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Enrollment regulations for doctoral candidates at the Graduate School for Applied Research in North Rhine-Westphalia

in the version dated 29.11.2022

On the basis of §§ 2 (2) sentence 1, and 10 (2) of the administrative agreement on the establishment of the Graduate School for Applied Research in North Rhine-Westphalia dated November 30, 2020 in conjunction with §§ 67b and 48 (1) sentence 2 of the Higher Education Act of the State of North Rhine-Westphalia (Higher Education Act – HG NRW) of September 16, 2014, last amended on March 25, 2021, the Graduate School for Applied Research in North Rhine-Westphalia issues the following regulations:

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§ 1 Scope of application

(1) These regulations govern the enrolment of doctoral candidates at the Graduate School for Applied Research in North Rhine-Westphalia (Graduate School NRW) who are doing their doctorate within the framework of the doctoral right of the Graduate School. The required enrolment of these doctoral candidates at the supporting universities is carried out in accordance with the respective enrolment regulations of the universities.

(2) These regulations do not apply to the enrolment of cooperative doctoral candidates, who are enrolled exclusively in accordance with the respective regulations of the universities.

§ 2 General

(1) Doctoral candidates are admitted to the Graduate School NRW as doctoral candidates upon application by enrolment (matriculation). For the duration of their enrolment, doctoral candidates become members of the Graduate School NRW with the resulting rights and obligations described in the administrative agreement, the basic regulations and the

membership regulations of the Graduate School NRW as well as the Higher Education Act NRW.

(2) Enrolment is open to those who meet the admission requirements in accordance with § 67 (4) HG NRW and who have been nominated to the Graduate School NRW by the University of Applied Sciences and accepted by it as a doctoral candidate (cf. Section 10 (1) of the administrative agreement in conjunction with Sections 3 ff. of these regulations).

§ 3 Prerequisites for enrolment / enrolment with reservation

(1) Enrolment at the Graduate School NRW is granted if

1. the admission requirements for the doctoral procedure pursuant to § 67 (4) HG NRW in conjunction with § 5 Framework Doctoral Degree Regulations (RPO) and the doctoral degree regulations of the respective departments are met
2. proof of acceptance as a doctoral candidate (§ 6 RPO) is submitted. The doctoral examining committee of the responsible department decides on acceptance and informs the respective university accordingly;
3. proof of enrolment at the respective supporting university is submitted.

(2) Enrolment may be subject to the reservation that the applicant doctoral candidate must fulfil clearly defined conditions by a certain date in accordance with the Framework Doctoral Degree Regulations and the Doctoral Degree Regulations of the departments. In this case, enrolment is initially limited in time subject to the fulfilment of the conditions. The conditions and the deadline for fulfilling the conditions are determined by the doctoral examining committee and communicated to the respective member university.

(3) If the doctoral candidate has been admitted to pre-doctoral studies, enrolment is subject to the reservation that the evidence of suitability for the doctoral procedure required by the doctoral examining committee in accordance with § 5 RPO in conjunction with the respective Doctoral Degree Regulations of the relevant department is submitted on time. In this case, (2) sentence 2 applies accordingly.

(4) Enrolment may also be conditional if official acceptance on the basis of the supervision agreement is still pending. In this case, (2) sentence 2 applies accordingly.

§ 4 Procedure of the enrolment process

(1) Enrolment in the Graduate School NRW takes place upon application by the doctoral candidate. The application and the required supporting documents must be submitted in both electronic and written form. Further details will be announced by the Graduate School NRW in an appropriate manner. In exceptional cases, the doctoral candidate may be required to appear in person. This will be decided by the Graduate School NRW.

(2) As a rule, the application must be submitted within four weeks of enrolment at the university. Enrolment at the Graduate School NRW takes effect at the beginning of the semester in which enrolment at the respective supporting university took place.

(3) The following must be submitted upon enrolment:

1. the completed and signed application for enrolment,
2. the documents required to prove eligibility for admission (in particular acceptance as a doctoral candidate),
3. Proof of enrolment at the respective member university,
4. if a person is authorized, a copy of the identity card of the authorized person as well as of the person granting the power of attorney and the power of attorney document,
5. if applicable, further proof of the respective admission or enrolment requirements required according to the Doctoral Degree Regulations or individual doctoral degree agreements of the respective degree program.

§ 5 Barriers to enrolment

(1) Enrolment shall be refused if

1. the applicant does not meet the admission requirements pursuant to § 3 (1) or does not provide suitable proof thereof,
2. the applicant does not comply with the procedure specified in § 4,
3. the applicant is denied enrolment at the supporting university due to enrolment obstacles or other reasons.

(2) Enrolment may be refused if the applicant

1. suffers from an illness that seriously endangers the health of the members of the Graduate School NRW, in particular the doctoral candidates, or threatens to seriously impair the proper conduct of studies,
2. has not complied with the forms and deadlines prescribed for enrolment at the Graduate School NRW or has not submitted individual documents within a grace period.

§ 6 Limitation of enrolment

As a rule, enrolment is limited to five years. During this period, regular semesterly re-registration is required in accordance with § 9. The possible duration of an extension is specified in the respective Departmental Doctoral Regulations. The doctoral examining committee decides on a possible extension upon application. As a rule, this application must be submitted to the doctoral committee at least three months before the deadline.

§ 7 Certificate of enrolment

Enrolled doctoral candidates will receive a certificate of enrolment from the NRW Graduate School for the respective semester upon application.

§ 8 Exmatriculation

(1) A doctoral candidate must be exmatriculated if

1. she or he requests this,
2. the enrolment was brought about by coercion, fraudulent misrepresentation or a criminal offense,
3. in the case of conditional enrolment, the conditions are not met within the specified deadline and no extension of the deadline has been granted,
4. the defense has been successfully passed and the certificate has been issued. Exmatriculation takes place at the latest at the end of the semester in which the certificate was issued.
5. he or she has been exmatriculated at the respective supporting university. In this case, exmatriculation at the Graduate School NRW will take place at the same time, possibly retroactively.

(2) A doctoral candidate may be exmatriculated if

1. facts become known after enrolment and continue to exist or occur which should or could have led to denial of enrolment,
2. she or he does not take up the doctoral studies or does not properly re-register without having been granted leave of absence,
3. a case of § 63 (5) sentence 6 of the NRW Higher Education Act (multiple or other serious attempts at cheating in the doctorate and any related examinations) is given,
4. her or his place of residence or whereabouts cannot be determined.

§ 9 Re-Registration

If the doctoral candidate wishes to continue his or her doctoral studies, she or he must re-register at both the supporting university and the Graduate School NRW within the deadline set by the supporting university and the Graduate School NRW for each semester. The respective re-registration deadline will be announced in a suitable form. Re-registration takes place first at the supporting university and then by submitting the current certificate of enrolment from the supporting university to the Graduate School NRW. Re-registration requires that there are no reasons for exmatriculation as defined in § 8. The doctoral examining committee of the Graduate School NRW will inform the relevant university immediately if there are reasons for exmatriculation at the Graduate School NRW.

§ 10 Leave of absence

(1) A doctoral candidate is granted leave of absence from the Graduate School NRW if she or he has been granted leave of absence from the supporting university. The duration of the leave of absence at the Graduate School NRW corresponds to the duration of the leave of absence at the supporting university. The supporting universities shall inform the Graduate School NRW immediately after the leave of absence has been approved.

(2) Doctoral candidates on leave of absence are not entitled to take examinations and fulfil elements of the doctoral program. This does not apply to the repetition of failed examinations or if the leave of absence is due to the care of a close relative within the meaning of § 7 (3) of the Act on Caregiver Leave (Gesetz über die Pflegezeit) – PflegeZG – or due to the care and upbringing of children named in § 25 (5) of the Federal Training Assistance Act (Bundesausbildungsförderungsgesetz).

(3) The period of enrolment according to § 5 is extended by the period of leave of absence.

§ 11 Data collection

(1) The Graduate School NRW collects and processes the following personal data from doctoral candidates, which is necessary for the lawful fulfilment of the tasks for which it is responsible:

1. name,
2. first name(s),
3. name affixes,
4. gender,
5. date of birth,
6. place of birth (including country of birth),
7. birth name, if different from 1.,
8. nationality(ies),
9. postal address (place of residence, street, house number) and, if applicable, additional address,
10. telephone number, e-mail address,
11. the date, type, place and country of the higher education entrance qualification, year and place or country of issue of the certificate and the corresponding average grade,
12. the date of first enrolment in Germany and the date of enrolment at the supporting university,
13. if applicable, further information, such as the existence of a severe disability, information on children under the age of 18 at the time of enrolment,
14. subject, department and desired doctoral program,
15. semester at the university and semester within the subject,
16. information about the university at which she or he is enrolled in parallel,
17. information on finally failed examinations at universities of applied sciences and other higher education institutions,
18. information on previous periods of study,
19. information on final examinations taken,
20. details of completed vocational training(s),
21. declarations, certificates and evidence submitted in connection with applications for remission or reduction,
22. information on practical work experience prior to commencement of studies,
23. information on re-registration blocks and their reasons,

24. changes in the course of studies (change of degree program, change of examination regulations, leave of absence),
25. membership to Cohort / year of birth,
26. information on the type of doctorate, the doctoral subject and the doctoral topic,
27. information on the department and the doctoral program,
28. date of acceptance as a doctoral candidate at the department,
29. details of the doctoral degree sought,
30. employment relationship at PK NRW,
31. date of commencement and expected completion of the doctorate,
32. proof of enrolment from the supporting university,
33. details of the supervision team and confirmation of supervision,
34. language of the dissertation, if this is not German,
35. in the case of a joint doctorate, the name of the second doctoral candidate
36. information on cooperating universities in the case of a doctorate in joint supervision with universities entitled to award doctorates and joint awarding of degrees and in the case of a cooperative doctorate with universities not entitled to award doctorates via the doctoral right of the Graduate School NRW,
37. exposé.

In the case of leave of absence, the following data is collected:

1. semester of the leave of absence,
2. date of leave of absence,
3. reason for leave of absence,
4. number of semesters on leave of absence.

The following data is collected upon exmatriculation:

1. fact of exmatriculation including date and
2. reason for exmatriculation.

(2) The data collected will be passed on within the Graduate School NRW and to external reviewers insofar as this is necessary for the fulfilment of the tasks for which the recipient is responsible. This data may be stored and used by the recipient insofar as this is necessary for the fulfilment of tasks.

(4) The data collected may be passed on to the supporting university at which the doctoral candidate is enrolled for the purpose of comparing enrolment requirements, information for statistical reports and the duration of the doctoral procedure in accordance with § 67 b (4) HG NRW.

(5) Once exmatriculation has taken place, the personal data of the exmatriculated student will be deleted if their knowledge is no longer required for the fulfilment of the tasks of the Graduate School NRW. The doctoral candidate may consent in writing to their data being stored for the purpose of providing information to third parties in the interests of the exmatriculated student (e.g. for pension insurance certificates, for the preparation of duplicates, etc.) and to maintain contact between the Graduate School NRW and its former members.

(6) The provisions of the European General Data Protection Regulation (GDPR) and the Data Protection Act of North Rhine-Westphalia (DSG NRW) apply.

§ 12 Entry into force

Issued on the basis of the decision of the Graduate School Senate of 29.11.2022. This enrolment regulation comes into force on the day after its publication in the Official Notices of the Graduate School NRW.

Sankt Augustin, 05.12.2022

The Chairman of the College Senate

Signed *Jung*

(Prof. Dr.-Ing. Norbert Jung)