

Official Announcements

**Doctoral Degree Regulations
of the Faculty of Architecture
of the RWTH Aachen
from 11.03.2008
in the version as modified by the 3rd modification order of the Doctoral Degree
Regulations
From (30.11.2018)
published as complete version**

Please note: only the German version of these regulations as published in the official announcements is binding. The translation is to be used only as guidance for doctoral candidates with international degrees and cannot be consulted in a legal dispute.

On the basis of §§ 2 Para. 4 and 67 Para. 3 of the Law on Universities in the Land of North Rhine-Westphalia (Hochschulgesetz - HG) of October 31, 2006 (GV. NRW. 2006 S. 474), last altered by Article 2 of the Law on the development of universities in North Rhine-Westphalia of April 21, 2009 (GV .NRW. 2009, S. 255), the RWTH Aachen issued the following Doctoral Degree Regulations of the Faculty of Architecture:

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I General provisions

§ 1

Doctoral studies

- (1) The Faculty of Architecture (Faculty 2) of the RWTH Aachen is entitled to confer doctorates; it awards the academic title of Doctor of Engineering Sciences (Dr.-Ing.).
- (2) By means of the doctoral studies the candidate demonstrates an ability to pursue independent academic research that exceeds the general study objective. That ability is determined on the basis of an academically notable written work (dissertation) that represents a substantial contribution to findings in the chosen field and an oral examination (disputation). The doctor title is conferred upon the candidate following the successful completion of the doctoral studies.

§ 2

Doctoral Admissions Board

- (1) The Faculty forms a Doctoral Admissions Board which consists of three university professors who had been nominated by the professorial staff and were confirmed by the Faculty Council in accordance with Section 35 HG. In addition it will consist of the Dean, the Vice-Dean as well as a representative from each of the following groups: academic staff, technical and administrative staff and students.
The Dean –or her or his deputy-is the chair of the Doctoral Admissions Board. The Doctoral Admissions Board may transfer the performance of certain tasks mentioned in Para.2, letters a) to c) to the chair.
- (2) The Doctoral Admissions Board has to perform the following tasks:
 - a) Establishing the prerequisites for the doctoral studies and making a decision regarding the admission as a doctoral candidate in accordance with Sections 8 to 11;
 - b) The initiation or non-initiation of the doctoral examination procedure in accordance with Section 13;
 - c) The appointment of the reviewers as well as the other members and the chair of the Doctoral Examination Committee;
 - d) Making decisions regarding the imposition of appropriate study programs in preparation of the PhD program in accordance with Section 8, Para.1 b and Section 9, Para. 3;
 - e) Deciding on special cases in the doctoral examination procedure and appeals against decisions of the Doctoral Examination Committee.

- (3) Sessions of the Doctoral Admissions Board are not public; its members are sworn to secrecy. Those who are university professors in terms of Section 35 HG of the Faculty of Architecture are entitled to take part in sessions of the Doctoral Admissions Board in an advisory capacity.
- (4) The Doctoral Admissions Board has a quorum when more than half its members that are entitled to vote, including the chair or her or his deputy, are present. The Doctoral Admissions Board decides by simple majority; abstaining from voting is not permissible. In the event of a tie, the chair's vote will be decisive. Minutes shall be kept of the deliberations of the Doctoral Admissions Board.
- (5) The chair of the Doctoral Admissions Board has to inform doctoral candidates of the relevant decisions. This communication will be done in writing and it shall provide information on the available legal remedies.

§ 3

Doctoral Examination Committee

- (1) At the initiation of the doctoral examination procedure (Section 13) the Doctoral Admissions Board will appoint a Doctoral Examination Committee consisting of at least three, normally five and at the most seven members including the chair. The members will include the reviewers (Section 4) and further members in accordance with Para. 2. The chair cannot be a reviewer, because she or he is responsible for the proper conduct of the oral examination (Section 16).
- (2) The other members are to be elected in such a way that the areas of expertise relating to the appropriate study programs in preparation of the PhD program in accordance with Sections 8 and 9 or to the subject of the dissertation are represented. They have to be university professors in accordance with Section 35 HG, or an adjunct or an honorary professor, a senior academic assistant or a junior professor of the faculty. In accordance with Sect. 65, Para. 1 HG the prerequisite applies that members of research institutes as well as those who hold a replacement professorship or a professorship with a temporary appointment, need to have a qualification that is at least equivalent to the qualification that is to be determined by the examination (doctoral degree). In the case of an interdisciplinary or cooperative PhD project at least one member of the collaborating university, faculty or research institute has to be elected to the Committee.
- (3) Every member of the faculty who is eligible in accordance with Para.2 can apply to the Doctoral Admissions Board to be appointed as a member of the Doctoral Examination Committee. This application must be submitted before the expiration of the objection period mentioned in Section 14, Para. 2. If the Doctoral Admissions Board rejects the appointment, the applicant can appeal against this decision to the Faculty Council. The final appointment of the members of the Doctoral Examination Committee has to take place before a decision can be made regarding the acceptance of the dissertation.

- (4) In case a member who has already been appointed to the Doctoral Examination Committee is not able to participate in the doctoral examination procedure (i.e. absence due to illness); the Doctoral Admissions Board will appoint a substitute member.
- (5) All members of the Doctoral Examination Committee are entitled to vote. The Doctoral Examination Committee has a quorum when more than half of its members are present. The Doctoral Examination Committee decides by simple majority; abstaining from voting is not permissible. In the event of a tie, the chair's vote will be decisive.

§ 4

Reviewers

- (1) The Doctoral Admissions Board appoints at least two reviewers for the examination of the dissertation, as a general rule from the group of university professors in accordance with Section 35 HG, professors who are released from teaching duties or who are retired, adjunct professors, honorary professors or senior academic assistants of the faculty. In accordance with Sect. 65, Para. 1 HG the prerequisite applies that members of research institutes as well as those who hold a replacement professorship or a professorship with a temporary appointment. Only individuals with at least three years experience in teaching or research should be appointed as reviewer; but the Doctoral Admissions Board may allow exceptions in special cases. Generally the first reviewer is the person who acted as main supervisor of the PhD project in accordance with Section 5, Para. 2; however, reviewers need not necessarily have acted as supervisors.
- (2) At least one of the reviewers has to be a university professor in accordance with Sect. 35 HG at the Faculty of Architecture.
- (3) In case a person who is employed at another German or foreign university or research institute is appointed as reviewer and is willing to accept this position, the management of this other institution has to be informed.
- (4) University professors from other universities can also act as reviewers within the framework of cooperation with the RWTH Aachen. Prerequisite for this is proof of an academic qualification, corresponding to the postdoctoral qualification as stated in Section 36, Para. 1, No. 4 HG. The existence of the prerequisites is established by the Doctoral Admissions Board. Within the framework of this cooperative supervision, the scope and content of the subsequent appropriate studies which prepare for the doctorate are to be set for the individual doctoral candidate together with the university's supervisor in accordance with Sect. 67, Para. 4 S.1 No. 2 HG.

§ 5

Dissertation

- (1) The doctoral candidate has to submit a dissertation; this is an independently written scholarly work in German. Upon request, the Doctoral Admissions Board may permit a dissertation written in a different language. In this case the Doctoral Admissions Board can request that an authenticated translation is submitted which presents the authentic text. The decision on the admission of a dissertation written in another language is made by the Doctoral Admissions Board while assessing the petition for a doctorate in accordance with Section 12. After completion of the oral examination the Doctoral Admissions Board will decide whether the submitted dissertation should be published in its original foreign language or in a German translation.
- (2) A substantial part of the dissertation's content must be related to the areas of learning of the Faculty of Architecture and it must be written under the expert supervision of at least one person belonging to the Faculty of Architecture in accordance with Section 4, Para. 1 that will be acting as supervisor. This person is obliged to provide adequate academic supervision during the doctoral procedure. The willingness to take on this obligation is generally expressed through the conclusion of a supervision agreement in accordance with the form sample provided in annex 3.
- (3) Works from earlier exams and already published works may not be used as a dissertation. Prior publications in excerpts are permitted in agreement with the supervisor and have to be reported to the Doctoral Admissions Board in writing.

§ 6

Doctoral examination

- (1) The doctoral examination consists of the examination of the written scholarly thesis (dissertation) by the reviewers and an oral examination (disputation) by the Doctoral Examination Committee. If the dissertation has been accepted and the oral examination was successful, the candidate passes the doctoral examination. The grading of the doctoral examination should be completed within six months after initiation of the doctoral examination procedure. The result must be communicated to the candidate in writing within a period of 14 days and must include information on the available legal remedies.
- (2) For both parts of the doctoral examination the following description for grades between 0,7 and 4,0 apply:

0,7 – 1,3	sehr gut	very good	outstanding achievement
1,7 – 2,3	gut	good	an achievement which substantially exceeds average requirements
2,7 – 3,3	befriedigend	satisfactory	an achievement which corresponds to

3,7 - 4,0	genügend	sufficient	average requirements an achievement meeting the requirements despite its flaws
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When determining the overall grade of the doctoral examination the grade of the dissertation is weighted with two-thirds and the grade of the oral examination is weighted with one-thirds, the result is rounded to one decimal place.

The following overall grades shall apply:

1,0 and better	- „summa cum laude“	„with honor“
1,1 up to 1,5	- „magna cum laude“	„very good“
1,6 up to 2,5	- „cum laude“	„good“
2,6 up to 4,0	- „rite“	„passed“

In order to obtain the overall grade „summa cum laude“ the dissertation has to be graded with at least 1,0 in two assessments.

It is also possible to determine separate grades for the written and oral part of the examination; in that case only the German grade descriptions will be applied.

- (3) If the dissertation was rejected (in accordance with Section 15, Para. 3) or the oral re-examination (in accordance with Section 16, Para. 7) has been unsuccessful, the candidate will be informed that she or he failed the doctoral examination, this decision must be motivated.
- (4) If the candidate failed the doctoral examination, she or he may not submit the dissertation again for the purpose of doctoral studies, neither at this nor at another faculty.
- (5) A renewed application for a doctorate is only admissible once and not before at least one year has elapsed since the notification of the rejection was put on record. In that case a new dissertation has to be submitted.

§ 7

Requirements for completion of the doctoral degree

Requirements for completion of the doctoral degree in terms of this Regulation are:

- a) writing a dissertation,
- b) passing the oral examination,
- c) publication of the dissertation.

Only after meeting these requirements, the doctoral examination procedure can be completed by issuing the doctoral degree certificate (section 19).

II Admission to doctoral studies

§ 8

General admission requirements

- (1) In order to be admitted as a doctoral candidate, proof of compliance with one of the following criteria is required:
 - a) a degree after a relevant academic degree program with a standard period of study of at least eight semesters for which a different degree as “Bachelor” is awarded, or
 - b) a degree in a master degree program in terms of Sect. 61, Para. 2, Subpara. 2 HG, or
 - c) a degree after an appropriate university degree program with a standard period of study of at least six semesters and subsequent appropriate studies which prepare for the doctorate in the doctoral subjects- as well as academic and other achievements that demonstrate an ability to pursue independent academic research.

- (2) The content deemed appropriate for the subsequent studies in preparation of the doctoral studies in accordance with Para. 1, letter c) including the number of and types of verifications required of these studies as well as of academic and other achievements that demonstrate the ability to pursue independent academic research within the scope of the doctoral studies, are determined for each individual case by the Doctoral Admissions Board following a hearing of the applicant.

- (3) Prerequisite for the admission to the doctoral studies is, as a general rule, a diploma or master's degree from a degree program that largely corresponds to the faculty's educational and research profile. Graduates from other degree programs can be admitted to the doctoral studies with a written endorsement of two of the faculty's professors if the topic of the dissertation is of academic interest to the faculty and the applicant can prove that she or he has the prior knowledge that is required. The Doctoral Admissions Board will decide on these exceptional cases: it is entitled to check whether the applicant possesses the required knowledge before deciding whether she or he will be accepted as a doctoral candidate.

- (4) In the case of exceptional academic, artistic or on-the-job achievements, applicants can be admitted to the doctoral study program (conform Section 49, Para. 11 HG) by the Doctoral Admissions Board following a written endorsement by two professors of the faculty. The admission requires a two-thirds majority of all the members of the Doctoral Admissions Board that are eligible to vote.

§ 9

Admission on the basis of an international degree

- (1) A person can also be admitted as a doctoral candidate if a degree was obtained outside of Germany after a relevant academic degree program in terms of Section 8, Para. 1 a) with a standard period of study of at least eight semesters, including a study-integrated academic final paper, and the degree
- a) due to international treaties must be considered equal to corresponding degrees that can be obtained at a German academic institution,
 - b) due to evaluation statements of the Central Office for Foreign Educational Systems at the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder or the German Rector's Conference, it is to be assessed as a general precondition for admission to the doctoral study program,
 - c) due to treaties with partner universities outside of Germany is to be regarded by RWTH Aachen University as equal to a corresponding degree which may be obtained at RWTH Aachen University.
- (2) The supervision by a member of the faculty (who is entitled to supervise in accordance with Section 4, Para. 1 must be ensured. This willingness to be a supervisor entails an obligation to examine whether the submitted works or publications meet the required academic competence and to inform the Doctoral Admissions Board of the results of this examination. This should –where possible– preclude an additional knowledge assessment test.
- (3) The Doctoral Admissions Board may impose further educational requirements connected to the area of learning that is covered in the dissertation.

§ 10

Admission to the doctoral program of the CDS

- (1) In addition to the general admission requirements each applicant should complete a doctoral program within the framework of the Center for Doctoral Studies. It should further the doctoral candidate's academic independence and allow her or him to acquire academic key qualifications.
- For example, this can be achieved through the following measures:
- Structurally expanding professional expertise;
 - Acquisition of interdisciplinary skills in new fields of knowledge;
 - Development of communication skills (e.g. project management, language skills);
 - Acquisition of professional and social skills (e.g. team working skills, supervisory and management skills);
 - Acquisition of international and intercultural competences.

- (2) If, due to their educational background, these key qualities are already demonstrably present in external applicants (for example applicants from external companies), the Board for Doctoral Studies will exempt them from participating in the CDS.
- (3) Admission to the doctoral studies by the faculty is a prerequisite for participation in the doctoral program of the Center for Doctoral Studies.
- (4) In accordance with Section 19, Para. 3 the achievements in the CDS are recorded in a doctorate supplement, which is part of the doctoral degree certificate.

§ 11

Application for the admission to the doctoral procedure

- (1) An application for admission to the doctoral procedure („Antrag auf Zulassung zur Promotion“) has to be submitted to the faculty. This application is not the same as the „Application of initiation of the doctoral examination procedure“ („Antrag auf Eröffnung des Promotionsverfahrens“) which has to be submitted at a later stage in accordance with Sect. 12.
- (2) The application has to be submitted in writing –via the Dean's office- to the Doctoral Admissions Board of the Faculty. The following documents have to be submitted with the application:
 - a) A description of the aim of the dissertation;
 - b) A written confirmation by one of the faculty's professors of her or his willingness to supervise the dissertation (form example annex 3);
 - c) Proof of compliance with admission requirements that are already met in accordance with Sect. 8 and 9, including previously completed additional studies or examinations;
 - d) An overview of the applicant's academic career in tabular form;
 - e) A statement in lieu of oath detailing previous applications to be admitted to the doctoral procedure or previous participation in doctoral examination procedures;
 - f) A declaration acknowledging these Doctoral Degree Regulations.
- (3) The Doctoral Admissions Board decides whether the applicant will be accepted or rejected as a doctoral candidate. The acceptance may be subject to conditions relating to the completion of additional studies.
- (4) The candidate will be informed in writing regarding the acceptance or rejection as a doctoral candidate. A rejection has to be motivated and accompanied by information on the available legal remedies.

§ 11 a**Data collection, processing and transmission**

- (1) Pursuant to § 5 of the Act on Statistics for Higher Education and for the Universities of Cooperative Education (Hochschulstatistikgesetz - HSchStG), the universities must collect personal data from persons who have been admitted to doctoral studies pursuant to § 11 (3). The personal data of doctoral candidates are automatically stored by the university and processed by the IT Centre and the Central University Administration to fulfil their statutory duties. The university will only transmit the data where this is necessary to fulfil its legal or statutory duties. The data transmission to the NRW Statistical Office (IT NRW) concerns the data collection characteristics according to § 3 Para. 1, § 4 and § 5 Para. 2 HSchStG.

III Doctoral Examination Procedure

§ 12

Application for initiation of the doctoral examination procedure

- (2) The doctoral candidate has to submit a written "Application for initiation of the doctoral examination procedure" (application for PhD candidates annex 1) to the Faculty's Doctoral Admissions Board.
- (3) The application should state the title of the dissertation and the supervisors and should nominate the desired reviewers.
- (4) The following documents have to be submitted with the application:
 - a) All certificates, diplomas and documentation required in accordance with Sections 8 to 11;
 - b) A certificate of good conduct (document type O) from the Bundeszentralregister that is no more than three months old. The presentation of a certificate of good conduct can be omitted if the applicant is employed by the public sector or the church.
 - c) A resume containing personal and educational background arranged in tabular form;
 - d) A presentation of academic, artistic or on-the-job achievements that extend beyond the scope of the successfully completed university education.
 - e) A specimen copy of every previously published academic treatise.
 - f) A dissertation, in fourfold, bound and in a form prepared for publishing as well as a digital copy,
 - g) Four summaries of the dissertation of approximately 2 printed pages.
 - h) A statement in lieu of oath that the dissertation was independently written and that all aid and sources that were used have been listed in the dissertation (form example annex 4),
 - i) A statement in lieu of oath stating if there were any prior applications to be admitted to the doctoral procedure and if applicable stating the outcome, the date, the German or foreign university concerned, the faculty and the topic of the dissertation,
 - j) A written statement that the doctoral candidate has taken notice of and has observed the Basic Principles for Ensuring a Good Academic Practice.
- (5) If the dissertation was written at an institution outside the RWTH Aachen, a written declaration must be submitted, stating that no existing trade secrets are compromised by publishing the dissertation.
- (6) Certificates have to be submitted as officially authenticated copies. For certificates which are not written in German, authenticated translations are to be enclosed upon request.

§ 13**Initiation of the doctoral examination procedure**

- (1) The Doctoral Admissions Board will open the doctoral examination procedure, when the written application including all the documents required by Section 12 is submitted and complete and the reviewers have expressed their willingness to write an assessment. As a general rule, the initiation of the procedure should take place within four weeks upon receipt of the application.
- (2) If the documents submitted with the application do not meet the requirements, the doctoral examination procedure will not be initiated. The chair of the Doctoral Admissions Board will immediately inform the applicant of the rejection. This will be done in writing, stating the reasons for the decision and providing information on the available legal remedies.
- (3) Following initiation of the procedure, the reviewers, the further members of the Doctoral Examination Committee and the chair are to be appointed in accordance with Sect. 3, Para. 1. The applicant will be immediately informed in writing about the initiation and the appointment of the reviewers.
- (4) An application for initiation of the doctoral examination procedure submitted to the faculty can be withdrawn in writing within a period of 14 days after announcement of the initiation (in accordance with Para. 3).

§ 14**Examination of the dissertation**

- (1) The reviewers examine the dissertation and they shall each submit an independent written assessment, if possible within three months. They propose acceptance or rejection of the dissertation, or if applicable revision or non-consideration due to lack of competency of the faculty, including the reasons for their recommendation. An assessment recommending the acceptance of the dissertation must contain a suggested grade (using the German grading system as described in Section 6, Para.2). In case only two reviewers have been appointed and one of the reviewers is unable to prepare an assessment within a maximum period of four months, the Doctoral Admissions Board may appoint another reviewer.
- (2) Upon receipt of the assessments, the Dean displays the dissertation and the assessments for comments or, as the case may be, written objections by the professorial staff and members of the faculty council who hold a doctoral degree. The period of display is three weeks during the lecture period and six weeks during the lecture-free period. The objection period expires upon conclusion of the second working day after the applicable period of display ended.

- (3) Two favorable assessments are required for acceptance of the dissertation. In case the reviewers are in agreement and recommend the acceptance of the dissertation and no objection has been made, the Dean determines that the dissertation is accepted.
- (4) In case the reviewers are in agreement and recommend the rejection of the dissertation and no objection has been made against this recommendation, the Dean determines that the dissertation is rejected.
- (5) In case the reviewers contradict each other with regard to acceptance or at least one of the reviewers recommends the revision or non-consideration (in accordance with Para. 1) or an objection was raised within the prescribed time limit, the Dean will immediately arrange a deliberation of the Doctoral Examination Committee.
- (6) The Doctoral Examination Committee can recommend the consultation of additional reviewers, as well as the acceptance, rejection or revision of the dissertation or non-consideration. In case the recommendation is unanimous, the Dean initiates the necessary findings. Non-consideration in accordance with Para.1 does not mean the rejection of the dissertation.
- (7) If a unanimous decision cannot be reached, the dissertation along with the assessments, comments and objections will be submitted to the Doctoral Admissions Board. The Board will take an immediate decision –based on the recommendations-regarding acceptance, rejection or revision of the dissertation in accordance with Section 15 or non-consideration in accordance with Para. 1.
- (8) The candidate will be informed in writing regarding the acceptance, rejection, revision or non-consideration of the dissertation. Adverse decisions have to be motivated and must include information on the available legal remedies.

§ 15

Revision of the dissertation

- (1) In accordance with Section 14, Para. 6 or Para. 7, the Doctoral Examination Committee or the Doctoral Admissions Board can ask the doctoral candidate to revise her or his dissertation within a fixed deadline. The conditions for the revision have to be put on record and must be communicated to the candidate in writing as part of the decision. The deadline can only be extended once; if this deadline isn't met the Dean will determine that the dissertation has been rejected.
- (2) If the revision of the dissertation is completed within the set deadline, a new examination will be carried out in accordance with Sect. 14. The assessment of the revised dissertation should particularly focus on whether the specified conditions of the revision pursuant to Para. 1 have been satisfactorily complied with. Sect. 14 Para. 2 to 8 are applicable to the further proceedings. A rejection of the revised version of

the dissertation is only permitted if the conditions of the revision haven't been satisfactorily complied with or if grave academic objections to sections that have been formulated differently or have been added during the revision make rejection of the dissertation necessary.

§ 16

Oral examination

- (1) After the dissertation has been accepted, the Dean will schedule an oral examination (disputation). The Doctoral Examination Committee will carry out the oral examination in accordance with Para. 4 and 5 provided that more than half its members, including the chair and two reviewers, are present.
- (2) The Dean informs the rector's office, the other Dean's offices of the RWTH Aachen, the members of the Doctoral Admissions Board, of the Doctoral Examination Committee as well as the doctoral candidate of the time and place of the oral examination at least 10 days before the appointed date. The oral examination is also announced through notices.
- (3) Professors of the Faculty of Architecture are entitled to be present as guests at the oral examination; other guests are only admitted to the audience by permission of the doctoral candidate.
- (4) The oral examination is an individual examination; only the members of the Doctoral Examination Committee are authorized to be an examiner and to vote. The oral examination is generally conducted in the German language. The oral examination may only be conducted in a foreign language if all the members of the Doctoral Examination Committee agree to this.
- (5) The oral examination consists of a 30-minute presentation by the doctoral candidate on the topic of the dissertation, followed by a discussion which should not significantly exceed a time frame of 30 minutes.
- (6) The Doctoral Examination Committee determines the outcome of the oral examination immediately after its completion. The grade for the oral examination is determined in accordance with the assessment framework listed in Sect. 6 Para. 2. The overall result of the doctoral examination as well as any potential amendments required in the dissertation are, as a rule, communicated to the doctoral candidate at the end of the deliberation.
- (7) If the candidate hasn't passed the oral examination, she or he can only retake the examination once and only at the same faculty. The application for re-examination can be made no earlier than three months after and has to be made not later than 18 months after.

§ 17

Access to the examination file

After completion of the oral examination the candidate, upon her or his request, will be granted access to her or his examination file. This request must be submitted within a month of the announcement of the examination result. Time and place of access will be determined by the Dean.

§ 18

Publication of the dissertation

- (1) If the candidate has passed the doctoral examination procedure, she or he will submit the dissertation –in the version intended for publication- to the Dean for approval. The Dean –in agreement with the reviewers- will give this approval once all conditions that were set are fulfilled.
- (2) The Faculty of Architecture is entitled to demand of doctoral candidate that she or he
 - adds a summary of no more than one machine-written or printed page to her or his work and transfers the right to publish this summary or to offer it to a publisher or a data-base to the university;
 - Writes the title and summary in two languages (generally in German and English).
- (3) The doctoral candidate is obliged to grant the academic public appropriate access to her or his dissertation through duplication and distribution. This is either done
 - a) by submitting 6 mandatory copies to the faculty's office and 40 mandatory copies to the Central University Library, each in book or photo print; or
 - b) by publication in an academic journal; in that case the submission of 6 mandatory copies to the faculty's office and 15 mandatory copies to the Central University Library is required; additionally it must be noted i.e. on the back of the title page in which journal the dissertation was published (indicating publisher and place of publication), all mandatory copies must be marked "D 82 (Diss. RWTH Aachen University, [indicating the year of the oral examination])"; or
 - c) by distribution via bookstores by a commercial publisher with a minimum circulation of 150 copies; in that case the submission of 6 mandatory copies to the faculty's office and 15 mandatory copies to the Central University Library is required, additionally it must be noted i.e. on the back of the title page which publisher was used for publication (indicating publisher and place of publication), all mandatory copies must be marked "D 82 (Diss. RWTH Aachen University, [indicating the year of the oral examination])"; or
 - d) by providing the Central University Library with a digital copy and one mandatory copy. The file format and file transfer of the digital copy have to be coordinated with the Central University Library. An additional 6 mandatory copies have to be submitted to the faculty's office. A summary in German and in English is required for publication. The doctoral candidate transfers the right to publish the digital

copy in data networks to the Central University Library, the DNB (Die Deutsche Nationalbibliothek, the German National Library) in Frankfurt/Leipzig and, if applicable, the DFG-Sondersammelgebietsbibliothek (the German Research Foundation's Special Collection Library) and assures that the digital copy corresponds with the accepted dissertation. The Central University Library checks the submitted version for readability and whether it meets the specified requirements. The submissions of files that do not comply with the specified requirements regarding file format and file transfer, will not be considered as publication.

All mandatory copies that are to be submitted have to include a special title page bearing the name; an educational background or curriculum vitae may be added. They must be printed on age-resistant, wood- and acid-free paper in permanent binding. Furthermore they must be technically flawless. If found that the copies do not meet these criteria they will generally be rejected. A work rejected in such a manner is considered unpublished; the doctoral degree certificate will therefore not be awarded.

- (4) The dissertation is to be published within a year after the oral examination. The Dean may, in exceptional and duly justified cases, extend the deadline. If the applicant misses her or his deadline, all rights that were gained during the examination procedure will be lost.

§ 18 a

Cotutelle

- (1) A doctoral procedure under joint supervision with a foreign university (Partner University) requires the conclusion of a customized cooperation agreement on the conducting and supervision of the doctoral procedure as well as on the assessment and grading of the doctoral examination performances.
- (2) Regarding the filling of positions on the Doctoral Examination Committee, the customized cooperation agreement can provide that the positions on the Doctoral Examination Committee should be distributed equally among the participating universities.
- (3) Following the successful completion of the doctoral procedure, the Faculty of Architecture will award an academic title in accordance with Sect. 1, Para. 1 and the Partner University will award an academic title in accordance with its own applicable provisions. These academic titles may only be used alternatively.

§ 19**Doctoral degree certificate and doctorate supplement**

- (1) Following publication of the dissertation, a doctoral degree certificate will be issued and it will be personally signed by the Rector and the Dean. The certificate will bear the date that the mandatory copies were submitted to the Central University Library. The reviewers who recommended the acceptance of the dissertation should be named in the doctoral degree certificate. The doctoral examination procedure will be completed by the issuance and handing over of the doctoral degree certificate. After receiving the doctoral degree certificate the doctoral candidate has the right to use the title of Doctor.
- (2) If the dissertation was jointly supervised and examined by German and foreign university professors, two certificates will have to be issued. In terms of content these certificates should be worded in such a way that they form one single certificate. As to content it concerns the awarding of an academic degree.
- (3) Participation in the skills training for doctoral candidates and the acquisition of key skills during this training are recorded in the doctorate supplement issued by the Center for Doctoral Studies of the RWTH Aachen.

IV Concluding provisions**§ 20****Honorary doctorates and doctorate renewals**

- (1) At the request of the Faculty of Architecture, the Senate can award the honorary degree and title of Doctor of Engineering Science to persons that demonstrate excellent personal, academic, technical or artistic achievements in a field cultivated by the university. They may not be members or associates of the RWTH Aachen.
- (2) The faculty can only make honorary doctorate applications for those doctorates that it has a right to confer. In preparation of this application, the faculty should obtain at least two external expert opinions. The application requires the support of two thirds of the members of the Doctoral Admissions Board. The Faculty Council shall decide on the application to the Senate.
- (3) The Rector confers the honorary doctorate by presenting the recipient with a doctoral degree certificate which honors her or his accomplishments.

- (4) Those holding a doctoral degree of the RWTH Aachen who have distinguished themselves through their academic or professional activities, can be honored by renewal of their doctoral degree after 25 or 50 years or on special occasions. The faculty makes a decision regarding the awarding of this honor if the field concerned comes within the scope of architecture.

§ 21

Revocation of the doctoral degree

- (1) The doctoral degree can be revoked if:
- a) it turns out afterwards that the doctoral degree was obtained through false statements concerning essential requirements for admission to the doctoral studies,
 - b) it turns out afterwards that the doctoral degree was obtained through deception in connection with the accomplishments during the doctoral studies,
 - c) academic misconduct has been established in relation to the dissertation,
 - d) the person holding a doctoral degree is sentenced to imprisonment of at least one year following a conviction for a criminal offence.
- (2) If circumstances become known that could justify the revocation of a doctoral degree in accordance with Para. 1, the person holding the doctoral degree should be heard by the Doctoral Admissions Board before a decision is taken. In the case of an oral hearing, minutes of the hearing have to be taken.
- (3) The person concerned will be informed of adverse decisions as well as the reasons for reaching these decisions by the Doctoral Admissions Board. This has to be done in writing and must include information on the available legal remedies.
- (4) The RWTH Aachen will communicate the invalidity of accomplishments attained during the doctoral studies or the revoking of the doctoral degree to all German universities.
- (5) The provisions of Para. 2 to Para. 4 shall apply mutatis mutandis to the revocation of an honorary doctor's degree.
- (6) After a decision in accordance with Para. 1, the doctoral degree certificate has to be revoked or by some other means rendered null and void.

§ 22

Entry into force and transitional provisions

These Doctoral Degree Regulations will be published in the Official Announcements of the RWTH Aachen and it will enter into force the day after publication.

Issued on the basis of the decision of the Faculty Council of 21.10.2015

**The Rector
of the Rheinisch-Westfälischen
Technischen Hochschule Aachen**

Aachen, 02.11.2015

Signature Schmachtenberg

Univ.-Prof. Dr.-Ing. E. Schmachtenberg

Annexes:

- 1) Form example application for PhD candidates (in accordance with Sect. 12)
- 2) Form example of the title page of the dissertation
- 3) Form example of the supervision agreement
- 4) Form example statement in lieu of oath
- 5) Translation of a few selected German terms used in the Promotionsordnung to clarify certain English terms used in the Doctoral Degree Regulations

Annex 1: Form example application for PhD candidates (in accordance with Sect. 12)

Academic title, First Name, Surname
Address
Email, Fax, Phone

To the Dean
Of the Faculty of Architecture
Schinkelstraße 1

52062 Aachen

Submission of the PhD candidate's application

With my dissertation(Title)".....I request to be admitted to the doctoral examination procedure at the Faculty of Architecture of the RWTH Aachen in order to obtain the academic title of Dr.-Ing.

The thesis was supervised by(academic title, name).....

I declare in lieu of oath that this is a first-time submission of this dissertation and that I have made no previous applications to obtain a doctoral degree (if otherwise: indicate date, university concerned, the faculty and the topic of the dissertation).

I declare in lieu of oath that I have written the dissertation on my own and that all aid and sources that were used have been listed in the dissertation

I declare that no existing property rights – especially intellectual property rights- are infringed through publication as a dissertation of RWTH Aachen.

I declare that I agree / do not agree* to the presence of other guests (in accordance with Section 16, Para. 3) in the audience during my oral examination.

*** Please strike out whichever is not applicable!**

Professors of the Faculty of Architecture are entitled to be present as guests at the oral examination; other guests are only admitted to the audience by permission of the doctoral candidate.

Annex 2: Form example of the title page of the dissertation

1. When submitting the application (in accordance with Section § 12 Doctoral Degree Regulations):

"....."
(title of the dissertation)

Dissertation submitted to
The Faculty of Architecture of the Rheinisch-Westfälischen Technischen Hochschule Aachen
for obtaining the academic title of Doctor of Engineering Sciences

submitted by

.....(first name, surname, maiden name
(if applicable))

from.....(place of birth, if applicable additional
information on the geographic location
of the place of birth)

2. When submitting the required number of mandatory copies (in accordance with Section 18 Doctoral Degree Regulations):

"....."
(title of the dissertation)

Dissertation approved by
The Faculty of Architecture of the Rheinisch-Westfälischen Technischen Hochschule Aachen
for obtaining the academic title of
Doctor of Engineering Sciences

submitted by

.....(first name, surname, maiden name (if
applicable))

Reviewer: University Professor.....(academic title, name).....

University Professor.....

University Professor.....

Date of the oral examination:

For electronic publication only: "This dissertation is available online on the university library's website."

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Annex 3: Form example of the supervision agreement

Betreuungsvereinbarung

Die RWTH ist ein Ort exzellenter wissenschaftlicher Forschung und sieht es als ihre Pflicht an, qualifizierte Nachwuchsförderung durch die Einbindung über eine Promotion zu ermöglichen und den Nachwuchs an dem wissenschaftlichen Umfeld teilhaben zu lassen. Ziel ist eine vertrauensvolle Zusammenarbeit zwischen Betreuer/in und Doktorand/in auf hohem wissenschaftlichem Niveau. Zu diesem Zweck schließen Doktorand/in und Betreuer/in die folgende Betreuungsvereinbarung ab. Grundlage der Vereinbarung ist die Promotionsordnung der Fakultät für Architektur und die Grundsätze zur Sicherung guter wissenschaftlicher Praxis der RWTH in der jeweils geltenden Fassung.

Die Betreuungsvereinbarung verleiht keinen Rechtsanspruch auf eine Promotion, sondern regelt die Rechte und Pflichten von Doktorand/in und Betreuer/in. Sie ist nur wirksam, wenn die/der Doktorand/in zur Promotion durch den Promotionsausschuss der Fakultät zugelassen worden ist.

Zwischen

_____ (Doktorand/in),
 _____ (Erstbetreuer/in),
 _____ (Zweitbetreuer/in),
 (optional, falls zu Beginn der Betreuung
 bereits bestellt)

werden folgende Vereinbarungen getroffen:

1. Themenbereich der Dissertationsarbeit

Die/Der Doktorand/in erstellt als selbstständige wissenschaftliche Arbeit eine Dissertation im Bereich „[.....]“.

2. Ziele und Arbeitsplan

Die Betreuungsvereinbarung gilt vonbis.....

Ziel der Promotion ist die eigenständige wissenschaftliche Bearbeitung eines Themas im Bereich des oben genannten Gebiets mit erkennbaren eigenständigen Forschungsbeiträgen.

Das Promotionsvorhaben läuft in der Regel in folgenden Phasen ab:

Einarbeitungsphase zur Sichtung der Literatur und zum Erwerb benötigter Fähigkeiten

Vertiefungsphase zum selbständigen Erkennen von unbearbeiteten aber erreichbaren konkreten Forschungszielen für die Promotion und für eigene Forschungsbeiträge

Entwicklungs- und Publikationsphase (z.B. gezielte Veröffentlichung von eigenen Beiträgen und Vorstellung auf Konferenzen)

Abschlussphase zum abschließenden Verfassen der Dissertationsschrift und Verteidigung. Die Phasen überlappen sich weitgehend, ihre Dauer richtet sich nach den Fähigkeiten und dem Zeiteinsatz der Doktorandin bzw. des Doktoranden. Die Betreuungsvereinbarung gilt maximal für o.g. Zeitraum, sofern sie nicht im gegenseitigen Einvernehmen verlängert wird. Besonderheiten der Fakultäten

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hinsichtlich der Zeitdauer, der Spezifizierung und Zielvorgaben der einzelnen Phasen können in einer Anlage zur Betreuungsvereinbarung geregelt werden.

3. Betreuung der Dissertation

a. Pflichten der /die Erstbetreuer/in

- (1) Der/Die Erstbetreuer(in) berät die/den Doktorand(in/en bei der eigenständigen Erarbeitung fachlich, indem sie/er insbesondere die/den Doktorand(in/en in das Fachgebiet und das relevante wissenschaftliche Umfeld einführt, Hinweise zur Beschaffung der Fachliteratur und des Forschungsmaterials gibt, Empfehlungen zur Formulierung und Begrenzung von Thema und Problemstellung gibt, Hypothesen und Methoden diskutiert und beurteilt, Resultate und deren Beurteilung bespricht, die Teilnahme an wissenschaftlichen Tagungen entsprechend den finanziellen Möglichkeiten fördert, gegebenenfalls Praxiserfahrung ermöglicht, sich regelmäßig, mindestens aber halbjährlich mit dem/der Doktorand(in/en zu einer ausführlichen Besprechung trifft, Disposition und Darstellung (Aufbau, Sprache) der Dissertation beratend und mit dem Ziel einer zeitnahen Fertigstellung begleitet.
- (2) Die besonderen Belange zur Vereinbarkeit von Familie und Promotion sind zu berücksichtigen.
- (3) Die/der Erstbetreuer/in berät die/den Doktoranden/in im Sinne der überfachlichen Qualifizierung und zur Persönlichkeitsentwicklung und unterstützt im Hinblick auf einen zügigen Fortgang der Promotion.
- (4) Sofern ein/eine Zweitbetreuer/in bestellt ist, können die Pflichten von Erst- und Zweitbetreuer/in gemeinsam wahrgenommen werden.

b. Pflichten der/des Doktorand(in/en

Der/die Doktorand(in) verpflichtet sich durch zielgerichtetes, eigenständiges wissenschaftliches Arbeiten im Promotionsvorhaben und kontinuierliches Kontakthalten zu dem/der Erstbetreuer/in, die in Absatz 3a) genannten Betreuungsleistungen zu ermöglichen und zu nutzen.

Der/Die Doktorand(in) hat auf Anfrage jederzeit Auskünfte zum Stand und Fortschritt des Dissertationsvorhabens gegenüber der/dem Erstbetreuer/in, der/dem Zweitbetreuer/in und dem Promotionsausschuss zu geben. Der/die Doktorand(in) hat auch Auskunft über die Durchführung von Qualifizierungsmaßnahmen zu erteilen.

Es wird in der Regel mindestens eine Veröffentlichung in einer begutachteten Zeitschrift oder für Proceedings einer internationalen Tagung mit Peer Review-Verfahren eingereicht. Ausgenommen sind Dissertationen in Form einer Monographie.

4. Begleitendes Ausbildungsprogramm im Rahmen der wissenschaftlichen Weiterbildung

a. Im Regelfall ist die Teilnahme an fachlichen Veranstaltungen (Doktorandenseminare, Spezialvorlesungen, Sommer-/Winterschulen, Konferenzen etc.) im Äquivalent von insgesamt mindestens 6 SWS (verteilt über die Gesamtdauer des Promotionsprojekts) vorgesehen.

b. Es wird ein internationaler wissenschaftlicher Austausch angestrebt. Dieser kann u. a. abgeleistet werden in der Form von:

einem oder mehreren Aufenthalt/en an einer Forschungsinstitution oder bei einem forschenden Industrieunternehmen im Ausland oder

Teilnahme an internationalen Tagungen oder

Einer gemeinsamen Forschungsarbeit mit internationalen Gästen, die auch von einer Gruppe von Doktoranden für einen entsprechenden Zeitraum an der RWTH eingeladen werden können.

c. Es wird die Teilnahme an mindestens drei ein- bis zweitägigen Seminaren aus dem überfachlichen Veranstaltungsangebot des CDS empfohlen.

5. Arbeitsplatz und Arbeitsbedingungen

Wird die Promotion im Rahmen eines Beschäftigungsverhältnisses an der RWTH Aachen oder eines Stipendiums durchgeführt, gewährleisten der/die Erstbetreuer/in geeignete Arbeitsbedingungen.

6. Einhaltung der Grundsätze guter wissenschaftlicher Praxis

Der/die Doktorand/in und der/die Betreuer/in verpflichten sich, die Grundsätze zur Sicherung guter wissenschaftlicher Praxis, veröffentlicht in den Amtlichen Bekanntmachungen der RWTH Aachen, Nr. 2011/004 in der jeweils geltenden Fassung einzuhalten.

7. Konflikte und Beendigung der Betreuungsvereinbarung

In Konfliktfällen, die zwischen den Beteiligten nicht gelöst werden können, kann der/die Erstbetreuer/in oder der/die Doktorand/in die Ombudsperson der Fakultät einschalten, die versuchen soll Konflikte im gegenseitigen Einvernehmen zu lösen.

Weiterhin kann der/die Doktorand/in in Konfliktfällen auch zusätzlich die Obfrau bzw. den Obmann der Gruppe der wissenschaftlichen Mitarbeiterinnen und Mitarbeiter zur Unterstützung einbeziehen.

Für den Fall, dass die bzw. der Doktorand/in von seinem Promotionsvorhaben Abstand nehmen möchte, kann sie bzw. er das Betreuungsverhältnis jederzeit ohne Angabe von Gründen beenden.

Ebenso kann die Betreuungsvereinbarung jederzeit im gegenseitigen Einvernehmen beendet werden, wenn zwischen Erstbetreuer/in und Doktorand/in Einigkeit besteht, dass das Promotionsvorhaben durch den/die Doktorand/in nicht zu bewältigen ist.

Besteht in diesen Fällen keine einvernehmliche Einschätzung, schaltet der/die Erstbetreuer/in die Ombudsperson der Fakultät ein. Sofern nach Beteiligung der Ombudsperson und nach einer angemessenen weiteren Bearbeitungszeit die Einschätzung des/der Erstbetreuer/in unverändert ist, kann die Betreuungsvereinbarung mit Zustimmung des Promotionsausschusses der Fakultät aufgelöst werden.

Im Falle einer Auflösung des Betreuungsverhältnisses durch die bzw. den Erstbetreuer/in, prüft der Promotionsausschuss der Fakultät, ob ein alternatives fachlich angemessenes Betreuungsverhältnis möglich ist. Dasselbe gilt auch, wenn der/die Erstbetreuer/in wegberufen wird und das Betreuungsverhältnis aus dem Grund beenden möchte.

Datum und Unterschriften

_____ (Datum, Doktorand/in)

_____ (Datum, Erstbetreuer/in)

_____ (Datum, Zweitbetreuer/in)

(optional, falls zu Beginn der Betreuung bestellt)

Annex 4: Form example statement in lieu of oath

Eidesstattliche Versicherung_____
Name, Vorname_____
Matrikelnummer

Ich versichere hiermit an Eides Statt, dass ich die vorliegende Dissertation mit dem Titel

in der/im (Lehrstuhl/Institut)_____
unter Betreuung von

selbständig und ohne unzulässige fremde Hilfe erbracht habe. Ich habe keine anderen als die angegebenen Quellen und Hilfsmittel benutzt. Die schriftliche und die elektronische Form der Arbeit stimmen vollständig überein. Weiterhin versichere ich an Eides Statt, dass ich die Dissertation weder in der vorgelegten noch in einer anderen Fassung einer in- oder ausländischen Fakultät als Dissertation, Semesterarbeit, Prüfungsarbeit oder zur Erlangung eines akademischen Grades eingereicht habe*.

Ort, Datum_____
Unterschrift

*gegebenenfalls sind frühere Promotionsanträge mit ihrem Ergebnis sowie unter Angabe des Zeitpunktes, der betreffenden in- oder ausländischen Universität, der Fakultät und des Themas der Dissertation anzugeben.

Belehrung:

§ 156 StGB: Falsche Versicherung an Eides Statt

Wer vor einer zur Abnahme einer Versicherung an Eides Statt zuständigen Behörde eine solche Versicherung falsch abgibt oder unter Berufung auf eine solche Versicherung falsch aussagt, wird mit Freiheitsstrafe bis zu drei Jahren oder mit Geldstrafe bestraft.

§ 161 StGB: Fahrlässiger Falscheid; fahrlässige falsche Versicherung an Eides Statt

(1) Wenn eine der in den §§ 154 bis 156 bezeichneten Handlungen aus Fahrlässigkeit begangen worden ist, so tritt Freiheitsstrafe bis zu einem Jahr oder Geldstrafe ein.

(2) Straflosigkeit tritt ein, wenn der Täter die falsche Angabe rechtzeitig berichtigt.
Die Vorschriften des § 158 Abs. 2 und 3 gelten entsprechend.

Die vorstehende Belehrung habe ich zur Kenntnis genommen:

Ort, Datum_____
Unterschrift**Published on behalf of the Rector of Division 1.1 of Department 1.0 of the RWTH Aachen,**

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Annex 5: Translation of a few selected German terms used in the Promotionsordnung
to clarify certain English terms used in the Doctoral Degree Regulations

Listed below are some German terms and expressions concerning doctoral studies that are used in the original and binding German text of the Promotionsordnung. This list provides the English equivalents as used in the non-binding English text (Doctoral Degree Regulations) for clarification purposes.

German Terminology	English Equivalent
Promotionsausschuss	Doctoral Admissions Board
Promotionskommission	Doctoral Examination Committee
Promotionsverfahren	Doctoral procedure
Dekanat	Dean's office
Berichterinnen bzw. Berichter	Reviewers
Promotionsordnung	Doctoral Degree Regulations
Erweiterten Promotionsausschuss	Extended Doctoral Admissions Board