of the degree certificate, it is established that a candidate was granted permission to commence the doctorate by misrepresentation, or practiced or attempted deceit, the degree-awarding institution must declare the doctoral work invalid and the doctoral examination process as irreversibly failed. ²The doctoral candidate receives written notification stating the grounds and including a note on legal remedies ³On expiry of the time limit for appeal, the president is notified of the declaration of the invalidity of the doctoral degree, and she or he communicates this to all German universities.

N) Revocation of Doctoral Degree

§ 28

¹Revocation of a conferred doctoral degree is subject to Art. 69 of the Bavarian Higher Education Act (BayHSchG). ²The same applies to an honorary doctorate. ³The president communicates the revocation of the doctoral degree, including the necessary details, to all German universities.

O) Transitional and Final Provisions

§ 29

- (1) ¹These regulations enter into force on 1 October 2021. ²Concurrently, the Regulations for the Award of Doctoral Degrees at the Technical University of Munich from 12 March 2012, as last amended by statutes of 3 June 2020, subject to Sentence 3, expire. ³Departing from Sentences 1 and 2, [§ 6\(2\)](#), [§ 7\(3\)](#), [§ 8 Sentence 3 No. 1 e](#), [11\(2\) Sentence 4](#), [§ 15\(3\) Half-Sentence 2](#), [§ 16\(1\)](#) Sentence 1 and [§ 17\(2\)](#) apply initially to doctoral candidates who have applied for entry on the doctoral candidacy list in accordance with [§ 6\(1\)](#) Sentence 1 after the entry into force of these regulations. ⁴Doctoral candidates already entered on the doctoral candidacy list may, upon application to the degree-awarding institution, declare themselves subject to the new regulations exclusive of the departing regulations specified in Sentence 3. ⁵The declaration is binding.
- (2) Departing from [§ 1](#), the TUM School of Life Sciences will confer the degree “Dr. oec” for doctoral projects entered onto the doctoral candidacy list of the Center of Life and Food Sciences Weihenstephan no later than 30 April 2003, and “Dr. oec. troph” for doctoral projects entered no later than 31 December 2006.

Appendix 1:

(Name of degree-awarding institution)

(Dissertation title)

(Candidate first name and last name)

Complete reprint of the dissertation approved by the [degree-awarding institution] of the Technical University of Munich for the award of the [doctoral degree].

Chair:

Examiners:

1.

2.

3.

The dissertation was submitted to the Technical University of Munich on [date] and accepted by the [degree-awarding institution] on [date].

Appendix 2:

Affidavit

I _____ (first and last name) declare in lieu of oath that the work presented to the degree-awarding institution (name of institution) _____

of TUM and entitled

was completed under the guidance and supervision of

without any other assistance and using only those aids specified in § 7(6) and (7) of the doctoral regulations (PromO).

I have not engaged any organization that seeks supervisors for the preparation of dissertations in return for payment, or that takes care of all or part of the duties incumbent upon me with regard to examination requirements.

I have not submitted the dissertation in this or a similar form as an examination requirement in any other examination process.

Parts of the dissertation have been published in

_____.

I have not yet earned nor have I irreversibly failed in a previous doctoral examination process for the doctoral degree I am seeking.

I have already submitted an application for graduation to another degree-awarding institution, namely, (name)

_____ at the university (name) _____ on (date) _____, submitting a dissertation on the topic _____.

The outcome of this application was/is:

I am not aware of any criminal investigation of science-related offenses against me or of any lawful criminal conviction related to my scientific work.

I am aware of the publicly accessible doctoral regulations, as well as the guidelines for ensuring good scientific practice and for dealing with scientific misconduct of TUM. In particular, I have taken note of the meaning of § 27 PromO (*Invalidation of the Doctoral Degree*) and § 28 PromO (*Revocation of the Doctoral Degree*). I am aware of the consequences of filing a false affidavit.

I permit my personal data to be stored in the TUM alumni database.

I do not permit my personal data to be stored in the TUM alumni database.

Place, Date, Signature

Appendix 3:

Supervision Agreement for the doctorate at the Technical University of Munich <Name of Graduate Center>

1. Recitals

The Technical University of Munich (TUM) attaches particular importance to the education and training, support and promotion of its young scientists. The role of supervisors as well as a good and active relationship between supervisors and doctoral candidates are important factors for the successful completion of the doctorate. To this end, each supervisor and each doctoral candidate mutually agree on the parameters of the individual doctoral project and the supervisory relationship in the Supervision Agreement. The agreement is intended to serve as a basis for trusting, constructive and transparent cooperation at the highest scientific level, to make the course of the doctoral phase as plannable as possible, and to contribute to the successful completion of the doctorate within an appropriate period of time.

This agreement reflects the current planning horizon; it may and should be **continuously updated** in terms of the development of the scientific aims and objectives, as well as the individual qualification elements and milestones of the doctoral project, as agreed between the supervisor and the doctoral candidate.

This Supervision Agreement regulates the supervision relationship between the doctoral candidate and the supervisor solely with regard to the doctorate. It does not regulate any personnel or labor law aspects arising from any employment relationship between the persons entering into the agreement and does not establish any enforceable legal positions.

2. Parties to the Agreement

This Supervision Agreement is entered into between:

_____ [doctoral candidate]

and

_____ [supervisor]³

and (where applicable)⁴

_____. [second supervisor]

Mentor⁵ of the doctoral project: _____

other mentors, where applicable: _____

3. Membership Application and Doctoral Degree Pursued

With this Supervision Agreement, the doctoral candidate applies for membership in the [name of graduate center] and concurrently in the TUM Graduate School (TUM-GS).

The candidate is pursuing the _____ [doctoral degree] from the degree-awarding institution [name of institution]_____.

4. Subject and Schedule of the Doctoral Project

The doctoral candidate is writing a dissertation on the following **subject**:

The working basis for the doctoral project is an exposé, including work plan and time schedule.

An **exposé** dated _____ [date] is attached as an appendix.

An **exposé** is not yet available at the time of entry on the doctoral candidacy list, but will be prepared **within 6 months** after the Supervision Agreement enters into force and uploaded in DocGS after consultation with the supervisor.

³ In the event of a change of supervisor, a new supervision agreement must be drawn up.

⁴ For doctoral projects in collaboration with Universities of Applied Science or international partner universities, the second supervisor from the collaborating institution **must** be included and listed in the supervision agreement.

⁵ At least one mentor must be assigned to every doctoral project. The mentor of the doctoral project may offer appropriate subject-specific and professional advice, and may also be consulted for personal development. Mentors can be all persons who have proven their ability to conduct independent scientific work, usually through a doctorate. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor.

The doctoral project has been started/will start on [date] and should be completed within a period of _____ years. The schedule of completion should be discussed with the supervisor at regular intervals and adjusted to developments. Regular meetings to discuss the progress of the doctoral project are arranged at intervals of _____ months.

5. Elements of the Doctorate

5.1 Upon a successful formal review of the application for entry on the doctoral candidacy list, the doctoral candidate becomes a temporary member of TUM GS. To initiate the doctoral examination process, candidates must have been a member of TUM GS for at least two years and participated in the TUM GS qualification program, as set out in § 8 of the Regulations for the Award of Doctoral Degrees.

5.2 This Supervision Agreement specifies the individual qualification program the candidate intends to pursue. It serves as an orientation and may be modified at any time, provided it is consistent with the required qualification program as set out in § 15 of the Statute of the TUM GS and the Regulations of the Graduate Center.

5.3 The following mandatory qualification requirements have been agreed upon:

- a. Participation in a **kick-off seminar** at the TUM GS within the first six months.
- b. Involvement in **the academic environment of TUM** to be demonstrated through

Attendance at TUM or one of the following partner institutions⁶:

Teaching at TUM (e.g. lectures, tutorials, supervision of internships/theses)

Substantive participation in the following research group at TUM:

If this requirement is fulfilled through teaching or participation in a research group, the following specific activities are planned:

Activity	Duration

- c. **Subject-specific courses** (seminars, special lectures, summer/winter school, etc. offered by the Graduate Center/Chair) corresponding to at least six weekly hours per semester (spread over the entire duration of the doctoral phase). Planned courses:

⁶ Partner institutions are public academic research institutions acknowledged by the Graduate Center.

Course	Type	Credits

- d. No later than two years after entry into force of this agreement, the doctoral candidate and the supervisor will hold a **feedback meeting** on the doctoral project in accordance with § 15(7) of the TUM-GS statutes, in which the progress of the doctoral project and the qualification program will be discussed, as well as next steps. The results of the discussion will be recorded in writing and this Supervision Agreement will be modified accordingly.

[Where applicable, include regulations regarding additional parties to this agreement beyond the doctoral candidate and supervisor(s).]

- e. The doctoral candidate must present his or her research results for **discussion to the international scientific community** through at least one **accepted publication** in an international, peer-reviewed journal or in the proceedings of an international, peer-reviewed conference. Planned activities:

- f. [Where applicable, include specific or additional requirements regarding the mandatory subject-specific qualification defined in the regulations of the respective graduate center.]

5.4 In addition, the candidate plans to participate in the following **elective qualification elements**.

- a. **Transferable skills seminars** offered by the TUM-GS or other TUM units offering continuing education programs. TUM-GS recommends taking part in at least three courses. Planned courses:

Course	Type	Credits

- b. **International activities within** the doctoral project (e. g., stay abroad, participation at conferences or involvement of international scholars as guests). TUM-GS recommends an international research stay of at least four weeks and supports this financially within the scope of its available funds. Planned stays abroad:

Type of Stay Abroad:	Host or Inviting Institution	Country	Duration in Days

6. Roles and Duties in the Scope of the Supervision Agreement

6.1 Doctoral candidates and supervisors commit to

- actively and conscientiously fostering the supervisory relationship and jointly creating a working environment characterized by trust, mutual respect, esteem and appreciation, as well as open communication; they strive for a timely and expeditious doctoral process,
- supporting the TUM-GS in its work,
- providing annual feedback on the status of the doctoral project according to § 5 of the TUM GS statute and
- discussing the subject, problems and structure of the doctoral project, including the realistic implementation of the schedule of completion.

6.2 Supervisors commit to

- actively promoting the disciplinary and transferable skills education and training of doctoral candidates and advising them in this regard,
- promoting the quality of the doctoral project through consultation and discussion, including feedback on questions and manuscripts, and guiding the completion of the dissertation within a reasonable period of time,
- providing the necessary support, tailored to the individual needs of the doctoral candidates, toward achieving the objective of the doctorate and the early scientific independence of the doctoral candidates,
- enabling and supporting the candidates' participation in scientific conferences in Germany and abroad within the financial means of the Professorship, as well as the completion of stays abroad, if desired by the doctoral candidates and
- advising doctoral candidates with regard to further career planning, if they so wish, and providing continued support for the doctoral project even if they are no longer at TUM, e.g. by providing continued supervision within the framework provided for by the doctoral regulations or by providing support in the event of a change of supervision.

6.3 Doctoral candidates commit to

- pursuing the successful completion of the doctoral project through goal-oriented and independent scientific work according to the attached schedule of completion,
- maintaining regular contact with the supervisor and facilitating and utilizing the aforementioned supervision opportunities,
- reporting precisely and regularly to the supervisor on the status of the doctoral project and the completion of the qualification elements and
- informing themselves about requirements and regulations relevant to the doctoral process.

7. Resources

The supervisor and the doctoral candidate have agreed on the resources (e.g., laboratory access, measuring and calculating equipment and/or materials) necessary to conduct the planned research. The candidate has been made aware of the following agreements, if any:

8. Good Scientific Practice

The parties to this agreement undertake to comply with the rules of **Good Scientific Practice** and the handling of academic misconduct (see www.tum.de). Acknowledgement of these guidelines is confirmed by signature below. The candidate is aware that according to § 7(7) of the TUM Regulations for the Award of Doctoral Degrees scholarly work already submitted for examination purposes may not be re-submitted as part of the doctoral project.

9. Measures to Balance Family and Academic Career

The compatibility of family and scientific activity is particularly supported by TUM. To this end, the following agreements are made (if applicable):

10. Conflict Regulations

In order to clarify contentious issues or in case of conflicts, the parties will promptly enter into discussion. If a conflict appears unresolvable to at least one party, each party can turn to the Graduate Center, the head of the respective degree-awarding institution, the office or management of the TUM-GS or any of the TUM ombudspersons.

11. Data Privacy Protection

The undersigned are hereby informed that their personal data will be stored and processed by TUM for organizational and statistical purposes, as well as for controlling and quality management in accordance with Art. 6(1) b of the DSGVO. The data will not be passed on to third parties, except in anonymized form to the Bavarian State Office for Statistics for statistical purposes there and only for such purposes, as set out in Art. 6(1) c of the DSGVO.

Under statutory requirements, you have a right to information, as well as to correction or deletion or to restriction of processing, or a right of objection against processing, and the right to data portability. There is also a right of appeal to the Bavarian State Commissioner for Data Protection.

Contact for questions: TUM Graduate School, contact@gs.tum.de or the Data Protection Officer of the Technical University of Munich.

Place, Date

Doctoral candidate

Supervisor

Place, Date

If applicable, Second Supervisor

Mentor

Place, Date

If applicable, Second Mentor

Managing Director of the Graduate Center

Copies

An original copy of the Supervision Agreement must be submitted in DocGS when applying for entry on the doctoral candidacy list of the degree-awarding institution. Copies must be submitted to the following persons/institutions:

1. Supervisor
2. Doctoral candidate
3. Mentor
4. Graduate Center

Appendix:

Confirmation of Knowledge of the Supervision Agreement by Subsequently Named or New Mentors*

Mentor (name):

I hereby confirm my knowledge of the Supervision Agreement dated _____ (date of supervisor's signature) between _____ (doctoral candidate) and _____ (supervisor).

(Date, Signature of mentor)

*At least one mentor must be assigned to every doctoral project. The mentor of the doctoral project may offer appropriate subject-specific and professional advice, and may also be consulted for personal development. Mentors can be all persons who have proven their ability to conduct independent scientific work, usually through a doctorate. If possible, they should be independent persons who do not belong to the Chair or Professorship of the supervisor.

Executed following a resolution of the Senate of the Technical University of Munich dated 14 July 2021 and approval by the President of the Technical University of Munich on 23 August 2021.

Munich, 23 August 2021

Technical University of Munich

Thomas F. Hofmann
President

These regulations were made available for inspection at the Technical University of Munich on 23 August 2021, following their announcement. Day of proclamation is therefore 23 August 2021.