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## **Doctoral Examination Regulations of the Faculty of Physics and Astronomy, Friedrich Schiller University Jena, as at 20 November 2018**

Pursuant to the section 3 subsection 1 in conjunction with the section 38 subsection 3 of the Thuringian Higher Education Act (Thüringer Hochschulgesetz, ThürHG) as at 10 May 2018 (published in the journal of legal notices of the Federal State of Thuringia GVBl 2018, p. 149), last amended through the section 128 of the Act on 18 December 2018 (GVBl, p. 731), the Friedrich Schiller University Jena (hereinafter: the University) issues the following Doctoral Examination Regulations of the Faculty of Physics and Astronomy (hereinafter: the Faculty). The amendment was approved by the Faculty Council of the Faculty on 18 October 2018 and agreed by the Senate of the University on 20 November 2018.

The President gave his consent on the regulations on 20 November 2018.

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## I. Doctoral degree

### § 1

- (1) The University, represented by the Faculty, confers the doctoral degrees:
  - doctor rerum naturalium (Dr. rer. nat.)
  - Doktor-Ingenieur(in) (Dr.-Ing.).
- (2) <sup>1</sup>Represented by the Faculty of Physics and Astronomy, the University can also confer an honorary doctorate ("doctor honoris causa", Dr. h.c.) in accordance with the section 21. <sup>2</sup>In accordance with the section 1 subsection 1, the doctoral degree shall include the addition "honoris causa" (h.c.). <sup>3</sup>In comparison to this, the doctoral degree "Dr.-Ing." shall have the addition "Ehren halber" (E.h.).
- (3) A doctoral grade with the same designation may be conferred only once except in the case of an honorary doctorate.

### § 2

- (1) The conferment of a doctoral degree serves as a certification of the holder's ability to carry out advanced scientific work within one of the subject areas represented by the Faculty according to the section 1 subsection 1.
- (2) Except in the case of an honorary degree, the certification will be granted upon successful submission of a written scientific paper ("Dissertation"), in accordance with the section 8, and upon a thesis defence ("Disputation") in accordance with the section 9.

## II. Admission requirements

### § 3

- (1) <sup>1</sup>Admission as a doctoral candidate usually requires the successful completion of one of the following degrees: Diplom, state examination ("Staatsexamen"), or a master's degree at a university or university of applied sciences. <sup>2</sup>Those who wish to earn the degree "Dr. rer. nat." must possess a Diplom or a master's degree at a university or a master's degree at a university of applied sciences within natural sciences, technically-oriented natural sciences, or mathematics, or have passed the final examination in teacher training ("Gymnasium") at the level II ("Sekundarstufe II) with physics as a main subject. <sup>2</sup>Those who wish to earn the degree "Dr.-Ing" must possess a Diplom or a master's degree at a university or a master's degree at a university of applied sciences within technically-oriented natural sciences or natural sciences.



- (2) <sup>1</sup>Degrees earned at institutions of higher education abroad may be recognized if they are considered equivalent to the degrees mentioned in the subsection 1. <sup>2</sup>The equivalence shall be examined by the Dean based on the agreement on equivalence approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany (*Kultusministerkonferenz, KMK*) and the German Rectors' Conference (*Hochschulrektorenkonferenz, HRK*).<sup>3</sup>Exceptions with regard to the subsection 1 are possible upon prior approval of the majority of the present members of the Faculty Council holding a doctoral degree provided that the candidate can prove that the prior education is equivalent. <sup>4</sup>In accordance with the Appendix 1, the Faculty Council may request an evaluation of the candidate's prior academic performance as part of an individual assessment of eligibility ("Eignungsfeststellungsverfahren"). <sup>5</sup>If necessary, the Faculty Council issues a list of additional requirements for the applicants, i.e. coursework and examinations, which correspond with the relevant study and examination regulations of the Faculty. <sup>6</sup>These additional requirements must be specified in the letter of admission as a doctoral candidate.
- (3) The same applies for the admission of particularly well qualified graduates of bachelor's programmes as defined in the section 3 subsection 4 of the General Doctoral Examination Regulations (*Allgemeine Bestimmungen für die Promotionsordnungen der Fakultäten, ABPO*).
- (4) <sup>1</sup>These additional requirements are also considered fulfilled if the applicants complete one of the recognized structured doctoral programmes of the Graduate Academy which is also supported by the supervising professors, Privatdozenten or leaders of junior research groups of the Faculty. <sup>2</sup>Applicants must fulfil these requirements before the beginning of the examination procedure.
- (5) As a general rule, applicants cannot be given the admission if they have already applied for admission as a doctoral candidate, are accepted as doctoral candidate, or have ultimately failed the doctoral examination procedure within that same discipline elsewhere.



### III. Admission as a doctoral candidate and supervision

#### § 4

(1) <sup>1</sup>Those who fulfil the admission requirements as defined in the section 3 and intend to complete a doctoral thesis must submit an application for admission as a doctoral candidate to the Faculty before starting the doctoral research. <sup>2</sup>As a rule, they can apply for admission via the online portal. <sup>3</sup>By approving the admission of the applicant as a doctoral candidate, the Faculty takes on the responsibility to assess the doctoral thesis as a scientific work and to assist the doctoral candidate in working on the thesis. <sup>4</sup>In their application, applicants shall provide the topic of their doctoral thesis project and the subject area of research.

<sup>5</sup>The application should comprise the following supporting documents:

1. supporting documents regarding the admission requirements as defined in the section 3; copies of grade certificates and degree certificates (For applicants who earned their degree at other universities the copies must be officially certified.);
2. supervision agreement as defined in the section 4 subsection 5;
3. a current CV presenting personal and professional development;
4. a declaration about current or previous applications for admission as a doctoral candidate, including these information: date, topic, the name of the faculty to which the application was submitted, and whether an examination procedure has been completed. If the applicant already earned a doctorate, a copy of the doctoral certificate shall be attached.

<sup>6</sup>If the applicants are not members of the University, they must provide a valid ID.

(2) The admission is only possible if at least one research supervisor has accepted the supervision of the doctoral thesis project, the infrastructure for the planned project is guaranteed, and the Faculty can evaluate the final doctoral thesis as a scientific work.

(3) <sup>1</sup>Supervisors may be professors, Privatdozenten (associate professors), or leaders of junior research groups, who are members of the Faculty. <sup>2</sup>Leaders of junior research groups may be supervisors if their scientific competence was approved by the external scientific assessment procedure of which the quality criteria are accepted by the Research Committee of the Senate. <sup>3</sup>Additionally, upon formal request submitted to the Faculty Council, leaders of junior research groups whose assessment meets at least the quality criteria approved by the Senate's Research Committee may be assigned the supervision.



- (4) <sup>1</sup>If the supervision is a collaboration with other research institutions, in particular institutions of higher education and non-university research institutions, additional persons may also be supervisors who have equivalent scientific qualifications as those defined in the section 3 upon prior approval of the Faculty Council. <sup>2</sup>As a rule, the collaboration is based on an agreement between the University and the cooperating institution. <sup>3</sup>In such cases, usually one supervisor is a member of the Faculty. <sup>4</sup>Exceptions are possible, however, only when the Faculty Council grants its approval that the supervision may be carried out without a faculty member.
- (5) In the supervision agreement with the doctoral candidate, at least the following information must be provided:
- the doctoral candidate agrees to provide progress reports on the doctoral thesis project to the supervisor(s) regularly;
  - the supervisor(s) agree to ask for progress reports on the ongoing doctoral thesis project from the doctoral candidate regularly;
  - the type of the cooperation (if applicable);
  - type of the doctoral thesis project (e.g. monograph or cumulative dissertation);
  - participation in a structured doctoral programme (if applicable);
  - obtaining additional skills which support the doctoral thesis project;
  - scope of obtaining teaching skills.
- (6) The admission does not guarantee any legal rights to begin the doctoral examination procedure.
- (7) <sup>1</sup>It is the Dean who shall decide on the application as defined in the section 1 sentence 1 within two months. <sup>2</sup>The applicant shall be informed about the decision on the application in writing in accordance with the subsection 1. <sup>3</sup>A rejection of the application must also include a valid reason for the rejection and information on legal remedies. <sup>4</sup>The letter of acceptance must include the subject area of the doctoral thesis project, the topic, and the supervisors. If applicable, additional requirements as defined in the section 3 subsections 3 and 4 shall be specified, too.
- (8) Upon request, the doctoral relationship (doctoral work and status as a doctoral candidate) may be suspended if the doctoral candidate cannot work on the doctoral thesis project temporarily because of particular family-related burdens, illness, pregnancy, because of parental leave, care for relatives, disabilities, or because of any other valid reason.
- (9) <sup>1</sup>The doctoral candidate shall inform the Faculty about any changes of data having been provided in the application for admission as a doctoral candidate or in the supervision agreement immediately. <sup>2</sup>Upon request, the doctoral candidate must confirm the resumption of the doctoral thesis project yearly. <sup>3</sup>From the fourth year after the admission on, a confirmation from the responsible supervisor is required.



- (10) <sup>1</sup>The admission as a doctoral candidate may be revoked if there is no prospect of completing the doctoral thesis project in due time successfully or if the supervision agreement was terminated pursuant to the section 5. <sup>2</sup>Prior to decision through the Faculty Council, the doctoral candidate shall be given the opportunity to be heard. <sup>3</sup>Furthermore, the doctoral candidate may terminate the doctoral relationship upon written notice.

#### IV. Opening of the doctoral examination procedure

##### § 5

<sup>1</sup>The application for the opening of the examination procedure shall be submitted in written form to the Dean of the Faculty. <sup>2</sup>The application should comprise the following supporting documents:

1. confirmation that the additional requirements as defined in the section 3 subsections 2–4 have been met;
2. four copies of the doctoral thesis and one electronic copy as a PDF file;
3. declaration in which applicants:
  - 3.1 confirm that they are familiar with the valid doctoral examination regulations;
  - 3.2 confirm that they produced the doctoral thesis project themselves (statement of authorship), they neither did use any text passages from third parties nor their own final theses without citing those; in addition, they also confirm they cited the tools, personal information, and sources having been used;
  - 3.3 provide names of the persons who assisted the applicant with the selection and assessment of materials, and supported them in writing the manuscript;
  - 3.4 confirm that they did not receive any assistance from doctoral consultants and that any third party did not receive either direct or indirect financial benefits from the applicants for work connected to the contents of the doctoral thesis submitted;
  - 3.5 confirm that they have not already submitted the doctoral thesis as their final thesis for a state examination or other scientific examination;
  - 3.6 confirm that they did not submit the same, a substantially similar, or another scientific paper to another institution of higher education or, if they did it, which grade they might have achieved;
4. discipline to which the doctoral thesis is related in accordance with the section 1;
5. an official certificate of good conduct if the applicants are not employed in the public sector;
6. proof of payment of the doctorate fee; the fee is determined by the valid version of the General Fees Regulations of the University;
7. a CV containing information on your education and scientific achievements;
8. list of scientific publications and scientific oral presentations.



## § 6

- (1) It is the Faculty Council which decides on the beginning of the examination procedure; the decision shall be made in the first meeting after the submission of the application. The decision shall be reached by a majority of the Council's members holding a doctorate.
- (2) The Dean shall inform the applicant about the beginning of the examination procedure in writing.
- (3) If the Faculty Council rejects the application, the procedures as defined in the section 20 shall apply.
- (4) The withdrawal of the application for the beginning of the examination procedure is permissible until either the date for the thesis defence has been fixed or the procedures have been closed due to the rejection of the doctoral thesis.

## V. Doctoral committee

## § 7

- (1) <sup>1</sup>Upon decision to start the examination procedure, the Faculty Council, upon prior Dean's request, appoints a doctoral committee, including the reviewers and the chairperson. <sup>2</sup>All members of the Doctoral Committee should be professors, leaders of junior research groups, or shall hold a postdoctoral lecturing qualification (Habilitation).  
<sup>3</sup>The chairperson of the Doctoral Committee must be a professor at the Faculty.
- (2) <sup>1</sup>The Doctoral Committee consists of three reviewers of the doctoral thesis, at least one of those shall not be a member or employee of the University, and of two additional professors, leaders of junior research groups, or Privatdozenten. <sup>2</sup>If the doctoral thesis is supervised by a professor of the Faculty, this member shall be appointed as reviewer. <sup>3</sup>One reviewer shall be appointed as second reviewer. <sup>4</sup>The second reviewer shall be present at the thesis defence. <sup>5</sup>The person shall pose suitable questions to initiate a high-level scientific discussion during the thesis defence.  
<sup>6</sup>The majority of the members of the Doctoral Committee must be professors.
- (3) <sup>1</sup>The Doctoral Committee consults the results of the examination in a non-public meeting based on written reviews and possible reviewers' statements as defined in the section 8 subsection 10 related to the acceptance or rejection of the doctoral thesis. <sup>2</sup>The Committee also conducts the oral examination (thesis defence) in accordance with the section 9 and evaluates the candidate's performance. <sup>3</sup>All decisions of the Doctoral Committee shall be put on record. <sup>4</sup>It suggests the grade of the doctoral thesis, of the thesis defence, and the final overall grade to the Faculty Council.
- (4) The Dean has the right to attend the meetings of the Doctoral Committee with advisory capacity.
- (5) <sup>1</sup>The members of the Doctoral Committee shall treat the information having been disclosed in non-public meetings of the Committee as confidential. This does not apply to the information that are already public. <sup>2</sup>Their duty to treat information as confidential, originating from their official relationship and employment relationship, remain unaffected.
- (6) <sup>1</sup>The right of supervisors, reviewers, and of members of the Doctoral Committee to participate in examination procedures remains unaffected in case of their retirement. <sup>2</sup>It is the Faculty Council which decides on other rights to participate, in particular of those persons who are or are about to be employed by other institution.



## VI. Doctoral thesis

### § 8

- (1) In the doctoral thesis, doctoral candidates demonstrate their ability to independently conduct scientific research that advances the academic discipline in which the doctoral thesis is completed.
  - (2) <sup>1</sup>It must be possible to classify the doctoral thesis to one of the disciplines of the Faculty. <sup>2</sup>To earn a degree "Dr.-Ing.", the doctoral thesis shall be related to engineering sciences. <sup>3</sup>Results already published by the candidate can be included into the doctoral thesis.
  - (3) A cumulative doctoral thesis, as a compilation of publications, is not permitted.
  - (4) The doctoral thesis can be written in German or in English. Doctoral candidates shall submit a typewritten doctoral thesis both bound and in electronic form.
  - (5) The doctoral thesis shall include an abstract in German and in English.
  - (6) The dissertation shall include: a title page, a short CV outlining the candidate's scientific educational background.
  - (7) The doctoral thesis shall not exceed 100 pages. Upon Dean's prior approval, the doctoral thesis may extend the given limit.
  - (8) <sup>1</sup>The Dean submits the doctoral thesis to the reviewers appointed pursuant to the section 7 subsection 1 and 2 along with the request to evaluate it in due time. <sup>2</sup>This period shall not exceed two months after the beginning of the examination procedure. <sup>3</sup>In case of delays, the reviewers shall provide valid reasons. <sup>4</sup>If reviewers are not able to submit their reviews in due time, the Faculty Council shall appoint other reviewers.
  - (9) <sup>1</sup>The reviewers evaluate the submitted doctoral thesis in detail and independently from each other, and decide whether it can be accepted as such. <sup>2</sup>They evaluate the scientific performance of a doctoral thesis submitted in a written review and grade it according to the following scale:

summa cum laude	(with distinction = 1)
magna cum laude	(excellent = 1)
cum laude	(good = 2)
rite	(sufficient = 3)
non sufficit	(failed = 4).
- <sup>3</sup>The Doctoral Committee can condition the acceptance of the doctoral thesis with removing errors.
- (10) <sup>1</sup>Within two weeks after the submission of the reviews, the members of teaching staff and the faculty members having a postdoctoral teaching qualification may view the doctoral thesis in the Dean's Office and may provide their opinion on the thesis. <sup>2</sup>Within the period, the aforementioned members of the Faculty are eligible to provide their opinion on the given doctoral thesis. <sup>3</sup>The members of the Doctoral Committee may receive the complete documents related to the doctoral thesis for the purposes of evaluation in the Dean's Office.
  - (11) <sup>1</sup>If all reviewers suggest the acceptance of the doctoral thesis, the chairperson of the Doctoral Committee initiates the continuation of the doctoral examination procedure immediately. <sup>2</sup>The candidate shall be notified when the reviews are available.





- (12) <sup>1</sup>Based on the reviews, the Doctoral Committee decides whether the doctoral thesis shall be accepted or rejected. <sup>2</sup>Should one reviewer recommend the rejection of the doctoral thesis, the Faculty Council may request additional reviews. <sup>3</sup>The decision on the acceptance or rejection shall be reached taking all reviews into account. <sup>4</sup>If two reviewers reject the doctoral thesis, the examination shall be considered failed, the examination procedure shall be terminated.
- (13) <sup>1</sup>If the doctoral thesis is rejected, the examination procedure is considered unsuccessful and shall be terminated. <sup>2</sup>The rejected doctoral thesis and the reviews remain in the archive of the Dean's Office. <sup>3</sup>The Dean issues a written notice to the doctoral candidate regarding the termination of the examination procedure. <sup>3</sup>In this case, the doctoral candidate is allowed to view the examination files.
- (14) If the doctoral thesis is rejected, the candidate may re-apply for a doctoral examination in the same field only once.

## VII. Thesis defence

### § 9

- (1) <sup>1</sup>When the reviews are available, a public thesis defence shall take place. <sup>2</sup>The date of the thesis defence shall be determined by the chairperson of the Doctoral Committee. The candidate, other members of the Doctoral Committee, and the public shall be informed about the date. <sup>3</sup>As a general rule, the thesis defence shall take place within two months after the submission of reviews.  
<sup>4</sup>The thesis defence shall be completed by the semester following the review deadline.
- (2) During this period, the candidate has the right to view the reviews.
- (3) <sup>1</sup>During the thesis defence, the candidate presents the most important results of the doctoral thesis in a public presentation. This is followed by a public scientific discussion, usually lasting between 30 and 60 minutes. <sup>2</sup>During a subsequent scientific discussion, candidates shall be given the opportunity to defend the findings of the doctoral thesis and to demonstrate their knowledge of the field proving an independent engagement within the field of the doctoral thesis and the related fields as well as that they have an overview of the state of the art in the relevant research.
- (4) Based on the reviews and prior to the thesis defence, the Doctoral Committee shall evaluate whether the overall final grade "summa cum laude" is achievable.
- (5) <sup>1</sup>The thesis defence shall be conducted by the chairperson of the Doctoral Committee. <sup>2</sup>During the thesis defence, at least four members of the Doctoral Committee must be present: the chairperson, the supervisor, the second reviewer, and another member of the Doctoral Committee. <sup>3</sup>The chairperson may exclude questions which do not belong to the field of the doctoral thesis.
- (6) <sup>1</sup>The chairperson of the Doctoral Committee shall provide minutes of the thesis defence which shall include the information on evaluation of the candidate's presentation and on the discussion. <sup>2</sup>After the thesis defence, the Doctoral Committee consults on the grade of the thesis defence. <sup>3</sup>The following grades are possible:
- |                 |                     |
|-----------------|---------------------|
| summa cum laude | (outstanding = 1)   |
| magna cum laude | (excellent = 1)     |
| cum laude       | (good = 2)          |
| rite            | (sufficient = 3)    |
| non sufficit    | (insufficient = 4). |



- (7) <sup>1</sup>Should doctoral candidates fail the thesis defence, they may apply to repeat the thesis defence once. The second attempt shall take place within 12 months, but not earlier than two months after the first thesis defence. <sup>2</sup>Should the defence not be repeated or failed more than once, the examination procedure shall be considered unsuccessful and terminated. <sup>3</sup>The Dean shall inform the doctoral candidate about it in writing.

### VIII. Overall final grade of the doctoral thesis project

#### § 10

- (1) <sup>1</sup>Immediately after the thesis defence and taking the written statements as defined in the section 8 subsection 10, the Doctoral Committee consults on the grade for the thesis defence, the doctoral thesis, and on the overall final grade for the doctoral thesis project. <sup>2</sup>The Doctoral Committee suggest the grade for the doctoral thesis and the overall final grade to the Faculty Council shall decide ultimately. <sup>3</sup>The candidate shall be informed about the grade for the thesis defence as well as the suggestions on the grade for the doctoral thesis and the doctoral thesis project immediately after the thesis defence. <sup>4</sup>The competences of the Faculty Council concerning the final grade remain unaffected.
- (2) <sup>1</sup>The grade for the doctoral thesis is determined based on the arithmetic average of the grades given in the reviews in accordance with the section 8 subsection 9. <sup>2</sup>If the calculation results in the grades 1.5 or 2.5, the Committee shall prefer the grade for the doctoral thesis taking the reviewers' arguments into account. <sup>3</sup>Should at least two reviews suggest the grade "summa cum laude", the final grade may be "summa cum laude". <sup>4</sup>If there are additional expert statements available provided by the members of teaching staff or members of the Faculty holding a postdoctoral teaching qualification, the Committee shall consider whether these statements are as crucial as that they would justify an alternative grade.
- (3) <sup>1</sup>The final grade for the doctoral thesis as a whole shall be determined based on the arithmetic average of the doctoral thesis and the thesis defence having an equal weight. <sup>2</sup>If the calculation results in the grades 1.5 or 2.5, it is the Committee which shall determine the final grade. <sup>3</sup>As a rule, the grade for doctoral thesis is decisive for the overall final grade. <sup>4</sup>If the grades for the doctoral thesis and for the thesis defence are "summa cum laude", respectively, the overall final grade shall be "summa cum laude" (with distinction). Otherwise the following grades shall be given:
- |                 |                   |
|-----------------|-------------------|
| magna cum laude | (very good = 1)   |
| cum laude       | (good = 2)        |
| rite            | (sufficient = 3). |
- (4) All grades shall be documented in the minutes, including with the request on awarding the academic degree from the Doctoral Committee, and submitted to the Dean who shall file them to the Faculty Council.
- (5) <sup>1</sup>The Faculty Council shall decide on the grade of the doctoral thesis and the overall final grade by majority vote of its members present at its next meeting. <sup>2</sup>With regard to the regulations on temporary contracts, the examination procedure is then considered completed.



## IX. Completion of examination procedure and doctoral degree certificate

### § 11

- (1) <sup>1</sup>The Doctoral Committee may impose additional requirements regarding the publication of the doctoral thesis, e.g. factual corrections. <sup>2</sup>It is the Dean who shall examine whether the requirements are fulfilled.
- (2) <sup>1</sup>The Dean shall inform the doctoral candidate about the decision of the Faculty Council in writing. <sup>2</sup>After having met the requirements, the Dean shall inform the doctoral candidate about the obligation to publish the doctoral thesis as well as about the provisions on the completion of examination procedure.

### § 12

- (1) After the acceptance of the doctoral thesis, the doctoral candidate shall publish the doctoral thesis and submit the compulsory copies to the Thuringian State and University Library (ThULB) in accordance with the subsection 2.
- (2) <sup>1</sup>The obligation to publish the doctoral thesis is considered met if, apart from the four copies of the doctoral thesis submitted, the ThULB shall receive compulsory copies in one of the following versions:
  1. an electronic version as a PDF file on a CD and three identical printed versions or
  2. eight printed and bound copies or
  3. eight printed copies if the doctoral thesis was published in a journal or in a scientific series or
  4. eight printed copies if it is (1) a commercial publisher who is responsible for the distribution, (2) the minimum number of copies is proven (i.e. 150 copies), and (3) the publication is marked as a doctoral thesis on its title page.

<sup>2</sup>In the cases defined in the sentence 1 (1 and 2), the doctoral candidate transfers the right to produce further copies of the doctoral thesis and to distribute it to the University. <sup>3</sup>In the case defined in the sentence 1 (1), the doctoral candidate shall furthermore transfer the right to publish the doctoral thesis in data networks to the University and to the German National Library ("Deutsche Nationalbibliothek"). <sup>4</sup>Regarding the latter, the ThULB may specify requirements for the submission of the doctoral thesis, in particular the technical ones.

- (3) <sup>1</sup>The copies for the ThULB have to be submitted within six months after the doctoral examination. <sup>2</sup>Upon the Dean's approval, the submission deadline may be extended due to reasons related to data protection and copyright. <sup>3</sup>The submission deadline shall not be extended by more than two years.



### § 13

- (1) <sup>1</sup>When the requirements set in the section 11 subsection 1 are met and the obligation to publish the doctoral thesis in accordance with the section 12 is fulfilled, the doctoral candidate is conferred a doctoral degree certificate which shall be signed by the President and the Dean, and shall include the seal of the University. <sup>2</sup>The date of the thesis defence shall be marked as the date of the completion of doctoral studies.
- (2) The candidates may use their doctor title as soon as they have received the doctoral degree certificate.
- (3) <sup>1</sup>If other requirements are proven, applicants may be given a temporary consent to use the title before the conferral of the doctoral degree certificate in accordance with the subsection 2 <sup>2</sup>This also applies in cases specified in the section 12 subsection 3 sentence 2 when at least an abstract of the doctoral thesis was published. <sup>3</sup>This decision shall be issued by the Dean.
- (4) Upon request, doctoral candidate may receive the doctoral degree certificate in English.
- (5) In case of joint doctorates being part of collaborations in accordance with the section 15, a doctoral degree certificate shall be conferred in accordance with the section 18.
- (6) <sup>1</sup>After the completion of the examination procedure, the doctoral candidates have the right to view the documentation of the procedure. <sup>2</sup>Section 8 subsection 13 remains unaffected.

#### **X. Joint examination procedures with other institutions of higher education**

### § 14

- (1) Pursuant to the section 61 subsection 5 sentence 4 of the ThürHG, members of teaching staff of a university of applied sciences from other university of applied sciences or another institution of higher education without the right of granting doctoral degrees may be appointed as supervisors or reviewers by the Faculty Council.
- (2) As a rule, a general agreement on joint doctorates between the University and the other institution of higher education shall be given.

### § 15

- (1) <sup>1</sup>The joint examination procedures with other German or foreign institutions of higher education having the right to confer doctoral degrees shall be based on an agreement between the University and the other institution. <sup>2</sup>This cooperation agreement shall be signed by the doctoral candidate and, representing the University, the supervisor, the Dean, and the President.
- (2) In particular, the cooperation agreement shall include the following aspects:
  - the supervision of the doctoral thesis project which shall be carried out by at least one supervisor;
  - the minimum period of the research stays at the partner institution which shall not be shorter than 12 months;
  - the examination formalities, including the language, composition of the doctoral committee, and the grading system to be applied;
  - the reimbursement of travel expenses;
  - the details of the awarding of the doctoral title;
  - the obligation to publish the doctoral thesis.



- (3) In accordance with the sections 3 and 4, the admission to apply for a doctoral programme shall be carried out both at the University and at the partner institution.
- (4) The doctoral thesis project may be submitted either to the University or to the partner institution.

## § 16

- (1) <sup>1</sup>Should the doctoral thesis project be submitted to the University, the project shall be supervised jointly, i.e. by one supervisor as defined in the section 4 subsection 2 and by one member of the partner institution who is eligible to perform duties as an examiner. <sup>2</sup>The details of the joint supervision is determined by the agreement in accordance with the section 15 subsections 1 and 2.
- (2) <sup>1</sup>If the doctoral thesis project is accepted as defined in the section 6, the University will transfer it to the partner institution which shall also decide on the continuation of the procedure. <sup>2</sup>If the partner institution approves to the continuation, the oral examination shall take place in accordance with the section 9. <sup>3</sup>For this purpose, the Faculty Council appoints at least one person, who shall be eligible to perform duties as an examiner in accordance with the regulations of the partner institution, as a member of the doctoral committee.
- (3) If the written part of the examination is accepted by the University, however, the decision on the continuation of the procedure refused by the partner institution, the joint procedure shall be terminated. The examination procedure shall be continued in accordance with the present regulations.
- (4) Publication of the doctoral thesis and the delivery of the compulsory copies to the Library shall be in accordance with the section 12 as well as with the section 15 subsection 1 and 2 of the agreements reached.

## § 17

- (1) <sup>1</sup>Should the doctoral thesis be submitted to the partner institution, it shall be supervised by one member of the partner institution eligible to perform duties as an examiner and by one supervisor as defined in the section 4 subsection 2. <sup>2</sup>The procedure shall be carried out in accordance with the doctoral examination regulations of the partner institution <sup>3</sup>The details of the joint supervision is determined by the agreement in accordance with the section 15 subsections 1 and 2.
- (2) <sup>1</sup>If the doctoral thesis is accepted by the partner institution pursuant to the section 6, it shall be submitted to the Faculty Council of the University which decides upon the continuation of the procedure. <sup>2</sup>If the Faculty Council gives its consent, the oral examination shall take place at the partner institution in accordance with its regulations. <sup>3</sup> In accordance with the section 15 subsections 1 and 2, the agreement shall include the regulation on the supervisor from the University which must be a member of the examination board as an examiner.
- (3) <sup>1</sup>If the partner institution accepts the doctoral thesis, the Faculty Council of the respective faculty of the University, however, refuses to continue the procedure, the joint procedure shall be terminated. <sup>2</sup>The examination procedure can be continued in accordance with the regulations of the partner institution.
- (4) <sup>1</sup>Regarding the publication of the doctoral thesis and the delivery of the compulsory copies to the ThULB, the relevant regulations of the partner institution shall be applied. <sup>2</sup>In accordance with the section 15 subsections 1 and 2, the agreement shall furthermore determine how many copies of the doctoral thesis shall be given to the University. <sup>3</sup>As a general rule, one copy shall remain in the examination files. <sup>4</sup>The Faculty may condition the conferral of the doctoral degree certificate as defined in the section 18 by the delivery of that copy.



## § 18

- (1) <sup>1</sup>After the completion of the joint examination procedure, the Faculty of the University in charge and the partner institution confer a joint doctoral degree certificate in which it is clearly stated that the doctorate was a result of a joint supervision. <sup>2</sup> The certificate shall carry the signatures and seals which are required in accordance with these regulations and those of the partner institution.
- (2) Instead of a joint degree certificate, the Faculty of the University in charge and the partner institution may confer separate degree certificates, respectively, in which it shall be clearly stated that they form a joint doctoral degree certificate.
- (3) Based on the joint doctoral degree certificate, its holder is entitled to use the title, in Germany in accordance with the section 1 subsection 1 whereas in the foreign country the title being conferred there.
- (4) <sup>1</sup>The details of the doctoral degree certificate is determined by the agreement in accordance with the section 15 subsections 1 and 2. <sup>2</sup>In addition, it shall be possible to infer the equivalence of the grading system from the doctoral degree certificate. <sup>3</sup>In the joint doctoral degree certificate, the equivalent foreign grading system shall be provided accordingly.
- (5) In exceptional circumstances, any agreements on joint examination procedures that the University might reach with other institutions of higher education having the right to confer doctorates may differ from the regulations in the sections 1 to 18 provided this is compliant with the legal provisions.

## XI. Deception and revocation of the doctorate

### § 19

- (1) <sup>1</sup>The doctoral degree shall be revoked if the doctoral candidate provided supporting documents for admission or during the examination procedure by deception. The same applies if any facts might be found out that would have prevented the conferral of the doctoral degree. <sup>2</sup>The decision to revoke the doctoral degree shall be accepted by majority vote of the Faculty Council's members holding a doctorate; prior to decision, the doctoral candidate shall be given the opportunity to be heard.
- (2) Should the admission requirements not be met, this being known after the doctoral degree certificate was already conferred, and the applicant did not obtain the status by deception, the lack of requirements shall be considered met by passing the doctoral examination.
- (3) In addition to the provisions above, the revocation of the doctorate is subject to general legal provisions.



## XII. Right of appeal in examination procedure

### § 20

- (1) <sup>1</sup>The applicant shall be informed about the decisions on the admission for doctoral studies, on the beginning of the examination procedure or its rejection, and on the acceptance or rejection of the doctoral thesis in writing. <sup>2</sup>Any incriminating notification of the Faculty Council and/or of the doctoral committee shall be justified and shall include the information on legal remedies.
- (2) <sup>1</sup>Within a month after the date of notification, the concerned party may file a written appeal to the President of the University. <sup>2</sup>Upon obtaining an opinion from the University's Legal Office, the Faculty Council decides on the appeal with a majority vote by its members holding a doctorate. <sup>3</sup>After obtaining the Dean's signature, the notification on the objection is issued by the President.
- (3) Regarding the appeal and the appeal procedure, the provisions of the Code of Administrative Court Procedure (Verwaltungsgerichtsordnung, VwGO) shall apply accordingly. If not otherwise specified, the section 133 of the ThürHG shall apply.

## XIII. Honorary doctorate and jubilee doctorate

### § 21

- (1) To praise outstanding scientific achievement or other special merits, the University may award honorary degrees. Being a rare distinction, these may be conferred by the Faculty for any of the fields that it represented by the Faculty in accordance with the section 1 subsection 2.
- (2) A nomination for an honorary doctorate shall be submitted by at least three professors of the Faculty.
- (3) <sup>1</sup>Based on the opinions submitted, the Faculty Council decide on the nomination for an honorary doctorate with a three-fourths majority vote of its members holding a doctorate. <sup>2</sup>Prior to its decision, the Senate is also to be given the opportunity to provide an opinion.
- (4) As a rule, the President and the Dean shall award an honorary doctorate at a celebratory event to which the members of the Senate and the Faculty are invited. The honorary doctorate presents the achievements of the nominee in form of a certificate which is signed by the President and the Dean.

### § 22

- (1) The doctoral degree certificate may be renewed on the 50th anniversary of the date of its initial conferral. In this case, the scientific achievements or the strong bond of the person celebrating the jubilee with the University should be taken into consideration.
- (2) The anniversary certificate shall be awarded upon Dean's proposal and the approval of the Faculty Council. It should be signed by the President and the Dean.





## Mediation with ombudspersons

### § 23

- (1) <sup>1</sup>Upon proposal of the Executive Board, the Senate shall appoint two ombudspersons and their representatives from among current members of teaching staff or those already retired. <sup>2</sup>The term of office is three years, the ombudspersons may be re-appointed. <sup>3</sup>The ombudspersons shall neither be of the same gender nor come from the same faculty. The institution shall consist of one male and one female ombudsperson.
- (2) <sup>1</sup>The ombudspersons are the point of contact for all doctoral candidates of the University and for their supervisors in case of conflicts which may occur within the supervision relationship and during the doctoral thesis project. <sup>2</sup>The ombudspersons act as independent and impartial advisers and mediators, they do not influence the assessment of the achievements acquired. <sup>3</sup>The competences of other institutions, in particular of the faculty councils and the Committee in accordance with the section 5 subsection 1 of the University's Guidelines for Safeguarding Good Scientific Practice remain unaffected.
- (3) The details on the procedures related to ombudspersons shall be regulated by respective statutes.

## XIV. Coming into effect and transitional provisions

### § 24

If not otherwise specified in these regulations, the General Doctoral Examination Regulations of the University shall apply.

### § 25

- (1) <sup>1</sup>The General Doctoral Examination Regulations of the University shall come into effect on the first day of the month following their announcement in the journal of legal notices of the University. <sup>2</sup>At the same time, the General Doctoral Examination Regulations of the University adopted on 15 April 2014 (announced in the journal of legal notices of the University, no. 5/2014) cease to be in force except for the doctoral candidates who have the right to vote as defined in the section 2 of the previous regulations.
- (2) Applicants who received the admission as a doctoral candidate on the basis of the Doctoral Examination Regulations of Faculty of Physics and Astronomy as at 15 April 2014, i.e. before the present version came into effect, have the right to choose between the current and the previous version of the regulations.

Jena, 21 November 2018

Prof. Dr Walter Rosenthal  
President of the Friedrich Schiller University Jena

Prof. Dr Andreas Wipf  
Dean of the Faculty of Physics and Astronomy





### Appendix 1: assessment of eligibility

- (1) Graduates of study programmes other than defined in the section 3 subsection 1 may apply for admission to apply for a doctoral programme at the Faculty of Physics and Astronomy. The Faculty Council decides about the application after the applicant's individual assessment of eligibility ("Eignungsfeststellungsverfahren") is completed.
- (2) The assessment shall be conducted by a examinations committee appointed by the Faculty Council for the respective candidate which shall be chaired by the Dean of Studies. In individual cases, the Examinations Committee may also determine the discrepancies between the candidate's profile and the admission requirements.
- (3) In accordance with the valid examination regulations as well as taking the topic of the doctoral thesis project planned and the doctoral degree aspired, the Examinations Committee decides which coursework and examinations shall be acquired by the candidate.
- (4) If the assessment is not successful, each candidate shall only have one second attempt available. It is the Examinations Committee which decides on exceptions.
- (5) The application for admission to the assessment must include:
  1. a curriculum vitae (CV), including previous grade certificates and final theses
  2. a statement in which the candidate shall provide information on any previous assessments related to doctoral studies or whether any equivalent examination already took place (incl. its results).