

Guidelines for the Doctoral Examination Process (last changed: 28/08/2018)

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1. Notes on the doctoral examination process

The doctoral examination process is defined by three separate phases:

1. Acceptance as a doctoral candidate in the Faculty of Electrical Engineering and Information Technology and academic research on a selected topic, with the goal of completing a dissertation
2. Concluding the doctoral examination process through an oral exam
3. Publishing the dissertation and concluding the doctoral examination process

The following sections describe the individual formal steps you must complete during this process. The faculty provides information on the doctoral program on the website

<http://www.ei.rub.de/forschung/promotionen/>.

You can find all the forms and information listed in these guidelines at this address. Alternatively, you can obtain forms directly from the Dean's office. The formal basis for the doctoral examination process is provided by the Doctoral Regulations of the Faculty of Electrical Engineering and Information Technology at Ruhr-Universität Bochum, dated May 25, 2016, Official Notification No. 1157, as well as the statutes for amending the Doctoral Regulations of the Faculty of Electrical Engineering and Information Technology of the Ruhr-Universität Bochum dated February 14, 2017 Official Notification No.1207, which you also find in this information..

2. Supervisors

The doctoral examination process starts with an agreement between the doctoral candidate and their supervisors. It is essential that you find a supervisor for your work before beginning the doctoral examination process. Any professor or member of the department who has completed their "Habilitationsschrift" to qualify as a university lecturer may serve as a supervisor. A secondary

supervisor (see Sec. 7 para. 3) is selected in agreement with the primary supervisor. The doctoral candidate and their supervisors conclude a Supervision Agreement in accordance with attachment 1, which is part of the doctoral candidate's Application for Acceptance as a Doctoral Candidate.

3. Doctoral board (see also Sec. 3 of the Doctoral Regulations)

The doctoral board within the department is the final authority on all questions related to the doctoral examination process. All professors and members of the faculty who have completed their "Habilitationsschrift" and qualified as university lecturers are part of the dissertation committee, which also includes two research associates and professors drawn from other departments. The doctoral board meets while the university is in session, usually three to four times a semester. The dates of doctoral board meetings are posted on the internet.

<http://www.ei.rub.de/fakultaet/gremien/promotionsausschuss/>

4. Application for Acceptance as a Doctoral Candidate (Sec. 6 of the Doctoral Regulations) (Submit in full at least 2 weeks before the meeting of the doctoral board to the Dean's office)

The **Application for Acceptance as a Doctoral Candidate** (form) must be submitted when the student begins their work as a doctoral candidate. This application is reviewed by the doctoral board of the faculty. The primary focus is on the requirements for admission to the doctoral program. We refer to the Doctoral Regulations for the specific details of these admission requirements. The Application for Acceptance as a Doctoral Candidate includes the following documents:

1. A Supervision Agreement signed by the supervisors (Attachment 1)
2. A recommendation by the supervisors to establish requirements (Attachment 2)
3. University certificate (copy)
4. Curriculum vitae/Resume in tabular form with photo, educational background, and professional background, if applicable
5. University entrance qualification (high school certificate) (copy)

The Supervision Agreement (Attachment 1) includes a statement of the agreed dissertation topic in both German and English. This statement should be seen as a working title, and can be adjusted later.

5. Academic research phase

After acceptance as a doctoral candidate, the first phase of the doctoral examination process begins: the academic research phase. The details on framework conditions, financial matters, and obligations are agreed between doctoral candidate and supervisor.

6. Completing the dissertation

The dissertation is proof of the candidate's capability to complete independent research work in an area of Electrical Engineering / Information Technology. The following criteria must be fulfilled when this document is submitted:

1. The dissertation has a cover sheet with the name of the author and the title of the work
2. The title page (1st page after the cover sheet) of the dissertation includes at least the following information:
 - a) Title of the dissertation
 - b) Text: "Dissertation for attaining the degree of a Doctor of Engineering in the Department of Electrical Engineering and Information Technology at Ruhr-Universität Bochum",
 - c) Name of the author,
 - d) Place of birth,
 - e) Year submitted

The final version of the dissertation to be published (see chapter 9) must also include information on the reviewers and the date of the oral examination on the title page. The dissertation should also include acknowledgments, where applicable. Further features are left up to the author's personal taste or additional requirements added by the supervisor.

7. Application for Admission to the Doctoral Examination Process (Sec. 9 of the Doctoral Regulations) (Submit in full to the Dean's office at least 2 weeks before the meeting of the doctoral board)

After the supervisor and the doctoral candidate have agreed that the dissertation has the required content and scope, and a written version is complete, the second phase of the doctoral examination process begins. For this, the Application for Admission to the Doctoral Examination Process (form) is submitted. The following must be taken into consideration when submitting this application: A doctoral board meeting is required before the review can begin. The meeting opens the proceedings. The two reporters (also called reviewers) are officially appointed and commissioned with reviewing the dissertation submitted. One of the reviewers may be a professor from another university. Reviewers officially have 3 months time (Sec. 12, para. 3) to prepare their reviews. Reviews must be submitted before the examination date can be set. Once the reviews are submitted, the Dean sets the examination date and appoints the examination board.

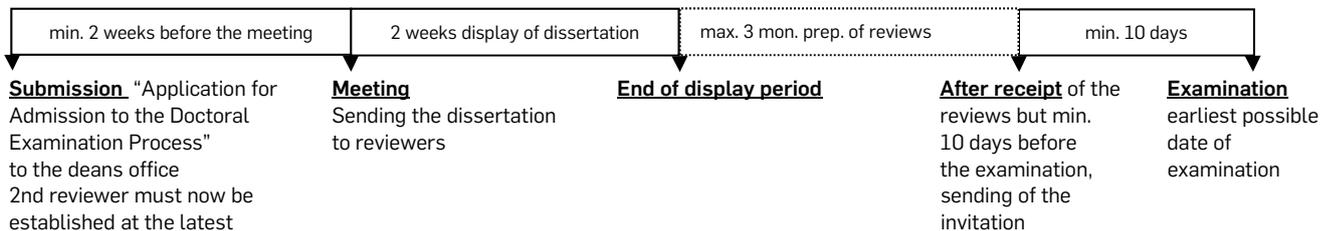
The Application for Admission to the Doctoral Examination Process must be submitted to the departmental Dean's office (see contact information) at least two weeks before the doctoral board meeting in which the proceedings are to be opened.

The following documents are part of this application:

1. Three copies of the dissertation (if there are 3 reviewers, 4 copies must be submitted), either bound or stitched, in A4 format (single- or double-sided, as agreed with the reviewers)
2. A abstract of the dissertation in German (one A4 page) in paper form which includes the title of the dissertation and the name of the applicant

3. A complete CV incl. an overview of the candidate's own academic publications and conference participations, separated into
 - a) reviewed publications in academic journals (peer-reviewed papers),
 - b) reviewed conference papers (peer-reviewed conference proceedings),
 - c) other publications,
 - d) list of conference and convention participations
4. A CD, **labeled with:** "Dissertation"; name of the author; title of the work; brief summary; list of publications **with the following content** (each as a .pdf file):
 - Dissertation in accordance with point 1
 - Electronic version of the abstract in accordance with point 2
 - CV incl. an overview of the candidate's own academic publications and conference participations in accordance with point 3.
5. A Declaration Under Oath in accordance with Sec. 9 of the Doctoral Regulations (form Attachment 5)
6. If applicable, a declaration rejecting the presence of an audience in accordance with sec. 13 para. 5 during the oral examination

The three or four copies (point 1) and the CD can be submitted later, **up to one day before the doctoral board meeting**. Please note that the dissertation submitted is the basis upon which the candidate will be assessed, but does not have to be published without changes. Reviewers have the option of requiring changes.



8. Doctoral examination (Sec. 13 Doctoral Regulations)

The board consists of five (or six) members of the doctoral board. Beside the two (or three) reviewers, three additional members are selected. The doctorate supervisor suggests these members to the Dean, and one of them will take over the role of Chair of the board. You should agree your examination date in good time with your doctorate supervisor (on submission). The doctorate supervisor submits this suggested date to the Dean. The Dean then informs you in writing of the date and of the composition of the board after receipt of the review.

The oral examination generally takes place in one of the seminar rooms in building ID. If you would like to practice your examination presentation in one of the seminar rooms in advance, you can borrow a key in the departmental Dean's office (see contact information). The examination lasts 60 to 75 minutes. After the Chair opens the examination, the doctoral candidate spends the first 20 to 25 minutes presenting their work in lecture form. In accordance with Sec. 12 para. 3, the use of technical equipment should be "restricted to the necessary minimum." This regulation is interpreted as follows: "The type of equipment selected should provide optimal support for the content of the presentation. The candidate is free to determine how to most efficiently present the results of their work. In case

of an electronic presentation, the presentation should also be available to the examination commission in paper form."

After the presentation, the examination board will ask questions about the work and about other topics related to the work.

After the examination, the board will retire to discuss the presentation. You will receive the results of the doctoral examination (oral and written) directly after their discussion from the Chair of the board.

After passing the examination, you will receive a preliminary confirmation of the doctoral examination by mail.

9. Publishing the dissertation (please also note No. 10!!)

Before you receive your doctoral certificate and can officially bear the title of "Dr.-Ing.," your dissertation has to be published. This means that you will first need to include any changes required by your reviewers.

You then have two options to publish your dissertation:

- 1) Publish with a publishing house and submit two copies in A5 to the University library.
- 2) Submit two copies in A5 and a CD with the dissertation to the University library.
(for further information: http://www.ub.rub.de/Digibib/Dissweb/E_Diss.html)

In the first case, you will receive a certification of publication from the publishing house. You must submit this to the University library in order to receive a second certification. In the second case, when you submit the dissertation you will receive only the second certification directly from the University library.

10. Concluding the doctoral examination process (documents to be submitted to the Dean's office)

To conclude the doctoral examination process, you must submit the following documents to the Dean's office:

1. Certification of publication from the publishing company (in case 1)
2. Certification of publication from the University library (in both cases)
3. Two copies of the published dissertation (printed in color, if dissertation includes color images) (A5, bound (see chapter 6))
4. A CD, **labeled with:** "Dissertation"; name of the author; title of the work; "abstract"; "list of publications" **with the following content** (each as a .pdf file):
 - complete and published dissertation,
 - abstract,
 - publication list,
5. Declaration of Consent from your reviewers (form)

The certificate, plus certified English translation, will generally be provided to you directly after submission of all the required documents to the Dean's office.

11. Timeline

1. Begin your work with a professor
2. At the same time, submit the Application for Acceptance as a Doctoral Candidate (see chapter 4) (**2 weeks before** the doctoral board meeting)
3. Enrol as a doctoral candidate (in accordance with Sec. 67 para. 5 clause 1 of the Higher Education Act and the Registration Ordinance of Ruhr-Universität Bochum dated 02/20/2006 (AB 641), amended in the statutes of 01/28/2010 (AB 824), last version dated 07/09/2016 (AB 922) Sec. 3a para. 1.
4. Academic research and completion of the dissertation (typically 3-5 years)
5. Application for Admission to the Doctoral Examination Process (see chapter 7) (**2 weeks before** the doctoral board meeting)
6. At the latest **1 day before** the doctoral board meeting: Submission of the dissertation and CD, as an attachment to the Application for Admission to the Doctoral Examination Process
7. Oral examination (see chapter 8), you must be enrolled in order to be admitted for the examination, even if you are an external doctoral candidate!
8. Revision of the dissertation if required
9. Publishing of the dissertation (see chapter 9)
10. Submission of the final required documents (see chapter 10)
11. Presentation of the doctoral confirmation

12. Information for external doctoral candidates

If you do not complete your dissertation within the ET/IT department at RUB, some additional information is useful:

One of your two reviewers must be a professor at the EE/IT department at RUB.

Your Application for Acceptance as a Doctoral Candidate should be submitted as early as possible. It is in your interest to have your requirements for admission reviewed.

You must include your suggestion for your second reviewer with your Application for Acceptance as a Doctoral Candidate, along with your Supervision Agreement signed by both supervisors.

13. Contact

The Dean's office of the Faculty for Electrical Engineering and Information Technology is responsible for organizational matters related to the doctoral examination process. If you have questions, please contact:

Dean's office of the of the Faculty of Electrical Engineering and Information Technology
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