

Technische Universität Dresden

Faculty of Education

Regulations for obtaining a doctoral degree

As of 24.11.2010

Based on §§ 40, 88 section 1 no. 2, 13 section 4 of the Law on Higher Education in the Free State of Saxony (Sächsische Hochschulgesetz – SächsHG) of 10 December 2008 (SächsGVBl. p. 900), last modified by article 10 of the law of 26 Juni 2009 (SächsGVBl. p. 375, 377), the faculty council of the faculty of education of the “Technische Universität Dresden” issues the following regulations for obtaining a doctoral degree as statues.

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§ 1

Aim of obtaining a doctoral degree; kinds of doctoral degrees

(1) By obtaining a doctoral degree, the applicant has proven a scientific qualification beyond the course of study accord. to §4 and the special ability for independent scientific work to be assessed in the doctoral procedure by the responsible bodies of the faculty in the scope of an appropriate procedure (doctoral procedure). With the scientific work (doctoral thesis), results are to be provided that promote the disciplinary development of the subject.

(2) Resulting from the successful doctoral procedure the applicant is awarded and certified by the faculty of education of the Technische Universität Dresden the right to bear the academic degree of

Doktor der Philosophie (Dr. phil.).

(3) Furthermore, on decision of the faculty council, the faculty of education of the Technische Universität Dresden awards the academic degree of

Doktor der Philosophie ehrenhalber (Dr. phil. h.c.)
(Honorary Doctor of Philosophy).

§ 2

Admissions Board

(1) The responsible body for doctoral procedures is the faculty council. For that matter, it forms an admissions board as permanent body of the faculty. It consists of the dean or a lecturer suggested by him/her as the chairperson, at least three further lecturers and two members of the academic staff with a doctoral degree. The admissions board appoints a substitute for the chairperson. The members are appointed for a term of three years. A re-election is permitted.

(2) The admission board has to fulfil the following tasks:

1. the determination of the requirements for the doctoral procedure and the decision about the admission accord. to § 4;
2. the acceptance of the doctoral students accord. to § 5;
3. the opening of the doctoral procedures including the appointment of the reviewers and the committee or the rejection of the doctoral procedures accord. to § 7;
4. the decisions about special cases in the doctoral procedures;
5. the realistic preparation of decisions regarding matters in the doctoral procedures that are to be decided by the faculty council;
6. to report on demand to the faculty council about its operations.

(3) The meetings of the admissions board are closed. Its members are sworn to secrecy.

(4) The admissions board decides based on ordinary resolution. In case of tie votes, the vote of the chairperson decides. The admissions board has a quorum if more than half of its members, among them the chairperson, are present. Minutes of the meetings must be taken.

(5) The chairperson must inform the applicant in writing accord. to § 17 para. 3 about negative decisions or negative evaluation of performance in the doctoral procedure.

§ 3 Committee

(1) After the opening of a doctoral procedure, the admissions board appoints a committee to fulfil the tasks specified in this regulation and chooses its chairperson. At the same time, the admissions board appoints the reviewers of the doctoral thesis. The committee consists of four lecturers, among them the chairperson and the reviewers, as well as one member of the academic staff with a doctoral degree. If the topic renders it necessary, lecturers outside of the faculty can be appointed, § 7 para 2 is relevant for the reviewers. The doctoral candidate has the right to suggest the reviewers and the member of the academic staff with a doctoral degree. The suggestion shall be met if no important reasons oppose it. Upon appointment, the members' impartiality is to be assured. In case of cooperative doctoral procedures with a university of applied science one member of the committee must be a lecturer at this university of applied science.

(2) The committee

1. decides about the acceptance or rejection of the doctoral thesis in consideration of the expertise and the votes of the ones entitled to vote after the end of the deadline (comp. § 8 para. 4);
2. sets the date of the public defence, informs the applicant in writing at least two weeks prior, invites the applicant and the members of the admissions board and makes the date public;
3. appoints the minute taker for the defence and implements it;
4. evaluates the doctoral thesis and the defence, determines the overall grade for the doctoral thesis and decides about the repetition of the defence if necessary.

(3) The commission has a quorum if at least three of its members, among them the chairperson, are present. It decides based on ordinary resolution. In case of tie votes, the vote of the chairperson decides. Abstention from voting is not permissible.

(4) The meetings of the admissions board are closed. Its members are sworn to secrecy.

§ 4

Admission to doctoral programme and doctoral study

(1) Admitted can be a person who has received a *Diplom*, Master or *Magister* degree from a university or the *Staatsexamen* with an overall grade of at least „good“ in an area relevant to the area of the doctoral thesis. Subject of a doctoral thesis can be all areas of research and teaching represented by the lecturers of the faculty. Graduates of a university of applied science are admitted upon suggestion of the responsible faculty council of the university of applied science; in the cooperative doctoral procedures, the university of applied science and the university will work together.

(2) Furthermore, especially qualified holders of a university bachelor's degree and graduates of a university of applied science with a bachelor's degree can be admitted after a special qualifying examination. The latter will gain admission in a cooperative promotional procedure accord. to § 40 para. 2 no. 3 SächsHSG. The qualifying examination includes a one-hour oral examination, in which the proof is to be made that in the subject of the doctoral thesis a qualification has been acquired that is equal to a scientific work done by an applicant in paragraphs 1 and 2. The oral examination is taken by two lecturers of the faculty of education, of which one is member of the admissions board. The lecturers are appointed by the admissions board. Minutes of the examination must be taken. Admitted to the examination is only a person who has passed the Bachelor's examination in an education-relevant course of study with an overall grade of at least „very good“ and who can prove that he/she has worked on his/her relevant scientific qualification for two semesters. The admissions board decides about the admission to the examination.

(3) The equality of foreign exams is reviewed by the admissions board under consideration of equality agreements. In case of doubt of equality, a statement of the Saxon Ministry of Science and Art is to be obtained. In cases, where a German or a foreign applicant was allowed according to the university regulations to hold an academic degree obtained in a foreign country, which will enable the applicant to become a doctoral candidate, this degree will be regarded as equal.

(4) The admissions board decides in all cases about the admission of an applicant as a doctoral student accord. to § 5. The admissions board also decides whether additional course achievements of two semesters or 15 ECTS at the most to be proved with the submission of the doctoral thesis are necessary. These course achievements shall preferentially be rendered in the scope of a structured doctoral course of study; particulars are set in the study regulations. Extent and manner of study achievements are explained to the doctoral student with the admission.

(5) A person cannot be admitted as doctoral student if he/she

1. does not meet the personal requirement for holding the doctoral degree;
2. has twice unsuccessfully completed a doctoral procedure;
3. is in a pending doctoral procedure.

§ 5

Admission as doctoral student

(1) The faculty keeps a list of doctoral students. A successful application leads to the admission to the list and is a demonstration of the applicant's intent to complete the doctoral procedures within the next six years at the faculty of education. Such a request is mandatory for achieving a doctoral degree. It is not equivalent to the application for opening the doctoral procedure accord. to § 6.

(2) The application of admission as a doctoral student is to be submitted to the dean of the faculty in written form. Together with the application, the following documents are to be submitted:

1. the aspired topic of the doctoral thesis explained in an exposé of 10-20 pages;
2. the declaration of willingness of a lecturer of the faculty of education to scientifically supervise the applicant during the development of the thesis;
3. a CV and a summary of the scientific development including the proof of completed additional studies or exams as well as a statement about possible unsuccessful doctoral procedures;
4. a proof of met requirements accord. to § 4;
5. a declaration that the regulations of obtaining a doctoral degree are accepted.

The dean will then appoint an admissions board to examine the submitted documents.

(3) The admissions board decides about admission or rejection of an applicant as doctoral candidate. If accepted, the applicant will be admitted to the list of doctoral candidates of the faculty and the scientific expert is confirmed. The admission can be combined with additional requirements such as the completion of additional studies or exams accord. to § 4 para. 2 - 4. The applicant receives a written note about admission and possible obligations. The rejection is issued in a formal substantiated notification including an instruction on right to appeal.

(4) The acceptance as doctoral student includes the right to high quality mentoring.

§ 6

Application for opening the doctoral procedure

(1) The application for opening a doctoral procedure is to be submitted in written form to the dean of the faculty. The application needs to include:

1. a CV in table form including the personal and occupational development as well as the education;
2. proof of meeting the requirements accord. § 4 about admission as doctoral student;
3. four printed issues of the doctoral thesis accord. to § 8;
4. an index of the applicant's scientific publications;
5. a declaration of the applicant accord. to paragraph 2;
6. a declaration that a clearance certificate accord. to § 30 para. 5 Bundeszentralregistergesetz has been filed for;
7. suggestions for two reviewers.

(2) With the application for opening the doctoral procedures the applicant has to affirm in written form

1. that the submitted work has been composed without impermissible help and without the use of aids other than the ones stated; the directly or indirectly used thoughts are identified as such;
2. to name the persons that helped with choosing and evaluating the material as well as with the production of the draft;
3. that aside from the persons named in no. 2 no one else has been involved in the intellectual production of the submitted work, especially no thesis advisor, and that no third parties have received nonmonetary perquisites for works in connection with the content of the submitted work;
4. that the submitted work has not been submitted before in the same or similar form nationally or in a foreign country for the intend of obtaining a doctoral degree or in another examination and has neither been published;
5. to state whether, where and when with which topic und with which result earlier unsuccessful attempts of obtaining a doctoral degree have been made.

(3) All the documents named in paragraphs 1 and 2 must be authorised by the applicant or legally attested. Documents that have already been part of the application for becoming a doctoral student and that do not require any alterations can be approved as valid and taken into the doctoral file.

(4) The acceptance as doctoral candidate can be withdrawn if the current state of the thesis or the presented results lead to the assumption that the doctoral procedures will be unsuccessful. For this, a written statement of the responsible lecturer must be submitted. Before the withdrawal of the acceptance, the doctoral candidate must be heard. The decision is made by the admissions board, but not before a space of time of three years. The doctoral candidate may withdraw his/her intention of obtaining a doctoral degree to the dean in written form. All of these cases end the promotional relations with the faculty and lead to the negative closing of the procedures. The doctoral candidate must be removed from the list of doctoral candidates.

(5) All documents are passed into the property of the Technische Universität Dresden, regardless of the result of the procedure. Only with a withdrawal of the application accord. to para. 4 does the applicant gain the right to reclaim the submitted documents with the exception of the application itself.

§ 7

Opening of the doctoral procedure and the reviewers

(1) The admissions board decides about the opening of the doctoral procedures based on the complete application accord. to § 6. The opening has to be carried out within two months after the submission of the application. With the opening, the reviewers and the committee must be appointed. The applicant will be informed about the opening immediately in written form.

(2) The doctoral thesis is evaluated by two reviewers who must be lecturers. The reviewers must be declared experts in the subject of the thesis and must have explained their willingness to write an expertise. One expert must be a member of the faculty of education.

In a cooperative procedure, one of the two reviewers must be a professor of the university of applied science. Primary reviewer is usually the advising lecturer. The chairperson of the committee cannot be appointed as reviewer in the procedure. Upon appointment, the reviewers' impartiality is to be assured.

(3) The chairperson of the admissions board assigns the continuation to the committee after the opening of the procedures.

(4) If the application and the submitted documents do not meet the requirements (comp. § 4 and § 6 para. 1 and 2), the doctoral procedures will not be opened. The applicant must be immediately informed about this and given reasons in written form, including an instruction on right to appeal.

§ 8

Doctoral thesis, its review and acceptance

(1) The doctoral thesis must prove the applicant's ability to work scientifically and independently. It shall provide a relevant contribution to the research in the field of education and include new scientific findings. The thesis must meet methodical and scientific requirements.

(2) The doctoral thesis is usually a completed individual work of an applicant. The used source material and other aids are to be identified completely. Works that have been submitted for earlier exams or graduations may not be used as thesis. The thesis can also be derived from joint research work. Joint research work can be accepted as doctoral thesis in exceptional cases if the individual part is definable and evaluable.

(3) The doctoral thesis can be submitted in German or English. It has to contain a one-page expose in the language not chosen.

(4) The reviewers recommend to the committee the acceptance or rejection of the thesis in a personal and independent expertise. If the acceptance is recommended, the thesis must be evaluated by the reviewers with the following grading:

- summa cum laude = exceptional, an exceptionally good performance
- magna cum laude = very good, a very good performance
- cum laude = good, a performance above average
- rite = satisfactory, an average performance

Is a thesis rejected, it is to be graded as

- non-sufficit = a non-sufficient work.

The expertises shall be given to the chairperson of the admissions board within two months after the submission of the thesis. Is an expertise not submitted within the time limit and in spite of repeated reminders, the admissions board can revoke the appointment of the belated reviewer and appoint a new one.

(5) If one reviewer suggests handing the thesis back to the doctoral candidate for revision, the committee decides about this. If no agreement can be made, the committee consults another lecturer as reviewer. He/she will be appointed by the admissions board. The committee can set an appropriate time limit of up to six months for the repeated submission

of the revised thesis. This repeated submission is only possible once. For the revised thesis, new reviews or supplements to the reviews must be submitted by the reviewers.

(6) If the acceptance of the thesis is supported by the reviewers, it will be made available in the dean's office of the faculty for two weeks. Every lecturer and habilitated member of the faculty has the right to vote for or against the acceptance of the thesis and to submit this in written and substantiated form to the dean or the chairperson of the committee within two weeks. The lecturers and the applicant have the right to see the reviews. The members of the faculty council, the admissions board and the committee have the right to see the reviews including the grade suggestions.

(7) After the time period of display the committee decides on the basis of the reviews and the received comments about the acceptance or rejection of the thesis. A rejection must be confirmed by the admissions board. In case of acceptance the committee also agrees on the final grading accord. to para. 4. In case of rejection, the thesis is graded with „insufficient (non sufficit)“ and the procedure ends. One issue of the rejected thesis remains with the reviews in the procedure files.

(8) The chairperson of the committee informs the applicant in written form and makes the reviews as well as the evaluations available to him/her. A rejection is issued in a formal substantiated notification including an instruction on right to appeal.

§ 9 Defence

(1) The defence prerequisites a positive review and the acceptance of the thesis. It shall demonstrate that the applicant is able to present the results of the thesis in their scientific context and to defend it against objections. The disputation therefore includes the thesis and the scientific areas that the thesis belongs to or that are closely related.

(2) The defence is public and should not exceed 90 minutes. It consists of a speech of about 30 minutes about the thesis and of a subsequent disputation. The defence is to be held in German or English. This can be varied upon the decision of the admissions board if a joint application of the applicant and the committee are handed in to the admissions board in a timely manner. If neither the applicant nor the reviewers have objections, the reviews, but not the grades, can be announced during the defence.

(3) In the scientific discussion, the members of the committee are authorized to ask the first questions. The chairperson of the committee can allow further questions and reject the ones that are not related to the scientific matter.

(4) The progress of the defence is to be recorded by a minute taker appointed by the chairperson of the committee. The minutes must be taken into the files. They must be signed by the minute taker and by the chairperson of the committee immediately after the defence.

(5) Immediately after the defence, the committee decides in a meeting, whether the applicant has passed the defence and grades it accord. to § 8 para. 4. Has the defence not been passed, it must be graded with „insufficient (non sufficit)“. In case of a positive evaluation and grading of the partial performances – thesis and defence – the committee defies the overall grade. For this, the grading named in § 8 para. 4 is to be used. The result of the doctoral thesis shall be the priority in the overall grade. Has the applicant proven exceptional scientific performances, the overall grade of „summa cum laude“ may be

awarded. The results and the overall grade have to be submitted to the applicant's attention immediately. The chairperson of the committee makes the passing of the defence public.

§ 10

Completion of the doctoral procedure

(1) The chairperson of the committee suggests the awarding of the academic degree „Doktor der Philosophie (Dr. phil.)“ if the overall grade is positive. The admissions board authorises the issuing of the certificate.

(2) Besides the name, first name, academic degree, date and place of birth of the candidate the certificate also contains the thesis' title, the academic degree awarded and the overall grade. It is issued to the day of the defence and carries the signatures of the rector, the dean of the awarding faculty and the seal of the Technische Universität Dresden.

(3) The dean of the faculty turns the certificate over to the applicant in an appropriate manner as soon as the submission of the depositary copies accord. § 12 is proven. By this, the procedure is completed, the right to carry the doctoral degree is given and the doctoral procedure is closed.

(4) The closing of the procedure is to be made public to the faculty by a notice.

§ 11

Repetition of failed requirements

(1) Is the thesis rejected, the procedure is closed (comp. § 8 para. 8). The applicant can be granted upon application the submission of a different work or a fundamentally revised version with the same topic after 6 months at the earliest. The decision about this is made by the admissions board of the faculty that has decided on the rejection. In case of a new rejection, further applications for a doctoral procedure at the faculty of education at the Technische Universität Dresden are not permitted.

(2) Is the defence not passed, it may repeated only once and within a year, but after four months at the earliest, upon application of the applicant. Upon recommendation of the committee the admissions board decides about the admission and sets the date for the repetition. The repetition of the defence must be taken before the same committee. Is the repetition not passed, the procedure ends. A new repetition is not possible.

§ 12

Publication of doctoral thesis

(1) The applicant is obligated to make his/her accepted and approved thesis available to the scientific public within a year's time by duplication and free submission to the Saxon State Library (Sächsische Landesbibliothek – Staats- und Universitätsbibliothek) in the number set

in para. 2. The Saxon State Library takes up to ten copies and makes the rest available to the institute that the supervisor belongs to.

(2) The obligation to publication can be met by the applicant by:

1. submission of 5 copies in printed (book or laser printing) and bound form;
2. the proof in form of a digital publication on the library server in agreement with the admissions board;
3. the proof of a version sold by a publishing house (the circulation must be at least 150 pieces and the back of the title page must display the accordance with the thesis by giving the title as well as place and time of obtaining the doctoral degree) in agreement with the admissions board.

(3) In an especially justified exceptional case, the chairperson of the admissions board can allow an exceedance of the time limit upon application of the applicant. Is the exceedance of the time limit the applicants' fault, all the achieved rights are void and the procedure is ended without the awarding of the academic degree. The chairperson of the admissions board must inform the applicant in written form accord. to § 18 para. 3.

§ 13

Revocation of academic degree

(1) The academic degree can be revoked in accordance with the university regulations.

(2) The reasoning for the revocation must be sufficient for legal examination. Before the revocation the applicant must be granted the opportunity to response.

(3) The faculty council of the faculty of education decides about the revocation with a two-thirds-majority.

§ 14

Right of objection

(1) The applicant has the right to file an objection against

1. the rejection as doctoral student and the non-consideration for the list of doctoral candidates (comp. § 5 Abs. 3),
2. the rejection to open the doctoral procedures (comp. § 7 para. 4),
3. the rejection to accept the thesis (comp. § 8 para. 7),
4. the disregard of the performance in the defence (comp. § 9 para. 5),
5. the rejection of a repetition of requirements for obtaining the doctoral degree (comp. § 11),
6. the rejection of awarding the academic degree (comp. § 12 para. 3).

(2) An objection can be filed accord. to para2 against the revocation of the academic degree accord. to § 13.

(3) The objection must be submitted to the dean of the faculty of education in written form within a month. The time limit begins with the announcement of the decision to the applicant. The dean announces the objection to the faculty council of the faculty of education within a limit of 6 weeks after the submission.

(4) The faculty council must decide about the objection within three months after hearing the committee (ruling an objection). The ruling of an objection is issued in written, substantiated form with including an instruction on right to appeal.

§ 15

Joint international doctoral procedure

(1) To promote the international cooperation the faculty of education can arrange joint doctoral procedures with foreign universities or comparable institutes of education that possess the right to award doctorates.

(2) The details of the joint doctoral procedure have to be set for the individual cases in a contract by the deans or the head of the comparable structure unit. In the contract, a diversion of these regulations for obtaining a doctoral degree can be agreed on as far as the following regulations allow. Apart from that the present regulations for obtaining a doctoral degree are valid for joint doctoral procedure as well.

(3) For the joint doctorate the dissertation and the presentation of a PhD oral performance are required. In the case of delivering the dissertation and / or the oral performance in the national language of the foreign university or similar educational institution, or any other than German it is required to provide a written summary or an abstract of the thesis in German or English. An essential part of the work on the thesis must be done at the Technische Universität Dresden.

(4) To evaluate the joint doctoral proceedings each university/institute appoints one reviewer.

(5) The doctoral file is kept where the oral performance has to take place; the cooperation partner receives a copy.

(6) A joint, bilingual doctoral certificate will be produced, mentioning the joint doctoral procedure and with reference to the respective countries, which allows to hold a doctoral degree from both universities/the similar educational institution, signed and sealed by both cooperation partners.

§ 16

Honorary doctoral degree

(1) By awarding an honorary doctoral degree (Dr. phil. h.c.) those persons can be honoured who have been of special service to the faculty of education. These persons may not be full-time employed at the Technical University of Dresden.

(2) An application for awarding an honorary doctoral degree can be made to the faculty council by at least two university lecturers with an adequate substantiation. A committee appointed by the council that does not include the applicant has to seek at least two further reviews and submits a proposal about the decision to the faculty council after the examination of the applicant's contributions. The faculty council decides in a secret vote about the application with a two-thirds majority of all members of the faculty council entitled to vote. The decision about awarding the honorary degree must be confirmed by the senate.

(3) The awarding of the honorary degree must be executed by the handing over of a certificate signed by the rector and the dean in an appropriate manner. The certificate needs

to state the reason and the contributions in short form. The rector executes the awarding of the honorary degree. The rector can give this right to the dean of the responsible faculty.

(4) The awarding of an honorary degree must be announced to the Saxon Minister of Science and Arts.

§ 17

General procedural regulations

(1) If not ordered differently by this regulation, the decisions of the faculty council in matters of doctoral procedures, of the admissions board and the committee are decided by ordinary resolution.

(2) Every decision concerning a doctoral procedure or one of its parts noted in this regulation has to be recorded and signed in the according forms or individually by the chairperson of the responsible body. The records must be included in the file.

(3) Negative decisions (rejection as doctoral student or non-consideration for the list of doctoral candidates, the rejection to open the doctoral procedure or its untimely ending, the rejection of the thesis, the rejection of a repetition of requirements for obtaining the doctoral degree, rejection of awarding the academic degree or its revocation) must be announced to the applicant within four weeks from the day of the admissions board's decision. It must be handed out in written form including reasons and an instruction on right to appeal.

(4) The dean of the faculty announces annually or on demand of the senate of the Technische Universität Dresden as well as the university public the awarding of the academic degree of a doctor.

(5) The candidate is granted access to the doctoral file after the closing of the proceedings and upon written application. The chairperson of the admissions board sets time and place for this.

§ 18

Entering into force and going out of force; interim arrangements

(1) These regulations are entering into force one day after the publication in the official notifications. By this, the regulations for obtaining a doctoral degree as of May 3 1995 of the faculty of education are going out of force.

(2) All doctoral proceedings after the entering into force of these regulations must be executed based on them. Decisions about admission and acceptance as doctoral student that have been made before these regulations remain valid, but furthermore, these regulations are applied. Already opened doctoral proceedings are finished based on the regulations for obtaining a doctoral degree as of May 3 1995 of the faculty of education, regardless of para. 1, page 2.

Dresden, 24.11.2010

The rector of the Technische Universität Dresden

Prof. Dr. Dr.-Ing. habil. Hans Müller-Steinhagen