The Technische Universität Dortmund passed the following ordinance due to § 2 Para. 4 in association with § 67 Para. 3 of the statute for institutes of higher learning in North Rhine-Westfalia (Hochschulgesetz - HG) dated 31 October 2006 (GV. NRW. pp. 474), most recently updated by law on 31 January 2012 (GV. NRW. pp. 90):

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§ 1 Right to Confer Doctorate Degrees

(1) The Technische Universität Dortmund has the right to confer doctorate degrees.

(2) Upon graduation, the Technische Universität Dortmund confers a doctorate degree in mechanical engineering (Dr.-Ing.) in accordance with this doctorate ordinance. For graduations in the field of engineering didactics, a doctorate of pedagogy (Dr. paed.) will be conferred. The mechanical engineering department is responsible for carrying out this procedure.

(3) The Technische Universität Dortmund can bestow an honorary doctorate degree (Dr.-Ing. h. c.) upon application by the mechanical engineering department (§ 24).

§ 2 Purpose of a Doctorate

A doctorate verifies that the graduate is especially capable of independent scientific work that extends beyond the goal of general studies. This capability is substantiated by a written work (dissertation), which furthers the state of scientific knowledge; an oral examination (consisting of a public lecture and a viva voce); as well as the successful completion of a structured doctorate programme as determined by the department.

§ 3 Doctorate Committee

(1) A doctorate committee shall be established to carry out the doctorate process and to complete further tasks assigned to it based upon this doctorate ordinance.

(2) The doctorate committee consists of five members, of which three members are university professors in accordance with § 11 Para. 1 No. 1 HG, one member is an academic employee in accordance with § 11 Para. 1 No. 2 HG, and one doctor from the student group in accordance with § 11 Para. 1 No. 4 HG. The committee chairperson must come from the group of university professors. The members of the doctorate committee shall be selected separately upon nomination from the respective groups on the faculty board. Re-nomination is permissible. The committee members' terms shall be two years, and one year for the student member. A representative shall be elected for each group. The composition of the doctorate committee shall be announced.

(3) The doctorate committee has the following tasks in particular:
- Determine doctorate requirements in accordance with § 4 and decide upon admission into the doctoral examination procedure in accordance with § 6,
- Begin the doctoral examination procedure and determine the faculty advisers in accordance with § 12,
- Determine the board of examiners in accordance with § 13,
- Determine deadlines and dates,
- Make decisions regarding special cases in the doctoral examination procedure,
- Make decisions when protests are made,
- Make decisions about the doctorate degree to be conferred.
The doctorate committee shall ensure that the provisions of the doctorate ordinance are followed. The committee shall report regularly to the faculty board regarding the status of the doctoral examination procedure and, if applicable, provide feedback to change the doctorate ordinance and improve the doctoral examination procedure.

The doctorate committee may delegate the execution of ongoing business to the chairperson. The doctorate committee shall make decisions about rejection decisions and protests as a panel.

Members of the doctorate committee are obligated to secrecy. If the members are not in public service, then they must pledge this secrecy to the chairperson.

Doctorate committee sessions are not public. The doctorate committee has quorum when half of the voting members are present. The doctorate committee shall make decisions based on a simple majority. In the event of a tie vote, the chairperson shall break the tie with his/her vote. Only members from the group of university professors and scientific employees with a doctorate have the right to vote.

§ 4 Requirements for Admission into the Doctoral Examination Procedure (§ 67 Para. 4 HG)

Candidates are eligible for obtaining a doctorate when they have:

a) a relevant Master’s degree with a total of 300 credit hours (Bachelor’s and Master’s) and a mark of at least “good” or
b) have a degree pursuant to relevant university studies requiring at least eight semesters of regular study for which a degree other than a Bachelor’s is granted and have a mark of at least “good” or

c) a relevant Master’s degree with less than 300 credit hours (Bachelor’s and Master’s) with a mark of at least 2.0 and have completed subsequent doctorate studies or
d) relevant university studies of at least six semesters with a mark of 1.5 or better and can verify subsequent doctorate studies. The doctorate committee may make exceptions with cause and authorise candidates who have not met the minimum marks criteria in Para 1 sections a) through d).

With regard to paragraph 1, relevant means studies in mechanical engineering, logistics, industrial engineering, or engineering as part of a teaching degree programme. Also considered relevant are studies that demonstrate a sufficiently high proportion of engineering science contents (e.g., this can include studies in electrical engineering, air and space aviation, informatics, civil engineering, mathematics or economics).

The doctorate committee shall decide upon the existence of sufficiently high proportions on a case by case basis. The doctorate committee can authorise other candidates in exceptional cases with cause contingent upon the completion of doctorate studies.

Candidates who verify a degree in accordance with Para 1 section c) and d) (and
Para 2, as applicable) must complete at least two semesters and at least 60 credit hours of doctorate studies prior to final authorisation for doctoral examination. The precise content and scope of doctorate studies shall be determined by the doctorate committee in consultation with the adviser. In accordance with Para 1 section d), candidates with a Bachelor's degree must also verify their eligibility for doctoral examination.

(4) Those whose degrees do not meet the criteria of the Grundgesetz common law can be admitted provided the degree is considered tantamount to the specified degree. The doctorate committee shall make the determination upon application by the candidate. In case of doubt, contact the central office for foreign education.

§ 5 Application for Admittance into the Doctoral Examination Procedure

(1) The candidate should submit their application for admission into the doctoral examination procedure within four weeks of receipt of a letter of endorsement (Para. 2 section b)).

(2) The applicant shall submit their application for admission into the doctoral examination procedure in writing to the chairperson of the doctorate committee of the mechanical engineering department. The following shall be submitted along with the application:

a) Designation of the doctorate subject and the desired doctoral degree,
b) The proposed topic of the dissertation,
c) A written endorsement from a university professor or faculty member qualified as a professor to advise on the dissertation,
d) Proof of met admission requirements in accordance with § 4, in particular the submission of degree certifications for university education and university admission eligibility,
e) A tabular curriculum vitae that details the scientific and professional background of the candidate,

(3) The following explanations shall be included with the application:

a) Whether the candidate has already applied for a doctoral examination procedure at the Technische Universität Dortmund, or
b) Whether he/she has already been in such a procedure and either completed or withdrawn from it, or
c) Whether the candidate has already received authorisation for a doctoral examination and is currently in a doctoral examination procedure, or
d) Whether he/she has completed or withdrawn from such a procedure. In the last case, the candidate shall indicate the results of the doctoral examination.

(4) After admission from the doctorate committee, the doctoral candidate shall enrol at the Technische Universität Dortmund in accordance with the enrolment ordinance. Proof of enrolment shall be submitted within three weeks following admission from the doctorate committee.
§ 6 Admission into the Doctoral Examination Procedure

(1) The doctorate committee shall review the application documents for completeness in accordance with § 5 and for meeting the requirements for a doctorate in accordance with § 4. If the application documents are incomplete, then the doctorate committee can place conditions requiring that the applicant provide missing documents. The doctorate committee shall notify the applicant about admission or denial as a doctoral candidate in writing.

(2) The application for admission shall be denied
   a) If the applicant has not fulfilled the requirements according to § 4 or has not submitted missing documents by the deadline set by the doctorate committee.
   b) If the subject of the dissertation is not represented by the faculty, or
   c) If technically competent advising for the dissertation cannot be assured.

An application for admission can be denied if a previous doctoral examination procedure was terminated or ended without success. A decision for denial shall be justified and include instruction on the right to appeal the decision.

(3) If conditional admission is granted in accordance with Para. 1, then it can be revoked if the conditions are not met in a timely manner.

§ 7 Advising

(1) After admission for doctoral examination, the doctorate committee, at the suggestion of the doctoral candidate, shall name a university professor or faculty member qualified as a professor to be the adviser for the dissertation. In consultation with the doctoral candidate, the number of advisers can be increased to two. The additional adviser can be from another department at the Technische Universität Dortmund or belong to another domestic or foreign university. The additional adviser must be a university professor at a university with the right to confer doctorate degrees or be a university member qualified as a professor. On exception, it is sufficient for graduation if the doctorate committee has previously determined through a resolution an extraordinary scientific qualification for doctoral examination advising that supersedes a mere doctoral examination (extraordinary scientific ability).

(2) The adviser's role is to
   a) Discuss with the doctoral candidate a time plan for completing the dissertation and to agree on a structured doctorate programme,
   b) Stay regularly updated by the doctoral candidate regarding his or her progress regarding their goals during dissertation preparation,
   c) Competently advise the doctoral candidate if difficulties arise,
   d) Provide extensive feedback orally or in writing on input from the doctoral candidate.

(3) The doctoral candidate is obligated to report to his/her adviser once annually regarding previous and planned activities.
§ 8 Revocation of Admission into the Doctoral Examination Procedure

The doctorate committee can revoke admission to the doctoral examination procedure after at least one year after granting admission to the doctoral examination procedure in consultation with the adviser if the doctoral candidate has not successfully applied himself/herself to the required and expected degree in completing his/her dissertation and structured doctorate programme. The doctoral candidate shall be heard prior to a decision. Further, after three years the doctorate committee can require from the doctoral candidate an interim report on the status of his/her dissertation, or to set a deadline in consultation with the adviser by which the dissertation must be submitted.

§ 9 Structured Doctorate Programme

(1) The doctoral candidate shall participate in a structured doctorate programme during the doctoral examination procedure.

(2) The structured doctorate programme of the mechanical engineering department consists of an appropriate selection of activities from the following areas, which shall be determined and agreed upon individually by the adviser and the doctoral candidate:

a) Regular participation as a lecturer and audience member at faculty colloquia,

b) Participation in faculty doctoral candidate workshops,

c) Participation at events from post-graduate schools / researchers and research groups / special research areas / emphasis programmes or similar common research projects and research collaborations, provided the dissertation topic is included herein,

d) Participation in national and international scientific conferences including the submission of scientific publications and the personal presentation of submitted publications,

e) Writing and submitting scientific publications in learned journals,

f) Holding courses for students, such as lab courses, seminars, project groups, and internships to increase the teaching competency of the doctoral candidate,

g) Participation in advanced education events for personal development in topics such as didactics, rhetoric, time management,

h) Participation in and organisation of scientific excursions and events,

i) Participation in scientific committee work in scientific associations,

j) Participation in lectures for Master’s degree programmes at the mechanical engineering department or other departments to deepen and expand the expert knowledge in the area of the dissertation topic.

§ 10 Dissertation

The doctoral candidate must submit an independent, substantial, scientific work in the areas of science of the mechanical engineering department that constitutes an advance in the status of scientific findings. In general the dissertation shall be submitted in either German or English. Exceptions will be decided by the doctorate committee in consultation with the adviser.
§ 11 Application for Acceptance of the Dissertation and Submission of the Dissertation

(1) The candidate's application for dissertation acceptance and, thus, commencement of the doctoral examination procedure shall be submitted to the doctorate committee in writing.

(2) The following shall be submitted along with the application:

   a) Five bound, typed copies of the dissertation and one PDF copy on a suitable data medium,
   b) An abstract of the dissertation on no more than one DIN-A4 page in German and English as well as a list of previously published components of the dissertation,
   c) A written, sworn declaration that the dissertation was independently compiled and that all sources and aids used in the dissertation have been cited,
   d) A statement regarding whether the dissertation in its present or a previous version has already been submitted to the Technische Universität Dortmund or another university as part of a governmental or academic examination, and
   e) Verification of successful completion of the determined structured doctorate programme through a certificate from the adviser.

(3) The doctorate committee shall be notified in writing of withdrawal from the doctoral examination procedure. It is allowed only

   a) If a final rejection of the dissertation has not been issued, or
   b) After acceptance of the dissertation until commencement of the oral examination.

In all other cases, withdrawal is tantamount to not passing the examination. § 14 Para. 8 applies accordingly.

§ 12 Commencement of the Doctoral Examination Procedure and Designation of Referees

The doctorate committee begins the doctoral examination procedure when a written application for acceptance of a dissertation along with required documents (§ 11) are submitted in their entirety. Upon commencement of the doctoral examination procedure, the doctorate committee designates the main referee and co-referee for the dissertation. Suggestions from the doctoral candidate may be considered. The dissertation adviser shall designate at least one referee. At least one referee must be a faculty member as a professor or employee qualified as a professor. The other referee must also be a professor at a university with the right to confer doctorate degrees or a university employee qualified as a professor. On exception, if the faculty board has previously determined extraordinary scientific ability for participation in the doctoral examination procedure, this will suffice for the doctorate.

The doctoral examination procedure should be completed within six months of dissertation submission.
§ 13 Board of Examiners

(1) After commencing the doctoral examination procedure, the doctorate committee shall designate an board of examiners along with its chairperson. The board of examiners generally consists of a chairperson and three additional members (but must consist of at least three members). At least half of the board of examiners members shall belong to the mechanical engineering faculty. For the rest, the board of examiners can consist of external members from domestic and foreign universities and research institutes. The referees should be part of the board of examiners. The board of examiners members must be professors at a university with the right to confer doctorate degrees or be a scientist with qualifications as a professor. On exception, if the faculty board has previously determined extraordinary scientific ability for participation in the doctoral examination procedure, this will suffice for the doctorate. The chairperson must be a member of the professor group and may not be a referee.

(2) The tasks of the board of examiners are to:

a) Make decisions about the acceptance or rejection of a dissertation,
b) Grade the dissertation,
c) Carry out and grade the oral examinations,
d) Determine the overall results,
e) Determine if the dissertation is print ready or whether conditions shall be placed on the form of the dissertation determined for publication in consideration of suggestions from the referees.

(3) The board of examiners shall make its decision on the results of the oral examination and the overall results directly after the oral examination. Voting abstentions are not allowed. The board of examiners shall make its decision jointly. If a joint decision cannot be made, then the decision will be made with a majority vote. The board of examiners only has quorum if all members are present.

§ 14 Assessment of the Dissertation

(1) The referees generally submit an impartial, justified assessment to the doctorate committee within ten weeks. The referees make requests for acceptance, rewriting, or rejection in their assessments.

(2) If they request acceptance of the dissertation, then they also suggest a grade for the dissertation. The following marks apply:

a) “Pass with distinction” (summa cum laude)
b) “Very good” (magna cum laude),
c) “Good” (cum laude),
d) “Pass/Sufficient” (rite).

The mark “pass with distinction” may only be granted for unusually high scientific achievements.

(3) If the recommendation to accept the dissertation is unanimous, then it will be
placed in the faculty deanery for ten business days for viewing by research and teaching members of the Technische Universität Dortmund. This will be announced to faculty members by hanging in the deanery as well as immediately notifying the faculty of the Technische Universität Dortmund in writing. So long as there is no formal objection within three days after the end of the display period, then the dissertation is accepted.

(4) If the referees are in agreement for the rejection of the dissertation, then the doctorate committee determines that the dissertation is rejected. A rejected work remains in the faculty files along with all assessments. If the dissertation is rejected, then the doctoral examination has not been passed.

(5) If the referees are unanimous in requesting a rewrite of the dissertation, then the doctorate committee, in consultation with the referees, shall set an appropriate deadline of maximum six months by which the work shall be resubmitted. If the doctoral candidate misses the deadline without an important reason or he/she does not meet the conditions applied, then the dissertation shall be rejected. Para. 4 section 2 and 3 apply accordingly.

(6) If the referees are not in agreement regarding the acceptance, rewriting or rejection of a dissertation, then the doctorate committee shall designate an additional referee. The third assessment shall determine the outcome. In case of doubt, the board of examiners shall make the decision.

(7) In the event of a timely, justified protest against the acceptance of the dissertation, the board of examiners shall make a decision on the continuing procedure after obtaining opinions from participating referees. In case of doubt, an additional referee must be consulted. In this case, the final acceptance or rejection of a submitted dissertation work shall be decided by the board of examiners based on all present assessments and opinions.

(8) The chairperson of the doctorate committee shall inform the doctoral candidate of each decision made. Rejection decisions shall be justified and include instruction on the right to appeal. The doctoral candidate shall be granted a right to be heard prior.

§ 15 Oral Examination

(1) After final acceptance of the dissertation, the doctorate committee shall set a date for the oral examination. The oral examination should take place within six months of the application for acceptance of the dissertation and submission of the dissertation and within eight weeks after final acceptance of the dissertation. The doctoral candidate and members of the board of examiners shall be invited to the oral examination at least ten days in advance. Notice of the date for the oral examination shall also be posted in the department.

(2) The oral examination shall be in the form of a public lecture with subsequent viva voce. It serves to determine whether the doctoral candidate, based on special scientific knowledge and abilities, can justify, further expound upon, and place in the context of his/her area of expertise the results concluded in the dissertation.

(3) The oral examination begins with a public lecture on the results of the
The oral examination shall be in German or the language in which the dissertation was written. The doctorate committee shall decide on exceptions in consultation with the board of examiners.

(5) The oral examination is an individual examination. It shall be administered by the chairperson of the board of examiners. Members of the board of examiners are entitled to examine and ask questions. The major subjects and results of the oral examination shall be recorded in a protocol.

(6) If the doctoral candidate is not present at the oral examination without sufficient excuse or if he/she terminates the examination, then it is considered not passed.

§ 16 Examinations Results

(1) Directly after the oral examination in a non-public session, the board of examiners shall decide based on existing assessments and the performance in the oral examination whether

   a) The doctoral candidate should be conferred a doctorate degree,
   b) The doctoral candidate must repeat the oral examination, or
   c) If a doctorate is denied.

(2) If the board of examiners decides that the doctoral candidate should be conferred a doctorate, then they determine the mark for the oral examination. § 14 Para 2 applies accordingly for the awarding of marks.

(3) The board of examiners subsequently determines the overall mark for the doctorate degree. Evaluation of the dissertation generally has particular weight in the determination of the overall mark. § 14 Para 2 applies accordingly for the awarding of marks.

(4) In the presence of the board of examiners, the chairperson of the board of examiners subsequently shall announce to the doctoral candidate the grading of his/her overall performance as well as any amendment conditions for the publication of the dissertation.

(5) Upon request by the doctoral candidate, the doctorate committee shall issue a temporary certification of the overall results. In the event the doctorate conferral is denied, § 14 Para. 8 applies accordingly.

§ 17 Retaking the Oral Examination

(1) The doctoral candidate can repeat a failed oral examination once within a year. The doctorate committee shall determine the date for the retake in consultation with the board of examiners.

(2) If the board of examiners has issued a final denial of doctorate conferral after failing the second examination, then the doctoral examination procedure is ended conclusively without success. A final decision on failure to pass shall be justified and include instruction on the right to appeal. The doctoral candidate shall be granted a right to be heard prior.
§ 18 Publication of the Dissertation

(1) After successfully completing the doctoral examination procedure, the doctoral candidate is required to make his/her dissertation appropriately accessible to the scientific public through duplication and distribution. The manuscript intended for publication shall be submitted to the chairperson of the doctorate committee. He/She will determine along with the referees whether the conditions placed by the board of examiners have been met.

(2) The dissertation is made appropriately accessible to the scientific public when the author – in addition to the copies for archiving required in the examination documents – provides three copies free of charge to the university library and additionally provides one copy to the chairperson of the doctorate committee for archiving. These copies must be printed on permanent, wood- and acid-free paper with permanent binding. On the reverse side of the title page, publication should be noted as a dissertation in the mechanical engineering department along with the place of the dissertation, the day of the oral examination, and the names of the referees.

(3) Furthermore, distribution should be ensured by

a) Delivery of a further 40 copies in letterpress or photo printing, or

b) Proof of sale via book trade through a commercial publisher with a contractually assured guarantee that the dissertation shall be available at all times in the index of deliverable books and that additional copies can be reprinted quickly with corresponding demand, or

c) Through a commercial publisher with a minimum run of 50 copies, or

d) Delivery of an electronic version compiled in accordance with university library guidelines. In this case, the doctoral candidate conveys to the university the right to create and distribute additional copies of the dissertation and to make it available on data networks in keeping with the statutory duties of a university library.

(4) The dissertation shall be published within one year of the oral examination. In justified exceptions, the chairperson of the doctorate committee may extend this deadline. If the doctoral candidate misses the deadline, then he/she loses all of the rights gained through the examination.

§ 19 Conclusion of the Doctoral Examination Procedure

(1) As soon as the final doctorate task has been fulfilled, then a doctorate certificate will be issued on the day the oral examination has been successfully completed. The doctorate certificate shall be signed by the dean and the rector.

(2) Upon issue of the doctorate certificate, the holder has the right to use the title of Doctor.
§ 20 Doctorate in Joint Advising with Faculty from Another University

(1) A doctorate degree can also be bestowed in collaboration with faculty from another domestic or foreign university with the right to confer doctorate degrees. If the doctoral examination procedure is carried out in collaboration with a university that does not have the right to confer a doctorate degree, this can be referenced in the doctorate certificate.

(2) Carrying out a doctoral examination procedure with faculty from another university requires the conclusion of a written agreement in which the faculty members pledge to enable a joint doctorate and to handle the particulars of the collaboration.

(3) If the valid doctorate ordinances of the participating faculty require a structured doctorate programme in accordance with § 9, then the university faculties shall agree on where the doctoral candidate shall complete this programme and which parts of the programme will be recognised by the other university.

§ 21 Nullification of Doctorate Achievements

(1) If, prior to issue of the doctorate certificate, it is found that the doctoral candidate was or attempted to be deceitful in the procedure or if significant requirements for graduation were not fulfilled, then the faculty board can declare the graduation null upon request of the doctorate committee.

(2) The doctoral candidate shall be entitled to be heard prior to a decision by the faculty board. The decision shall be justified and include instruction on the right to appeal.

§ 22 Revocation of a Doctorate Degree

(1) The doctorate degree shall be revoked if it is subsequently found that it was obtained through deceit or if major requirements for the bestowal were mistakenly considered present.

(2) The faculty board shall make decisions about the revocation of a doctorate degree. The affected person shall be given an opportunity to be heard prior to a decision by the faculty board. The decision shall be justified and include instruction on the right to appeal.

§ 23 Right of Appeal

Protest can be made against the decisions of the doctorate committee and board of examiners in accordance with the provisions of the Verwaltungsgerichtsordnung (VwGO) [Administrative Court Procedures Code]. The protest shall be submitted to the chairperson of the doctorate committee. The doctorate committee shall make decisions regarding protests against the decisions of the board of examiners. The faculty board shall decide on protests.
against decisions of the doctorate committee. The doctoral candidate shall be given the opportunity to state his/her case prior to incriminatory decisions.

§ 24 Honorary Doctorate

(1) The doctorate degree “honorary” Dr.-Ing. h. c. may only be granted for outstanding achievements in the field of mechanical engineering.

(2) Honorary doctorate may not be conferred upon members of the Technische Universität Dortmund. An honorary doctorate degree should not be granted to scientists who within a few years were recently members of the Technische Universität Dortmund.

(3) Upon the recommendation of the faculty board, the rector's office shall decide on conferral of an honorary doctorate. At least two-thirds of voting members of the faculty board are required for this conferral.

§ 25 Entry into Effect

(1) This doctorate ordinance enters into effect on 1 June 2012. Simultaneously, the previous doctorate ordinance of the Universität Dortmund for the mechanical engineering department from 25 June 1981 expires.

(2) Doctoral candidates who have already submitted an application for acceptance into the doctoral examination procedure at the time this doctorate ordinance enters into effect can apply in writing to apply this doctorate ordinance. The application to apply this doctorate ordinance is irrevocable. Otherwise, the currently valid version previous doctorate ordinance of the Universität Dortmund for the mechanical engineering department from 25 June 1981 applies for these doctoral candidates with the stipulation that the doctorate committee formed in accordance with this doctorate ordinance takes the place of the faculty board and that the faculty board decides on protests against decisions of the doctorate committee.

Executed based on a resolution of the faculty board of the mechanical engineering department on 25 April 2012.

Dortmund, on 5 June 2012

Rector
of the Technische Universität Dortmund

University Professor
Dr. Ursula Gather