Friedrich Schiller University Jena

General

Doctoral Examination Regulations
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General Doctoral Examination Regulations
of Friedrich Schiller University Jena

In accordance with Sec. 3 (1) in conj. w. Sec. 33 (1) no. 1 of the Thuringian Higher Education Act (Thüringer Hochschulgesetz, ThürHG) of 21 December 2006 (Law and Ordinance Gazette (GVBl.) p. 601) and Sec. 16 (1) of the Basic Constitution of Friedrich Schiller University Jena of 18 June 2007 (Official Gazette of the Ministry of Culture of Thuringia 2007 p. 182), Friedrich Schiller University Jena is enacting the following General Provisions of Examination for Doctoral Candidates of its Faculties. The Senate of Friedrich Schiller University Jena has adopted these General Regulations on 3 June 2008.

The Rector has approved the Rules on 24 June 2008.

I. Right to confer doctoral degrees

§ 1

(1) Friedrich-Schiller-University is conferring the following doctoral degrees through its Faculties set forth below:

1. Faculty of Theology
   doctor theologiae (Dr. theol.)

2. Faculty of Law
   doctor iuris (Dr. iur.)

3. Faculty of Philosophy
   doctor philosophiae (Dr. phil.)

4. Faculty of Economics and Business Administration
   doctor rerum politicarum (Dr. rer. pol.)

5. Faculty of Social and Behavioural Sciences
   doctor philosophiae (Dr. phil.)

6. Faculty of Mathematics and Computer Science
   doctor rerum naturalium (Dr. rer. nat.)
   Doktor-Ingenieur (Dr.-Ing.)

7. Faculty of Physics and Astronomy
   doctor rerum naturalium (Dr. rer. nat.)
   Doktor-Ingenieur (Dr.-Ing.)

8. Faculty of Chemistry and Earth Sciences
   doctor rerum naturalium (Dr. rer. nat.)
   Doktor-Ingenieur (Dr.-Ing.)

9. Faculty of Biology and Pharmacy
   doctor rerum naturalium (Dr. rer. nat.)

10. Faculty of Medicine
    doctor medicinae (Dr. med.)
    doctor medicinae dentariae (Dr.med.dent.)
    doctor rerum naturalium (Dr. rer. nat.)

To the extent that persons are mentioned in these Regulations, they shall include both female and male persons.
Alternatively, the Faculties may also confer the degree of “Doctor of Philosophy” (Ph.D.).

(2) Friedrich Schiller University may through said Faculties also confer an “honorary doctorate” (doctor honoris causa, Dr. h. c.) in accordance with Sec. 19 for its disciplines. To any doctorates conferred in accordance with Sec. 1, the addendum “honoris causa” (h. c.) shall be appended. In deviation from the above, the degree of a “Dr.-Ing.” is conferred with the addendum “Ehren halber” (E.h.).

(3) With the exception of honorary degrees, the same doctoral degree may be conferred only once. Women may carry the female form of any positions, academic titles, or degrees specified in these Regulations.

(4) In accordance with Sec. 25 (1) No. 2 of the Basic Constitution, the Faculties are promulgating doctoral examination regulations, providing for faculty-specific provisions of admission requirements, doctoral relationship, and doctoral examination procedure in accordance with the “General Doctoral Examination Regulations of the Faculties of Friedrich Schiller University Jena”.

§ 2

(1) The conferment of a doctoral degree shall serve as evidence of the competence to perform scientific work in a subject area shown in the Courses of Examination for Doctoral Candidates of the Faculties in accordance with Sec. 1 (4).

(2) Except in case of an honorary doctorate in accordance with Sec. 19, such evidence shall be provided in the form of a written scientific treatise (dissertation) under Sec. 8 and the overall performance in oral examinations under Sec. 9, which in accordance with the provisions of the doctoral examination regulations of the individual Faculties shall consist either of a disputation or of a colloquium or a combination of the above.

II. Admission requirements

§ 3

(1) Admission as a doctoral candidate under normal circumstances requires a Diplom, Magister degree, state exam, or Master’s degree completed with qualified mark at a university with research-oriented teaching profile in the discipline where conferment of a doctoral degree is sought. The discipline of the aspired doctoral degree must be a teaching or research area at the Faculty conferring the doctoral degree.

(2) If conferment of a doctoral degree is sought in a discipline which until completion of the degree had been studied only as a minor/supplementary subject or as part of a combination of subjects which has changed since the degree, the Faculties’ doctoral examination regulations provide for reviews of the applicants’ degrees. As the case may be, the applicant may be required to complete additional studies or examinations in individual subject areas. Such requirements shall be included in the notification regarding acceptance as doctoral candidate in accordance with Sec. 4 (4). Applicants must meet such requirements by the time the doctoral examination procedure is opened.
(3) In case of applicants for doctoral programmes not meeting the standard requirements under para. (1), analogous to a review of degrees in accordance with para. (2) there shall be an individual review and, as the case may be, the requirement of studies and examinations to be completed by the time of the opening of the doctoral examination procedure.

(4) Particularly qualified graduates of Bachelor courses at universities with research-oriented teaching profile shall be admitted to doctoral programmes in the same way as graduates of Diplom, Magister, state exam, or Master’s courses if evidence has been provided that the candidate is qualified to perform scientific work in the subject area of the doctorate. The doctoral examination regulations provide for admission requirements of highly qualified Bachelor graduates; para. (2) shall apply accordingly.

(5) If the Faculties’ respective doctoral examination regulations require additional results for admission to doctoral programmes and for conferment of a doctoral degree as such, the above shall furthermore be deemed met upon successful completion of a recognised structured doctoral programme within the Graduate Academy, which is also supported by the supervising professors, Privatdozenten or heads of junior research groups.

III. Acceptance as doctoral candidate and supervision

§ 4

(1) Any person meeting the admission requirements under Sec. 3 and intending to write a dissertation shall apply to be accepted as doctoral student by the relevant Faculty at Friedrich Schiller University, where the subject area of such dissertation is taught. The written request shall specify the envisaged topic of the dissertation. Copies of degrees and graduation certificates shall be attached as evidence that admission requirements have been met (in case of external applicants as certified copies).

(2) Under normal circumstances, the Dean of the relevant Faculty shall decide within two months on the application. Acceptance as doctoral candidate requires that a professor, Privatdozent or head of a junior research group (hereinafter called supervisor), who is a Faculty member, has given assurance of supervising the dissertation, that provision of any material equipment required for performing the project has been ensured and that the Faculty is able to assess the completed paper as scientific dissertation. No legal claim to opening a doctoral examination procedure may be derived from acceptance as doctoral candidate.

(3) The Faculties’ doctoral examination regulations regulate the structure of the doctoral relationship. They should provide for concluding a supervision agreement between academic supervisors and doctoral student. The doctoral examination regulations regulate the contents of such supervision agreement. They shall provide at least for the doctoral candidate’s obligation to regularly report to his supervisors about the progress of the dissertation as well as for the supervisors’ obligation to regularly request reports about the progress of the dissertation.

(4) The applicant shall be notified in writing about his acceptance or rejection as doctoral candidate. Any rejection shall be justified, including instructions on rights to appeal. The acceptance notice shall specify the subject area of the doctoral degree, the topic, as well as
the academic supervisors of the dissertation, and, as the case may be, requirements in accordance with Sec. 3 (2), (3), and (4).

(5) Acceptance as a doctoral candidate may be revoked in particular if there is no prospect of the dissertation being successfully completed within a reasonable period of time or if the supervision agreement under para. (3) has been cancelled. The doctoral candidate shall be given the opportunity of a hearing prior to any decision by the Faculty Council.

IV. Opening of the doctoral examination procedure

§ 5

(1) The application requesting opening of the doctoral examination procedure shall be addressed in writing to the Dean of the competent Faculty. The following documents shall be attached to such application:

1. Notice regarding acceptance as doctoral candidate in accordance with Sec. 4 (4) and evidence of completion of any requirements under the above or evidence that the requirements under Sec. 3 (1) have been met;
2. four copies of the dissertation;
3. one (sworn) declaration, stating
   3.1 that the applicant is familiar with the Faculty’s current doctoral examination regulations;
   3.2 that the applicant has composed and written the dissertation himself (statement of authorship), that no passages of text have been taken from third parties or own exam papers without having been identified as such and that all tools, personal notifications, and sources used by the applicant have been indicated in the dissertation;
   3.3 the persons, who have supported the applicant in selecting and analysing the material and preparing the manuscript;
   3.4 that the applicant has not enlisted the assistance of a doctoral consultant and that no third parties have received either direct or indirect monetary benefits from the PhD candidate for work related to the contents of the submitted dissertation;
   3.5 that the applicant has not already submitted the dissertation as examination paper for state or other academic examinations;
   3.6 whether the applicant has submitted the same, a substantially similar or any different paper to another university as dissertation and if so, with what result;
4. an official certificate of good conduct if the applicant has been exmatriculated for more than three months and is not working in public service;
5. evidence of payment of tuition fees for doctoral programmes according to the current scale of charges;
6. a curriculum vitae, providing information about education and academic development;
7. a list of academic publications and if applicable, academic presentations.

(2) Under normal circumstances, any person who already applied elsewhere for conferment of a doctoral degree in the same discipline or who has failed in a doctoral examination procedure may not be admitted as a doctoral candidate.
§ 6

(1) The competent Faculty Council shall decide during its next meeting following receipt of the application with simple majority of the votes of all present members holding doctoral degrees on opening the doctoral examination procedure.

(2) The applicant shall be notified in writing by the Dean about the opening of the doctoral examination procedure.

(3) In case of refusal by the Faculty Council, the procedure shall be analogous to Sec. 18.

(4) The application for the opening of the doctoral examination procedure may be withdrawn unless a date has been set for oral examinations or if the procedure has been terminated because of the rejection of the dissertation.

V. Doctoral Committee

§ 7

(1) The Faculties’ doctoral examination regulations regulate whether a Faculty Council shall appoint a permanent Doctoral Committee in charge of conducting all doctoral procedures or whether the Faculty Council shall appoint a special committee for each individual doctoral examination procedure. If a Doctoral Committee is formed, the Faculties’ doctoral examination regulations shall stipulate the number of members and the composition of such Doctoral Committee.

(2) The Faculties’ doctoral examination regulations may transfer decision-making competences during the doctoral examination procedure as a whole or in part to such Doctoral Committees.

(3) The Doctoral Committee shall deliberate on the basis of written evaluations regarding acceptance and grading or rejection of a dissertation. It shall furthermore conduct the oral examination in the form selected in accordance with Sec. 9 (1) of the doctoral examination regulations and shall mark the relevant results.

(4) Doctoral Committees shall meet in closed meetings. Records of their decisions shall be kept in minutes of such meetings.

(5) The members of the Doctoral Committee shall be required not to disclose any facts disclosed to them during closed meetings, unless any facts are already in the public domain or if their relevance does not require confidentiality. Non-disclosure duties under employment or labour contracts shall not be affected.

(6) Participation rights of university teachers in the doctoral examination procedure shall not be affected by their retirement. Any other participation rights, in particular of university teachers transferring to other institutions shall be subject to a decision by the Faculty Council.
VI. Dissertation

§ 8

(1) In his dissertation the applicant shall demonstrate his ability to independently solve scientific problems whose solutions serve the development of the discipline in which the dissertation was completed.

(2) The Faculties may (as the case may be, for specific subject areas only) admit publication-based dissertations. The selected articles shall be preceded by a comprehensive explanation, including a critical classification of the research topics and major insights of the publications in the context of scientific literature regarding the topic as well as an appraisal of their own contribution and of that by other authors to the relevant publications.

(3) Upon consultation with the supervisors, the dissertation shall be written in German or in English and shall be printed and bound. In justified cases, the Faculty Council may also permit a different language. Any dissertation not written in German shall include a German abstract.

(4) The dissertation shall include a title page in accordance with the provisions of the doctoral examination regulations as well as a short curriculum vitae outlining the applicant’s scientific educational background.

(5) The reviewers shall be appointed by the Faculty Council or by the Doctoral Committee (Sec. 7 § 1). The Faculties’ doctoral examination regulations shall specify the number of reviewers to be appointed. The Faculties’ doctoral examination regulations shall furthermore specify under which conditions additional evaluations may have to be obtained. The reviewers shall exhaustively and independent from one another evaluate whether the submitted dissertation can be accepted as doctoral thesis. In their written evaluations they shall assess the academic performance of any thesis to be accepted and shall award one of the following marks:

- Outstanding (summa cum laude)
- Very good (magna cum laude)
- Good (cum laude)
- Sufficient (rite).

The Faculties’ doctoral examination regulations may provide for additional marks.

(6) The evaluations should be submitted to the Dean no later than two months from the opening of the doctoral examination procedure. Failure to observe this time limit must be justified. If a reviewer is unable to submit his evaluation within a reasonable period of time, the Faculty Council may appoint a new reviewer.

(7) The Dean shall notify the university teachers as well as the faculty members with post-doctoral qualifications that the dissertation, including evaluations is available for inspection in the Dean’s office. During a period of time, which in accordance with the Faculties’ doctoral examination regulations shall be no less than two and no more than three weeks, members shall be entitled to comment on the dissertation in expert comments and opinions.
(8) If all reviewers recommend acceptance of the dissertation, the relevant panel authorised by the Faculty's doctoral examination regulations shall decide upon the final mark of such dissertation based on all suggested marks. If all reviewers agree on the same mark, the suggested mark shall be the final mark of the dissertation. In all other cases, the Faculties' doctoral examination regulations shall provide for determination of the final mark.

(9) If one reviewer recommends rejection of the dissertation, additional evaluations may be obtained by the Faculty Council. The decision regarding acceptance or rejection shall be made, taking into account all evaluations. If two reviewers reject the dissertation, the examination procedure shall be deemed failed and shall be suspended. If the dissertation has been rejected, only one further attempt at completing a doctoral degree may be made in accordance with the Faculties' doctoral examination regulations.

(10) In case of a suspended doctoral examination procedure, one copy of the dissertation as well as the evaluations shall remain on file with the Faculty.

(11) The doctoral candidate shall be notified in writing by the Dean about the suspension of the doctoral examination procedure. In such case, the doctoral candidate shall be allowed to view the files.

(12) If the doctoral examination procedure is continued after acceptance of the dissertation, the evaluations may be inspected by the doctoral student once the dates for any oral examinations have been set.

VII. Oral examinations

§ 9

(1) The Faculties' doctoral examination regulations regulate form and contents, duration and assessment, failure and repetition of oral examinations for the oral part of the doctoral examination procedure. Either disputation or colloquium or a combination of the above may be specified as forms of oral examinations.

(2) The disputation includes presentation of the main results of the dissertation by the PhD candidate and subsequent academic discussion with the members of the Doctoral Committee, where the PhD candidate is given an opportunity to defend the results of the dissertation.

(3) Oral examinations may also be held in the form of a colloquium in the subject area of the doctoral degree, providing the PhD candidate with an opportunity to demonstrate to the members of the Doctoral Committee his independent work with central themes of his subject area as well as knowledge regarding the current state of research within the discipline.

(4) Any failed oral examinations may be repeated upon application once within 12 months, but in any event after two months at the earliest. In case of repeat failure the doctoral procedure shall finally be deemed failed. The PhD candidate shall receive a relevant notification by the Dean of the Faculty.
VIII. Final mark of the doctoral degree

§ 10

(1) The following grading scale shall apply to the final mark:

- *summa cum laude* = outstanding performance
- *magna cum laude* = very good performance
- *cum laude* = good, above-average performance
- *rite* = performance meeting average requirements

The Faculties’ doctoral examination regulations may provide for additional marks.

(2) The final mark shall be derived from the marks of the dissertation and of the oral examinations as provided for in the Faculties’ doctoral examination regulations. To that end, the Faculties’ doctoral examination regulations may provide for the weighting of marks.

(3) The dissertation shall be given greater weight than an oral examination.

(4) The Faculties’ doctoral examination regulations may provide for restrictive regulations regarding the award of the final mark of ‘summa cum laude’.

IX Completion of doctoral examination procedures and certification

§ 11

At the suggestion of the reviewers, the Doctoral Committee may require the removal of errors for the publication of the dissertation. It is incumbent upon the Dean to assess the editing.

§ 12

The Dean shall notify the applicant in writing about the decisions of the Doctoral Committee and the Faculty Council and if all examinations and theses have been passed successfully, the Dean shall advise the applicant of the obligation to publish the dissertation as well as of the provisions of the doctoral examination regulations regarding the completion of the doctoral examination procedures.

§ 13

(1) Upon acceptance of the dissertation and successful completion of the oral examinations, the applicant shall be required to publish the dissertation and deliver it in accordance with para. (2).

(2) The obligation to publish the dissertation shall have been met if in addition to the four copies of the dissertation for the examination files, the following presentation copies have been provided to Thüringer Universitäts- und Landesbibliothek (ThULB):
a) either 15 printed copies on ageing-resistant, wood- and acid-free paper and durably bound; or
b) ten printed copies if the entire dissertation has been published in a journal or a scientific written series; or
c) ten printed copies if a commercial publisher will distribute the dissertation as a book of which at least 150 copies can be demonstrated and this publishing is identified on the back of the title page as dissertation; or
d) five printed copies and one electronic copy, with the data format and data carrier to be agreed with ThULB.

In case a) and d) the doctoral candidate transfers the right to produce and distribute further copies of the dissertation to University.

(3) The doctoral examination regulations prescribe a period of time, within which the presentation copies specified in para. (2) must be provided. Such delivery period may be extended only upon approval by the Dean.

§ 14

(1) Once the conditions under Sec. 11 (1) have been met and the obligation to publish the dissertation under Sec. 13 has been satisfied, the doctoral degree shall be conferred by way of delivery of a certificate signed by the Rector and the Dean. The date of the doctoral degree shall be the date of the last oral examination.

(2) As a matter of principle, the right of the PhD candidate to use the title shall begin upon delivery of the certificate.

(3) In deviation from para. (2), the applicant may be granted the right to carry the title already prior to delivery of the certificate if satisfaction of the other requirements has been proven. Such notification shall be issued by the Dean.

X. Joint doctoral programme with other universities

§ 15

(1) Joint doctoral programmes together with another university shall be based on a bilateral agreement between the University of Jena and the relevant university.

(2) Agreements entered into by the University of Jena and other universities regarding joint doctoral programmes may deviate from Sec. 1 – 14.
XI. Fraud and revocation of doctoral degree

§ 16

(1) Conferment of a doctoral degree shall be revoked if the applicant has lied or cheated in the verification of admission requirements or doctoral examinations or if facts come to light, which would have disqualified the candidate from being awarded a doctoral degree. The decision shall be made by the Faculty Council upon hearing the PhD candidate with a majority of votes of its members holding doctoral degrees.

(2) If the requirements for admission to a doctoral programme were not met, but if the applicant did not attempt and intent to lie and cheat about their satisfaction, and if this first becomes known after delivery of the doctoral certificate, such defect shall be considered remedied through successful completion of the doctoral examination.

(3) Otherwise, the statutory provisions shall apply to the revocation of a doctoral degree.

XII. Inspection

§ 17

The applicant shall be entitled after completion of the doctoral examination procedure to inspect the relevant documents. Sec. 8 (12) shall remain unaffected.

XIII. Appeal of decisions in the course of the doctoral examination procedure

§ 18

(1) The applicant shall be notified in writing about decisions regarding admission to apply to a doctoral examination procedure, the acceptance or rejection of the dissertation and the evaluation of oral examinations. Any notice of incrimination by the Faculty Council and/or by the Doctoral Committee shall be justified, including instructions on rights to appeal.

(2) The person concerned may within one month from such notification file a written appeal with the Rector of Friedrich-Schiller-University. Upon obtaining a statement by the University’s legal department, the competent Faculty Council shall decide on such appeal with a majority of votes of its members holding doctoral degrees. The Rector shall issue the ruling on the appeal after having obtained the Dean’s counter-signature.

(3) Appeal and appeal procedure shall be governed by the provisions of the Administration Procedural Law (Verwaltungsgerichtsordnung). Otherwise, Sec. 111 clause 2 ThürHG shall apply.
XIV. Honorary doctorates and renewals

§ 19

(1) In recognition of excellent scientific achievements or other special merits, Friedrich-Schiller-University may through the Faculties specified in Sec. 1 (1) in rare cases confer honorary doctorates in accordance with Sec. 1 (2) for their subject areas.

(2) The Faculties’ doctoral examination regulations include provisions regarding formal nomination for honorary doctorates and appraisal of achievements of the personage to be thus honoured.

(3) Taking into account the submitted opinions, the Faculty Council shall decide on the nomination for conferral of an honorary doctorate with three quarters of the votes of its members holding doctoral degrees. Prior to such decision by the Faculty Council, the Senate shall be given an opportunity to comment.

(4) Rector and Dean shall under normal circumstances confer the honorary doctorate in an event to which the members of the Senate and of the Faculty Council have been invited, by presenting a certificate signed by the Rector and the Dean, in which the achievements of the honoured personage are recognised.

§ 20

(1) The doctoral certificate may be renewed on the occasion of the 50th anniversary of the date of its initial conferral if this is deemed expedient in light of the scientific merits or the close ties of the recipient with Friedrich Schiller University.

(2) The anniversary certificate shall be conferred upon the proposal of the Dean and the approval of the competent Faculty Council. The certificate bears the signature of the Rector and of the Dean.

XV. Commencement and transitional provisions

§ 21

(1) In case of applicants, who have been accepted or supervised as doctoral students at another university, and whose scientific advisor has recently been appointed to a position at Friedrich Schiller University, the requirements for admission to apply to a doctoral examination procedure and to open doctoral examination procedures of the original university shall also apply at Friedrich Schiller University Jena.

(2) As a matter of principle, taking into account para. (1), the doctoral examination procedures shall be conducted in accordance with the General Doctoral Examination Regulations of Friedrich Schiller University Jena in conjunction with the Faculties’ doctoral examination regulations.
§ 22

(1) The General Doctoral Examination Regulations of Friedrich Schiller University Jena shall enter into force on the first day of the month following their announcement in the Official Journal of Friedrich-Schiller-University Jena. At the same time, the General Provisions for the Courses of Examination for Doctoral Candidates of Friedrich-Schiller-University Jena of 01 March 2000 (Official Gazette of the Ministry of Culture of Thuringia and of the Ministry of Science, Research, and Arts of Thuringia No. 7/2000, p. 340) shall expire.

(2) The Faculties shall be required to adapt their respective doctoral examination regulations to the terms of the present General Provisions of 24 June 2008 by 31 May 2009 at the latest. The Faculties’ doctoral examination regulations may provide for exceptions from Sec. 3 (5) of the present General Provisions to the extent evidence of language skills is concerned.

(3) If a Faculty’s doctoral examination regulations refers to the General Doctoral Examination Regulations of the Faculties of Friedrich Schiller University Jena of 01 March 2000, such referenced provisions shall remain valid and in force with regard to such doctoral examination regulations until its amendment in accordance with para. (2).

Jena, 24 June 2008

signed Prof. Dr. Klaus Dicke
Rector, Friedrich Schiller University