

## **The University of Bayreuth's consolidated version:**

Care was taken to ensure the text of these regulations is accurate and up-to-date; the present version may nevertheless contain errors. The official, legally binding version can be viewed in the Examinations Office, the Student Advising Office, or online at

<http://www.uni-bayreuth.de/de/universitaet/organisation/abt1/amtliche-bekanntmachungen/index.html>.

Please note the effective dates of the amendments.

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### **Doctoral regulations for the Faculty of Languages & Literatures at the University of Bayreuth dated 15 September 2017 as amended on 25 January 2021**

On the basis of article 13 para. 1 sentence 2 in conjunction with article 64 para. 1 sentence 5 of the Bavarian Higher Education Act (BayHSchG), the University of Bayreuth adopts the following doctoral regulations for the Faculty of Languages and Literatures:

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Annex

## **§ 1**

### **Doctoral degree**

- (1) <sup>1</sup>The University of Bayreuth, through the Faculty of Languages and Literatures, in accordance with these regulations, awards the academic degree of "Doktorin der Philosophie" or "Doktor der Philosophie". <sup>2</sup>The abbreviated form of this degree is "Dr. phil.". <sup>3</sup>The doctorate may also be awarded in cooperation with a foreign university/faculty (hereinafter referred to as "educational institution") on the basis of a jointly implemented doctoral process in accordance with § 22.
- (2) Pursuant to Art. 64 Para. 1 of the Bavarian Higher Education Act (BayHSchG), the doctorate serves as proof of independent academic achievement, which must go considerably beyond the examination achievements required for admission to the doctorate in § 7 para. 1 number 1.
- (3) The work required for the doctorate consists of a candidate's independently written scientific work (dissertation) and an oral examination.
- (4) <sup>1</sup>The University of Bayreuth can, through the Faculty referred to in para. 1 according to § 24, award the academic degree of "Doktorin der Philosophie ehrenhalber" or "Doktor der Philosophie ehrenhalber". <sup>2</sup>The abbreviated form of this degree is "Dr. phil. h. c.".

## **§ 2**

### **Examination authorisation**

<sup>1</sup>Instructors entitled to administer examinations under these doctoral regulations are the university instructors within the meaning of Art. 2 Para. 3 Sentence 1 of BayHSchPG of the Faculty of Languages and Literatures, the relieved professors and retired professors (cf. Art. 13 BayHSchPG) and, as a rule, full-time, and in exceptional cases also specially qualified part-time academic staff (§ 4 HSchPrüferV). <sup>2</sup>On the proposal of the doctoral candidate, the Dean may also appoint instructors from other faculties of the University of Bayreuth or from other German or foreign universities as examiners, provided that they fulfil the qualification requirements set out in Art. 62 para. 1 BayHSchG in conjunction with § 4 HSchPrüferV.

## **§ 3**

### **Examination body**

The examination body is the doctoral committee of the Faculty of Languages and Literatures.

## § 4 The doctoral committee

- (1) The doctoral committee is responsible for the implementation of the doctoral process, unless otherwise stated in these regulations.
- (2) <sup>1</sup>Members of the doctoral committee are the Dean and seven other authorised examiners according to § 2 and, from the date of their appointment on, assessors and examiners who are not already members of the doctoral committee. <sup>2</sup>The seven members of the doctoral committee are elected by the Faculty Council. <sup>3</sup>The term of office of the doctoral committee is two years. <sup>4</sup>The chairperson of the doctoral committee is the Dean; she or he chairs the meetings of the doctoral committee and directs the day-to-day business.
- (3) <sup>1</sup>The doctoral committee has a quorum if all members have been invited in writing one week before the meeting and the majority of members are present.  
<sup>2</sup>They act by a majority of the votes cast. <sup>3</sup>Abstaining from voting, secret voting and transferring of voting rights are not permitted. <sup>4</sup>In the case of a tie vote, the Chairperson has the casting vote. <sup>5</sup>The exclusion due to personal involvement is governed by article 41 para. 2 BayHSchG with regard to article 20 and article 21 of the Bavarian Administrative Procedures Act (BayVwVfG). <sup>6</sup>The decisions of the doctoral committee are to be communicated to the candidate by the Dean in writing; decisions adversely affecting the candidate are to be justified to the candidate and accompanied with information on their right to appeal.
- (4) <sup>1</sup>The extended doctoral committee of the Faculty of Languages and Literatures is responsible for the awarding of the honorary doctoral degree according to § 24. <sup>2</sup>It consists of the full-time university instructors of the faculty. <sup>3</sup>The Dean may consult professors relieved of duty or retired professors of the Faculty as advisory members. <sup>4</sup>The Chairperson of the extended doctoral committee is the Dean. <sup>5</sup>Para. 3 applies accordingly.

## § 5 The examination subject

- (1) <sup>1</sup>For the examination to obtain the degree “Doktor der Philosophie” or “Doktorin der Philosophie”, the candidate chooses an examination subject that is represented by a university instructor of the Faculty of Languages and Literatures and is listed in the annex.
- (2) The doctoral committee may approve a subject as an examination subject, which is not represented at the University of Bayreuth, if it is specified as a thematic focus in a

doctoral programme of the Faculty of Languages and Literatures and if the candidate is a member of this doctoral programme.

## § 6

### **A doctorate within a doctoral program or structured doctoral studies at the University of Bayreuth**

1Candidates whose doctoral subject is represented by a professor of the Faculty of Languages and Literatures, but were approved for a doctoral programme or a structured doctoral studies at the University of Bayreuth can go through their doctoral process following the respective applicable doctoral programme / doctoral regulations. 2Supervision by the representative of the subjects of the Faculty of Languages and Literatures must be ensured. 3Candidates have to request and submit this prior to the process in writing to the Dean of the Faculty of Languages and Literatures. 4The doctoral committee of the Faculty of Languages and Literatures decides on the application in agreement with the doctoral committee of the doctoral programme/doctoral studies.

## § 7

### **Admission to a doctorate**

- (1) 1The application for admission to a doctorate must be submitted in writing to the chairman of the doctoral commission. 2The applicant must meet the following requirements:
1. He or she must prove that they have a subject-related university degree and have completed their studies by passing a Diplom, Magister, master's, or first state examination for teaching at secondary schools (Gymnasien) or an equivalent final examination at a higher education institution in the Federal Republic of Germany with at least the grade "good" (for lawyers: "fully satisfactory") or have completed a subject-related master's degree at a university of applied sciences in the Federal Republic of Germany or another equivalent degree at a domestic or foreign university with a grade of at least "good" (for lawyers: "fully satisfactory").
  2. He or she must not have proven himself or herself unworthy of a doctoral title through her or his conduct.
  3. He or she must not have definitively failed this or a similar doctoral examination.
  4. He or she declares in writing that he or she has not already been accepted for a doctorate in the same subject at another university or another doctoral institute at the University of Bayreuth.
  5. He or she encloses a written supervision agreement by a supervisor who is entitled to administer examinations.
- (2) If the doctorate is to be awarded in an examination subject that is different from the main subject or subjects of the completed course of study, the doctoral commission may

exceptionally accept a doctoral candidate for a doctorate if the requirements of No. 1 are fulfilled and

a) if the subject chosen for the examination subject has previously been studied as a minor subject and the grade obtained in this minor subject has been certified with at least the grade "good"; all subjects of a department are regarded as a "subject" within the meaning of these regulations.

or

b) if the subject chosen for the examination subject has sufficient affinity with the subjects studied so far.

- (3) <sup>1</sup>Exceptionally, the doctoral commission may accept an applicant for a doctorate whose degree does not have the grade stated in No. 1,
- if the main course of study intended as an examination subject has been completed with at least "good", and
  - if two members of the faculty who are entitled to administer examinations support the application for admission in writing, whereby one of them must agree to supervise the intended work.

<sup>2</sup>The requirements under no. 1 shall be deemed to have been met if an applicant has been determined to be qualified for a doctorate in accordance with § 10.

- (4) <sup>1</sup>Examination services provided at higher education institutions outside the scope of the Basic Law and other degrees shall be recognised by the Doctoral Commission upon application as a prerequisite for acceptance in accordance with the principle of equivalence under observance of Art. 63 BayHSchG if they are equivalent to a final examination referred to in Para. 1 No. 1. <sup>2</sup>Agreements on equivalence approved by the Conference of Education Ministers and the German Rectors' Conference must be observed. <sup>3</sup>If no such equivalence agreements exist, the doctoral commission may obtain a statement from the Central Office for Foreign Education of the Conference of Ministers of Education and the Arts. <sup>4</sup>The applicant may apply for recognition in accordance with sentence 1 even before submitting the application for admission to the doctoral examination process.
- (5) The application for acceptance to a doctorate is accompanied by online registration as an applicant with the faculty.
- (6) The doctorate begins upon receipt of the written confirmation of acceptance for the doctorate by the Faculty of Languages & Literatures.

## § 8 Statistical requirements

- (1) 1Personal data of the doctoral candidate in accordance with the collection characteristics regulated in § 5 HStatG will be collected by the doctoral institute of the University of Bayreuth, automatically stored and processed for the purpose of fulfilling the statutory duties and for the purposes of legislation and planning in the higher education sector in accordance with § 1 (1) 1 and 2 of the Higher Education Statistics Act within the framework of the doctorate. 2In this respect, the applicant is obligated to cooperate and provide personal data (Art. 10 para. 2 sentence 3 BayHSchG).
- (2) 1Regular transmission or forwarding to the Bavarian State Statistical Office will be carried out in relation to the survey characteristics of the Higher Education Statistics Act of 2 November 1990 and to the university administration for the purpose of presenting higher education statistics. 2The use and processing of personal data is subject to the requirements of Art. 10 BayHSchG.

## § 9 Supervision and supervisory agreement

- (1) The dissertation is supervised by a person authorized to administer examinations.
- (2) 1Those authorised to supervise dissertations (establishment of the doctoral relationship) are professors, professors relieved of duty, retired professors, “extraordinarius” professors, *Privatdozenten*, and *Habilitanden* of the Faculty of Languages & Literatures. 2The doctoral committee may permit, at the request of the doctoral candidate, that the dissertation will be supervised by a university instructor from another faculty of the university or a university instructor of another university, if the topic of the dissertation has a significant relevance to the specific field represented by the respective university instructor. 3If the dissertation is prepared as part of a graduate school or a doctoral programme, the supervision is governed by its regulations. 4In the case of doctorates with universities of applied sciences/HAWs (§ 23), the dissertation will be supervised equally by the instructors authorized to administer examinations at the university of applied sciences/HAW and the university, and the supervisory agreement will be concluded by them together with the applicant.
- (3) 1If the supervisor of a dissertation leaves the faculty, he or she may continue to supervise the dissertation for up to two years after his or her departure and be appointed as a reviewer for the assessment of the dissertation and as an examiner for the oral examination if he or she remains authorized to administer examinations. 2The doctoral commission may extend the period given in sentence 1 by a maximum of two years if

there are important reasons for doing so.

- (4) 1The supervisor and the applicant will record the key points of the doctoral relationship in a written agreement at the beginning of the supervision. 2The supervisor will inform the doctoral committee of the conclusion of the supervisory agreement and forward a copy of the agreement. 3If the doctoral candidate wishes to be admitted to the University of Bayreuth Graduate School, the chairperson of the doctoral commission will forward this result to the Graduate School.

## § 10

### Doctoral aptitude determination

(1) Applicants with the following qualifications may undergo a process to establish their suitability for doctoral studies:

1. Graduates of subject-related Diplom programmes (university of applied sciences), who obtained at least the overall grade "good" in their final examination and wrote a final thesis that was graded with a minimum grade of "good".
2. Graduates of teaching training programmes for primary or secondary schools ("Grund-, Haupt-, oder Realschulen"), who obtained at least the overall grade "good" in their final examination and wrote a final thesis that was graded with a minimum grade of "good". In these cases the subjects in which the doctorate is to be obtained must have been studied as a teaching subject (=major).
3. Graduates who have passed a final university examination outside the scope of the Basic Law of the Federal Republic of Germany which is not determined as equivalent with an overall grade of at least "good" und wrote a final thesis that was graded with a minimum grade of "good".
4. Graduates of bachelor's degree programmes at universities and universities of applied sciences who have passed their final examination with the overall grade "very good" and who have written a final thesis which was awarded the grade "very good".

(2) 1The application for admission for the doctoral aptitude determination is to be submitted in writing to the Dean of the Faculty of Languages and Literatures. 2The candidate must include the following with the application:

1. a CV with documents about his development,
2. evidence of the existence of admission requirements specified in para. 1,
3. a statement about which subject area she or he seeks to do a doctorate in,
4. an official certificate of good conduct if enrolment ended more than three months prior. In the case of foreigners, a certificate recognised by the University of Bayreuth as equivalent must be submitted. This can be an extract from the criminal record of the home state, a certificate of character, or a comparable document. For members of the University of Bayreuth, a certificate of good conduct may be waived.

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In case of doubt, the German originals are to be used in a court of law.*

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- (3) Admission to doctoral aptitude determination is to be refused if the candidate
1. does not satisfy the admission requirements specified in para. 1 nos.1 and 2,
  2. has proved himself unworthy of bearing a doctoral title due to his conduct,
  3. has not submitted all the documents and statements referred to in para. 2 sentence 2.
- (4) <sup>1</sup>The Dean decides on the admission to the doctoral aptitude determination in accordance with para. 2 or the refusal to the doctoral aptitude determination in accordance with para. 3 <sup>2</sup>The decision will be communicated to the candidate in writing; if the admission is refused § 12 para. 3 sentence 2 applies accordingly. <sup>3</sup>All other decisions in the context of admission to the doctoral aptitude determination are taken by the doctoral committee. <sup>4</sup>The Dean ensures the proper progress of the process.
- (5) <sup>1</sup>After admission to the doctoral aptitude assessment process, the designated examiner determines mutually with the doctoral committee, for doctoral aptitude determination, course requirements totalling at least 30 graded credits in relevant for the doctoral project bachelor's, master's, Diplom, or teacher training courses at the University of Bayreuth; Here already provided relevant study achievements can be credited. <sup>2</sup>Assessment components are completed by way of examinations in accordance with the examination regulations of the respective programme of study. <sup>3</sup>The average of the examinations must, weighted by the credit points thus acquired, achieve at least the grade "good". <sup>4</sup>Upon successful completion of the examinations, the examination evidence is to be submitted to the designated examiner to confirm. <sup>5</sup>The doctoral committee can recognize non-university achievements in the case of equivalence.
- (6) If a candidate wishes to pursue a doctorate in subject-specific pedagogy, having already passed second state examination will be recognized as a substitute for the achievements under para. 5 sentence 1 within the framework of the doctoral aptitude determination.
- (7) The applicant receives a certificate signed by the chairman of the doctoral commission stating that the doctoral aptitude assessment process has been passed.
- (8) On passing the doctoral aptitude determination process and meeting the requirements for acceptance for doctoral studies in accordance with § 7 of these statutes, the applicant will receive written confirmation of acceptance for doctoral studies from the faculty.

## § 11

### Application for admission to a doctoral process

- (1) <sup>1</sup>The application for admission to the doctoral process is to be submitted in writing to the Dean of the Faculty of Languages and Literatures. <sup>2</sup>The application must include:

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1. evidence of having been admitted to a doctorate,
  2. three identical copies of the dissertation according to § 13 para. 1 no. 2,
  3. the following affidavit: "I hereby declare under oath that I have prepared the present work without inadmissible help of others and without using any aids other than specified; ideas which have been taken directly or indirectly from other sources are designated as such.",
  4. a statement of the candidate that she or he has not already submitted the dissertation in another process for obtaining an scientific degree,
  5. a curriculum vitae of the candidate which provides information in particular about the educational background,
  6. an official certificate of good conduct, not older than three months; in the case of foreigners, a certificate recognised as equivalent by the University of Bayreuth must be submitted. This can be an extract from the criminal record of the home state, a certificate of character, or a comparable document. For members of the University of Bayreuth, a certificate of good conduct may be waived,
  7. a statement of the candidate regarding the examiner requested and, in some cases, the examination subjects chosen,
  8. if applicable, the notification regarding the approval of the doctoral committee to hold the oral examination in a foreign language.
  9. if necessary, applications according to §§ 25 and 26
  10. the supervisory agreement according to § 7 para. 1 no. 5,
  11. the electronic version of the dissertation and a declaration of consent from the candidate that the electronic version of the dissertation may be subjected to a separate review with respect to the independent completion of the dissertation while respecting her or his copyright and data privacy,
  12. a declaration of consent from the candidate that in the case of suspected scientific misconduct, investigation can take place by internal university bodies of the scientific self-regulation,
  13. a statement of the candidate as to whether against her or him investigation or criminal proceedings for a crime or deliberate offence are pending or she or he has been convicted or served a prison sentence for such an offense,
  14. a statement of the candidate that she or he has not made, nor will make use of any commercial doctoral consultants or agents.
- (2) 1The Dean checks whether the application for admission to the doctoral process fulfils the requirements specified in para. 1; thereby the decision made in accordance with § 7 is taken as binding basis. 2If this is not the case and the deficiencies are not remedied within a reasonable time set by the Dean, the Dean rejects the application as inadmissible. 3§ 4 para. 3 sentence 6 applies accordingly.

## § 12

### **Decision on admission to a doctorate and the doctoral examination process, cancellation**

- (1) Admission to a doctorate is to be denied if the requirements given in § 7 are not met.
- (2) Admission to the doctoral examination process is to be denied if
  1. the applicant has not been admitted to a doctorate or
  2. the documents required per § 11 are incomplete or
  3. the candidate has shown himself or herself to be unworthy of bearing the doctoral title due to his or her conduct.
- (3) <sup>1</sup>The doctoral committee decides on admission to the doctorate. <sup>2</sup>The doctoral committee may delegate this decision to the Dean; in these cases § 4 para. 3 sentence 6 applies accordingly. <sup>3</sup>The decision is taken within one month after receipt of the request.
- (4) <sup>1</sup>If the application for admission to the doctoral examination process meets the requirements set out in § 11, the Dean shall submit it to the doctoral commission with a written statement as to whether the admission requirements have been met. <sup>2</sup>In the doctoral examination process, the chairman of the doctoral commission shall ensure that the period from the application for admission to the doctoral examination process to the oral examination does not exceed four months.
- (5) <sup>1</sup>The doctoral candidate may withdraw from the doctoral programme at any time, unless an application for admission to the doctoral examination process has been submitted. <sup>2</sup>If she or he withdraws from the doctorate at a time when she or he has not yet received a negative decision on admission to the doctoral examination process, the dissertation is deemed not to have been submitted. <sup>3</sup>If the doctoral candidate or the document withdraws the application for admission after he or she has received a rejection decision on the dissertation or after he or she has begun the oral examination, the doctorate shall be deemed to have been completed without success. <sup>4</sup>The Dean shall issue a written decision to the doctoral candidate which must be substantiated and accompanied by instructions on the right of appeal. <sup>5</sup>The applications in sentences 1 to 3 shall be addressed to the Dean. <sup>6</sup>With the withdrawal from the doctorate, the supervisory agreement is deemed to have been cancelled.

## § 13 Dissertation

- (1) <sup>1</sup>The dissertation must be the candidate's own independent scientific achievement and contribute to the solution of scientific issues. <sup>2</sup>It must not have been published yet nor be identical to a previous composition. <sup>3</sup>The dissertation is to be written in German; in the modern languages subjects, in subjects that are directed exclusively to foreign cultures, and in other justified individual cases the doctoral committee can also permit a foreign language. <sup>4</sup>If the dissertation is written in a foreign language, a detailed summary in German is to accompany it.
- (2) <sup>1</sup>The dissertation must be submitted in typescript; it must be bound or stapled and paginated and also contain a table of contents and a summary which provides information on the problem and results. <sup>2</sup>The literature used as well as other resources are to be fully specified; all passages taken either verbatim or in adapted form from publications are to be indicated as such. <sup>3</sup>The dissertation must also be provided in electronic form to make it accessible for a separate review to faculty members authorised to examine in accordance with detailed rules of the doctoral committee. <sup>4</sup>The review must respect copyright and data privacy.

## § 14 Assessment of the dissertation

- (1) <sup>1</sup>Following the admission, the doctoral committee immediately appoints two assessors to assess the dissertation out of which one must be a professor of the faculty authorised to examine. <sup>2</sup>The supervisor of the work is usually the primary assessor; this also applies if the supervisor was appointed to another university. <sup>3</sup>The doctoral committee can appoint, as second or additional assessor, examiners from other faculties of the University of Bayreuth or other scientific institutions. <sup>4</sup>At least one assessor must represent or have represented the subject to which the topic of the dissertation belongs. <sup>5</sup>In the case of doctoral theses with universities of applied sciences/HAWs (§ 23), the dissertation will be supervised equally by the eligible instructors of the university of applied sciences/HAW, and the university and the supervisory agreement will be concluded jointly with the applicant. <sup>6</sup>Sentence 2 shall apply mutatis mutandis.
- (2) Each assessor submits a written assessment on the dissertation within a period of three months and proposes the acceptance or rejection of the dissertation as well as a grade according to § 17 para. 1.
- (3) <sup>1</sup>Instead of rejection, any assessor can propose to return the dissertation to the candidate for revision. <sup>2</sup>Each assessor can also propose to accept the dissertation with the

condition that the candidate makes changes or additions before publication; this must be sufficiently specified in the proposal.

- (4) The doctoral committee appoints another assessor, when the proposals of the assessors for the assessment of the dissertation differ by more than one grade, or if the assessors vary with regard to the acceptance or rejection of the dissertation, or if an assessor requests the appointment of an additional assessor.
- (5) <sup>1</sup>When all assessments are available, the dissertation and the assessments are made accessible to the authorised examiners of the faculty for two weeks on display in the Dean's Office. <sup>2</sup>The Dean informs the authorised examiners of the start of the display period in writing. <sup>3</sup>Within the display period they can submit an opinion on the assessments in writing or submit an assessment on the dissertation themselves.
- (6) <sup>1</sup>After the display period, the doctoral committee makes a decision, on the basis of the available assessments and possible comments according to para. 5 sentence 3, regarding the assessment of the dissertation. <sup>2</sup>If the dissertation is rated as "satisfactory" or better, it is accepted. If it is graded with the grade "unsatisfactory", it is rejected. <sup>3</sup>If the doctoral committee wants to rate the dissertation with the grade "with distinction" the committee requests an additional assessment from a professor authorised to examine, who is not a member of the University of Bayreuth. <sup>4</sup>Upon receipt of this assessment the doctoral committee makes a decision, on the basis of the available assessments and possible comments according to para. 5 sentence 3, regarding the assessment of the dissertation. <sup>5</sup>During the meeting of the doctoral committee the assessors and authorised examiners who have, according to para. 5 sentence 3, submitted an opinion or an assessment themselves, are given the opportunity to substantiate their opinion. <sup>6</sup>The doctoral committee can propose the acceptance of the dissertation with the condition that the candidate makes, before publication, changes or additions, which must be sufficiently specified; in this case it appoints assessors to check the fulfilment of the condition.
- (7) <sup>1</sup>The doctoral committee can, before deciding on the assessment of the dissertation, appoint one or more additional assessors. <sup>2</sup>In this case the continuation of process is governed by paras. 2, 3, 5, and 6.
- (8) <sup>1</sup>If the dissertation is rejected, the candidate may submit a new dissertation within one year of the notification of rejection; on request of the candidate, the Dean can extend this period once by a maximum of one year. <sup>2</sup>The subsequent process is governed by paras. 1 to 7. <sup>3</sup>If the candidate fails to submit a new dissertation on time or the new dissertation is also rejected, the doctoral process is ended without success; § 12 para. 3 sentence 2 applies accordingly.

- (9) <sup>1</sup>The doctoral committee can return the dissertation, which would otherwise have to be rejected, to the candidate for revision. <sup>2</sup>The candidate may also submit a new dissertation in place of the revision. <sup>3</sup>The candidate must submit a new dissertation within one year after the return of the dissertation; on request of the candidate, the Dean can extend this period once by a maximum of one year. <sup>4</sup>A revised dissertation is assessed by the assessors appointed for the original dissertation if they are still available; moreover paras. 1 to 7 apply. <sup>5</sup>If the candidate does not submit the new or reworked dissertation on time, or the reworked or new dissertation is also rejected, the doctoral process is ended without success; § 12 para. 3 sentence 2 applies accordingly.

## **§ 15**

### **The oral examination**

At the choice of the candidate, the oral examination will be taken as a thesis defence in one of the subjects listed in the annex.

## **§ 16**

### **The thesis defence**

- (1) <sup>1</sup>The thesis defence is a collegial individual examination. <sup>2</sup>It should show whether the candidate has developed further understanding of her or his field of study and related subject areas and can apply the fundamental methods and theories of her or his subject appropriate.
- (2) <sup>1</sup>The Chairperson of the doctoral committee sets the date of the thesis defence in consultation with the assessor and invites
- the candidate,
  - the assessors,
  - the members of the doctoral committee,
  - the university instructors of the faculty,
- in writing and announces the date within the university. <sup>2</sup>The candidate is to be invited in writing at least fourteen days before the thesis defence.
- (3) <sup>1</sup>The Chairperson of the doctoral committee directs the thesis defence and ensures the proper procedure. <sup>2</sup>The two assessors usually act as examiners. <sup>3</sup>In justified cases the Chairperson can appoint a substitute examiner. <sup>4</sup>All other university instructors present have a right to ask questions. <sup>5</sup>The thesis defence usually takes two hours. <sup>6</sup>Minutes shall be kept for the examination.
- (4) <sup>1</sup>In the thesis defence, the dissertation is publicly defended. <sup>2</sup>The candidate opens the dissertation with a presentation of up to twenty minutes, in which she or he presents the

results of her or his dissertation. <sup>3</sup>The thesis defence covers the field of the dissertation and moreover selected problems of the subject and related fields of other subjects.

- (5) <sup>1</sup>Following the thesis defence the two examiners determine, in consultation with the chairperson of the doctoral committee in camera, the oral examination grade. <sup>2</sup>Each assessor proposes a grade according to § 17 para. 1. <sup>3</sup>The thesis defence is passed if both examiners have at least awarded the grade "satisfactory". <sup>4</sup>If the grading of the examiners differ it is to attempt, in consultation with the chairperson of the doctoral committee, to reach an agreement. <sup>5</sup>If this is not possible the chairperson of the doctoral committee determines the grade.
- (6) <sup>1</sup>If the thesis defence is failed, the Dean issues the candidate a written notification, which is to be substantiated and accompanied with information on their right to appeal. <sup>2</sup>The candidate can repeat the failed thesis defence once. <sup>3</sup>The request for repetition must be submitted to the Dean within one year of notification of having failed the thesis defence; upon request, the Dean may extend this deadline for special reasons beyond the doctoral student's control. <sup>4</sup>If the doctoral candidate does not request the repetition of the thesis defence in due time or does not pass the thesis defence even during the repetition, the doctoral examination process shall be terminated without success; sentence 1 shall apply mutatis mutandis.
- (7) The doctoral process is deemed as ended without success if the candidate does not appear for the thesis defence or withdraws from the thesis defence after it begins for reasons for which he is responsible; § 12 para. 3 sentence 2 applies accordingly.

## § 17

### Assessment of the doctoral work, overall grade

- (1) The dissertation and the performance in the oral examination are assessed and given one of the following grades respectively:
- |                       |   |                    |
|-----------------------|---|--------------------|
| with distinction (0)  | = | "summa cum laude", |
| very good (1,0)       | = | "magna cum laude", |
| good (2,0)            | = | "cum laude",       |
| satisfactory (3,0)    | = | "rite",            |
| unsatisfactory (4.0). |   |                    |
- (2) <sup>1</sup>The overall grade of the doctorate will be determined by the Dean; it is calculated as the arithmetic mean of the grade of the dissertation and the overall grade of the thesis defence, where the grade of the dissertation is weighted double. <sup>2</sup>Two decimal places will be considered without rounding. <sup>3</sup>In this case, the result is an average of 0.00 to 0.49 the grade "summa cum laude", 0.50

to 1.49 the grade "magna cum laude", 1.50 to 2.49 the grade "cum laude", 2.50 to 3.49 the grade "rite".

- (3) <sup>1</sup>After the determination of the overall grade of the doctorate, the Dean issues an examination certificate to the candidate. <sup>2</sup>It contains the overall grade, the grade of the dissertation and the overall grade of the thesis defence. <sup>3</sup>The certificate is signed by the Dean with the date of the day of the last examination; it does not constitute a doctoral degree.

## **§ 18**

### **Inspection of records**

<sup>1</sup>After receipt of the examination certificate pursuant to § 17 para 3 or after the unsuccessful completion of the doctoral examination process, the doctoral candidate may inspect the doctoral documents. <sup>2</sup>The Dean determines the time and place of inspection. <sup>3</sup>The application shall be submitted to the Dean of the Faculty of Languages & Literatures within one month of receipt of the examination certificate in accordance with § 17 para 3 or the unsuccessful completion of the doctoral process. <sup>4</sup>In these and other cases in which a request for inspection is made, the inspection procedure shall be governed by Art. 29 ff. BayVwVfG.

## **§ 19**

### **Invalidity**

- (1) If the candidate has cheated in his doctoral work, the doctoral committee declares the doctoral examination as failed; if the doctoral process is not yet completed, they thus end it.
- (2) <sup>1</sup>If the deception only becomes known after the issuing of the certificate, the doctoral committee can subsequently declare the doctoral examination as failed. <sup>2</sup>The revocation of a doctoral degree is subject to the legal regulations (article 48 Bavarian Administrative Procedures Act - BayVwVfG - in the currently applicable version).
- (3) If the requirements for admission to the doctorate were not fulfilled without the candidate intending to deceive, and if this fact only becomes known after the issuing of the certificate, this deficiency is remedied by passing the doctoral examination.
- (4) <sup>1</sup>Upon suspicion of scientific misconduct, the doctoral committee only takes a decision after the Committee for Academic Self-Regulation has submitted its report. <sup>2</sup>If the doctoral committee, in



special cases, has already decided in advance, further consideration is not affected by the Committee for Academic Self-Regulation. <sup>3</sup>A renouncement of the doctoral degree is no longer possible if the doctoral committee or the Committee for Academic Self-Regulation has already started the investigation regarding the question of scientific misconduct.

- (5) <sup>1</sup>Moreover, the withdrawal of admission to the doctoral process and revoking of the doctoral degree is governed by article 69 BayHSchG in conjunction with the relevant regulations of the BayVwVfG. <sup>2</sup>The doctoral committee is responsible for the decision.
- (6) <sup>1</sup>In the cases of paras. 1, 2, and 4 the person concerned must be given opportunity to comment before the decision is taken (article 28 BayVwVfG). <sup>2</sup>An adverse decision is to be justified and accompanied with information on the right to appeal.

## § 20

### Reproduction of the dissertation and delivery of deposit copies

- (1) <sup>1</sup>The candidate must make the dissertation available to the scientific community by reproduction and dissemination. <sup>2</sup>Before reproduction, she or he must supply the Dean with a copy of the dissertation in order to get reproduction authorisation; if necessary, she or he must include a confirmation of the assessor in (§ 14 para. 6 sentence 6) that the condition of amending or supplementing the dissertation has been fulfilled.
- (2) Within two years after issuing of the certificate the candidate must deliver 40 deposit copies in book or photo print and an electronic version - on a suitable data medium - with a CV attached, free of charge to the faculty.
- (3) <sup>1</sup>If the dissertation is published in full in a magazine or a commercial publisher will distribute the full dissertation via bookstores, the candidate can deliver five copies of the publication with a CV attached, instead of the deposit copies referred to in para. 2. <sup>2</sup>In these cases, a minimum circulation of 150 copies must be proven; furthermore the publication  
as a dissertation, stating the dissertation location must be clearly indicated at a suitable place. <sup>3</sup>The dissertation can also be published in electronic form with the data format and data medium agreed with the university library.
- (4) With the deposit copies, the candidate has to submit a written statement that the content of the deposit copies corresponds to the version for which the reproduction was authorised.
- (5) On request of the candidate, the doctoral committee may authorise the dissertation to be published in a foreign language.

- (6) The doctoral candidate transfers to the University of Bayreuth in writing the right to publish - also in data networks - his/her name, the subject of the dissertation, the abstract, the day of submission, and the day of the thesis defence, as well as the right to produce and distribute further copies of his/her dissertation in the event that he/she has chosen a type of publication in accordance with para. 2.
- (7) The Dean may extend the deadline for submission of the deposit copies at the request of the candidate.
- (8) Should the candidate miss the deadline for submission of the deposit copies, all the rights gained by the successful completion of the examination process are forfeited; § 12 para. 3 sentence 2 applies accordingly.

## § 21

### Diploma and completion of the doctorate

- (1) <sup>1</sup>If the requirements set out in § 20 are met, the doctoral candidate shall receive a diploma of having passed the doctoral examination. <sup>2</sup>In the case of doctorates with universities of applied sciences/ HAWs (§ 23), the diploma must also include the university of applied sciences/ HAW involved.
- (2) <sup>1</sup>The diploma shall be drawn up in German and shall contain
- the name of the university and the faculty,
  - the first and last names of the graduate, date and place of birth,
  - the academic degree awarded
  - the title of the dissertation,
  - the date of the oral examination,
  - the overall grade for the doctorate,
  - the name and signature of the President of the University of Bayreuth and the Dean of the Faculty,
  - the seal of the University of Bayreuth.
- <sup>2</sup>The date of issue of the certificate shall be the date of the thesis defence. <sup>3</sup>In addition, an English translation will be provided.
- (3) <sup>1</sup>The diploma shall be presented by the Dean together with its English translation. <sup>2</sup>Upon delivery, the doctorate is completed and finalized; the doctoral candidate thereby acquires the right to hold the academic degree of "Doktor der Philosophie" or "Doktorin der Philosophie" (Dr. phil.).
- (4) Upon request, the doctoral diploma can be issued ahead of schedule after a successful oral examination, if the doctoral candidate submits a text of the dissertation approved by the reviewers for reproduction in a file format suitable for online publication as agreed

with Bayreuth's University Library and grants Bayreuth's University Library the right to publish this text, if he or she he or she does not fulfil his or her obligation to reproduce the dissertation and submit the deposit copies within the deadlines specified in § 20 paras. 2 and 7; § 20 para. 8 does not apply in this case.

- (5) The Dean may allow the candidate to bear a doctoral title for a limited period before the issuing of the diploma if the candidate has fulfilled the conditions specified in § 20, and if the issuing of the diploma is delayed, or if the publication of the dissertation and the delivery of the deposit copies is adequately ensured by a binding declaration of the publisher.

## § 22

### Doctorate under joint supervision with a foreign educational institution

- (1) A doctoral process together with a foreign educational institution presupposes that:
1. the candidate meets the requirements for admission to a doctorate and to the doctoral examination process according to the present doctoral regulations (§§ 7 and 11) and the corresponding regulations in place at the partner institution,
  2. the foreign educational institution has the right to award doctorates under their national law and the academic degrees which they award are recognized within the Higher Education Framework Act,
  3. an agreement is made for the implementation of the joint doctoral process with the foreign educational institution, which the Faculty Council must approve.
- (2) <sup>1</sup>According to the detailed regulations of the agreement according to para. 1 no. 3, the leadership of the process can be either at the Faculty of Languages and Literatures of the University of Bayreuth or at the foreign educational institution. <sup>2</sup>The agreement must contain provisions regarding the number of copies of the thesis to be submitted (§ 11) and the deposit copies to be submitted in the event of success (§ 20); the agreement may contain a stipulation pursuant to § 21 para. 4. <sup>3</sup>The candidate receives a copy of the agreement.
- (3) <sup>1</sup>The dissertation is to be submitted to the lead institution. <sup>2</sup>§ 12 remains unaffected. <sup>3</sup>A dissertation, which was submitted and adopted or rejected prior to the conclusion of an agreement according to para. 1 no. 3 at one of the participating educational institutions, cannot be the subject of a joint doctoral process.
- (4) <sup>1</sup>The lead institution appoints assessors for the dissertation. <sup>2</sup>At least one assessor must belong to the Faculty of Languages and Literatures of the University of Bayreuth. <sup>3</sup>If the assessments are not written in German or English language, the lead institute organises the submission of translations in one of these languages. <sup>4</sup>Upon receipt of the

assessments, they, together with the dissertation are submitted to the two educational institutions. <sup>5</sup>Each of the educational institutions decides independently whether to accept the work and its assessment; § 14 paras. 5 to 7 are not affected. <sup>6</sup>If one of the two educational institutions rejects the dissertation, the joint process is ended. <sup>7</sup>If the dissertation is only rejected by the foreign educational institution, the process at the University of Bayreuth is continued under the general rules of these doctoral regulations.

- (5) <sup>1</sup>If the dissertation has been accepted by both institutions, the oral examination is held at the lead institution. <sup>2</sup>An equal participation of both institutions in the doctoral committee is to be ensured; this can be done by equal representation, or weighting of votes. <sup>3</sup>For the vote of the representatives of the University of Bayreuth § 16 para. 5 applies. <sup>4</sup>If the University of Bayreuth is in charge of the project, the university instructors of the foreign educational institution may also be invited, notwithstanding § 16 para 2. <sup>5</sup>If the representatives of one of the two institutions refuse to accept the oral examination component, the joint examination process shall be terminated; paragraph 4 sentence 7 shall apply mutatis mutandis.
- (6) <sup>1</sup>Upon successful completion of the doctoral process in joint supervision with a foreign educational institution, notwithstanding § 21, a doctoral certificate signed by both institutions is issued, from which it is apparent that it is a doctorate for scientific achievement, awarded jointly by the participating institutions. <sup>2</sup>The agreement, according to para. 1 no. 3, ensures that in the case of a foreign diploma being awarded, a reference to the joint doctoral process with the University of Bayreuth is included.
- (7) Instead of a joint diploma, individual diplomas of the University of Bayreuth and the partner institution can be used, which clearly show that both diplomas together constitute a joint doctoral diploma.

### **§ 23**

#### **Cooperation with universities of applied sciences and art schools**

- (1) The University of Bayreuth's Faculty of Languages & Literatures enables the cooperative realisation of doctorates with universities of applied sciences/HAWs and/or joint doctorates with Bavarian universities of applied sciences/HAWs on the basis of the Agreement of the Bavarian Universities of Applied Sciences of 19 October 2015 within the framework of the regulations of these doctoral regulations.
- (2) Further arrangements may be made through cooperation agreements between the higher education institutions.

**§ 24**  
**Honorary doctorate**

- (1) 1For exceptional scientific or artistic achievements the faculty can award an honorary doctorate. 2The honorary doctorate procedure is initiated upon a justified application by at least one third of the university lecturers in accordance with Art. 2 para 1 sentence 1 numbers 1 and 2 BayHSchPG of the faculty.. 3The request is to be made to the Dean. 4She or he arranges a meeting of the extended doctoral committee.
- (2) 1The doctoral committee appoints at least two professors to assess the exceptional scientific or artistic achievement of the person to be honoured. 2When the assessments are available, it submits them, together with the application and its own comments to the Faculty Council.
- (3) The Faculty Council decides on the merits of the application, the assessments and comments of the extended doctoral committee regarding the awarding of the honorary doctoral degree.
- (4) 1The President and Dean make the award of an honorary doctoral degree by presenting a diploma to the individual being honoured. 2In the diploma, the scientific achievement of the honoured person is to be commended.

**§ 25**  
**Consideration of special life situations**

- (1) 1The utilization of protection periods under the Maternity Protection Act (MuSchG) shall be ensured. 2Upon application, the use of parental leave in accordance with the Federal Parental Allowance and Parental Leave Act (BEEG) as well as periods for the care of a close relative within the meaning of § 7 para 3 of the Nursing Care Leave Act (PflegeZG) who is in need of care within the meaning of § 14 and §15 of the Eleventh Book of the German Social Code (SGB XI) shall be guaranteed.3The relevant documents are to be presented; changes in the conditions are to be notified immediately.
- (2) 1In the calculation of periods, intervals, during which the doctoral project cannot, or only to a very limited extent, be worked on, for reasons beyond the candidate's control, will not count. 2The relevant documents are to be presented; in particular medical certificates are to be submitted. 3Changes in the conditions are to be notified immediately.

**§ 26**  
**Consideration of the special needs of disabled**

1In order to safeguard their equal opportunities, due regard is to be given to the special situation of disabled candidates. 2The doctoral committee decides, upon written request of the candidate, according to the severity of the disability, in what form a disabled candidate undergoes examination or grants a working time extension. 3Proof of disability with regard to examination is to be submitted by the candidates in the form of a medical certificate which indicates that he is unable, because of a prolonged or permanent disability, to take the examination wholly or partially in the normal form. 4The application must accompany the application for admission to a doctorate. 5If the application is submitted later, it only applies for future examinations.

## **§ 27**

### **Coming into effect, transitional stipulations**

- (1) These doctoral regulations shall enter into force on 16 September 2017; at the same time the doctoral regulations for the Faculty of Languages & Literatures dated 20 January 2014 (AB 2014/No. 005) shall cease to apply.\*)
- (2) Doctoral examination processes to which applicants have already been admitted at the time of the entry into force of the present doctoral regulations shall be completed at the applicant's request in accordance with the regulations which were legally valid for them before the entry into force of the present regulations.
- (3) Doctoral candidates who complete their doctorate in accordance with paragraph 2 shall be registered online in accordance with § 7 para 5, and their personal data shall be collected and processed under the conditions set out in § 8.
- (4) For applicants who have already received a confirmation from a supervisor before these doctoral regulations come into force, the provisions of these statutes apply with the following provisos:
  - confirmation from the supervisor takes the place of the supervisory agreement to be concluded in accordance with § 9 of the present regulations
  - The further prerequisites for acceptance for a doctorate pursuant to § 7 must be proven by these doctoral candidates with the application for admission to the doctoral examination process pursuant to § 11.

\*) The second set of amendments includes the following effective date provisions:

The present regulations shall become effective on 26 January 2021.

## ANNEX

### List of doctoral subjects

African Studies

*[Department of English & American Studies:]*

English Linguistics

English Literature and Cultural Studies

American Studies

Arabic Studies

*[Department of German Studies:]*

German Linguistics and Dialectology

Modern German Literature

Didactics of the German Language and Literature

Classical German Philology

Intercultural German Studies (German as a foreign language)

Islamic Studies

General and Comparative Literary Studies

Literatures in African Languages

*[Department of Media Studies:]*

Media Studies

Computer Game Studies

Musicology

*[Department of Romance Studies:]*

Romance Linguistics

Romance Literature

Theatre Studies with a special emphasis on Music Theatre Studies

***The University of Bayreuth is not liable for inaccuracies or mistakes in this English translation.***

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***In case of doubt, the German originals are to be used in a court of law.***

*Drawn up by Unit I of the Central University Administration, University of Bayreuth*