



**Doctoral examination regulations
of the Faculty of Economics and Business Administration,
Friedrich Schiller University Jena
as at 19 June 2018**

In accordance with section 3 subsection 1 of the Thuringian Higher Education Act (Thüringer Hochschulgesetz, ThürHG) from 10 May 2018 (published in the journal of legal notices of the Federal State of Thuringia GVBl., p. 149), amended through section 27 of the Act on 6 June 2018 (GVBl., p. 229), the Friedrich Schiller University Jena issues the present Doctoral Examination Regulations of the Faculty of Economics and Business Administration. The regulations were approved by the faculty council on 23 May 2018 and agreed by the Senate of the University on 19 June 2018.

The president gave his consent on the regulations on 19 June 2018.

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I. Doctoral degree

§ 1

- (1) ¹The University, represented by the Faculty of Economics and Business Administration, confers the doctoral degree “doctor rerum politicarum (Dr. rer. pol.) or, in the case of an honorary doctorate, the doctoral degree with the addendum “honoris causa (h. c.)”. ²Upon decision from the faculty council, the Faculty may confer the doctoral degree “Doctor of Philosophy (PhD)”, too. The doctoral candidate shall request this when applying for the opening of the doctoral examination procedure.
- (2) ¹The award of a doctoral degree shall serve as a certification of the competence to perform advanced scientific work in one of the research (sub)disciplines represented by the Faculty. ²Except in the case of an honorary degree as determined in section 18, the certification will be granted upon successful submission of a written scientific thesis (“Dissertation”) in accordance with section 7 and upon an oral examination (“Disputation”) in accordance with section 8.

II. Admission requirements

§ 2

- (1) Admission to apply for becoming a doctoral candidate usually requires the successful completion of the following degrees (final mark at least good): *Diplom* degree, *Magister* degree, state examination (“Staatsexamen”), or a master’s degree at a university or master’s degree at a university of applied sciences in economics and business administration.
- (2) ¹Exceptions with regard to subsection 1 are possible upon approval from the majority of the members of the faculty council possessing a doctorate provided that the candidate can prove that the prior education is equivalent to the required one. ²In addition to the additional requirements in accordance with subsection 4, the faculty council may, if necessary, issue further requirements in the form of course work and examinations; it must be possible to complete those within two semesters and shall only comprise up to two subjects in accordance with section 2 subsection 4a. ³The additional requirements shall be documented in a letter of admission as a doctoral student pursuant to section 3 subsection 5. ⁴Applicants must fulfil these requirements before the opening of the doctoral examination procedure.
- (3) ¹Degrees earned at institutions of higher education abroad may be recognized if they are considered equivalent to the degrees mentioned in subsection 1. ²The equivalence shall be examined by the dean based on the agreement on equivalence approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany (*Kultusministerkonferenz*, KMK) and the German Rectors’ Conference (*Hochschulrektorenkonferenz*, HRK).



- (4) ¹In addition to the supporting documents for admission in accordance with subsection 1, 2, or 5, the applicants shall provide evidence of three achievements of their own choice by the opening of the doctoral examination procedure from among these options:
- a) successful participation in oral examinations in one subject (at least 30 min) which is represented by one of the professorships at the Faculty; per subject and examiner, the applicant may pass one oral examination only;
 - b) successful participation in subject-specific or general doctoral seminars designed for the internal public of the University;
 - c) publications in accredited scientific media; it is the faculty council which decides upon the recognition based on the statement from a person eligible to supervise doctoral students at the Faculty;
 - d) participation in renowned conferences with one's own contribution in accordance with standardized selection process; it is the faculty council which decides upon the recognition based on the statement from a person eligible to supervise doctoral students at the Faculty;
- ²These requirements as determined in subsections 4a and 4b, and the statements as defined in subsections 4c and 4d must be earned by at least two different persons eligible to supervise doctoral students in accordance with section 3 subsection 2.
- ³The requirements are also considered as completed if applicants pass one structured doctoral programme which must be recognized by the faculty council and carried out by the persons eligible to supervise doctoral students at the Faculty.
- (5) ¹Particularly qualified graduates of bachelor's programmes may be granted admission as a doctoral candidate similar to graduates of *Diplom* programmes, *Magister* programmes, state examinations, or master's programmes. ²They must, however, fulfil these additional admission requirements:
- a) degree in a study programme related to economics or business administration with the final mark "excellent" (1.5 or better);
 - b) possibly additional requirements for which it must be possible to complete them within two semesters. ³The additional requirements shall be determined by the faculty council based on a case-by-case study.
- (6) As a general rule, applicants cannot be granted admission if they are doctoral candidate in the same field at another university, if the doctoral examination procedure was terminated or if they failed any other doctoral examination procedure.



III. Admission as a doctoral candidate

§ 3

- (1) ¹Anyone meeting the admission requirements as defined in section 2 and intending to complete a doctorate shall apply for admission as a doctoral candidate at the Faculty before starting a doctoral research and shall provide the working title of the doctoral thesis project. ²To prove that they have fulfilled the admission requirements, applicants must enclose copies of their final certificates with marks (any degrees gained at other faculties and universities, must be officially certified), a supervision agreement in accordance with subsection 3, a CV, and a written statement on any current or previous doctoral thesis projects. ³If the applicants are not members of the University, they must prove their identity with their identity card.
- (2) Regarding the eligibility to supervise doctoral thesis projects, section 4 subsections 3 and 4 of the General Doctoral Regulations (*Allgemeine Bestimmungen für die Promotionsordnungen*, ABPO) as at 5 July 2017 published in the journal of legal notices of the University (*Verköndungsblatt*; no. 5/2017, p. 89) applies in their valid version.
- (3) The supervisor and the doctoral candidate shall conclude a supervision agreement which shall include at least these aspects:
- the responsibility of the doctoral candidate to report to the supervisor(s) regularly on the progress of the doctoral thesis project;
 - the responsibility of the supervisor(s) 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 doctoral thesis in accordance with section 7 subsection 2);
 - the participation in a structured doctoral programme (if applicable).
- (4) ¹It is the dean who decides on the application within two months. ²The admission does not guarantee any legal rights to open the doctoral examination procedure.
- (5) ¹The applicant shall be informed about the decision on the application in writing. ²The letter of admission shall specify the working title as well as the names of the research supervisors, and additional requirements in accordance with section 2. ³A rejection of the application must also provide a valid reason for the rejection and information on legal remedies.
- (6) Upon request of the doctoral candidate, the doctoral relationship (i.e. doctoral thesis project and status as a doctoral candidate) may be suspended temporarily if 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.



- (7) ¹The 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 the supervision agreement. ²Upon request, the doctoral candidate must confirm the resumption of the doctoral thesis project yearly. ³From the fourth year after the admission, a confirmation from the responsible supervisor is required.
- (8) ¹In particular, the 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. ²Prior to decision made by the faculty council, the doctoral candidate shall be given the opportunity to be heard. ³Furthermore, the doctoral candidate may terminate the supervision relationship in writing.

IV. Opening of the doctoral examination procedure

§ 4

¹The application for initiating the doctoral examination procedure shall be submitted in writing to the dean. The candidate must submit the following supporting documents:

1. confirmation that the additional requirements as defined in section 2 have been met;
2. four copies of the doctoral thesis, including a statement on the co-authorships of cumulative theses in writing, and one electronic version (PDF);
3. a statement 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 or to any other faculty and, if they did it, which mark they have achieved;
4. an official certificate of good conduct if the applicants are not employed in the German public sector;
5. proof of payment of the submission fee for a doctorate;
6. a CV containing information on their education and scientific achievements;
7. a list of scientific publications and, if applicable, of presentations.



§ 5

- (1) It is the faculty council which decides on the opening of the examination procedure; the decision shall be made in the first meeting after the submission of the application. The decision shall be reached by a majority of the council members holding a doctorate.
- (2) The dean shall inform the applicant about the opening of the doctoral examination procedure in writing.
- (3) If the faculty council rejects the application, the procedures as defined in section 17 shall apply.
- (4) 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

§ 6

- (1) ¹The faculty council appoints a doctoral committee which conducts the doctoral examination procedure. ²As a rule, the doctoral committee shall consist of five persons eligible to supervise doctoral candidates in accordance with section 3 subsection 2, i.e. one chairperson, two reviewers, and two further members. ³The chairperson, one reviewer, and the further members of the doctoral committee shall be members of the Faculty. ⁴The faculty council may appoint a third supervisor as member of the doctoral committee. ⁵The right of professors to participate in doctoral examination procedures remains unaffected in case of their retirement. ⁶The same applies to rights of the supervisors if they change to another institution.
- (2) At least one reviewer shall not be a co-author of the doctoral candidate.
- (3) In case of short-term absence of one or more members, or the chairperson of the doctoral committee and if the doctoral committee is not able to perform its duties, the dean shall be authorized to re-establish the work of the doctoral committee by appointing substitute members.
- (4) ¹The doctoral committee shall decide on the admission and on the mark of the doctoral thesis in a non-public meeting based on written reviews. ²If the doctoral committee is not able to decide on a mark based on two reviews, it may suggest a third reviewer be appointed. ³The doctoral committee shall conduct the disputation as an oral examination, it shall mark the performance during the examination, and suggest the overall final mark. ⁴The doctoral committee shall reach decisions based on the majority vote of its members.
- (5) All decisions of the doctoral committee shall be put on record.



VI. Doctoral thesis

§ 7

- (1) In their doctoral thesis, doctoral candidates shall demonstrate their ability to independently conduct scientific research that advances the given academic discipline.
- (2) ¹Upon request from the doctoral candidate, the faculty council may allow to submit a cumulative thesis if the supervisor and the doctoral candidate agreed on it within the supervision agreement in accordance with section 3 subsection 3. ²The selected publications for such a doctoral thesis must be introduced by a thorough written summary which contextualizes the research topics and the central findings of the publications. The summary shall take the relevant literature into account and acknowledge the individual contribution; if applicable, also the contributions of other authors shall be acknowledged.
- (3) ¹The doctoral thesis shall be written either in German or in English. Doctoral candidates shall submit a typewritten and bound doctoral thesis. ²Cumulative theses may be published in both languages. ³In justified cases, the faculty council may allow doctoral candidates to write their thesis in other languages, too. ⁴If a doctoral thesis is written in several languages or written in a foreign language, a summary in German shall be attached. ⁵The doctoral thesis shall include: a title page (as defined in the Appendix 1) and a short CV outlining the candidate's scientific educational background.
- (4) The dean shall submit the doctoral thesis to the reviewers appointed pursuant to section 6 subsections 1 and 2 along with the request to evaluate it in due time in accordance with section 7.
- (5) ¹The reviewers appointed in accordance with section 6 subsections 1 and 2 shall evaluate the submitted doctoral thesis in detail and independently from each other, and decide whether it can be accepted as such. ²They evaluate the scientific performance of a doctoral thesis submitted in a written review and grade it according to the following scale:
 - summa cum laude (with distinction)
 - magna cum laude (excellent)
 - cum laude (good)
 - rite (satisfactory).
- (6) ¹The final mark "summa cum laude" may only be given if a doctoral thesis contains distinctive research achievements in the given field which exceed the requirements of the mark "excellent" considerably. ²This shall be stated in a review, for example, by giving information on the contribution of the doctoral thesis to the research field or, in case of a cumulative thesis, the reference to the renowned journals in which articles were published. ³In case of the marks "magna cum laude", "cum laude", and "rite" (excluding the mark "summa cum laude"), an addendum of "+" or "-" may be added to indicate the tendency towards a better or worse mark.



- (7) ¹The reviews should be submitted not later than two months after the beginning of the doctoral examination procedure. ²In case of delays, the reviewers shall provide valid reasons. ³If reviewers are not able to submit their reviews in due time, the faculty council shall appoint another reviewer.
- (8) ¹The dean shall inform the persons eligible to supervise doctoral theses within the Faculty about the doctoral thesis, including the reviews, being available in the dean's office for two weeks. ²Within the period, the afore-mentioned members of the Faculty are eligible to provide their opinion on the given doctoral thesis. ³These additional reviews shall be taken into account when reaching the decision on the acceptance of the doctoral thesis in accordance with section 9.
- (9) ¹If, according to the reviews, the doctoral thesis shall be accepted, the doctoral committee shall decide on the final mark of the thesis based on the reviews submitted. ²The mark "summa cum laude" may only be given if all reviews suggest the mark "summa cum laude". ³If the marks from the reviews are identical, this mark shall be the final mark of the doctoral thesis. ⁴If the difference is higher than two marks, the doctoral thesis shall not be given the highest mark. ⁵After the decision on the final mark of the doctoral thesis, the chairperson of the doctoral committee shall proceed with the doctoral examination procedure.
- (10) ¹Should at least one reviewer recommend the rejection of the doctoral thesis, the doctoral committee decides whether to continue the doctoral examination procedure or recommends to the faculty council to close the procedure as unsuccessful. ²If the doctoral examination procedure is continued, the doctoral committee must obtain another review upon prior approval from the faculty council. ³The decision to accept or reject the doctoral thesis following additional reviews is made by the faculty council based on the recommendation of the doctoral committee and taking into account all prior reviews of the doctoral thesis based on the majority vote of the members holding a doctorate.
- (11) ¹Should two reviewers reject the doctoral thesis, the doctoral committee recommends to the faculty council to close the doctoral examination procedure as unsuccessful. ²If the doctoral thesis is rejected, the candidate may re-apply for a doctoral examination in the same field once.
- (12) ¹The dean shall notify the doctoral candidate about the termination of the doctoral examination procedure in writing. ²In this case, the doctoral candidate is allowed to view the examination files. ³One copy of the doctoral thesis shall remain in the files of the Faculty.



VII. Thesis defence

§ 8

- (1) ¹The thesis defence shall take place after the acceptance of the doctoral thesis and be accessible to the internal public of the University. ²The thesis defence may be conducted in English. ³The doctoral candidate shall request this when applying for the opening of the doctoral examination procedure. ⁴The date of the thesis defence shall be determined by the chairperson of the doctoral committee. The candidate, other members of the doctoral committee, and the internal public of the University shall be informed about the date. ⁵The thesis defence shall not take place earlier than 14 days after the doctoral committee has decided to continue the doctoral examination procedure in accordance with section 7. ⁶This deadline may be omitted if doctoral candidates submit a written statement in which they agree to omit the given period.
- (2) If the doctoral examination procedure is continued after the acceptance of the doctoral thesis, the doctoral candidate may view the reviews after the date of the thesis defence is set.
- (3) During the thesis defence accessible to the internal public of the University, the doctoral candidate presents the most important results of the doctoral thesis within 30 minutes. The presentation is followed by a scientific discussion in which the doctoral candidate has the opportunity to defend the results of the doctoral thesis.
- (4) The thesis defence shall be conducted by the chairperson of the doctoral committee.
- (5) ¹The chairperson of the doctoral committee shall provide minutes of the thesis defence which shall sum up the central questions of the discussion and the final mark of the thesis defence. ²Regarding the final mark, section 7 subsection 5 shall apply accordingly.
- (6) ¹Should doctoral candidates fail the thesis defence, they may apply to repeat the thesis defence once within 12 months. ²If the thesis defence is failed more than once, the doctoral examination procedure shall be ultimately terminated as unsuccessful.

VIII. Final mark of the doctorate

§ 9

- (1) Regarding the final mark of the doctoral thesis project the marks as defined in section 7 subsection 5 shall apply.
- (2) ¹The overall final mark for the doctoral thesis project shall be determined based on the mark of the doctoral thesis and on that of the thesis defence. ²The mark of the doctoral thesis is given a factor 2. ³An overall final mark "summa cum laude" may only be given if the doctoral thesis was marked "summa cum laude" and the thesis defence not less than "magna cum laude".



- (3) The chairperson of the doctoral committee shall inform the faculty council about the recommendation on the overall final mark.

IX. Award of the doctorate and doctoral degree certificate

§ 10

¹Upon request from the reviewers, the doctoral committee can demand from the doctoral candidate to remove any errors or deficiencies before the publication of the doctoral thesis. ²It is the dean who shall examine whether the requirements are fulfilled.

§ 11

- (1) Upon recommendation of the doctoral committee, the faculty council decides on the overall final mark for the doctoral thesis by majority vote of the present members holding a doctorate.
- (2) The dean informs the doctoral candidate about the decision of the doctoral committee and the faculty council in writing. The dean also informs the doctoral candidate about the obligation to publish the doctoral thesis and about the regulations on the completion of the doctorate.

§ 12

- (1) ¹After the successful thesis defence, the doctoral candidate shall publish the doctoral thesis in an appropriate manner within two years. ²Upon dean's approval, the deadline may be extended.
- (2) The obligation to publish the doctoral thesis is considered met if, apart from the four copies of the doctoral thesis submitted for the files of the Faculty, the Thuringian State and University Library (ThULB) receives compulsory copies as determined in section 13 subsection 2 of the General Doctoral Regulations of the University.

§ 13

- (1) When the requirements set in section 10 are met and the obligation to publish the doctoral thesis in accordance with section 12 is fulfilled, the doctoral candidate is conferred a doctoral degree certificate which shall be signed by the president and the dean. ²The date of the oral examination shall be marked as the date of the completion of the doctorate. ³Upon request, the doctoral candidate may receive the doctoral degree certificate in English. The doctoral candidate shall request this when applying for the opening of the doctoral examination procedure.
- (2) ¹Doctoral candidates may use the title after the University has conferred them the doctoral degree certificate. ²If two doctoral degree certificates should be conferred for a joint doctoral



thesis project, both certificates represent a joint doctoral degree certificate.

- (3) The dean may give the doctoral candidate a preliminary confirmation on the successful completion of the doctoral examination procedure before the University has conferred them the doctoral degree certificate.

X. Joint examination procedure with other institutions of higher education

§ 14

Regarding joint doctoral examination procedures, the provisions as defined in subsection X of the General Doctoral Regulations apply.

XI. Right of inspection, deception and revocation of the doctorate, right of appeal in the doctoral examination procedure

§ 15

After the completion of the doctoral examination procedure, the doctoral candidates have the right to view the documentation of the procedure. Section 8 subsection 2 remains unaffected.

§ 16

- (1) ¹The doctoral degree shall be revoked if the doctoral candidate provided supporting documents for admission or during the doctoral examination procedure by deception. The same applies if any facts become known that would have prevented the conferral of the doctoral degree. ²Any decision to revoke the doctoral degree shall be based on the majority vote of the members of the faculty council 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.

§ 17

- (1) ¹The applicant shall be informed about the decisions on the admission for doctoral studies, on the acceptance or rejection of the doctoral thesis and about the oral examination in writing. ²Any incriminating notification of the faculty council and/or of the doctoral committee shall be justified and include the information on the right to appeal.



- (2) ¹Within a month after the date of notification, the person concerned may file a written appeal to the president of the University. ²Upon obtaining a statement from the University's Legal Office, the faculty council shall decide on the appeal with a majority vote of its members holding a doctorate. ³After obtaining the dean's counter-signature, the notification on the objection shall be issued by the president.

XII. Honorary doctorate and jubilee doctorate

§ 18

- (1) In recognition of excellent scientific achievements or other special merits, the University may, through the Faculty, in rare cases award honorary doctorates within its disciplines.
- (2) ¹Every professor or associate professor serving in a temporary capacity ("Privatdozent*in", PD) of the Faculty has the right to nominate candidates for an honorary doctorate. ²Upon prior consultation with the faculty council, the dean authorizes two reviewers to evaluate the achievements of the nominee.
- (3) ¹Upon 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. ²Prior to its decision, the Senate shall be given the opportunity to comment.
- (4) As a rule, the president and the dean shall award an honorary doctorate at a celebratory event to which the members of the Senate and the faculty are invited. The honorary doctorate presents the achievements of the nominee.

§ 19

- (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 recipients with the University.
- (2) ¹The anniversary certificate shall be awarded upon the proposal from the dean and the approval from the faculty council. ²The certificate shall be signed by the president and the dean.

XIII. Mediation with ombudspersons

§ 20

Regarding the mediation with ombudspersons, the provisions as defined in section XV. of the General Doctoral Regulations of the University shall apply.



XIV. Transitional provisions and coming into effect

§ 21

- (1) ¹For 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 admission requirements to apply for the doctoral examination procedure and to open the doctoral examination procedure of the original university shall also apply at the University. ²Basically, the doctoral examination procedure shall be conducted in accordance with sentence 1 of the doctoral examination regulations of the Faculty.
- (2) ¹The present regulations shall come into effect on the day after its publication in the journal of legal notices of the University (*Verkündungsblatt*). ²At the same time, the doctoral examination regulations of the Faculty adopted on 7 February 2001 (journal of legal notices of the competent ministry [TKM/TMWFK], no. 10/2001, p. 408ff) in its version as at 6 May 2009 (*Verkündungsblatt*, Nr. 12/2009, p. 1186ff) cease to be in force.

Jena, 19 June 2018

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

Prof. Dr Silke Übelmesser
Dean of the Faculty of Economics and Business
Administration

Appendix 1: title page



Topic:

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(enter accordingly)

Doctoral thesis
to earn the academic title:
doctor rerum politicarum
(Dr. rer. pol.)

submitted to
the Faculty Council of the
Faculty of Economics and Business
Administration,
Friedrich Schiller University Jena,

on
(date of the faculty council meeting)

from:
(academic title, first name, family name)

Date of birth:
Place of birth: