

**Inofficial Translation. Not legally binding!  
For purpose of understanding only.**

**Doctoral Regulations of the Faculty of Behavioral and Social Sciences  
at Chemnitz University of Technology  
dated July 25, 2014**

Based on § 40 sec. 5 in conjunction with § 13 sec. 4 sentence 1 and § 88 sec. 1 no. 2 of the law governing the freedom of universities in the Free State of Saxony (Saxon Freedom of Universities Act - SächsHSFG) in the version published on January 15, 2013 (SächsGVBl. (Saxony Law Gazette) page 3), last amended by article 24 of the Act of December 18, 2013 (SächsGVBl. p. 970, 1086), the Faculty Board of the Faculty of Behavioral and Social Sciences at Chemnitz University of Technology has issued the following Doctoral Regulations:

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In the following, the generic masculine will generally be used for reasons of better legibility. All personal designations apply naturally to all genders.

## **I. General terms**

### **§ 1**

#### **Entitlement to award Doctoral Degrees**

(1) The Faculty of Behavioral and Social Sciences of Chemnitz University of Technology awards on behalf of Chemnitz University of Technology based on a Doctoral Procedure the following academic degrees:

1. doctor philosophiae (Dr. phil.),
2. doctor rerum socialium (Dr. rer. soc.),
3. doctor rerum naturalium (Dr. rer. nat.).

The Faculty Board (§ 5) takes the decision according to content-related focus of the Doctoral Thesis submitted as well as in consideration of the preferences of the candidate, if applicable, which academic degree will be awarded.

(2) The Faculty of Behavioral and Social Sciences of Chemnitz University of Technology awards, based on the decision of its Faculty Board the academic degrees

1. doctor philosophiae honoris causa (Dr. phil. h. c.),
2. doctor rerum socialium honoris causa (Dr. rer. soc. h. c.),
3. doctor rerum naturalium honoris causa (Dr. rer. nat. h. c.).

(3) The present scientific areas at the Faculty comprising the corresponding subjects for a Doctorate are:

1. Psychology,
2. Sports Sciences,
3. Applied Movement Sciences,
4. Sociology.

### **§ 2**

#### **Doctorate**

(1) By the Doctorate, the candidate proves his ability to contribute by an autonomously elaborated written scientific work (Doctoral Thesis) to the further development of the scientific area as well as to enrich its theories and methods. The proof is delivered within a regular Doctoral Procedure. This includes the:

1. Admission to a Doctorate,
2. Opening of a Doctoral Procedure by submission of the Doctoral Thesis,
3. Approval of the Doctoral Thesis based on positive assessment reports,
4. Defense,
5. Publication of the Doctoral Thesis, Submission of the mandatory copies and Award of the Certificate.

(2) After successful Doctoral Procedure, the candidate will be awarded the entitlement for use of a Doctoral Degree according to § 1.

(3) Doctoral Procedures are opened individually for each candidate subject to section 4.



who must not be the supervisor of the Doctorate at the same time, and furthermore the determination of scope, manner and content of additional study and examination performances to be delivered. The additional performances have to be assessed by at least "good" in the average of grades.

Sentence 1 no. 1 and 2 applies respectively for holders of a Bachelor degree of a university of applied sciences with regard to the admission to a Cooperative Doctoral Procedure according section 4.

(6) The Faculty Board decides on the recognition of equivalence of degrees acquired abroad in consideration of valid equivalence agreements. In case of doubt, the Central Office of International Education should be heard. Insofar equivalence is recognized, sections 1 to 5 apply respectively.

(7) Candidates, where Doctoral Procedures according to § 6 were two times terminated without success prior to their application, do not fulfill the requirements for a Doctorate anymore.

(8) The candidate will be informed about the assessment of his qualification for a Doctorate and its result in written form.

#### § 4

##### Doctoral performances

The Doctoral Degree will be awarded on the basis of a written scientific paper (Doctoral Thesis, § 9) and the Public Defense of the Doctoral Thesis (Defense, § 13).

#### § 5

##### Doctoral Committee and Doctoral Commission

(1) The responsibility for all decisions regarding Doctoral Procedures generally belong to the Faculty Boards. The Faculty establishes a Doctoral Committee. This is a standing body appointed by the Faculty Board for a term of office of three years acting on behalf of the Faculty in Doctorate issues. To this Committee belong two professors and two postdoc academic staff members. The Committee is chaired by the Dean of by a professor of the Faculty of Behavioral and Social Sciences appointed by him.

(2) The Doctoral Committee is responsible for all tasks required for the objective preparation of the Doctoral Procedure and for recommendations for decisions of the Faculty Board.

The Doctoral Committee prepares particularly the following tasks of the Faculty Board:

1. Assessment of Admission requirements and Admission to Doctoral Procedure (§ 3),
2. Determination of additional study performances and supplementary examinations to be delivered (particularly § 3 sec. 2, 3 and 5),
3. Recognition of degrees acquired abroad (§ 3 sec. 6),
4. Opening of a Doctoral Procedure and appointment of the examiners (§§ 7 and 8),
5. Appointment of the Doctoral Commission (section 4),
6. Approval of the Doctoral Thesis (§ 12 sec. 1) as well as
7. Award of the Doctoral Degree (§ 1 sec. 1 and § 18).

The other tasks are listed in more details particularly in §§ 7, 11 and 12.

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GÈ the Doctoral Thesis in four printed and bound copies as well as in electronic version,

3. a written declaration which professor resp. professors has resp. have supervised the Doctoral Thesis (supervisor/s).
  4. a list of publications available, if applicable,
  5. a written declaration that the Doctoral Thesis was elaborated autonomously and that no others than the indicated resources were used,
  6. a written declaration of the candidate if he has priorly or at the same time applied for Doctoral Procedures at other institutions as well as complete indications regarding the results of those Procedures,
  7. a written declaration of the candidate that he agrees to the electronic check of his Doctoral Thesis with regard to eventual plagiarism,
  8. a written declaration of the candidate whether the Doctoral Thesis was elaborated as monograph or done in a cumulative way (§ 9 sec. 4),
  9. a certificate of conduct according to the Act on the Federal Register of Criminal and Court Records ("Bundeszentralregistergesetz") which must not date longer than three months prior to the date of application for the Doctoral Procedure,
  10. a curriculum vitae, particularly regarding the scientific qualification,
  11. propositions regarding the examiners and other members of the Doctoral Commission,
  12. written proof of fulfillment of conditions required, if applicable (§ 3 sec. 3).
  13. in case that the candidate is a graduate student according to § 42 sec. 1 SächsHSFG, further proofs according to the Common Study Regulations for Graduate Degree Programs at the Faculties of Chemnitz University of Technology as amended have to be delivered.
- (3) In case that on the subject area for the Doctorate exists a Graduate School, the candidate is supposed to participate in this School for the duration of his Doctorate.
- (4) A brief curriculum vitae as well as a declaration according to section 2 no. 5 have to be enclosed with each copy of the Doctoral Thesis. All documents mentioned have to be submitted in written form and become property of Chemnitz University of Technology after the Opening of the Procedure. § 8 sec. 4 applies to the copies of the Doctoral Thesis.
- (5) The application may be withdrawn by the candidate as long as the Doctoral Procedure is not opened. It is then considered as not submitted and the candidate will be given back all documents except the application. The application for withdrawal has to be submitted in written form.

## **§ 7**

### **Opening of a Doctoral Procedure**

- (1) The Faculty Board takes the decision on the Opening of a Doctoral Procedure. The candidate will be informed about the decision by written notification without any delay.
- (2) The Chair of the Doctoral Committee may return the Doctoral Thesis to the candidate for elimination of formal deficiencies. § 10 sec. 1 sentences 2 and 3 apply respectively.
- (3) Within the decision regarding the Opening, the subject of the Doctorate and the examiners are determined. In case that conditions were imposed to the candidate according to section 2 sentence 1, the Opening has to be postponed until their fulfillment.
- (4) In case of Non-Opening, the Chair of the Doctoral Committee informs the candidate within a period of 14 days in written form about the reasons and about admissible legal remedies. In case of Non-Opening, the candidate will be given back all documents submitted except the application.
- (5) In case that the candidate submits a written declaration of withdrawal after the Opening of the Doctoral Procedure or reasons emerge which would have inhibited the Opening, the Doctoral Committee terminates the Procedure. All documents submitted including assessment reports received remain with the Faculty.

## **§ 8**

### **Examiners**

- (1) Within the Opening decision, at minimum two examiners will be determined. One of the examiners has to be a university professor appointed according to § 60 or § 62 SächsHSFG. Other examiners may be professors of universities of applied sciences or junior professors or they have to prove at least habilitation-equivalent performances. In the case of Doctorates according § 3 sec. 4, also a professor of a university of applied sciences shall be appointed as examiners within the Doctoral Procedure.
- (2) One of the examiners is in general the professor who scientifically supervised the Doctoral Thesis (supervisor according to § 6 sec. 2 no. 3). At minimum one of the examiners has to adhere to the Faculty of Behavioral and Social Sciences of Chemnitz University of Technology.



## **§ 12**

### **Approval of Doctoral Thesis**

- (1) The Faculty Board takes the decision subsequent to the public disclosure (§ 11) based on the assessment reports and appeals submitted, if applicable, about approval or non-approval of the Doctoral Thesis. In both cases, the candidate has to be informed about the decision in written form within two weeks after it had been taken. In case that the Doctoral Thesis had not been approved, the candidate has to be informed verifiably also about the reasons for the non-approval and the decision of terminating the Procedure in written form. The notification has to be amended by an instruction regarding legal remedies.
- (2) In case that the grade of one examiner is "non sufficit", the Faculty Board is entitled to approve the Doctoral Thesis all the same. It may also make the decision depend on additional assessment reports. In case that the grade of more than one examiner is "non sufficit", the Doctoral Thesis can definitely not be approved and the Procedure has to be terminated. A Doctoral Thesis that was not approved remains with all assessment reports and the file of the Doctorate with the Faculty.
- (3) In case of positive decision regarding the approval of the Doctoral Theses, the grade for the Doctoral Thesis is calculated from the arithmetic mean of the individual grades of the assessment reports. The mean value is, according § 14 sec. 3, taken into account for the determination of the overall grade for the Doctorate.
- (4) In case that conditions are imposed for the printing or the publication (§ 10 sec. 1 sentence 3), the candidate has to fulfill them within a time limit fixed by the Chair of the Doctoral Committee. The fulfillment of these conditions will be confirmed to the Doctoral Committee by the supervisor(s).

## **§ 13**

### **Defense**

- (1) The date for the Defense is determined by the Chair of the Doctoral Committee in coordination with the other members of the Committee and the candidate.
- (2) The Defense is an oral examination for the public Defense of the Doctoral Thesis (§ 40 sec. 6 sentence 3 SächsHSFG). The Defense shall take 60 minutes at minimum and 90 minutes at maximum, Within the Defense, the candidate begins with a public presentation regarding objective, content and results of his Doctoral Thesis. The public presentation shall generally take no longer than 20 minutes.
- (3) The public presentation is followed by a public discussion during which at first the members of the Doctoral Commission ask questions referring to the assessment reports. Subsequently, other attendants of the university have the opportunity to ask questions to the candidate. In case that they are not related to the scientific issue, they have to be rejected by the Chair of the Doctoral Commission.
- (4) Minutes have to be taken regarding the ongoing of the Defense which have to be signed by the Chair of the Doctoral Commission and are a component of the file of the Doctorate.
- (5) The Defense may only happen under the condition of the attendance of at least two examiners. In case that an external examiner is not able to attend, the Doctoral Committee appoints exceptionally another professor of the Faculty as examiner.

## **§ 14**

### **Assessment of Defense and overall assessment of Doctorate**

- (1) Immediately after completion of the Defense, the Doctoral Commission determines the grade for the Defense within a non-public meeting. This grade is calculated from the arithmetic mean of the individual grades of the Commission members (§ 5 sec. 4 and § 12 sec. 5). In case that the Defense is assessed by "insufficient", it is considered as not passed.
- (2) The Doctorate is considered as passed in the case that the Doctoral Thesis was approved and that the Defense was passed as well.



as the indications of sources regarding the parts published in the "Monarch" database of Chemnitz University of Technology.

(3) The Chair of the Doctoral Committee may prolong the delay for publication once on written request.

## **§ 18**

### **Award of Certificate, Entitlement for use of Doctoral Degree**

(1) The Dean initiates based on the overall assessment of the Doctorate by the Doctoral Commission according to § 14 the issue of the Certificate of the Doctorate. It is dated on the day of the successfully completed Defense and comprises in addition to personal data of the candidate the academic degree to be certified, the subject of the Doctorate, the topic of the Doctoral Thesis, the overall grade, the signatures of the President and the Dean as well as the seal of the university.

(2) The Certificate of the Doctorate will be issued to the candidate subsequent to the publication of the Doctoral Thesis according to § 17 of these Regulations.

(3) By the issue of the Doctoral Certificate, the Doctoral Procedure is closed and the candidate acquires the entitlement for use of the Doctoral Degree (§ 40 sec. 8 SächsHSFG).

## **V. Invalidity and Legal Remedies**

### **§ 19**

#### **Invalidity of Doctoral Performances**

(1) In case that prior the issue it emerges that the candidate has delivered Doctoral Performances by deception or that significant requirements for the Admission to the Doctorate (§ 3) were not fulfilled, the Board of the Faculty is entitled to declare the already delivered Doctoral Performances entirely or partly as invalid. The candidate has to be heard prior to a decision.

(2) In case that Doctoral Performances are entirely declared as invalid, the Procedure has to be terminated according to § 12 sec. 1.

### **§ 20**

#### **Withdrawal of Doctoral Degree**

The Doctoral Degree is withdrawn by decision of the Board of the Faculty in case that it emerges that it has been acquired by deception regarding requirements of performances of the Doctorate. The affected person has been granted the opportunity to be heard prior to a decision. Apart from that, § 39 sec. 4 SächsHSFG applies.

### **§ 21**

#### **Appeal**

The appeal against decisions within the Doctoral Procedure is admissible according to §§ 68 ff. of the Administrative Procedure Code ("Verwaltungsgerichtsordnung"). The appeal has to be submitted within one month after the notice on the decision in written form or declared for recording to the Dean. The decision on the appeal belongs to the Board of the Faculty.

## **VI. Bi-national Doctoral Procedures**

### **§ 22**

#### **Particular Regulations for the implementation of Bi-national Doctoral Procedures**

(1) The Faculty of Behavioral and Social Sciences of Chemnitz University of Technology may, based on a cooperation agreement, implement a Bi-national Doctoral Procedure jointly with a university abroad entitled to award doctoral degrees according to the law of the respective country. Within a Bi-national Doctoral Procedure, a Doctoral Degree is awarded on the basis of a Doctoral Thesis.

(2) The provision of these Doctoral Regulations apply accordingly also to Bi-national Doctoral Procedures. Deviating from that, the following is determined:

1. The candidate for a Bi-national Doctoral Procedure has to fulfill the requirements for admission of Chemnitz University of Technology as well as the requirements for admission of the university involved.
2. The Doctoral Thesis is elaborated completely in one language and comprises a summary in English and the respective languages of the countries.

3. The Doctoral Commission consists on at least two professors from both universities each. In this context, the respectively responsible bodies appoint the representatives of their university. The examiners from both universities shall be members of the Doctoral Commission.
4. For assessment of the Doctoral Thesis, the respectively responsible bodies of both universities appoint two examiners each. One of the examiners has to be a professor of the Faculty of Behavioral and Social Sciences of Chemnitz University of Technology.
5. In case that the Doctoral Thesis is not approved by one of the universities involved, the joint Doctoral Procedure is terminated.
6. In case that an oral Doctoral performance is delivered at the university abroad, this replaces the oral Doctoral Performance at Chemnitz University of Technology. Further details are regulated within the agreement which has to be concluded with the university abroad.
7. The Bi-national Doctoral Procedure is closed by the award of a joint Certificate of Doctoral Degree of both universities issued in the languages of the respective countries. It contains the designations of the academic degrees of a "Dr. phil." or a "Dr. rer. nat." as well as of the respective academic degree from abroad. The Certificate has to declare that the Doctoral Procedure was implemented in collaboration with a partner university from abroad. The universities involved have to be designated; the Certificate bears the seal of both universities. Instead of a joint Certificate also individual Certificates of both universities may be issued declaring clearly that both Certificates together represent one joint Certificate of the Doctorate.
8. By reception of the Certificate of the Doctorate, the candidate is entitled for use of the Doctoral Degree in the Federal Republic of Germany as well as of the respective Doctoral Degree in the country of origin of the involved university abroad. The entitlement for use is limited on one Doctoral Degree. The Certificate of the Doctorate is supplemented by the declaration that the awarded Doctoral Degree from abroad is not a Doctoral Degree acquired abroad according to § 44 SächsHSFG.

Die Fakultät für Verhaltens- und Sozialwissenschaften der TU Chemnitz und die Fakultät für Psychologie der Universität zu Köln haben sich auf die folgenden Bestimmungen geeinigt:

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§ 23

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Die Fakultät für Verhaltens- und Sozialwissenschaften der TU Chemnitz und die Fakultät für Psychologie der Universität zu Köln haben sich auf die folgenden Bestimmungen geeinigt:

Die Fakultät für Verhaltens- und Sozialwissenschaften der TU Chemnitz und die Fakultät für Psychologie der Universität zu Köln haben sich auf die folgenden Bestimmungen geeinigt:

Die Fakultät für Verhaltens- und Sozialwissenschaften der TU Chemnitz und die Fakultät für Psychologie der Universität zu Köln haben sich auf die folgenden Bestimmungen geeinigt:

VIII. Final Provisions

§ 24

Entry into force and Transitional Regulations

These Doctoral Regulations of the Faculty of Behavioral and Social Sciences enter into force on the day after their publication in the Official Announcements of Chemnitz University of Technology ("Amtliche Bekanntmachungen"). They apply to all Doctoral Procedures opened at the Faculty of Behavioral and Social Sciences from this date onwards.

To Doctoral Procedures in the Doctorate subjects psychology, sports sciences and sociology opened prior to this date, the Doctoral Regulations of the Faculty of Behavioral and Social Sciences dated April 15, 2010 (Amtliche Bekanntmachungen No. 6/2010, p. 158), last amended by the statute dated October 29 (Amtliche Bekanntmachungen No. 31/2012, p. 1371), continue to apply.

Issued on the basis of decisions of the Board of the Faculty of Behavioral and Social Sciences on April 16, 2014 as well as the approval of the University Management on July 16, 2014.

Chemnitz, July 25, 2014

The Dean  
of the Faculty of Behavioral and Social Sciences  
of Chemnitz University of Technology

Prof. Dr. Thomas L. Milani