

Doctoral Degree Regulations

as of 14.03.2024

On the basis of § 41, § 93 para. 1 no. 2 and § 14 para. 4 sentence 1 of the Saxon Higher Education Act (SächsHSG) of May 31, 2023 (SächsGVBl. p. 329), amended by Art. 8 para. 9 of the Act of July 6, 2023 (SächsGVBl. p. 467), the Faculty Board of Faculty of Linguistics, Literature and Cultural Studies of TUD Dresden University of Technology has issued the following Doctoral Degree Regulations as statutes.

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§ 1

Scope of application

These regulations govern the doctoral procedures at the Faculty of Linguistics, Literature and Cultural Studies.

§ 2

Academic titles

(1) The Faculty of Linguistics, Literature and Cultural Studies grants the following academic title on behalf of TUD Dresden University of Technology as a result of a doctoral procedure:

doctor philosophiae (Dr. phil.).

The Faculty of Linguistics, Literature and Cultural Studies at TUD Dresden University of Technology can only award this degree to a person once.

(2) Following a resolution of the Faculty Board, TUD Dresden University of Technology also awards the honorary title

doctor philosophiae honoris causa (Dr. phil. h. c.).

§ 3

Doctoral studies

(1) Doctoral studies serve both as proof of a candidate's particular proficiency to conduct independent academic work as well as proof of the candidate's academic education beyond general study objectives in at least one of the subject areas represented at the faculty.

(2) This proof shall be provided, except in the case of an honorary doctorate in accordance with § 20, through the dissertation in accordance with § 10 and the oral component of the doctoral degree in accordance with § 11.

§ 4

Doctoral committees

(1) The committee responsible for doctorates is the Faculty Board. For this purpose, it forms a Doctoral Committee as a permanent faculty committee. It consists of the Dean or a university lecturer nominated by the Dean as chairperson, at least three other university lecturers, and a Research Associate with a doctorate belonging to the faculty. The members of the Doctoral Committee are appointed by the Faculty Board for a term of three years. Members can be reappointed.

(2) After commencing the concrete doctoral procedure, the Doctoral Committee appoints a Doctoral Commission for the tasks assigned to it according to these Regulations, appoints the Chairperson and appoints the assessors pursuant to § 10 para. 6. The Doctoral Commission consists of at least five members, which must include the assessors. The Chairperson of the Doctoral Commission must be a university lecturer of the faculty; for the assessors, § 10 para. 6 applies. Additional members of the Doctoral Commission are typically university lecturers from the faculty. Extraordinary Professors, honorary professors with membership rights of the faculty, habilitated staff members of the faculty, TUD Young Investigators and up to two non-faculty university lecturers may be appointed, especially if the topic so requires.

(3) When conducting collaborative doctoral procedures with a university of applied sciences, one member of the Doctoral Commission must be a university lecturer from the respective university of applied sciences.

(4) The meetings of the Doctoral Committee and the Doctoral Commission are not public. Its members are bound by confidentiality. The provisions of the Saxon Higher Education Act and the stipulations of the Rules and Principles of Procedure for University Committees at TU Dresden, as amended, shall apply to the quorum.

Minutes must be kept of the deliberations and resolutions for doctoral matters.

(5) Professors co-opted pursuant to § 92 para. 3 participate in the doctoral procedure on an equal footing with university professors. The regulations of the Fundamental Principles of TUD Dresden University of Technology apply to the co-option.

§ 5

General procedural regulations and appeal proceedings

(1) The decisions of the committees responsible for the doctoral procedure will be shared with the candidates in writing. The Chairperson of the responsible committee announces decisions that adversely affect candidates by notification that is open to appeal, which shall be substantiated and contain legal instructions on how to appeal.

(2) There is a formal procedure for appealing against decisions which are considered administrative acts during the doctoral procedure. The Faculty Board is the appeal authority. Decisions in the doctoral procedure which are considered administrative acts include in particular:

1. Non-admission to doctoral studies and refusal as a doctoral candidate as well as
2. Revocation of the acceptance as a doctoral student,
3. Non-commencement of the doctoral procedure,
4. Non-acceptance of the dissertation,
5. The assessment of doctoral work,
6. Non-admission to repeating doctoral work,
7. Inconclusive termination (discontinuation) of the doctoral procedure and
8. Non-awarding of the academic title.

(3) Upon written request, candidates will be granted access to their doctoral records for up to one year after the completion of the doctoral procedure.

§ 6

Admission to doctoral studies

(1) Individuals are admitted to the doctoral procedure if they:

1. a) have obtained a *Diplom*, Master's or *Magister* degree or the State Examination at a university or university of applied sciences in a degree program relevant to the doctoral field with an overall grade of at least "good," or
b) have passed a *Diplom*, Master's or *Magister* degree or the State Examination at a university or university of applied sciences and the aptitude assessment pursuant to § 7;

2. fulfill the personal requirements for holding the academic title;
3. have not already failed a doctoral procedure twice or are not currently in a pending doctoral procedure, and
4. have submitted an application for acceptance as a doctoral student with all the required documents pursuant to § 8.

(2) Furthermore, individuals who have obtained a Bachelor's degree, passed the aptitude assessment pursuant to § 7 para. 1 and provided proof pursuant to § 7 para. 2, will be admitted to the doctoral procedure. Para. 1 numbers 2 to 4 shall apply accordingly.

(3) TUD Dresden University of Technology and universities of applied science work together in collaborative doctoral procedures by supervising the doctoral work together.

(4) Individuals will not be admitted to doctoral studies if they:

1. do not fulfill the prerequisites stipulated in para. 1 or para. 2.,
2. hire or have hired the services of intermediaries for the purposes of identifying doctorate opportunities in exchange for money,
3. have paid for services in relation to the doctoral procedure or its preparation, and made use of free services which contradict the meaning and purpose of the examination procedure, or
4. perform or have performed paid services in relation to the doctoral procedure and its preparation which contradict the meaning and purpose of the examination procedure.

(5) The Doctoral Committee makes a decision on the recognition of the equivalence of examinations and degrees obtained outside Germany, taking Agreements of Equivalence into account. In case of doubt, the opinion of the Saxon State Ministry for Science, Culture and Tourism must be obtained. In cases where applicants have been authorized to hold an academic degree acquired abroad in the form of a German degree entitling them to a doctorate, this degree is to be recognized as equivalent.

(6) The admission decision is made as part of the decision on acceptance as a doctoral student in accordance with § 8.

§ 7

Aptitude assessment

(1) Applicants pursuant to § 6 para. 1 no. 1 letter b must take an oral examination of thirty minutes in order to assess their aptitude. The main supervisor of the dissertation and a professor of the faculty are the examiners. The examiners are appointed by the Doctoral Committee. The subject of the examination covers areas of knowledge from the range of topics of the intended dissertation and is based on an exposé of no more than ten pages, which the applicant must submit in advance. The aptitude assessment will be assessed as either "pass" or "fail." If the applicant fails, the examination can be repeated once within six months. A further repeat attempt is not permissible.

(2) Applicants pursuant to § 6 para. 2 must additionally provide proof of successful participation in at least two seminars from a Master's degree program of the faculty in the relevant subject area. The Doctoral Committee will decide on the proof as part of the decision on acceptance as a doctoral student.

§ 8

Acceptance as a doctoral student

(1) Individuals who fulfill the admission requirements in accordance with § 6 and intend to complete their doctorate at the Faculty of Linguistics, Literature and Cultural Studies, must apply for acceptance as a doctoral candidate, either before or at the latest when starting their doctoral project.

(2) The application must be submitted using the Doctoral Management System used by TUD Dresden University of Technology and sent to the Chairperson of the Doctoral Committee in writing. The following must be submitted together with the application:

1. the provisional subject of the dissertation.
2. a copy of the Supervision Agreement in accordance with para. 3,
3. proof of the admission requirements pursuant to § 6,
4. a curriculum vitae in tabular form, signed by the applicant with a description of the academic career including certified and documented proof of additional studies or examinations already completed, in case of doubt in officially certified form,
5. a written statement on any previous inconclusive doctoral procedures,
6. a written declaration that the applicant accepts these Doctoral Degree Regulations and the "Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations" applicable at Dresden University of Technology, and
7. a written declaration that a certificate of good conduct (*Führungszeugnis*) according to § 30 para. 5 Federal Central Register Act (*Bundeszentralregistergesetz*), which is to be submitted to the faculty, has been applied for at the registration office,

(3) Supervision of the doctoral candidate is conducted in accordance with § 4 para. 1 to 5 of the "Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations" applicable at TUD Dresden University of Technology. Thereafter, the supervision of doctoral candidates shall be structured as follows:

1. In addition to the main supervisor, at least one other experienced scientist must be appointed as part of a supervisory team. The supervisors should be university lecturers. One of them needs to be a university lecturer according to §§ 61 and 63 SächsHSG of the faculty in the relevant doctoral subject area. One member of the supervisory team may also be a scholar with habilitation-equivalent qualifications, a TUD Young Investigator or a university lecturer who has been retired for a maximum of five years. In addition, other experts can be involved in the supervision in an advisory capacity.
2. The supervisory teams meet with the doctoral candidate at least once a year to discuss the work progress and make recommendations.
3. In order to create a transparent relationship between the supervisory team and the doctoral candidate in terms of content and time, and to ensure that the doctoral project can be completed to a high standard within an appropriate period of time, a Supervision Agreement with the doctoral candidates must be concluded at the start of the doctoral project (see Annex 1). Supervision Agreements take at least the following aspects into account:
 - a) persons involved (doctoral candidate, supervisor, mentor if applicable, and other persons involved),
 - b) information pertaining to the dissertation project and subject of the dissertation paper (the title, if already available),
 - c) a structured timeline and work plan or its further development,

- d) provisions for regular discussions on the status and progress of the dissertation project,
 - e) accompanying qualifications to support academic independence at an early stage and career advancement,
 - f) provisions on the work conditions for the doctoral candidate (such as place of work, access to resources, integration into a research group, research alliance or graduate program),
 - g) mutual commitment to comply with the principles of good scientific practice,
 - h) provisions on conduct in cases of conflict, and
 - i) particular measures or provisions on balancing work and family life.
4. The completion of the doctorate within a reasonable period of time is to be encouraged by the supervisors.

(4) The Doctoral Committee decides to accept or reject doctoral candidates on the basis of the documents named in para. 2. Acceptance as a doctoral candidate is rejected if the subject-specific admission requirements named in § 6 are not fulfilled. Acceptance as a doctoral candidate is also rejected if the applicant does not meet the personal requirements for holding an academic title. The decision must also be made taking the certificate of good conduct (*Führungszeugnis*) in accordance with para. 2 no. 7 into consideration. The decision to accept an applicant may be combined with the imposition of conditions, such as supplementary course work or additional examinations to be taken as part of the doctoral studies. In the case of acceptance, the candidate will be included in the list of doctoral candidates to be managed by the faculty, and a legal relationship will be established between the faculty and the candidate, including the status of doctoral candidate.

(5) Acceptance as a doctoral candidate can be revoked if the progress of the dissertation or the results available up to that point do not give reason to expect a successful completion of the doctoral process. The main supervisor must submit a statement for this purpose. Before the acceptance as a doctoral candidate is revoked, the doctoral candidate must be heard. The decision is made by the Doctoral Committee, but not before three years have elapsed. Thereafter, the Doctoral Committee must annually review the requirements under sentence 1. Sentences 2 and 3 shall apply accordingly. After being accepted as a doctoral candidate, the doctoral candidate may also submit a written statement to the Dean of the faculty stating that they no longer wish to pursue their doctoral studies. All of the cases mentioned above end the doctoral relationship with the faculty and result in the doctoral procedure being terminated without a grade. The doctoral student must be removed from the list of doctoral students.

(6) Acceptance as a doctoral candidate is an indispensable condition for the initiation of the doctoral procedure.

§ 9

Initiating the doctoral procedure

(1) The doctoral procedure is initiated upon formal application by the doctoral candidate. The application must be submitted via the Doctoral Management System used by TUD Dresden University of Technology and sent to the Chairperson of the Doctoral Committee in writing. The following documents must be included:

1. a curriculum vitae in tabular form and signed by the applicant presenting the candidate's academic career,

2. a copy of the confirmation of acceptance as a doctoral candidate in accordance with § 8 and certified proof of compliance with any conditions imposed, officially certified copies may be requested in case of doubt.
3. at least one printed copy of the dissertation (in consultation with the assessors, the Doctoral Committee may increase the number to up to six printed copies), usually in German or English, and an electronic version of it,
4. a list of the candidate's academic publications,
5. the written declaration in accordance with the sample attached in Appendix 2,
6. proof of participation in a training course on good scientific practice, amounting to at least four teaching units, and
7. a written declaration that a certificate of good conduct (*Führungszeugnis*) according to § 30 para. 5 Federal Central Register Act (*Bundeszentralregistergesetz*), which is to be submitted to the faculty, has been applied for at the registration office.

Suggestions for the assessors can also be attached with the application, although there is no entitlement for these to be considered. Documents that were required for acceptance as a doctoral candidate and do not require any changes can be accepted as valid.

(2) Doctoral candidates are permitted to withdraw their application to initiate a doctoral procedure as long as it has not yet been opened. In this case, the application shall be deemed as not submitted. If the doctoral candidate indicates that they no longer wish to continue the doctoral procedure after its initiation, this will result in the termination of the doctoral procedure and it will be considered an inconclusive doctoral procedure. In this case, one printed copy and the electronic copy of the dissertation remain in the doctoral file. The remaining printed copies of the dissertation will be returned to the doctoral candidate.

(3) The Doctoral Committee makes the decision on initiating the doctoral procedure. Initiation must be rejected if the fulfillment of the conditions imposed when the doctoral candidacy was accepted have not been proven. The initiation of the doctoral procedure must also be rejected if the doctoral candidate does not meet the personal requirements to hold an academic title any longer. The decision must also be made taking the certificate of good conduct (*Führungszeugnis*) in accordance with para. 1 no. 7 into consideration. The initiation of the doctoral procedure must also be rejected if there are any grounds that would lead to the revocation of the academic title. If the doctoral procedure is not initiated for reasons stipulated in sentences 3 to 5, § 15 shall apply. In this case, the printed copies of the dissertation will be returned. The electronic copy of the submitted dissertation will remain in the doctoral record. Upon initiating the doctoral procedure, the Doctoral Committee will appoint the assessors in accordance with § 10 para. 6 as well as the Doctoral Commission. The notification on the initiation of the doctoral procedure to the doctoral candidate simultaneously provides information on the composition of the Doctoral Commission and the assessors.

(4) The Chairperson of the Doctoral Committee transfers the doctoral procedure after its initiation to the Doctoral Commission, who implement it fully.

§ 10 Dissertation

(1) The dissertation serves as proof of the capability to produce independent academic work. It should make a substantial contribution to research and must contain novel scientific findings in the chosen doctoral field.

(2) The dissertation is typically a completed, individual work of the doctoral candidate. It can also result from joint research. An academic paper with multiple authors may be accepted as a dissertation in exceptional cases insofar as the individual portion of the doctoral candidates can be clearly marked as such, is distinguishable, and can be evaluated on its own.

To be considered the author, § 8 of the “Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations” applicable at TUD Dresden University of Technology shall apply as amended.

(3) In deviation from para. 2, the dissertation may also be completed by submitting a series of academic papers (cumulative dissertation). For this purpose, at least five thematically related academic papers must be submitted. The articles must be submitted to recognized peer-reviewed international journals and at least accepted for publication. The doctoral candidate must demonstrate the thematic coherence of the papers in writing as a separate paper of a least 50 pages, in conjunction with the submitted academic papers, they constitute the dissertation. Co-authorships are permitted even for cumulative dissertations if the doctoral candidates are predominantly the authors of the specialist articles and their individual doctoral work is clearly distinguishable and assessable. Para. 2 sentence 4 remains unaffected.

(4) In general, the dissertation shall be written in German or in English. The Doctoral Committee shall decide on any exceptions to this rule insofar as the doctoral candidate has properly submitted a request prior to the initiation of the doctoral procedure. The source material used in the preparation as well as any other aids must be specified in full. Works that have previously served as examined or graduation assignments may not be submitted as dissertations. The preliminary publication of partial results of the dissertation requires the written consent of the main supervisor.

(5) Along with their dissertation, doctoral candidates must also pledge that they have complied with the rules of good scientific practice, that they wrote the work themselves, and that they did not use any sources or resources other than the ones cited. Likewise, they must also declare that they have complied with data protection stipulations and that personal data of third parties will only be published without their consent insofar as it is essential for presenting research findings about events in contemporary history and no predominant interests of the affected persons worthy of protection obstruct this.

(6) The dissertation shall be evaluated by at least three assessors. One assessor must be a university professor appointed pursuant to § 61 or § 63 SächsHSG. Other assessors may be professors from a university of applied sciences, junior professors, TUD Young Investigators, extraordinary professors and honorary professors, as well as persons who can provide evidence of achievements at least equivalent to a *habilitation* can include: The Chairperson of the Doctoral Commission may not be appointed as an assessor. The dissertation must be assessed by at least one external assessor working predominantly outside of TUD Dresden University of Technology who was not involved in supervising the content of the dissertation and who does not work in the same institute as the main supervisor.

(7) The assessors recommend to the Doctoral Commission in personal and independent reviews whether the work should be accepted or rejected as a dissertation. If they recommend acceptance, the assessors must give the dissertation the following ratings:

summa cum laude	= ausgezeichnet (excellent)
	= an exceptionally good performance
magna cum laude	= sehr gut (very good)

	= a performance especially deserving of recognition
cum laude	= gut (good)
	= a performance exceeding the average
rite	= befriedigend (satisfactory)
	= a performance that meets average requirements

If the acceptance of the dissertation is rejected, it must be marked as non sufficit = nicht genügend (not sufficient)
= an unusable performance.

(8) The reviews should also contain statements regarding compliance with the “Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations” as amended, and, for experimental or empirical portions of the dissertation, statements about the acquisition and quality of the data.

(9) The reviews should be submitted within three months to the Chair of the Doctoral Commission. If there is an undue delay in issuing the review despite repeated reminders, the Doctoral Committee may countermand the defaulting assessor and appoint a new one.

(10) The submitted dissertation may be screened, in particular using plagiarism detection software, for potential text passages that have been borrowed but not cited or for other non-cited sources. This screening may be conducted at random or if there is reason to suspect plagiarism.

1. As part of the random screening, at least one in five dissertations submitted at the faculty should be screened with the aid of plagiarism detection software between the time of submission and the completion of the doctoral procedure. The dissertations to be screened are chosen at random and in anonymized form. If a joint Doctoral Examinations Body exists, the screening shall be conducted by the joint Doctoral Examinations Body at the School level using plagiarism detection software. If there is no joint Doctoral Examinations Body at the School level, the Doctoral Examinations Office at the faculty level will be charged with completing the screening using plagiarism detection software. The Doctoral Examinations Body or the Doctoral Examinations Office shall inform the Doctoral Commission of the results of the screening. The Chair of the Doctoral Commission shall charge at least one appointed assessor with the evaluation or scientific appraisal of the results of the plagiarism detection software screening. In accordance with para. 6, they may call on the help of other assessors to review these results if deemed necessary. The Doctoral Commission must be informed of the result of the screening. If there are signs of violations against good scientific practice, the Chair of the Doctoral Commission will inform the Chair of the Doctoral Committee of the faculty. If justified suspicion of a violation against good scientific practice arises within the scope of the screening for plagiarism, the Office for Good Scientific Practice must also be involved.
2. If people involved in the doctoral procedure such as assessors harbor doubts that the dissertation was written in keeping with academic integrity, the dissertation must be screened using plagiarism detection software. The results of the screening with plagiarism detection software must be evaluated or scientifically appraised by at least one assessor. In accordance with para. 6, they may call on the help of other assessors to review these results if deemed necessary. The Doctoral Commission must be informed of the result of the screening. If there are signs of violations against good scientific practice, the Chair of the Doctoral Commission will inform the Chair of the Doctoral Committee of the faculty.

If justified suspicion of a violation against good scientific practice arises within the scope of the screening for plagiarism, the Office for Good Scientific Practice must also be involved.

3. The doctoral candidates whose dissertations are affected by a review will be informed.
4. The provisions of data protection law must be observed. In cases where plagiarism detection software is used, personal data (e.g. cover page) is not provided for the technical screening unless the data is required for reviewing compliance with the stipulations of academic integrity.
5. In cases of suspicion of scientific misconduct, the "Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations" shall apply for the following proceedings.

(11) If one of the assessors recommends that the dissertation be returned to the doctoral candidate for expanding the technical content or for reworking, the Doctoral Commission will make the final decision on the matter. If the Doctoral Commission cannot reach an agreement, it will appoint another university lecturer as assessor, who will be appointed by the Doctoral Committee at the recommendation of the Doctoral Commission. The Doctoral Commission may set an appropriate deadline of up to six months for resubmitting the edited dissertation. Resubmission of a returned dissertation is only possible once. For a resubmitted dissertation, new reviews or additions to the existing reviews must be requested from the assessors.

(12) Once all reviews have been submitted, the dissertation will be made available to be viewed in the Dean's Office of the faculty for a period of two weeks and its availability will be announced. The members of the Doctoral Committee and the Doctoral Commission, the other lecturers and postdocs at the faculty, as well as TUD Young Investigators have the right to view both the dissertation and reviews, and to submit their personal vote for or against the acceptance of the dissertation within the display period in writing to the Dean or the Chair of the Doctoral Commission within the display period, stating their reasons.

(13) Once the display period has expired, the Doctoral Commission decides on the acceptance or rejection of the dissertation on the basis of the reviews and the votes received. In the case of acceptance, the Doctoral Commission shall at the same time decide on the final grade of the dissertation using the ratings specified in para. 7. The Doctoral Commission may impose editorial requirements with regard to printing prior to publication. If the dissertation is rejected and thus assessed as "non sufficit" (not sufficient), the doctoral procedure will be terminated; § 12 para. 1 applies. One printed copy and the electronic copy of the rejected dissertation will remain in the doctoral record together with the reviews. The other printed copies must be returned.

§ 11

Defense

(1) If the dissertation is accepted, the doctoral candidate must present the findings in a public lecture and defend these findings in a subsequent academic discussion by responding to questions from the audience (defense). The lecture should not exceed 30 minutes, and the defense as a whole should not exceed 90 minutes.

(2) Once the dissertation has been accepted, the Chair of the Doctoral Commission sets the date for the defense and sends the doctoral candidate a written invitation. The invitation must be sent two weeks in advance. In addition, the Chair of the Doctoral Commission invites the members of the Doctoral Commission and publicly announces the date of the defense.

(3) The defense shall be led by the Chair of the Doctoral Commission. It shall typically be held in German or English. In exceptional cases, it may be held in another language upon the decision of the Doctoral Committee if the doctoral candidate, in agreement with the Doctoral Commission, has submitted a formal request to the Chair of the Doctoral Committee in due time. All attendees may pose questions during the academic discussion. The Chairperson of the Doctoral Commission may reject questions that are unrelated to the technical focus of the doctoral student or the academic subject of the dissertation.

(4) Immediately after the defense, the Doctoral Commission decides whether the doctoral candidate passed the defense and assesses it with the ratings specified in § 10 para. 7. If the defense was not passed, it shall be assessed as "non sufficit" (not sufficient); § 12 para. 2 shall apply.

(5) If the dissertation and the defense have been passed, the Doctoral Commission determines the overall rating for the doctoral procedure. For this purpose, it uses the ratings specified in § 10 para. 7. When determining the overall rating, the result of the dissertation shall take precedence. If both the dissertation and the defense have been evaluated "summa cum laude" by all assessors, the overall rating "summa cum laude" (excellent) may be awarded. The public shall be informed of the successful conclusion.

(6) The essential course of the defense shall be recorded by a minute-taker appointed by the Chairperson of the Doctoral Commission; the minutes shall be signed by the minute-taker and the Chairperson of the Doctoral Commission and included in the doctoral file.

§ 12

Repeating failed doctoral work

(1) After completion of the doctoral procedure in accordance with § 10 para. 13 sentence 4 as a result of the rejection of the dissertation, the doctoral candidate may take another attempt at obtaining a doctorate. The candidate must wait half a year to submit a new application to initiate the doctoral procedure pursuant to § 9. Another dissertation or a fundamentally revised version of the first dissertation on the same topic must be submitted along with the application. If the doctoral procedure is initiated, the same Doctoral Commission as was involved in the first attempt shall be reappointed. If the doctoral candidate also fails the second attempt, further attempts to obtain a doctorate shall not be permissible at the same faculty.

(2) If the doctoral candidate does not pass their defense, the defense can be repeated in the same doctoral procedure within one year upon formal request. The application may be submitted after three months' time at the earliest. If the repeated attempt is not passed or conducted on time, the doctoral procedure will be concluded.

§ 13

Publication of the dissertation

(1) Doctoral candidates are obliged to publish the dissertation by submitting a publishing contract for the publication of the dissertation to the Dean's Office of the faculty within one year of passing the defense or by submitting the deposit copies in accordance with para. 2 to the University Publications Office (*Hochschulschriftenstelle*) of the Saxon State and University Library Dresden (SLUB). If the doctoral candidate submits a publishing contract, the deposit copies must be delivered to the Saxon State and University Library Dresden two years after passing the examination; an extension of the deadline is possible upon justified request. If the doctoral candidate fails to meet one of the set deadlines, the faculty will send them a written request to fulfill their obligations immediately. If this request is not complied with, all rights acquired through the doctoral procedure expire after a further six months.

(2) The submission of the deposit copies in accordance with para. 1 can be fulfilled by choosing one of the following options:

1. submitting six copies of a version produced and distributed by a commercial publisher if the circulation is at least 150 copies; or
2. submitting an electronic version, the data format and storage medium of which must be agreed with the SLUB.

Other forms of publication require the prior approval of the Doctoral Committee.

(3) The publication must indicate in a suitable manner that it is a dissertation at the Faculty of Linguistics, Literature and Cultural Studies at TUD Dresden University of Technology.

(4) Prior to printing or copying, the dissertation must be submitted to the main supervisor. The supervisor must ensure that the dissertation is published in an appropriate form, taking into account any amendments imposed by the Doctoral Committee in accordance with § 10 para. 13. Prior to printing, the main supervisor provides the Dean's Office with written confirmation that sentence 2 has been fulfilled. Upon request, the Doctoral Committee may, in particularly justified cases, entrust another assessor with verifying that the required amendments have been fulfilled. If there are amendment requirements, the publication cannot be recognized without this written confirmation.

(5) The provision of an embargo, in which the dissertation may not be published due to agreements the doctoral candidate has made with third parties, must be formally requested in writing from the Doctoral Committee using the template in Annex 3 of these regulations. The request shall include a justification for the embargo. The application must also be signed by the main supervisor. An embargo of up to one year may be requested. Before expiry of the deadline, an extension of the embargo by a maximum of one additional year may be requested in the same way in justified exceptional cases. The Doctoral Committee's decision shall be shared with the applicant in writing. If the Doctoral Committee grants its approval using the template in Annex 4, the doctoral candidate submits this approval to the SLUB along with the obligatory copies of their dissertation. The obligation to provide deposit copies of the work is thus fulfilled.

§ 14

Conclusion of the doctoral procedure

(1) The Chairperson of the Doctoral Commission recommends to the Doctoral Committee the award of the academic title in accordance with

§ 2 para. 1. The Doctoral Committee shall arrange for the doctoral certificate to be issued and the list of doctoral candidates to be updated.

(2) The doctoral certificate contains the last name, first name, academic degree, date and place of birth of the doctoral candidate, the title of the dissertation, the academic title to be awarded, and the overall rating. It is issued with the date of the defense and bears the signature of the Rector and the Dean of the faculty as well as the seal of TUD Dresden University of Technology.

(3) The Dean of the faculty presents the certificate to the doctoral candidate in a form that befits the occasion once the publishing obligation according to § 13 has been confirmed by the Doctoral Committee. The doctoral procedure shall thus be concluded. The faculty as a whole shall be informed of the conclusion of the procedure.

(4) Upon the conclusion of the doctoral procedure, the doctoral candidate may bear the title that was awarded to them with their degree certificate.

(5) The Doctoral Committee may, upon request and only in exceptional cases with special justification, grant revocable permission to use the academic degree which is to be awarded along with the certificate adding "designatus" (des.) even prior to publication if a legally binding publishing contract is submitted. The Doctoral Committee must regularly review the authorization and revoke it, at least if facts become known that publication is not taking place due to the fault of the doctoral candidate.

§ 16 shall apply accordingly.

§ 15

Discontinuation of the doctoral procedure

(1) Once the candidate has been accepted as a doctoral student, the doctoral procedure may be discontinued at any time without a grade being issued if facts come to light that exclude the conferment of an academic degree. This applies in particular to fraudulent forms of proof that the admission requirements have been met, the doctoral work completed, or other circumstances affecting the personal prerequisites of the doctoral candidate which would lead to a doctorate degree. If the doctoral procedure is terminated without a grade being issued, all legal entitlements and claims that the candidate had in the doctoral procedure up to that point expire. The doctoral candidate is then struck from the list of doctoral candidates. The decision regarding termination is made by the Doctoral Committee at its own discretion.

(5) Before the doctoral procedure is terminated without a grade being issued, the doctoral candidate must be granted a hearing. In the event of suspected scientific misconduct, the regulations stipulated in the "Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations" at TUD Dresden University of Technology apply to the procedure as amended.

§ 16

Protection periods

(1) Upon request, the periods of protection in accordance with § 3 of the Act on the Protection of Mothers at Work, in Education and in Studies (*Mutterschutzgesetz* - MuSchG) as amended must be taken into account. The request must include the necessary evidence. The maternity protection periods interrupt all time periods with deadlines set out in these Doctoral Degree Regulations.

(2) Likewise, the periods of parental leave in accordance with § 15 para. 1 to 3 of the Federal Parental Allowance and Parental Leave Act (*Bundeselterngeld- und Elternzeitgesetz* - BEEG) as amended must be taken into account upon request. The doctoral candidate must inform the Doctoral Committee in writing of the period of parental leave they wish to take at least four weeks before the date from which they wish to take parental leave, enclosing the necessary evidence. The Doctoral Committee must check whether the legal requirements that would entitle employees to parental leave are met, and inform the doctoral candidate of the result and, if applicable, the newly set examination deadlines or other deadlines.

(3) It is possible to make use of the protective provisions for the care of a close relative within the meaning of § 7 para. 3 of the Act on Care Leave (*Pflegezeitgesetz* - PflegeZG) of May 28, 2008 (BGBl. I p. 874, 896), as amended, who is in need of care within the meaning of §§ 14 and 15 of the Eleventh Book of the Social Code (SGB XI) of May 1994 (BGBl. I p. 1014, 1015), as amended.

26.

§ 17

Compensation for disadvantages

(1) If a doctoral candidate can credibly demonstrate that, due to a disability or a long-term serious or chronic illness, they are unable to complete doctoral examinations in whole or in part under the intended conditions or to take them within the deadlines specified in these regulations, the Doctoral Committee will take appropriate measures to compensate for disadvantages with regard to the dissertation, and the Doctoral Commission with regard to oral examinations, upon written request. The doctoral candidate must explain the reasons for the requested compensation for disadvantages. Suitable evidence may be requested to substantiate the request, in justified cases of doubt an official medical certificate. The request should be submitted, at the latest, with the application for the opening of the doctoral procedure. The doctoral candidate must be informed of the decision in writing.

(2) In disputed cases and with the consent of the doctoral candidate, the Commissioner for Students with Disabilities and Chronic Illnesses may be consulted prior to the decision of the Doctoral Committee in accordance with para. 1.

§ 18

Revoking the academic title

(1) The academic title shall be revoked if the candidate was not truthful when providing proof of the admission requirements or when carrying out the required doctoral work, or if facts come to light that would prevent the awarding of such a title. The Doctoral Committee makes this decision.

(2) If, after the award of the academic title, it comes to light that the subject-related requirements for admission to the doctoral studies were not fulfilled without the candidate intending to deceive, this mistake can be remedied by passing the doctoral work.

(3) In the event of suspected scientific misconduct, the regulations stipulated in the “Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations” at TUD Dresden University of Technology apply to the procedure.

§ 19

Joint binational doctoral procedures

(1) The doctoral procedure can also be carried out as part of a joint binational doctoral procedure, provided that the Faculty of Linguistics, Literature and Cultural Studies or individual university teachers of the faculty are involved, and

1. the applicants fulfill the requirements for admission to the doctoral procedure at the faculty, and
2. the educational institution abroad has the right to award doctorates in accordance with its national legislation.

(2) The binational doctoral procedure must be regulated either by an individual agreement for the individual case or by a framework agreement between the faculty and the educational institution abroad. The contractual provisions can only supplement the provisions of these Doctoral Degree Regulations. In case of doubt, these Doctoral Degree Regulations take precedence. The agreements must take into account the requirements and procedures of the “Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations” applicable at TUD Dresden University of Technology as amended.

(3) The cooperation agreements in accordance with para. 2 must regulate in particular the assessment and evaluation of the dissertation as well as the composition of the Doctoral Commission, and how the defense is conducted and graded. In addition, the Doctoral Commission should include at least two professors from the Faculty of Linguistics, Literature and Cultural Studies. One university lecturer may also be a member of the Faculty of Humanities and Social Science. The professors from the Faculty of Linguistics, Literature and Cultural Studies and the Faculty of Humanities and Social Sciences will be appointed by the Doctoral Committee.

§ 20

Honorary doctorate

(1) The academic title doctor philosophiae honoris causa in accordance with § 2 para. 2 allows for personalities to be honored who have made special contributions to science, culture and art. The person to be honored may not be primarily employed at TUD Dresden University of Technology.

(2) A formal request for the awarding of a doctor philosophiae honoris causa academic title must be submitted to the Faculty Board by at least two holders of Chairs at the faculty with sufficient reasoning. A Doctoral Commission to be appointed by the Faculty Board, to which the persons submitting the request do not belong, shall review the merits of the person to be honored, bring in at least two other reviews, and prepare a decision proposal for the Faculty Board.

(3) The Faculty Board shall decide on the request in a secret vote.

(4) The decision of the Faculty Board about the awarding of the doctor philosophiae honoris causa academic title must be approved by the Senate.

(5) The awarding of the doctor philosophiae honoris causa academic title must be carried out in the form of a certificate signed by the Rector and the Dean which befits the occasion. The reasons and merits must be briefly summarized on the certificate. The doctor philosophiae honoris causa academic title shall be conferred by the Rector. The Rector may delegate this right to the Dean of the faculty.

(6) The Saxon State Ministry for Science, Culture and Tourism must be informed of the awarding of the doctor philosophiae honoris causa academic title.

§ 21

Entry into force, expiry and interim regulations

(1) These regulations come into force on the day after publication in the official announcements of TU Dresden. The entry into force of these regulations simultaneously means that the Doctoral Degree Regulations of the Faculty of Linguistics, Literature and Cultural Studies dated March 3, 2015 (Official Announcement of TU Dresden 05/2015 dated March 26, 2015, page 3) cease to apply.

(2) All doctoral projects commencing after the entry into force of this amendment shall be conducted on the basis of these regulations. Decisions on acceptance as a doctoral candidate that were already made before these regulations came into force shall remain valid; these regulations shall apply beyond that. Doctoral procedures already opened at the time of the entry into force of these regulations will be completed on the basis of the provisions of the Doctoral Degree Regulations of the Faculty of Linguistics, Literature and Cultural Studies dated March 3, 2015 (Official Announcement of TU Dresden 05/2015 dated March 26, 2015, page 3).

Issued based on the resolution of the Faculty Board of the Faculty of Linguistics, Literature and Cultural Studies as of #Month, xx xxxx# and the approval of the University Executive Board as of #Month xx, xxxx#.

Dresden, #Date of issue#

The Rector
of TUD Dresden University of Technology

Prof. Ursula Staudinger

Annex 1:

Note on supervision agreements

- The Graduate Academy provides a sample supervision agreement for doctoral procedures in its latest version and in the form of a fillable document. The supervision agreement template can be found and filled out at:

https://tu-dresden.de/ga/ressourcen/dateien/mitgliedschaft/mitgliedschaftsdokumente/20230320_Betreuungsvereinbarung_barrierefrei_EN.pdf?lang=en

- In the case of doctoral studies completed in cooperation with companies (industry cooperations), the use of the related annex to the supervision agreement is also recommended. The agreement supplements the supervision agreement and contributes to mutual certainty of action. A related template can also be accessed from the Graduate Academy website:

https://tu-dresden.de/ga/ressourcen/dateien/mitgliedschaft/mitgliedschaftsdokumente/BV_Anlage_Industriepromotion_Formular_EN.pdf?lang=en

Annex 2:
Declarations on initiating the doctoral procedure

I hereby declare that I have complied with the rules of good scientific practice, that I have written this dissertation independently and without the inadmissible help from third parties or the use of any tools beyond the ones specified. Any ideas taken directly or indirectly from outside sources are indicated as such. The source material used for the preparation as well as other tools, in particular software that can generate texts, charts or images, are listed in full and with specific references to the relevant passages in the dissertation.

In selecting and evaluating the material and producing the manuscript, I received support from the following persons:

No other persons were involved in the intellectual production of this work. Specifically, I have not made use of any help from commercial doctoral advisors. No third parties have received direct or indirect monetary payments for work having to do with the content of the submitted dissertation. The work has not been submitted to any examination body in this country or any other in the same or a similar form, nor has it been published.

Place, date

Signature of the doctoral candidate

**Annex 3:
Request for a dissertation embargo note**

**To
Faculty of Linguistics, Literature and Cultural Studies
- Doctoral Committee**

Contact information of the doctoral candidate*

Last name	First name
Date of birth	City and country of birth
Home address – street address	Home address – postal code and city
Telephone	Email address

* I will inform the faculty if my contact information changes prior to the publication of the dissertation.

Dissertation

Dissertation title

I hereby request

The first embargo of the publication of my dissertation for one year from submission of the obligatory copies to the SLUB, until _____

The final extension of the embargo of one year until _____

Justification for the application:

I hereby declare my consent to the dissertation being automatically published upon the lapse of the deadline.¹

Place, date

Signature of the doctoral candidate

The above application has been approved by the main supervisor.

Last name, first name of the main supervisor
of the dissertation in block letters

Signature and stamp of the main
supervisor

¹ The confirmation of publication of the dissertation on TU Dresden's publication server upon the lapse of the embargo must be submitted to the SLUB along with the submission of the obligatory copies of the dissertation.

Annex 4:
Approval of the request for a dissertation embargo note

The Doctoral Committee of the Faculty of Linguistics, Literature and Cultural Studies approves the application dated *#Month xx, xxxx#* by

Name of the doctoral candidate:

The publication embargo* is approved until *#Month xx, xxxx#*. Once the embargo lapses, the dissertation will be released for publication.

Date

Signature and stamp of the
Chair of the Doctoral Committee

* Must be submitted along with the submission of the written copies and the electronic version of the dissertation to the SLUB.