

*Legal note: This English translation is for your information only. The legal basis for a Course of Examination of Doctoral Candidates is the original German text (see <http://www.wiwi.uni-jena.de/Verwaltung/Promotionsordnung.pdf>).*

# **Course of Examination for Doctoral Candidates**

## **Faculty of Economics**

### **Friedrich-Schiller-Universität Jena**

According to § 5 paragraph 1, in conjunction with § § 29, 79 paragraph 2 sentence 1 Nr. 11, 83 paragraph 2 Nr. 6, 85 of the Thuringian Higher Education Act (Thüringer Hochschulgesetz [ThürHG]) as amended on 9 June 1999 (GVBl. S 331), last altered through Article 2 of the law from 19 December 2000 (GVBl. S. 416), the Friedrich-Schiller-Universität Jena issues the following programme of doctoral study for the Faculty of Economics. This programme of study was decided by the Council of the Faculty on 15 July 1998 and last altered on 7 February 2001. The Senate of the Friedrich-Schiller-Universität Jena agreed to the programme on 20 October 1998 and the alterations on 20 February 2001. The Thuringian Ministry for Science, Research and Art approved the programme by decree Az.: H 1-437/562-10- on 20 March 2001.

#### **Doctoral Degrees**

##### **§ 1**

(1) The Friedrich-Schiller-Universität Jena, through the Faculty of Economics, confers the doctorate doctor rerum politicarum (Dr. rer. pol.) and the honorary doctorate with the suffix “honoris causa” (h. c.).

(2) The granting of the doctorate certifies the recipient’s capability to carry out intensive scientific work in a field of scientific economic study. This certification is granted, except in the case of honorary degrees as in § 17, through the presentation of a written scientific work (dissertation) as in § 7 and the performance of an oral exam (disputation) as in § 8.

#### **Requirements for admission to apply to a doctoral programme**

##### **§ 2**

(1) The admission to apply to a doctoral programme generally requires that the applicant has completed a qualifying (with a final mark of “good”) course of Diplom, Magister or Master’s study or study for a state examination in the field of economics at a university or peer postsecondary institution.

(2) Exceptions to paragraph (1) are only possible with the approval of the majority of the doctorate-holding members of the Faculty Council, insofar as an equivalent education can be verified. The Faculty Council, if necessary, issues additional requirements as in paragraph (3) for further study and examinations, which must be possible to complete within two semesters and cover a maximum of two examination subject areas of the subject catalogue as in § 2 paragraph (3) a). These requirements are to be given to the applicant along with the notice of acceptance to apply as a doctoral candidate as in § 3 paragraph (3). The applicant must fulfil the requirements before the opening of doctoral examination procedures.

(3) Along with the verification of admissions requirements as in paragraph (1) or (2), the applicant must, before the opening of the doctoral examination procedures, show that he or she has completed three further academic tasks, which are fulfilled in the following ways:

- a) successful participation in oral exams lasting at least 30 minutes each; for any examination subject and examiner, only an oral exam is accepted; the catalogue of academic subjects from the Council of the Faculty of Economics is to be publicly announced;
- b) successful participation in publicly announced university doctoral seminars which may each cover a single subject area or more than one subject area;
- c) publication of papers in scientifically recognized publications; the Faculty decides whether to recognize publications at the request of the candidate and on the basis of the opinion of the advisor.

Maximally two of the three academic tasks may be completed through the advisor of the dissertation.

(4) Analogous to the review of the applicant's prior academic performance as in paragraph (2), there is an individual review of external applicants (i.e., those not employed as researchers within the Faculty of Economics). These applicants must present an informal written statement from an academic instructor (Professor, Hochschul- oder Privatdozent) who is a full working member of the Faculty of Economics, in which suitable scientific contact with the intended field of doctoral study, as well as the instructor's commitment to advise the applicant following § 3 paragraph (2) sentence 2 are verified.

(5) The following admissions requirements apply to especially qualified graduates of universities of applied science (Fachhochschule):

- a) degree in a subject area of economics with the final mark of "very good" (1.5 or better);
- b) performance of examinations as in § 18 of the examination procedures for the Diplom program of study in business economics (Betriebswirtschaftslehre) in the subject areas of general business management, general economics (Volkswirtschaftslehre) and a specialty within business management with a final mark of "good" (2.5) on average for the three subject areas;
- c) certification of the performance of academic tasks as in paragraph (3);
- d) an informal written statement from an academic instructor (Professor, Hochschul- oder Privatdozent) who is a full working member of the Faculty of

Economics as in paragraph (4).

### **Acceptance as a doctoral candidate**

#### **§ 3**

(1) Persons who fulfil the admission requirements in § 2 and who intend to prepare a dissertation can apply to the Faculty of Economics for acceptance as doctoral candidates by submitting a prospective dissertation topic. Certification of the completion of admissions requirements in the form of documents and copies of the applicant's academic transcript (which must be certified in the case of external applicants) are to accompany the written application.

(2) The Dean decides within a month whether to accept the application. The acceptance requires that the applicant be assigned to an academic instructor (Professor, Hochschul- oder Privatdozent) to act as his or her scientific advisor (Betreuer). The acceptance as a doctoral candidate does not imply any legal right to the opening of examination procedures.

(3) The decision to accept or reject the application is to be given to the applicant in writing. An acceptance must specify the topic of the doctoral work as well as any requirements issued as in § 2. A rejection of the application must provide a reason for the rejection as well as information on legal remedies available (Rechtsbehelfsbelehrung).

### **Opening of examination procedures**

#### **§ 4**

(1) The application to open the doctoral examination procedures is to be submitted in writing to the Dean of the Faculty of Economics. The following documents are to accompany the application:

1. the notice of acceptance as a doctoral candidate as in § 3 paragraph (3) and certification of the fulfilment of the requirements issued;
2. four copies of the dissertation;
3. a written declaration, from which it can be determined:
  - 3.1. that the applicant is familiar with the relevant course of examination for doctoral candidates (Promotionsordnung),
  - 3.2. that the applicant has composed and written the dissertation him or herself, and that he or she has acknowledged all additional assistance, personal communication, and sources within the work,
  - 3.3. which persons have assisted the applicant with the choice and assessment of materials and/or supported him or her in writing the manuscript,
  - 3.4. that the applicant has not enlisted the assistance of a doctoral consultant (Promotionsberater) and that no third parties have received either direct or indirect monetary benefits from the applicant for work connected to the

- content of the submitted dissertation,
- 3.5. that the applicant has not already submitted the dissertation as an examination paper for a state or other scientific examination,
  - 3.6. whether the applicant has submitted the same, a substantially similar, or a different paper to another postsecondary school and, if so, with what result;
  4. an official certificate of good conduct, in the case that the applicant is not in civil service;
  5. the certificate of payment of tuition fees (Promotionsgebühr).

(2) As a general rule, an applicant cannot be admitted to apply if he or she has already applied to another doctoral programme in the same discipline for which the examination procedures were terminated, or has failed a doctoral examination.

## **§ 5**

(1) The Council of the Faculty of Economics decides whether to open the examination procedures during its next sitting following the submission of the application via a majority vote of its doctorate-holding members.

(2) The applicant receives written notice of the opening of the examination procedures from the Dean.

(3) If the application is rejected, procedures are to be followed as in § 16 of this document.

(4) The withdrawal of the application to open the doctoral examination procedures is permissible until either the date for the oral exam (disputation) has been fixed or the procedures have been closed due to the rejection of the dissertation.

## **Doctoral committee**

## **§ 6**

(1) The Council of the Faculty of Economics appoints a doctoral committee to conduct the doctoral examination procedures. The committee is generally composed of five professors: a chairperson, two reviewers and two other members. The chairperson and one reviewer as well as the two other members must belong to the Faculty. The Faculty Council can appoint a third reviewer, who is then also a member of the doctoral committee.

(2) The doctoral committee decides in closed session whether to accept the dissertation and on the mark it will receive based on written evaluations. It conducts the disputation as an oral exam, evaluates and assigns a mark to the oral exam and recommends the final mark for the doctorate. The doctoral committee makes decisions by a majority vote of its members.

(3) All decisions of the doctoral committee are to be recorded in a procedural log

(Verfahrensprotokoll).

## Dissertation

### § 7

(1) With the dissertation, the candidate demonstrates his or her ability to independently solve scientific problems whose solutions serve the development of his or her chosen discipline.

(2) The dissertation is to be written in German and must be printed and bound. In justified cases, the Faculty Council may permit the dissertation to be written in a different language. A German abstract must accompany every such dissertation.

(3) The dissertation is to include a title page (see the appendix for a prototype) as well as a short CV outlining the applicant's scientific educational background.

(4) The Dean hands the dissertation over to the reviewers appointed as in § 6 paragraph (1) with the request that they return their evaluations within an appropriate period of time as in paragraph (6). During this period, the dissertation is laid out in the Dean's office for members of the faculty who hold postdoctoral degrees to view and to offer their expert commentary. They are informed of this by the Dean.

(5) The reviewers nominated as in § 6 paragraph (1) examine the submitted dissertation in detail and independently from each other and decide whether it can be accepted as a doctoral work. Each submits a written evaluation of the work, provided he or she finds it acceptable, and assigns a mark based on the following scale:

summa cum laude	(Outstanding)
magna cum laude	(Excellent)
cum laude	(Good)
rite	(Sufficient)

(6) The reviews should be submitted to the chairperson of the doctoral committee not more than three months after the opening of the doctoral examination procedures. Failures to observe this time limit must be justified. Should a reviewer not be in the position to submit his or her evaluation within this period, the Faculty Council can appoint a new reviewer.

(7) Should all reviewers recommend the acceptance of the dissertation, the doctoral committee decides on the basis of all evaluative comments on the final mark of the dissertation. If all reviewers agree on a mark, this becomes the final mark of the dissertation. The mark *summa cum laude* may only be given to the dissertation if it is agreed to by a majority of the doctoral committee. If the recommended marks differ by one, the majority of the doctoral committee decides on a mark. If they differ by two or more, the same procedure is followed, except that the doctoral committee may not give the higher of the two recommended marks.

Following the assignment of a final mark to the dissertation, the chairperson of the

doctoral committee initiates the continuation of the doctoral examination procedures.

(8) Should at least one reviewer recommend the rejection of the dissertation, the doctoral committee decides on the continuation of the doctoral examination procedures or recommends to the Faculty Council to end the examination procedures unsuccessfully. If it is decided to continue the examination procedures, an additional reviewer is obtained. The decision to accept or to reject the dissertation is made by the Faculty Council, based on the suggestion of the doctoral committee and taking into account all prior evaluations of the dissertation.

(9) Should two reviewers reject the dissertation, the doctoral committee recommends to the Faculty Council to close examination procedures unsuccessfully (i.e., without granting a degree). If the dissertation has been rejected, the candidate may try only once more to earn a doctorate.

(10) The Dean is to serve a written notice to the doctoral candidate regarding discontinuation of the examination procedures. The doctoral candidate is in this case allowed to view the examination documents. A copy of the dissertation remains in the files of the Faculty.

### **Defence (disputation)**

#### **§ 8**

(1) After the acceptance of the dissertation, its public defence (disputation) takes place. The appointed date and time is set by the chairperson of the doctoral committee and made known to the candidate, the members of the doctoral committee, and the University community. The defence takes place not earlier than 14 days after the doctoral committee has resolved to continue the examination procedures as in § 7.

(2) The reviews of the dissertation may be viewed by the candidate once the appointment for the disputation is fixed.

(3) The public defence comprises the presentation of the most important results of the dissertation in a maximally 30-minute-long talk, and a following scientific discussion in which the candidate has the opportunity to defend the results of the dissertation.

(4) The defence is conducted by the chairperson of the doctoral committee. At least two other members of the doctoral committee must also participate in the defence.

(5) The chairperson of the doctoral committee keeps a written record of the oral exam (see Appendix 2 for a prototype) from which can be determined the general course of the defence and the major questions during the discussion as well as the mark given the defence. The scale for the mark is as in § 7 paragraph (5).

(6) A failed public defence may be re-attempted once, within six months of the original date. If the defence is failed more than once, the doctoral examination procedures are closed unsuccessfully.

## **Final mark of the doctorate**

### **§ 9**

- (1) The final mark for the doctorate is assigned based on the scale in § 7 paragraph (5).
- (2) The final mark of the doctorate is derived from the final marks of the dissertation and of the defence. The dissertation final mark is weighted with a factor of two in determining the final mark of the doctorate. A final mark of *summa cum laude* can only be given if the dissertation was given the mark *summa cum laude* and the defence was given a mark not worse than *magna cum laude*.
- (3) The chairperson of the doctoral committee gives the committee's recommendation for the final mark to the Faculty Council.

## **Granting of the doctorate and certification**

### **§ 10**

The doctoral committee can, at the suggestion of the reviewers, issue requirements for the removal of errors before the dissertation can be published. It is incumbent upon the Dean to assess the fulfilment of these requirements.

### **§ 11**

- (1) The Council of the Faculty of Economics decides on the final mark of the doctorate by a majority vote of its doctorate-holding members and based on the recommended mark of the doctoral committee.
- (2) The Dean shares the decision of the Faculty Council with the doctoral candidate, in writing, and, in the case of the decision to grant the candidate an academic degree, advises him or her as to the obligation to publish the dissertation as well as to the full terms and benefits of the doctorate.

### **§ 12**

(1) After the successful close of the examination procedures, the candidate is obligated to publish the dissertation within two years in the following manner. An extension of this period requires the approval of the Dean.

(2) The obligation to publish the dissertation is satisfied when, in addition to the four copies for the examination files, the following copies of the dissertation are supplied to the Thüringer Universitäts- und Landesbibliothek [Thuringian University and State Library (ThULB)]:

- a) either 10 printed copies, on archival quality, wood- and acid-free paper

- and durably bound, or
- b) six printed copies, if the entire dissertation has been published in a journal or scientific written series, or
  - c) six 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 announced on the back of the title page of the dissertation, or
  - d) six printed copies and a copy-compatible, archival quality microfiche, or
  - e) six printed copies and an electronic version in a data format and medium which is according to parameters set by the ThULB.

In cases a), d), and e), the doctoral candidate transfers to the university the right to make and distribute further copies of the dissertation.

### **§ 13**

(1) As soon as the conditions in § 10 are fulfilled and the obligation to publish the dissertation as in § 12 is satisfied, the doctorate is officially granted through the handing over of a certificate (Urkunde) signed by the Rector and the Dean. The day of the performance of the oral exam (disputation) is given as the granting date for the degree.

(2) The right of the doctoral candidate to use the title of Doctor and to display the associated degree begins with the handing over of this certificate.

(3) Prior to the handing over of the official doctoral certificate, the candidate may obtain a certificate of the successful closure of doctoral examination procedures from the Dean.

### **Right of inspection, fraud and denial of the doctorate, right of appeal**

### **§ 14**

Following the closure of the examination procedures the candidate has the right to inspect the documents. This does not affect § 8 paragraph (2).

### **§ 15**

(1) The granting of the doctorate is to be revoked if the applicant has lied or cheated in the verification of admission requirements or in any of the activities involved in the earning of the doctorate, or if anything should come to light which would have disqualified the candidate from being granted a degree. The decision to revoke the doctorate is made by a majority vote of the doctorate-holding members of the Faculty Council, after the holder of the degree has been afforded a hearing before the council.

(2) If the requirements for admission to a doctoral programme were not fulfilled, and

the applicant did not attempt to lie or cheat about their fulfilment, and if this first becomes known after the handing over of the doctoral certificate, these deficiencies will be considered remedied through the successful completion of the doctoral examinations.

(3) In addition to the above conditions, the revoking of a doctorate is subject to the Law in general.

## **§ 16**

(1) All decisions regarding admission to apply to a doctoral programme, the acceptance or rejection of the dissertation and the oral sections of the doctoral examination procedures (oral exam and defence) are to be shared with the applicant in writing. Any notice of incrimination from the Faculty Council and/or the doctoral committee is to be justified and is to be furnished for any inquiry into the legal remedies available to the candidate and his or her right to appeal.

(2) Within a month following notification of the decision, the concerned party may file a written appeal before the Rector of the Friedrich-Schiller-Universität. The Faculty Council then obtains an opinion from the legal department of the university and subsequently makes a decision regarding the appeal via a majority vote of its doctorate-holding members. The Rector issues notice of the decision after first obtaining the Dean's counter-signature.

## **Honorary degrees and their renewal**

## **§ 17**

(1) In the recognition of excellent scientific achievement or other special merits, the Friedrich-Schiller-Universität can issue honorary degrees. These may be granted through the Faculty of Economics for any of the fields that it represents. The receipt of such a degree is a rare distinction.

(2) Every instructor (Professor, Hochschul- oder Privatdozent) of the Faculty has the right to nominate a candidate to receive the honorary degree of Dr. rer. pol. h. c. The Dean, together with the Faculty Council, appoints two reviewers to assess the accomplishments of the nominated person.

(3) Based on the submitted opinions, the Faculty Council may decide through the approval of three quarters of its doctorate-holding members to grant the honorary doctorate. Before the Faculty Council reaches a decision, the Senate is also to be given the opportunity to offer an opinion.

(4) The Rector and the Dean normally grant honorary degrees in an event to which the members of the Faculty Council and Senate and of the Faculty are invited. The degree is granted through the presentation of a certificate signed by the Rector and the Dean, in which the achievements of the honoured personage are recognised.

## **§ 18**

(5) The doctoral certificate can be renewed upon the 50<sup>th</sup> anniversary of the day of its initial conferral, if this renewal appears fitting in consideration of the scientific merits or close ties of the recipient with the Friedrich-Schiller-Universität.

(6) The anniversary certificate is granted following the proposal of the Dean and the approval of the Faculty Council. This certificate bears the signature of the Rector and of the Dean.

## **Provisions during transition to this course of examination (Promotionsordnung)**

## **§ 19**

(1) For any applicant who has been accepted as a doctoral candidate at another postsecondary institution, but whose advisor has meanwhile accepted a position with this Faculty, the requirements for admission to a doctoral programme at the other institution apply also at the Friedrich-Schiller-Universität Jena. The examination procedures in such cases will, however, be conducted strictly according to the course of examination for doctoral candidates of the Faculty of Economics.

(2) Applicants who were accepted based on the course of doctoral examination of the Friedrich-Schiller-Universität Jena from 12 November 1991, before the coming into effect of this document, have the right to choose between this course of examination and the one which was in effect when they were accepted. This right extends until the end of the semester in which this document comes into effect.

## **§ 20**

(1) This course of examination comes into effect on the first day of the month following its release in the common official journal of the Thuringian Ministry of Culture (Thüringer Kultusministeriums) and the Thuringian Ministry for Science, Research and the Arts (Thüringer Ministeriums für Wissenschaft, Forschung und Kunst).

(2) Designators of function or status within this document (i.e., pronouns and other identifiers) are presumed to refer to both the masculine and the feminine forms.

Jena, 7<sup>th</sup> February 2001

The Rector

The Dean

Appendix: The title page of the dissertation has to look as follows:

**Thema**

**Dissertation**

zur Erlangung des akademischen Grades  
doctor rerum politicarum  
(Dr. rer. pol.)

vorgelegt dem Rat der Wirtschaftswissenschaftlichen  
Fakultät  
der Friedrich-Schiller-Universität Jena

am .....

von: akademischer Grad, Vorname, Name  
geboren am: in: