

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

No.	EF*)	Content/Definition	Annotations
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Doctoral students

Persons who have received written confirmation of acceptance as doctoral students from an institution entitled to award doctorates. The date of confirmation is considered the start date of the doctoral studies.

Higher education institution authorised for doctoral studies

Higher education institution in Germany entitled to award doctorates from which the doctoral student has received written confirmation of acceptance.

In the case of cooperative doctorates, data for doctoral student statistics have to be submitted only by the higher education institution authorised for doctoral studies.

If the doctoral student has supervision agreements with several (supervisors at different) higher education institutions in Germany entitled to award doctorates, data must only be reported by the institution where the doctorate is to be completed. Data should not be submitted twice.

Generally, higher education institutions not authorised to award doctorates and universities abroad will not submit data for doctoral student statistics. Data on doctoral studies at higher education institutions abroad (also in cooperation with a German institution) are not to be reported.

Survey date

As a rule, the number of doctoral students at the respective higher education institution authorised for doctoral studies must be reported annually for reference date 1 December.

In addition, all doctoral students who have given up or completed their doctoral studies since data were last submitted must be reported for reference date 1 December together with the values of all survey characteristics.

In all cases the reporting institution has to submit the most recent values available for the respective survey characteristics.

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

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1		<p>REPORTING UNIT ID 8-digit identifier assigned by the responsible Land statistical office to the unit submitting the data</p>	<p>The reporting unit ID (BerichtseinheitID) is an identifier required for data deliveries to the Land statistical office via eSTATISTIK.core (this also includes the CORE web application). A respondent is clearly identified by his reporting unit ID. The code of his reporting unit ID is usually known to the respondent or will be provided by the statistical offices upon request.</p> <p>The reporting unit ID (BerichtseinheitID) of the doctoral student statistics is composed of 8 digits. Digits 1 to 4 must be filled with the code of the higher education institution, while the last four digits are assigned individually by the statistical offices. Where there are several respondents at a higher education institution, the four digits are used to distinguish between these respondents.</p> <p><u>Notes for the Land statistical offices:</u> 1) If digits 5-8 are required only partly or not at all to distinguish between several respondents at a higher education institution, the digits (to the right) which are not required should be zeroed. 2) If an IDEV reference number has been or will be assigned to a respondent because this respondent optionally reports data for the doctoral student statistics using the IDEV form, intends to or is to do so, then this IDEV reference number should be identical with the reporting unit ID (BerichtseinheitID). In this way, the reporting unit can clearly be identified regardless of the reporting channel used. (The reference number is used for IDEV to generate a respondent's user ID and password.)</p>
2	1	<p>Reporting Land Land of the Federal Republic of Germany in which the reporting higher education institution is located and whose statistical office receives the data deliveries for higher education statistics.</p>	<p>See list of codes for the statistics of students and examinations, no. 1.1</p>
3	2	<p>Reference year The reference date for the annual collection of data on doctoral students is <u>1 December</u>.</p>	
4	3	<p>Higher education institution authorised for doctoral studies Four-digit code provided by the Federal Statistical Office (StBA)</p>	<p>See list of codes for the statistics of students and examinations, no. 2</p> <p>For the doctoral student statistics, the higher education institution must be indicated using the four-digit code of the Federal Statistical Office.</p>
5	4	<p>Page number Running number (12 digits) assigned by the higher education institution to each micro data record.</p>	<p>Numerical value.</p>
6	5	<p>Sex 1 = Male; 2 = Female; 3 = Gender diverse; 4 = Not stated</p>	<p>Sex as stated in the birth register entry. The option "not stated" has to be chosen in cases where no information was provided under "sex" in the birth register in accordance with Section 22 (3) of the Civil Status Act (PSiG).</p>

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

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7	6	<p>Date of birth</p> <p>6U1 Day to be indicated with prefix "0", if necessary</p> <p>6U2 Month to be indicated with prefix "0", if necessary (e.g. January = "01")</p> <p>6U3 Year (four digits)</p>	
8	7	<p>First name</p> <p>Enter the first 4 letters of the first name flush left. If the first name is less than 4 characters, fill it with spaces.</p>	<p>This information is used to link the data reported for the semesters and must remain unchanged throughout the entire course of study for students and graduates.</p> <p>First name quoted in the identity document.</p> <p>For people without a first name, the first 4 characters of the surname are recorded.</p> <p>No special characters, umlauts, ß.</p> <p>Only letters and spaces are allowed.</p> <p>Umlauts must be entered as ae, oe or ue, and ß as ss.</p> <p>Diacritical characters must be replaced by letters of the German alphabet (e.g. é by e, ç by c, â by a).</p> <p>Hyphens and other special characters are replaced by spaces.</p> <p>Examples: Björn is recorded as "Bjoe" Jaček is recorded as "Jace" An-Sophie is recorded as "An S"</p>
9	8	<p>Citizenship</p> <p>For German, enter "000". In case of other citizenship, statelessness or uncertain citizenship, code according to key.</p>	<p>See list of codes for the statistics of students and examinations, no. 6</p> <p>For holders of dual citizenship, e.g. German and other, enter "German" in EF8 and further citizenship in EF9.</p>
10	9	<p>Further citizenship</p>	<p>see EF8</p>
<u>DOCTORATE IN THE REFERENCE YEAR</u>			
11	10	<p>Type of Doctorate</p> <p>01 = Doctorate at higher education institution authorised to award doctorates (including cooperation with another university in Germany)</p> <p>02 = Doctorate at higher education institution authorised to award doctorates in cooperation with a university abroad</p> <p>03 = Doctorate at higher education institution authorised to award doctorates in cooperation with a university of applied sciences</p> <p>04 = Doctorate at higher education institution authorised to award doctorates in cooperation with a research institution</p> <p>05 = Doctorate at higher education institution authorised to award doctorates in cooperation with industry or other institution</p> <p>A cooperation must only be reported if it is an <u>institutional cooperation</u>, i.e. if the cooperation is based on a contract or an agreement.</p> <p>If there is more than one cooperation, only the first applicable value is to be reported in each case.</p>	<p>In line with the list of codes for the statistics of students and examinations, definitions catalog as of SS 2017, part 1, no. 101</p> <p>Any cooperation with a college of education, theology or art is to be treated in the same way as a cooperation with a university.</p>
12	11	<p>Doctoral subject</p>	<p>See list of codes for the statistics of students and examinations, no. 4</p>
13	12	<p>Type of registration as a doctoral student</p>	<p>For each reference date (1 December) the higher education institution has to determine the registration type of both doctoral students newly registered at a higher education institution since the last reference date and doctoral students already reported for the last reference date, including those on leave of absence and including doctorates completed with a final examination or discontinued since the last reference date.</p>

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

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14		1 = Initial registration <i>First registration as a doctoral student at a German higher education institution.</i>	
15		2 = New registration <i>Re-registration of a doctoral student who discontinued earlier doctoral studies at a German higher education institution or successfully completed a doctorate.</i> <i>If the doctoral student changes to another higher education institution authorised for doctoral studies, this is also regarded as a new registration.</i>	Doctoral students who changed the higher education institution authorised for doctoral studies during their doctorate should only be reported by the new institution once the change has been completed. In this way, double entries in the doctoral student statistics can be avoided. The first data delivery of the new higher education institution authorised for doctoral studies will be a "new registration".
16		3 = Active continuation <i>Continuation of doctoral studies at the same higher education institution as in the previous reference year (also after a leave of absence/interruption in the previous reference year).</i>	The higher education institution has to check for the current reference date of 1 December whether a doctorate reported for the last reference date has been actively continued.
17		4 = Leave of absence / interruption <i>Interruption of the doctoral phase.</i>	In addition to a formal leave of absence, all interruptions of the work on the doctoral thesis of which the doctoral student informs the supervisors or the university administration must be reported. Any leave of absence/interruption must also be reported annually until the doctoral studies are reported to have been actively continued or discontinued.
18		5 = End of doctoral studies (passed or finally failed) <i>Failure to obtain the doctorate should be reported if it is no longer possible to repeat the examination.</i> <i>Doctoral studies are completed once the examination board / examination office has officially established the overall result, not at the time the doctoral degree certificate is presented, which may be at a later date.</i>	The successful completion or discontinuation of doctoral studies is reported to keep the number of doctoral students in the doctoral student statistics up to date. That information is provided by the higher education institution which reported the doctorate for the last reference date.
19		6 = Discontinuation of the doctorate	The discontinuation of a doctorate has to be reported in cases where the doctorate will not be continued at the present higher education institution without having been completed. Usually, a doctorate has also been discontinued if there is a simultaneous change of initial supervisor and faculty at the same higher education institution. The decision of whether the previous doctorate is continued at the new faculty or a new doctorate is started (which would have to be reported as a new registration) has to be taken by the reporting higher education institution.
20	13	Start of doctoral studies <u>Article 1 Section 5 (1) of the Higher Education Statistics Act (HStatG):</u> "A doctoral student is a person who has received written confirmation of acceptance as a doctoral student from an institution entitled to award a doctorate. <u>The date of the confirmation is considered the start date of the doctoral studies</u> ".	If a doctorate is continued after a change of higher education institution or faculty and the doctoral student does not receive a new written confirmation of acceptance from the new higher education institution/faculty, the date of the initial confirmation of acceptance will be regarded as the start date of the doctorate.
13 U1		Month to be indicated with prefix "0", if necessary (e.g. January = "01")	
13 U2		Year (four digits)	
21	14	End of doctoral studies (also to be indicated if doctorate is discontinued) The end of the doctorate is the date when the overall result is officially established by the examination board / examination office, not the date on which the doctoral degree certificate is delivered, which may be at a later time.	If the discontinuation of the doctorate is reported in EF12, the date of discontinuation must be entered here. If the date is not known, December of the respective reference year has to be entered.
14 U1		Month to be indicated with prefix "0", if necessary (e.g. January = "01")	
14 U2		Year (four digits)	

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

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22	15	<p>Enrolment A doctoral student is to be reported as enrolled if he/she has been enrolled (in a doctoral programme or in another degree programme) at the higher education institution authorised for doctoral studies.</p> <p>0 = no 1 = yes</p>	<p>The enrolment status of doctoral students is reported to identify double entries in the statistics of students. Among other things, this is necessary for compiling statistics of educational participation.</p>
23	16	<p>Participation in a structured doctoral programme Includes doctoral courses, doctoral programmes, graduate schools and research training groups. Structured doctoral programmes are programmes for doctoral students which offer a <u>structured programme of events for all participants</u> and fulfil <u>two of the following three conditions</u>:</p> <p>(1) joint responsibility for the supervision of doctoral students on the part of the higher education institution teachers involved, (2) open, competitive admission procedure with call for applications, (3) scholarships or positions for at least some of the participating doctoral students.</p> <p>0 = no 1 = yes</p>	<p>In line with the list of codes for the statistics of students and examinations, definitions catalog as of SS 2017, part 2, no. 136</p>
24	17	<p>Employment at the higher education institution authorised for doctoral studies</p> <p>0 = no 1 = yes</p>	<p>The employment relationship does not have to be related to the doctorate.</p> <p>Doctoral students employed at hospitals of higher education institutions / university hospitals should be indicated by a "1". Doctoral students employed at non-university research institutions should be indicated by a "0".</p>
25	18	<p>Type of doctoral thesis</p> <p>1 = monograph 2 = publication-based / cumulative doctoral thesis A publication-based / cumulative doctoral thesis differs from a classical doctoral thesis in that it is not written as a monograph. Instead, several scientific articles have to be written which are then evaluated together. Details are provided in the regulations for a doctoral degree.</p>	<p>The current status of the intended type of doctoral thesis must be recorded in all cases. The intended type of doctoral thesis may change in the course of time.</p>
<u>FIRST-TIME ENROLMENT (as a student)</u>			
26		<p>First-time enrolment First-time enrolment (matriculation) at a higher education institution in Germany or abroad.</p>	<p>Every new student can only be reported as a first-time student <u>once</u>. For first-time enrolment abroad and subsequent study in Germany, type of enrolment = newly registered student.</p>

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

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27	19	Higher education institution Four-digit code of the Federal Statistical Office (StBA)	See list of codes for the statistics of students and examinations, no. 3. "9990" for first-time enrolment at a higher education institution outside Germany.
28	20	For first-time enrolment at a higher education institution outside Germany, the state where the institution is located	See list of codes for the statistics of students and examinations, no. 6.
29	21	Semester 1 = summer semester; 2 = winter semester	For the higher education institution / the state where the institution is located and the semester / year of first-time enrolment, the actual first-time enrolment (in Germany or abroad) must now be reported.
22	22	Year (four digits)	
<u>PREVIOUS FINAL EXAMINATION ENTITLING THE STUDENT TO START A DOCTORATE</u>			
30		Previous final examination at higher education institution entitling the student to start a doctorate	Only final examinations passed overall; parts of examinations, preliminary and intermediate examinations should not be reported. Examinations taken abroad and recognised in Germany must be coded as "x96 = Final examination abroad " (see list of codes for the statistics of students and examinations, no. 5). Examinations not recognised in Germany should <u>not</u> be reported. If the <u>German higher education institution</u> has awarded a double degree (e.g. Diplom and master's degree in the same subject) for international study courses, <u>only</u> the international (e.g. master's) degree should be stated.
31	23	Final examination entitling the student to start a doctorate 0 = not yet taken 1 = was taken and passed	If no such final examination has been taken yet, EF24 to EF30 will remain empty.
32	24	Higher education institution Four-digit code of the Federal Statistical Office (StBA)	See list of codes for the statistics of students and examinations, no. 2
33	25	If that final examination was taken at a higher education institution outside Germany, the state where it is located	See list of codes for the statistics of students and examinations, no. 6
34	26	Type of examination	See list of codes for the statistics of students and examinations, no.5 Basically, there are two types of Master's programmes: - Consecutive Master's programme: Master's degree following on from Bachelor's degree in the first course of studies - "Secondary" Master's programme: Master's degree (subject to final examination), following on from traditional degree, Master's degree or Bachelor's degree in a second course of studies Depending on the orientation of the course of studies, the "secondary" Master's programme is to be recorded as a postgraduate, supplementary, extension or additional course of studies, further education course or second course of studies, while the "consecutive" Master's programme is to be recorded as a consecutive Master's programme.
35	27	1. Subject of study	see list of codes for the statistics of students and examinations, no. 4

Definitions Catalogue for the Statistics of Doctoral Students - Part 1 - Terms and Definitions

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36		Date of degree Date on which the board of examiners or the examination office has officially established the overall result.	If this date is not available, the date of the (provisional) degree certificate may be reported.
37	28	Month in which degree completed Month to be indicated with prefix "0", if necessary (e.g. January = 01).	
38	29	Year in which degree completed Year (four digits)	
39	30	Final grade	Same code as for the statistics of students and examinations, no. 11. Different final grades for individual degree programmes have to be adjusted to the uniform scale (see overviews in the list of codes for the statistics of students and examinations, no. 11). If written and oral exams are evaluated separately and therefore no overall grade is awarded, code "8" (passed, overall grade not known) must be indicated.
FIRST HIGHER EDUCATION ENTRANCE QUALIFICATION			
40			The year, district and type of higher education entrance qualification have to be indicated. The type of higher education entrance qualification is the highest general school-leaving certificate granting first access to the German higher education system . This also applies if the higher education entrance qualification would not entitle the holder to enter the current degree programme upon first admission to the German higher education system. The information on the first university entrance qualification is used to link the semester reports and must remain unchanged throughout the entire course of studies for students, graduates and doctoral students. In the case of an entrance qualification for universities of applied sciences (Fachhochschulreife) consisting of school and vocational parts, the date and place of the school components must be indicated. The allocation of study places by higher education institutions or by the Central Office for the Allocation of Study Places for courses of studies with limited admission is not covered.
41	31	Year in which the first higher education entrance qualification was obtained (four digits)	
42	32	Type of first higher education entrance qualification (e.g. "subject-restricted higher education entrance qualification (Fachabitur)" should be indicated rather than "Diplom from university of applied sciences" obtained before university studies were taken up; "school-leaving certificate with entrance qualification for higher education institutions abroad" should be indicated rather than "assessment test at preparatory college (Studienkolleg)").	See list of codes for the statistics of students and examinations, no. 8 Students at universities of applied sciences in the former GDR who obtained their first higher education entrance qualification when their specialised or engineering school was transformed into a university of applied sciences are to be coded as "78" (other entrance qualification obtained through acquisition of "Fachhochschulreife"). In such cases the date when the higher education entrance qualification was obtained and the respective location must be derived from the date of transformation and the seat of the university of applied sciences at the time of transformation.
43	33	Acquisition of first higher education entrance qualification For acquisition in <u>Germany</u>	
	33 U1	Land	See list of codes for the statistics of students and examinations, no. 1.1
	33 U2	District For acquisition <u>abroad</u>	See list of codes for the statistics of students and examinations, no. 1.2
	33 U1	Abroad = Code "99"	
	33 U2	State	See list of codes for the statistics of students and examinations, no. 6

*) Field name (number of input field of record description).