

Doctoral Regulations of the Department of Spatial Planning at TU Dortmund University

of 6 March 2024

On the basis of Section 2 (4) in conjunction with Section 67 (3) of the Higher Education Act of the State of North Rhine-Westphalia (*Hochschulgesetz NRW*, HG) of 16 September 2014 (GV.NRW. p.547), last amended by Article 2 of the Act of 5 December 2023 (GV. NRW. p. 1278), TU Dortmund University has issued the following regulations:

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Section 1 Right to award doctorates

- (1) TU Dortmund University has the right to award doctorates.
- (2) It awards the degree of Doctor of Engineering Sciences (Dr.-Ing.) or Doctor of Economics and Social Sciences (Dr. rer. pol.) on the basis of a doctorate in the subject of spatial planning in accordance with these Doctoral Regulations. The Department of Spatial Planning is responsible for the doctoral procedure.
- (3) The degree Doctor of Engineering Sciences is awarded if the doctorate is predominantly in engineering, the Doctor rerum politicarum if it is predominantly oriented towards economics or social sciences.
- (4) Upon application by the Department of Spatial Planning, TU Dortmund University may award the honorary doctoral degree Dr.-Ing. / Dr. rer. pol. h.c./e.h. for outstanding academic achievements (Section 25).

Section 2 Purpose of the doctorate

The doctorate demonstrates a special aptitude for independent academic work that goes beyond the general study objective. The qualification is determined based on a written thesis (dissertation) that advances the state of scientific knowledge, an oral examination (disputation) and successful completion of a structured doctoral program as specified by the Department of Spatial Planning.

Section 3 Doctoral Committee

- (1) A Doctoral Committee shall be established to carry out the doctorate and the other tasks assigned to it by these Doctoral Regulations.
- (2) The Doctoral Committee consists of seven members with voting rights, four of whom are university professors, two members from the group of academic staff and one member from the group of students, who should be a doctoral candidate. The Chairperson must belong to the group of university professors. The members of the Doctoral Committee are elected separately by the Department Council on the recommendation of the respective groups. Re-election is permitted. The term of office of the committee members is 2 years, for the student member one year. One representative is elected for each group. The composition of the Doctoral Committee must be announced.
- (3) The Doctoral Committee has the following tasks in particular:
 - determination of the requirements for the doctorate pursuant to Section 4 and decision on admission to the doctorate pursuant to Section 6,
 - opening of the doctoral procedure and appointment of reviewers according to Section 12,
 - appointment of the members of the Examination Board pursuant to Section 13,
 - determination of deadlines and dates,
 - decision on special cases in doctoral procedures,
 - decision on objections,
 - decision on the doctoral degree to be awarded,

- determination of the content and scope of the structured doctoral program.
- (4) The Doctoral Committee ensures that the provisions of the Doctoral Regulations are adhered to. It regularly reports to the Department Council on the development of the doctoral procedures and, if necessary, makes suggestions for amending the Doctoral Regulations and improving the doctoral procedures.
- (5) The Doctoral Committee can delegate the handling of day-to-day business to the Chairperson. Decisions on appeals and the revocation of admission are made by the Doctoral Committee as a body.
- (6) The members of the Doctoral Committee are obliged to maintain confidentiality.
- (7) The meetings of the Doctoral Committee are not public. The Doctoral Committee is quorate if more than half of the members entitled to vote are present, the majority of whom are members of the group of university professors. The Doctoral Committee decides by simple majority. In the event of a tie, the Chairperson has the casting vote. In the case of decisions concerning examination results, only members from the group of university professors and research assistants with a doctoral degree have the right to vote.
- (8) Minutes must be kept of meetings of the Doctoral Committee.

Section 4 Prerequisite for admission to doctoral studies

- (1) Admission to doctoral studies is granted to candidates with
 - a) a degree with a grade of at least 2.5 after a relevant university degree course with a general standard program duration of at least eight semesters, for which a degree other than "Bachelor" is awarded, or
 - b) a degree with a grade of at least 1.5 after a relevant university degree course with a general standard program duration of at least six semesters and subsequent pre-doctoral studies amounting to 60 credits or
 - c) a degree from a relevant Master's degree program within the meaning of Section 61 (2) sentence 2 North Rhine-Westphalia Higher Education Act (*Hochschulgesetz NRW*, HG NRW) with a grade of at least 2.5.

In justified exceptional cases, the Doctoral Committee may also admit applicants who have not achieved the minimum grade required in sentence 1 lit. a) to c), provided that the supervisor submits a written justification stating that the proven degree in conjunction with additionally acquired relevant scientific knowledge and skills can be regarded as sufficient professional qualification for the planned doctoral project.
- (2) Candidates with a Bachelor's degree according to subsection 1 lit. b) must generally and additionally prove their suitability for a doctorate.
- (3) Relevant within the meaning of subsection 1 is, in particular, a degree in planning science. A degree in engineering, natural sciences, law, economics or social sciences is also considered relevant, provided that the university degree was obtained in a subject that corresponds to the main focus of the planned dissertation and the supervisor submits a written justification stating that the proven degree in conjunction with additionally acquired relevant scientific knowledge and skills can be regarded as sufficient professional qualification for the planned doctoral project. In particular, reference may be made to professional experience, research projects carried out and/or specialist publications. The Doctoral Committee decides. Admission may be

made dependent on proof of participation in a doctoral preparation program of up to 30 credits.

- (4) The exact content and scope of the doctoral preparation program is determined by the Doctoral Committee in consultation with the supervisor.
- (5) Students who have not obtained their degree within the scope of the German Basic Law (*Deutsches Grundgesetz*) may be admitted if the degree has been recognized. The degree will be recognized if there is no significant difference in the skills acquired compared to the achievements that are being replaced. Recognition is granted by the Doctoral Committee upon application by the applicant. In cases of doubt, the Central Office for Foreign Education (*Zentralstelle für ausländisches Bildungswesen, ZAB*) is to be consulted.

Section 5 Application for admission to the doctoral procedure

- (1) The applicant submits his/her application for admission to the doctoral procedure in writing to the Chairperson of the Doctoral Committee. The following must be submitted with the application:
 - specification of the targeted doctoral degree,
 - the topic of the dissertation,
 - an exposé with substantiated information on the research question, the methodological approach and the work plan and schedule,
 - a written confirmation of the willingness to supervise the dissertation by a member of the department who is authorized to supervise doctoral theses in accordance with Section 8,
 - proof of the admission requirements in accordance with Section 4, in particular by submitting final certificates for higher education and submission of the higher education entrance qualification,
 - a curriculum vitae (CV) in tabular form, stating the applicant's academic and professional background,
 - the indication of whether the dissertation is to take the form of a coherent text ("book dissertation") or the publication of at least 3 individual papers/publications ("cumulative dissertation").
- (2) The application must be accompanied by the following declarations:
 - whether the applicant has already applied for a doctoral procedure at TU Dortmund University, or
 - whether he/she was involved in such a procedure and either completed or discontinued it, or
 - whether the applicant has already been admitted to doctoral studies elsewhere and is currently undergoing doctoral studies, or
 - whether the applicant has discontinued or completed such a procedure. In the latter case, the achieved doctoral degree must be stated.

Section 6 Admission to the doctoral procedure

- (1) The Chairperson of the Doctoral Committee checks the application documents in accordance with Section 5 for completeness and fulfillment of the requirements for the doctorate in accordance with Section 4. If the application documents are incomplete, the Doctoral Committee may set the applicant a reasonable deadline for submission. If the application documents are complete, the Chairperson submits the

application to the Doctoral Committee, which shall decide on it.

- (2) The application for approval must be rejected,
 - if the applicant does not fulfill the requirements according to Section 4 or has not submitted the missing documents within the deadline set by the Doctoral Committee,
 - if the subject area of the dissertation is not represented in the department, or
 - if competent supervision of the dissertation is not guaranteed.
- (3) The Doctoral Committee shall inform the applicant in writing of the admission decision. Admission may be subject to conditions/stipulations in the cases of Section 4 (1) lit. b) in conjunction with subsection 2 as well as Section 4 (3). The applicant must be notified of the non-admission, stating the reasons and providing information on legal remedies.
- (4) If admission has been granted subject to conditions in accordance with subsection 3, this can be revoked if the condition has not been fulfilled within the deadline. The applicant must be notified of the revocation, stating the reasons and providing information on legal remedies.

Section 7 Enrollment

All doctoral candidates are obliged to enrol at TU Dortmund University until the completion of the doctoral procedure, i.e. the award of the certificate. Enrolment is a prerequisite for admission to the doctoral procedure. Proof of enrolment must be submitted to the Doctoral Committee no later than three weeks after admission. Sentences 1 to 3 apply accordingly to applicants who are completing pre-doctoral studies.

Section 8 Supervision

- (1) After admission to the doctorate, the Doctoral Committee appoints a university professor or a member of the Department of Spatial Planning with postdoctoral lecture qualification (*Habilitation*) as supervisor of the dissertation at the suggestion of the doctoral candidate. In principle, a professor who has left of the department or has been retired may also be appointed as supervisor up to five years after their departure. If the appointed supervisor changes the university, the Doctoral Committee decides on the continuation of the supervision. In particular, the current status of the doctoral procedure must be taken into account in the decision.
- (2) In agreement with the doctoral candidate, the number of supervisors can be increased to two. The additional supervisor may belong to another Department of TU Dortmund University or another domestic or foreign university. The additional supervisor must be a university professor at a university with the right to award doctorates or a member of a university with postdoctoral lecture qualification (*Habilitation*).
- (3) Exceptionally, a doctorate of the supervisor according to subsection 1 and/or subsection 2 is sufficient if the Department Council has previously determined by resolution that the supervisor has special academic qualifications for supervising the doctorate that go beyond the mere doctorate (special academic qualification).
- (4) In cooperative doctoral procedures with universities of applied sciences (*Fachhochschulen*), university professors of the university of applied sciences are entitled to supervise if they have a postdoctoral lecture qualification (*Habilitation*).

Exceptionally, a doctorate is sufficient if the Department Council has previously determined by resolution that there are special academic qualifications that go beyond the mere doctoral degree.

- (5) It is the task of the supervisor to
 - discuss a timetable for the completion of the dissertation with the doctoral candidate and agree on the structured doctoral degree program,
 - be regularly informed by the doctoral candidate about the progress of his/her project during the preparation of the dissertation,
 - provide the doctoral candidate with expert advice if difficulties arise,
 - comment comprehensively on contributions provided by the doctoral candidate in oral or written form,
 - convey the 'Rules of Good Scientific Practice' (*Regeln guter wissenschaftlicher Praxis*, GWP) at TU Dortmund University to the doctoral candidate and point out the need of compliance with them.
- (6) The doctoral candidate is obliged to report to the supervisor at least twice a year on previous and planned activities.
- (7) The supervisors and the doctoral candidate conclude a written supervision agreement that regulates the rights and obligations of the doctoral candidate and the supervisors and must be signed by them. The supervision agreement must regulate the following aspects in particular:
 - participants (doctoral candidate, supervisors),
 - topic of the dissertation,
 - content-structured time and work plan and its further development,
 - tasks and duties of the doctoral candidate,
 - tasks and duties of the supervisors,
 - mutual commitment to the principles of 'Rules of Good Scientific Practice' (*Regeln guter wissenschaftlicher Praxis*, GWP) and good supervision,
 - regulations in the event of conflicts.
- (8) Within the framework of the doctoral procedure, the special needs of chronically ill doctoral candidates or doctoral candidates with disabilities have to be considered to ensure equal opportunities. With regard to maternity protection, the relevant provisions of the Maternity Protection Act (*Mutterschutzgesetz*, MSchG) apply.

Section 9 Revocation of admission to the doctoral procedure

- (1) The Doctoral Committee may request the doctoral candidate to submit an interim report on the status of his/her dissertation or, in agreement with the supervisor, set a deadline by which the dissertation must be submitted.
- (2) The Doctoral Committee may revoke admission to doctoral studies in agreement with the supervisor at the earliest five years after admission to doctoral studies if there is good cause. Good cause exists in particular if the doctoral candidate has not been in contact with the first supervisor for a period of at least one year. In the event of misuse of the admission, the admission can also be revoked earlier in agreement with the supervisor. Before a decision is made, the doctoral candidate must be given the opportunity to submit a statement. The decision must be communicated to the doctoral candidate in writing, stating the reasons and providing information on legal

remedies.

Section 10 Structured doctoral program

During the doctoral procedure, the doctoral candidate takes part in a structured doctoral degree program. The doctoral candidate must acquire a minimum of 20 credits. The contents of the structured doctoral degree program are determined separately by the Doctoral Committee.

Section 11 Dissertation

- (1) The doctoral candidate must submit an independent scientific thesis in the field of spatial planning that represents an advance in the state of scientific knowledge. The doctoral project should be chosen in such a way that, as a rule, no more than three years are required to complete the dissertation.
- (2) The dissertation must not be or have been the subject of a state or academic examination procedure, in particular a doctoral procedure, in this or a similar form or in part. The submission of final theses as dissertations or parts thereof is not permitted in accordance with sentence 1.
- (3) The dissertation must always be submitted in German and/or English. The Doctoral Committee decides on exceptions upon application by the doctoral candidate in agreement with the supervisor.
- (4) All passages in the dissertation that are taken from other works verbatim, in terms of wording or meaning must be identified. Literature and references are to be summarized in a detailed list of publications.
- (5) The dissertation may take the form of a coherent text ("book dissertation") or the publication of at least three individual works/theses ("cumulative dissertation") if these meet the requirements for a dissertation in their entirety. The content-related coherence of a cumulative dissertation must be expressed in an overall title as well as a connecting text consisting of an introduction and conclusion (jacket text), which interprets, evaluates and discusses the individual theses in a comprehensive manner.
- (6) The publication of partial results of a book dissertation prior to submission of the thesis is permitted if the partial results were compiled for the purpose of writing the dissertation and the doctoral candidate has already been admitted to the doctoral procedure. Results published in advance must be indicated in the dissertation.
- (7) The individual theses of a cumulative dissertation must have the following characteristics:
 - a) article in a scientific journal with peer review or book contribution with scientific quality assurance,
 - b) sole authorship or first authorship (corresponding author) of the doctoral candidate,
 - c) scope of the individual work of at least 15,000 characters each,
 - d) at the time of the application for acceptance of the dissertation in accordance with Section 12, at least one journal article must have been accepted for publication, two further individual works/theses must have been accepted for publication in at least one case and at least one case must have been submitted for publication,
 - e) the publication of individual theses/works should not date back more than five years at the time of the application for acceptance of the dissertation,

f) the articles must have a thematic connection which must be documented in accordance with subsection 5, sentence 2, but must not have any substantial overlaps in content.

Points a), d) and f) must be agreed with the supervisor. If the doctoral candidate according to b) is not the sole author of an article, his/her contribution must be clearly identified, delimitable and assessable. Only the parts written by the doctoral candidate may be included in the assessment of the cumulative dissertation. An article must not have already been part of another dissertation.

Section 12 Application for acceptance and submission of the dissertation

- (1) The doctoral candidate's application for acceptance of the dissertation must be submitted in writing to the Doctoral Committee of the department.
- (2) To be submitted with the application is/are:
 - the dissertation in five bound, typewritten copies and as a pdf file or in a platform-independent document format valid at the according point of time on a suitable data carrier,
 - a summary of the dissertation in both German and English of no more than 500 words each,
 - a written affidavit (*eidesstattliche Versicherung*) stating that the dissertation was written independently and without unauthorized outside help and that all the used resources and aids were listed/noted in the dissertation,
 - a written declaration that the 'Rules of Good Scientific Practice' (*Regeln guter wissenschaftlicher Praxis, GWP*) published in the Official Communications of TU Dortmund University have been observed,
 - a written declaration that the submitted dissertation has not yet been the subject of an academic or state examination procedure in this or a similar form or in parts (this also applies to versions in other languages),
 - proof of successful completion of the structured doctoral degree program signed by the supervisor and
 - a list of pre-publications of partial results.

If the Doctoral Committee appoints an Examination Board with more than four members in accordance with Section 14 (1), the doctoral candidate must submit an additional bound, typewritten copy of the dissertation for each additional committee member.

- (3) A withdrawal from the doctoral procedure has to be submitted to the Doctoral Committee in writing. It is only permissible
 - as long as the dissertation has not been definitively rejected, or
 - after acceptance of the dissertation until the start of the oral examination.In all other cases of withdrawal, the examination is regarded as failed. Section 15 (6) applies accordingly.

Section 13 Opening of the doctoral procedure and appointment of reviewers

- (1) The Doctoral Committee opens the doctoral procedure when a written application for acceptance of the dissertation and the documents to be submitted with it (Section 12) have been received in full.
- (2) With the initiation of the doctoral procedure, the Doctoral Committee appoints at least two reviewers of the dissertation. Suggestions from the doctoral candidate can be considered. The supervisors may be appointed as reviewers. At least one of the

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reviewers must not be a supervisor.

- (3) One of the reviewers must be a university professor or member of the department with postdoctoral lecture qualification (*Habilitation*). He/she may also be a professor of the department who has left the department or has been retired.
- (4) The other reviewer must also be a university professor at a university with the right to award doctorates or a member of a university and have the postdoctoral lecture qualification (*Habilitation*). He or she may also be a professor who has left the department or has been retired from a university with the right to award doctorates.
- (5) Exceptionally, it is sufficient if the reviewer according to subsection 3 or subsection 4 has a doctoral degree when the Department Council has previously determined by resolution the special scientific qualification for participation in the doctoral procedure as going beyond the mere doctorate.
- (6) In cooperative doctoral procedures with universities of applied sciences (*Fachhochschulen*), university professors from the university of applied sciences are entitled to assess the doctorate if they have a postdoctoral lecture qualification (*Habilitation*). Exceptionally, a doctorate is sufficient if the Department Council has previously determined by resolution that the candidate has special academic qualifications for participation in the doctoral procedure that go beyond the mere doctorate.
- (7) The assessment of the dissertation and the oral examination should be completed no later than six months after submission of the dissertation.

Section 14 Examination Board

- (1) The Doctoral Committee appoints an Examination Board and its Chairperson after the doctoral procedure has been initiated. The Examination Board usually consists of the Chairperson and three other members. The supervisor should be a member of the Examination Board, but should not chair it. The Chairperson should be a member of the Department of Spatial Planning. The Examination Board may include external members from universities in Germany and abroad. If the doctorate is supervised jointly with another university, the Examination Board can be expanded.
- (2) The members of the Examination Board must be university professors at a university with the right to award doctorates or members of a university with postdoctoral lecture qualification (*Habilitation*). Exceptionally, a doctorate is sufficient if the Department Council has previously determined that the candidate has special academic qualifications for participation in the doctoral procedure. The reviewers should be members of the Examination Board.
- (3) The doctoral candidate may make suggestions for the composition of the Examination Board. When appointing examiners, the doctoral candidate's suggestions should be followed wherever possible.
- (4) The tasks of the Examination Board are
 - decision on acceptance, revision or rejection of the dissertation,
 - grading of the dissertation,
 - conducting and grading oral examinations,

- determination of the overall result for the doctorate,
 - issuing stipulations/conditions for the form of the dissertation intended for publication, taking into account the suggestions of the reviewers.
- (5) The meetings of the Examination Board are not public. The Examination Board should reach its decision by consensus. If unanimity cannot be achieved, it shall reach a decision by majority vote. In the event of a tie, the vote of the Chairperson counts twice. The Examination Board is only quorate if all members are present. Abstentions and secret ballots are not permitted.
- (6) Minutes must be kept of meetings of the Examination Board.

Section 15 Assessment of the dissertation

- (1) The dissertation is forwarded to the reviewers by the Doctoral Committee. The reviewers generally submit independent, written assessments to the Doctoral Committee no later than three months after submission of the dissertation. In their assessments, the reviewers recommend acceptance, revision or rejection of the dissertation. They may combine their assessment with suggestions for the version of the dissertation intended for publication.
- (2) If they recommend acceptance of the dissertation, they also propose a grade for the dissertation. The grades are
- "with distinction/excellent" (summa cum laude),
 - "very good" (magna cum laude),
 - "good" (cum laude),
 - "passed/satisfactory" (rite).
- (3) If two reviewers have been appointed and they disagree on the acceptance, rejection or revision of the dissertation, or if the grades proposed by the reviewers differ by more than one grade level, the Doctoral Committee may appoint an additional reviewer.
- (4) If the dissertation has to be revised, it will be returned to the doctoral candidate with specific conditions for revision. At the suggestion of the reviewers, the Examination Board sets a reasonable deadline of a maximum of 6 months within which the dissertation must be resubmitted. The deadline can be extended once at the request of the doctoral candidate. Resubmission for revision is only possible once. Upon resubmission, the dissertation must always be submitted to the same reviewers. If the doctoral candidate does not resubmit the thesis within the deadline or does not comply with the imposed conditions, the thesis has to be rejected.
- (5) Once all assessments have been received, the dissertation and the assessments shall be made available for inspection for two weeks in the Dean's Office of the department for the members of the department who are entitled to take examinations. The members entitled to examine may comment in writing on the dissertation and the assessments up to one week after the end of the display period in accordance with sentence 1, provided that they have announced their comments within the display period. The display shall be announced in an appropriate manner within the department.
- (6) The Examination Board decides on the final acceptance or rejection of the dissertation

on the basis of all assessments and any comments. The Chairperson of the Doctoral Committee shall inform the doctoral candidate of any taken decision. The Doctoral Committee shall notify the doctoral candidate of the rejection in writing, stating the reasons and providing information on legal remedies.

Section 16 Oral examination

- (1) After final acceptance of the dissertation, the Doctoral Committee sets a date for the oral examination in consultation with the Examination Board. The oral examination should take place within six months of the final acceptance of the dissertation. The doctoral candidate and the members of the Examination Board must be invited to the oral examination with at least two weeks' notice. The date of the oral examination is announced in an appropriate manner within the department respectively the university.
- (2) The oral examination takes the form of a public disputation with a public presentation lasting a maximum of 30 minutes. It serves to determine whether the doctoral candidate is able to justify the results he/she has developed in the dissertation on the basis of special scientific knowledge and skills, to elaborate on them and to place them in the context of his/her specialist field. The oral examination also covers factual and methodological problems related to the dissertation.
- (3) At the request of the doctoral candidate, the Examination Board may also allow the public to attend the disputation.
- (4) The oral examination usually lasts a total of 90 minutes. It generally takes place in the language in which the dissertation was written. The Examination Board decides on exceptions at the request of the doctoral candidate.
- (5) The oral examination is conducted by the Chairperson of the Examination Board. Minutes are kept of the oral examination and the subsequent deliberations and resolutions of the Examination Board. Only the members of the Examination Board are entitled to take the examination. The university public has the right to speak.
- (6) The oral examination generally takes place on site/in the physical presence of the members of the Examination Board and the doctoral candidate. In agreement with the doctoral candidate, members of the Examination Board may exceptionally take part in the oral examination digitally. The other members of the Examination Board must be informed in advance. The majority of the members of the Examination Board must attend the oral examination in person. A recording of the examination is not permitted.
- (7) If the doctoral candidate fails to attend the oral examination or breaks off the examination, it is regarded as failed unless there is an important reason, which must be reported to the Doctoral Committee immediately in text form and made credible. In the event of illness, a medical certificate must be submitted. If the Doctoral Committee recognizes the reason, it will set a new date for the oral examination in agreement with the Examination Board.

Section 17 Result of the examination

- (1) Immediately after the oral examination, the Examination Board decides in a closed

session on the basis of the available assessments and the performance shown in the oral examination whether

- the doctoral candidate is to be awarded a doctorate,
 - the doctoral candidate has to repeat the oral examination, or
 - the doctorate is rejected after the oral examination has been repeated.
- (2) If the Examination Board decides that the doctoral candidate is to be awarded a doctoral degree, it determines the grade for the dissertation and the grade for the oral examination on the basis of the assessments. Section 15 (2) applies accordingly to the designation of the grades.
- (3) The Examination Board then determines the overall grade for the doctorate. When determining the overall grade, particular weight shall generally be given to the assessment of the dissertation. Section 15 (2) applies accordingly to the designation of the grades.
- (4) The Chairperson of the Examination Board then informs the doctoral candidate, in the presence of the Examination Board, of the assessment of his/her performance and any changes required for the publication of the dissertation.
- (5) The Doctoral Committee shall issue the doctoral candidate with a provisional certificate of the result of the dissertation, the oral examination and the doctorate. In the event of rejection of the doctorate, Section 15 (6) shall apply accordingly.

Section 18 Repetition of the oral examination

- (1) The doctoral candidate may repeat a failed oral examination once - within one year. The date for the repeat examination is determined by the Doctoral Committee in consultation with the Examination Board.
- (2) If the Examination Board has definitively rejected the doctorate after failing the repeat examination, the doctoral procedure is definitively terminated without success. Section 15 (6) applies accordingly.

Section 19 Publication of the dissertation

- (1) After passing the oral examination, the doctoral candidate is obliged to make his/her dissertation accessible to the scientific public in an appropriate manner. If the doctoral candidate has been given stipulations by the Examination Board, the manuscript intended for publication must be submitted to the Chairperson of the Doctoral Committee. The Chairperson, together with the reviewers, shall check whether the conditions imposed by the Examination Board have been fulfilled.
- (2) At TU Dortmund University, the following forms of dissertation publication are possible, each of which involves the submission of three obligatory deposit copies to the University Library free of charge:
- a) free submission of ten copies in book or photo print to the University Library,
 - b) publication by a commercial publisher in printed form with a minimum print run of 150 copies or a contractual guarantee that the dissertation will be available at all times through inclusion in the list of available books and that further copies will be reprinted at short notice if there is a corresponding demand,
 - c) publication in a commercial publishing house in electronic form,
 - d) open access publication under a generally valid license in a commercial publishing house,

- e) publication in a scientific journal,
 - f) delivery of an electronic version produced in accordance with university library guidelines. In this case, the doctoral candidate transfers to the university the right to produce and distribute further copies of the dissertation or to make them available in data networks within the scope of the legal duties of the university library.
- (3) For all forms of publication pursuant to subsection 2,
- a) the copies required for the examination documents of the department must also be submitted free of charge,
 - b) the publication must be identified in an appropriate place as a dissertation of the relevant department, stating the place of dissertation, and
 - c) the three obligatory copies in accordance with subsection 2 must be printed on non-ageing wood and acid-free paper and bound in a durable manner.
- (4) A cumulative dissertation must always be published as a complete work, i. e. as jacket text including the individual works. If individual works/papers have already been published or accepted for publication and the publishers do not permit further publication of the individual works as part of the doctorate, a deviation from sentence 1 may be made. In these cases
- a) four deposit copies must be submitted to the University Library instead of three deposit copies in accordance with subsection 2,
 - b) the deposit copies pursuant to subsection 2 must contain the jacket text including the individual works and
 - c) subsection 2 only concerns the jacket text including the bibliographical details of the individual works. The bibliographical details must be agreed with the university library.
- (5) The dissertation must be published within one year of the oral examination. In justified exceptional cases, the Chairperson of the Doctoral Committee may extend the deadline at the request of the doctoral candidate. If the doctoral candidate fails to meet the stipulated deadline, all rights acquired through the examination expire.

Section 20 Completion of the doctoral examination procedure

- (1) After publication of the dissertation, a doctoral certificate is issued with the date of the successful oral examination. The doctoral certificate must be signed by the Dean and the President.
- (2) The right to use the doctoral degree arises with the award of the doctoral certificate.

Section 21 Doctorate in joint supervision with a department of another university

- (1) The doctoral degree can also be awarded in cooperation with other universities in Germany or abroad. If the doctoral procedure was carried out in cooperation with a university without the right to award doctorates, this can be indicated in the doctoral certificate.
- (2) The implementation of a doctoral procedure with other universities requires the conclusion of a written agreement in which the departments agree to enable a joint

doctorate and regulate the details of the cooperation. The agreement may deviate from the Doctoral Regulations in individual points within the meaning of these regulations. The agreement must be approved by the Department Council before it is signed.

- (3) If the respective valid Doctoral Regulations of the participating departments provide for a structured doctoral program in accordance with Section 10, the departments of the universities shall agree on where the doctoral candidate is to complete this program or which parts of the program of the other university are to be recognized.

Section 22 Declaration of invalidity of results of doctoral studies

- (1) If it becomes apparent before the doctoral certificate is issued that the doctoral candidate has cheated in the procedure or attempted to do so, or that essential requirements for the doctorate have not been met, the Department Council shall declare the doctorate invalid at the request of the Doctoral Committee.
- (2) The doctoral candidate must be given the opportunity to submit a statement before the Department Council makes its decision. The decision must be communicated to the doctoral candidate in writing, stating the reasons and providing information on legal remedies.

Section 23 Withdrawal of the doctoral degree

- (1) The doctoral degree shall be revoked if it is subsequently established that it was obtained by deception or if, in particular due to a false declaration made intentionally or negligently by the doctoral candidate, essential requirements for the award have been erroneously regarded as having been met.
- (2) The Department Council decides on the revocation of the doctoral degree. The person concerned must be given the opportunity to submit a statement before the Department Council makes its decision. The decision must be communicated to the doctoral candidate in writing, stating the reasons and providing information on legal remedies.

Section 24 Appeal against examination decisions, viewing of files

- (1) Appeals may be lodged against decisions of the Doctoral Committee and the Examination Board concerning the assessment of examination results in accordance with the provisions of the Administrative Court Procedures Code (*Verwaltungsgerichtsordnung, VwGO*). The Doctoral Committee decides on appeals against decisions of the Examination Board. The Department Council decides on appeals against decisions of the Doctoral Committee.
- (2) Before the decision on the appeal is made, the doctoral candidate must be given the opportunity to submit a statement. If the appeal is not resolved, a written notice of appeal shall be issued. The notice of appeal must be substantiated and forwarded to the doctoral candidate together with information on legal remedies.
- (3) The right of the doctoral candidate to inspect the examination files is governed by the statutory provisions.

Section 25 Honorary doctorate

- (1) The doctoral degree "honorary" (Dr.-Ing. / Dr. rer. pol. h.c./e.h.) may only be awarded for extraordinary scientific achievements in the field of spatial planning.
- (2) Members of TU Dortmund University cannot be awarded the doctoral degree "honorary". The doctoral degree "honorary" can be awarded to researchers who have not been a member of TU Dortmund University for at least two years.
- (3) To award the doctoral degree "honorary", the department shall set up an Honorary Doctoral Committee whose members are elected by the Department Council. The Honorary Doctoral Committee obtains at least two assessments on the person's academic achievements and submits a proposed resolution to the Department Council on the basis of the assessments. The Department Council then decides to propose to the Rectorate that the doctoral degree be awarded on an honorary basis. Following the proposal of the Department Council, the Rectorate decides on the award of the doctoral degree "honorary".

Section 26 Transitional provisions

- (1) For doctoral candidates who applied for admission before these Doctoral Regulations came into force, the Doctoral Regulations of TU Dortmund University for the Department of Spatial Planning dated 6 August 2013 apply in the version valid at the time of application, unless they apply in writing for the application of these Doctoral Regulations. The request for application of these Doctoral Regulations is irrevocable.
- (2) Procedures that have not yet been completed in accordance with the Doctoral Regulations of TU Dortmund University for the Department of Spatial Planning dated 6 August 2013 can be completed until 31 December 2028. If the procedure is not completed by 31 December 2028, these Doctoral Regulations shall apply to the further doctoral procedure. This does not affect admission as a doctoral candidate.

Section 27 Entry into force

These regulations come into force on the day after publication in the Official Communications of TU Dortmund University. At the same time, the Doctoral Regulations of the Department of Spatial Planning at TU Dortmund University dated 6 August 2013 (AM 12/2018, p.69), last amended by the regulations dated 12 June 2018, cease to apply. Section 26 remains unaffected.

Issued on the basis of the resolutions of the Department Council of the Department of Spatial Planning at TU Dortmund University on 25 October 2023 and 31 January 2024.

Note

Attention is drawn to the fact that, pursuant to Section 12 (5) of the Higher Education Act of the State of North Rhine-Westphalia (*Hochschulgesetz*, HG NRW), a violation of procedural or formal requirements of the university's regulatory or other autonomous law can no longer be asserted after the expiry of one year from the date of this announcement, unless

1. the regulations have not been duly published,

This is a translation of the original German document for explanatory purposes only. For all legal purposes, solely the German version of the document shall be considered binding.

2. the Rectorate has previously objected to the decision of the committee adopting the regulations,
3. the formal or procedural fault has been notified to the university in advance and the violated legal provision and the fact giving rise to the fault have been indicated, or
4. the legal consequence of the exclusion of the right to complain was not pointed out when the regulations were publicly announced.

Dortmund, 6 March 2024

The President
TU Dortmund University

University Professor
Dr. Manfred Bayer