

New Version of the Doctoral Regulations of Technische Universität Berlin of 18 November 2020 and 12 May 2021, published on 25 June 2021 (Official Gazette No. 12/2021)

Implementing Regulations of Faculty VI

(Annex to Resolution FKR VI – 3 / 184 – 10 November 2021)

Dissertation by publication (Section 2 (3) and (4) of the Doctoral Regulations)

a) Definition

A dissertation by publication consists of at least **three** papers (hereinafter referred to as manuscripts) that are related in terms of their content and meet in their entirety the requirements for a dissertation. The papers must be linked by an overarching question, which is to be identified by the topic of the dissertation. The coherence of the content of the individual papers must be presented conclusively in the introductory section as well as in the concluding discussion. Manuscripts must either have been published already or submitted for publication. They may consist of original papers for academic journals, book contributions, and a maximum of one overview article. In the case of co-authored manuscripts, doctoral candidates must describe the substantial contribution they have made to the works' concepts, contents and methods. A mixture of manuscripts in English and German is permitted. Publications that primarily present the results of previous theses (for instance, *Diplom* or master's theses) cannot form part of a dissertation by publication.

b) Formal structure

A dissertation by publication must be submitted in bound form, with all parts adapted to DIN A4 page format, regardless of the print format of the original publications. The pages must be numbered consecutively; the page numbering of the published manuscripts in the respective publication must also be included. Alternatively, the original publications of the submitted dissertation are to be enclosed as well. All manuscripts must show the stage of completion at the time of submission, whereby the following categories are acceptable:

- published in a journal or edited volume;
- accepted for publication in a journal or edited volume;
- submitted and under revision for publication in a journal or edited volume;
- submitted for publication in a journal or edited volume (confirmation of receipt required).

Further material from the doctoral thesis that is not intended for publication may be presented in separate chapters (for instance, appendices).

(c) Introduction and synthesis of results

The introduction must refer to the entirety of all the manuscripts and is highly significant for the assessment of a dissertation by publication. It must make clear the overriding question connecting the individual manuscripts as well as those aspects covered by each of the individual manuscripts. As a rule, the introduction should be at least 15 to 20 pages long. The synthesis, too, must refer to the entirety of all manuscripts and chapters and is a key element in the assessment of a dissertation by publication. It must bring together the individual results of the manuscripts and discuss them comprehensively. In particular, it must show conclusively how the manuscripts contribute in their entirety to answering the question formulated in the introduction and which has been identified as the topic of the dissertation. Furthermore, the methodology applied must be discussed comprehensively. The overall discussion (synthesis) should usually be at least 8 to 15 pages.

(d) Information on individual contributions

In the case of manuscripts with several authors, doctoral candidates must clearly identify their individual substantial contributions to the works' concepts, contents, and methods. During the assessment process, the information will be reviewed and the substance of the candidate's contribution evaluated.

The candidate's statements regarding their individual contribution must be attached as an appendix to the doctoral thesis.

In addition to Subsection d), the following is recommended:

In the case of publications by several authors, the doctoral candidate's own contribution is of decisive importance for the assessment of the dissertation. In these cases, an author agreement should therefore be drawn up for each manuscript, indicating, in addition to the title and bibliography, the content and scope of the work completed by each author. This must be confirmed with the signature of all co-authors. If applicable, author agreements must be submitted as an attachment together with the doctoral thesis and will remain in the doctoral file.

Confirmation of supervision (Section 4 (1) of the Doctoral Regulations)

If it can be assumed that the supervisor's term of office will end during the period of supervision, candidates must submit a confirmation of supervision from another member of the specified group of persons when declaring their intent to pursue a doctorate. This person may take the place of the first supervisor when the latter's term of office ends. Section 6 (4) sentence 4 of the Doctoral Regulations remains unaffected.

Rejection of the declaration of intent to pursue a doctorate by the Faculty Board (Section 4 (5) of the Doctoral Regulations)

An important cause exists, in particular, if no contact between supervisor and doctoral candidate could be established for a period of at least two years.

Chair of the doctoral committee (Section 6 (4) of the Doctoral Regulations)

No subordinate relationship may exist between the chair and the other members of the doctoral committee.

Form and provision of the assessments (Section 7 (1) and (2) of the Doctoral Regulations)

The assessments should be structured as follows:

- Assessment text
- Conditions and purely editorial comments (on a separate page)
- Grade (on a separate page)

If the doctoral candidate is permitted to inspect the assessments prior to the scientific defense in accordance with the implementing regulations pertaining to Section 8 (1) of the Doctoral Regulations, the reviewers must be informed of this prior to providing the assessments.

In this case, in accordance with Section 7 (2) (2) of the Doctoral Regulations, the faculty dean must send copies of the assessments to all members of the doctoral committee.

Inspection of the assessments by the doctoral candidate prior to the scientific defense (Section 8 (1) of the Doctoral Regulations)

Regarding Section 8 (1) (6) of the Doctoral Regulations: Doctoral candidates of Faculty VI will be granted access to the assessments prior to the scientific defense, provided that their supervisors belong to one of the following institutes of Faculty VI (primary membership):

- Institute of Architecture
- Institute of Landscape Architecture and Environmental Planning
- Institute of Ecology
- Institute of Sociology
- Institute of Urban and Regional Planning

If the supervisor belongs to an institute of Faculty VI other than those mentioned above, an inspection by the doctoral candidates of the assessments will not be possible prior to the scientific defense.

The confirmation of supervision submitted with the declaration of the intent to pursue a doctorate will be regarded as binding. In the event that a doctoral candidate has failed to submit a declaration of intent to pursue a doctorate, and no supervisor has been indicated accordingly, the above provisions will apply analogously to the supervisor of Faculty VI listed in the application for admission to the doctoral procedure.

Only the text part of the assessment, as well as the conditions and editorial comments, may be inspected, but not the grade.

The doctoral candidate may make an appointment with the Faculty Service Center to inspect the assessment no fewer than 14 days and no more than 21 days prior to the scientific defense. If an inspection of the assessments on site is not feasible, the latter may be sent to the candidate on request.

In both cases, disclosure of the assessments to third parties is not permitted. The doctoral candidate must sign a confidentiality agreement to this effect. After the scientific defense, the reviewers may release the doctoral candidate from the obligation to maintain confidentiality by agreeing to the doctoral candidate's dissemination of the assessments to third parties. The doctoral candidate must obtain this consent in writing.

Publication of the dissertation by a publishing house (Section 9 (2) of the Doctoral Regulations)

Regarding Section 9 (2) sentence 3, no. 3 of the Doctoral Regulations: The obligation to publish as set out in the minutes of the scientific defense applies. The only exception to this may be a subsequent change of title, which, however, requires approval from the Faculty.

In case of doubt, it is recommended to comply with the obligation to publish the dissertation by initially submitting the latter to the University Library (in accordance with Section 9 (2) sentence 3, no. 1 or 2 of the Doctoral Regulations) and have it published by a publishing house at a later point in time.

Entry into force and temporary provisions

(1) These Implementing Regulations of Faculty VI will enter into force on the day after their publication in the Official Gazette of Technische Universität Berlin. They apply to all doctoral procedures commenced at Faculty VI from this date onwards.