

**Model Regulations
Governing Doctoral Proceedings at the
University of Duisburg-Essen
dated 21 July 2006**

(Verkündungsblatt, Jg. 4, 2006, Nr. 69) *

The Senate of the University of Duisburg-Essen, at a meeting held on 21 July 2006, has approved the following Model Regulations Governing Doctoral Proceedings, which regulations are published herewith.

Table of Contents

Preamble

- § 1 Right to Conduct Doctoral Proceedings and Confer Doctoral Degrees
- § 2 Doctoral Proceedings
- § 3 Entitlement to Participate in Doctoral Proceedings
- § 4 Doctoral Committee
- § 5 Requirements for Admission to Doctoral Proceedings
- § 6 Admission to Doctoral Proceedings
- § 7 Admission to Doctoral Examination
- § 8 Conducting of Doctoral Proceedings
- § 9 Dissertation
- § 10 Dissertation Defence
- § 11 Evaluation of Dissertation and Dissertation Defence
- § 12 Publication of the Doctorate and Conclusion of the Doctoral Proceedings
- § 13 Honorary Doctoral Degrees
- § 14 Termination, Revocation
- § 15 Instructions on Legal Remedies
- § 16 Coming into Force, Interim Provisions

Preamble

The following Model Regulations Governing Doctoral Proceedings are intended as an official request to the faculties to issue regulations governing doctoral proceedings in the faculties and at the University. To establish uniform standards for doctoral degrees, the faculties are called upon to work toward the goal of having one set of regulations for the doctoral degrees to be conferred by the University.

These Model Regulations take account of the general legal framework and the ideas of the Rector's Office on how uniform quality standards can be achieved for the doctoral degrees to be conferred. Passages printed in italics are optional recommendations. The above notwithstanding, the faculties may deviate from these Model Regulations when drawing up their own Regulations Governing Doctoral Proceedings; they may do so, for example, to take account of circumstances specific to the particular faculty. In the interest of raising the quality standard, the faculties are called upon to explain how any such deviations from the Model Regulations will raise the quality standard.

§ 1

**Right to Conduct Doctoral Proceedings
and Confer Doctoral Degrees**

(1) The faculties of the University of Duisburg-Essen have the right to conduct doctoral proceedings. Such proceedings shall be conducted by the faculty to which the dissertation is assigned by virtue of its contents and in which the subject of the dissertation is represented in teaching and research. On the basis of these Regulations, the faculties aa, bb and cc confer the doctoral degree "Dr. xx".

(2) The faculties can also confer the above-named doctoral degree as an honorary degree (§ 13).

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**§ 2
Doctoral Proceedings**

(1) By means of the doctoral proceedings, the qualification to carry out independent scholarly work above and beyond the goal of the general courses of study is demonstrated pursuant to § 81 of the Law on Universities in North-Rhine Westphalia (HG NW).

(2) This qualification is determined on the basis of an impressive piece of scholarly work (dissertation) and an oral examination (doctoral defence).

(3) The publication of partial scholarly results during the preparation of the dissertation is expressly approved.

(4) The doctoral proceedings consist of: (a) admission to the doctoral proceedings, (b) admission to the doctoral examination, (c) the doctoral examination proceedings and (d) the examination.

**§ 3
Entitlement to Participate in Doctoral Proceedings**

The following are entitled to participate in doctoral proceedings: university teachers, associate professors, part-time professors, and assistant professors (*Privatdozenten*) who are members of the University of Duisburg-Essen. This entitlement shall remain in effect, even if a member of one of the above groups leaves the University, for doctoral candidates already admitted to the doctoral proceedings at the time of the member's departure. The Faculty Council can, in individual cases, grant additional persons the entitlement to participate in doctoral proceedings. § 95 Para. 1 Clause 2 of the Law on Universities (HG) applies here.

**§ 4
Doctoral Committee**

(1) Each faculty shall, by means an election in the Faculty Council, set up at least one Doctoral Committee with a term of office of two years. University teachers and members of academic staff shall be represented on the Committee in the ratio of 3:1. In place of a member of academic staff, a postgraduate student enrolled in a doctoral programme can be elected pursuant to § 97 Para. 2 Clause 2 of the Law on Universities (HG). The Chairperson of the Doctoral Committee must be a university teacher working full time at the University of Duisburg-Essen. The Chairperson must possess the qualification stipulated in § 46 Para. 1 No. 4 of the Law on Universities (HG) (additional scholarly achievements). Members of the Committee may be re-elected.

(2) To constitute a quorum, more than half of the members of the Committee must be present. Resolutions shall be passed by a majority vote of the members attending a meeting. In the event of a tie vote, the vote cast by the Chairperson shall be decisive.

(3) During its conducting of the doctoral proceedings, the Doctoral Committee have the following duties:

- a) determining whether the candidate has to complete preparatory courses of study before the initiation of doctoral proceedings and, if necessary, confirming the necessity for, and extent of, such studies in order to enrol the candidate pursuant to the enrolment regulations currently in effect or whether he or she has to complete a research program as part of a doctoral program pursuant to § 97 Para. 2 Clause 2 of the Law on Universities (HG).
- b) determining the equivalency of foreign degrees and examinations (if necessary with assistance from the Central Office for Foreign Educational Systems of the Conference of Ministers of Education)
- c) entering the name of the doctoral candidate in the List of Doctoral Candidates in the faculty and deleting candidates from this list pursuant to the separate provisions made by the faculty for this purpose
- d) confirming the appointment of the doctoral supervisor and the provisional topic of the dissertation
- e) concluding an agreement – to be signed by the dean of the faculty and the other parties to the agreement – concerning the provisions made with respect to the rights and obligations of the faculty, the doctoral supervisor and the doctoral candidate. This agreement shall contain provisions, in particular, for the appointment of an additional university teacher to provide support to the doctoral candidate pursuant to § 6 Para. 4 of these Regulations, the establishment of benchmarks marking stages in the completion of the doctorate, interim evaluations of the progress being made on the dissertation, and the approach to be taken to resolve conflicts (Model Appendix 1)
- f) processing objections and requests to leave the programme
- g) applying to have a doctoral degree revoked or to have the doctoral dissertation and the dissertation defence declared null and void
- h) reporting to the Faculty Council annually on the development of the length and quality of the doctoral proceedings underway in the faculty. At the minimum this report shall include the length of the doctoral proceedings, the time needed to prepare evaluations, and the final marks given.

**§ 5
Requirements for Admission to
Doctoral Proceedings**

(1) To be admitted to doctoral proceedings, an applicant must demonstrate that he or she has completed at least one of the following:

- a) a suitable course of study at a University or art college with a standard period of study of at least eight semesters leading to the conferring of a degree other than a bachelor's

- b) a suitable course of study at a University with a standard period of study of at least six semesters followed by an appropriate course of study preparing for, and in the subjects of, the doctoral programme
- c) a master's degree programme as defined by § 85 Para. 3 Clause 2 of the Law on Universities (HG), i.e. an additional degree program with a standard period of study of at least two semesters leading to a professional qualification. If the degree awarded by this programme was not suitable, the Doctoral Committee shall stipulate appropriate studies preparing for the doctoral programme, the completion of which must be demonstrated by the applicant prior to his or her definitive admission to the doctoral proceedings

(2) Admission to the doctoral proceedings is contingent, in addition, on the demonstration of a qualified degree or additional academic achievements. A degree is deemed qualified if both the overall mark and the mark for the degree thesis are at least "good". Justified exceptions to this rule shall be decided upon by the Doctoral Committee.

(3) After completing the academic studies preparing for the doctoral proceedings, the applicant should be on the same educational level as the applicants described in Para. 1 Items a) and c). The preparatory scholarly studies shall last for maximal four semesters; the contents of such studies shall be specified in each case by the Committee.

The names of doctoral candidates who still have to complete preparatory studies shall be entered provisionally in the List of Doctoral Candidates; the agreement on supervision concluded by the faculty shall apply.

(4) If the doctoral proceedings are carried out in a doctoral programme pursuant to § 97 Para. 2 in conjunction with § 84 Para. 1 Clause 1 of the Law on Universities (HG), the standard period of study and the contents of the studies preparing for the doctoral proceedings shall be derived from the Examination Regulations on which the particular doctoral programme is based.

(5) A course of study is suitable if it includes certain contents to be defined by the faculty in which the dissertation is to be written. The faculty can draw up a list of suitable courses of studies. If the subject of the doctoral proceedings was not one of the major subjects covered by the final examination in the particular course of study, the Doctoral Committee can require the applicant to provide evidence, as part of his or her successful completion of the preparatory studies, that these studies constitute a suitable foundation for the doctoral programme.

(6) Doctoral proceedings may be carried out jointly by the University of Duisburg-Essen and its partner universities. In cases where no prior Framework Agreement has been reached between the cooperating postgraduate research seminars (*Graduiertenkollegen*), an agreement must be concluded in each case between the University of Duisburg-Essen and the particular partner university regulating the most important elements of the doctoral proceedings; this agreement must conform to the pertinent legal bases in the particular case.

§ 6

Admission to Doctoral Proceedings

(1) An application for admission to doctoral proceedings shall be submitted on the earliest possible date. This application shall be submitted in writing to the Chairperson of the Doctoral Committee.

(2) The following shall be attached to the application:

- a) a Curriculum Vitae devoting special attention to the applicant's education
- b) evidence that the applicant satisfies the requirements for admission pursuant to § 5
- c) a university entrance certificate (*Reifezeugnis*) or other certificate or diploma recognized as equivalent to a university entrance certificate by the appropriate authority
- d) a statement as to the provisional subject matter of the planned dissertation
- e) a statement as to whether the applicant has already made an unsuccessful attempt to attain a doctoral degree
- f) a statement by the foreseen supervisor attesting to his or her willingness to supervise the preparation of the dissertation and to continue this supervision even if he or she leaves the University (unless there are important reasons precluding such a continuation).

(3) On the basis of the application and the documents submitted, the Doctoral Committee shall reach a decision concerning the admission of the applicant and the initiation of the doctoral proceedings.

Admission shall be denied under any of the following circumstances:

- a) The application does not fall within the jurisdiction of the faculty.
- b) The applicant has not met the requirements pursuant to § 5.
- c) The applicant has failed to submit all the required documents listed in Para. 2.

Admission may be denied, moreover, if the applicant has already made an unsuccessful attempt to attain a doctoral degree in previous doctoral proceedings.

(4) In accordance with the provisions on the rights and obligations of the faculty, the supervisor and the doctoral candidate, the Doctoral Committee shall appoint an additional person from the group of university teachers to provide support to the doctoral candidate during the doctoral proceedings.

(5) The candidate shall be notified in writing of the decision to accept or reject his or her application for admission. In the event of a rejection, this notice shall include the reasons for the rejection and Instructions on Legal Remedies.

(6) When an applicant is admitted to the doctoral proceedings, his or her name shall be entered in the List of Doctoral Candidates in the faculty.

§ 7

Admission to Doctoral Examination

(1) A written application for admission to the Doctoral Examination shall be submitted to the Chairperson of the Doctoral Committee.

(2) The following shall be attached to this application:

- a) three printed copies of the dissertation. The dissertation can be written in German or English at the discretion of the doctoral candidate. The Doctoral Committee shall decide on justified exceptions to this rule.
- b) a brief summary of the dissertation in the language the doctoral candidate has not selected (i.e. German for English dissertations and English for German dissertations). Justified exceptions to this rule shall be decided on by the Doctoral Committee.
- c) *in cases where a dissertation is prepared as a group project: 1) a report (drawn up by the doctoral candidate in German) describing the sequence of events in the collaboration and stating the intentions of the other members of the group regarding the use of their individual contributions; 2) a written statement by each member consenting to the use of his or her contribution in the doctoral proceedings*
- d) a statement by the doctoral candidate that he or she has written the submitted dissertation himself or herself or (in the case of a group project) statements by the doctoral candidate that only the persons named have participated in the preparation of the dissertation
- e) if the doctoral candidate has previously entered into doctoral proceedings in the subject in question or another subject, a statement as to whether such proceedings were definitively unsuccessful
- f) a statement by the doctoral candidate that he or she has used only the materials listed when preparing the dissertation and has clearly identified all direct or indirect quotations from these materials
- g) a statement by the doctoral candidate that he or she has not submitted this dissertation in any other doctoral proceedings.

(3) On the basis of the application and the materials submitted, the Doctoral Committee shall decide whether to admit the candidate to the examination. Admission shall be denied in any of the following cases:

- a) The candidate has failed to submit all the materials specified in Para. 2.
- b) A previous attempt made by the doctoral candidate to attain a doctorate in the subject in question has been definitively unsuccessful.

Admission may be denied if a previous attempt made by the doctoral candidate to attain a doctorate in another subject has been definitively unsuccessful.

If the Committee decides to admit the candidate, it shall appoint an Examination Committee.

(4) The doctoral candidate shall receive written notification of the acceptance or rejection of his or her application for admission to the examination. If the application has been

rejected, the notice shall be accompanied by the reasons for the rejection and Instructions on Legal Remedies.

(5) The doctoral proceedings shall be completed with the doctoral examination in accordance with Special Examination Regulations if the doctoral proceedings are carried out in a doctoral course of study in accordance with § 97 Para. 2 in conjunction with § 84 Para. 1 Clause 1 of the Law on Universities (HG).

§ 8

Conducting of Doctoral Proceedings

(1) Doctoral proceedings shall be initiated by means of a decision of the Doctoral Committee in accordance with § 6) Para. 3.

(2) Immediately after deciding on the admission of a candidate to the doctoral examination pursuant to § 7) Para. 4 or Para. 5, the Doctoral Committee shall appoint the members of the Examination Committee, which shall consist of a chairperson and in general two examiners (including one external examiner if possible). In exceptional cases, an additional examiner may be appointed – from an external research institution, for example – to the Examination Committee. The Chairperson of the Examination Committee must belong to the faculty of the University of Duisburg-Essen in which the doctoral proceedings are being conducted. One of the examiners must also come from this faculty; § 3 Clause 2 shall apply here.

(3) The majority of the members of the Examination Committee must belong to the group of university teachers. The doctoral candidate may propose a member. All members of the Committee must possess the doctoral degree to be awarded or a corresponding doctoral degree.

(4) The Examination Committee shall decide whether to accept the dissertation on the basis of the examiner's evaluation. It shall also conduct the dissertation defence and decide on the overall mark.

(5) A candidate shall be considered to have definitively failed his or her doctorate if he or she withdraws from the doctoral proceedings without a sound reason. The reasons for withdrawal from the doctoral proceedings must be justified vis-à-vis the Doctoral Committee. § 6 Para. 5 applies here in an analogue manner.

§ 9

Dissertation

(1) The dissertation must represent an independent research achievement and enlarge the scope of scholarly knowledge. The prior publication of the dissertation, or of parts thereof, shall not constitute an obstacle to meeting these two requirements. At least two – but no more than three – examiners shall be asked to evaluate the dissertation; these evaluations shall be prepared independently of each other.

(2) The evaluations shall be received by the Doctoral Committee two months after the initiation of the doctoral examination proceedings at the latest. The date of receipt

shall be recorded in all cases. Should an examiner fail to submit his or her evaluation by this deadline, an extension of one month shall be granted. If the evaluation has still not been received at the end of this period, a new examiner shall be appointed. The evaluations must include a proposed mark pursuant to § 11. If the marks proposed by different examiners differ by more than one grade point, another evaluation shall be solicited. If the majority of the examiners propose the mark "unsatisfactory", the doctoral candidate shall be considered to have failed his or her doctorate. In this case the Chairperson of the Examination Committee shall send the doctoral candidate a notice including the reasons for the failing mark and Instructions on Legal Remedies,

(3) After receiving all the evaluations, the Examination Committee shall notify the doctoral candidate of the results,

(4) After the evaluations have been received, the documents for the doctoral proceedings will be available for inspection by the doctoral candidate, and by the persons entitled to participate in the doctoral proceedings pursuant to § 3, for a period of 2 weeks. The dates of this period will be made known to the doctoral candidate and to all the university teachers. The Chairman of the Doctoral Committee shall ensure that the right to inspect the documents is exercised to an appropriate extent. Any comments on the documents must be submitted to the Examination Committee in writing no later than one week after the end of the inspection period.

(5) The Examination Committee shall reach a decision without delay on the acceptance or rejection of the dissertation on the basis of the evaluations and comments. Should the dissertation be rejected, the Doctoral Committee shall send the doctoral candidate a written notification including the reasons for the rejection and Instructions on Legal Remedies.

§ 10 Dissertation Defence

(1) The dissertation defence will be held without delay after the expiry of the period allowed for comments. The doctoral candidate shall be notified of the date of the dissertation defence at least two weeks in advance by the Chairperson of the Doctoral Committee.

(2) The dissertation defence shall commence with an introductory lecture. In this lecture, which will generally last for 30 minutes, the doctoral candidate should present the results of his or her dissertation and the significance of these results for the field in which the dissertation was written. At the request of the doctoral candidate and with the consent of the Examination Committee, the dissertation defence can be conducted in English. It should serve the purpose of demonstrating the ability of the doctoral candidate to discuss scholarly problems orally. The dissertation defence should start with the dissertation and then, widening its scope, reach into to adjacent subareas of the field and the most recent research. It shall take the form of an examination by one's peers and last for 60 to 90 minutes.

(3) The dissertation defence and the evaluation of the dissertation defence shall be conducted by the members of the Examination Committee. With the consent of the doctoral candidate, the Chairperson can also allow questions by other persons entitled to participate in the dissertation defence.

(4) The introductory lecture shall be open to all members of the University. The following are entitled to attend the subsequent examination by peers; the university teachers in the faculty, the members of the Doctoral Committee, members of academic staff with a Ph.D. title, doctoral candidates entered in the List of Doctoral Candidates in the faculty (provided there are no objections to their attendance by the doctoral candidate being examined). A limit may be placed on the number of people allowed to attend the doctoral defence.

(5) A transcript shall be prepared of the main elements of the dissertation defence. The dissertation defence shall be evaluated pursuant to § 11.

(6) If the doctoral candidate fails to appear on the date of the examination, or terminates the examination without a sound reason, he or she shall be considered to have failed his or her doctorate. If the doctoral candidate can demonstrate good reasons for such non-appearance or termination, a new examination date shall be set. The Doctoral Committee shall be responsible for making decisions in such cases.

(7) A dissertation defence which has received a mark of "unsatisfactory" can be repeated once. The repeat examination must take place within one year. If a candidate fails to pass the repeat examination, he or she shall have definitively failed his or her doctorate.

§ 11

Evaluation of Dissertation and Dissertation Defence

(1) The following overall marks may be awarded to doctoral candidate for their dissertation and dissertation defence:

- with highest honour (*summa cum laude*)
- with great honour (*magna cum laude*)
- with honour (*cum laude*)
- satisfactory (*rite*)
- unsatisfactory (*non rite*).

(2) After taking account of the evaluation of the dissertation, the comments submitted and the dissertation defence, the Examination Committee shall award the overall mark. When deciding on the overall mark, it should place particular importance on the written evaluation of the dissertation. A transcript shall be prepared of the process of deciding on the overall mark.

(3) The Chairperson of the Examination Committee shall notify the doctoral candidate of the results directly after the dissertation defence and shall issue a provisional examination report (Model Appendix 2). Within the next two weeks, the Chairperson of the Doctoral Committee shall send the doctoral candidate written notification and Instructions on Legal Remedies.

§ 12

Publication of the Dissertation and Conclusion of the Doctoral Proceedings

(1) Once the Examination Committee, after evaluating the dissertation and dissertation defence, has decided that the doctoral candidate has passed his or her doctorate, the dissertation must be made available in a suitable manner to a scholarly public in the form accepted by the Examination Committee. Prior to the publication of the dissertation, the Chairperson of the Examination Committee shall verify that the doctoral candidate has met all requirements for revision of his or her dissertation. The doctoral candidate can satisfy this requirement by providing one of the following at his or her own expense:

- a) 40 copies (publication by the author without distribution by the book trade)
- b) 3 copies (publication in a scholarly journal or series of publications or as a monograph distributed by the book trade)
- c) 3 copies (distribution of the dissertation by a commercial publisher with demonstrated printing of at least 150 copies)
- d) 4 bound copies and an electronic version of the dissertation in a data format and on a data medium compatible with the formats and media used by the university library.

In the cases a) and d) above, the doctoral candidate shall simultaneously grant the university library the right to produce additional copies of his or her dissertation and to make them available in data networks. Any questions related to patents or other protected intellectual property rights shall be resolved by mutual agreement between the author and the university library. The publication must contain a note stating that it represents a dissertation submitted by a doctoral candidate to the appropriate faculty of the University of Duisburg-Essen for the purpose of attaining a doctoral title as well as the date of the oral examination and the name of the examiners who evaluated the dissertation.

(2) As a rule publication of the dissertation shall take place within one year. Justified exceptions to this rule shall be decided upon by the Doctoral Committee.

(3) After the doctoral candidate has satisfied all the requirements specified by the Regulations Concerning Doctoral Proceedings, he or she shall be issued a doctoral degree certificate signed by the Dean and the Rector and including the name of the doctoral degree, the title of the dissertation, the overall mark, the name of the faculty (if necessary), the names of the examiners and the date of the oral examination. It is not permitted to use a doctoral title before the doctoral degree certificate is issued.

§ 13

Honorary Doctoral Degrees

(1) Honorary doctoral degrees may be conferred on exceptional individuals in recognition of their outstanding scholarly or artistic achievements and/or non-material contributions to the advancement of scholarship. The

individual to be so honoured may not be a member of the University of Duisburg-Essen but should have ties of a scholarly or artistic nature to the University.

(2) An honorary doctoral degree may be awarded upon the application of a member of the faculty. The Faculty Council shall convene an Examination Committee pursuant to § 8. This committee shall as a rule obtain two external opinions and elaborate a proposal for the Doctoral Committee. The Doctoral Committee shall prepare a report for the Faculty Council.

(3) A resolution to award an honorary doctoral degree shall be passed by a three-quarter majority of all university teachers in the faculty.

(4) The honorary doctoral degree shall be awarded, with the approval of the Senate, in accordance with the currently valid version of the Basic Regulations of the University of Duisburg-Essen, by presenting the person to be honoured with a document signed by and Dean and Rector and citing his or her outstanding accomplishments.

§ 14

Termination, Revocation

(1) If it becomes apparent, before the issuance of the doctoral degree certificate, that the doctoral candidate has been guilty of fraudulent misrepresentation during the initiation of the doctoral proceedings or during the proceedings themselves, the Doctoral Committee can declare the doctoral proceedings null and void.

(2) The doctoral degree can be revoked if it becomes apparent, after the issuance of the doctoral degree certificate, that the degree was obtained by means of fraudulent misrepresentation or other form of scholarly misconduct, or that the doctoral candidate has falsely created the impression of satisfying a major requirement for the attainment of the doctoral degree. The decision to revoke a doctoral degree shall be taken by the extended Faculty Council acting on the recommendation of the Doctoral Committee.

(3) The basic principles established for good scholarly practice at the University of Duisburg-Essen are to be observed here.

§ 15

Instructions on Legal Remedies

Negative decisions made within the framework of doctoral proceedings are to be delivered to the doctoral candidate in the form of written notification including the reasons for the decision and Instructions on Legal Remedies.

Objections to decisions of the Examination Committee must be lodged within one month of the announcement of the decision. The Doctoral Committee shall rule on such objections after hearing the Examination Committee and the doctoral candidate. In the case of objections to decisions of the Examination Committee regarding the written or oral performance of the doctoral in the doctoral dissertation and the doctoral defence, the Doctoral Committee

shall be bound by the opinion delivered by the Examination Committee. Objections to decisions of the Doctoral Committee shall be ruled on by the Faculty Council after hearing the Chairperson of the Doctoral Committee and the doctoral candidate.

§ 16

Coming into Force, Interim Provisions

(1) The Regulations Governing Doctoral Proceedings shall come into force the day after they are published in the Gazette (*Verkündungsblatt*) of the University of Duisburg-Essen.

(2) Doctoral candidates who have submitted their applications for admission to the doctoral proceedings before these Regulations Governing Doctoral Proceedings have come into force can attain their doctorate under the Regulations Governing Doctoral Proceedings currently applicable to them. Doctoral candidates who have been admitted to the doctoral proceedings but have not yet submitted an application for admission to the examination can decide, by no later than 31 December 2006, whether their doctoral proceedings are to be conducted according to the provisions previously in force or to the new Regulations Governing Doctoral Proceedings. After this time the new Regulations Governing Doctoral Proceedings, and only these Regulations, shall apply.

When the new Regulations Governing Doctoral Proceedings come into force, the Regulations Governing Doctoral Proceedings previously in effect shall simultaneously become non-valid. This shall have no effect on § 16 Para. 2.

*

These Model Regulations Governing Doctoral Proceedings are published on the basis of a resolution passed by the Senate on 21 July 2006.

Duisburg and Essen, 17 August 2006

For the Founding Rector
of the University of Duisburg-Essen

The Registrar

p.p.

Eva Lindenberg-Wendler

Appendix 1: Supervision Agreement

Supervision Agreement between the doctoral candidate, the doctoral supervisor and the University

The University of Duisburg-Essen feels an obligation to establish a partnership with its doctoral candidates in which each party is expected to act conscientiously to carry out its respective responsibility for the success of the scholarly work. The expectations placed in the doctoral candidates, and the resulting obligations, are set down in this Supervision Agreement. The University and the university teachers shall meet their obligations and live up to their responsibilities to the fullest extent.

The objectives of this Supervision Agreement are to ensure that the relations between the above parties are characterized by professionalism and to establish rules for avoiding and resolving conflicts. Together with a structured organization of the doctoral proceedings, the Agreement will make it possible to attain a doctoral degree within three years.

Rights of the doctoral candidate

The doctoral candidate can expect to receive scholarly, personal and subject-related support in his or her doctoral project. The University will grant the doctoral candidate appropriate access to the necessary materials and will help him or her gain access to sources and materials at other locations if necessary.

The doctoral candidate can expect that the subject of the dissertation will be defined in cooperation with the doctoral supervisor at the beginning of the doctoral proceedings. Milestones, expected time frames and expectations of the supervisor and the doctoral candidate shall be defined and set down at this time.

The doctoral candidate has a right to an annual progress meeting with his or her doctoral supervisor. This meeting shall provide the doctoral candidate with orientation on the progress of the doctoral project so far, his or her prospects for completing the doctorate successfully, and further action to be taken. If the dissertation topic has to be changed, this shall be agreed upon. A short transcript shall be made of this meeting.

If a doctoral candidate perceives difficulties or problems, it is in everyone's interest to resolve these as quickly as possible. Obstacles should be removed by informal action whenever possible. Should the problems prove to be insoluble, the doctoral candidate is entitled to lodge a formal complaint. The faculty shall appoint an additional supervisor and/or ombudsman for this purpose. The latter individual, as a person not involved in the subject matter of the doctorate, should be able to resolve conflicts and ensure the progress of the scholarly work. Conflicts that do not yield to mediation shall be resolved by the Doctoral Committee. The doctoral candidate is entitled to be kept constantly informed on the handling of his/her complaint.

The doctoral candidate can expect that his or her supervisor will be available to an appropriate degree for scholarly discussion of the research work. He or she can also expect the supervisor to help him or her make contacts in the academic community.

The doctoral candidate can expect the University to assist him or her to develop the necessary ability to carry out independent scholarly work. The faculty shall organize courses suitable for attaining this end.

The University is obliged to help the doctoral candidate gain his or her bearings regarding his or her future career.

The doctoral candidate can expect to receive assistance from his or her supervisor when applying for scholarships or similar grants. The supervisor shall also assist the doctoral candidate by calling his or her attention to possibilities for obtaining financial support and sponsoring, e.g. scholarships, projects, grants, academic prizes, etc.

The doctoral candidate has the right to expect that all persons involved in the doctoral proceedings will make efforts to ensure that the evaluation and examination procedures are carried out speedily.

The doctoral candidate can expect the faculty to make provisions to ensure that he or she will be able to complete his or her doctorate even if his or her supervisor can no longer comply with his or her obligations for unavoidable reasons, e.g. moving to a different location, illness, death, etc.

Rights of the University

The University and the supervisor can expect the doctoral candidate to be committed to his or her research project. When carrying out the research project, the doctoral candidate will thus be expected to show the necessary commitment and invest the amount of work agreed upon.

The University expects the doctoral candidate to use equipment, facilities and resources efficiently and responsibly.

The doctoral supervisor can expect the doctoral candidate to keep him or her informed on the progress of the dissertation. In particular, the supervisor can expect that all difficulties and problems encountered during this work will be reported to him or her without delay.

The supervisor can expect the doctoral candidate to take an active part in presenting scholarly results at conferences, meetings, etc. and in publications.

The supervisor can expect the doctoral candidate to follow the guidelines for good academic practice published by the German Research Foundation (DFG). In particular, the doctoral candidate must do his or her part to comply with the rules on documentation.

The supervisor can expect the doctoral candidate to play an active role in a working group or in a team headed by a professor in the faculty.

The University strives for economic utilization of scholarly results. For this reason agreements concerning confidentiality, non-disclosure and intellectual property shall be observed by all parties. The utilization of results in the form of patents, utility models, trademarks, etc. shall be carried out by the University. Such utilization may not constitute an inappropriate impediment to the doctoral proceedings or to the publication of scholarly results.

General rules

The University has the legal responsibility to safeguard the safety and health of all persons working at the University. To comply with this responsibility, it shall take action to ensure that the work environment conforms to health and safety regulations. Every doctoral candidate is obliged to work safely and meticulously and to contribute to the observance of these regulations.

The University strives to create an environment for studying and research that is free of discrimination. It shall therefore not tolerate any discrimination by reason of gender, nationality, race, sexual orientation or physical disability. The efforts of all members of the University are required in order to reach this goal. The University shall establish formal rules for dealing with complaints of discrimination or harassment.

The University expects that all of its members and all doctoral candidates shall treat each other with fairness and respect.

Appendix 2: Provisional Examination Results

The Dean
of the Faculty of an Intellectual Nature
at the University of Duisburg-Essen

UNIVERSITÄT
DUISBURG
ESSEN

Certificate

Mr./Ms. *Michaela Musterfrau*

Born on: 1 Jan. 2000 in Musterdorf

has passed the oral examination held in the form of a dissertation defence

on 31 March 2005

following the acceptance, by the Faculty of an Intellectual Nature, of the dissertation the doctoral candidate has submitted with the title:

"The Concentration of Bla Bla Bla and its Relevance for Modesty"

He or she has achieved the overall mark shown below on his or her doctorate:

"summa cum rite"

In accordance with § 12 of the Regulations Governing Doctoral Proceedings, the doctoral degree certificate attesting to the successful completion of the doctoral proceedings cannot be issued until after the dissertation has been published. The doctoral title may not be used until the doctoral degree certificate has been issued.

Duisburg/Essen, Germany, 31 March 2005

Dean
Faculty of an Intellectual Nature

p. p.
Chairperson of the Examination Committee
Prof. Dr. XY