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Regulations of Karlsruhe Institute of Technology (KIT) for the KIT Department of Architecture Governing the Conferral of the Degrees of Doctor of Engineering (Dr.-Ing.) and Doctor of Philosophy (Dr. phil.)

The German language version of the doctorate regulations is legally binding. This English language translation is provided for informational purposes only.

**Regulations of Karlsruhe Institute of Technology (KIT)
for the KIT Department of Architecture
Governing the Conferral of the Degrees of
Doctor of Engineering (Dr.-Ing.) and Doctor of Philosophy (Dr. phil.)**

from 9 January 2017

Pursuant to § 10 para. 2 no. 5 and § 20 para. 2 sentence 1 of the Act on Karlsruhe Institute of Technology [*KIT Gesetz – KITG*], version of 14 July 2009 (Law Gazette [*Gesetzblatt – GBl.*], p. 317 f.), last amended by article 5 of the Third Amendment Act on Higher Education Regulations [*3. Hochschulrechtsänderungsgesetz –HRÄG*] of 1 April 2014 (Law Gazette, pp. 99, 167), and § 38 para. 4 of the Baden-Württemberg Higher Education Act [*Landeshochschulgesetz – LHG*], version of 1 January 2005 (Law Gazette, p. 1 f.), last amended by article 2 of the Act on Equal Opportunities for Women and Men in the Public Sector in Baden-Württemberg [*Gesetz zur Verwirklichung der Chancengleichheit von Frauen und Männern im öffentlichen Dienst in Baden-Württemberg und zur Änderung des Landeshochschulgesetzes – ChancenG*] of 23 February 2016 (Law Gazette, pp. 108, 118), the Academic Senate of Karlsruhe Institute of Technology (KIT) adopted the following statutes on 19 December 2016.

The president granted his approval pursuant to § 20 para. 2 sentence 1 KITG, in conjunction with § 38 para. 4 sentence 1 LHG, on 9 January 2017.

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1. General

§ 1 Doctoral degrees

- (1) The KIT Department of Architecture at Karlsruhe Institute of Technology (KIT) (hereinafter referred to as the KIT Department) awards the academic degree of Doctor of Engineering Sciences (Dr.-Ing.) in Architecture, as well as the academic degree of Doctor of Philosophy (Dr. phil.) in Art History on the basis of a standard doctoral process.
- (2) The KIT Department may also award the academic degrees of Honorary Doctor of Engineering (Dr.-Ing. h.c.) and Honorary Doctor of Philosophy (Dr. phil. h.c.) (§ 25).
- (3) The KIT Department may renew a doctoral degree it has already awarded, after a period of 25 years (§ 26).

§ 2 Doctoral committee

- (1) The doctoral committee is appointed by the KIT Department Council. It consists of one chair and two further members, as well as one deputy each. Committee members can be authorized doctoral evaluators from the KIT Department pursuant to § 3 para. 1. The term of office is two years. Reappointment is permitted.
- (2) At doctoral committee meetings addressing academic misconduct, an ombudsperson according to the “Rules to Ensure Good Academic Practice at Karlsruhe Institute of Technology (KIT)” [*Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)*] will be consulted in an advisory capacity.

§ 3 Doctoral evaluators

- (1) University instructors pursuant to § 44 para. 1 sentence 1 no. 1 LHG, senior scholars pursuant to § 14 para. 3 KITG, adjunct professors, and private lecturers are generally authorized to participate in doctoral processes.
- (2) In addition, (early career) scholars at KIT with the status of KIT Associate Fellow may be allowed to participate in doctoral processes. The process as well as the rights and duties of KIT Associate Fellows are governed by the “Rules of Procedure of Karlsruhe Institute of Technology (KIT) to Establish KIT Associate Fellow Status” [*Verfahrensordnung des Karlsruher Instituts für Technologie (KIT) zur Errichtung des Status eines „KIT Associate Fellow“*].
- (3) Professors from universities of applied sciences or of the Baden-Württemberg cooperative state universities may also be appointed as doctoral supervisors or evaluators pursuant to § 15 para. 3. The appointment as supervisor is made in conjunction with the co-signature of the doctoral supervision agreement by an authorized doctoral evaluator of the KIT Department pursuant to § 10 sentence 2.
- (4) The participation rights of university instructors pursuant to § 44 para. 1 sentence 1 no. 1 LHG, and of senior scholars pursuant to § 14 para. 3 KITG, will not be affected by emeritus status or retirement. Other evaluators who are no longer employed at KIT may, as a rule, participate in doctoral processes for up to four semesters after they have left KIT. § 6 para. 8 of the “Rules of Procedure of Karlsruhe Institute of Technology (KIT) to Establish the Status of KIT Associate Fellow” remains unaffected.
- (5) If an authorized doctoral evaluator from the KIT Department has concluded a supervision agreement pursuant to § 10 and his/her membership in the KIT Department

ends thereafter, he/she will continue to be considered an evaluator of the KIT Department, in accordance with these doctoral regulations, for the doctoral process for which the agreement was concluded, until its completion, for a maximum period of four years after membership termination. The doctoral committee may extend this maximum duration pursuant to sentence 1 upon written application by the evaluator pursuant to § 3.

§ 4 Requirements for admission to doctoral studies

(1) The prerequisite for admission to doctoral studies, unless otherwise stipulated in the following paragraphs, is that the candidate has completed one of the following with an overall grade of good or better or above-average performance:

(a) A Master's degree program;

(b) A degree program at a university, college of education, or art college lasting at least four years;

or

(c) A degree program at a university, teaching college, or other higher education institution with the right to award a doctorate, based on an undergraduate degree program

in

- Architecture;

- Urban planning; or

- Art history.

(2) Based on a convincing written request by the candidate, the doctoral committee may recognize a successful degree in a subject area other than those listed in para. 1 as a prerequisite for admission to doctoral studies. The doctoral committee will examine the equivalence of the proven study and examination achievements with the requirements of para. 1 and, if necessary, determine any supplementary academic requirements pursuant to para. 4. The candidate must prove that he/she has the necessary prior knowledge to work on the dissertation. The application for the recognition and assessment of an equivalent qualification is to be submitted either with the application for acceptance as a doctoral candidate pursuant to § 11 or, at the latest, 12 months before the doctoral application pursuant to § 13.

(3) A degree from a foreign state or state-recognized higher education institution equivalent to a university, which meets the requirements specified in para. 1 or para. 2, will be recognized as equivalent by the doctoral committee, taking into account the recommendations of the Central Office for Foreign Education [*Zentralstelle für ausländisches Bildungswesen – ZAB*] on the equivalence of degrees in force at the time. In cases of doubt, an opinion must be obtained from ZAB. The doctoral committee may determine supplementary academic requirements pursuant to para. 4.

(4) In the cases of para. 2 and 3, admission to doctoral studies may be linked to conditions to be determined by the doctoral committee in the form of supplementary academic requirements as proof of the graduate's academic qualification. Those supplementary requirements, which should correspond to the requirements of the intended subject matter, may not exceed 30 credit points. The conditions must be fulfilled before admission to the doctoral process.

(5) Particularly qualified graduates of Bachelor's degree programs and state examination programs that do not fall under para. 1 may be admitted to doctoral studies, if proof has

been provided in an aptitude assessment pursuant to para. 6 that they are qualified to carry out academic work on the doctoral subject. The same applies to particularly qualified graduates of a diploma course in the courses of study at universities of applied sciences and universities of cooperative education, referred to in para. 1, who have passed their final examination with excellent results.

(6) In order to prove their academic qualification pursuant to para. 5, graduates who intend to pursue a doctoral degree must successfully complete examinations amounting to 30 credits, at least two of which must be in the form of seminars, as well as a student research project. The contents of the examinations and coursework are determined by the doctoral committee in agreement with the supervisor pursuant to § 3. The academic content of the student research project must be equivalent to that of a Master's thesis in a course of study at the KIT Department of Architecture. A thesis at a university, university of applied sciences, technical college, or university of cooperative education may be recognized as a student research project in agreement with the doctoral supervisor pursuant to § 3, provided that it fulfils the requirements of sentence 3. The relevant regulations of the "Study and Examination Regulations of Karlsruhe Institute of Technology (KIT) for the Master's Program in Architecture" [*Studien- und Prüfungsordnung des Karlsruher Instituts für Technologie (KIT) für den Masterstudiengang Architektur*] apply to the examinations as well as to the preparation and assessment of the student research project. A separate certificate confirming successful proof of academic qualification will not be issued. The undertaking to prove academic qualification must be completed within four semesters. Upon written application, the doctoral committee may extend this deadline. If this undertaking is not successfully completed within this period, the proof of qualification for academic work in the doctoral subject pursuant to para. 5 will be considered insufficient.

(7) The doctoral committee will decide on recognizing the academic qualification in conjunction with para. 1 to 6 upon written application by the doctoral candidate. The doctoral committee may grant exemption from the requirements of these paragraphs in justified exceptional cases, upon written application by the doctoral candidate.

§ 5 Doctoral degree with joint supervision by foreign educational institutions

(1) A doctoral process may be carried out in joint supervision with the department of a foreign university for the sake of fostering the doctoral candidate's intercultural competence and to enable him or her to come to terms with different academic systems and university cultures.

(2) Doctoral candidates must be accepted for doctoral studies by both departments and advised by one supervisor each. Joint supervision is regulated by the participating universities in an agreement signed by the rector or president and the supervisor of the doctoral student at the cooperating universities. This agreement requires approval by the KIT Department Council. In deviation from the other provisions of these doctoral regulations, the following may be stipulated in the agreement:

1. Composition of the doctoral committee;
2. Language in which the dissertation is written and in which the oral examination is taken;
3. Grading scale for the evaluation of doctoral achievements;
4. Publication of the dissertation.

(3) The universities will confer the doctoral degree jointly. The doctoral degree may only be used in either the German or in the foreign form. The two universities will each issue a separate doctoral certificate. It will be noted on both doctoral certificates that this is a

binational doctoral process, and that the doctoral certificate is only valid in conjunction with the other certificate.

§ 6 Doctoral process in cooperation with a university of applied sciences

If KIT and a university of applied sciences cooperate in the doctoral process, the instructors from the universities of applied sciences will be involved as supervisors and evaluators with the same rights and duties as those from KIT. This applies in particular to doctoral research groups in which the doctoral dissertation is jointly supervised. Further details regarding the cooperation is subject to the respective agreement.

§ 7 External doctoral candidates

External doctoral candidates are doctoral candidates who work on their dissertation at KIT without being employed by KIT and without being directly affiliated with an organizational unit of KIT. They will be integrated into the supervisor's working group, e.g. by participating in doctoral or research seminars or attending conferences and summer schools.

§ 8 Ombudspersons

If conflicts or disputes arise between the doctoral candidate and the supervisor in the course of the doctoral process, both sides can turn to the ombudspersons appointed by the KIT Senate. Please see the "Statutes on the Appointment of Ombudspersons for Doctoral Students and Supervisors of Karlsruhe Institute of Technology (KIT)" [*Satzung zur Bestellung von Ombudspersonen für Doktorandinnen und Doktoranden sowie Betreuerinnen und Betreuer des Karlsruher Instituts für Technologie (KIT)*].

§ 9 Inspection of files

The statutory regulations apply to the right to inspect files, in particular § 29 of the Administrative Procedure Act for Baden-Württemberg [*Verwaltungsverfahrensgesetz für Baden-Württemberg (Landesverwaltungsverfahrensgesetz – LVwVfG)*].

2. Doctoral process

§ 10 Doctoral supervision agreement

The doctoral candidate and a supervisor who is an authorized doctoral evaluator pursuant to § 3 will conclude a written doctoral supervision agreement with the minimum contents pursuant to § 38 para. 5 sentence 3 LHG. If the supervisor is not a KIT Department faculty member, the agreement must be signed by another authorized evaluator pursuant to § 3 who is a KIT Department faculty member.

§ 11 Acceptance as a doctoral candidate

(1) Anyone who fulfils the requirements for admission to doctoral studies pursuant to § 4 and intends to pursue a doctoral degree should apply in writing to the chair of the doctoral committee for acceptance as a doctoral candidate.

(2) The application must also include:

1. Proof of qualification pursuant to § 4;
2. Description of the candidate's professional and academic career;
3. Details of the intended subject area or dissertation topic;
4. A written declaration in accordance with Appendix 4 of these doctoral regulations;
5. One copy of the doctoral supervision agreement pursuant to § 10;
6. Proof of registration as a doctoral candidate with the Karlsruhe House of Young Scientists (KHYS); and
7. The doctoral degree certificate if the candidate has already been awarded a doctoral degree.

(3) Provided that the requirements of § 4 are fulfilled, evidence pursuant to para. 2 has been provided, and there are no reasons pursuant to para. 4 to the contrary, the doctoral committee, in consultation with the supervisor, will declare the applicant's acceptance as a doctoral candidate. With this acceptance, the KIT Department commits itself, as far as possible, to the academic supervision of the doctoral candidate. As a rule, the doctoral committee will decide on applications for acceptance as a doctoral candidate within six weeks of receipt. Candidates will be notified of their acceptance as a doctoral candidate in writing, accompanied by information on the right to appeal.

(4) The doctoral committee may refuse to accept the candidate as a doctoral candidate if

1. The requirements for admission to doctoral studies pursuant to § 4 are not met;
2. The topic chosen for the dissertation comes from a subject area that is not represented at the KIT Department; or
3. There is a reason for refusal pursuant to § 14 para. 2.

Candidates must be informed of the rejection decision in writing, including the reasons for the rejection and instructions on how to appeal the decision. Beforehand, the candidate will be given the opportunity to comment on the facts relevant to the decision.

(5) Acceptance as a doctoral candidate may be subject to conditions imposed by the doctoral committee if individual requirements for admission to doctoral studies pursuant to § 4 still need to be fulfilled. The doctoral committee will determine whether the requirements have been fulfilled and inform the doctoral candidate about this in writing. If the requirements are not fulfilled, in particular if they are not fulfilled in due time, acceptance can be revoked by the doctoral committee; para. 4 sentences 2 and 3 apply.

(6) Acceptance as a doctoral candidate is initially for four years and ends at the end of the four-year term. An extension for a further year can be requested from the chair of the doctoral committee. Acceptance as a doctoral candidate will expire if the application for admission to the doctoral process is not submitted within the time frame pursuant to sentence 1 or, in the case of an extension, pursuant to sentence 2. The application to be accepted as a doctoral candidate can be repeated.

(7) If the doctoral supervisor can no longer perform his/her duties for an important reason, the doctoral committee, after hearing the doctoral candidate, will appoint, if possible, a new authorized supervisor from the KIT Department pursuant to § 3.

(8) Acceptance as a doctoral candidate may be withdrawn in consultation with the supervisor pursuant to § 10 sentence 1 or, in the cases of § 10 sentence 2, with the supervisors, if no discernible progress has been made on the dissertation within two years of acceptance as a doctoral candidate and the doctoral candidate is responsible for this. This decision will also take into account the extent to which the dissertation has

already been completed, i.e., how close it is to completion. The same applies if the dissertation topic is changed without the supervisor's agreement.

§ 12 Doctoral thesis (dissertation)

(1) The dissertation must demonstrate the doctoral candidate's ability to carry out independent, in-depth academic work and to present the results of the work in an appropriate manner.

(2) The dissertation should be written in German or, in consultation with the supervisor, in English. If the dissertation is written in English, it must be preceded by a summary in German. The doctoral committee will decide on the admission of other languages upon written application by the doctoral candidate.

(3) The dissertation may also be based on previous publications or work submitted for publication. It must contribute to the advancement of knowledge corresponding to a monographic dissertation and meet the other requirements pursuant to para. 1. Prior publications or works submitted for prior publication must be thematically coherent, and may be included in the dissertation if the doctoral candidate is the sole author or has independently contributed a significant part as a co-author. In addition to prior publications or works submitted for prior publication, these must be placed in a coherent context; merely stringing together prior publications or works submitted for prior publication is not sufficient. It must be clearly visible which parts of the dissertation have already been published or submitted for publication. If the doctoral candidate is a co-author pursuant to sentence 3, the independent academic performance of a significant part is to be assured in no. 6 of Appendix 5 of these doctoral regulations.

(4) As a rule, only a dissertation that has not previously served to acquire a final degree, either wholly or in substantial part, may be accepted. The doctoral committee will decide on justified exceptions upon written application by the doctoral candidate.

§ 13 Application for admission to the doctoral process (doctoral application)

(1) Anyone who fulfils the requirements for admission to doctoral studies pursuant to § 4 may apply for admission to the doctoral process. The doctoral application must be submitted in writing to the chair of the doctoral committee. Prior acceptance as a doctoral candidate is not required.

(2) The application must contain the title of the dissertation and the postal address of the doctoral candidate. It must also include:

1. The evidence and documentation referred to in § 11 para. 2 no. 1, 2, and 7;
2. Three printed copies and an electronic version of the dissertation;
3. An affidavit in accordance with Appendix 2 of these doctoral regulations;
4. A copy, signed by the applicant, of the instruction provided by KIT on the significance of the affidavit and consequences under criminal law in accordance with Appendix 3 of these doctoral regulations;
5. A written declaration in accordance with Appendix 5 of these doctoral regulations, which includes in particular that the "Rules to Ensure Good Academic Practice at Karlsruhe Institute of Technology (KIT)" [*Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)*] have been observed;
6. A list of all scholarly publications by the applicant;

7. Proposals for the doctoral evaluators pursuant to § 15 para. 3; and

8. Indication of the intended doctoral degree (Dr.-Ing. or Dr. phil.).

(3) A doctoral candidate who has been unsuccessful in a previous doctoral process may submit a new doctoral application only once, at the earliest one year after the announcement of the previous unsuccessful doctoral process. Resubmission of a previously rejected dissertation is not permitted, provided that the resubmitted version is identical to the previously submitted version. Submission of a revised version of the previously rejected dissertation is permitted.

(4) The doctoral application can be withdrawn as long as there is no negative opinion from an evaluator on the dissertation, or as long as the oral examination has not begun.

§ 14 Initiating the doctoral process

(1) The chair of the doctoral committee will examine the submitted doctoral documents pursuant to § 13 para. 2, and will determine whether the dissertation topic falls within the KIT Department's area of expertise. If this is the case and the submitted documents are complete, the doctoral process is initiated, unless the doctoral committee decides that there is a reason for rejection pursuant to para. 2. The doctoral candidate will be notified in writing as to the initiation of the doctoral process.

(2) The doctoral committee will refuse to initiate the doctoral process by resolution if

1. Prerequisites for admission to the doctoral pursuant to § 4 are not met;
2. No authorized evaluators pursuant § 3 from the KIT Department declare themselves to be competent in the subject matter of the dissertation;
3. The applicant has already made more than one unsuccessful attempt at a doctorate;
4. A doctoral degree has been withdrawn for legal reasons;
5. There are reasons that justify withdrawal of the doctoral degree in accordance with statutory provisions;
6. The applicant is not worthy of a doctorate due to a significant violation of the principles of good academic practice;
7. The applicant has already been awarded the academic doctoral degree sought or determined pursuant to § 21 para. 6; or
8. The applicant has or had a contractual relationship securing commercial dissertation services.

(3) If the doctoral application is rejected, § 11 para. 4 sentences 2 and 3 apply.

§ 15 Examination commission

(1) Once the doctoral process is initiated, the doctoral committee will appoint the examination commission. This consists of the chair, two evaluators, and one further authorized evaluator pursuant to § 3.

(2) The chair of the examination commission is also the chair of the doctoral committee. Alternatively, the chair of the doctoral committee may appoint a deputy from the doctoral committee to chair the examination commission.

(3) Two evaluators are appointed: a primary evaluator and a secondary evaluator. Any authorized evaluator pursuant to § 3 with subject-specific expertise may be appointed as an evaluator. As a rule, evaluators must conclude a supervision agreement pursuant to §

10. In addition to the chair of the examination commission, the first evaluator pursuant to sentence 1 must be a KIT Department faculty member. At least the second evaluator pursuant to sentence 1, or the further evaluator pursuant to para. 1, must not be a KIT Department faculty member. If the chair of the examination commission is an evaluator, the performance of his/her duties within the scope of the relevant doctoral process will be assigned to a university instructor who is a KIT Department faculty member, pursuant to § 44 para. 1 sentence 1 no. 1 LHG.

(4) If the dissertation requires it, in particular due to its interdisciplinarity or thematic scope, the chair of the examination commission will appoint an additional qualified expert pursuant to § 3, who will then also be a member of the examination commission.

(5) Authorized KIT evaluators pursuant to § 3 who are appointed as evaluators by the doctoral committee may only refuse appointment if there is an important reason.

(6) When appointing the evaluators, the doctoral committee is not bound by proposals submitted by the doctoral candidate pursuant to § 13 para. 2 no. 7.

§ 16 Evaluation of the dissertation

(1) Each evaluator will submit an independent and reasoned review of the dissertation to the doctoral committee no later than three months after his/her appointment as an evaluator. The reports must contain an assessment pursuant to para. 2. The chair of the doctoral committee can request information from the evaluators about the status of their review.

(2) The evaluators will evaluate the dissertation according to the following scale:

very good (magna cum laude) – 1.0

good (cum laude) – 2.0

satisfactory (rite) – 3.0

unsatisfactory (non rite) – 4.0

A dissertation with an evaluation of “unsatisfactory” (non rite) will be rejected; other grades will be understood as a recommendation of acceptance by the respective evaluator.

(3) In the case of particularly outstanding performance, it may be proposed in the evaluation report that the doctorate be awarded the overall grade of “with distinction” (summa cum laude) if the candidate performs accordingly in the oral examination. The proposal will state the reasons on which it is based.

(4) As soon as the evaluation reports have been received, the chair of the doctoral committee will inform the KIT Department authorized evaluators pursuant to § 3 that the dissertation and evaluation reports will be available for inspection at the dean’s office for 14 days. Within this period, the KIT Department authorized evaluators pursuant to § 3 may raise an objection against the evaluation of the dissertation in writing and with a statement of reasons.

(5) If all evaluators have recommended to accept the dissertation and no objection has been raised, the examination commission will decide on the acceptance of the dissertation and will determine the unrounded arithmetic average of the evaluators’ proposed grades as the final grade. If there is an objection, the examination commission will decide, after hearing the evaluators, whether this objection should be taken into account in the dissertation evaluation. The examination commission may decide to request the opinion of a further evaluator before making a decision. If the objection is taken into account, the examination commission will decide on accepting or rejecting the

dissertation. If it is decided to accept the dissertation, each member of the examination commission will propose an evaluation grade pursuant to para. 2. The unrounded arithmetic average will be calculated from the proposals as the final grade of the dissertation.

(6) If the dissertation is rejected by one, but not all, evaluators, the chair of the examination commission will appoint an additional qualified evaluator pursuant to § 3, who will then also be a member of the examination commission pursuant to § 15 para. 1. In this case, the period for review at the dean's office, referred to in para. 4, will not begin until the additional evaluation is received. If no objection has been raised, the examination commission will decide whether to accept or reject the dissertation. In the event of a split decision, the chair of the examination commission will have the deciding vote. If it is decided to accept the dissertation, the unrounded arithmetic average of the grades proposed by all evaluators will be taken as the final grade. If an objection has been raised, para. 5 sentences 2 and 4 to 6 apply.

(7) If the evaluators unanimously recommend to reject the dissertation and no objection is raised, the examination commission will decide whether to accept or reject the dissertation; para. 5, sentence 3 apply. If it is decided to accept the dissertation, para. 5 sentences 5 and 6 apply. If an objection has been raised, para. 5 sentences 2 and 4 to 6 apply.

(8) If an evaluator has identified deficiencies in the dissertation without rejecting it in its entirety, he/she may stipulate in the review that the deficiencies be remedied as a condition for publication of the dissertation. In this case, the examination commission will attach appropriate conditions to its acceptance decision. Otherwise, the peer-reviewed version of the dissertation is considered approved for publication.

(9) If the dissertation is rejected, this will be announced to the candidate by the chair of the doctoral committee pursuant to § 11 para. 4 sentence 2. The doctoral process will thus have ended unsuccessfully.

(10) An evaluator who has rejected the dissertation may request that he/she not be named as an evaluator in the dissertation. One copy of the dissertation will remain on file together with the evaluation reports.

§ 17 Oral examination (dissertation defense)

(1) The date of the oral examination will be set by the chair of the examination commission after the decision to accept the dissertation has been made, and the doctoral candidate is notified about this in writing. The time between receipt of this notice and the date of the oral examination must not be less than 14 days. A shorter or longer period can only be set in agreement with the doctoral candidate.

(2) In addition to the members of the examination commission, the following persons will be invited to the colloquium pursuant to § 15, para. 1:

1. The KIT president and the other members of the presidential committee,
2. The KIT deans of the other KIT departments,
3. KIT Department authorized evaluators pursuant to § 3; and KIT Associate Fellows, only if they are a member of the doctoral candidate's own (junior) research group.

(3) The oral examination is conducted as a colloquium. It takes about 100 minutes in total. The colloquium begins with an approximately 40-minute lecture by the doctoral candidate on his/her dissertation. This is followed by an in-depth discussion, lasting approximately one hour. It should cover topics and methods related to the dissertation and fundamental issues within the subject area it deals with.

(4) The oral examination may be conducted in German or, at the written request of the doctoral candidate and upon approval by the examination commission pursuant to § 15 para. 1, in English.

(5) Minutes will be kept of the main proceedings of the oral examination. The examination commission will vote to approve the minutes at the end of the oral examination.

(6) The oral examination will be open to the public, subject to the availability of seats. The public in this sense includes KIT Department faculty members with a completed Master's or Diploma degree, who are not already entitled to participate on the basis of para. 2. The public may be excluded for good cause ex officio or at the request of the doctoral candidate.

(7) The date and place of the oral examination will be announced within the Department.

§ 18 Evaluation of the oral examination

(1) Immediately after the oral examination, the examination commission will discuss the doctoral candidate's oral examination performance. Each member of the examination commission will evaluate the oral examination with a grade pursuant to § 16 para. 2.

(2) The final grade for the oral examination will be the unrounded arithmetic average of the individual scores pursuant to para. 1 sentence 2. The oral examination qualifies as passed if the final grade is 3.0 or higher.

(3) If the doctoral candidate fails to attend the oral examination without good cause, the oral examination will be marked as failed.

§ 19 Repetition of the oral examination

(1) If the oral examination was failed, it may be repeated once on application, but not before six months have elapsed since the previous oral examination was failed.

(2) If the oral examination is repeatedly failed, or if the doctoral candidate does not apply for the oral examination to be repeated within one year of failing the previous oral examination, the doctoral process will be terminated without success.

(3) The doctoral candidate will be notified of the unsuccessful completion of the doctoral process pursuant to § 11 para. 4 sentence 2. If the oral examination was failed because the candidate did not apply to repeat the oral examination within the time limit pursuant to para. 2, then § 11 para. 4 sentence 3 also applies. The dissertation will remain with the documents in the files.

(4) The doctoral committee will decide on justified exceptions to the requirements of para. 1 and 2 upon written application by the candidate.

§ 20 Withdrawal from the oral examination

(1) If the doctoral candidate is prevented from taking part in the oral examination due to illness or another important reason, the examination commission will approve withdrawal from the oral examination upon written application. The application must be submitted to the examination commission without delay, stating the reason for withdrawal and enclosing suitable evidence. In the event of illness, a medical certificate containing the medical information necessary to assess the inability to take the examination must be enclosed.

(2) If the withdrawal from the oral examination is approved, a new oral examination date will be set. Otherwise, the oral examination will be marked as failed; § 11 para. 4 sentences 2 and 3 apply.

§ 21 Overall grade for the doctorate

(1) The overall grade for a successful doctorate is determined by the examination commission pursuant to § 15 para. 1 in the final meeting following the colloquium.

(2) The final grade is the weighted average of the grades for the dissertation and the oral examination, with the dissertation receiving a weighting of 2 and the oral examination a weighting of 1. The unrounded arithmetic averages, pursuant to § 16 para. 5, 6, or 7 and § 18 para. 2, are used as the grades for the dissertation and the oral examination. The overall grade will be:

very good (*magna cum laude*) if this average is less than 1.5;

good (*cum laude*) if this average is 1.5 to less than 2.5;

pass (*rite*) if this average is 2.5 to 3.0.

(3) In exceptional cases, the overall grade “excellent (*summa cum laude*)” may be awarded for particularly outstanding achievements by a separate, unanimous decision of the examination commission pursuant to § 15 para. 1, if all doctoral achievements received a grade of 1.0 and this was suggested by at least one evaluator pursuant to § 16 para. 3.

(4) The overall grade, the grade for the dissertation, and the final grade for the oral examination will be announced to the doctoral candidate in writing by the chair of the examination commission.

(5) The KIT Department will issue a provisional certificate to the doctoral candidate, stating that he/she has passed the doctoral examination and including the overall grade of the doctorate.

(6) If the doctoral candidate has sought an inappropriate doctoral degree, the examination commission will determine the correct doctoral degree to be awarded.

§ 22 Publication of the dissertation and delivery of copies

(1) Within one year after passing the oral examination, the doctoral candidate must publish the dissertation in a version approved by the evaluators. Depending on the type of publication, the copies and the required file formats are to be delivered to the KIT Library within the aforementioned period as follows:

- a) One machine-readable file according to the specifications of the KIT Library in case of publication in an electronic version with unrestricted access through public data networks via the repository of the KIT Library;
- b) 12 printed copies suitable for archiving in the case of publication by photographic printing. This also applies to dissertations published in a scientific publication series that is not a commercial publication;
- c) Three printed publisher's copies in the case of commercial publication with availability in bookshops, if a minimum print run of 150 copies and/or unrestricted access to the dissertation on the Internet in electronic form is guaranteed; or
- d) Three copies in the case of publication in a scientific journal.

The KIT Library will issue a written confirmation of publication and fulfillment of the obligation to deliver.

(2) In addition, one bound copy is to be submitted to each of the evaluators and to the dean of the KIT Department.

(3) The copies submitted pursuant to para. 1 sentence 2 letter a or b must contain a title page or bibliographical information for the dissertation. The copies published pursuant to para. 1 sentence 2 letter c or d must contain a note stating that it is a dissertation approved by the KIT Department of Architecture at Karlsruhe Institute of Technology (KIT) and the date of the oral examination. If the evaluators approve a title other than that of the examination copy, this must also be stated in the dissertation.

(4) In the cases of para. 1 sentence 2 letter a, the doctoral candidate will transfer to Karlsruhe Institute of Technology (KIT) the permanent right to make the dissertation available in data networks within the scope of the statutory tasks of the KIT Library. The KIT Library will check the delivered version of the dissertation for readability and conformity with KIT Library specifications pursuant to para. 1 sentence 2 letter a. The submission of files that do not comply with these specifications will not be considered as valid publication and delivery.

(5) In the cases of para. 1 sentence 2 letter b, the doctoral candidate will transfer to Karlsruhe Institute of Technology (KIT) the permanent right to produce and distribute further copies of the dissertation.

(6) In justified individual cases, the chair of the doctoral committee may, upon written application by the doctoral candidate, consider the obligations under para. 1 to have been fulfilled even if the dissertation can only be made accessible to the public with a time delay due to a temporary publication embargo respecting patent registration proceedings or publication in a journal. For this purpose, the doctoral candidate must have completely fulfilled the respective submission requirements. Furthermore, the time at which the publication is to take place at the latest must be included in the embargo statement. Also, publication must be able to be carried out by the KIT Library without any further action on the part of the doctoral candidate. Fulfilment of the aforementioned requirements will be certified in writing by the chair of the doctoral committee. A temporary publication embargo may be requested for a period of up to two years, renewable twice for an additional year each time, but not exceeding a total period of four years from the date of signature, using the form provided by the KIT Library. The application for an extension of the embargo period must be submitted at least two weeks before its expiry. The KIT Library will note the existence and the duration of the embargo on the certificate pursuant to para. 1 sentence 3.

(7) The doctoral candidate must declare in writing to the KIT Library that the submitted version is in agreement with the version approved by the evaluators pursuant to § 16 para. 8.

(8) If the deadline pursuant to para. 1 is not met, all rights acquired in the doctoral process will expire. Upon written application by the doctoral candidate, the chair of the doctoral committee may, in justified cases, extend the time limit pursuant to para. 1 up to a total duration of three years. A further extension is excluded. The decision must be communicated to the KIT Library in writing.

§ 23 Completion of the doctorate and certificate

(1) The doctoral certificate is issued on the day of the oral examination, signed by the KIT president and the KIT dean, and bears the Karlsruhe Institute of Technology (KIT) seal. Its form must correspond to Appendix 1 of these doctoral regulations.

(2) In addition to the doctoral certificate, a doctoral transcript will be issued. This will include the dissertation title, the overall grade of the doctorate with the Latin translation in brackets, as well as the official titles, academic degrees, titles, and names of the evaluators. It will be signed by the KIT dean and provided with the seal of the KIT Department.

(3) The doctoral degree is awarded by the KIT dean by handing over the doctoral certificate. The doctoral certificate is issued only after the dissertation has been published and the deposit copies have been handed in pursuant to § 22.

(4) Prior to the award of the doctoral degree certificate, there is no right to use the doctoral degree, not even with an addition such as “designatus (des.)” or “in spe”.

§ 24 Invalidity of the doctoral performance and withdrawal of the doctoral degree

(1) If it becomes apparent before the doctoral certificate is issued that the doctoral candidate has been guilty of deception in proving his/her doctoral performance, or that essential requirements for admission to the doctoral examination have been erroneously assumed to be met, the doctoral process may be declared invalid. The decision on this is made by the doctoral committee.

(2) If the admission requirements were not fulfilled without any intention to deceive by the doctoral candidate, and if this only becomes known after the doctoral certificate has been issued, this shortcoming will be considered rectified.

(3) The doctoral degree may be withdrawn by the doctoral committee if it subsequently transpires that it was obtained by deception. For the rest, reference is made to the statutory regulations.

(4) Prior to the decision of the doctoral committee on the invalidity of the doctorate and withdrawal of the doctoral degree, the person concerned will be given the opportunity to comment on the facts relevant to the decision.

(5) Decisions by the doctoral committee pursuant to para. 1 and 3 will be substantiated and the person concerned will be informed of them with instructions on how to appeal.

(6) The return of the doctoral certificate, the doctoral transcript, and the provisional certificate pursuant to § 21 para. 5 is governed by § 52 LVwVfG.

4. Honors

§ 25 Honorary doctorate

(1) The KIT Department may award the degree of Honorary Doctor of Engineering (Dr.-Ing. h.c.) or Honorary Doctor of Philosophy (Dr. phil. h.c.) to persons who are not faculty members of Karlsruhe Institute of Technology (KIT) or its organs in recognition of outstanding scientific merits in the fields of teaching and research represented at the KIT Department.

(2) The KIT Senate will decide on the award of the honorary doctorate, either on the proposal of the presidium in agreement with the KIT Department, or on the proposal of the KIT Department in agreement with the presidium. Upon application by a university instructor pursuant to § 44 para. 1 sentence 1 no. 1 LHG, by a senior scholar pursuant to § 14 para. 3 KITG, or by a private lecturer of the KIT Department, the KIT Department Council will decide on the formation of an advisory commission consisting of at least three KIT Department faculty members.

(3) A resolution on the award of an Honorary Doctorate in Engineering (Dr. Ing. h.c.) or an Honorary Doctorate in Philosophy (Dr. phil. h.c.) requires a majority of two thirds of the voting members of the KIT Department Council.

(4) The honorary doctorate is awarded by the KIT dean in an appropriate setting by handing over the doctoral certificate issued for this purpose, in which the merits of the person to be honored are to be emphasized. The certificate is signed by the president and the KIT dean.

§ 26 Doctoral anniversary

The KIT Department may renew a doctoral degree it has awarded in the case of special scientific merits or particularly close ties with Karlsruhe Institute of Technology (KIT). Such a renewal can take place for the first time on the occasion of the 25th anniversary of the doctoral award. The decision on this is made by the KIT Department Council.

5. Final provisions

§ 27 Entry into force, Transitional provisions

(1) These doctoral regulations will enter into force on the day after publication in the Official Notices [Amtliche Bekanntmachungen] of Karlsruhe Institute of Technology (KIT).

(2) At the same time, the Doctoral Regulations of University of Karlsruhe (TH) for the Department of Architecture for Obtaining a Doctoral Degree in Architecture (Dr.-Ing.) and in Art History (Dr. phil.) of August 2, 2006 (Official Notice of the University of Karlsruhe (TH) no. 27 of August 15, 2006) will expire.

(3) If a doctoral agreement pursuant to § 10 has been concluded or the doctoral candidate has been accepted pursuant to § 11 para. 3 before these doctoral regulations come into force, the Doctoral Regulations of University of Karlsruhe (TH) for the Department of Architecture for Obtaining a Doctoral Degrees in Architecture (Dr.-Ing.) and in Art History (Dr. phil.) of 2 August 2006 (Official Notice of the University of Karlsruhe (TH) no. 27 of 15 August 2006) will continue to apply. At the request of the doctoral candidate, the regulations of these doctoral regulations may be applied. The application must be submitted in writing to the chair of the doctoral committee.

Karlsruhe, January 9, 2017

Professor Dr.-Ing. Holger Hanselka
(President)

Appendix 1

Karlsruhe Institute of Technology (KIT)

verleiht

awards

durch die KIT-Fakultät für Architektur

in the KIT Department of Architecture

(Name)

geboren am XX. Monat XXXX in Geburtsort

born on Month XX, XXX in place of birth

Titel und Würde eines/einer

the degree and honors of

Doctor of Engineering (Dr.-Ing.)

/

Doktors/Doktorin der Philosophie (Dr. phil.)

nachdem er/sie in ordnungsgemäßem Promotionsverfahren durch seine/ihre Dissertation

after having proved his/her scientific competence and abilities by successful completion of the regular doctoral process and by his/her thesis

(Dissertation title)

sowie durch die mündliche Prüfung seine/ihre wissenschaftliche Befähigung erwiesen hat.

followed by a successful oral examination and defense.

Karlsruhe, XX. Monat XXXX

Karlsruhe, Month XX, XXXX

President of Karlsruhe Institute of Technology (KIT)

Dean of the KIT Department of Architecture

Appendix 2

This declaration in lieu of oath must be submitted in writing. The possibility for acceptance of a declaration in lieu of oath by affidavit remains unaffected. The written statement must read as follows:

Sworn declaration pursuant to § 13 para. 2 sentence 2 no. 3 of the Doctoral Regulations of Karlsruhe Institute of Technology (KIT) for the KIT Department of Architecture:

1. The dissertation submitted on the topic

.....

is my own achievement.

2. I have only used the sources and resources indicated and have not had any unauthorized third party assistance. In particular, intellectual work taken directly or indirectly from others are identified as such.

3. I have presented this dissertation or a part thereof:

(delete below as applicable)

- as yet to no other university in Germany or abroad as subject of an examination or qualification achievement.

- to another university in Germany or abroad as subject of an examination or qualification achievement as follows:

Title of the dissertation submitted elsewhere:

Institution and year submitted:

Type of examination or qualification:

4. I confirm the accuracy of the above declaration.

5. I understand the significance of this sworn declaration and I am aware of the criminally punishable consequences of making a false or incomplete sworn declaration.

I declare in lieu of oath that the statements above are to the best of my knowledge true and complete.

Place and date

Signature

Appendix 3

Declaration in lieu of oath

Instruction

The universities in Baden-Württemberg require a declaration in lieu of oath as to the academic integrity of the submitted dissertation in order to credibly assure that the doctoral candidate has produced the academic dissertation independently.

Because the law attaches particular importance to the sworn declaration, which can have considerable consequences, the submission of a false declaration has been made a punishable offence. If a false declaration is made intentionally, the offender faces a prison sentence of up to three years or a fine.

A negligent submission (i.e., submission despite knowing that the declaration was not factual) can result in a custodial sentence of up to one year or a fine.

The corresponding penal provisions are § 156 of the German Criminal Code [*Strafgesetzbuch* – StGB] (False declaration in lieu of oath) and in § 161 StGB (Negligent false oath; negligent false declaration in lieu of oath).

§ 156 StGB: False declaration in lieu of oath

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

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

Paragraph 1: Whoever commits one of the offences referred to in § 154 to 156 by negligence incurs a penalty of imprisonment for a term not exceeding one year or a fine.

Paragraph 2: No penalty is incurred if the offender corrects the false statement in time. The provisions of § 158 para. 2 and 3 apply accordingly.

Place and date

Signature

Appendix 4

Declaration pursuant to § 11 para. 2 no. 4 of the Doctoral Regulations of Karlsruhe Institute of Technology (KIT) for the KIT Department of Architecture

1. I have not thus far committed a significant breach of the principles of good academic practice.
2. This doctoral process was not preceded by any other doctoral processes and I am not a candidate in any other doctoral processes.

or

This doctoral process was preceded by the following doctoral processes or I am a candidate in the following doctoral processes:

University:

Department:

Dissertation title:

Status of the doctoral process:

3. Through

.....

I have already been awarded the degree of Doctor of

.....

(delete below as applicable)

- a) This doctoral degree was not withdrawn for legal reasons.
- b) There are no reasons justifying the withdrawal of the doctoral degree in accordance with the statutory provisions.

4. A contractual relationship with a commercial doctoral consultant does not exist or did not exist.

5. I confirm the accuracy of the above declaration.

Place and date

Signature

Appendix 5

Declaration pursuant to § 13 para. 2 sentence 2 no. 5 of the Doctoral Regulations of Karlsruhe Institute of Technology (KIT) for the KIT Department of Architecture

1. I have not thus far committed a significant breach of the principles of good academic practice.
2. This doctoral process was not preceded by any other doctoral processes and I am not a candidate in any other doctoral processes.

or

This doctoral process was preceded by the following doctoral processes or I am a candidate in the following doctoral processes:

University:

Department:

Dissertation title:

Status of the doctoral process:

3. Through

.....

I have already been awarded the degree of Doctor of

.....

(delete below as applicable)

- a) This doctoral degree was not withdrawn for legal reasons.
- b) There are no reasons justifying the withdrawal of the doctoral degree in accordance with the statutory provisions.

4. A contractual relationship with a commercial doctoral consultant does not exist or did not exist.

5. I have observed the "Rules to Ensure Good Academic Practice at Karlsruhe Institute of Technology (KIT)" [*Regeln zur Sicherung guter wissenschaftlicher Praxis am Karlsruher Institut für Technologie (KIT)*].

6. The dissertation incorporates prior publications to which I contributed a significant portion of independent work as a co-author. Attached to this declaration is a list containing the following information:

Authors:

Title of previous publication:

Published in:

The list is an integral part of this declaration.

7. The dissertation or parts thereof were not submitted to another department as a dissertation.

or

This dissertation or the following specified parts thereof were submitted at

University:

Department:

as

8. I confirm the accuracy of the above declaration.

Place and date

Signature