

## **Doctoral Degree Regulations**

### **of the Faculty of Architecture**

**at RWTH Aachen University dated 11/03/2008**

**in the version of the fourth regulation amending the Doctoral Degree**

### **Regulations**

**of 16/11/2020**

**published in full**

**Please note: This publication is an English translation of the Regulations Governing Doctoral Studies. Only the German original of these regulations as published in the Official Announcement of RWTH Aachen University (“Amtliche Bekanntmachungen”) is legally binding.**

Pursuant to Sections 2(4) and 67(3) of the Law on Universities in the State of North Rhine-Westphalia (Hochschulgesetz - HG) in the version published on 16 September 2014 (Gazette of Laws and Ordinances (GV) NRW p. 547), last amended by Article 10 of the Act on the Coherent and Joint Management of the COVID 19 Pandemic in North Rhine-Westphalia and on the Adaptation of State Law with regard to the Effects of a Pandemic of 14 April 2020 (GV NRW p. 218b, amd 304a), RWTH Aachen issued the following Doctoral Degree Regulations of the Faculty of Architecture:

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## I General provisions

### Section 1 Doctoral studies

- (1) The Faculty of Architecture (Faculty 2) of RWTH Aachen is entitled to confer doctorates; it awards the academic title "Doctor of Engineering Sciences" (Dr.-Ing.).
- (2) The doctorate demonstrates an ability to carry out independent scientific work that goes beyond the general study objective. That ability is determined on the basis of a piece of academically significant written work (thesis), which represents an advancement of the state of scientific knowledge, and an oral examination (disputation). Upon successful completion of the doctorate, the academic title of doctor is conferred upon the candidate.

### Section 2 Doctoral Committee

- (1) The faculty forms a Doctoral Committee consisting of three university professors in accordance with Section 35 of the Higher Education Act (HG) proposed by the professorial board and confirmed in this function by the faculty council, the Dean, the vice-Dean and one representative each from among the academic staff, technical and administrative staff and students. The Dean or the Dean's deputy chairs the Doctoral Committee. The Doctoral Committee may delegate the performance of certain tasks referred to in Subsection 2(a) to (c) to the chair.
- (2) The Doctoral Committee has the following tasks:
  - a) Determining the prerequisites for the doctorate and deciding on admission as a doctoral candidate in accordance with Sections 8 to 11,
  - b) The opening or non-opening of doctoral examination procedures in accordance with Section 13,
  - c) The appointment of the reviewers, the other members and the chair of the Doctoral Examination Committee,
  - ffffffffffffffff) Deciding on the assignment of appropriate preparatory studies for the doctorate in accordance with Section 8(1)c and Section 9 (3),
  - gggggggggggggggggggggg) Deciding on special cases in the doctoral examination procedure and appeals against decisions of the Doctoral Examination Committee.
- (3) The sessions of the Doctoral Committee are not public; its members are bound to secrecy. The university professors in accordance with Section 35 HG of the faculty may participate in the sessions of the Doctoral Committee in an advisory capacity.
- (4) The Doctoral Committee has a quorum if more than half of its members with voting rights, including the chair or their deputy, are present. The Doctoral Committee decides with a simple majority of votes; abstention is not permitted. In the event of a tie, the chair shall have the casting vote. Minutes shall be kept of the deliberations of the Doctoral Committee.

- (5) The chair of the Doctoral Committee must notify doctoral candidates of decisions concerning them. Notifications are issued in the form of a written decision with information on available legal remedies.

### **Section 3 Doctoral Examination Committee**

- (1) When the doctoral examination procedure is opened (Section 13), the Doctoral Committee shall appoint a Doctoral Examination Committee of at least three, normally five and at most seven members, including the chair. The members will include the reviewers (Section 4) and further members in accordance with Subsection 2. The chair cannot be a reviewer, since they are responsible for the proper conduct of the oral examination (Section 16).
- (2) The other members shall be selected in such a way that those subject areas are represented which are related to the appropriate preparatory studies for the doctorate in accordance with Sections 8, 9 or the subject of the thesis. They should be university professors in accordance with Section 35 HG, emeritus or retired professors, associate professors, honorary professors, private lecturers or junior professors of the faculty. Pursuant to Section 65(1) HG the prerequisite applies that members from research institutes as well as those who hold a substitute 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). For interdisciplinary or cooperative doctoral projects, at least one member of the cooperating university, faculty or research institution must be a member of the Examination Committee.
- (3) Any member of the faculty who is eligible according to Subsection 2 may apply to be appointed as a member of the Doctoral Examination Committee by the Doctoral Committee. The application must be submitted by the end of the objection period in accordance with Section 14(2). If the Doctoral Committee rejects the appointment, the applicant may appeal to the faculty council. The final appointment of the members of the Doctoral Examination Committee must be made before the decision on the acceptance of the thesis.
- (4) Should an already appointed member of the Doctoral Examination Committee not be able to participate in the doctoral examination procedure (e.g. due to illness), the Doctoral Committee will appoint a substitute member.
- (5) All members of the Doctoral Examination Committee are entitled to vote. The Doctoral Examination Committee has a quorum if more than half of its members are present. The Doctoral Examination Committee decides by a simple majority of votes; abstention is not permitted. In the event of a tie, the chair shall have the casting vote.

### **Section 4 Reviewers**

- (1) The Doctoral Committee appoints at least two reviewers for the examination of the thesis, generally from among the university professors in accordance with Section 35 HG, emeritus or retired professors, associate professors, honorary professors or private lecturers of the Faculty of Architecture.

Only persons with at least three years of teaching or research experience should be appointed as reviewers; in special cases the Doctoral Committee may allow exceptions. As a rule, the first reviewer is the person who acted as the main supervisor for the doctoral project in accordance with Section 5(2); however, reviewers do not necessarily have to have acted as supervisors.

- (2) At least one reviewer must be a university professor in accordance with 35 HG at the Faculty of Architecture.
- (3) If persons employed at another German or foreign university or research institution in accordance with section 3(2) are appointed as reviewers and have indicated their willingness to act, the management of the other institution shall be informed.
- (4) Within the framework of a cooperation with RWTH, university professors working at a university of applied sciences can also take on the function of a reviewer. Prerequisite for this is proof of an academic qualification, corresponding to the postdoctoral qualification in accordance with Section 36(1), No. 4 HG. The Doctoral Committee determines whether the prerequisites are met. Within the framework of this cooperative supervision, the scope and contents of the appropriate preparatory studies for the doctorate in accordance with Section 67(4) Sentence 1 No. 2 HG are to be determined for the individual doctoral candidate together with the supervisor from the university of applied sciences.

## **Section 5 Thesis**

- (1) The doctoral candidate must submit an independently written scientific paper in German as a thesis. Upon request, the Doctoral Committee may also accept a thesis written in a foreign language. In this case, the Doctoral Committee may request a certified translation which represents the decisive text. The decision on the admission of a dissertation written in a foreign language is made by the Doctoral Committee within the framework of the review of the application for a doctorate in accordance with Section 12. After the oral examination, the Doctoral Committee decides whether the submitted thesis is to be published in the foreign language version or as a German translation.
- (2) A substantial part of the thesis must be related to the academic subjects taught at the Faculty of Architecture and it must be written under the expert supervision of at least one person belonging to the Faculty as defined in Section 4(1) who acts as supervisor. The supervisor is obliged to ensure appropriate academic supervision during the doctoral examination procedure. As a rule, the willingness to assume this obligation is expressed by concluding a supervision agreement in accordance with the template (Annex 3).
- (3) Earlier examination papers and papers that have already been published may not be used as a thesis. Extracts of papers that have already been published are permitted with the agreement of the supervisor and must be reported to the Doctoral Committee in writing.

### Section 5a Cumulative thesis

- (1) Cumulative theses are only permitted with the written consent of the supervisor.
- (2) At least three academic papers must be published in journals with academic quality control (full paper in an academically peer-reviewed publication, double blind peer reviewed) or be verifiably accepted for publication. The individual papers may not substantially overlap or repeat each other.
- (3) At least two of these papers must be written in sole or first authorship. Shared first authorship will be accepted if it is shared with the supervisor. A summary of the respective publications written by the doctoral candidate must be submitted with the papers, highlighting the candidate's own contributions. The contributions made by the doctoral candidate must be confirmed in writing by the supervisor.
- (4) The results presented in the papers must be cumulatively and coherently presented in an overall presentation: It includes an introductory section explaining the questions addressed and the methods used as well as an integrated written analysis of the literature on the chosen topic. These establish a clear reference to the papers and summarise the main results and the discussion of the research.
- (5) The publications must be produced within the time frame agreed in the supervision agreement.
- (6) The publishers must grant their written consent to the inclusion of selected original publications. The underlying papers must be included as an appendix to the overall presentation.

### Section 6 Doctoral examination

- (1) The doctoral examination comprises the examination of the written academic paper (thesis) by the reviewers and an oral examination (disputation) by the Doctoral Examination Committee. If the thesis is accepted and the oral examination is successful, the candidate passes the doctoral examination. The evaluation of the doctoral examination should be completed at the latest six months after the opening of the doctoral examination procedure (according to Section 13). The candidate must be notified of the result in writing within a period of 14 days, including instructions on how to appeal.
- (2) For both parts of the doctoral examination, the following grades, which lie between 0.7 and 4.0, apply:

0.7 – 1.3	very good	outstanding achievement
1.7 – 2.3	good	an achievement which considerably exceeds the average requirements
2.7 – 3.3	satisfactory	an achievement which meets the average requirements
3.7 – 4.0	sufficient	an achievement that meets the requirements despite its shortcomings

When determining the overall grade for the doctoral examination, the thesis is weighted with 2/3 of the overall grade and the oral examination with 1/3; the result is rounded to one decimal place.

The following overall grades apply:

1.0 and better:	"summa cum laude" "with honours"
1.1 to 1.5:	"magna cum laude" "very good"
1.6 to 2.5:	"cum laude" "good"
2.6 to 4.0:	"rite" "passed"

For the overall grade "summa cum laude", the thesis must 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 this case only the German grade descriptions will be used.

- (3) If the thesis was rejected (in accordance with Section 15(3)) or if the oral re-examination (in accordance with Section 16(7)) is also unsuccessful, the candidate will be informed that they have not passed the doctoral examination, stating the reasons.
- (4) If the candidate fails the doctoral examination, the thesis may not be submitted again for the purpose of gaining a doctorate, not even to another faculty.
- (5) A renewed application for a doctorate is only permitted once and not before one year has elapsed after the rejection has been announced in writing. In this case, a new thesis must be submitted.

## **Section 7 Requirements for the completion of the doctoral degree**

The requirements for the completion of the doctoral degree according to these Doctoral Degree Regulations are:

- a) the writing of the thesis,
- b) the completion of the oral examination,
- c) the publication of the thesis.

The doctoral examination procedure can only be concluded by issuing the doctorate certificate (Section 19) once these requirements have been met.

## **II Admission to doctoral studies**

### **Section 8 General admission requirements**

- (1) Admission as a doctoral candidate requires:
  - a) a degree following a relevant academic degree programme with a standard period of study of at least eight semesters, for which a degree other than "Bachelor" is awarded, or

- b) a Master's degree within the meaning of Section 61(2) Sentence 2 HG or
- c) a degree following a relevant academic degree programme with a standard period of study of at least six semesters, followed by appropriate preparatory studies in the doctoral subjects to prepare for doctoral studies

as well as academic performance and achievements which demonstrate suitability for independent academic work within the scope of a doctorate.

- (2) The contents of the preparatory studies for a doctorate in accordance with Subsection 1 Letter c), including the number and type of verifications of these studies, as well as the academic achievements and achievements which demonstrate suitability for independent academic work in the context of a doctorate, shall be determined by the Doctoral Committee in individual cases after hearing the applicant.
- (3) Prerequisite for admission to a doctorate at the Faculty of Architecture is usually a diploma or master's degree from a degree programme which largely corresponds to the Faculty's educational and research profile. Graduates of other degree programmes may be admitted to doctoral studies after written approval by two faculty professors, if the topic of the thesis is of academic interest to the faculty and the applicant can prove that they possess the required knowledge. The Doctoral Committee decides on such exceptional cases; it is checked to examine whether the applicant possesses the required knowledge before deciding whether to accept them as a doctoral candidate.
- (4) In the case of exceptional academic, artistic or practical professional achievements, the Doctoral Committee may admit applicants to the doctoral programme after written approval by two faculty members, with a majority of two thirds of all Doctoral Committee members with voting rights, applying Section 49(11) HG analogously.

### **Section 9 Admission with an international degree**

- (1) A person may also be admitted as a doctoral candidate if they have completed a relevant academic degree programme in accordance with Section 8(1)a) outside Germany with a standard period of study of at least eight semesters, including a study-integrated academic dissertation, if the relevant degree
  - a) must, on the basis of intergovernmental agreements, be considered equivalent to corresponding degrees that can be obtained at German universities
  - b) must, on the basis of assessment statements made by the Central Office for Foreign Education at the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder or the German Rectors' Conference, be considered a general qualification for admission to the doctoral study programme,
  - c) must, on the basis of agreements with partner universities outside Germany, be considered by RWTH as equivalent to a corresponding degree that can be obtained at RWTH.
- (2) Supervision by a member of the faculty entitled according to Section 4(1) must be ensured. The willingness to supervise entails the obligation to examine submitted work or publications with regard to the required academic qualification and to inform the Doctoral Committee of the result of the examination. This should – as far as possible – make an additional knowledge assessment unnecessary.



- (3) The Doctoral Committee may impose additional educational requirements on the applicant which are related to the field to which the doctoral project belongs.

### **Section 10** **Admission to the doctoral programme of the** **Center for Doctoral Studies (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. This serves to further the doctoral candidate's academic independence and allow them to acquire academic key qualifications. This can be achieved, for example, through the following measures:
- Structured deepening of 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 (team working skills, leadership skills),
  - Acquisition of international and intercultural competences.
- (2) If external applicants (e.g. applicants from external companies) can prove that they already have these key qualifications due to their educational background, the Doctoral Committee may exempt them from participation in the CDS.
- (3) Prerequisite for participation in the CDS doctoral programme is the admission to the doctoral programme by the faculty.
- (4) The achievements from the CDS are certified according to Section 19(3) in a doctoral supplement, which is part of the doctorate certificate.

### **Section 11** **Application for admission to doctoral studies**

- (1) An "Antrag auf Zulassung zur Promotion" (application for admission to doctoral studies) must be submitted to the faculty. This application is not the same as the "Antrag auf Eröffnung des Promotionsverfahrens" (application for the opening of the doctoral procedure) to be submitted at a later date in accordance with Section 12.
- (2) The application must be submitted in writing to the Faculty's Doctoral Committee via the Dean's Office. The following must be submitted with the application:
- a) The description of the content objectives of the doctoral thesis,
  - b) A supervision agreement (see annex for a template) between the doctoral candidate and the first supervisor,
  - c) Proof of fulfilled admission requirements according to Sections 8 and 9 including completed additional studies or examinations,
- ffffffffffffffffffff) An overview of the applicant's academic career in tabular form,
- gggggggggggggggggggggg) A declaration in lieu of oath detailing any previous doctoral applications or examination procedures,
- hhhhhhhhhhhhhhhhhhhh) A declaration acknowledging these Doctoral Degree Regulations.

- (3) The Doctoral Committee decides whether to accept or reject the applicant as a doctoral candidate. Acceptance may be subject to conditions relating to the completion of additional studies
- (4) The applicant will be informed in writing whether they have been accepted or not. Rejections must state the reasons for rejection and include information on the right of appeal.

### **Section 11a**

#### **Data collection, processing and transfer**

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

### **III Doctoral examination procedure**

#### **Section 12**

#### **Application for the opening of the doctoral examination procedure**

- (1) The doctoral candidate must submit a written "Application for the Opening of the Doctoral Examination Procedure" (application for a doctorate according to Annex 1) to the Faculty's Doctoral Committee.
- (2) The application must include the title of the thesis, the names of the supervisors and the nominated reviewers.
- (3) The following must be submitted with the application:
  - a) All the certificates and proofs required in accordance with Sections 8 to 11,
  - b) A certificate of good conduct from the Bundeszentralregister (document type o) which is no more than three months old (may be omitted if the applicant is in public or church service),
  - c) An overview of the applicant's life and academic career in tabular form,
    - ffffffffffffffffffff) An overview of academic, artistic or practical professional achievements which go beyond the scope of completed university education,
    - gggggggggggggggggggggg) A copy of any previously published papers,
    - hhhhhhhhhhhhhhhhhhhh) A thesis in four copies, bound and ready for press, and an electronic version,
    - iiiiiiiiiiiiiiiiiii) Four abstracts of the thesis, about two printed pages,

- h) A declaration in lieu of oath stating that the thesis was written independently and that any assistance has been listed in the thesis (for a template, see annex),
  - i) A declaration in lieu of oath stating whether previous applications for a doctorate have already been submitted and with what result, if applicable stating the date, the relevant domestic or foreign university, the faculty and the topic of the thesis,
  - j) A written declaration that the doctoral candidate has taken note of and observed the Principles for Ensuring Good Academic Practice at RWTH Aachen University,
  - k) Confirmation of the completed course to ensure good academic practice at RWTH Aachen University or a corresponding course at another institution. The chair of the Doctoral Committee decides whether to recognise corresponding programmes offered by other institutions or to make possible exceptions.
- (4) If the thesis was written in an institution outside the RWTH, a written declaration must be submitted that the publication of the thesis does not violate existing trade secrets.
- (5) Documents must be submitted as certified copies. Documents not written in German must be enclosed as certified translations on request.

### **Section 13**

#### **Opening of the doctoral examination procedure**

- (1) The Doctoral Committee will open the doctoral examination procedure once the written application with the documents to be submitted in accordance with Section 12 is complete and the reviewers have declared their willingness to write an assessment. As a rule, the examination procedure must be opened within four weeks of receipt of the application.
- (2) If the documents submitted with the application do not meet the requirements, the doctoral examination procedure will not be opened. The chair of the Doctoral Committee must notify the applicant of the rejection in writing without delay, stating the reasons for the rejection, together with instructions on how to appeal.
- (3) Once the examination procedure is opened, the reviewers, the other members of the Doctoral Committee as well as the chair in accordance with Section 3(1) shall be appointed. The applicant will receive written notification of the opening and the appointed reviewers without delay.
- (4) An application for the opening of the doctoral examination procedure submitted to the faculty can be withdrawn in writing within a period of 14 days after the announcement of the opening (according to Section 3).

### **Section 14**

#### **Examination of the thesis**

- (1) The reviewers examine the thesis and submit independent assessments to the faculty within three months if possible. They apply for the acceptance, rejection or revision of the thesis, or refusal to review it because the faculty is not responsible for it, stating the reasons for their proposal. An assessment in favour of accepting the thesis must include a proposed grade (in accordance with Section 6(2); in numbers and German grade description).

If a reviewer (of only two appointed reviewers) is not able to submit an assessment within a maximum of four months, the Doctoral Committee may appoint another reviewer.

- (2) After receipt of the assessments, the Dean will present the thesis and the assessments for comment or, as the case may be, written objections by the professorial staff and members of the faculty council who hold a doctoral degree. The thesis is presented for comments and objections for three weeks during the lecture period and six weeks during the lecture-free period. The period for objection expires at the end of the second working day following the end of this period.
- (3) Two favourable assessments are required for acceptance of the dissertation. If the reviewers unanimously recommend the thesis for acceptance and no objections are raised, the Dean will declare that the thesis has been accepted.
- (4) If the reviewers unanimously recommend that the thesis should be rejected and no objections are raised, the Dean will declare that the thesis has been rejected.
- (5) In the event of contradictory opinions between the reviewers regarding acceptance, or if at least one of the reviewers proposes a revision or rejection, or if an objection is raised within the deadline, the Dean will immediately arrange for the Doctoral Examination Committee to be consulted.
- (6) The Doctoral Examination Committee may propose the involvement of further reviewers as well as the acceptance, rejection or revision of the dissertation or non-consideration. If the recommendation is unanimous, the Dean shall make the necessary determinations. Non-consideration of the thesis in accordance with Subsection 1 does not mean that the thesis has been rejected.
- (7) If a unanimous recommendation cannot be reached, the thesis is submitted to the Doctoral Committee together with the assessments, statements and objections. On the basis of the recommendations, the Doctoral Committee shall immediately make a decision on the acceptance, rejection or revision of the thesis in accordance with Section 15 or on its non-consideration in accordance with Subsection 1.
- (8) The decision on acceptance, rejection, revision or non-consideration is communicated to the doctoral candidate in writing. Adverse decisions must be justified and include information on the right of appeal.

### **Section 15 Revision of the thesis**

- (1) In accordance with Section 14(6) or (7), the Doctoral Examination Committee or the Doctoral Committee may request that the candidate revise the thesis once, setting a deadline. The requirements for the revision must be recorded and the applicant must be informed in writing in the context of the decision. The deadline can only be extended once; if this deadline is exceeded, the Dean will determine that the thesis has been rejected.
- (2) If the revision of the thesis is completed within the set deadline, the thesis will be re-examined in accordance with Section 14. The assessment of the revised thesis should especially consider whether the

specified conditions for the revision under Subsection 1 have been satisfactorily complied with. Section 14(2) to (8) shall apply to the further proceedings. A rejection of the revised version of the thesis is only permissible if the specified conditions have not been satisfactorily complied with or if there are academic objections to sections which have been reformulated or newly inserted into the thesis during the revision process which are so significant that they make it necessary to reject the thesis.

## **Section 16**

### **Oral examination**

- (1) After the thesis has been accepted, the Dean will schedule an oral examination (disputation). The Doctoral Examination Committee will conduct the oral examination in accordance with Subsections 4 and 5, provided that more than half of its members, including the chair and two reviewers, are present.
- (2) The Dean informs the rector's office, the other Deans' offices of the RWTH, the members of the Doctoral Committee, the Doctoral Examination Committee and the doctoral candidate of the time and place of the oral examination at least ten days before the appointed date. The oral examination will also be announced through notices.
- (3) The professors of the Faculty of Architecture have the right to participate in the oral examination as guests; other guests are only admitted to the audience with the consent of the doctoral candidate.
- (4) The oral examination is an individual examination; only the members of the Doctoral Examination Committee are entitled to examine and vote. The oral examination is usually held in German; the examination may only be conducted in a foreign language if all the members of the Doctoral Examination Committee agree.
- (5) The oral examination consists of a half-hour presentation by the doctoral candidate on the topic of the thesis followed by a discussion, which should not significantly exceed a time limit of half an hour.
- (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 set out in Section 6(2). The overall result of the doctoral examination as well as any revision requirements for the thesis are usually communicated to the doctoral candidate after the consultation.
- (7) If the candidate does not pass the oral examination, they can only repeat it once and only with the same faculty. The application for a repeat examination may be submitted after three months at the earliest and must be submitted not later than 18 months after.

## **Section 17**

### **Inspection of the examination file**

After they have completed the oral examination, the doctoral candidate will be granted access to the examination file upon request. The application must be submitted within one month of the announcement of the examination results. The time and place of the inspection is determined by the Dean.

## Section 18 Publication of the thesis

- (1) If the candidate has passed the doctoral examination, they submit the thesis to the Dean for approval of the version intended for publication. The Dean, in agreement with the reviewers, grants this approval after any specified conditions have been fulfilled.
- (2) The Faculty of Architecture is entitled to require the doctoral candidate to
  - add a summary not exceeding one machine-written page or printed page and grant the university the right to publish this summary or offer it to a publisher or database,
  - write the title and summary in two languages (generally in German and English).
- (3) The doctoral candidate is obliged to make their thesis accessible to the academic public in an appropriate manner through duplication and distribution. This is done either
  - a) by submitting 6 deposit copies to the faculty's office and 40 deposit copies to the Central University Library, each in book or photo print; or
  - b) by publication in an academic journal; in this case, 6 deposit copies must be submitted to the faculty office and 15 deposit copies to the Central University Library; in addition, it must be stated on the back of the title page, for example, the journal in which the thesis was published (indicating the publisher and place of publication); all deposit copies must be marked "D 82 (Diss. RWTH University, [year of the oral examination])"; or
  - c) by distribution through bookstores by a commercial publisher with a minimum circulation of 150 copies; in this case, 6 deposit copies must be submitted to the faculty's office and 15 deposit copies to the Central University Library; in addition, it must be stated on the back of the title page, for example, the publishing house where the thesis was published (indicating the publisher and place of publication); all deposit copies must be marked "D 82 (Diss. RWTH University, [year of the oral examination])"; or
  - d) by delivering an electronic version to the Central University Library, the data format and transfer of which must be agreed with the Central University Library, together with a deposit copy. A further 6 deposit copies must be submitted to the faculty office. A summary in German and English is required for publication. The doctoral candidate transfers the right to publish the electronic version in data networks to the Central University Library, the DNB (Deutsche Nationalbibliothek) in Frankfurt/Leipzig and, if applicable, to the DFG Special Collection Library and assures that the electronic version corresponds to the accepted thesis. The Central University Library checks the submitted version for readability and compliance with the required specifications. The submission of files that do not comply with the required specifications regarding file format and transfer will not be considered a publication.

All deposit copies that are to be submitted must have a special title page indicating the name; an academic profile or curriculum vitae may be attached. They must

be printed on non-ageing, wood and acid-free paper and be permanently bound. They must also be technically perfect. If copies do not meet these requirements, they shall be rejected. A thesis rejected in this way is considered unpublished; the doctorate certificate will not be awarded.

- (4) The thesis must be published at the latest one year after the oral examination. In justified exceptional cases, the Dean may extend the deadline. If the candidate fails to meet the deadline, all rights that were gained during the examination procedure will be lost.

### **Section 18a Cotutelle**

- (1) The prerequisite for a doctoral procedure jointly supervised with a foreign university (partner university) is the conclusion of an individual cooperation agreement for the implementation and supervision of the doctoral project as well as for the assessment and evaluation of the doctoral examination performance.
- (2) The individual cooperation agreement may stipulate that the Doctoral Committee is to be formed in equal parts by the participating universities.
- (3) Upon successful completion of the doctoral examination procedure, the Faculty of Architecture shall award an academic title in accordance with Section 1(1) and the partner university shall award an academic title in accordance with its own regulations. These academic titles may only be used alternatively.

### **Section 19 Doctorate certificate and doctorate supplement**

- (1) Following publication of the thesis, a doctorate certificate is issued and signed by the Rector and Dean. The doctorate certificate will bear the date of submission of the deposit copies to the Central University Library. The reviewers who have recommended the acceptance of the thesis should be named in the doctorate certificate. The doctoral examination procedure is concluded by the issuance of the doctorate certificate. Upon receipt of the doctorate certificate, the doctoral candidate has the right to use the title doctor.
- (2) If the doctoral examination procedure was conducted in the form of joint supervision and assessment of the thesis by German and foreign university professors, then two certificates must be issued. The contents of these certificates should be worded in such a way that they form one single certificate. The contents concern the awarding of an academic title.
- (3) Participation in the doctoral programme and the achievements obtained in the programme are certified by a doctorate supplement from the RWTH Center for Doctoral Studies.

## IV Final provisions

### Section 20 Honorary doctorate and renewal of the doctorate certificate

- (1) At the request of the Faculty of Architecture, the Senate may confer the honorary degree and title of Doctor of Engineering Sciences on persons who demonstrate outstanding personal, scientific, technical or artistic achievements in a field cultivated by the university. They may not be a member or associate of the RWTH.
- (2) The faculty may only submit applications for honorary doctorates for those doctorates which it has the right to confer. When preparing the application, the faculty should obtain at least two external assessments. The application requires the support of two thirds of the members of the Doctoral Committee. The faculty council decides on the application to the Senate.
- (3) The Rector confers the honorary doctorate by presenting the doctorate certificate in which the achievements of the doctoral candidate are acknowledged.
- (4) Persons holding a doctoral degree from the RWTH who have distinguished themselves through their academic or professional activities may be honoured by a renewal of their doctoral degree after 25 or 50 years or on exceptional occasions. The decision to award this honour is made by the Faculty of Doctoral Studies in the field of architecture.

### Section 21 Revocation of the doctorate

- (1) The doctorate can be revoked if;
  - a) it subsequently turns out that it was obtained on the basis of incorrect statements concerning essential requirements for admission to the doctoral studies,
  - b) it subsequently turns out that it was obtained by means of deception in connection with the accomplishments during the doctoral studies,
  - c) academic misconduct has been established in connection with the thesis, or
  - 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 which may justify the revocation of the doctoral degree according to Subsection 1, the person holding the doctoral degree must be heard before a decision is made by the Doctoral Committee. In the event of an oral hearing, minutes of the hearing shall be taken.
- (3) The Doctoral Committee will inform the person concerned in writing of any adverse decisions, stating the reasons for the decision, together with instructions on how to appeal.



- (4) RWTH Aachen will communicate the invalidity of accomplishments during the doctoral studies or the revoking of the title doctor to all German universities.
- (5) The provisions of Subsections 2 to 4 shall apply analogously to the revocation of the degree and title of an honorary doctor.
- (6) Following a decision in accordance with Subsection 1, the doctorate certificate must be confiscated or otherwise invalidated.

**Section 22**  
**Entry into force and transitional**  
**provisions**

- (1) These Doctoral Degree Regulations will be published in the Official Announcements of the RWTH and enter into force on the day after publication.
- (2) Doctoral candidates who have submitted their application for admission to the doctoral examination procedure in accordance with Section 11 before the start of the winter semester 2021/2022 are exempt from the obligation to submit confirmation under Section 12(3) Letter k).

Issued on the basis of the decision of the Faculty Council of 21/10/2020.

It is pointed out that, in accordance with Section 12, section 5 of the Higher Education Act of the State of North Rhine-Westphalia (Hochschulgesetz - HG NRW), no claims may be asserted after one year has elapsed since this announcement that procedural or formal requirements of the regulatory or other autonomous law of the university have been violated, unless

- 1) the Regulations have not been properly announced,
- 2) the Rector's has contested the decision of the committee adopting the Regulations,
- 3) the defect of form or procedure has been notified to the university in advance, specifying the infringed legal provision and the fact which gives rise to the defect, or
- 4) no reference was made to the legal consequences of the exclusion of complaints when the Regulations were published.

The Rector  
of the Rheinisch-Westfälischen  
Technischen Hochschule Aachen

Aachen, 16/11/2020

signed. Ruediger  
Prof. Dr. rer. nat. Dr. h. c. mult. U. Ruediger

**Annexes:**

- 1) Template application for a doctorate (pursuant to Section 12)
- 2) Template thesis title page
- 3) Template supervision agreement
- 4) Template declaration in lieu of oath

Annex 1: Template application for a doctorate (pursuant to Section 12)

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

To the Dean of the Faculty of Architecture Schinkelstraße 1  
52062 Aachen

Submission of the application for a doctorate

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

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

I declare in lieu of oath that I am submitting this thesis for the first time and that I have not submitted any previous applications to obtain a doctoral degree.  
(If otherwise: date, university/college, faculty and subject of the thesis)

I declare in lieu of oath that I have written this thesis on my own and have listed all the assistance I have received.

I declare that the publication of my thesis as an RWTH thesis does not violate any existing intellectual property rights – especially copyrights.

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

\* Delete as applicable

Professors of the Faculty of Architecture are entitled to attend the oral examination as guests; other guests are only admitted to the audience with the consent of the doctoral candidate

Annex 2: Template thesis title page

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

" ..... " (Title of the thesis)

Thesis submitted to the Faculty of Architecture at the Rheinisch-Westfälischen Technischen Hochschule Aachen for the award of the academic title of Doctor of Engineering Sciences

submitted by

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

from ..... (place of birth, if necessary, additional information about the geographical location of the place of birth)

2. When submitting the prescribed deposit copies (in accordance with Section 18 Doctoral Degree Regulations):

" ..... " (Title of the thesis)

Thesis approved by the Faculty of Architecture of the Rheinisch-Westfälische Technische Hochschule Aachen to obtain the academic title of Doctor of Engineering Sciences

submitted by

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

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

University Professor .....

University Professor .....

Date of the oral examination: .....

For electronic publication only: "This thesis is available online on the Central University Library website."

## Annex 3: Template Supervision Agreement

**Supervision agreement**

The RWTH is a centre of excellent scientific research and sees it as its duty to promote the development of qualified young researchers by integrating them through a doctorate, and to allow young researchers to participate in the scientific environment. The goal is a trustful cooperation between supervisor and doctoral student at a high scientific level. The aim is a trustful cooperation between supervisor and doctoral student at a high academic standard. The basis of the agreement is the Doctoral Degree Regulations of the Faculty of Architecture and the Principles for Ensuring Good Academic Practice of the RWTH as amended.

The Supervision Agreement does not confer a legal right to a doctorate, but regulates the rights and obligations of the doctoral candidate and supervisor. It is only effective if the doctoral candidate has been admitted to the doctorate by the Faculty's Doctoral Committee.

Between

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

(doctoral student), (first supervisor), (second supervisor), (optional, if already appointed at the beginning of the supervision)

the following arrangements shall be made:

1. Subject area of the thesis

The doctoral student is writing a thesis as an independent academic paper in the field of "[.....]".

2. Objectives and work plan

The Supervision Agreement is valid from ..... to .....

The aim of the doctorate is independent academic research on a topic in the above-mentioned field with recognisably independent research contributions.

The doctoral project usually comprises the following phases:

- Familiarisation phase to review the literature and acquire the necessary skills
- Consolidation phase for independent identification of unresearched but achievable specific research goals for the doctorate and for individual research contributions
- Development and publication phase (e.g. targeted publication of own contributions and presentation at conferences)
- Final phase for the final writing of the thesis and defence. The phases overlap to a large extent, their duration depends on the skills and time commitment of the doctoral candidate. The Supervision Agreement is valid for the above-mentioned period at most, unless it is extended by mutual agreement. Special features of the faculties regarding the duration, specification and objectives of the individual phases can be regulated in an annex to the Supervision Agreement.

### 3. Supervision of the thesis

#### a. Obligations of the first supervisor

- (1) The first supervisor advises the doctoral candidate in the independent development of the thesis, in particular by
  - introducing the doctoral candidate to the subject area and the relevant scientific environment
  - offering advice on the procurement of technical literature and research material,
  - making recommendations for the formulation and limitation of the topic and problem,
  - discussing and evaluating hypotheses and methods,
  - discussing results and their evaluation,
  - encouraging participation in academic conferences according to the financial means available,
  - enabling practical experience where appropriate,
  - meeting regularly, but at least every six months, with the doctoral candidate for a detailed discussion,
  - assisting with the arrangement and presentation (structure, language) of the dissertation in an advisory capacity, with the aim of prompt completion.
- (2) The special concerns regarding the compatibility of family and doctorate must be taken into account.
- (3) The first supervisor advises the doctoral candidate in terms of interdisciplinary qualification and personal development and supports the student with regard to the rapid progress of the doctorate.
- (4) If a second supervisor is appointed, the duties of the first and second supervisor can be performed jointly.

#### b. Duties of the doctoral candidate

- The doctoral candidate undertakes to enable and make use of the supervision mentioned in Subsection 3a) by means of goal-oriented, independent academic work in the doctoral project and continuous contact with the first supervisor.
- Upon request, the doctoral candidate must provide information on the status and progress of the thesis project to the first supervisor, the second supervisor and the Doctoral Committee at any time. The doctoral candidate must also provide information on the implementation of qualification measures.
- At least one publication in a peer-reviewed journal or for proceedings of an international conference with peer review procedures is usually submitted. Theses in the form of a monograph are excluded.

#### 4. Accompanying training programme within the framework of academic further education

- a. As a rule, participation in specialist events (doctoral seminars, special lectures, summer/winter schools, conferences, etc.) is planned for a total of at least 6 semester hours (spread over the entire duration of the doctoral project).
- b. International academic exchange is envisaged. This can be achieved, among other things, in the form of:
  - one or more stays at a research institution or with a researching industrial company abroad or
  - participation in international conferences, or
  - a joint research project with international guests, who can also be invited by a group of doctoral students for a corresponding period of time to RWTH.
- c. participation in at least three one or two-day seminars from the CDS's interdisciplinary range of events is recommended.

#### 5. Workplace and working conditions

If the doctoral thesis is carried out within the framework of an employment relationship at the RWTH or a scholarship, the first supervisor guarantees suitable working conditions.

#### 6. Compliance with the principles of good academic practice

The doctoral candidate and the supervisor undertake to adhere to the Principles for Ensuring Good Academic Practice, published in the Official Notices of the RWTH, No. 2011/004, as amended.

#### 7. Conflicts and termination of the Supervision Agreement

In cases of conflict that cannot be resolved between the parties involved, the first supervisor or the doctoral candidate can call in the ombudsperson of the faculty, who will try to resolve conflicts by mutual agreement.

Furthermore, in cases of conflict, the doctoral candidate can also involve the chair of the group of research assistants for support.

In the event that the doctoral candidate wishes to withdraw from the doctoral project, they may terminate the supervision relationship at any time without giving reasons.

Likewise, the Supervision Agreement can be terminated at any time by mutual agreement if the first supervisor and the doctoral candidate agree that the doctoral candidate is unable to complete the doctoral project.

If there is no amicable assessment in these cases, the first supervisor shall call in the ombudsperson of the faculty. If, after the involvement of the ombudsperson and after an appropriate further processing time, the assessment of the first supervisor remains unchanged, the Supervision Agreement can be terminated with the approval of the Faculty's Doctoral Committee.

In the case of a dissolution of the supervision relationship by the first supervisor, the Faculty's Doctoral Committee will examine whether an alternative, appropriate supervision relationship is possible. The same applies if the first supervisor is called away and wishes to end the supervision relationship for this reason.

Date and signatures

\_\_\_\_\_ (date, doctoral student)

\_\_\_\_\_ (date, first supervisor)

\_\_\_\_\_ (date, second supervisor)  
(optional, if appointed at the beginning of the supervision)



## Annex 4: Template declaration in lieu of oath

**Declaration in lieu of oath**\_\_\_\_\_  
Last name, first name\_\_\_\_\_  
Matriculation number

I hereby declare in lieu of an oath that I have written the present thesis entitled

\_\_\_\_\_  
\_\_\_\_\_  
in/at (chair/institute)\_\_\_\_\_  
under the supervision of

\_\_\_\_\_  
independently and without undue outside assistance. I have not used any other sources and aids than those listed. The written and the electronic form of the paper are identical. Furthermore, I declare in lieu of oath that I have not submitted the thesis in the submitted or any other version to a domestic or foreign faculty as a thesis, term paper, examination paper or for the attainment of an academic degree\*.

\_\_\_\_\_  
Place, date Signature

\*if applicable, previous applications for a doctorate must be listed with their results and the date, the respective domestic or foreign university, the faculty and the topic of the thesis.

Instruction:

Section 156 German Criminal Code (StGB): False declaration in lieu of oath

Whoever falsely makes a declaration in lieu of an oath before an authority which is competent to administer such declarations or falsely testifies whilst referring to such a declaration incurs a penalty of imprisonment for a term not exceeding three years or a fine.

Section 161 StGB: Negligent false oath; negligent false declaration in lieu of oath

- (1) Whoever commits one of the offences referred to in sections 154 to 156 by negligence incurs a penalty of imprisonment for a term not exceeding one year or a fine.
- (2) No penalty is incurred if the offender corrects the false statement in time. The provisions of section 158(2) and (3) apply accordingly.

I acknowledge the above instruction:

\_\_\_\_\_  
Place, date Signature