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OFFICIAL GAZETTE

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II. Notices

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(Annex to Resolution FKR VI – 8 / 206 – 13.12.2023)

1. Admission to doctorate with bachelor's degree or master's degree without first obtaining a bachelor's

Regarding Section 3(2) of the Doctoral Regulations: In order to be directly admitted to a doctorate as an academically outstanding holder of a bachelor's degree or a master's degree taken without first obtaining a bachelor's degree, the applicant must pass a qualification procedure, which consists of the following components at Faculty VI:

- Three admission exams in the subject area of the proposed doctoral research and related fields, at least one of which must be a written exam (between 1.5 and 4 hours in duration) and at least one must be an oral exam (1 hour in duration) in line with Section 53(2) and Section 54(3) of the General Study and Examination Regulations. The examinations must be set by the examination board of the relevant degree program. Only one of the exams may be conducted by the doctoral supervisor.
- and
- One published work as a lead author (at least 60% must be the applicant's individual contribution) in a publication relevant to the academic field with academic quality assurance. The applicant must submit a signed statement of their individual contribution confirmed by the co-authors.

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

If it can be assumed that the supervisor's employment 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 employment ends. Section 6(4)(4) of the Doctoral Regulations remains unaffected.

3. Dissertation by publication ("kumulative Dissertation") (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 contextual coherence 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; the pages must be numbered consecutively. The original publications of previously published articles must be handed in separately. Alternatively, they can be included in their published form in the dissertation (adapted to A4 format); the original numbering of the articles must also be printed. Candidates must observe the publisher's copyright regulations.

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 evaluation 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 evaluation 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. The respective proportion of work contributed by all co-authors involved must also be stated. This must be confirmed with the signature of the doctoral candidate and the co-authors and included in the submitted thesis.

The substance of the contribution is evaluated in the reviewing process.

4. Doctoral Committee (Section 6(4) of the Doctoral Regulations)

a) No subordinate relationship may exist between the chairperson and the other members of the doctoral committee nor between the individual reviewers.

Furthermore, the chairperson must not be or have been in any co-authorship or other academic cooperation relationship with the doctoral candidate.

b) Apart from Section 5(1)(5) of the Doctoral Regulations, the doctoral candidate must submit a **complete** list of all publications, in order to ensure that no said co-authorship relationship exists or existed.

c) In accordance with Resolution FKR VI – 3 / 203 – 19.09.2023, the following regulations also apply to the composition of the doctoral committee:

With reference to Section 6(4)(3) of the Doctoral Regulations, extraordinary (*außerplanmäßig*) professors whose main occupation and employment is at the Faculty may evaluate doctoral theses in the same manner as full-time professors without the need for a special justification.

Honorary professors, external lecturers, and extraordinary (*außerplanmäßig*) professors whose main occupation and employment is not at Faculty VI, as well as jointly appointed professors at the Faculty who are not members of TU Berlin, may contribute as additional reviewers with reference to Section 6(4)(7) of the Doctoral Regulations. Any such addition to the doctoral committee must be applied for with specified reasons.

Supervision of the doctorate under Section 4(1) of the Doctoral Regulations cannot be transferred to this group of persons. If nevertheless, the supervision was transferred in the past, the requirement to provide justification for participation as an additional reviewer in accordance with Section 6(4)(7) of the Doctoral Regulations does not apply.

d) In addition, it is hereby stipulated that, in accordance with Section 6(4)(7) of the Doctoral Regulations, post-doctoral scholars from Germany or abroad who are not university professors may serve as **additional, external, or internal** reviewers in duly justified cases.

5. Form and provisions of the evaluations (Section 7(1) and (2) of the Doctoral Regulations)

The evaluations must be structured as follows:

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

If the doctoral candidate is permitted to inspect the evaluations 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 evaluations.

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

6. Inspection of the evaluations 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 evaluations prior to the scientific defense upon submitting a written request, 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 evaluations will not be possible prior to the scientific defense.

The confirmation of supervision submitted with the declaration of intent to pursue a doctorate will be decisive for this purpose. In the event that a doctoral candidate has not submitted a declaration of intent to pursue a doctorate, and no supervisor has been indicated accordingly, the above provisions will apply analogously to the reviewer of Faculty VI listed in the application for admission to the doctoral procedure.

Only the text of the evaluation may be inspected, not the grade, conditions, nor editorial comments.

The inspection can take place in the 14 days prior to the scientific debate through the provision of the evaluations by the Faculty Service Center.

Disclosure of the evaluations 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 their obligation to maintain confidentiality by agreeing to the doctoral candidate's disclosure of the evaluations to third parties. The doctoral candidate must obtain this consent in writing.

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

Regarding Section 9(2)(3)(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)(3), no. 1 or 2 of the Doctoral Regulations) and have it published by a publishing house at a later point in time. The obligation to properly cite one's own work and to make appropriate reference to the underlying dissertation must be observed.

8. Use of software to detect suspected plagiarism

In accordance with Resolution FKR VI – 8 / 205 – 22.11.2023 and in reference to Section 71(4) of the General Study and Examination Regulations, the following applies:

In justified cases of suspicion or for samples taken on a random basis without an underlying suspicion, it is permitted to use software to detect plagiarism in doctorates undertaken at Faculty VI. The Faculty Board must be informed of every use of such software.

9. Discontinuation of the doctoral procedure

Regarding Section 4(5)(2) of the Doctoral Regulations (first amendment): A doctorate will be discontinued (revocation of acceptance as a doctoral candidate) by decision of the Faculty Board if no application to commence a doctoral procedure has been submitted within 10 years of the declaration of intent to pursue a doctorate or if the candidate **and** the supervisor have not submitted a notification / confirmation in order to sustain the intent to pursue a doctorate. The discontinuation of the procedure will be published via a notice.

10. Entry into force and temporary provisions

The first amendment to the Implementing Regulations of Faculty VI enters into force on the day after its publication in the Official Gazette of Technische Universität Berlin. It applies to all doctoral procedures commenced at Faculty VI from this date onward.