

Certified translation from German into English

The present document is a translation of the official German version.
In case of doubt, the German version will prevail.

**Doctoral Study Program at the Graduate School of East Asian Studies, Dahlem
Research School, Freie Universität Berlin**

Academic Rules and Regulations

Preamble

Pursuant to Art. 74 of the Berlin Universities Act (Berliner Hochschulgesetz – BerlHG) in the version of the public announcement of 13 February 2003 (GVBl. p. 81), last amended by the Act of 20 May 2011 (GVBl. p.194), the Joint Committee (JC) established by the departments History and Cultural Studies, Philosophy and Humanities, Political and Social Sciences, Law and the School of Business and Economics at the Freie Universität Berlin has issued the following Academic Rules and Regulations for the Doctoral study program at the Graduate School of East Asian Studies on 19 June 2013:¹

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¹ These Academic Rules and Regulations were confirmed by the Freie Universität Berlin on 6 August 2013.

§ 1

Scope of Application

These Academic Rules and Regulations specify admission requirements, application and selection procedures as well as content, structure, objectives, organization and study requirements for the Doctoral Program of the Graduate School of East Asian Studies (GEAS) at the Dahlem Research School (DRS) of Freie Universität Berlin (doctoral study program).

§ 2

Contents and Objectives of the Doctoral Study Program

(1) The doctoral study program consists of academic research, in particular the production of a dissertation and course work as specified by § 9 section 1 and §§ 10-12.

(2) The doctoral study program is designed to promote excellence in the researcher. This is to be achieved through academic study as specified in § 9 section 1 and §§ 10-12 and through the mentoring arrangements. In addition to developing research skills, students will be encouraged to develop interdisciplinary and Asia-specific expertise, particularly in the areas of teaching, knowledge management and in foreign languages relevant to their research. The doctoral study program will prepare students to take up junior academic positions at universities, research institutes or other public or private academic institutes.

§ 3

Admission Requirements, Application and Selection Procedures

(1) Doctoral studies may only be taken up at the beginning of the winter semester. The application deadline is 31 January of each year to begin in the following winter semester. As a rule, studies will commence on 1 October. In justified exceptional cases, applications can be considered at another time if they have been approved by two university professors who are involved in the doctoral study program and if the studies are to commence at a reasonable and suitable date.

(2) In accordance with § 5 section 3 of the Charter of the Graduate School, the Joint Committee (JC) for the doctoral study program nominates a selection committee, following a proposal by the Members' Committee of the Graduate School. The chairman of the Joint Committee (JC) of the doctoral study program appoints on behalf of the office of the president the members and their representatives. The selection committee is made up of:

- one or two members of the group outlined in § 8 section 1 of the Charter of the Graduate School (Director and Vice-Directors),
- four university professors who are involved in running the doctoral study program,
- an academic employee who has gained a doctorate and is also involved in running the doctoral study program.

These members have the right to vote.

Advisory members are:

- a student in the doctoral study program
- the coordinator of the Graduate School
- the Gender Equality Officer from one of the five Graduate School's departments (in coordination with the Gender Equality Officers from these)

The members with voting rights are nominated for two years, the student and Gender Equality Officer is nominated for one year. Re-nomination is possible.

(3) The conditions of acceptance to the Graduate School as a doctoral candidate are as follows:

1. Meeting the formal admission requirements for doctoral studies. The requirements are:

- a) above-average results in a program of study relevant to the doctoral study program
- b) excellent potential for academic achievement and development
- c) a detailed description of the proposed dissertation
- d) suitability of the proposed dissertation to the academic program of the Graduate School
- e) a convincing explanation of the applicant's motivation for taking up doctoral studies
- f) an overview of employment and experience relevant to the doctoral studies
- g) two letters of reference from experts
- h) applicants who are not native English speakers or who have earned the degree required for admission to the doctoral study program at an educational institution that does not have English as language of instruction are required to submit certification of English Proficiency at level C1 of the CEFR (Common European Framework of Reference for Languages) or equivalent. The selection committee decides on the equivalency.
- i) all applicants who are not native speakers of Chinese, Japanese or Korean or who have earned the degree required for admission to the doctoral study program at an educational institution without the necessary East Asian Language as a language of instruction are required to submit certification of language proficiency at level B2 of the CEFR (Common European Framework of Reference for Languages) in the relevant language or equivalent. The selection committee decides on the equivalency.
- j) a selection interview according to § 4,
- k) a written declaration from the relevant doctoral committee that admission as a doctoral student is possible.

2. Doctoral candidates must have been accepted by the competent doctoral committee before beginning work on the dissertation. Acceptance as a doctoral candidate is a prerequisite for enrolment in the doctoral study program at the GEAS.

(4) Applicants must send their application documents as outlined in section 3, No. 1, items a) to i) to the Graduate School by the date mentioned in section 1.

(5) On the basis of the written application outlined in section 3, No. 1, items a) to i) and the interview outlined in § 4, the selection committee will make a decision about admission to the doctoral study program. If a candidate is suitable, the Graduate School coordinator obtains written approval from the competent doctoral committee in line with section 3, No. 1, item k). The coordinator may give suitable applicants time to hand in any lacking documents or in cases of doubt may arrange for extra written or verbal information from the applicant.

(6) If the selection procedure yields more suitable applicants than positions available, the selection committee will rank the candidates. The following criteria must be applied:

- a) the quality of the proposed dissertation project,
- b) the suitability of the proposed dissertation project within the academic program of the Graduate School,

- c) the quality of the candidate's academic degrees and performance thus far,
- d) the candidate's relevant work and practical experience for the doctoral study program desired,
- e) language skills,

If candidates are ranked equally, the decision is made by lot.

(7) Successful applicants will receive written confirmation with a deadline for formally accepting the position in writing and a deadline for enrolment. Not adhering to these deadlines will result in the position being offered to the next applicant according to the ranking list mentioned in section 6. Non-successful applicants will be notified in writing and given a justification for the decision.

(8) If a candidate's acceptance as a doctoral candidate is revoked in accordance with the Rules and Regulations of Academic Affairs (SfS), his or her admission to the doctoral study program will also be revoked.

§ 4 Interviews

(1) Based on the pre-selection pursuant to § 3, section 3, No. 1, items a) to i), the selection committee will invite candidates for an interview.

(2) The invitation is deemed to have been sent with sufficient notice if it is sent at least 10 working days before the interview (by email, if necessary). This time period is to be extended for invitations sent to candidates living abroad.

(3) If travelling to the interview is not feasible, the interview may be held via telephone or video conference. In this case, the applicant must be able to clearly identify himself or herself.

(4) The interviews are to be conducted by at least two of the university professors nominated by the selection committee, who must be involved in running the doctoral study program. At least one of them must be a member of the selection committee.

(5) The interview should take around 20 minutes.

(6) Minutes will be taken during the interview to document the reasons for the final decision about the candidate's application.

§ 5

Structure of the Doctoral Study Program, Standard Period of Study, Languages of Instruction

(1) The doctoral study program consists of project-related and interdisciplinary academic units (§ 9). It also includes general courses on knowledge transfer (§ 10), knowledge management (§ 11) and foreign languages (§ 12).

(2) The standard period of study for the doctoral study program is six semesters.

(3) The language of instruction for the doctoral study program is generally English.

§ 6

Organization of the Doctoral Study Program, Responsibilities

(1) The Joint Committee of the doctoral study program nominates the Director of the Graduate School or one of the Vice-Directors for a period of two years to be the person-in-charge or the second-in-charge of running the doctoral study program (GEAS Representative). Re-nomination is possible.

(2) The GEAS Representative is responsible for the current affairs of the Graduate School. S/he is responsible in particular for the academic coordination of the program. S/he reports to the permanent committee of the Dahlem Research School (DRS) on the development of the doctoral study program over the course of the respective previous year.

(3) The GEAS Representative ensures, with student approval, that a team of supervisors is assigned to each student. The supervising team is made up of at least three university professors who are involved in running the doctoral study program.

(4) The supervising team is responsible for determining the type and scope of study units students need for the completion of their degrees (see §§ 7 to 12).

(5) Students and their supervising team sign a supervising agreement as outlined in Appendix 3 concerning their mutual responsibilities arising from the commencement of the doctoral studies. This document is kept on the respective file.

§ 7

Student Work Load

The student work load for the successful compliance with the requirements of the doctoral study program in line with § 9 section 1 and §§ 10 to 12 and the utilization of the mentoring program are outlined in Appendix 1; the specific requirements are outlined in Appendix 2.

§ 8

Academic Research and Cooperation with International Research Programs

(1) The academic research work carried out in compliance with § 2 section 1 must prove the ability of a student to conduct independent research.

(2) The contents of the doctoral studies must be covered by the research areas in line with § 3 of the Charter of the Graduate School.

(3) As part of the academic research work, students are expected to conduct 6 months of fieldwork abroad. The location, frequency and length of stay depend upon the progress that the student has made.

§ 9

Project-Related Doctoral Studies, Forms of Learning and Teaching

(1) The course of studies in the Doctoral study program will be made up of the following:

a) **Research Colloquium:** colloquia (2CP) amounting to 2 contact hours per week per semester are internal or public events that serve to present and discuss the research

projects of the Graduate School. They are offered every semester and will be run on a rotational basis in collaboration of two or three Principal Investigators (PIs) from the Graduate School. As a rule, doctoral students are required in the third and fifth semester of their cohort to hand in a written presentation of their project and must be able to formally present and defend their projects as they are to date. At the beginning of the first year of study, the research colloquium will include an orientation workshop in which the study and research program is presented. The students will also have the opportunity to introduce their dissertations.

- b) **Research Methods:** the research methods (3CP) involve 2 contact hours per week per semester and offer a deep insight into the subject-specific research methods and their application to East Asia. They are offered in the first and second semesters. The first module covers general methods, theories and discourse of comparative research of institutions and their application to East Asia. The focus is on the origin and development of institutions, the effects of institutions and their global interdependence. The second module offers research-specific content tailored to the specific needs of the doctoral candidates with respect to their research focus. This module is arranged by lecturers of the respective disciplines.
- c) **Research Seminars:** the research seminars (3CP) involve 2 contact hours per week during the semester and are general research seminars focusing on one of the East Asian countries and an issue relevant to the dissertation topics. Students enroll in two of these seminars where they analyze research questions and take part in in-depth discussion on relevant current research literature. The seminars are held by lecturers (or PIs) of the Graduate School. The doctoral candidates are expected to contribute to the seminar via discussion and presentations.
- d) **Summer School:** a one-week summer school (2CP) takes place once a year. The location alternates between an East Asian country and the FU Berlin. It is held in cooperation with the academic staff of a designated partner institution and covers a topic relevant to the research program of the Graduate School. The doctoral candidates at GEAS are expected to attend a summer school whose focus is a different country from that of their own dissertation. This gives them the opportunity to broaden their knowledge about an overall East Asian perspective.
- e) **Key Qualifications/Transferable Skills:** a total of 5 courses promoting key competences will be offered. The courses (2CP) will involve 2 contact hours per week per semester. Doctoral candidates must attend at least two of these courses between the second and fifth semesters. As well as acquiring Asia-related key competencies, the participants will learn about presentation skills and academic writing, research management, consulting and didactics, self-marketing and publication strategies, team building, conflict management and leadership skills. These courses may also be attended via the DRS, should they be offered at the time.

(2) Doctoral candidates are required to attend regularly and participate actively in the courses offered as part of the academic studies outlined in section 1 and §§ 10 to 12. They are also expected to attend and participate in mentoring sessions. The type and extent of these expectations are outlined in Appendix 2.

(3) Students may also participate in courses offered by other institutions as long as the courses are equivalent in nature to those offered by the Graduate School. Such institutions may include: foreign graduate schools, DFG research training groups, cooperating partners at the Max-Planck research schools, special research areas, research partnerships or doctoral study programs of German and foreign universities or other education institutions with the right to issue doctoral degrees, and non-university institutions.

(4) At least 50 of the 100 credit points (CP) mentioned in these Academic Rules and Regulations must be gained as part of the doctoral studies at the Graduate School.

§ 10

Acquisition of Competence in the Area of Knowledge Transfer

Students are expected to present the results of their research at academic conferences. They will also be provided with appropriate opportunities by the supervising team to relate larger contexts of their research area to topics raised in lectures and seminars.

§ 11

Acquisition of Competence in the Area of Knowledge Management

The students are expected to gain experience in planning research projects and fundraising, and to develop general administrative skills in research management and to organize and coordinate academic activities.

§ 12

Acquisition of Relevant Foreign-Language Competence

(1) Students who are not native speakers of German are able to acquire or provide proof of their German language skills during the course of the doctoral study program and prove their ability to communicate adequately in German both spoken and written.

(2) Students who are not native speakers of English, or who have earned the degree required for admission to the doctoral study program at an educational institution without English as a language of instruction are able to acquire and provide proof of their English language skills (see § 3 section 3, No. 1 item h) during the course of the doctoral study program to prove their ability to communicate at academic level in English both spoken and written.

(3) If, pursuant to § 3, section 3, No. 1, item i), other languages are deemed necessary, these language skills may also be developed within the doctoral study program.

§ 13

Progress Reports and the Completion of Doctoral Studies

(1) During colloquia as outlined in § 9 section 1, item a), students should regularly report on the current status of their dissertation projects. More information about the form, extent and dates of the reports can be found in the supervision agreement in Appendix 3.

(2) Students write yearly reports on their dissertation project, their participation in courses, conferences, workshops and fieldwork.

(3) Pursuant to section 2, the supervising team evaluates the students at the end of the first year and at the beginning of the third year on the basis of their written reports which have to be presented to the colloquium. The team looks at whether the research work for the dissertation has been completed on time, whether courses as outlined in § 9 section 1 and §§ 10 to 12 have been attended, and whether the mentoring offer has been made use of.

(4) Should the supervising team have doubts about the success of the dissertation, it will inform the candidate in sufficient time, in writing. During a mentoring meeting between

the student and the supervising team, the problems will be identified and possible solutions explored. The result of the meeting will influence the vote of the supervising team.

(5) The result of the evaluation will be communicated to the GEAS Representative of the doctoral study program in writing, stating the reasons. On the basis of the supervising team's vote, and after hearing the team and the student if necessary, the GEAS Representative decides whether the student may continue with his or her doctoral studies.

(5) All written documents that relate to the student are kept in the respective doctorate file.

(6) If all requirements outlined in these Academic Rules and Regulations are met, a Certificate of Graduation and a Transcript of Records (see Appendices 4 and 5) on the successful completion of the doctoral studies will be issued to the candidate.

§ 14

Taking effect

These Academic Rules and Regulations come into force one day after being published in the official register of the Freie Universität Berlin (Amtsblatt der Freien Universität Berlin).

In the capacity of sworn interpreter to the Berlin law courts and notaries public appointed by the President of the Landgericht Berlin (Berlin Regional Court) under D VI 29/89 I certify that the foregoing is a true and faithful translation of the German document submitted to me.

Berlin, 27 January 2015

Maria Dettmers

Appendix 1: Sample Curriculum of the doctoral program of the Graduate School of East Asian Studies (GEAS)

| | 1st Semester | 2nd Semester | 3rd Semester | 4th Semester | 5th Semester | 6th Semester |
|----------------------------|---|---|--|-------------------------------------|--------------------------|--------------|
| Core Areas | Methods Seminar (Institutional Theory) (3cp) | Research Seminar (Area Studies) (3cp) | Mobility Phase / Fieldwork (Summer School) (2cp) | | | |
| | Methods Seminar (3cp) | Research Seminar (Discipline) (3cp) | | | | |
| | Colloquium (each semester 2cp) | | | | | |
| Additional training | Language Training | | | | Language Training | |
| | Transferable Skills I (2cp) | | | Transferable Skills II (2cp) | | |

Appendix 2: Outline about the requirements and contents of the courses and its subareas of the doctoral program of the Graduate School of East Asian Studies (GEAS)

| Course Type | Requirements and Content | Compulsory regular attendance |
|--|---|-------------------------------|
| Colloquium (2 credit hours, 2 credits) | They are offered every semester and will be run on a rotational basis in collaboration of two or three Principal Investigators (PIs) from the Graduate School. As a rule, doctoral students are required in the third and fifth semester of their cohort to hand in a written presentation of their project and must be able to formally present and defend their projects as they are to date. | Yes |
| Research Methods I (2 credit hours, 3 credits) | The seminar is held by teachers (or PIs) of the Graduate School. It covers interdisciplinary methods, theories and discourse of comparative research of institutions and their application to East Asia. Its focus is on the origin and development of institutions, the effects of institutions, as well as their global interdependence. | Yes |
| Research Methods II (2 credit hours, 3 credits) | Research Methods II offers research-specific content tailored to the specific needs of the doctoral candidates with respect to their research focus. This module is arranged by lecturers of the respective disciplines. | Yes |
| Research Seminar (2 credit hours, 3 credits) | The doctoral candidates enroll altogether in two research seminars (each 2 credit hours). These consist in analyzing institutional research questions and take part in in-depth discussions on relevant current research literature regarding selected Asian related topics. The seminars are held by lectures (or PIs) of the Graduate School. The doctoral candidates are expected to contribute to the seminar via discussion and presentations. | Yes |
| Summer School (1 week, 2 credits) | The summer school takes place once a year. The location alternates between an East Asian country and the FU Berlin. It is held in cooperation with the academic staff of a designated partner institution and covers a topic relevant to the research program of the Graduate School. The summer schools deal with subjects that are related to core topics of the doctoral program. The doctoral candidates at GEAS are expected to attend a summer school whose focus is a different country from that of their own dissertation. This gives them the opportunity to broaden their knowledge about an overall East Asian perspective. | Yes |
| Transferable Skills (2 credit hours, 2 credits) | Doctoral candidates must attend at least two of these courses between the second and fifth semesters. As well as acquiring Asia-related key competencies, the participants will learn about presentation skills and academic writing, research management, consulting and didactics, self-marketing and publication strategies, team building, conflict management and leadership skills. These courses may also be attended via the DRS, should they be offered at the time. | Yes |

Appendix 3

Supervision agreement as outlined in § 6 section 5

between

_____ (Doctoral Candidate)

_____ (Mentor pursuant to the Academic Rules and Regulations - mentor - as well as further members of the mentoring team)

_____ (GEAS Representative of the doctoral study program - GEAS Representative)

1. [Mr/Ms First name Surname] has been admitted as a doctoral candidate in the doctoral study program of the Graduate School of East Asian Studies (GEAS) on 1 October 20XX and, as part of said shall write his/her dissertation at the Freie Universität Berlin with the working title:

"[.....]".

The dissertation project has been outlined by the candidate on the basis of a written exposé and has been approved by the selection committee, the mentor and the GEAS Representative of the doctoral study program.

2. The dissertation project is to be supervised by a mentoring team in compliance with § 6, section 3. The mentoring team consists of the following university professors:

1. _____ (as a mentor)

2. _____ (as a further member of the mentoring team)

3. _____ (as a further mentor of the mentoring team)

In the event that a member of the mentoring team should resign prior to the submission of the dissertation, the GEAS Representative shall arrange for continuous and adequate mentoring.

3. Pursuant to § 6 section 4, the mentoring team specifies at the beginning, on the basis of the doctoral study program and in line with §§ 7 - 12, the type and scope of the studies to be completed by the candidate, which may go beyond the study program itself. The mentoring team will also ensure that the candidate is offered adequate working conditions.

4. In agreement with the mentoring team, the doctoral candidate will work on the theoretical and methodological aspects of his/her dissertation project and will compile a detailed work schedule and time plan. At regular intervals (orally or in writing), the mentoring team shall comment on and evaluate the progress being made by the candidate on his/her project. Regular reports by the candidate shall ensure that the mentoring team is provided insight into

the candidate's progress. Advisory and mentoring meetings will take place at least twice per semester. Additional appointments, especially during the semester, may be made with the mentoring team or with individual members of that team at short notice. Should the mentoring team or the doctoral candidate have doubts about continuing to collaborate with individual members of the team or the entire mentoring team, the GEAS Representative is to be informed about the situation. In this case, the GEAS Representative shall initiate the appropriate steps.

5. Efforts must be made to hand in the dissertation within the standard period of study as outlined in § 5 section 2. The work plan and time schedule mentioned in the Appendix as of [date] and/or more recent plans which have been agreed to and enclosed shall apply. These must be approved by the mentoring team. The doctoral candidate shall be obliged to inform the mentoring team immediately in the event of any significant changes to the work plan and schedule.

6. The doctoral candidate and the members of the mentoring team shall be obliged to abide by the rules of good academic practice in compliance with the Articles on Ensuring Good Academic Practice (code of conduct) of the Freie Universität Berlin issued on 17 April 2002 (FU Memoranda No. 29/2002). This code stipulates that the doctoral candidates shall consult their mentoring team or other persons of trust in cases of doubt. For the members of the mentoring team this includes the explicit duty to observe and to make the doctoral candidate aware of and to list any copyright provisions applicable to texts or findings.

7. All persons involved shall review and, if necessary, modify the mentoring agreement and its appendices on an annual basis. In the event that a time extension is needed to complete the dissertation project beyond the end of the standard study period, a new mentoring agreement will, if necessary, be presented to the GEAS Representative for approval. All persons involved declare their consent to allow the release of general information about the dissertation project for the purposes of statistical survey and evaluation of the doctoral study program mentoring by the Graduate School. Should the doctoral studies be interrupted, all involved parties are required to submit reasons in writing to the Executive Board of GEAS.

Date and signatures:

(Doctoral candidate)

(Mentor pursuant to the Academic Rules and Regulations - mentor - as well as further members of the mentoring team)

_____ doctoral

(GEAS Representative of the study program)

In the capacity of sworn interpreter to the Berlin law courts and notaries public appointed by the President of the Landgericht Berlin (Berlin Regional Court) under D VI 29/89 I certify that the foregoing is a true and faithful translation of the German document submitted to me.

Berlin, 27 January 2015

Maria Dettmers