

*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.uni-jena.de/data/unijena\\_faculties/fsv/fsv\\_dekanat/promo.doc](http://www.uni-jena.de/data/unijena_faculties/fsv/fsv_dekanat/promo.doc)).*

# ***Course of Examination for Doctoral Candidates***

## ***Faculty of Social and Behavioural Sciences***

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

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#### ***I. Degrees granted***

According to § 5 paragraph 1, in conjunction with § 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 Social and Behavioural Sciences. This programme of study was decided by the Council of the Faculty on 5 March 1997 and last altered on 24 October 2001. The Senate of the Friedrich-Schiller-Universität Jena agreed to the programme on 16 September 1997 and the alterations on 6 November 2001. The Thuringian Ministry for Science, Research and Art approved the programme by decree Az. H 5-437/562-9 - on 4 November 1997 and the changes by decree GZ H1-437/562-9- on 25 January 2002.

## **Doctoral degrees**

### **§ 1**

The Friedrich-Schiller-Universität Jena, through the Faculty of Social and Behavioural Sciences, confers the academic degree of doctor philosophiae (Dr. phil.) or, in the case of honorary degrees, with the additional title “honoris causa” (h.c.).

## ***II. Admission to apply to a doctoral programme***

### **§ 2**

(1) The admission to apply to a doctoral programme generally requires that the applicant has successfully completed a course of study at a university or peer institution in a subject which is one also covered by this Faculty.

(2) Should the applicant wish to complete doctoral work in a subject which was not the subject of his or her pre-doctoral degree, the applicant’s academic record is examined. The Faculty Council issues any necessary requirements for further study and examination within individual academic subjects. The requirements follow the Courses of Study and Examination (Studien- und Prüfungsordnungen) of the Faculty of Social and Behavioural Sciences and are to take into account the applicant’s prior academic achievements.

The requirements are to be given to the applicant within the notice of acceptance as a doctoral candidate as in § 3 paragraph (3). The candidate must complete these requirements before the opening of the doctoral examination procedures.

(3) Admission of external applicants can only be effected through the presentation of an informal written statement from an academic instructor who is a full working member of the Faculty of Social and Behavioural Sciences, in which suitable scientific contact with the intended field of doctoral study is verified.

(4) The admission of especially qualified graduates of universities of applied sciences (Fachhochschulabsolventen) is conducted as in Appendix 1.

### ***III. 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 Social and Behavioural Sciences for acceptance as doctoral candidates by submitting a prospective dissertation topic. Certification of the completion of admissions requirements 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 whether to accept the application within one month of its submission. The acceptance requires the agreed-upon assignment of the applicant to a professor, assistant professor or lecturer who will act as his or her scientific advisor (Betreuer). The acceptance of an applicant does not grant him or her any legal rights to the opening of doctoral examination procedures.

(3) The decision to accept or reject the application is to be given to the applicant in writing. The certificate of acceptance (Annahmebescheinigung) must specify the subject area of the doctoral work, the topic of the dissertation, and the candidate's scientific advisor, and, if necessary, stipulate additional requirements as according to § 2. A rejection of the application must provide a reason for the rejection as well as information on legal remedies available (Rechtsbehelfsbelehrung).

### ***IV. Examination procedures***

#### **§ 4**

The written application to open the doctoral examination procedures is to be given to the Dean of the Faculty of Social and Behavioural Sciences. The following documents are to accompany the application, following § 5 paragraph (1) of the General Requirements for Courses of Doctoral Examination (Allgemeine Bestimmungen für die Promotionsordnungen) of the Friedrich-Schiller-Universität Jena:

1. the certificate of admission to a doctoral programme of as in § 2 paragraph (1) and, when applicable, the notice of acceptance as a doctoral candidate as in § 3 paragraph (3), as well as verification of fulfilment of additional requirements;
2. four copies of the dissertation;
3. a written declaration of honour, 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, that the applicant has not enlisted the assistance of a doctoral

- consultant (Promotionsberater) 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 (with or without pay),
  - 3.4. 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).

## **§ 5**

(1) The Council of the Faculty of Social and Behavioural Sciences decides whether to open the examination procedures during its first sitting following the submission of the application. The decision is made by 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) In case of a negative decision by the faculty council, procedures are to be followed as outlined in § 17 of the General Requirements for Courses of Doctoral Examination (Allgemeine Bestimmungen für die Promotionsordnungen) of the Friedrich-Schiller-Universität Jena.

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

## ***IV. Doctoral committee***

### **§ 6**

(1) The Council of the Faculty of Social and Behavioural Sciences nominates a doctoral committee to conduct the doctoral examination procedures and chooses the presiding members of this committee. The doctoral committee consists of two reviewers (Gutachter) of the dissertation as well as one chairperson (Vorsitzender) who must be a member of the Faculty. The Faculty Council can nominate 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; conducts the colloquium for the oral exam, and evaluates the candidates' performance on this exam; and recommends the assignment of the agreed-upon final mark. The chairperson and two members of the doctoral committee must be present for these decisions.

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

## **VI. Dissertation**

### **§ 7**

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

(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 Appendix 2 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 nominated as in § 6 paragraph (1) with the request that they return their evaluations within an appropriate period of time. During this period, the dissertation is laid out in the Dean's office for the members of the faculty who hold postdoctoral degrees to view and to offer their expert commentary. The Dean informs them of this evaluative period.

(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)

For the purpose of calculating a final mark, the individual marks are converted to a number scale [0, 1, 2, 3].

(6) The evaluations 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.

If only one reviewer assigns the mark summa cum laude, and if only two reviewers were originally appointed, then a third reviewer is to be appointed by the Faculty Council. The mark summa cum laude may only be given to the dissertation if it is agreed to by a majority of the doctoral committee.

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 halts the doctoral examination procedures or recommends to the Faculty Council to end the examination procedures unsuccessfully. With the approval of the Faculty Council, the committee may decide to obtain additional evaluations. 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).

(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.

(11) If the dissertation has been rejected, the candidate may submit only one new application for the doctoral examination, at the earliest one year following the failed attempt, and try again to earn a degree.

(12) If the dissertation has been accepted, the evaluations may be viewed by the doctoral candidate once a date and time for the colloquium has been fixed.

## ***VII. Colloquium***

### **§ 8**

(1) The oral exam takes place as a colloquium in the subject area in which the dissertation was completed. The colloquium lasts for 60 minutes and is conducted by the members of the doctoral committee.

(2) The candidate, in consultation with his or her advisor, and within an appropriate time prior to the oral exam, suggests two main topics to the members of the doctoral committee.

The colloquium takes place no earlier than 14 days following the decision of the doctoral committee as in § 7 paragraph (7) to continue the examination procedures.

(3) At the end of the colloquium, the doctoral committee decides on a mark for the

candidate's performance on the oral exam based on the scale given in § 7 paragraph (5).

(4) A failed oral exam may be re-taken between 2 and 12 months following the first attempt. If the candidate fails this second exam as well, the doctoral examination procedures are ended unsuccessfully. The candidate receives a written notice in this case from the Dean which includes information on the legal remedies available to him or her.

(5) Should the candidate miss the appointment for the oral exam without an adequate excuse, the exam is counted as failed. The same applies if the candidate terminates the exam without sufficient reason.

## ***VIII. Final mark***

### **§ 9**

(1) The final mark for the doctoral examination procedures is assigned based on the scale given in § 7 paragraph (5).

(2) The final mark is derived from the final marks of the dissertation and the colloquium. The dissertation final mark counts twice as much as the colloquium final mark. A final mark of summa cum laude can only be given if both the dissertation and the colloquium were also given the mark of summa cum laude.

The doctoral certificate (Promotionsurkunde) displays the final mark of the written work and the final mark of the oral exam alongside the overall final mark.

(3) The chairperson of the doctoral committee informs the Faculty Council of the committee's recommendation for the final mark.

(4) The Council of the Faculty of Social and Behavioural Sciences decides on the final mark with a majority vote of its doctorate-holding members and based on the recommendation of the doctoral committee.

## ***VIII. Completion of examination procedures and certification***

### **§ 10**

The doctoral committee can, at the suggestion of the reviewers, give permission for the removal of errors before the publishing of the dissertation. It is incumbent upon the Dean to assess the editing.

## **§ 11**

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**

After the acceptance of the dissertation and the successful completion of the oral exam, the candidate is obligated, within 2 years, to publish the dissertation and to provide the Faculty with copies (Pflichtexemplare), as described in § 13 paragraph (2) of the General Requirements for Courses of Doctoral Examination (Allgemeine Bestimmungen für die Promotionsordnungen) of the Friedrich-Schiller-Universität Jena.

An extension of the two-year period allowed for delivery of these documents can only be granted by the explicit approval of the Dean.

## **§ 13**

(1) As soon as the conditions in § 10 paragraph are fulfilled and the obligation to publish the dissertation 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 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 strictly with the handing over of this certificate.

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

## ***X. Fraud and denial of the doctorate, right of inspection, appeal of decisions***

## **§ 14**

The General Requirements for Courses of Doctoral Examination (Allgemeine Bestimmungen für die Promotionsordnungen) of the Friedrich-Schiller-Universität Jena regulate the candidate's right to inspect the examination documents (§16 ABPO) and the appeal of decisions (§17 ABPO) as well as the revoking and denial of the doctorate (§15 ABPO).

## ***XI. Honorary degrees and their renewal***

### **§ 15**

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

(2) Every member of the Faculty of Social and Behavioural Sciences has the right to nominate candidates for the receipt of the honorary degree Dr. phil. h.c. The Dean, in consultation with the Faculty Council, authorizes two reviewers to evaluate the achievements of the nominee.

(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.

### **§ 16**

(1) The honorary 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.

(2) 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.

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

### **§ 17**

(1) For any applicant who has been accepted as a doctoral candidate at another postsecondary institution, but whose advisor has accepted a position with this Faculty, the requirements for admission to apply to a doctoral programme and to open doctoral examination procedures at the other institution apply.

The examination procedures in cases described by sentence (1) will be conducted strictly according to the course of examination (Promotionsordnung) for doctoral candidates of the Faculty of Social and Behavioural Sciences.

## **§ 18**

For items not otherwise regulated in this document (Promotionsordnung), the current rules given in the General Requirements for Courses of Doctoral Examination (Allgemeine Bestimmungen für die Promotionsordnungen) of the Friedrich-Schiller-Universität Jena apply.

## **§ 19**

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).

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.

The Dean

The Rector

## Appendix 1

### **Admission to apply to a doctoral programme for especially qualified graduates of universities of applied sciences (Fachhochschulabsolventen)**

#### **Preamble**

The Faculty of Social and Behavioural Sciences supports the effort to open the possibility of completing a doctoral work to especially qualified graduates of universities of applied sciences.

#### **1. Application**

The application should be submitted to the Faculty of Social and Behavioural Sciences and should include:

- an outline of the intended dissertation,
- a curriculum vitae (CV) of the applicant's scientific career,
- a degree transcript from the university of applied sciences,
- the diploma thesis, and evaluations where applicable.

#### **2. Assessment procedure**

The assessment of the candidate's former achievement at the university of applied sciences as well as further study and examination requirements is carried out by a committee appointed by the Faculty Council, which usually consists of three professors. The following are required in order for the application to be considered:

- degree transcript with an overall mark of at least 1.5
- a recommendation from the applicant's former department of study at the university of applied sciences that this area of study is appropriate to the applicant's intended doctoral work;
- the agreement of a professor or lecturer (Professor, Hochschuldozent or Privatdozent) of the Faculty of Social and Behavioural Sciences to serve as the applicant's advisor
- a positive vote of the professor or lecturer who is the applicant's potential advisor of the appropriateness of the submitted project outline for a doctoral work.

As well as checking the above requirements, the committee evaluates the study and examination record of the applicant at his or her former university of applied sciences. Additional study and examination requirements are issued according to the requirements for the appropriate pre-doctoral degree in the department of the Faculty of Social and Behavioural Sciences in which the applicant wishes to do doctoral work. These requirements must be able to be completed within 3 semesters.

The specifications set by the committee are to be approved by the Faculty Council and are given to the applicant.

The requirements must be fulfilled before the opening of the examination procedures.

#### **3. Additional advisorship**

At the request of the university of applied sciences, the Council of the Philosophical Faculty can allow the participation of a professor of the university of applied sciences in the advising of the dissertation.

Appendix 2

**Note: This English translation of Appendix 2 is for your information only.  
The German prototype which follows is authoritative.**

**Prototype  
for the title page of a dissertation**

***Title of the Dissertation***

**Dissertation**

**for the obtainment of the academic grade**

**doctor philosophiae (Dr. phil.)**

**presented to the Council of the Faculty of Social and Behavioural Sciences  
of the Friedrich-Schiller-Universität Jena**

**by .....** *(already-earned academic degrees, first and last name)*

**born on ..... in .....**

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**Prototype of the back side of the title page (bottom)**

**Reviewers**

1. \_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

**Date of the Colloquium: \_\_\_\_\_**

*Muster  
für die Titelseite einer Dissertation*

# ***T i t e l   d e r   D i s s e r t a t i o n***

**Dissertation**

**zur Erlangung des akademischen Grades**

**doctor philosophiae (Dr. phil.)**

**vorgelegt dem Rat der Fakultät für Sozial- und Verhaltenswissenschaften**

**der Friedrich-Schiller-Universität Jena**

**von .....** (bereits erworbener akad. Grad, Vor- und Zuname)

**geboren am ..... in .....**

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**Titelblattrückseite (unten)**

**Gutachter**

1. \_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

**Tag des Kolloquiums:** \_\_\_\_\_