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**General doctoral regulations  
of the faculties of the Friedrich Schiller University Jena  
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**taking into account the first change of 7. Novembre 2017  
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## I. Right to confer doctoral degree

### § 1

(1) <sup>1</sup>The University, represented by its faculties, confers the following doctoral degrees:

1. Faculty of Theology	doctor theologiae (Dr. theol.)
2. Faculty of Law	doctor iuris (Dr. iur.)
3. Faculty of Arts	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 Biological Sciences	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.) doctor rerum medicarum (Dr. rer. medic.)

<sup>2</sup>Alternatively, the faculties may also confer the doctoral degree "Doctor of Philosophy" (PhD).

(2) <sup>1</sup>Represented by the afore-mentioned faculties, the University can also confer an honorary doctorate ("doctor honoris causa", Dr. h. c.) for their disciplines in accordance with section 23.

<sup>2</sup>To any doctoral degrees conferred in accordance with section 1, the addendum "honoris causa" (h. c.) shall be appended. <sup>3</sup>In deviation from the above, the doctoral degree "Dr.-Ing." shall be appended the addendum "Ehren halber" (E.h.).

(3) <sup>1</sup>With the exception of honorary doctorates, any doctoral degree of the same title may be conferred only once. Women may use gender-specific expressions of designations of their functions, academic titles, or degrees specified in these regulations.



- (4) In accordance with section 25 subsection 1 (2) of the Constitution, all faculties issue their specific regulations providing for faculty-specific provisions of admission requirements, doctoral status, as well as of doctoral examination procedures on the basis of these regulations.

## § 2

- (1) The award of a doctoral degree shall serve as a certification of the competence to perform advanced scientific work in the given research discipline ("Promotionsfach") in accordance with section 1 subsection 4.
- (2) Except in the case of an honorary doctorate in accordance with section 23, the evidence of the competence to perform advanced scientific work shall be provided in the form of a written scientific paper ("Dissertation") in accordance with section 8 and the overall performance in an oral examination in accordance with section 9, which shall, in accordance with the provisions of the doctoral examination regulations of the particular faculty, consist either of a disputation, a colloquium, or a combination of both.

## II. Admission requirements

### § 3

- (1) <sup>1</sup>Admission as a doctoral candidate usually requires a *Diplom* degree, a *Magister* degree, a state examination ("Staatsexamen"), or a master's degree which shall be completed with the final mark above average at a university or a university of applied sciences in the discipline in which a doctoral degree is sought. <sup>2</sup>The discipline of the aspired doctoral degree must be a teaching or research area at the faculty conferring the doctoral degree.
- (2) <sup>1</sup>Degrees conferred at institutions of higher education outside Germany may be accepted, given that they are considered equivalent to the degrees mentioned in subsection 1. <sup>2</sup>The equivalence shall be reviewed by the dean of the responsible faculty 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).
- (3) <sup>1</sup>If applicants seek for a conferment of a doctoral degree in a discipline which they will have been studying only as a minor/supplementary subject by then or differs from the disciplines of the degree already earned, the applicants' achievements of the latter degree shall be examined in accordance with the doctoral examination regulations of the faculties. <sup>2</sup>Applicants may be required to complete additional studies and examinations in particular disciplines or subdisciplines. <sup>3</sup>In this case, any additional requirements shall be documented in a letter of admission as a doctoral candidate in accordance with section 4 subsection 8. <sup>4</sup>Applicants must fulfil these requirements before the opening of the doctoral examination procedure ("Eröffnung des Promotionsverfahrens"). <sup>5</sup>If applicants fail to meet the regular admission requirements as defined in subsection 1, sentences 1–4 shall apply accordingly.
- (4) <sup>1</sup>Highly qualified graduates of bachelor's programmes may be granted admission as a doctoral candidate if evidence has been provided that the candidate is qualified to perform scientific work in the given research discipline ("Promotionsfach"). <sup>2</sup>The doctoral examination regulations provide for admission requirements of highly qualified bachelor's graduates; subsection 3 shall apply accordingly.



- (5) <sup>1</sup>In accordance with the doctoral examination regulations of the faculties, applicants may be required to meet additional requirements for their admission as a doctoral candidate, or for the doctorate as such. <sup>2</sup>These are also considered met if they complete one of the recognized structured doctoral programmes within the Graduate Academy which is supported by supervising professors, associate professors serving in a temporary capacity ("Privatdozent"), or by the leaders of junior research groups at the respective faculty.
- (6) The doctoral examination regulations of the respective faculty may contain regulations regarding the minimum scope of the completed graduate studies (e.g. number of discipline-related semesters).
- (7) As a general rule, applicants cannot be granted admission if they have already applied for admission as a doctoral candidate, are accepted as a doctoral candidate, or have ultimately failed the doctoral examination procedure within that same discipline elsewhere.

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

#### § 4

- (1) <sup>1</sup>Anyone meeting the admission requirements as defined in section 3 and intending to complete a doctorate shall apply for admission as a doctoral candidate at the given faculty before starting a doctoral research. <sup>2</sup>As a rule, applications may be submitted via the online portal provided by the University. <sup>3</sup>In their application, applicants shall provide the topic of their envisaged doctoral research project as well as the intended research discipline. <sup>4</sup>The application shall include the following documents:
1. evidence of the admission requirements met as defined in section 3, i.e. copies of degree certificates, including marks (Applicants who earned their degree at other institutions must have their copies officially certified.);
  2. supervision agreement or qualification agreement as defined in subsection 5;
  3. an up-to-date CV presenting personal and professional development;
  4. declaration of all existing or previous applications for admission as a doctoral candidate each of which should include the date and topic of the application, the name of the given faculty, and the information whether a doctoral examination procedure has been initiated or is already completed. If the applicant already earned a doctorate, a copy of the doctoral degree certificate shall be attached, too.
- <sup>5</sup>If the applicants are not members of the University, they must prove their identity with their ID.
- (2) The admission is only possible if, firstly, at least one research supervisor has assured the supervision of the doctoral thesis project; secondly, if the equipment required to conduct the project has been ensured; thirdly, if the faculty is able to assess the completed doctoral thesis as a scientific paper.
- (3) <sup>1</sup>Supervisors may be professors, associate professor serving in a temporary capacity ("Privatdozent"), or leaders of junior research groups if they are members of the given faculty. <sup>2</sup>Leaders of junior research groups may only be supervisors if their scientific competence was reviewed by an external scientific assessment procedure whose quality criteria had been confirmed by the Research Committee of the Senate of the University.



- (4) <sup>1</sup>If the supervision is conducted in collaboration with other scientific institutions, particularly other universities and non-university research institutions, the given faculty council may appoint additional supervisors from these institutions, provided that they possess equivalent scientific qualifications to those defined under subsection 3. <sup>2</sup>As a rule, the collaboration is based on a respective agreement between the University and the cooperating institution. <sup>3</sup>In such cases, at least one supervisor must be a member of the given faculty. <sup>4</sup>Reasonable exceptions to this rule are possible, however, only when the faculty council grants its approval.
- (5) <sup>1</sup>If there is cooperation in the supervision of doctorates according to paragraph 4 that extends the scope of the individual case, the Faculty Council may decide that persons according to paragraph 4 sentence 1 are authorised to supervise for a limited period of time (association). <sup>2</sup>The doctoral examination regulations of the faculties may define more detailed requirements.
- (6) <sup>1</sup>The faculties' doctoral examination regulations determine the structure of the doctoral relationship. <sup>2</sup>They should provide for concluding a supervision agreement or a qualification agreement between academic supervisors and the doctoral candidate that ought to include the following aspects:
- the responsibility of the doctoral candidates to report to their supervisors regularly on the progress of their doctoral thesis project;
  - the responsibility of supervisors to ask for the doctoral candidates' regular progress reports on the doctoral thesis project;
  - the type of the collaboration (if applicable);
  - the type of the doctoral thesis project planned (monograph or cumulative thesis);
  - participation in a structured doctoral programme.
- (7) No legal claim to a opening of the doctoral examination procedure may be derived from the admission as a doctoral candidate.
- (8) As a rule, the dean of the given faculty shall decide on the application for admission as a doctoral candidate within two months. <sup>2</sup>The applicant shall be informed about the decision on the application in writing. <sup>3</sup>Any rejection of application must also include a valid reason for the rejection and information on legal remedies. <sup>4</sup>The letter of admission shall specify the field of the doctoral research project, the topic as well as the names of the respective research supervisors, and, as the case may be, additional requirements in accordance to section 3 subsection 3 (4).
- (9) Upon request, the doctoral relationship (i.e. doctoral thesis project and status as a doctoral candidate) may be suspended temporarily in case that the doctoral research cannot be conducted in a reasonable manner due to particular family-related burdens, illness, pregnancy, parental leave, intense care for relatives, due to disabilities, or for any other valid reason.
- (10) <sup>1</sup>The doctoral candidate shall immediately inform the faculty about any relevant changes of data provided in the application for admission as a doctoral candidate as well as any relevant changes to their supervision agreement. <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, a confirmation from the responsible supervisor is required.
- (11) <sup>1</sup>Admission as a doctoral candidate may be revoked if there is no prospect of completing the doctoral thesis successfully within a reasonable period of time or if the supervision agreement was terminated in accordance with subsection 6. <sup>2</sup>Prior to any



decision, the doctoral candidate shall be given the opportunity of a hearing by the faculty council. <sup>3</sup>Furthermore, the doctoral candidate may terminate the doctoral relationship by written notice.

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

##### § 5

<sup>1</sup>The application for initiating the doctoral examination procedure shall be submitted in writing to the dean of the given faculty. <sup>2</sup>The application shall include the following documents:

1. confirmation that the additional requirements as defined in section 3 subsections 3 and 4 have been met;
2. four copies of the dissertation, each with an electronic version (PDF format); the faculties may define a smaller number of copies
3. a 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 have taken any text passages from third parties nor their own final theses without citing those; in addition, they also confirm they indicated the tools, personal information, and sources having been used;
  - 3.3 provide names of the persons who assisted the applicant in selecting and analysing materials, and supported them in writing the manuscript;
  - 3.4 confirm that they did not receive any assistance from specialized consultants and that any third party did not receive either direct or indirect financial benefits from the applicants for the work connected to the doctoral thesis submitted;
  - 3.5 confirm that they have not already submitted the doctoral thesis project 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 any other institution of higher education and, if they did it, which mark they might have achieved;
4. an official certificate of good conduct if the applicants are not employed in the public sector;
5. the proof of payment of the submission fee for a doctorate; the fee is determined by the valid version of the General Fees Regulations of the University;
6. a CV containing information on their education and scientific progress;
7. a list of scientific publications and, where applicable, of scientific (oral) presentations.

##### § 6

- (1) <sup>1</sup>The faculty council shall decide on the opening of the doctoral examination procedure in its first meeting following the submission of the application. <sup>2</sup>The decision shall be reached by a majority of the present council members who hold a doctoral degree.
- (2) The dean shall inform the applicant about the opening of the doctoral examination procedure in writing.
- (3) The application for the opening of the doctoral examination procedure may be withdrawn until either the date for the oral examination has been fixed or the procedures have been closed due to the rejection of the doctoral thesis project.



## V. Doctoral committee

### § 7

- (1) <sup>1</sup>The faculties' doctoral examination regulations determine whether the faculty councils shall appoint a permanent doctoral committee in charge of conducting all doctoral procedures or a special committee for each doctoral examination procedure, respectively. <sup>2</sup>If a doctoral committee is appointed, the faculties' doctoral examination regulations shall stipulate the number of members and the composition of the committee.
- (2) The doctoral examination regulations of the faculties may transfer decision-making competences during the doctoral examination procedure to the doctoral committee completely or partially.
- (3) <sup>1</sup>Based on written reviews, the doctoral committee shall decide on the acceptance, marks, or rejection of a doctoral thesis. <sup>2</sup>It conducts the oral examination as defined in section 9 subsection 1 of the doctoral examination regulations and assesses the performance presented during the doctoral examination.
- (4) <sup>1</sup>Doctoral committees shall meet in closed meetings. <sup>2</sup>Their decisions shall be documented in the minutes of the meeting.
- (5) <sup>1</sup>The members of the doctoral committee shall treat all information disclosed in such closed committee meetings as strictly confidential unless the information is already made public or does not require confidentiality. <sup>2</sup>Non-disclosure duties under employment or labour contracts remain unaffected.
- (6) <sup>1</sup>The right of supervisors, reviewers, and of members of the doctoral committee to participate in doctoral examination procedure 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 their doctoral thesis, doctoral candidates shall demonstrate their ability to independently conduct scientific research that advances the given academic discipline.
- (2) <sup>1</sup>Faculties (if applicable, only for particular institutes) may allow cumulative theses. <sup>2</sup>The selected publications for such theses must be preceded by a comprehensive written introduction that shall provide for a critical contextualization of the research topics as well as the central findings of the publications within the relevant body of scientific literature. <sup>3</sup>Moreover, the account shall acknowledge the individual contribution of the doctoral candidate as well as the contributions of other authors to the respective publications.



- (3) <sup>1</sup>The doctoral thesis shall be written either in German or in English. Doctoral candidates shall submit a typewritten and bound doctoral thesis. <sup>2</sup>In justified cases, the faculty council may permit other languages. <sup>3</sup>If a doctoral thesis is not written in German, a summary (“Zusammenfassung”) in German shall be attached.
- (4) The doctoral thesis shall include a title page in accordance with the doctoral examination regulations and a short CV outlining the candidate’s scientific educational background.
- (5) <sup>1</sup>The reviewers shall be appointed by the faculty council or by the doctoral committee in accordance with the section 7 subsection 1. <sup>2</sup>The doctoral examination regulations specify the number of reviewers to be appointed. <sup>3</sup>The doctoral examination regulations shall further specify the circumstances under which additional reviews may be requested if necessary. <sup>4</sup>The reviewers shall evaluate the submitted doctoral thesis exhaustively and independently from each other and decide whether the doctoral thesis be accepted as such. <sup>5</sup>In their written reviews, they shall evaluate the academic performance of any thesis to be accepted and shall award one of the following marks:
- |                  |                   |
|------------------|-------------------|
| with distinction | (summa cum laude) |
| very good        | (magna cum laude) |
| good             | (cum laude)       |
| satisfactory     | (rite).           |
- <sup>6</sup>The doctoral examination regulations of the faculties may provide for additional or deviant marks.
- (6) <sup>1</sup>The reviews should be submitted not later than two months after the opening of the doctoral examination procedure. <sup>2</sup>Any failure to observe this time limit must be justified. <sup>3</sup>If reviewers are not able to submit their reviews in due time, the faculty council shall appoint another reviewer(s).
- (7) <sup>1</sup>The dean shall notify the professors and other faculty members having a postdoctoral qualification (“Habilitation”) that the doctoral thesis, including the reviews, is available for inspection in the dean’s office. <sup>2</sup>Within a period, which shall last between two and three weeks in accordance with the doctoral examination regulations, members shall be entitled to comment on the thesis in expert comments and opinions.
- (8) <sup>1</sup>If all reviewers recommend the acceptance of the doctoral thesis, the panel authorised by the doctoral examination regulations of the respective faculty shall decide on the final mark of the doctoral thesis based on all suggested marks. <sup>2</sup>Should all reviewers suggest the same mark, this mark shall be the final mark of the doctoral thesis. <sup>3</sup>In all other cases, the final mark shall be determined in accordance with the doctoral examination regulations.
- (9) <sup>1</sup>Should one reviewer recommend the rejection of the doctoral thesis, the faculty council may request additional reviews. <sup>2</sup>The decision on the acceptance or rejection shall be reached based on all suggested marks. <sup>3</sup>If two reviewers reject the thesis, which shall be deemed failed, and the doctoral examination procedure shall be closed. <sup>4</sup>If the doctoral thesis has been rejected once, only one further attempt at earning a doctoral degree may be made in accordance with the faculties’ doctoral examination regulations.
- (10) In case of an unsuccessful doctoral examination procedure, one copy of the doctoral thesis and the reviews, respectively, shall remain on file with the faculty.



- (11) The dean of the given faculty shall notify the doctoral candidate in writing about the termination of the doctoral examination procedure. <sup>2</sup>In this case, the doctoral candidate shall be allowed to view the files.
- (12) If the doctoral examination procedure is continued after the acceptance of the doctoral thesis, the doctoral candidate may view the reviews once the date for the oral examination(s) has been set.

## VII. Oral examination

### § 9

- (1) <sup>1</sup>The faculties' doctoral examination regulations determine form and content, duration and assessment, failed attempt and repetition of the oral part of the doctoral examination procedure. <sup>2</sup>Oral examination may consist of either a thesis defence ("Disputation"), a colloquium ("Kolloquium"), or a combination of the above. <sup>3</sup>Oral examinations shall be completed within the semester following the end of the review period.
- (2) <sup>1</sup>During the thesis defence, the doctoral candidate presents the most important results of the doctoral thesis. <sup>2</sup>The presentation is followed by an academic discussion with the members of the doctoral committee in which the candidate has the opportunity to defend the results of the thesis.
- (3) <sup>1</sup>Oral examinations may also be held in the form of a colloquium in the discipline or subdiscipline with which the doctoral thesis deals. <sup>2</sup>The colloquium shall provide the doctoral candidates with the opportunity to prove to the members of the committee their thorough and independent engagement with central research topics as well as their knowledge of the state of research, within the academic (sub)discipline.
- (4) <sup>1</sup>Any failed oral examinations may be repeated upon application once, within 12 months, but not earlier than two months after the first attempt. <sup>2</sup>In case of failing the second attempt of thesis defence or colloquium, the doctoral examination procedure shall be deemed as failed. <sup>3</sup>The dean shall inform the doctoral candidate about this decision in writing.

## VIII. Final mark of the doctorate

### § 10

- (1) <sup>1</sup>The final mark of the doctorate shall correspond with the following scale:

summa cum laude	an outstanding performance
magna cum laude	a very good performance
cum laude	a good performance above average
rite	a performance meeting average requirements.

<sup>2</sup>The doctoral examination regulations of the faculties may provide for additional or deviant marks.

- (2) The final mark shall be derived from marks of both the doctoral thesis and the oral examination. <sup>2</sup>The faculties' doctoral examination regulations may provide for a weighting of



these marks. <sup>3</sup>The doctoral thesis shall have a greater weight than the oral examination. <sup>4</sup>The doctoral examination regulations may provide for restrictive regulations regarding the award of the final mark "summa cum laude".

## IX. Award of the doctorate and doctoral degree certificate

### § 11

<sup>1</sup>Upon reviewers' request, the doctoral committee can demand from the doctoral candidate to remove any flaws or deficiencies for the publication of the doctoral thesis. <sup>2</sup>It is incumbent upon the dean to assess whether the requirements are fulfilled.

### § 12

The dean shall inform the doctoral candidate about the decision of the doctoral committee and the faculty council in writing. In case that all doctoral examination procedures have been passed successfully, the dean shall furthermore inform the doctoral candidate about the obligation to publish the doctoral thesis as well as about the provisions of the doctoral examination regulations regarding the conferral of the doctorate.

### § 13

- (1) Upon acceptance of the doctoral thesis and successful completion of the oral examination, the applicant shall be required to publish the doctoral thesis and deliver it in accordance with subsection 2.
- (2) <sup>1</sup>The obligation to publish the doctoral thesis is considered met if, in addition to the four copies of the thesis already submitted, the Thuringian State and University Library (ThULB) receives deposit copies accordingly:
  1. one electronic version as a PDF file on a CD and three identical printed versions or
  2. eight printed and durably bound copies or
  3. eight printed copies if the doctoral thesis was published in a journal or scientific series or
  4. eight printed copies if (1) a commercial publisher will distribute the doctoral thesis, (2) the minimum circulation of 150 copies is given, and (3) the publication is indicated as a doctoral thesis on the back of its title page.

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

- (3) <sup>1</sup>The doctoral examination regulations define the deadline for delivering two compulsory copies (subsection 2) <sup>2</sup>Upon dean's approval, the submission deadline may be extended due to reasons related to data protection and patent protection. <sup>3</sup>The submission deadline shall not be extended by more than two years. <sup>4</sup>In such cases, the doctoral examination regulations may allow the doctoral candidate to use the doctoral title temporarily provided that at least an



abstract of the doctoral thesis was published.

#### § 14

- (1) <sup>1</sup>Given that the requirements under section 11 subsection 1 have been met and the obligation to publish the doctoral thesis under section 13 has been satisfied, the doctoral candidate shall be 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 last oral examination shall be the date of the completion of the doctorate.
- (2) <sup>1</sup>Doctoral candidates may use the title after the University has conferred them the doctoral degree certificate. <sup>2</sup>If other requirements are proven, candidates may be given a temporary consent to use the title before the conferral of the doctoral degree certificate. <sup>3</sup>The notification shall be issued by the dean.
- (3) Upon request, doctoral candidate may receive the doctoral degree certificate in English.
- (4) In case of joint doctorates being part of collaborations in accordance with section 16, a doctoral degree certificate shall be conferred in accordance with section 19.

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

#### § 15

- (1) Within joint doctoral examination procedure (section 54 subsection 5 sentence 4 of ThürHG), members of teaching staff (usually professors) at a university of applied sciences or any other institution of higher education without the right to confer doctoral degrees may be appointed supervisors, reviewers, and examiners by the faculty council.
- (2) As a general rule, joint doctoral examination procedures between the University and other institution of higher education are subject to a cooperation agreement.

#### § 16

- (1) <sup>1</sup>The joint doctorates 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 given institution. <sup>2</sup>The cooperation agreement shall be signed by the doctoral candidate and, on behalf of the University, by the supervisor, the dean, and the president.
- (2) In particular, the cooperation agreement shall define the following aspects:
  1. the supervision of the doctoral thesis project which shall be conducted by at least one supervisor of both institutions, respectively;
  2. the minimum duration of research stays at the partner institution, which shall not be shorter than 12 months;
  3. the doctoral examination modalities, including the language of the doctoral thesis, composition of the doctoral committee, and the grading system to be applied;
  4. the reimbursement of travel expenses;



5. the details regarding the conferral of the doctoral degree certificate;
6. the obligation to publish the doctoral thesis.

- (3) In accordance with sections 3 and 4, the admission as a doctoral programme shall be issued 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.

### § 17

- (1) <sup>1</sup>Should the doctoral thesis be submitted to the University, the doctoral thesis project shall be supervised jointly, i.e. by one supervisor as defined in section 4 subsection 2 and by one member of the partner institution who is eligible to perform duties as an examiner. <sup>2</sup>Further details of the joint supervision are determined by the agreement in accordance with section 16 subsections 1 and 2.
- (2) <sup>1</sup>If the doctoral thesis is accepted as defined in section 5, the University will transfer the doctoral thesis to the partner institution in order to give its consent on the continuation of the doctoral examination procedures. <sup>2</sup>If the partner institution agrees to continue the procedures, the oral examination shall take place in accordance with section 9. <sup>3</sup>For this purpose, the faculty council shall appoint 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) <sup>1</sup>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. <sup>2</sup>The doctoral examination procedure shall be continued in accordance with the present regulations.
- (4) Publication of the doctoral thesis and the delivery of the deposit copies shall be in accordance with section 13 as well as with section 16 subsection 1 and 2 of the agreements reached.

### § 18

- (1) <sup>1</sup>Should the doctoral thesis be submitted to the partner institution, the doctoral thesis project shall be supervised by one member of the partner institution eligible to perform duties as an examiner and by one supervisor as defined in section 4 subsection 2. <sup>2</sup>The procedure shall be conducted in accordance with the doctoral examination regulations of the partner institution. <sup>3</sup>The details of the joint supervision are defined in the cooperation agreement in accordance with section 16 and subsections 1 and 2.
- (2) <sup>1</sup>If the partner institution accepts the doctoral thesis, this shall be transferred to the faculty council of the respective faculty of the University to decide whether the procedures be continued. <sup>2</sup>If the faculty council gives its consent, the oral examination shall take place at the partner institution in accordance with their doctoral examination regulations. <sup>3</sup>In accordance with section 16 subsections 1 and 2, the agreement shall provide that the University's supervisor be appointed member of the examination board of the partner institution 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 doctoral examination procedure may be continued in accordance with the doctoral examination regulations of the partner institution.
- (4) <sup>1</sup>Publication of the doctoral thesis and delivery of the deposit copies shall be performed in accordance with the relevant regulations of the partner institution. <sup>2</sup>In accordance with section 16 subsections 1 and 2, the cooperation agreement shall furthermore define the number of the copies of the doctoral thesis to be submitted to the University. <sup>3</sup>As a general rule, one copy shall remain in the faculty's examination files. <sup>4</sup>The faculty may make dependant the conferral of the doctoral degree certificate, as defined in the section 19, on the delivery of that copy.

## § 19

- (1) <sup>1</sup>After the completion of the joint doctoral examination procedure, the given faculty and the partner institution shall confer a joint doctoral degree certificate which clearly states that the doctorate is a result of a joint supervision. <sup>2</sup>The certificate shall carry all signatures and seals required in accordance with these regulations and those of the partner institution.
- (2) Instead of a joint doctoral degree certificate, the given faculty and the partner institution may confer separate doctoral degree certificates if each of those documents clearly states that they are part of 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 section 1 subsection 1, whereas in the foreign country, the holder is entitled to use the doctoral title usually awarded there.
- (4) <sup>1</sup>The details of the doctoral degree certificate are defined by the cooperation agreement in accordance with section 16 subsections 1 and 2. <sup>2</sup>Moreover, the cooperation agreement shall also include the information on the equivalent of grading scales. <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 doctoral examination procedures between the University and other institutions of higher education having the right to confer doctorates may differ from the regulations in sections 1 to 19 provided this is compliant with the legal provisions.

## XI. Deception and revocation of the doctorate

### § 20

- (1) <sup>1</sup>The doctoral degree shall be revoked if the doctoral candidate provided supporting documents for admission or during the doctoral examination procedure by deception. <sup>2</sup>The same applies if any facts might be found out that would have prevented the conferral of the doctoral degree. <sup>3</sup>Any decision to revoke the doctoral degree shall be accepted by majority vote of the faculty council's members holding a doctorate upon hearing the doctoral candidate.
- (2) If the admission requirements were not 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 remedied through successful completion of the doctoral examination procedure.

- (3) In addition to the provisions above, the revocation of the doctorate is subject to the general legal provisions.

## **XII. Right of inspection**

### **§ 21**

<sup>1</sup>After the completion of the doctoral examination procedure, the doctoral candidates have the right to inspect the documentation of the doctoral examination procedure. <sup>2</sup>Section 8 subsection 12 of the regulations remain unaffected.

## **XIII. Right of appeal in the doctoral examination procedure**

### **§ 22**

- (1) <sup>1</sup>The applicant shall be informed about the decisions on the admission as a doctoral candidate, about the opening of the doctoral 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 instructions on the right to appeal.
- (2) <sup>1</sup>Within a month after the date of notification, the person concerned may file a written appeal to the president of the University. <sup>2</sup>Upon obtaining a statement 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 counter-signature, the notification on the objection is issued by the president.
- (3) <sup>1</sup>Appeal and the appeal procedure shall be governed by the provisions of the Code of Administrative Court Procedure (*Verwaltungsgerichtsordnung, VwGO*). <sup>2</sup>If not specified differently, section 111 sentence 2 of the ThürHG shall be applied.

## **XIV. Honorary doctorate and jubilee doctorate**

### **§ 23**

- (1) In recognition of excellent scientific achievements or other special merits, the University may, through its faculties specified in section 1 subsection 1, in rare cases award honorary doctorates in accordance with section 1 subsection 2 within their disciplines.
- (2) The faculties' doctoral examination regulations include provisions regarding formal nomination for honorary doctorates and for appraisal of achievements of the person to be honoured.
- (3) <sup>1</sup>Upon appraisal of all opinions submitted, the faculty council shall decide on the nomination of an honorary doctorate with a three-fourths majority vote of its members holding a doctorate. <sup>2</sup>Prior to its decision, the Senate shall be given the opportunity to comment.
- (4) <sup>1</sup>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. <sup>2</sup>The honorary doctorate



presents the achievements of the nominee in form of a certificate which is signed by the president and the dean.

#### § 24

- (1) The doctoral degree certificate may be renewed on the 50th anniversary of the date of its initial conferral if this is considered appropriate in light of the scientific merits or the close ties of the recipient with the University.
- (2) <sup>1</sup>The anniversary certificate shall be awarded upon dean's proposal and the approval from the faculty council. <sup>2</sup>It should be signed by the president and the dean.

#### XV. Mediation with ombudspersons

#### § 25

- (1) <sup>1</sup>Upon proposal of the Executive Board, the Senate shall appoint two ombudspersons and their deputies from the ranks of active or retired professors. <sup>2</sup>The term of office is three years; ombudspersons may be re-appointed. <sup>3</sup>Neither shall the ombudspersons be of the same gender nor shall they come from the same faculty. <sup>4</sup>The same provisions apply for their deputies.
- (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 derive from the supervision relationship and during the work on a doctoral thesis. <sup>2</sup>The ombudspersons act as independent and impartial counsellors 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 doctoral committee in accordance with section 5 subsection 1 of the University's Guidelines for Safeguarding Good Scientific Practice, remain unaffected.
- (3) Details of the mediation procedures with ombudspersons shall be regulated within a separate statute.
- (4) The faculties' doctoral examination regulations may furthermore include the implementation of mediation procedures with ombudspersons at the faculty level, too.
- (5) <sup>1</sup>If the given faculty foresees such a procedure at the faculty level in accordance with the doctoral examination regulations, the doctoral candidate shall decide whether the mediation procedure be carried out by the ombudsperson of the University or the faculty. <sup>2</sup>The doctoral candidate's decision is irrevocable.

#### XVI. Coming into effect and transitional provisions

#### § 26

- (1) For applicants who have been accepted or supervised as doctoral candidates at another university, and whose supervisor has recently been appointed to a position at the University, the requirements for admission of the original university to apply for admission as a doctoral



candidate and to open the doctoral examination procedure shall also apply at the University.

- (2) As a general rule, the doctoral examination procedure shall be conducted in accordance with section 1 of the General Doctoral Regulations of the University in conjunction with the doctoral examination regulations of the faculties.

## § 27

The General Doctoral 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 ("Verköndungsblatt

Jena, 18 January 2023

Prof. Dr Walter Rosenthal

President of the Friedrich Schiller University Jena