



Technische Universität München



# TUM Graduate School

Statute effective from May 13, 2009

## Preamble

The TECHNISCHE UNIVERSITÄT MÜNCHEN is committed to the education of junior scientists in the natural, engineering, and life sciences, in medicine, and in the economic sciences. The focus in the post-graduate phase of study is on scientific research. The increasing complexity of research topics necessitates the adoption of multidisciplinary and interdisciplinary approaches. At the same time, evolving labor markets require that future academic leaders hold a wide-ranging outlook that is not tied to individual disciplines and adopt an international orientation. As a core task of the Technische Universität München, research-driven graduate education must meet the increasing requirements in terms of course content, organization, and financial resources.

Against this background, as an innovative structure in German post-graduate education, the TUM GRADUATE SCHOOL (TUM-GS) is conceived in such a way as to be optimally positioned to meet best international standards with regard to the objectives, structure, and content of its programs. In addition to faculty-based study formats, the TUM-GS provides scope for unconventional educational objectives, in particular the interweaving of scientific-technological topics with entrepreneurial thinking and action along new innovation chains (science-to-business). This means that the qualification portfolio of graduate education at the TUM-GS is fundamentally open to expansion.

Irrespective of the significance of individual, independent scientific research, the TUM-GS creates the framework necessary for inter-faculty thematic research focuses (interdisciplinarity). It fosters the internationality of graduate education and organizes the interdisciplinary education of doctoral students at Technische Universität München. It ensures the teaching and training necessary for this in terms of both scope and level, and creates incentives for the exploitation of the latter by junior scientists, who, as the doctoral student body (*Doktorandenkonvent*), enjoy an institutional weighting as a group of key performers within the university.

The TUM-GS takes its direction from (a) the positive experiences of the TUM INTERNATIONAL GRADUATE SCHOOL OF SCIENCE AND ENGINEERING, which emerged from the Excellence Initiative 2006, and (b) the recommendations of the German Science Council (*Wissenschaftsrat*) and the Deutsche Forschungsgemeinschaft (German Research Foundation). The TUM-GS ensures the application of binding standards in graduate education throughout the university and enhances the variety of this education.

The Technische Universität München assumes continuous financial responsibility at central university level for the operative implementation of the TUM-GS.

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The Extended University Governing Board (Erweiterte Hochschulleitung) of the Technische Universität München (TUM) passed the following Statute on April 22, 2009, which is a supplement to the Doctoral Degree Regulations (*Promotionsordnung*) of the TUM, in accordance with the recommendation for the establishment of the TUM-GS made by the University Council (Hochschulrat) on November 26, 2008. The TUM-GS Statute was approved by the University Council on May 13, 2009.

Preliminary note:

Irrespective of the gender used, all personal pronouns refer to men and women equally.

## **§ 1**

### **Legal Form**

The TUM GRADUATE SCHOOL (hereinafter referred to as the TUM-GS) has the status of a Corporate Scientific Center (Zentrale Wissenschaftliche Einrichtung) of the TUM in accordance with Article 19 Paragraph 5 of the Bavarian Law Governing Colleges and Universities [BayHSchG]. It aims at structured scientific training of graduates aspiring to obtain doctorate degrees and is guided by consummate international standards.

## **§ 2**

### **Tasks and Aims**

- (1) The TUM-GS constitutes the comprehensive organizational format for the training of graduates at the TUM with which a corporate environment offering optimum conditions for scientific research is created. The aim is to further enhance the attractiveness and quality of the doctorate phase at the TUM for all doctoral candidates.
- (2) The focus of the doctorate program at the TUM is formed by the independent research work of the doctoral candidates who in turn are supported by the TUM-GS through a large variety of measures. Technical training is further enhanced with the help of graduate centers based on the respective faculties/departments or (interdisciplinary) thematically organized graduate centers. Moreover, the TUM-GS steers and organizes the further interdisciplinary training of the graduates. To this end, it provides for courses in accordance with the required scope and level. In addition, the TUM-GS provides services that are independent of specific disciplines for doctoral candidates and members of the TUM involved in providing supervision. It employs the central institutions of the TUM for these tasks. The TUM-GS also offers “welcome services” for international doctoral candidates and/or applicants; it provides interfaces to the international academic job market (incoming and outgoing, resp.).
- (3) The TUM-GS supports the strategic aim of the TUM to become the most attractive technical university in Germany for both female students and female scientists. It serves the target group of female doctoral candidates with special offers (networks for women, special supradisciplinary training). The TUM-GS is expressly committed to the gender mainstreaming mandate within the meaning of its own prescribed university aims and the guidelines of the European Union. Furthermore, the TUM-GS aims to make equivalent technical training possible for all constellations of families.
- (4) The TUM-GS integrates diverse postgraduate institutions and/or post-graduate programs – regardless of their subject-specific and/or faculty-specific or even interdisciplinary nature – into a common, binding set of rules.
- (5) The TUM-GS serves to develop the independent identity of the group of doctoral candidates. Independent of the employment relationship or financing model, the TUM-GS equally supports the traditional individual doctorate (Master–apprenticeship model) and doctoral candidacies in postgraduate programs and interdisciplinary graduate schools. External doctoral candidates may also become members of the TUM-GS.

- (6) A central aspiration of the TUM-GS consists in intensification of international cooperation and recruitment of first-class international doctoral candidates. Research trips abroad by doctoral candidates or the integration of international guest scientists into research work is supported and financially promoted to the same extent as international publications and conference contributions.
- (7) A goal of the TUM-GS is to reduce long periods required in order to obtain a doctorate degree. In general the aim is for a doctoral program of approximately three years. This period may be prolonged if, apart from research work on the specific doctoral project, more extensive tasks are assumed in teaching, scientific administration or projects with outside funding, particularly within the scope of employment as a scientific assistant.
- (8) The aim of the TUM is to equally strengthen both research and teaching. Thus it goes without saying that all doctoral candidates at the TUM-GS participate in the teaching and training required for this task. Particular attention is given in order to make certain that the time required is calculated in such a way that it does not conflict with the aim of expeditious completion of the doctoral program within the scope of the corresponding type of employment relationship (staff employment or scholarship). Rules of internal procedure specific to a particular discipline may also be drafted in Faculty Graduate Centers.
- (9) In cooperation with interested faculties, TUM-GS develops preparatory programs for the actual doctorate phase (pre-doctorate programs). These are designed in particular to create the specialized and interdisciplinary bases for both the doctorate phase and work on the selected research topic among foreign applicants for doctoral positions and for graduates of technical colleges and universities in a structured, individually arranged program of study of one to two semesters in duration. For this group a Faculty Graduate Center and/or Thematic Graduate Center may promote successful participation in this pre-doctorate program following corresponding aptitude testing and prior to final approval and admission to the doctoral program. At the end of the pre-doctorate phase, the respective graduate center shall reach a decision with regard to admission of an applicant to the TUM-GS as a doctoral candidate.

### **§ 3 Structure**

- (1) The TUM-GS has a matrix structure composed of the following units:
  - a. **Faculty Graduate Centers (FGCs)** and
  - b. **Thematic Graduate Centers (TGCs)**.

The TUM-GS has a Management Office with facilities that are adequate to the respective tasks.

- (2) Each faculty/department of the TUM, advisably several faculties together, can form a **Faculty Graduate Center (FGC)** under the supervision of the dean(s) which by request may be incorporated into the TUM-GS by way of a resolution adopted by the Extended University Governing Board.

Faculty Graduate Centers, as specified in Paragraph 1a, promote their doctoral candidates in accordance with the practices of the respective discipline and coordinate the specialized training program as well as international exchange. The respective FGC issues rules of internal procedure that must be approved by the TUM-GS for the respective arrangement; whereby uniform high quality in particular is to be universally assured while taking the culture of the various disciplines into consideration. Within the scope of this agreement the FGC is responsible for providing offers related to the fields of the respective doctoral candidates (special lectures, seminars based on the disciplines of the doctoral candidates, etc.), for the quality assurance of the individual doctoral examination procedures and for organizational matters (e.g. support in the organization of stays abroad for doctoral candidates and guest scholars). The coordination and organization of seminars on gender issues related to the respective culture of the specific discipline(s), as well as training particularly for female doctoral candidates, takes place, where it makes sense, via the FGCs. Each FGC is entitled to make rules for its doctoral candidates (e.g. with regard to mandatory participation in teaching) that go beyond the training program as specified in Section 15 of this present Statute.

- (3) **Thematic Graduate Centers (TGCs)** may be established under the umbrella of the TUM-GS at faculties/departments and/or wherever expedient beyond faculty/department limits by way of a resolution on the part of the Extended University Governing Board in accordance with Paragraph 1 b. They in turn are under the supervision of a spokesperson and operate similarly to FGCs, but define their own interdisciplinary focus and are entitled to make rules for their doctoral candidates that go beyond the training program as specified in Section 15 of this Statute. The statute of a TGC must be approved by the TUM-GS.

Examples of TGCs include the graduate schools IGSSE and GSISH, which were established within the scope of the Excellence Initiative 2006, graduate institutions in the excellence clusters, the PhD program “Medical Life Science and Technology”, graduate centers related to collaborative research centers (Sonderforschungsbereiche SFBs), DFG postgraduate programs or European/international doctoral programs (e.g. MAC@IGSSE or the EUROPEAN GRADUATE SCHOOL FOR SUSTAINABLE ENERGY).

- (4) TGCs may be preferentially established in cooperation with other universities or non-university research institutes.
- (5) The TUM-GS may create further organizational units within the scope of this Statute.
- (6) The TUM INTERNATIONAL GRADUATE SCHOOL OF SCIENCE AND ENGINEERING (IGSSE) of the Excellence Initiative 2006 fulfills the framework requirements of the present Statute and is thus a predefined member of the TUM-GS.
- (7) Graduate centers at the TUM without membership in the TUM-GS are not possible.

#### **§ 4 Governing Bodies**

The governing bodies of the TUM-GS include:

- (1) the Management Board with the Graduate Dean as the director of the TUM-GS,

- (2) the Committee of graduate center spokespersons,
- (3) the Doctoral Candidate Body (Doktorandenkonvent),
- (4) the Scientific Advisory Board.

## **§ 5 Membership**

- (1) Anyone who satisfies the prerequisites for admission to a doctoral program and who has received a promise for supervision as a doctoral candidate at the TUM may informally apply for membership at a suitable graduate center – FGC or TGC – at the TUM-GS.

Persons who are not employees or recipients of scholarships from the TUM and whose doctorate is supported by an institution other than the TUM may only be admitted if that institution makes the funds available to the TUM in accordance with Section 16.

The respective graduate center decides on the application in accordance with its own guidelines. Provisional admission may be granted in the event that any conditions are still to be met for final admission to the doctorate program. With membership in a graduate center the applicant also becomes a member of the TUM-GS. However, faculty/department membership shall remain unaffected.

A supervision agreement (Section 15) must be concluded at the latest six months after admission to the TUM-GS.

- (2) Other members of the TUM-GS include
  - a. the scientists of the TUM specified in the supervision agreement of the doctoral candidates of the TUM-GS<sup>1)</sup>,
  - b. the spokespersons of the FGCs and TGCs,
  - c. the staff of the Management Office of the TUM-GS.

Other persons may be admitted as members on request, e.g. professors of other universities and universities of applied science (Fachhochschulen) and universities who participate in the supervision of doctoral candidates.

- (3) Membership in the TUM-GS ends
  - a. for doctoral candidates under normal circumstances when the last relevant doctorate work has been provided in accordance with the TUM Doctoral Degree Regulations (TUM-Promotionsordnung);
  - b. for doctoral candidates if within the scope of the intermediate evaluation by the supervisor(s) or committees it is determined that continuation of the thesis does not

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<sup>1)</sup> Scientists within the meaning of this definition shall be TUM professors, scientific staff with doctorates, honorary professors, lecturers, TUM Emeriti of Excellence, Fellows of the TUM Institute for Advanced Study (TUM-IAS) and TUM Distinguished Affiliate Professors.

appear sensible. Also, in the event of insufficient participation in the training program in accordance with Section 15, membership at the TUM-GS may be prematurely terminated;

- c. through written notification of withdrawal to the Graduate Dean,
- d. if the Graduate Dean determines that a member does not fulfill the tasks and obligations in accordance with Section 7 Paragraph 3-6 of these regulations.

## **§ 6 Associate Members**

As associate members graduate centers may also admit

- (1) particularly qualified master's students in exceptional elite master's programs at the TUM (e.g. Bavarian Elite Network),
- (2) doctoral candidates of other institutions and
- (3) guests.

They thus become associate members of the TUM-GS.

## **§ 7 Member Rights and Obligations**

- (1) Members in accordance with Sections 5 and 6 shall be entitled to use the infrastructure and resources of the TUM-GS within the scope of the latter's possibilities. They may take advantage of the means available to the TUM-GS within the scope of the procedures specified in Sections 15 and 16.
- (2) In the event that a member withdraws from the TUM-GS due to relocation, then the respective member shall generally be entitled to continue to use the funds of the TUM-GS made available for a maximum period of three months within the meaning of conclusive financing.
- (3) As stipulated in the regulations, members shall be obliged to cooperate in the tasks and aims of the TUM-GS in accordance with Section 2 and to actively support the TUM-GS.
- (4) The rights and obligations of the doctoral candidates and supervisors shall be regulated in detail by a supervision agreement (Section 15). All members shall be obliged to provide for a timely and expeditious doctorate procedure.
- (5) Any publications and conference contributions based on membership at the TUM-GS shall be marked
  - (a) with the author address **TECHNISCHE UNIVERSITÄT MÜNCHEN;**
  - (b) with the reference that such work originated within the scope of the **TUM GRADUATE SCHOOL.**

The statutory obligation to report inventions to the TUM shall remain unaffected.

- (6) Members shall be obliged to report to the Management Board of the TUM-GS and the University Management Board upon request. Reporting in the case of doctoral candidates may take place within the scope of the quality control regulated in Section 15.

## **§ 8 Management Board**

- (1) The TUM-GS Management Board shall consist of:
  - a. the Graduate Dean and his/her deputy (Section 9),
  - b. the four representatives selected in accordance with Section 10 Paragraph 3 from the committee of spokespersons of the graduate centers that comprise the TUM-GS (Section 10),
  - c. the spokesperson of the Doctoral Candidate Body and his/her deputy (Section 11).
- (2) The term of office of the members of the TUM-GS Management Board in accordance with Paragraphs 1 a. and b. shall amount to three years and one year for members in accordance with Paragraph c. Members may also be re-elected.
- (3) The TUM-GS Management Board decides on the strategic focus of the TUM-GS, reviews implementation of the aims in accordance with Section 2 and provides initiatives for further development of the TUM-GS. Furthermore, it is responsible for the following tasks:
  - 3.1. development of the transferable skills program and the training program as well as its coordination, quality control and consultation with the University Management Board of the TUM and the graduate centers of the TUM-GS,
  - 3.2. coordination of any cooperation with non-university partners in Thematic Graduate Centers,
  - 3.3. preparation of the progress reports of the TUM-GS for the TUM,
  - 3.4. consulting on budget matters,
  - 3.5. implementation and quality assurance of the procedures for internal distribution of funds (Section 16),
  - 3.6. implementation of the gender mainstreaming principle and promotion of the equal treatment of men and women,
  - 3.7. proposals to the University Management Board regarding the admission and termination of membership of graduate centers at the TUM-GS,
  - 3.8. preparation and modification of the regulations of the TUM-GS,
  - 3.9. approval of the regulations and/or modifications of the same in the graduate centers

that comprise the TUM-GS,

3.10. receipt of the work report of the graduate centers that comprise the TUM-GS,

3.11. appointment of the members of the board of arbitration in accordance with Section 17.

- (4) The TUM-GS Management Board may draft its own rules of internal procedure.
- (5) The TUM-GS Management Board designates responsible persons for the aforementioned competencies from within its ranks. In all other respects the Graduate Dean takes the overall responsibility.
- (6) The TUM-GS Management Board shall meet at least twice a year. The meetings shall be chaired by the Graduate Dean and/or his/her deputy.

## **§ 9**

### **Graduate Dean**

- (1) The Graduate Dean heads the TUM-GS and represents its interests. The Graduate Dean also acts as the chairman of the TUM-GS Management Board. The Graduate Dean shall be obliged to report to the University Management Board in all matters concerning the TUM-GS and its institutions (Section 3(1)). The spokespersons of the graduate centers (Section 10) shall be obliged to report to the Graduate Dean.
- (2) The committee of the graduate center spokespersons of the Thematic Graduate Centers and the Faculty Graduate Centers of the TUM-GS shall elect the Graduate Dean as well as a deputy and propose to the University Management Board that they be appointed for three respective years. The Graduate Dean and deputy must be full-time, unlimited professors of the TUM. Reappointment is possible.
- (3) The tasks of the Graduate Dean include in particular:
  - 3.1. responsibility vis-à-vis the University Management Board for proper distribution of funds as well as adherence to the overall budget of the TUM-GS within the meaning of comprehensive and detailed accounting,
  - 3.2. personnel matters for staff financed from TUM-GS funds,
  - 3.3. summoning of TUM-GS Management Board meetings (Section 8), meetings of the Scientific Advisory Board (Section 12) and meetings of the Committee of the graduate center spokespersons (Section 10),
  - 3.4. reporting on its decisions to the TUM-GS Management Board,
  - 3.5. providing information to the members and staff,
  - 3.6. consulting on important matters with the University Management Board and submission of the annual progress and findings report of the TUM-GS to the Extended University Governing Board,

- 3.7. internal and public representation of the TUM-GS while taking the overall interests of the university into consideration,
  - 3.8. resolutions regarding the exclusion of members in accordance with Section 5(3d),
  - 3.9. proposing of members of the Scientific Advisory Board to the TUM President in accordance with Section 12.
- (4) The Graduate Dean shall receive a perquisite, specified by the University President, for his/her services. The Graduate Dean is a member of the Extended University Governing Board with his/her seat and vote.
  - (5) The Graduate Dean shall be supported by the Managing Director as well as the Management Office of the TUM-GS (Section 13).
  - (6) If the TUM-GS Management Board cannot be called up and decide in time, then the Graduate Dean shall make decisions with regard to matters relevant to the Board within the scope of emergency competence. A report shall be provided at the next board meeting.
  - (7) In the event that the Graduate Dean prematurely resigns from office, then a successor shall be elected for the remaining term of office. The deputy shall carry out the office until such election.
  - (8) Dismissal of the Graduate Dean shall be possible given good cause. The decision shall be made by the University Management Board.

## **§ 10**

### **Committee of Graduate Centers' Spokespersons**

- (1) Each graduate center shall be headed by a spokesperson who is elected within the respective graduate center. The spokesperson shall be supported by a deputy. The regulations of the respective graduate centers shall regulate any details.
- (2) The spokespersons of the graduate centers shall be responsible for the following tasks:
  - 2.1. coordination of the respective graduate center,
  - 2.2. distribution and verification of the allocated funds for the projects and activities within the graduate center,
  - 2.3. reporting to the Management Board of the TUM-GS,
  - 2.4. cooperation as well as interdisciplinary collaboration within and between the respective graduate centers.
  - 2.5. The Committee of graduate center spokespersons shall elect four members of the board and the Graduate Dean from within its ranks in accordance with Section 8 (1).
  - 2.6. The Committee of graduate center spokespersons shall meet at least once per year.

**§ 11**  
**Doctoral Candidate Body (Doktorandenkonvent)**

- (1) The Doctoral Candidate Body (Doktorandenkonvent) of the TUM-GS shall include two doctoral candidates per graduate center that makes up part of the TUM-GS. The members of the Doctoral Candidate Body shall be elected once on an annual basis by the doctoral candidates of the respective graduate center in accordance with the regulations of the respective graduate centers.
- (2) The Doctoral Candidate Body shall elect a spokesperson and a deputy from within its ranks. In accordance with Section 8 (1) the spokesperson of the doctoral candidates and his deputy shall be members of the Management Board of the TUM-GS (entitled to vote). In accordance with the impending modification of the VOTUM the spokesperson of the Doctoral Candidate Body shall be a member of the Senate of the TUM (without the right to vote). Up to this point in time he shall enjoy the right of hospitality in the Senate. The spokesperson shall have the right to be heard by the University President at any time.
- (3) The Doctoral Candidate Body shall make certain that the interests of the doctoral candidates are represented at the TUM-GS beyond their presence on the Management Board and that they are also included in designing the program.

**§ 12**  
**Scientific Advisory Board**

- (1) The TUM President shall appoint the Scientific Advisory Board while taking the proposal made by the Graduate Dean into consideration. Members of the Scientific Advisory Board may be public figures from business and industry as well as from the public sphere domestically and abroad who are not members in a TUM-GS facility at the same time. The Scientific Advisory Board shall represent the technical diversity and the scientific focus areas of the TUM.
- (2) The Scientific Advisory Board shall consist of eight persons.
- (3) The Scientific Advisory Board shall have the following tasks in particular:
  - 3.1. recommendations and statements with regard to designing the training concept of the TUM-GS,
  - 3.2. recommendations and statements with regard to the scientific and structural development of the TUM-GS,
  - 3.3. participation in the internal evaluation of the TUM-GS,
  - 3.4. the right to make proposals to the University Management Board for external evaluations of individual graduate schools or the TUM-GS as a whole.
- (4) The Scientific Advisory Board shall elect a Chairman from within its ranks whose tasks shall include, among other things, communication of the proposals and resolutions of the Scientific Advisory Board to the Graduate Dean of the TUM-GS. Meetings of the Scientific Advisory Board shall take place at least once per year.

- (5) The President or a member of the University Management Board commissioned by him/her as well as the Graduate Dean shall participate in the meetings of the Scientific Advisory Board.
- (6) The members of the Scientific Advisory Board shall be appointed for a period of three years. Reappointment shall be possible.

### **§ 13 Management Office**

- (1) The Management Office of the TUM-GS shall be headed by a Managing Director. The Graduate Dean shall be responsible for appointing the Managing Director.
- (2) The Management Office shall in particular be responsible for:
  - 2.1. organizational processing of the tasks of the TUM-GS,
  - 2.2. supporting the cooperation of the graduate centers,
  - 2.3. supporting the Graduate Dean and Management Board as well as the Scientific Advisory Board,
  - 2.4. supporting the graduate centers in organizing technical meetings, conferences, workshops and symposiums,
  - 2.5. development and coordination of pre-doctorate programs in accordance with Section 2 Paragraph 10,
  - 2.6. personnel, reporting and financing,
  - 2.7. marketing, advertising measures and corporate design while applying the relevant TUM guidelines and including the technically competent TUM institutions,
  - 2.8. correspondence.

### **§ 14 Adoption of Resolutions, Elections, Minutes**

- (1) The organizational bodies of the TUM-GS shall form a quorum if the majority of voting members are present following proper invitation. Proxy voting shall not be possible. If a quorum is not achieved through an invitation, then a quorum shall be given with the next meeting convened regardless of the number of voting members in attendance if special reference is made to this fact in the invitation. The provisions of Section 8 Paragraph 6 shall remain unaffected.
- (2) Unless determined otherwise by these regulations any resolutions shall be adopted within the bodies of the TUM-GS with the majority of the yeah or nay votes cast (simple majority). Abstentions shall be considered as votes not cast. A motion shall be rejected in

the case of an equality of votes. If requested by a member voting by secret ballot shall be required for personnel and financial matters.

- (3) Except for the Scientific Advisory Board the bodies of the TUM-GS may agree in their respective rules of internal procedure to the adoption of resolutions by way of circulation resolution. This shall also be possible through electronic means.
- (4) Summary minutes shall be prepared for the meetings of the bodies of the TUM-GS and made available for all members of the respective body within a period of two weeks. The minutes shall be considered as approved if no objection is raised within ten days after their receipt.

## **§ 15 Training Program**

- (1) The TUM-GS shall establish – based on the Doctoral Degree Regulations of the TUM – uniform and binding standards for its members in doctoral candidate training and offer a supportive training program geared toward their aims (Section 2) and which consists of both technical and interdisciplinary elements. The technical training of the doctoral candidates takes place primarily within the scope of responsibility of the respective graduate center. As a rule, interdisciplinary training is centrally organized by the TUM-GS, but may also be delegated (in parts) to the graduate centers.
- (2) Supervision for the thesis projects and doctoral candidates takes place via a principal advisor (thesis supervisor) and a secondary advisor (mentor) who are selected at the beginning of the project by way of mutual agreement between the doctoral candidate, the respective advisors and the competent graduate center. The principal advisor (thesis supervisor) shall bear the main responsibility for scientific supervision. Principal advisors may be any of the persons specified in Section 9 of the TUM Doctoral Degree Regulations.

The secondary advisor (mentor) *may* take over responsibility for further scientific supervision, but may also concentrate on providing advice with regard to interdisciplinary training and personality development as well as support for expeditious completion of the doctorate (trust lecturer or tutor). Secondary advisors (mentors) may be any members of the TUM who as a rule hold a doctorate and have thus proven their ability to carry out independent scientific work. Secondary advisors (mentors) may also be appointed among persons outside of the TUM who cooperate on the respective doctorate project.

The head of groups of junior researchers (e.g. European Union Marie Curie Excellence Program, holders of Emmy Noether Scholarships, etc.) may be principal advisors in accordance with the resolution of the University Management Board No. 07/23/03 from March 20, 2007.

- (3) In the course of the doctorate project the choice of supervisor may be modified for reasons related or unrelated to the respective subject matter by way of mutual agreement

among the participants and the spokesperson of the respective graduate center.

Section 7 and a supervision agreement shall regulate the rights and obligations of the advisors and advisees in detail. The supervision agreement may be updated at any time by way of agreement between the advisors, doctoral candidates and the respective graduate center when it comes to further development of the scientific queries advanced by the doctorate work as well as the individual training elements, time slots and/or milestones.

- (4) During the doctorate completion phase each doctoral candidate shall attend courses related to the respective subject matter (seminars, special lectures, summer/winter academies, etc.) for an equivalent of at least six semester hours (SWS) altogether. More detailed and/or other provisions may be specified, if required, by the respective graduate centers. Any required verification shall be submitted to the spokesperson(s) of the respective graduate center(s).
- (5) In the course of completion of the doctorate each doctoral candidate shall verify to the head of his/her graduate center that at least one publication has been submitted to a reviewed journal or for the proceedings of an international conference with review procedures. Submission shall be confirmed by the principal advisor (thesis supervisor).
- (6) An intermediate evaluation of the doctorate project shall take place four semesters after admission to the TUM-GS at the latest. The basis for this shall be
  - a. a seminar lecture that is open to the university at large, but which may be substituted by a lecture at a scientific conference,
  - b. a written interim report on the part of the doctoral candidate on the progress of the scientific work, but which may be substituted by a scientific essay submitted for publication if it demonstrates the findings in a comprehensive manner.

The principal advisor (thesis supervisor) of the doctoral candidate shall informally make a recommendation to the head of the competent graduate center either for continuation of the doctorate project, continuation under certain conditions or termination in accordance with Section 5 Paragraph 3 b.

- (7) An essential aim of the TUM-GS consists in internationalization through intensified participation of its doctoral candidates in international networks. Each doctoral candidate shall receive financial support to this end (cf. Section 16) and is required to provide proof of an international research phase of at least six weeks. This may be provided (cumulatively as well) through:
  - a. one or more stays at a research institution or at an industrial enterprise involved in research abroad,
  - b. presentation (lecture or poster) of the doctoral candidate's own scientific results at several conferences with a majority of international participants,
  - c. joint research work at the TUM with international guests. The latter may be invited by (a group of) doctoral candidates.

The principal advisor (thesis supervisor) shall informally notify the head of the graduate center of successful completion of the international research phase.

- (8) In addition to technical support the TUM-GS also offers interdisciplinary measures. These include:
- a. a four-day introductory seminar in preparation for the research work and promotion of personal networks beyond the bounds of the respective specialization,
  - b. a one-day closing seminar in preparation for the transition to professional work in business, research and development or for a postdoctoral position,
  - c. a broad offer of seminars in the area of ethics and responsibility, innovation and risk, entrepreneurial behavior, systemic reasoning, cultural expertise, information and communication, personality and self-management and other areas which serve the interdisciplinary training of doctoral candidates. Special offers for doctoral candidates and gender competence seminars shall also be offered.

Participation in a. and b. as well as participation in at least three one to two-day seminars from c. shall be mandatory for each doctoral candidate at the TUM-GS.

As a rule the training qualifying measures with regard to a., b. and c. are offered on a centralized basis by the TUM-GS in cooperation, for example, with Carl von Linde Academy and WIMES. The events with regard to c. may be substituted by other corresponding events offered by institutions other than the TUM, e.g. UnternehmerTUM, following arrangement with the respective graduate center.

- (9) The actual doctoral examination procedure is regulated by the TUM Doctoral Degree Regulations. The doctorate degree (Promotionsurkunde) documents membership in the TUM-GS.
- (10) The respective graduate centers shall report successful completion of the training elements specified in Paragraphs 4 to 8 to the Management Office of the TUM-GS for each doctoral candidate. Along with the doctorate degree the doctoral candidate shall receive a Certificate from the TUM-GS in which the achievements are described within the meaning of a “diploma supplement” as part of the doctorate completion phase.

## **§ 16 TUM Financial Services**

- (1) The TUM shall be particularly committed to optimum training of its doctoral candidates. Therefore, the University Management Board makes financial support available from university funding in accordance with the given budget possibilities. To this end, the management of the TUM-GS proposes an annual budget which contains all of the relevant information and data for the budget allocations. The University Management Board approves the budget within the scope of overall annual financial planning and publishes it internally within the university.  
The funds are allocated to the TUM-GS and are divided up into an *individual share* for each doctoral candidate and a *community share*.

(2) Individual Financial Support:

- a. In accordance with Section 15 Paragraph 8, a. and b. the TUM-GS shall be responsible for the costs of the introductory and closing seminar. This covers the expenses for travel and overnight accommodation, the costs of maintenance and seminar costs.
- b. Every doctoral candidate shall receive a training voucher with admission to the TUM-GS. In addition to the courses offered free of charge at the TUM courses requiring a fee (e.g. Carl von Linde-Akademie, ProLehre, WIMES, UnternehmerTUM) as specified in Section 15 Paragraph 8 c may be attended with this coupon.
- c. After successful intermediate evaluation each doctoral candidate shall receive an internationalization voucher for the international research phase in accordance with Section 15 Paragraph 7. In accordance with Section 15 Paragraph 7, c. these funds may be employed by several doctoral candidates in order to invite international guest scientists for a cooperative research project. In justified cases the internationalization voucher may also be issued already six months after admission to the TUM-GS on the recommendation of the principal advisor.
- d. Doctoral candidates shall receive a personal bonus from the TUM-GS for each contribution in English accepted for publication in a high-ranking international journal in the ISI Web of Science where the doctoral candidate is the principal author. Principal authorship shall be confirmed to the TUM-GS by the principal advisor (thesis supervisor). The graduate centers may also specify a reduced list of applicable journals.

Recourse to individual support is possible during the first five years of membership in the TUM-GS.

(3) Support from the community share shall be provided to:

- a. Faculty Graduate Centers and Thematic Graduate Centers with a total specifiable amount per doctoral candidate in the respective graduate center.
- b. the Management Office of the TUM-GS and central institutions of the TUM responsible for providing benefits with a total specifiable amount per doctoral candidate. The coordination costs incurred by the TUM-GS at WIMES and the Carl von Linde Academy are also paid for by this central funding.

Allocation of the funds from the community share is directly distributed over the first three years of membership in the TUM-GS.

- (4) Central university funding is always allocated to the TUM-GS which manages these funds on behalf of the University Management Board and is responsible for submitting annual accounting for its overall budget (Section 9 Paragraph 3 No. 3.1). The basis of calculation shall be the number of doctoral candidates at the annual deadline of December 31st.

**§ 17**  
**Arbitration Clause**

- (1) A board of arbitration shall be established at the TUM-GS for any complaints or the like on the part of a member or an organizational body against decisions of a member or an organizational body of the TUM-GS. The board of arbitration may be informally appealed to by any and all members.
- (2) The board of arbitration shall consist of three members who are not members of the TUM-GS. The members of the board of arbitration shall be appointed by the TUM-GS Management Board for a respective term of three years.
- (3) The board of arbitration shall make recommendations when it comes to clarification of disputed matters and may refer decisions back to the respective body for renewed consideration.

**§ 18**  
**Final Provisions and Entry into Force**

- (1) Any modifications or amendments to this Statute shall require the approval of the Extended university governing board and shall be brought to the attention of the spokespersons of the graduate centers that comprise the TUM-GS.
- (2) This Statute shall enter into force on the day after its internal proclamation within the university. In three years it shall be subject to a review of its practicability and suitability with regard to its effect; an international panel of experts shall be appointed for this purpose.

Munich, May 13, 2009

On behalf of **TECHNISCHE UNIVERSITÄT MÜNCHEN**:



Wolfgang A. Herrmann  
President