

Translator's Note: Terms which students might need to know in German have been given in the original as well as in translation.

**Second Statute of Amendment  
to the Regulations for the Doctorate  
of the University of Dortmund  
for the School of Spatial Planning  
20th October, 1999**

In accordance with Paragraph 2, Section 4 together with Paragraph 94, Section 4 of the law concerning the Universities of the Federal State North Rhineland-Westphalia (*Universitätsgesetz - UG*), in the version of the publication of 3rd August (GV.NRW. p. 532), last amended by the law of 1st July 1997 (GV.NRW. p. 213), the University of Dortmund has issued the following statute:

**Article 1**

The Regulations for the Doctorate of the University of Dortmund for the School of Spatial Planning of 23rd January, 1984 (GABI.NRW. p. 117) as amended by the statute of 24th June 1991 (GABI.NW p. 268) is amended as follows:

1. Paragraph 17 is amended as follows:

Sections 2 through 4 are replaced by the new wording below:

"(2) The dissertation has been made accessible to the academic community in a suitable manner, when, in addition to the copies required for the files of the Committee for the Doctorate, the author has presented three copies printed on non-aging wood- and acid-free paper and bound in a sturdy, durable binding free of charge to the University library for archiving, and has also ensured the distribution of the dissertation by either:

- a) presenting an additional 40 copies in book or photocopy form;
- b) submitting proof that the dissertation is to be published in a technical journal;
- c) submitting proof of commercial distribution through a commercial publisher with an edition of at least 150 copies (notice of publication as a dissertation, including mention of the institution at which the dissertation was defended, is to stand on the reverse of the title page);
- d) presentation of an original and 150 additional copies in microfiche form; or
- e) presentation of an electronic version, on a storage medium and in a data format which have been approved by the University library.

In the cases of a), d) and e) the author transfers to the University the right to prepare and distribute additional copies of the dissertation, and to make the dissertation available through Inter- and/or intranet, in the context of the University library's mission as laid down by law.

(3) If the dissertation is to be distributed by a commercial publisher, and if a grant towards the costs of publication has been given from public funds, ten additional copies are to be made available to the University library.

(4) If the dissertation is to be published in a technical journal, publication of an abbreviated version which has been approved by the chair of the Committee for the Doctorate is permissible. In the case of a joint research project, publication may take the form of a joint publication with the other participating researchers."

Section 5 is deleted.

## **Article 2**

This statute enters into effect as of 1st October, 1999. It will be published in the Record of the Ministry of Schools and Further Education, Science, and Research (ABl.NRW.)

Prepared on the basis of the resolution of the *Fakultätsrat* (School Council) of the *Fakultät Raumplanung* (School of Spatial Planning) of 19th May, 1999, the resolution of the Senate of the University of Dortmund of 5th August, 1999, and with the approval of the Ministry of Schools and Further Education, Science, and Research of the Federal State of North Rhineland-Westphalia on 10th September, 1999.

Dortmund, 20th October, 1999

The Rector of the University of Dortmund  
University Professor Dr. Albert Klein

Statute of Amendment  
to the Regulations for the Doctorate  
of the University of Dortmund  
for the Department of Spatial Planning  
of 24th June, 1991

The Senate of the University of Dortmund in its 329th session on 25th April 1991 has issued an amendment to the Regulations for the Doctorate of the University of Dortmund for the Department of Spatial Planning of 23rd January, 1984 (GABI.NW. p. 117/ Administrative Newsletter of the University of Dortmund Number 2/84 of April 1984). The Ministry of Science and Research of the Federal State of North Rhineland-Westphalia has approved this amendment in the decree of 12th June, 1991 - I B 2 - 8101/051 - .

The statute of amendment to the Regulations for the Doctorate of the University of Dortmund for the Department of Spatial Planning was published in the Joint Record of the Ministry of Education and the Ministry of Science and Research of the Federal State North Rhineland-Westphalia (GABI.NW. II p. 268). The statute entered into effect on 16th August, 1991.

The statute is announced to the University community below:

**Statute of Amendment  
to the Regulations for the Doctorate  
of the University of Dortmund  
for the Department of Spatial Planning  
of 24th June, 1991**

In accordance with Paragraph 2, Section 4 and Paragraph 94, Section 4 of the law governing institutes of higher education in the Federal State of North Rhineland-Westphalia (*WissHG*) of 20th November 1979 (GV. NW. p. 926), last amended by the law of 15th March, 1988 (GV. NW. p. 144), the University of Dortmund has issued the following statute:

**Article I**

The Regulations for the Doctorate of the University of Dortmund for the Department of Spatial Planning of 23rd January, 1984 (GABI.NW. p. 117) are amended as follows:

1. The words "department" and "departmental assembly" are to be replaced throughout the Regulations for the Doctorate with the words "*Fachbereich* (school)" and "*Fachbereichsrat* (school council)."
2. In Paragraph 3, Section 2 the following footnote is appended to the word "Professor":  
"\* In the interests of the readability of the regulations, the title of an office or person is given in the masculine form here and throughout the following text. Such titles are in fact held by women in the feminine form and by men in the masculine form."
3. Paragraph 17, Section 2, Sentence 1 is amended as follows:

a) in subsection "a)" the number "150" is replaced by the number "100."

b) in subsection "c)" the following passage is added:

"and notice of publication as a dissertation, including mention of the institution at which the dissertation was defended, stands on the reverse of the title page."

c) in subsection "d)" the number "150" is replaced by the number "50."

4. Paragraph 20 is amended to read as follows:

**"Paragraph 20: Revocation of the Doctorate**

The doctorate is revoked if it later becomes evident that it was obtained through academic fraud, or that essential requirements for the conferral of a doctorate were mistakenly believed to have been fulfilled. The school council is responsible for the decision to revoke a doctorate."

5. Paragraph 21, Section 3 is amended to read as follows:

"(3) Conferral of the honorary doctorate requires not only the majority of votes of all members of the school council who are entitled to vote, but also the majority of votes of all school council members who represent the professors' caucus."

## **Article II**

This statute enters into effect on the day after its publication in the Joint Record of the Ministry of Education and the Ministry of Science and Research of the Federal State North Rhineland-Westphalia (GABI.NW.).

Prepared on the basis of the resolutions of the school council of the School of Spatial Planning of 14th December, 1988 and 18th January, 1989, the resolution of the Senate of the University of Dortmund of 25th April, 1991, and with the approval of the Ministry of Science and Research of the Federal State of North Rhineland-Westphalia on 12th June, 1991 -I B 2 - 8101/051.

Dortmund, 24th June, 1991

The Rector of the University of Dortmund  
University Professor Dr. D. Müller-Böling

Regulations for the Doctorate  
University of Dortmund  
Department of Spatial Planning

23rd January, 1984

The Senate of the University of Dortmund in its 240th session on 15th December, 1983 has laid down the Regulations for the Doctorate for the Department of Spatial Planning, which have been approved by the Minister of Science and Research of the Federal State North Rhineland-Westphalia in the decree of 30th December, 1983, File Number I B 2 - 8101/051 - in accordance with Paragraphs 108, Section 1, Sentence 1 and 94, Section 4 of the *WissHG* (the law governing institutes of higher education), and published in the Joint Record of the Ministry of Education and the Ministry of Science and Research of the Federal State North Rhineland-Westphalia (GABI.NW. NR. 3/1984, p.117 forward).

The Regulations for the Doctorate for the Department of Spatial Planning entered into effect on 16th March, 1984.

Regulations for the Doctorate  
University of Dortmund  
Department of Spatial Planning  
23rd January, 1984

In accordance with Paragraph 2, Section 4 and Paragraph 94, Section 4 of the law governing institutes of higher education in the Federal State of North Rhineland-Westphalia (*WissHG*) of 20th November 1979 (GV. NW. p. 926), last amended by the law of 17th May 1983 (GV. NW. p. 165), the University of Dortmund has issued the following Regulations for the Doctorate as Statute:

### Contents

- 1 Entitlement to Confer the Doctorate
- 2 Goal of Doctoral Study
- 3 Committee for the Doctorate
- 4 Requirements for Admission as a Doctoral Candidate
- 5 Application for Admission as a Doctoral Candidate
- 6 Admission as a Doctoral Candidate
- 7 Advisors and Advising
- 8 Candidacy without Advisor
- 9 Submission of the Dissertation
- 10 Readers
- 11 Examination Committee
- 12 Oral Examination
- 13 Examination Results

- 14 Repetition of the Oral Examination
- 15 Revocation of Candidacy and Withdrawal from Candidacy
- 16 Right of Appeal
- 17 Publication of the Dissertation
- 18 Conferral of the Doctorate
- 19 Declaration of Invalidity
- 20 Revocation of the Doctorate
- 21 Honorary Doctorates
- 22 Transitional Provisions
- 23 Entry into Effect

### **Paragraph 1: Entitlement to Confer the Doctorate**

(1) The University of Dortmund is accredited to confer the doctorate.

(2) The University confers the degree of

-- *Doktor-Ingenieur (Dr.-Ing)* (Doctor of Engineering)

or

-- *Doktor rerum politicarum (Dr. rer. pol.)* (Doctor of Political Science)

in accordance with these regulations.

The *Abteilung Raumplanung* (Department of Spatial Planning) is responsible for carrying out the process leading to the conferral of these degrees.

(3) The degree of Doctor of Engineering will be conferred when the dissertation exhibits a predominately technical or engineering orientation, the degree of Doctor of Political Science, when the dissertation exhibits a predominately economic or social sciences orientation.

(4) In recognition of outstanding scholarly or technical achievement, the *Doktorgrad ehrenhalber (Dr.-Ing or Dr. rer. pol. h c)* (Honorary Doctorate) may be awarded.

### **Paragraph 2: Goal of Doctoral Study**

The doctoral candidate shall demonstrate competence to do independent scholarly work, also extending beyond the general theme of the dissertation. This competence shall be evaluated on the basis of a written work of scholarly significance (the dissertation) and an oral examination.

### **Paragraph 3: Committee for the Doctorate**

(1) A committee will be formed to carry out the process leading to conferral of the doctorate, as well as other tasks assigned in these regulations.

(2) The *Promotionsausschuß* (Committee for the Doctorate) shall consist of four professors, among them the *Vorsitzende* (chair) and *stellvertretender Vorsitzende* (vice-chair), two

*wissenschaftliche Mitarbeiter* (members of the academic staff), at least one of whom must have a doctorate, and one student, who must have completed the *Grundstudium* (first two years of university, including intermediate examinations).

The chair and vice-chair, as well as the other members of the Committee for the Doctorate, are elected by the *Abteilungsversammlung* (departmental assembly). At the same time one professor, one member of the academic staff with a doctorate, and one student with completed *Grundstudium* are elected as *Vertreter für den Verhinderungsfall* (substitute members). The term of office for the student member of the Committee for the Doctorate is one year, and for the other members three years. Election to multiple terms of office is permissible. The composition of the Committee for the Doctorate is to be announced to the public. The substitute members have the right to participate in and obtain information about the committee meetings.

(3) The Committee for the Doctorate has in particular the following duties:

1. establishment of the requirements for admission as a doctoral candidate (see **Paragraph 4**), or special conditions for admission or acceptable alternative qualifications;
2. appointment of readers (see **Paragraph 10**) and advisors (see **Paragraph 7**);
3. appointment of the examination committee (see **Paragraph 11**);
4. adjudication of appeals (see **Paragraph 16**); and
5. determination of the type of degree to be conferred (see **Paragraph 1**).

(4) The members of the Committee for the Doctorate have the right to participate in oral examinations.

(5) Only committee members who are professors or members of the academic staff with doctorates are entitled to vote in decisions involving the evaluation of examination results.

(6) The Committee for the Doctorate ensures that the provisions of the Regulations for the Doctorate are met. It reports regularly to the department concerning the development of the doctoral program, and suggests to it possible changes in the Regulations for the Doctorate.

(7) The members of the Committee for the Doctorate are obliged to maintain confidentiality in all committee business; members who are not civil servants are to sign a confidentiality agreement with the chair of the Committee for the Doctorate.

(8) Meetings of the Committee for the Doctorate are not open to the public. Furthermore, Paragraph 28, Section 4, Sentence 2 of the *WissHG* applies.

(9) More than half of those members of the Committee for the Doctorate who are entitled to vote in the decision in question shall constitute a quorum. Votes are decided by a simple majority. In case of a tie, the committee chair casts the deciding vote.

(10) The Committee for the Doctorate shall delegate the disposal of routine business to the chair. The committee as a whole adjudicates appeals.

#### **Paragraph 4: Requirements for Admission as a Doctoral Candidate**

(1) Applicants who provide evidence of the following qualifications will be admitted as doctoral candidates:

(a) a professional degree or other terminal degree examination, at the conclusion of a course of study in spatial planning which normally extends over eight semesters at an institute of higher education, or

(b) a professional degree or other terminal degree examination, at the conclusion of a course of study in spatial planning which normally extends over six semesters at an institute of higher education, followed by additional study in spatial planning which is adequate as preparation for doctoral study, or

(c) a degree from a technical college, followed by a supplementary course of study in spatial planning as defined in Paragraph 87, Section 4 of the *WissHG* (at present unavailable).

(2) Degrees in courses of study which include the essential subject matter of a course of study in spatial planning, and allow for a substantial course credit equivalency as defined in Paragraph 90, Section 5 of the *WissHG*, also fulfill the degree requirement as set forth in Section 1 of this Paragraph, if the other admission requirements are met. In such cases, applicants must demonstrate to the Committee for the Doctorate a primary focus on questions of spatial planning in their previous work. The Committee for the Doctorate then decides whether admission is to be made conditional on the completion of further preparatory study. If less than three of the major subjects designated by the Department of Spatial Planning's *Prüfungsordnung* (Examination Regulations) were covered in the applicant's terminal degree examination (as in Section 1 above), the applicant must take at least three but not more than five *Kenntnisprüfungen* (qualifying examinations) in subjects designated by the Department of Spatial Planning's Examination Regulations. The Committee for the Doctorate decides which subjects are to be examined.

(3) Applicants whose degrees are not from an institution under German jurisdiction must apply to the Committee for the Doctorate for recognition of equivalency. In doubtful cases the *Zentralstelle für ausländisches Bildungswesen* (Central Authority for International Educational Standards) is to be consulted; in addition, the Committee for the Doctorate may require submission of a *Zulassungsarbeit* (application essay or project). Moreover, the sense of **Paragraph 4**, Section 2, Sentences 3 through 5 above applies here as well.

### **Paragraph 5: Application for Doctoral Candidacy**

(1) Applicants are to submit to the chair of the Committee for the Doctorate a written *Antrag auf Zulassung zur Promotion* (application for admission as a *Doktorand* (doctoral candidate)), including the proposed dissertation topic and the intended type of degree.

(2) As a rule, dissertation topics should be chosen which should require no more than two years of work to complete. Empirical projects should also be suitable for completion within at most three years.



(3) If the dissertation is to be completed as part of a joint project involving several candidates, this should be noted in the application for admission. The following additional information, if applicable, is also required:

- name, address, and degree of the participants in the joint project;
- a joint report by the project authors concerning the realization of the project, especially with reference to each of the candidates' individual responsibilities within the work of the group;
- notification of whether other participants in the group project are also applying for doctoral candidacy or *Habilitation* (the German degree taken after the doctorate), with the result that parts of the proposed project will also be used for their dissertation material.

(4) The following documents must accompany the application for admission:

1. the applicant's *Hochschulzugangsberechtigung* (secondary school diploma or proof of preparedness for university study);
2. the applicant's *Abschlußzeugnis* (proof of completion of higher education), as a rule the university diploma (e.g. MA or MS) or state examination;
3. a *curriculum vitae* emphasizing the applicant's academic development.

(5) The application for admission must contain the following declarations:

1. whether the applicant has previously applied to the Department of Spatial Planning at the University of Dortmund for doctoral candidacy, or has previously either completed or withdrawn from a doctoral candidacy in the Department of Spatial Planning at the University of Dortmund;
2. whether the applicant has been accepted as a doctoral candidate or is currently a doctoral candidate at any other institution or in any other department, or has previously withdrawn from or completed such a doctoral candidacy (in the latter case the result of the doctoral examination must be indicated);
3. whether the applicant wishes to admit members of the general public to the oral examination. A withdrawal from a previous doctoral candidacy is sufficient ground for the Committee for the Doctorate to deny an application for admission.

(6) The application for admission shall include a proposal as to the desired dissertation advisor(s) (see **Paragraph 7**). In the case of a candidacy without advisor (see **Paragraph 8**), the applicant may propose desired dissertation readers and examination committee members.

(7) Applicants who will require personnel or material resources or workspace from the department in order to complete their dissertation must include a resources request in their application for admission, including justification for the requested resources and a time plan. The required resources should be as precisely described as possible.

The Committee for the Doctorate immediately submits applications for admission, along with its recommendation for approval or denial, to the departmental assembly of the Department of Spatial Planning, which makes the final decision.

## **Paragraph 6: Admission as a Doctoral Candidate**

(1) The Committee for the Doctorate determines without delay whether applications for admission are complete and whether they fulfill the requirements for admission as set forth in **Paragraph 4** above. In the case of incomplete applications for admission, the Committee for the Doctorate may notify applicants of conditions for their admission.

(2) The Committee for the Doctorate notifies applicants in writing of the approval or denial of their application for admission. If the application is approved, the applicant is also notified, if applicable, of the appointment of advisors (see **Paragraph 7**) or readers and examination committee members (see **Paragraph 8**), and of the approval of requested resources. Notifications of denial are to include the grounds for denial.

(3) An application for admission is to be denied should the applicant fail to submit the requested documents or fail to provide evidence of fulfillment of the requirements for admission (see **Paragraph 4**) within the time limit set by the Committee for the Doctorate.

(4) An application for admission is also to be denied in those cases where the applicant requests an advisor or advisors, but the department is unable to secure advisors whose area of academic competence extends over the proposed dissertation topic. The Committee for the Doctorate may refuse an application for admission if the departmental assembly fails to approve requested resources which are an indispensable requirement for the realization of the dissertation project.

(5) The Committee for the Doctorate must deny the application for admission in accordance with **Paragraph 5** above, if the number of academically qualified readers (see **Paragraph 10**) appropriate to the dissertation topic cannot be found.

### **Paragraph 7: Advisors and Advising**

(1) If the applicant has not already submitted a dissertation with the application for admission as a doctoral candidate, the Committee for the Doctorate appoints a professor or a member of the department with a *Habilitation*, whose academic area of competence extends over the proposed dissertation topic, as a *Betreuer* (dissertation advisor). In agreement with the wishes of the applicant, the number of advisors may be increased to two. The second advisor must also have the above described qualifications.

(2) Whenever possible, advisors shall be appointed in accordance with the applicant's request. Advisors from other departments may only be appointed with the agreement of the applicant. If a professor or a member of the department with a *Habilitation* has suggested the dissertation topic, they are as a rule also appointed as dissertation advisor.

(3) Advising includes as a rule academic and methodological advice to the doctoral candidate. Also included is the supervision of the candidate's progress towards completion and, if applicable, of the use of resources supplied by the department.

(4) It is the Committee for the Doctorate's responsibility to intervene in the case of incompatibility between the advisor and the doctoral candidate. At the request of either the

advisor or the candidate, the committee may institute changes in the candidate's advising arrangements.

### **Paragraph 8: *Promotion ohne Betreuung* (Candidacy without Advisor)**

Applicants may submit an already completed dissertation along with their application for admission as a doctoral candidate. The application for admission should mention, if applicable, persons consulted, facilities used, and institutions which assisted in the preparation of the dissertation. Furthermore, **Paragraphs 4 and 6** above apply.

### **Paragraph 9: Submission of the Dissertation**

(1) The dissertation is to be submitted to the Committee for the Doctorate. The committee determines whether the standards set forth in the following sections have been met, and immediately passes the dissertation on to the readers in accordance with **Paragraph 10** below.

(2) The dissertation must represent the results of independent research. If the dissertation has been prepared as part of a joint research project, **Paragraph 5**, Section 3 above applies.

(3) A dissertation may consist of several constituent articles or projects. These may in exceptional cases have already been published. In such cases the Committee for the Doctorate decides whether the exception is allowable; moreover, Paragraph 28, Section 4, Sentence 2 of the *WissHG* applies. The version of the work which is submitted as the doctoral dissertation must, however, amount to a self-contained, complete treatment of the topic.

(4) The dissertation may not have been previously submitted in all of its essential components as part of a successful doctoral or other degree examination.

(5) The dissertation is as a rule to be written in German. The Committee for the Doctorate may permit the doctoral candidate to submit a dissertation written in a different language.

### **Paragraph 10: Readers**

(1) After the dissertation has been submitted, the Committee for the Doctorate appoints two *Gutachter* (readers), one of whom is to be an advisor, in the case of a candidacy with advisor(s) (see **Paragraph 7**).

(2) During their candidacy, until their dissertation has been submitted, doctoral candidates may propose desired readers. When possible, at least one of the two readers is to be appointed in accordance with the candidate's request. In the case of a candidacy without advisor (see **Paragraph 8**), **Paragraph 5**, Section 6, Sentence 2 applies.

(3) Readers must be Professors or scholars with a *Habilitation*. At least one reader must be a member of the Department of Spatial Planning. A reader who is not a member of the department

has, during the doctoral examination process, the same rights as a member of the department. Professors or members of the academic staff with a *Habilitation* who suggest a candidate's dissertation topic or act as dissertation advisor for the candidate, but then leave the employ of the University of Dortmund, are to be further regarded as faculty members with reference to their role in the evaluation of the dissertation and the examination of the candidate.

(4) The readers submit independent, well-grounded evaluations to the Committee for the Doctorate (see **Paragraph 2**) no more than twelve weeks after the submission of the dissertation, and recommend acceptance or rejection of the dissertation. In the former case, they also recommend a grade for the dissertation. Possible grades are: "Satisfactory," "Good," "Very Good," or "Excellent." Furthermore, the readers recommend, with the agreement of the candidate, the type of degree to be conferred. In doubtful cases the Committee for the Doctorate makes the final decision. It is the responsibility of the Committee for the Doctorate to ensure that the above-mentioned twelve-week deadline is met. The Committee for the Doctorate immediately passes the evaluations and recommendations on to the examination committee (see **Paragraph 11**) and the candidate.

(5) If the readers are unable to agree whether the dissertation should be accepted or rejected, the Committee for the Doctorate is consulted. If necessary, the committee appoints an additional reader.

(6) Dissertations which are recommended for acceptance are posted for ten days following submission of the evaluations in the *Dekanat* (office of the dean) of the Department of Spatial Planning, for review by members of the University of Dortmund who are engaged in research and teaching. All Departments of the University are notified of this posting for review.

(7) If no objections are raised, the dissertation is then accepted. If a well-grounded objection is raised against acceptance of the dissertation within three days after the end of the ten-day review period (see section 6 above), the objection is considered by the Committee for the Doctorate in the presence of the candidate and, if appropriate, of the readers.

(8) Dissertations which are rejected are retained, together with all evaluations, in the files of the Committee for the Doctorate.

### **Paragraph 11: Examination Committee**

(1) The Committee for the Doctorate appoints the examination committee in a timely fashion before receiving the evaluations and also selects the chair of the examination committee. The examination committee is comprised of at least two readers (see **Paragraph 10**) and, normally, one additional examiner, who is either a professor or a member of the academic staff with a doctorate. If two additional examiners are appointed, one of them must be a professor.

(2) Duties of the examination committee:

1. carrying out the oral examination (see **Paragraph 12**);
2. determination of the results of the examination (see **Paragraph 13**); and

3. if necessary, determination of revisions required before the dissertation may be published (see **Paragraph 17**).

(3) The examination committee shall reach its decisions unanimously. If no consensus can be reached, the vote of the majority rules. The examination committee can only act when all of its members are present. In case of a tie the chair casts the deciding vote.

### **Paragraph 12: Oral Examination**

(1) The oral examination is a disputation in the course of which the dissertation is explained and defended in a scholarly discourse with the examination committee (see **Paragraph 11**). In the case of dissertations which represent the results of a joint project by more than one candidate, the oral examination is disputed by all of the candidates as a group.

(2) After acceptance of the dissertation, the Committee for the Doctorate sets a date for the oral examination, which must take place no later than three months after submission of the evaluations. Only the members of the examination committee are entitled to pose questions for the oral examination.

(3) The oral examination begins with a short presentation of the dissertation by the candidate, which should not exceed 30 minutes in length. In the case of dissertations which represent the results of a joint project by more than one candidate, each of the candidates involved makes a short presentation. The scholarly discourse which follows shall last for one hour.

(4) The oral examination extends beyond the explanation and defense of the dissertation to include technical and methodological problems connected with the dissertation.

(5) The chair of the examination committee directs the oral examination. The essential subjects and results of the examination are to be recorded in the minutes of the examination.

(6) The oral examination is open to all academic members of the department. The scholarly discourse, however, is only open to those students who have at least begun work on their diploma thesis. Members of the general public other than the above-mentioned groups can only be admitted if the candidate has agreed to this in the application for examination.

(7) Candidates who fail to appear at the oral examination or break the examination off prematurely, without a valid reason for doing so, will be refused the doctorate. The Committee for the Doctorate is responsible for the decision in this matter. In the case of dissertations which represent the results of a joint project by more than one candidate, the examination committee may with the agreement of the Committee for the Doctorate conduct the oral examination with the remaining members of the group, as long as they also all agree to this course of action.

### **Paragraph 13: Examination Results**

(1) At the conclusion of the oral examination the examination committee decides, on the basis of the dissertation, the evaluations, and the performance of the candidate in the oral examination, whether a) the doctorate is to be conferred upon the candidate; b) the candidate must repeat the oral examination; or c) the candidate will be refused the doctorate. Refusal of the doctorate is not a possible result of the candidate's first oral examination.

(2) If the examination committee decides that the doctorate is to be conferred upon the candidate, it determines at the same time the cumulative grade, which may be "Satisfactory," "Good," "Very Good," or "Excellent." The grade of "Excellent" may only be granted in the case of exceptional academic achievement.

(3) Finally, the chair of the examination committee announces the results of the examination to the candidate in the presence of the examiners.

#### **Paragraph 14: Repetition of the Oral Examination**

(1) If the oral examination has not been passed, the results are nevertheless announced to the candidate and recorded in the files of the Committee for the Doctorate.

(2) If the examination committee has decided to request a repeat examination, the Committee for the Doctorate schedules a second disputation, which is to occur no sooner than three months but no later than six months after the first oral examination. A second repetition of the disputation is only possible in case of extraordinary circumstances. The Committee for the Doctorate is responsible for the decision in this matter. The candidate may demand the appointment of an additional examiner to the examination committee each time the examination is repeated. The Committee for the Doctorate shall comply with the candidate's request in selecting the additional examiner.

(3) If the examination committee finally refuses the candidate the doctorate, the candidacy is at this point unsuccessfully concluded. The Committee for the Doctorate may accept once only an application for a repeated candidacy (see **Paragraph 5**, Section 5 above).

#### **Paragraph 15: Revocation of Candidacy and Withdrawal from Candidacy**

(1) The Committee for the Doctorate may revoke a candidacy with advisor (see **Paragraph 7**, Section 1), with the agreement of the dissertation advisor(s), if the candidate's efforts to complete the dissertation fall short of a reasonable, necessary minimum. The candidate is to be given a hearing before the Committee for the Doctorate reaches its decision.

(2) A withdrawal from candidacy is to be explained in writing to the Committee for the Doctorate. Withdrawal is only permissible:

1. as long as the dissertation has not been refused;
2. once the dissertation has been submitted, up until the beginning of the oral examination.

## **Paragraph 16: Right of Appeal**

Decisions of the Committee for the Doctorate, the examination committee, or the readers may be appealed, as prescribed by the *Verwaltungsgerichtsordnung (VwGO)* (regulations of the administrative court). The Committee for the Doctorate adjudicates appeals of decisions by the examination committee and the readers. The departmental assembly adjudicates appeals of decisions by the Committee for the Doctorate. A *Widerspruch* (appeal) must be delivered in writing to or taken down in writing at the office of the dean or the chair of the Committee for the Doctorate. Before an appeal can be refused, the candidate must be given a fair hearing.

## **Paragraph 17: Publication of the Dissertation**

(1) Candidates who pass their oral examination are then obliged to make their dissertation accessible to the academic community in a suitable manner through duplication and distribution. The dissertation manuscript in the form intended for publication is to be submitted to the chair of the Committee for the Doctorate. The chair ensures, if applicable, that the revisions required by the examination committee have been made (see **Paragraph 11**, section 4).

(2) The dissertation has been made accessible to the academic community in a suitable manner, when the author has submitted, in addition to the copies required for the files of the Committee for the Doctorate, and available free of charge, either

- a) 150 copies in book or photocopy form for distribution;
- b) 3 copies, if the dissertation is to be published in a technical journal;
- c) 3 copies, if a commercial publisher has undertaken to distribute the dissertation commercially and an edition of at least 150 copies is documented; or
- d) 3 copies in a typeface suited for photocopying together with an original and 150 additional copies in microfiche form.

Additional microfiche copies (in case "d") may only be produced with the explicit permission of the author.

(3) Regardless of the method of duplication chosen, the author must in addition submit for publication to the University library a *Zusammenfassung* (abstract) of the dissertation which is no longer than one page in length, and has been approved by the first reader. If the dissertation is to be distributed by a commercial publisher, and if a grant towards the costs of publication has been given from public funds, a suitable number of copies are to be made available to the University library for circulation.

(4) If the dissertation is to be published in a technical journal, publication of an abbreviated version is permissible. If applicable, publication may take the form of a joint publication with other authors working in the same broad area of research.

(5) Abbreviated versions must be approved by the chair of the examination committee.

### **Paragraph 18: Conferral of the Doctorate**

(1) After all of the candidate's tasks have been completed, including submission of the dissertation copies and the abstract according to **Paragraph 17** Section 3 above, a *Promotionsurkunde* (diploma) is prepared after the model found in the appendix, dated to the date of the oral examination. If the dissertation represents the results of a joint project, this is to be clearly noted in the text of the diploma.

(2) If the dissertation is to appear in a technical journal or series, the chair of the Committee for the Doctorate can at the request of the candidate declare the conditions for issuance of a diploma to be met, when the editors or publisher have confirmed through a legally binding contract the acceptance of the manuscript in the form approved for publication by the examination committee.

(3) Upon receiving the diploma, the candidate is entitled to use the title of Doctor.

### **Paragraph 19: Declaration of Invalidity**

(1) If, before issuance of the diploma, it should become evident that the candidate has committed or attempted to commit academic fraud, or has failed to fulfill the essential requirements of a doctoral candidacy, the dean declares the doctorate invalid on the basis of a resolution by the Committee for the Doctorate.

(2) The candidate is to be given the opportunity to receive a fair hearing.

### **Paragraph 20: Revocation of the Doctorate**

The revocation of a doctorate proceeds as prescribed by law. The departmental assembly is responsible for the decision to revoke a doctorate.

### **Paragraph 21: Honorary Doctorates**

(1) The Honorary Doctorate may only be conferred in recognition of extraordinary scholarly achievement.

(2) Members of the University of Dortmund cannot receive an honorary doctorate, and scholars who have previously been members of the University of Dortmund within the space of a few years should not receive an honorary doctorate.

(3) Conferral of the honorary doctorate requires the unanimous agreement of all members of the departmental assembly who are present as defined in Paragraph 92, Section 1, Sentence 2 of the *WissHG*.



(4) Conferral of the honorary doctorate must occur in every instance by resolution of the Senate.

### **Paragraph 22: Transitional Provisions**

(1) These regulations for the doctorate apply to all applicants who submit an application for admission as a doctoral candidate (see **Paragraph 4**) after these regulations enter into effect.

(2) The Regulations for the Doctorate for the Department of Spatial Planning of the University of Dortmund as amended 18th November, 1975 apply to all applicants who submit an application for admission as a doctoral candidate (see **Paragraph 4**) before these regulations enter into effect.

### **Paragraph 23: Entry into Effect**

These regulations enter into effect, after approval by the Minister of Science and Research of the Federal State North Rhineland-Westphalia, on the day after their publication in the Joint Record of the Ministry of Education and the Ministry of Science and Research of the Federal State North Rhineland-Westphalia.

Issued in accordance with the resolution of the Senate of the University of Dortmund on 15th December, 1983 and with the approval of the Minister of Science and Research of the Federal State North Rhineland-Westphalia on 30th December, 1983 - I B 2-8101/051.

Dortmund, 23rd January, 1984

The Rector of the University of Dortmund  
Professor Dr. P. Velsing

Appendix (model diploma)

The  
**University of Dortmund**  
confers upon  
  
born in  
  
the degree of  
**Doctor of Political Science**                      **Doctor of Engineering**  
Dr. rer. pol.    Dr.-Ing.  
after he/she has demonstrated, during a due and proper course of study  
in the Department of  
**Spatial Planning**

through his/her dissertation

as well as through oral examination, his/her scholarly competence,  
and has thereby received the cumulative grade of

Dortmund, (date)

The Rector

The Dean

Grade scale: Excellent, very good, good, satisfactory