

Administrative and Usage Regulations of the Dortmund Graduate School of Physics of the Department of Physics at TU Dortmund University of 19th December 2022

On the basis of Section 2 (4) and Section 29 (1) of the Higher Education Act of the State of North Rhine-Westphalia (*Hochschulgesetz NRW, HG*) of 16 September 2014 (GV.NRW. p.547), last amended by the Act of 30 June 2022 (GV.NRW. p.780b), the Department of Physics at TU Dortmund University has issued the following Administrative and Usage Regulations:

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Preamble

The Doctoral Regulations of the Department of Physics provide for a structured doctorate for all doctoral candidates. For this purpose, the Department of Physics has established a Graduate School. Its organization, tasks and offers are regulated in these regulations. The Department Council is responsible for adopting and amending these regulations.

Section 1 Legal status, name

The Graduate School is a scientific institution of the Department of Physics at TU Dortmund University according to Section 29 (1) Higher Education Act of the State of North Rhine-Westphalia (*Hochschulgesetz NRW, HG*) and bears the name "Dortmund Graduate School of Physics". It is oriented towards the principles of effective

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career support in science formulated by the German Research Foundation (DFG)¹ and implements the structured doctoral program mentioned in Section 10 of the Doctoral Regulations.

Section 2 Objective

- (1) The overarching goal of the Graduate School is to ensure high-quality conditions for doctoral studies at the Department of Physics. To achieve this goal, the Graduate School takes the following measures:
 - a) the further development of the structured doctoral program,
 - b) ensuring the quality of supervision of doctoral candidates with the help of measurable indicators,
 - c) the subject-related and interdisciplinary qualification of the doctoral candidates,
 - d) promoting the formation of scientific networks and science communication,
 - e) the promotion of internationalization,
 - f) the support of doctoral candidates with families,
 - g) ensuring the sustainable use of research data, and
 - h) the creation of offers for the development of the career of doctoral candidates.
- (2) The Graduate School also ensures the embedding of and linkage to other structured training programs, e.g., Research Training Groups (RTGs). This aims to avoid an unnecessary additional burden on doctoral candidates.

Section 3 Tasks

- (1) The tasks of the Graduate School are
 - a) the implementation of the measures referred to in Section 2,
 - b) the preparation and provision of all relevant information for doctoral candidates and supervisors on suitable platforms,
 - c) the maintenance of the external presentation, e.g., on websites,
 - d) the organization of information events for those interested in doctoral studies,
 - e) the support of doctoral candidates in matters relating to their doctorate and referring them to TU Dortmund University institutions for general matters, e.g., the Staff Unit Equal Opportunities, Family and Diversity, the TU Dortmund University Ombudspersons or the International Office,
 - f) the compilation and promotion of qualification measures, e.g., of the Graduate Center of TU Dortmund University, the Center for Higher Education (zhh) and the Research Academy Ruhr (RAR),
 - g) the application and, if necessary, mediation of further education offers and leadership trainings for supervisors,
 - h) the collection of statistics on doctoral projects, and
 - i) support for the organization of an annual meeting of doctoral candidates.

Section 4 Membership

- (1) Members of the Graduate School are
 - a) all persons permitted as supervisors in a doctoral procedure according to Section 8 of the Doctoral Regulations who are members of the Department of Physics at TU Dortmund University,
 - b) the doctoral candidates of the Department of Physics at TU Dortmund University who have been admitted to doctoral studies after 31 December 2022 according to Section 6 of the doctoral regulations,
 - c) doctoral students of the Department of Physics who have been admitted before 1 January 2023 and have been accepted as a member of the Graduate School in accordance with subsection 2,
 - d) the Managing Director and the Deputy Managing Director of the Graduate School,
 - e) the technical and administrative staff assigned to the Graduate School.

¹ https://www.dfg.de/foerderung/wissenschaftliche_karriere/karriereunterstuetzung/index.html

- (2) Other members may be admitted to the Graduate School upon application. This applies in particular to university teachers who do not belong to the Department of Physics as well as other persons who have been entrusted with the supervision of doctoral candidates according to Section 8 of the Doctoral Regulations. In addition, doctoral candidates of the Department of Physics who have already been admitted to doctoral studies before 1 January 2023 may be admitted upon application. The Executive Board examines whether the requirements according to sentences 1 and 2 are fulfilled and decides on the admission.
- (3) If a supervisor moves to another university or retires, the supervisor's membership in the Graduate School continues until all doctoral procedures supervised by the supervisor and still in progress at TU Dortmund University have been completed. The Executive Board decides on exceptional cases.
- (4) The beginning and end of the doctoral candidates' membership in the Graduate School is governed by Section 11 of the Doctoral Regulations.
- (5) Members of the Graduate School who are not also members of the Department of Physics of TU Dortmund University do not participate in elections and voting.

Section 5 Organs

- (1) The organs of the Graduate School are
 - a) the Executive Board,
 - b) the Spokesperson and the Deputy Spokesperson,
 - c) the Managing Director and the Deputy Managing Director as well as
 - d) the General Meeting.

Section 6 Executive Board

- (1) The Executive Board of the Graduate School consists of
 - a) five members from the group of university teachers pursuant to Section 11 (1) sentence 1 no.1 HG,
 - b) two members from the group of academic employees according to Section 11 (1) sentence 1 no.2 HG, whereby one member must be a person permitted as a supervisor according to Section 8 of the Doctoral Regulations and one member must be a doctoral student,
 - c) one member from the group of technical and administrative employees according to Section 11 (1) sentence 1 no.3 HG as well as
 - d) one member from the group of students according to Section 11 (1) sentence 1 no.4 HG, who is a doctoral student.

For the groups mentioned in sentence 1 lit. a), c) and d), one deputy member each is elected as well. For the group mentioned in sentence 1 lit. b), two deputy members are elected, whereby one deputy member must be a person permitted as a supervisor according to Section 8 of the Doctoral Regulations and one deputy member must be a doctoral candidate.

- (2) If no member of the Graduate School belongs to the group mentioned in subsection 1, sentence 1, lit. d) at the time of the election of the Executive Board or if no member of this group stands for election, this group will not be represented on the Executive Board of the Graduate School until the next ordinary General Meeting. In this case, the number of board members according to subsection 1, sentence 1, lit. b) increases to three members, whereby one member must be a person permitted as a supervisor according to Section 8 of the Doctoral Regulations and two members must be doctoral candidates. If, at the time of the election of the Executive Board, only one member of the Graduate School belongs to the group mentioned in subsection

1, sentence 1, lit. d), or if only one member of this group stands for election, this group will not provide a deputy member of the Executive Board until the next ordinary General Meeting.

- (3) The General Meeting elects the members and deputy members of the Executive Board on proposal of the respective groups separated by groups with the simple majority of the present group members. The composition of the Executive Board shall be announced. In the event of the premature departure of a member or deputy member of the Board, a by-election shall be held for the remainder of the term of office; sentence 1 shall apply accordingly.
- (4) The term of office of the members and the deputy members of these groups of the Executive Board named in subsection 1 sentence 1 lit. a), b) and c) is two years. The term of office of the Executive Board member named in subsection 1 sentence 1, lit. d) and the deputy Executive Board member of this group is one year. In the case of subsection 2, sentence 2, the term of office of the board member among the representatives of the doctoral students in the group named in subsection 1, sentence 1, lit. b) who received the fewest votes shall be one year, in deviation from sentence 1. Re-election is possible.
- (5) The first election of the members and the deputy members of the Executive Board shall be held, in deviation from subsection 3, by the Department Council of the Department of Physics, separated according to groups, with a simple majority of the group members present at the election. The term of office of all members and deputy members of the Executive Board is, in deviation from subsection 4, one year after the first election of the Executive Board according to sentence 1.
- (6) The Executive Board conducts the business of the Graduate School. It is responsible for all tasks of the Graduate School, unless otherwise specified in these regulations. In particular, it is responsible for:
 - a) the election of the Spokesperson and the Deputy Spokesperson,
 - b) the appointment of a Managing Director and a Deputy Managing Director,
 - c) the admission of members to the Graduate School.
- (7) The Executive Board meets at least once per semester. The Executive Board meets publicly for the members of the Graduate School in accordance with Section 4. The public is excluded for questions concerning personnel matters.
- (8) The Board of Management constitutes a quorum if at least half of the members of the Executive Board are present. Resolutions of the Executive Board are passed by a simple majority of the board members present. In the event of a tie, the vote of the Spokesperson shall be decisive.

Section 7 Spokesperson and Deputy Spokesperson

- (1) The members of the Executive Board shall elect a Spokesperson and a Deputy Spokesperson from among their members in accordance with Section 6 (1) sentence 1 lit a) for a period of two years. Re-election is permissible. In the event of the premature departure of the Spokesperson or the Deputy Spokesperson, a by-election shall be held for the remainder of the term of office; sentence 1 shall apply accordingly.
- (2) The Spokesperson leads the Graduate School and represents its interests within and outside the university. He/she is the Chairperson of the Executive Board.
- (3) The Spokesperson chairs the Board Meetings.
- (4) In the event of being prevented from attending, the Spokesperson shall be represented by the Deputy Spokesperson.

Section 8 Managing Director and Deputy Managing Director

- (1) The Executive Board appoints a Managing Director and a Deputy Managing Director for the Graduate School.
- (2) The Managing Director is responsible for the administrative tasks of the Graduate School, insofar as they are not assigned to the Executive Board or the Spokesperson within the framework of these regulations.
- (3) The tasks of the Managing Director include in particular
 - a) the convening of Board Meetings and General Meetings,
 - b) the information of the members,
 - c) the quality assurance of the reports, and
 - d) the compilation of statistics on doctoral students.
- (4) In case of being prevented, the Managing Director is represented by the Deputy Managing Director.
- (5) In deviation from subsection 3 lit. a, the Dean of the Department of Physics shall convene the first meeting of the Executive Board after the establishment of the Graduate School.

Section 9 General Meeting

- (1) The ordinary General Meeting shall be convened at least once a year; the meeting shall be convened in writing or electronically by the Managing Director at least two weeks before the meeting.
- (2) An extraordinary General Meeting shall be convened if at least one third of the members of the Graduate School request it. The request for an extraordinary General Meeting should be submitted to the management. The invitation period is one week.
- (3) The General Meeting elects the Executive Board and advises it on all fundamental matters. The resolutions of the General Meeting shall be adopted by a simple majority of the members present at the meeting.

Section 10 Quality assurance measures

- (1) The quality of the supervision is to be ensured by several measures:
 - a) regular discussions between the supervisor and the doctoral candidate,
 - b) regular presentations/talks on the status of its own work, and
 - c) regular production of short written reports.

The details of these measures are to be regulated in the Supervision Agreement in accordance with Section 8 (6) of the Doctoral Regulations. Pre-printed forms of the Supervision Agreement and the required attachments (project outline, mutual commitment to the principles of good scientific practice and the principles of good doctoral supervision) are made available on the website of the Graduate School.

- (2) The written reports are to be prepared annually after every 12 months. Preprinted report forms can be found on the website of the Graduate School. If possible, the reports should be completed digitally. The reports are discussed and signed by the doctoral candidate and the supervisors. They will be sent without request to the Managing Director of the Graduate School. In special cases (e.g. prolonged illness) or changes in the family situation, postponements can be agreed with the supervisors in consultation with the Managing Director of the Graduate School.
- (3) The reports are reviewed and archived by the Managing Director of the Graduate School. Unclear and incomplete reports are returned to the doctoral candidates for revision. Reports that indicate a need for

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action are forwarded to the doctoral committee in order to identify potential problems in the doctorate or the supervision situation and take further measures.

Section 11 Scientific networking and communication

- (1) Doctoral candidates are required to publish the results of their research. This should be done according to the common practice of the respective discipline, typically in peer-reviewed journals.
- (2) Establishing a personal network and communicating one's own research are important aspects of building an academic career. Doctoral candidates should therefore be given the opportunity to present their results at international conferences and to participate in schools for doctoral candidates.
- (3) Since the exchange between science and society is becoming increasingly important, doctoral students should be given the opportunity to engage in public relations activities, e.g., at open days, special programs or public lectures.
- (4) For an easy exchange among each other and for the formation of intra-departmental networks, the Graduate School supports the organization of annual doctoral student meetings.

Section 12 Internationalization

- (1) The phase of doctoral studies typically offers very good opportunities to gain experience in the field of internationalization. Doctoral candidates should therefore be given the opportunity to participate in international conferences and schools.
- (2) If the doctoral project allows, research stays at other, also international, locations should also be considered, e.g., in the context of collaborations or an exchange of experience.
- (3) In order to facilitate the participation of international doctoral candidates in the Graduate School, all organizational events shall be offered in English. All administrative documents related to the Graduate School are offered in German and in English. The lecturers are required to offer courses for doctoral candidates in English.

Section 13 Doctoral studies and family

The Graduate School supports doctoral candidates with families. In addition to the general support offered by the Department of Physics and TU Dortmund University, the Graduate School offers, in consultation with the supervisor,

- a) part-time offers and flexible working hours,
- b) on-site support, e.g., by helping to find childcare and purchasing play materials, as well as
- c) support for travel, e.g., financial support for an accompanying caregiver travelling with the child.

Section 14 Sustainable use of research data

Employees working on research projects are required to make research data sustainably usable along the FAIR principles and in accordance with the principles of research data management at TU Dortmund University². The data generated during the doctorate should be shared with other researchers as much as possible and as little as necessary. The doctoral researchers therefore commit themselves to the long-term, comprehensible storage and documentation of the data important for the doctorate, in order to make the quality and validity of the foundations of the doctoral thesis verifiable.

²<https://www.tu-dortmund.de/forschung/forschungsdatenmanagement/grundsaeetze-des-forschungsdatenmanagements/>

Section 15 Career development of doctoral candidates

- (1) In addition to supervising doctoral projects, the Graduate School aims to promote the development of doctoral students' careers. In addition to providing general offers, the supervisors of doctoral theses are encouraged to implement individual support measures.
- (2) The supervisors of doctoral candidates are required to advise their candidates with regard to an academic career, e.g., by establishing contacts from the supervisor's network or by supporting the preparation of a funding application.
- (3) The supervisors should also consider nominating suitable doctoral candidates for scientific awards of TU Dortmund University or other associations. The Graduate School informs about various possibilities in this context.
- (4) The supervisors should also support doctoral candidates with regard to a career in industry or business, e.g., through the optional writing of a job reference. The Graduate School also supports the doctoral candidates by providing information on relevant job fairs and events.

Section 16 Statistics on doctoral candidates

The managing director of the Graduate School compiles annual statistics on the doctoral students of the Department of Physics, taking into account data protection regulations and the provisions of the German Higher Education Statistics Act (*Hochschulstatistikgesetz*, HStatG). To obtain the data, a final report is filled out by the doctoral candidates after the disputation. Preprints for this final report can be found on the website of the Graduate School. If possible, the report should be completed online.

Section 17 Coordination with other structured training programs

In order to avoid double burdens for doctoral candidates who are also members of another structured training program (e.g. as a member of a Research Training Group), the supervisors may in these cases, in accordance with Section 10 (8) of the Doctoral Regulations, also recognize achievements made within the framework of these programs for the structured doctoral program.

Section 18 Entry into force

These regulations come into force on 1 January 2023.

Issued on the basis of the resolution of the Department Council of the Department of Physics at TU Dortmund University of 26 October 2022.

Note

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

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

Dortmund, __. __. ____

The President
of TU Dortmund University

University Professor
Dr. Manfred Bayer