

**Doctoral Degree Regulations**  
as of September 14, 2023

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. 9 para. 9 of the Act of July 6, 2023 (SächsGVBl. p. 467), the Faculty Board of the "Friedrich List" Faculty of Transport and Traffic Sciences has issued the following Doctoral Degree statutes.

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## **§ 1**

### **Scope of application**

These regulations govern the implementation of doctoral procedures at the “Friedrich List” Faculty of Transport and Traffic Sciences.

## **§ 2**

### **Academic titles**

(1) The “Friedrich List” Faculty of Transport and Traffic Sciences may grant the following academic titles on behalf of TUD Dresden University of Technology as a result of a doctoral procedure:

Doktoringenieurin or Doktoringenieur or Doktoringenieur:in  
(Dr.-Ing. – Doctor of Engineering) and  
doctor rerum politicarum (Dr. rer. pol.).

(2) Following a resolution of the Faculty Board, TUD Dresden University of Technology may also award the following academic titles:

Doktoringenieurin ehrenhalber or Doktoringenieur ehrenhalber or  
Doktoringenieur:in ehrenhalber (Dr.-Ing. e. h. – Doctor of Engineering honoris causa) and  
doctor rerum politicarum honoris causa (Dr. rer. pol. 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 the area of Transport and Traffic Sciences.

(2) This proof shall be provided, except in the case of an honorary doctorate in accordance with § 18, 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, at the Dean's suggestion, a Vice-Dean as Chairperson, at least five additional university lecturers and two postdoctoral Research Associates belonging to the Faculty. The Faculty Board appoints a Deputy to the Chairperson of the Doctoral Committee from among the university lecturers appointed to the Doctoral Committee. 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 specific doctoral procedure, the Doctoral Committee appoints a Doctoral Commission for the tasks assigned to it according to these Regulations, and also appoints the Chairperson and Assessors. The Doctoral Committee consists of at least five members, which must include the Assessors. The Chairperson of the Doctoral Committee must be a university lecturer of the faculty; for the Assessors, § 10 paragraph 6 applies. Additional members of the Doctoral Commission are typically university lecturers from the Faculty. It is possible to appoint Extraordinary Professors as well as Honorary Professors, insofar as they have membership rights in the faculty, habilitated members of the Faculty, TUD Young Investigators, university lecturers working at others faculties or qualified academic researchers, in particular if this is necessary for the topic. 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.

(3) The meetings of the Doctoral Committee and the Doctoral Commissions are not public. Its members are bound by confidentiality. In order for the Doctoral Committee and the Doctoral Commissions to pass a resolution, the Chairperson must be present. The provisions of the Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony and the stipulations of the Rules of Procedure and the Procedural Principles of the University Committees of TU Dresden, as amended, shall apply to the majority of resolutions. Minutes must be kept of the deliberations and resolutions for doctoral matters.

## **§ 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 shall announce 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:

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 postdoctoral thesis,
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 after the completion of the doctoral procedure.

## **§ 6**

### **Admission to doctoral studies**

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

1. a) Have completed a *Diplom*, Master's or *Magister* degree at a university, or have completed the State Examination in a degree program relevant to the doctoral field, whereby both the overall grade of the final examination and the *Diplom*, Master's or *Magister* thesis or the State Examination should have a grade of at least "good";  
b) has obtained a *Diplom*, Master's or *Magister* degree at a university or the State Examination in a degree program not relevant to the doctoral field with an overall grade of at least "good" and has completed additional examinations in the advanced courses of the faculty's *Diplom* degree programs or from modules in the faculty's Master's degree programs in the respective scientific field of the desired academic title to the extent of 15 credit points pursuant to § 8 para. 5, fulfills the personal requirements to bear the academic title;
2. Have not already failed a doctoral procedure twice or are not currently in a pending doctoral procedure.
3. Have submitted an application for acceptance as a doctoral student with all the required documents pursuant to § 8.

(2) Moreover, applicants who have obtained a Bachelor's degree and have passed the aptitude assessment pursuant to § 7 will be admitted to the doctoral procedure. Para. 1 no. 2 to 3 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, or made use of free services which contradict the meaning and purpose of the examination procedure,
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 on the basis of the decision on acceptance as a doctoral student in accordance with § 8.

## **§ 7**

### **Aptitude assessment**

(1) For a positive aptitude assessment pursuant to § 6 para. 2, the applicant must usually complete module examinations from the modules of the advanced *Diplom* degree programs of the faculty or from modules of the Master's degree programs of the faculty in the scientific field relevant to the doctorate. The total scope must be at least 60 credit points. The module examinations must each have been assessed with a grade of at least "good". These examinations must be completed in accordance with the current version of the study documents applicable to the respective degree programs.

(2) The applicant must apply for an aptitude assessment to the Chairperson of the Doctoral Committee in writing. The Doctoral Committee determines the module examinations to be taken pursuant to para. 1, taking into account the recommendation of the potential main supervisor and the intended doctoral field. In exceptional cases, the Doctoral Committee may, in deviation from para. 1, determine that the module examinations can be taken from *Diplom* or Master's degree programs of another faculty of the TUD Dresden University of Technology or another university.

## **§ 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 "Friedrich List" Faculty of Transport and Traffic Sciences, must apply for acceptance as a doctoral candidate, either before or at the latest when starting their doctoral project. The application for acceptance is the expression of the applicant's intention to pursue a doctorate at the faculty.

(2) 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 must be submitted together with the application:

1. The provisional subject of the dissertation.

2. A copy of the Supervision Agreement in accordance with paragraph 3.
3. Proof of the admission requirements pursuant to § 6,
4. A curriculum vitae in tabular form and signed by the applicant with a description of the academic career including officially certified and documented proof of additional studies or examinations already completed,
5. A written statement, usually contained in the application form provided, about any unsuccessful doctoral procedures in the past,
6. The declaration, usually included in the application form for admission as a doctoral candidate, that these Doctoral Degree Regulations and the "Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct and Handling Violations" applicable at TUD Dresden University of Technology are accepted, and
7. A written declaration that a certificate of good conduct (*Führungszeugnis*) according to § 30 paragraph 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. According to these statutes, supervision is to be organized as follows:

1. In addition to the main supervisor, at least one other experienced scientist must be appointed as part of a supervisory team. All supervisors in the supervision team should be university lecturers. One of them may also be a researcher with an equivalent qualification to a *habilitation*, for example an extraordinary professor or an honorary professor with membership rights, a *Privatdozent* or a TUD Young Investigator. 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 supervision 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 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,
  - i) Particular measures or provisions on balancing work and family life,
4. The completion of the doctorate within a reasonable period of time is 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 is rejected if the subject-specific admission requirements named in § 6 are not fulfilled. Acceptance 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.



(5) 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 § 6 para. 1 no. 1 letter b, acceptance must be combined with the imposition of the conditions specified therein. These examinations must be completed in accordance with the current version of the study documents applicable to the respective degree programs. In exceptional cases, these additional examinations may also be completed at another faculty of TUD Dresden University of Technology or at another university. The Doctoral Committee takes the decision. In the case of acceptance, the candidate will be included on the list of doctoral candidates to be managed by the faculty and a legal relationship between the faculty and the candidate will be established, including the status of doctoral candidate.

(6) 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 is revoked, the doctoral candidate must be heard. The decision is made by the Doctoral Committee, but not before three years have elapsed. After being accepted as a doctoral candidate, the doctoral candidate may also submit a written statement to the Chairperson of the Doctoral Committee stating that they no longer wish to pursue their doctoral studies. All of the cases mentioned above end the legal relationship with the faculty and result in the doctoral procedure being terminated without a grade. The doctoral candidate is then struck from the list of doctoral candidates.

(7) 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. 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. Documentary evidence of fulfillment of any conditions imposed,
3. Four bound copies of the dissertation (five if a third reviewer is involved pursuant to § 10 para. 6), usually in German or English, as well as 15 copies of an abstract,
4. The dissertation and the abstract, each in electronic form (as a PDF file),
5. A list of the doctoral candidate's academic publications,
6. Proof of reporting on their work at at least two relevant international conferences or equivalent scientific events; at least one of the events should not have been organized by TUD Dresden University of Technology,
7. The written declaration provided in the Doctoral Management System in accordance with the sample attached in Appendix 2,
8. Proof of participation in a training course either online or on-site on good scientific practice, amounting to at least four teaching units.
9. 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) Withdrawal of the application to initiate the doctoral procedure is permitted, as long as the procedure has not yet been initiated. In this case, the application shall be deemed as not submitted. If the doctoral candidate indicates that they no longer wish to continue with 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.

(3) As a rule, the Doctoral Committee makes the decision on initiating the doctoral procedure within two months. 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. 9 into consideration. The initiation of the doctoral procedure must also be rejected if there are any grounds that would lead to the withdrawal of the academic title. If the doctoral procedure is not initiated for reasons stipulated in sentences 3 to 5, § 15 shall apply. Upon initiating the doctoral procedure, the Doctoral Committee shall appoint the assessors in accordance with § 10 para. 6 as well as the Doctoral Commission. The notification on the initiation of the doctoral procedure 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 in the area of Transport and Traffic Sciences and must contain scientific findings.

(2) The dissertation is typically an individually completed work. It can also emerge 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.

(3) In deviation from para. 2, the dissertation may also be completed by submitting a series of scientific papers (cumulative dissertation). For this purpose, at least three thematically related scientific papers must be submitted. The articles must be submitted to recognized peer-reviewed international journals and at least one of the articles must have been accepted for publication. The doctoral candidate must demonstrate the thematic coherence of the papers in writing as a separate paper, in conjunction with the submitted scientific papers, they constitute the dissertation. Co-authors are permitted for cumulative dissertations if the individual doctoral work of the respective doctoral candidates is clearly distinguishable and assessable. The authors must explain in writing the content of the article to which the individual authorship relates. This declaration must be signed by all co-authors. Para. 2 sentence 4 remains unaffected.

(4) As a rule, the dissertation and the abstract pursuant to § 9 para. 1 no. 3 should be written in German or English. The Doctoral Committee shall decide on any exceptions, provided the candidate has applied for this together with the opening 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 submit a 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 no predominant interests of the affected person(s) worthy of protection obstruct this.

(6) The dissertation shall be evaluated by at least two assessors who are qualified in the subject field of the dissertation. One reviewer must be a university professor appointed pursuant to § 61 or § 63 SächsHSG. Other reviewers may be professors from a university of applied sciences, junior professors, TUD Young Investigators, extraordinary professors and honorary professors, if they have membership rights, as well as persons who can provide evidence of achievements at least equivalent to a *habilitation*. The dissertation must be assessed by at least one assessor working predominantly outside of TUD Dresden University of Technology who was not involved in the supervision of the dissertation and may not be a member or affiliate of the faculty. In the case of cooperative doctoral procedures with a university of applied sciences, one of the assessors must be a member of the relevant university of applied sciences. A person who is the Chairperson of the Doctoral Commission may not be appointed as an assessor. In justified exceptional cases, in particular in the case of cooperative doctoral procedures or if the subject area of the dissertation makes this necessary, the Doctoral Committee may appoint an additional reviewer on the recommendation of the Doctoral Commission. As a rule, at least one of the assessors should not have any joint publications with the doctoral candidate.

(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:

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) As a rule, the reviews must be written in German or English and should be received by the Chairperson of the Doctoral Commission within three months. 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.

(9) 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 kept anonymous and chosen at random. 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. 5, 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. 5, 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. Doctoral candidates whose dissertations are submitted to a screening must be informed thereof.
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.

(10) If one of the reviews recommends that the dissertation be returned to the doctoral candidate for amendments or reworking, the Doctoral Commission will make the final decision on the matter. If the Doctoral Commission cannot reach an agreement, it will appoint another 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.

(11) Once all reviews have been submitted, the dissertation will be made available in the Dean's Office of the faculty for a period of two weeks and its availability will be announced. University lecturers and habilitated members of the faculty have the right to inspect the dissertation and the reviews without the proposed ratings and to submit their personal vote for or against acceptance of the dissertation in writing to the Chair of the Doctoral Commission within the display period, stating their reasons. The members of the Faculty Board, like the members of the Doctoral Commission and the Doctoral Committee, are also entitled to inspect the proposed ratings.

(12) 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. If the dissertation is rejected and thus assessed as "non sufficit" (not sufficient), the doctoral procedure will be terminated; § 12 para. 1 applies. The electronic copy of the rejected dissertation will remain in the doctoral record together with the reviews.

## **§ 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 defense serves to demonstrate that the doctoral candidate is able to present the results of the dissertation in a public lecture, has an in-depth knowledge of the subject area and is familiar with other related subject areas. The lecture should last 30 minutes and the subsequent disputation at least 45 minutes. The defense as a whole should not exceed two hours.



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) The accepted and approved dissertation must be made available to the scientific public in an appropriate manner within a period of one year, taking into account any editorial conditions that may have been imposed, and must be published by reproducing and submitting the number of copies specified in para. 2 to the Saxon State and University Library (SLUB) free of charge.

(2) The obligation to publish the dissertation in accordance with para. 1 shall be fulfilled by:

1. Handing over six bound copies of a version produced and distributed by a commercial publisher, if the number of copies circulated is at least 150 and at least the second cover page indicates the accordance with the dissertation with regard to the title, place and time of the doctorate, or
2. Handing over five bound copies as well as an electronic version to the SLUB. The binding of the copies as well as the data format and the storage device of the electronic version must be agreed with the SLUB in advance.

If, in the case of a cumulative dissertation, the publication of previously published scientific papers conflicts with the rights of third parties, it is sufficient to refer to the publicly available papers for the parts of the dissertation that have already been published.

(3) In exceptional cases which must be specifically justified and where an embargo period pursuant to para. 4 is not foreseeable, the Chair of the Doctoral Committee may, upon application, grant an extension of the submission deadline by up to a maximum of 2 years. Should the applicant culpably miss the deadline, all rights acquired through achievements in the doctoral procedure will be voided and the doctoral procedure will be terminated without the conferment of an academic title. The Chair of the Doctoral Committee shall inform the doctoral candidate of this in writing in accordance with § 5 para. 1.

(4) 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 must include a justification for the embargo. The application must be signed by the doctoral candidate and 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, this approval shall be submitted to the SLUB along with the obligatory copies of their dissertation. The obligation to provide copies of the work is thus fulfilled.

(5) The fulfillment of any editorial requirements must be confirmed in writing to the Doctoral Committee by the main supervisor prior to printing.

### **§ 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, previous academic degrees, date and place of birth of the doctoral candidate, the title of the dissertation, as well as the subject area, 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 shall present the doctoral certificate in a form that is appropriate to the occasion as soon as the Doctoral Committee has received confirmation that the obligatory copies have been delivered, taking into account any editorial requirements that may have been imposed pursuant to § 13. 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.

## **§ 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, doctoral work completed, or other circumstances affecting the personal prerequisites for bearing an academic title by the candidate. If the doctoral procedure is inconclusively terminated, 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.

(2) The doctoral candidate must be consulted before the doctoral procedure is inconclusively discontinued. 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.

## **§ 16**

### **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 awarding 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.

## **§ 17**

### **Structured doctoral programs and joint binational doctoral procedures**

(1) The doctoral studies can be completed as part of a structured doctoral program or a joint binational doctoral procedure insofar as the "Friedrich List" Faculty of Transport and Traffic Sciences or individual university lecturers from the faculty are involved. It must be ensured that the doctoral candidates acquire the qualifications required by these Doctoral Degree Regulations and can provide proof thereof. In case of doubt, the Doctoral Committee shall decide whether this equivalence exists.

(2) The details of a structured doctoral program or a binational doctoral procedure must be defined in a contractual agreement for each individual case and concluded by the Deans or, on the part of the cooperation partner, by the head of the comparable structural unit. The contractual agreements can only supplement these Doctoral Degree Regulations. Deviations are not permitted. The Doctoral Committee must confirm the supplements to these Doctoral Degree Regulations. In all other respects, these Doctoral Degree Regulations also apply to joint doctoral procedures.

(3) The cooperation partner shall receive a copy of the doctoral file upon request.

## **§ 18**

### **Honorary doctorate**

(1) An honorary doctorate *Doktoringenieurin ehrenhalber* or *Doktoringenieur ehrenhalber* or *Doktoringenieur:in ehrenhalber* or *doctor rerum politicarum honoris causa* pursuant to § 2 para. 2 can be awarded to persons who have acquired special merits in science, technology, culture and arts in the area of transport and traffic sciences and have a special connection to the faculty. The person to be honored may not be primarily employed at TUD Dresden University of Technology.

(2) A formal request for the awarding of *Doktoringenieurin ehrenhalber* or *Doktoringenieur ehrenhalber* or *Doktoringenieur:in ehrenhalber* or *doctor rerum politicarum honoris causa* must be submitted to the Faculty Board by at least two professors 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 title *Doktoringenieurin ehrenhalber* or *Doktoringenieur ehrenhalber* or *Doktoringenieur:in ehrenhalber* or *doctor rerum politicarum honoris causa* must be approved by the Senate.

(5) The awarding of the title *Doktoringenieurin ehrenhalber* or *Doktoringenieur ehrenhalber* or *Doktoringenieur:in ehrenhalber* or *doctor rerum politicarum honoris causa* must be carried out in the form of a certificate signed by the Rector and the Dean, which is suitable to honor this occasion. The reasons and merits must be briefly summarized on the certificate. The Rector shall confer the titles of *Doktoringenieurin ehrenhalber* or *Doktoringenieur ehrenhalber* or *Doktoringenieur:in ehrenhalber* or *doctor rerum politicarum honoris causa*. 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 title *Doktoringenieurin ehrenhalber* or *Doktoringenieur ehrenhalber* or *Doktoringenieur:in ehrenhalber* or *doctor rerum politicarum honoris causa*.

## **§ 19**

### **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 mean that the Doctoral Regulations of the "Friedrich List" Faculty of Transport and Traffic Sciences dated January 15, 2015 (TU Dresden Official Announcements No. 2/2015 dated February 13, 2015, p. 2) 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 shall be completed on the basis of the provisions of the doctoral regulations of the "Friedrich List" Faculty of Transport and Traffic Sciences dated January 15, 2015 (Official Announcements of TU Dresden No. 2/2015 dated February 13, 2015, p. 2).

(3) For doctoral procedures already underway at the time of entry into force of these regulations in which a decision about the acceptance of the doctoral candidate was already taken, the Doctoral Committee may decide within six months after these regulations enter into force and when the doctoral procedure is initiated, to complete it on the basis of the provisions stipulated by the Doctoral Degree Regulations of the "Friedrich List" Faculty of Transport and Traffic Sciences dated January 15, 2015 (Official Announcements of TU Dresden No. 2/2015 of February 13, 2015, p. 2).

Issued on the basis of the resolution of the Faculty Board of the "Friedrich List" Faculty of Transport and Traffic Sciences and the approval of the University Executive Board of September 12, 2023.

Dresden, September 14, 2023

The Rector  
of TUD Dresden University of Technology

Prof. Ursula M. Staudinger

## **Annex 1:**

### **Note on supervision agreements**

- A template for a supervision agreement in doctoral procedures is provided as amended by the Graduate Academy 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](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](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 confirm that I have adhered to the principles of good scientific practice and completed the submitted work without any inadmissible help from third parties or the use of any sources or resources beyond the ones specified; any ideas taken directly or indirectly from outside sources are indicated as such. I further declare that I comply with the data protection regulations and only publish personal data of third parties without their consent if this does not conflict with the overriding legitimate interests of the person(s) concerned. 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  
"Friedrich List" Faculty of Transport and Traffic Sciences -  
Doctoral Committee**

**Contact information of the doctoral candidate\***

«Person.Last name»	«Person.Fist Name»
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**

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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:

«Person.Last name» «Person.First name»

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

\_\_\_\_\_  
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

<sup>1</sup> 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 "Friedrich List" Faculty of Transport and Traffic Sciences 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.