

**Doctoral regulations  
for the Bayreuth International Graduate School  
of African Studies (BIGSAS)  
in the Cluster of Excellence Africa Multiple  
at the University of Bayreuth  
dated 15 February 2021  
as amended on 30 March 2023**

Article 13 para 1 sentence 2 clause 2 in conjunction with Article 64 para 1 sentence 5 of the Bavarian Higher Education Act (*BayHSchG*) forms the framework for the following doctoral regulations of the Bayreuth International Graduate School of African Studies (BIGSAS) at the Institute of African Studies.

## Contents

§ 1	Objectives of the Bayreuth International Graduate School of African Studies (BIGSAS) .....	3
§ 2	Academic degree .....	3
§ 3	Doctorate in Law, Business & Economics .....	4
§ 4	Requirements for acceptance for doctoral studies at BIGSAS .....	5
§ 5	Aptitude assessment process and admission to BIGSAS .....	6
§ 6	Supervision and Individual Research and Supervision Plan .....	7
§ 7	Examining body .....	9
§ 8	Reviewers, examiners .....	9
§ 9	Application for admission to the doctoral examination process, admission requirements .....	10
§ 10	Statistical requirements .....	11
§ 11	Decision on admission to the doctoral examination process .....	12
§ 12	Dissertation .....	12
§ 13	Assessment of the dissertation .....	13
§ 14	Viva voce .....	15
§ 15	Assessment of doctoral performance, overall grade .....	17
§ 16	Cooperation with universities of applied science (HAW) .....	18
§ 17	Doctorate in joint supervision with a foreign partner institution .....	18
§ 18	Access to files .....	19
§ 19	Invalidation .....	20
§ 20	Reproduction, deposit copies .....	20
§ 21	Diploma and completion of the doctorate .....	21
§ 22	Honorary doctorate .....	22
§ 23	Consideration of protective provisions .....	22
§ 24	Consideration of the special needs of disabled or chronically ill persons and persons in extenuating life circumstances .....	23
§ 25	Transitional provisions, effective date .....	23

## § 1

### Objectives of the Bayreuth International Graduate School of African Studies (BIGSAS)

1The Bayreuth International Graduate School of African Studies (BIGSAS) is incorporated across faculties and disciplines in the field of African studies and, in accordance with § 9 para 2 of the Regulations of the Cluster of Excellence Africa Multiple, is responsible for the training of doctoral researchers and for the implementation of doctoral procedures. 2According to § 15 para 2 of the University of Bayreuth's Constitution in the version of the Eleventh Set of Amendments dated 5 April 2019, it is part of the Cluster of Excellence Africa Multiple. 3The aim of BIGSAS is to offer young scholars, in addition to their research work, an excellent education which enables them to meet future requirements in the various areas of Africa-related research and to contribute creatively to the further development of scientific concepts. 4BIGSAS offers structured and intensive supervision during the doctorate, which is to be carried out primarily in Bayreuth. 5This combines doctoral students' academic qualifications with the teaching of career-relevant skills.

## § 2

### Academic degree

- (1) 1The University of Bayreuth awards the following academic degrees by way of BIGSAS in accordance with the present doctoral regulations

1. *Doktorin der Philosophie / Doktor der Philosophie* (abbreviated as Dr. phil.) and
2. *Doktorin der Naturwissenschaften / Doktor der Naturwissenschaften* (abbreviated as Dr. rer. nat.)

2The doctoral degree may also be awarded jointly with a foreign university/faculty on the basis of a doctorate carried out jointly in accordance with § 17.

- (2) 1If the supervisor in accordance with § 7 para 1 sentence 4 belongs to the Faculty of Biology, Chemistry & Earth Sciences or the Faculty of Languages & Literatures or the Faculty of Humanities & Social Sciences, the supervisor will be involved in the doctoral process. 2The individual provisions are governed by § 11 para 2 sentence 2, § 13 para 5 sentences 5 and 6, § 14 para 2 sentence 1 number 6, and § 21 para 2 sentence 3.

- (3) 1The doctoral performance consists of a scholarly paper (dissertation) written independently by the doctoral researcher and the defence of the dissertation in the context of a viva voce examination. 2The dissertation can take the form of a monograph or a cumulative dissertation consisting of at least three individual papers. 3The details are governed by § 12. 4The award of the academic degree depends on the faculty affiliation of the supervisor of the doctoral thesis.

- (4) <sup>1</sup>The dissertation should demonstrate the doctoral researcher's ability to carry out independent and advanced scholarly work. <sup>2</sup>In the viva voce, the candidate is to demonstrate an appropriate level of knowledge in the subject of his or her dissertation and related fields as well as the appropriate application of the methods and theories essential to his or her subject.
- (5) Insofar as decisions adversely affecting a person are to be made in accordance with the following provisions, these must be justified to the applicant and the doctoral researcher and must be accompanied by information on how to appeal.
- (6) With regard to the exclusion of a committee member due to personal involvement or apprehension of bias, Article 51 para 2 BayHIG applies.

### **§ 3**

#### **Doctorate in Law, Business & Economics**

- (1) <sup>1</sup>BIGSAS is also open to persons who wish to pursue a doctorate in the fields of law, business, and economics. <sup>2</sup>In these cases, the doctoral regulations for the University of Bayreuth's Faculty of Law, Business & Economics of the University of Bayreuth will apply starting on the date of the new version (as amended).
- (2) <sup>1</sup>§ 4 to § 6 will apply insofar as they do not conflict with the doctoral regulations of the Faculty of Law, Business & Economics. <sup>2</sup>The supervisor according to § 6 para 1 sentence 4 should, if possible, be identical with the supervisor of the dissertation according to § 7 para 1 sentence 3 of the doctoral regulations for the Faculty of Law, Business & Economics.
- (3) <sup>1</sup>A certificate of membership in BIGSAS and the associated activities can be issued upon presentation of the diploma for successful completion of the doctoral examination in the Faculty of Law, Business & Economics (§ 18 para 1 of the Doctoral Regulations for the Faculty of Law, Business & Economics), as well as proof of other achievements. <sup>2</sup>Proof of having passed the doctoral examination is equivalent to permission to use the doctoral degree for a limited period of time according to § 18 para 4 of the doctoral regulations for the Faculty of Law, Business & Economics. <sup>3</sup>The certificate is issued in German, with an additional English or French translation. <sup>4</sup>It must be signed by the head of BIGSAS.

## § 4

### Requirements for acceptance for doctoral studies at BIGSAS

- (1) <sup>1</sup>For acceptance for doctoral studies and admission to BIGSAS, the applicant must meet the following requirements:
1. he or she must have a higher education entrance qualification according to BayRS 2210-1-3-UK/WFK (as amended),
  2. he or she must have completed a subject-related higher education degree in the Federal Republic of Germany with a *Diplom*, *Magister*, master's degree, or state examination and a grade of at least "good" (in the case of a state examination in law, with a grade of at least "fully satisfactory"), or have an equivalent foreign degree,
  3. he or she must have successfully participated in the aptitude assessment process according to § 5,
  4. he or she must not have already failed the doctoral examination on the final attempt in accordance with the present doctoral regulations or a similar doctoral examination,
  5. he or she must not have shown himself or herself to be unworthy of holding a doctoral degree by his or her conduct, and
  6. he or she must have concluded a written supervision agreement with a lecturer authorized to conduct examinations, in which the framework conditions of the doctoral relationship (in particular confirmation of the supervisor with regard to the supervision of the dissertation, dissertation topic, planned essential procedure of the dissertation, as well as the financing of the doctoral phase) are specified; there is no entitlement to the conclusion of a supervision agreement.
- <sup>2</sup>The requirements described in sentence 1 number 2 is also deemed to be fulfilled if the applicant can prove that he or she has completed a subject-related higher education degree with a baccalaureate/bachelor's degree examination and an overall grade of "very good", whereby a thesis was written as part of the baccalaureate/bachelor's degree examination which was assessed with the grade of "very good", as well as a degree programme of at least two semesters in a subject-related master's programme.
- (2) <sup>1</sup>Examinations and coursework completed at foreign universities will be recognized by the BIGSAS Steering Committee on request as a prerequisite for qualification, unless they are not equivalent to one of the degrees mentioned in para 1 number 2 or para 2. <sup>2</sup>Equivalence agreements approved by the Standing Conference of the Ministers of Education and Cultural Affairs of the *Länder* and the German Rectors' Conference must be observed. <sup>3</sup>If such equivalence agreements do not exist, the Steering Committee may request an opinion from the Central Office for Foreign Education of the Standing Conference of the Ministers of Education and Cultural Affairs of the *Länder* in the Federal Republic of Germany. <sup>4</sup>The applicant

may apply for recognition of examination results obtained abroad before submitting the application for acceptance to BIGSAS.

- (3) <sup>1</sup>The necessary proof that the requirements for acceptance have been met and a declaration by the applicant that he or she has not already been accepted for a doctorate at another university or another doctoral institution of the University of Bayreuth with the same subject focus must be submitted to the Steering Committee. <sup>2</sup>The latter decides on acceptance for doctoral studies and admission to BIGSAS.
- (4) With the application for acceptance for doctoral studies, online registration as an applicant at BIGSAS takes place.
- (5) <sup>1</sup>The doctorate begins with the written confirmation of the acceptance for the doctorate and the admission to BIGSAS by the chairperson of the BIGSAS Steering Committee. <sup>2</sup>If acceptance for doctoral studies is denied, § 2 para 5 applies.

## **§ 5**

### **Aptitude assessment process and admission to BIGSAS**

- (1) <sup>1</sup>Suitability for acceptance for doctoral studies and admission to BIGSAS requires outstanding academic qualifications in the relevant subject, but on this basis also the already visible willingness and ability to deal with interdisciplinary theoretical and methodological issues. <sup>2</sup>In preparation for the aptitude assessment process, a rapporteur from the applicant's subject area (subject-specific rapporteur) appointed by the Steering Committee provides a non-binding vote regarding suitability. <sup>3</sup>If the application has a reasonable chance of success on the basis of the documents to be submitted in accordance with para 2 and the vote of the rapporteur, the rapporteur, in consultation with the potential academic supervisor, invites the applicant to an academic interview lasting approximately half an hour. <sup>4</sup>He or she also invites the potential scientific supervisor, a representative of the Cluster's Office for Gender and Diversity, and the representative of the doctoral students on the BIGSAS Steering Committee. <sup>5</sup>The interview can also take place digitally outside the premises of the University of Bayreuth with the help of telecommunication-capable terminals; the prerequisite is the consent of the applicant and compliance with data protection regulations. <sup>6</sup>The rapporteur prepares a detailed written report on the interview, which concludes with a recommendation for acceptance or denial. <sup>7</sup>In the event of a tie, the rapporteur will have the casting vote. <sup>8</sup>The decision on acceptance for doctoral studies and suitability for admission to BIGSAS is made by the Steering Committee on the basis of the documents submitted.
- (2) <sup>1</sup>The following documents in German, English, or French must be submitted with the application:
  1. Curriculum vitae with a detailed description of the applicant's academic career;

2. Cover letter;
  3. Proof of higher education entrance qualification;
  4. Copies of all degree certificates awarded to the applicant by a higher education institution;
  5. Self-certification by the applicant that he or she has neither been accepted for a doctorate at another university nor is enrolled at another university or university of applied science;
  6. List of publications, if applicable;
  7. Description of the content of the dissertation project (max.10 pages) as well as a one-page summary of the dissertation project in English;
  8. Final thesis and, if applicable, other academic papers which provide information about the applicant's qualifications;
  9. Letters of recommendation from two university lecturers providing information about the applicant's qualifications and scientific potential.
- (3) <sup>1</sup>The outcome of the aptitude assessment process is to be sent to the applicant in writing. <sup>2</sup>After successfully passing the aptitude assessment process and fulfilling the requirements according to § 4 para 1 sentence 1 numbers 2 - 6, the applicant will receive written confirmation of acceptance for doctoral studies from the chairperson of the Steering Committee. <sup>3</sup>In the event of a negative decision, § 2 para 5 shall apply. <sup>4</sup>A record is to be made of the course of the aptitude assessment process. <sup>5</sup>The aptitude assessment process may be repeated once. <sup>6</sup>A further repetition is not permitted.
- (4) Doctoral researchers accepted into BIGSAS may be enrolled as doctoral students.
- (5) Delegating the tasks incumbent on the Steering Committee to the head of BIGSAS on the basis of this provision is not permitted.

## **§ 6**

### **Supervision and Individual Research and Supervision Plan**

- (1) <sup>1</sup>BIGSAS combines the advantages of individual supervision and team support. <sup>2</sup>The members support the doctoral researcher in the planning and implementation of his or her research project as well as with regard to his or her personal development and career prospects. <sup>3</sup>If he or she does not yet have a supervisor, one will be appointed by the Steering Committee for each doctoral researcher. <sup>4</sup>In consultation with the doctoral researcher, the supervisor chooses

two additional mentors who, together with the supervisor, form the Mentoring Group. <sup>5</sup>Upon request, a new supervisor may be appointed once by the Steering Committee.

- (2) <sup>1</sup>Within three months after acceptance for the doctorate and admission to BIGSAS, the doctoral candidate, in collaboration with his/her supervisor, specifies the content of the supervisory agreement by developing an Individual Research Training Plan (IRTP) tailored to the doctoral student's research project. <sup>2</sup>This aims to ensure the teaching of academic and career-oriented skills. <sup>3</sup>Subsequent changes to the Individual Research and Supervision Plan require the consent of the supervisor. <sup>4</sup>Further details are governed by the Code of Doctoral Studies and Mentorship of BIGSAS.

- (3) <sup>1</sup>The supervisor may terminate the supervisory relationship in particular if

1. the doctoral researcher subsequently proves to be unsuitable;
2. despite sufficient supervision, it becomes apparent after a sufficiently long processing time that a successful completion of the doctoral process can no longer be expected within a reasonable period of time

*or*

3. the basis of trust in the supervisory relationship is destroyed and cooperation no longer appears possible.

<sup>2</sup>The same applies to the doctoral researcher. <sup>3</sup>With the termination of the supervisory relationship, the doctoral candidate leaves BIGSAS, unless another supervisory relationship is established. <sup>4</sup>Prior to termination, the mentors and the Steering Committee shall be involved, stating the reasons, and shall be given the opportunity to comment. <sup>5</sup>In the case of no. 3, the Steering Committee may, depending on the situation in the individual case, take the appropriate measures for the amicable continuation

of the supervisory relationship (e.g. carrying out conflict counselling); § 4 para 1 sentence 1 number 6 and § 6 para 1 sentence 5 shall apply accordingly.

- (4) In the case of doctorates with universities of applied science/HAWs (§ 16), the dissertation is supervised equally by the participating teaching staff of the university of applied science/HAW and the university who are authorized to administer examinations, and the supervisory agreement and the individual research and supervision plan are concluded jointly by them and the doctoral researcher.



## **§ 7**

### **Examining body**

- (1) <sup>1</sup>The doctoral regulations are implemented by the Steering Committee and the Examination Committee. <sup>2</sup>The members of the Steering Committee and its decision-making procedure are set out in § 6 of the BIGSAS regulations dated 31 August 2019 (as amended).
- (2) <sup>1</sup>The head of BIGSAS ensures that the provisions of the present doctoral regulations are followed. <sup>2</sup>His or her more detailed duties and powers are set out in § 5 of the BIGSAS regulations dated 31 August 2019 (as amended).
- (3) The academic supervisors as well as the procedure of appointment and dismissal of academic supervisors result from the regulations on membership in § 3 of the BIGSAS regulations dated 31 August 2019 (as amended).
- (4) <sup>1</sup>The Examination Committee performs the duties assigned to it in the present doctoral regulations. <sup>2</sup>It is appointed by the Steering Committee immediately after the start of the doctoral examination process in accordance with § 11 para 3 sentence 2 on the recommendation of the chairperson of the Steering Committee and is made up of the supervisor appointed in accordance with § 6 para 1 sentence 3 or sentence 5 and at least two other members of BIGSAS who are authorized to administer examinations. <sup>3</sup>The Examination Committee elects a chairperson from among its members, who may not be the supervisor at the same time. <sup>4</sup>In the event of a tie, the chairperson of the Examination Committee will have the casting vote.

## **§ 8**

### **Reviewers, examiners**

<sup>1</sup>Lecturers qualified to administer examinations (Art. 85 para. 1 BayHIG) in accordance with the present doctoral regulations are full-time and part-time university lecturers (Art. 19 para. 1 sentences 1 and 3 BayHIG), professors who have been relieved of their duties or who are retired (Art. 19 para. 1 sentence 4 BayHIG) as well as other lecturers of BIGSAS who are authorised to administer examinations in accordance with § 4 of the Higher Education Examination Regulations (HSchPrüferV). <sup>2</sup>Teaching staff from other German or foreign universities may also be appointed as examiners, provided that they fulfil the qualification requirements specified in Art. 85 para 1 BayHIG in conjunction with § 4 HSchPrüferV. <sup>3</sup>In particular, foreign scholars who come from countries which, according to their higher education regulations, do not have "Habilitation" status, but who can demonstrate many years of experience in the independent performance of tasks in research and teaching, are considered to be eligible to administer examinations. <sup>4</sup>In addition, § 16 applies to

doctoral degrees awarded jointly with universities of applied science/HAWs, and § 17 applies in the context of binational doctoral degrees.

## **§ 9**

### **Application for admission to the doctoral examination process, admission requirements**

(1) <sup>1</sup>The application for admission to the doctoral examination process must be submitted in written form to the chairperson of the Steering Committee. <sup>2</sup>Admission is only granted to doctoral researchers who have been accepted for doctoral studies in accordance with § 5 and who have been admitted to BIGSAS as well as to doctoral students supervised within the framework of the BIGSAS. <sup>3</sup>The application should only be submitted after the supervisor has approved the submission of the dissertation in a written statement. <sup>4</sup>The application must name the supervisor under whose supervision the dissertation was written. <sup>5</sup>The application must include:

1. evidence of meeting the requirements provided for under para 2,
2. statement of the academic degree sought (§ 2 para 1),
3. eight copies of the dissertation in accordance with § 12, as well as a declaration of consent by the doctoral candidate that the electronic version of the dissertation may be subjected to a separate review, taking into account his or her copyright and data protection, and that in the event of suspected scientific misconduct investigations may be carried out by internal university bodies for academic self-regulation.
4. the following affidavit:

I hereby declare in lieu of an oath that I have written this thesis without the unauthorized assistance of third parties and without the use any aids other than those stated; the ideas taken directly or indirectly from external sources are identified as such. Furthermore, I assure that I have neither previously received assistance from commercial doctoral consultants or intermediaries, nor will I make use of them in the future. The thesis has not yet been submitted to another examining authority in the same or a similar form, either in Germany or abroad, and has not yet been published.
5. a continuation of the doctoral candidate's curriculum vitae that is already available,
6. a statement regarding the reviewers and examiners desired by the candidate for his or her viva voce,
7. an official certificate of good conduct, which must not be older than three months. In the case of foreign citizens, a certificate recognized as equivalent by the University of Bayreuth must be submitted. This can be an extract from the criminal record from one's home country, a certificate of good conduct, or a comparable document. If the doctoral

researcher is enrolled or working as a public servant, the certificate of good conduct can be waived.

- (2) <sup>1</sup>As a prerequisite for admission to the doctoral examination process, the following achievements must be demonstrated in accordance with para 1 number 1:

1. a talk given at a subject-specific external or international academic conference;
2. publication of an article in a subject-related peer-reviewed scientific publication; publication is equivalent to proven acceptance of the article by the editorial board;
3. participation in a summer school or a comparable academic event;
4. a talk given at a BIGSAS colloquium;
5. participation in skills training to the extent determined by the Steering Committee.

<sup>2</sup>A maximum of one of the achievements to be provided in accordance with sentence 1 numbers 1 - 3 may be replaced by one of the other achievements in accordance with sentence 1 numbers 1 - 3. <sup>3</sup>On application, the Steering Committee shall decide in advance whether an achievement in accordance with sentence 1 numbers 1 - 3 provided by the doctoral candidate satisfies the requirements of sentence 1 numbers 1 - 3. <sup>4</sup>In the case of a dissertation under joint supervision in accordance with § 18, achievements at the foreign educational institution involved shall be recognized; the Steering Committee shall decide on the details.

## **§ 10**

### **Statistical requirements**

- (1) <sup>1</sup>With the application for acceptance for doctoral studies, personal data of the doctoral researcher will be collected, automatically stored, and processed by the doctoral institution of the University of Bayreuth in accordance with the survey characteristics regulated in § 5 of the Higher Education Statistics Act (HStatG) (as amended) for the purpose of fulfilling the legal duties as well as for the purpose of legislation and planning in the higher education sector in accordance with § 1 para 1 HStatG in the context of doctoral studies. <sup>2</sup>In this respect, the applicant is obligated to cooperate and to provide personal data (Art. 7 para 2 sentence 4 BayHIG).
- (2) <sup>1</sup>Regular transmission or forwarding to the Bavarian State Office for Statistics is carried out with regard to the survey characteristics of the Higher Education Statistics Act of 2 November 1990 as well as to the university administration for the purpose of presenting the higher education statistics. <sup>2</sup>The use and processing of personal data is subject to the requirements of Art. 7 BayHIG.

## **§ 11**

### **Decision on admission to the doctoral examination process**

- (1) <sup>1</sup>The chairperson of the Steering Committee examines whether the application for admission to the doctoral examination process meets the requirements specified in § 9 para 1. <sup>2</sup>If this is not the case and the deficiencies are not remedied within a reasonable period set by the chairperson of the Steering Committee, the Steering Committee shall reject the application as inadmissible. <sup>3</sup>The chairperson of the Steering Committee shall re-examine whether the requirements set out in § 4 have been met. <sup>4</sup>If it is found that one or more of the requirements are not or are no longer met, the application shall be rejected as inadmissible. <sup>5</sup>This does not apply if the doctoral researcher had no knowledge or no grossly negligent ignorance of the existence of a reason for discontinuation at the time of the subsequent discontinuation of a requirement or, in the case of the non-existence of one or more requirements, did not intend to deceive others about non-fulfilment the admission requirements at the time of admission to the degree programme. <sup>3</sup>In the event of a negative decision, § 2 para 5 shall apply.
- (2) <sup>1</sup>If the application for admission to the doctoral examination process meets the requirements specified in § 9 para 1, the chairperson of the Steering Committee submits it to the Steering Committee together with a written statement that the admission requirements have been met, and gives the Steering Committee the opportunity to comment. <sup>2</sup>In the cases of § 2 para 2 sentence 1, the chairperson of the Steering Committee submits the written statement to the chairperson of the examination/doctoral committee of the Faculty of Biology, Chemistry & Earth Sciences or the Faculty of Languages & Literatures or the Faculty of Humanities & Social Sciences and gives him or her the opportunity to comment.
- (3) <sup>1</sup>The Steering Committee decides on the application for admission to the doctoral examination process, taking into account the comments received. <sup>2</sup>The decision shall be taken within two weeks of receipt of the application. <sup>3</sup>In the event of admission, the chairperson of the Steering Committee shall immediately thereafter appoint the Examination Committee pursuant to § 7 para 4.
- (4) <sup>1</sup>The application for admission to the doctoral examination process may only be withdrawn before the doctoral candidate has received a negative decision on admission to the doctoral examination process or before the viva voce has begun. <sup>2</sup>In this case, the application is deemed not to have been lodged.

## **§ 12**

### **Dissertation**

- (1) <sup>1</sup>The dissertation must represent an independent academic achievement and contribute to the solution of scholarly questions. <sup>2</sup>Parts of the dissertation can already be published in

advance. <sup>3</sup>The dissertation may be based on a previously written *Diplom, Magister*, master's, or admission thesis, but must clearly go beyond this in its scientific findings. <sup>4</sup>The dissertation must be written in German, English, or French. <sup>5</sup>In justified cases, the Steering Committee may, at the request of the doctoral candidate, allow the dissertation to be written in another language if scientifically relevant reviewers are available who are proficient in this language. <sup>6</sup>The dissertation must be accompanied by a summary of several pages and a short curriculum vitae. <sup>7</sup>Both are to be written in the English language.

- (2) <sup>1</sup>The dissertation must be submitted in typewritten form and bound; it must be paginated and include a table of contents and a bibliography. <sup>2</sup>In addition, a text-equivalent electronic version of the dissertation in WORD format or, alternatively, in PDF format must be submitted on a suitable data carrier. <sup>3</sup>The literature used as well as any other aids are to be stated completely. <sup>4</sup>Quotations or paraphrases from the literature must be acknowledged.
- (3) <sup>1</sup>A cumulative doctorate is permissible in consultation with the academic supervisor. <sup>2</sup>The minimum requirements of a cumulative dissertation are three publications in peer-reviewed, internationally visible journals. <sup>3</sup>At least two of the publications must have already been published or accepted for publication, and a third must have been submitted. <sup>4</sup>At least two of the publications must be written in first authorship. <sup>5</sup>Of the three publications, only two may have been written jointly with the academic supervisor and/or mentor. <sup>6</sup>In the case of co-authored contributions, authorship of the relevant authors in the individual parts of the publication must be clearly traceable and confirmed in writing by the doctoral researcher and the co-authors. <sup>7</sup>None of these publications may already have been counted as a requirement for admission under § 9 para 2 sentence 1 number 2. <sup>8</sup>In addition, a statement of between 50,000 and 70,000 characters must be submitted, explaining the thematic context of the published works and placing them in a broader scientific context. <sup>9</sup>§ 12 para 1 sentence 4 and sentence 5 applies *mutatis mutandis*.

## § 13

### Assessment of the dissertation

- (1) <sup>1</sup>After admission, the Examination Committee immediately appoints two reviewers to assess the dissertation in accordance with § 8. <sup>2</sup>The reviewers are thus members of the Examination Committee. <sup>3</sup>The person under whose supervision the dissertation was written as well as the person whose publication written jointly with the doctoral researcher was submitted as partial work according to § 12 are excluded as reviewers. <sup>4</sup>If possible, at least one of the reviewers should come from an external university. <sup>5</sup>Each reviewer shall submit a written review of the dissertation in German, English, or French within a period of two months. <sup>6</sup>If the deadline is not met, the Examination Committee may release the defaulting reviewer from his or her duties and appoint a new reviewer.

- (2) In the case of doctorates with universities of applied science/HAWs (§ 16), the two equally entitled supervisors of the dissertation of the university of applied science/HAW and the university are generally appointed as reviewers.
- (3) The reviewer may
  1. propose the acceptance of the work and a grade in the range 0 - 3,3 according to the grading scale in § 15 para 1. The vote for acceptance may be combined with the proposal that the doctoral candidate be required to make changes or additions to the dissertation prior to publication; these changes or additions must be adequately specified in the proposal; or
  2. propose the return of the thesis for revision if he/she finds the thesis inadequate (4,0 according to the grading scale in § 15 para 1), but considers acceptance possible after revision within a reasonable period of time, or
  3. evaluate the dissertation as inadequate (4,0 according to the grading scale in § 15 para 1) and recommend its rejection.
- (4) The Examination Committee appoints a further reviewer if the reviewers' recommendation for the assessment of the dissertation differ by more than one grade or with regard to the acceptance or rejection of the dissertation, or if a reviewer requests the appointment of a further reviewer.
- (5) <sup>1</sup>The reviews are submitted to the chairperson of the Examination Committee. <sup>2</sup>When all reviews are available, the dissertation and the reviews are made available to the academic supervisors of BIGSAS for two weeks by displaying them or sending the electronic version. <sup>3</sup>The chairperson of the Examination Committee shall inform the academic supervisors of BIGSAS and the doctoral candidate in writing of the start of the display period; the doctoral candidate shall be informed at the same time of the opportunity to inspect the documents in accordance with sentence 8. <sup>4</sup>In addition, the chairperson of the Examination Committee may make the dissertation and the reviews available to other persons entitled to administer examinations within the meaning of § 8 who are closely related to the work. <sup>5</sup>These and the academic supervisors of BIGSAS can comment in writing on the reviews within the period allowed for submission or submit a review of the dissertation themselves. <sup>6</sup>In the cases of § 2 para 2 sentence 1, the dissertation and the reviews shall be made available within the period according to sentence 1 to the professors and other persons who hold a *Habilitation* and belong to the Faculty of Biology, Chemistry and Earth Sciences or the Faculty of Languages & Literatures or the Faculty of Humanities & Social Sciences. <sup>7</sup>Sentence 4 applies *mutatis mutandis*. <sup>8</sup>Upon request, the doctoral candidate shall be granted access to the reviews during the display period. <sup>9</sup>The chairperson of the Examination Committee determines the time and place.
- (6) <sup>1</sup>After the expiry of the time limit for submission, the Examination Committee decides on the assessment of the thesis on the basis of the submitted reviews and any comments submitted

in accordance with paragraph 5 sentences 4 and 6. <sup>2</sup>If the grading of the reviewers differs, the Examination Committee should agree on a grade. <sup>3</sup>If this is not possible, the grade is determined by the arithmetic mean of the proposed grades of the reviewers, calculated to two decimal places. <sup>4</sup>If the dissertation is assessed with the grade satisfactory or a better grade, it is accepted; if it is assessed with the grade unsatisfactory, it is rejected. <sup>5</sup>At the meeting of the Examination Committee, the reviewers and the university lecturers who have submitted comments in accordance with paragraph 5 sentences 4 and 6, or who have submitted a review themselves, shall be given the opportunity to present their views. <sup>6</sup>The Examination Committee may combine the acceptance of the dissertation with the requirement that the doctoral candidate make changes or additions prior to publication, the content of which must be specifically stated.

- (7) <sup>1</sup>The doctoral committee may appoint one or more additional reviewers before deciding on the assessment of the dissertation. <sup>2</sup>The further procedure in this case shall be in accordance with paragraphs 1, 2, 4, and 5.
- (8) <sup>1</sup>If at least one of the reviewers has suggested that the dissertation be returned for revision, the Examination Committee decides whether the dissertation should be returned for revision; return for revision is considered if a revision is expected within one year. <sup>2</sup>The Examination Committee may appoint one or more additional reviewers before deciding on the return of the dissertation. <sup>3</sup>If the Examination Committee decides to return the dissertation for revision, the doctoral candidate must submit the revised dissertation within one year of the return of the dissertation; at the doctoral candidate's request, the Examination Committee may extend this period. <sup>4</sup>A revised dissertation shall be assessed by the reviewers appointed for the original dissertation, insofar as they are still available; in all other respects, paragraphs 1 - 6 apply. <sup>5</sup>If the doctoral candidate does not submit the revised dissertation in due time or if it is rejected, the doctoral examination is terminated without success; the chairperson of the Examination Committee shall notify the candidate of this in writing in accordance with § 2 para 5.

## **§ 14**

### **Viva voce**

- (1) <sup>1</sup>The viva voce is a collegiate individual examination. <sup>2</sup>It should show whether the doctoral candidate has an in-depth understanding of his or her subject and other subject areas touched upon by it and can appropriately apply methods and theories essential to his or her subject.
- (2) <sup>1</sup>The chairperson of the Examination Committee shall, in agreement with the examiners, determine the date for the viva voce and shall invite the following in writing:
1. the doctoral candidate,

2. the examiners,
3. the members of the Steering Committee,
4. the members of BIGSAS in accordance with the BIGSAS regulations dated 31 August 2019 (as amended), and
5. other university lecturers who are close to the thesis in terms of subject matter,
6. in the cases of § 2 para 2 sentence 1, the members of the Faculty of Biology, Chemistry & Earth Sciences or the Faculty of Languages & Literatures or the Faculty of Humanities & Social Sciences,

and announces the date to the deans of the university. <sup>2</sup>The doctoral candidate must be invited in writing at least 14 days before the start of the viva voce. <sup>3</sup>He or she may waive the time period for summoning.

- (3) <sup>1</sup>The chairperson of the Examination Committee shall chair the viva voce and ensure that it is conducted properly in accordance with the following regulations. <sup>2</sup>Examiners are the members of the Examination Committee. <sup>3</sup>All other university lecturers present have the right to ask questions. <sup>4</sup>The viva voce examination shall generally be two hours in duration. <sup>5</sup>A written record of its course is to be made.
- (4) <sup>1</sup>The dissertation is publicly defended in the viva voce. <sup>2</sup>The doctoral candidate opens the viva voce with a presentation of approximately 20 minutes in which he or she presents the findings of his or her dissertation.
- (5) <sup>1</sup>In justified exceptional cases, in particular in the case of binational doctorates (§ 17), the chairperson of the Examination Committee may approve the participation of individual examiners in the colloquium via video conference. <sup>2</sup>Prior to approval, the written consent of the doctoral candidate must be obtained. <sup>3</sup>The majority of the examiners and all examiners who are members of the University of Bayreuth must be present in person. <sup>4</sup>Compliance with data protection regulations is required, in particular the use of secure transmission paths for the video conference.
- (6) <sup>1</sup>Following the viva voce, the examiners determine the oral grade in camera. <sup>2</sup>Each examiner shall propose a grade in accordance with § 15 para 1. <sup>3</sup>The viva voce is passed if all examiners have awarded at least the grade satisfactory. <sup>4</sup>If the grading of the examiners differs, they should agree on one grade. <sup>5</sup>If this is not possible, the grade is determined by the arithmetic mean of the proposed grades of the examiners, calculated to two decimal places.
- (7) <sup>1</sup>If the viva voce is not passed, the chairperson of the Examination Committee shall notify the doctoral candidate of this in accordance with § 2 para 5. <sup>2</sup>The doctoral candidate may repeat the failed viva voce once. <sup>3</sup>The application for repetition must be submitted to the chairperson of the Examination Committee within six months of the announcement of having failed the



viva voce; on application, the Examination Committee may extend this period for special reasons for which the candidate is not responsible. <sup>4</sup>If the doctoral candidate does not apply for the repetition of the viva voce in due time or does not pass the viva voce even after the repetition, the doctoral process ends without success; sentence 1 applies accordingly.

- (8) The doctoral examination process shall be deemed to have been terminated without success if the doctoral candidate fails to appear at the viva voce for reasons for which he or she is responsible or withdraws from the viva voce after it has commenced; the chairperson of the Examination Committee shall issue a written notification of this in accordance with § 2 para 5.

## **§ 15**

### **Assessment of doctoral performance, overall grade**

- (1) The dissertation and the performance in the viva voce are each assessed with one of the following grades:
- |                              |   |                   |
|------------------------------|---|-------------------|
| with distinction (0; 0,3)    | = | summa cum laude , |
| very good (0,7; 1,0; 1,3)    | = | magna cum laude , |
| good (1,7; 2,0; 2,3)         | = | cum laude ,       |
| satisfactory (2,7; 3,0; 3,3) | = | rite ,            |
| unsatisfactory (4,0).        |   |                   |
- (2) <sup>1</sup>The overall grade of the doctorate is determined by the chairperson of the Examination Committee; it is calculated as the arithmetic mean of the grade of the dissertation and the grade of the viva voce, with the grade of the dissertation being counted twice. <sup>2</sup>Two decimal places are taken into account without rounding. <sup>3</sup>This results in an average of
- |              |                             |
|--------------|-----------------------------|
| 0,00 to 0,50 | the grade summa cum laude , |
| 0,51 to 1,50 | the grade magna cum laude , |
| 1,51 to 2,50 | the grade cum laude ,       |
| 2,51 to 3,30 | the predicate rite .        |
- (3) <sup>1</sup>After the overall grade of the doctorate has been determined, the chairperson of the Examination Committee hands out an interim notification to the doctoral candidate. <sup>2</sup>It contains the overall grade, the grade of the dissertation and the grade of the viva voce. <sup>3</sup>The provisional notification shall be signed by the chairperson of the Examination Committee under the date of the viva voce; it does not entitle the holder to use the doctoral title.

## § 16

### Cooperation with universities of applied science (HAW)

- (1) BIGSAS enables the cooperative execution of doctorates with universities of applied science/HAWs and/or joint doctorates with Bavarian universities of applied science/HAWs on the basis of the agreement of the Bavarian universities of applied science of 19 October 2015 within the framework of the regulations of the present doctoral regulations.
- (2) Further provisions can be made through cooperation agreements between the higher education institutions.

## § 17

### Doctorate in joint supervision with a foreign partner institution

- (1) A doctoral procedure carried out jointly with a foreign partner institution requires that
  1. the doctoral candidate fulfil the requirements for acceptance for the doctorate and for admission to the doctoral examination process both according to the present doctoral regulations (§§ 4, 5, and 9) and according to the corresponding regulations of the partner institution.
  2. the foreign partner institution be entitled to award doctoral degrees according to its national legal regulations and the academic degree to be awarded by it may be used in Bavaria according to the provisions of BayHIG as amended, and
  3. a contract be concluded with the foreign partner institution by the Steering Committee concerning the implementation of the joint doctoral procedure.
- (2) <sup>1</sup>In accordance with the more detailed provisions of the contract pursuant to para 1 number 3, BIGSAS or the foreign partner institution may be in charge of the procedure. <sup>2</sup>The contract must contain provisions on the number of copies to be submitted (Article 9 para 1 sentence 5 number 3) and the deposit copies to be delivered in the event of passing (Article 20 para 1 sentence 1 number 1). <sup>3</sup>The doctoral candidate receives a copy of the contract.
- (3) <sup>1</sup>The dissertation is to be delivered to the lead institution. <sup>2</sup>A dissertation which has already been submitted to one of the participating institutions and accepted or rejected prior to the conclusion of an agreement in accordance with para 1 number 3 may not be the subject of a joint doctoral procedure.
- (4) <sup>1</sup>The lead institution appoints reviewers for the dissertation. <sup>2</sup>At least one reviewer must be a member of the University of Bayreuth. <sup>3</sup>If the reports are not written in English, French, or German, the lead institution shall provide translations into one of these languages. <sup>4</sup>Once the reports have been received, they and the dissertation are submitted to the foreign institution

and to BIGSAS. <sup>5</sup>Both institutions decide independently on the acceptance of the dissertation and its evaluation. <sup>6</sup>If one of the two institutions rejects the dissertation, the joint procedure is terminated. <sup>7</sup>If the dissertation was only rejected by the foreign partner institution, the procedure at BIGSAS is continued according to the general provisions of the present doctoral regulations.

- (5) <sup>1</sup>If the dissertation has been accepted by both institutions, the viva voce takes place at the lead institution. <sup>2</sup>When deciding on the acceptance and assessment of the viva voce, equal participation of both institutions must be ensured; this can be achieved by equal composition or weighting of the examiners' votes. <sup>3</sup>In the case of a viva voce at BIGSAS, at least one examiner from the foreign partner institution is added to the examiners of BIGSAS in accordance with § 14 para 3. <sup>4</sup>§14 para 6 shall apply to the vote of BIGSAS. <sup>5</sup>If the representatives of one of the two institutions refuse to accept the oral examination, the joint procedure shall be terminated; para 4 sentence 7 shall apply *mutatis mutandis*.
- (6) <sup>1</sup>After successful completion of the doctoral examination procedure in joint supervision with a foreign partner institution, a joint doctoral certificate signed by both institutions shall be issued, by way of derogation from § 21, stating that it is a doctoral degree jointly awarded by the participating institutions in accordance with § 2 para 1 for an academic achievement. <sup>2</sup>If, by way of derogation from sentence 1, a doctoral diploma is issued by the University of Bayreuth and a doctoral diploma is issued by the foreign educational institution, it shall be expressed in both certificates by way of connection or in some other manner that both certificates relate to a joint doctorate and that the doctoral candidate is entitled to use the German doctoral degree in Germany and the corresponding doctoral degree abroad. <sup>3</sup>The agreement in accordance with para 1 number 3 must ensure that any additional certificate awarded by the foreign educational institution contains a reference to the joint doctoral procedure with BIGSAS.

## § 18

### Access to files

<sup>1</sup>After receipt of the notification in accordance with § 15 para 3 or after unsuccessful completion of the doctoral examination procedure, the doctoral candidate may inspect the doctoral examination records. <sup>2</sup>The application must be submitted to the head of BIGSAS in his or her capacity as chairperson of the Steering Committee within one month of receipt of the interim notification in accordance with § 15 para 3 or of the unsuccessful completion of the doctoral procedure. <sup>3</sup>He or she determines the time and place for granting access to examination documents. <sup>4</sup>The procedure for inspection in these and other cases in which a request for access is made is governed by Art. 29 ff. BayVwVfG.

## **§ 19**

### **Invalidation**

- (1) If the doctoral candidate has cheated in a doctoral examination, the Examination Committee shall declare the doctoral examination failed; if the doctoral examination procedure has not yet been completed, it shall be discontinued.
- (2) If the deception only becomes known after the examination certificate or the certificate has been issued, the Examination Committee shall withdraw it.
- (3) If the registration requirements for the doctoral examinations were not met by the doctoral candidate without this having involved any cheating on the part of the candidate, and if this fact does not come to light until after the degree is issued, then this fault shall be considered rectified via the candidate's passing of the examination.
- (4) <sup>1</sup>In all other respects, the withdrawal of admission to doctoral studies and the withdrawal of the doctoral degree shall be governed by the statutory provisions. <sup>2</sup>The Examination Committee is responsible for the decision.
- (5) <sup>1</sup>In the cases referred to in paras. 1, 2, and 4, the person concerned must be given the opportunity to comment before the decision is made. <sup>2</sup>Decisions that adversely affect the candidate shall be substantiated in accordance with § 2 para 5 and shall be accompanied by information on how to appeal.

## **§ 20**

### **Reproduction, deposit copies**

- (1) <sup>1</sup>For the purpose of publication, the doctoral candidate must deliver the prescribed number of copies free of charge to the chairperson of the Examination Committee within one year of receiving the interim notification of the result of the examination passed, according to the type of publication chosen by him or her. <sup>2</sup>Theses already published in accordance with § 12 para 3 do not have to be published again. <sup>3</sup>The following publication types can be selected:
  1. seven copies, provided that the dissertation appears as an independent publication in the book trade or as a monograph in a series of publications; the publication must bear an ISBN or ISSN number; the publication must be identified as a dissertation on the reverse of the title page, stating the location of the dissertation; publications funded with printing subsidies from the Excellence Strategy must contain a reference to this funding; or
  2. five copies, if the dissertation is published in electronic form on the Internet via the University Library, whereby the data format and data carrier are to be agreed with the University Library.

- 4In the case of number 2, the doctoral candidate must transfer to the university the right to produce and distribute further copies of his/her dissertation or to make them available in data networks within the framework of the statutory duties of the university libraries.
- (2) 1In addition to the deposit copies, the doctoral candidate submits an abstract of no more than one page in German, English, or French, approved by the supervisor, to the chairperson of the Examination Committee for the purpose of publication. 2Upon request by the candidate, the Examination Committee may extend the deadline for delivery of the deposit copies up to a total period of three years.
- (3) 1The doctoral candidate must submit to the chairperson of the Examination Committee a confirmation from the supervisor that any conditions required by the Examination Committee have been fulfilled and that any other deviations from the submitted version have only been made with the consent of the supervisor. 2Otherwise, the dissertation is to be published in the version in which it was finally assessed.
- (4) If the doctoral candidate misses the deadline for the delivery of the deposit copies, all rights acquired through the successful completion of the examination procedure expire; § 11 para 1 sentence 6 applies *mutatis mutandis*.

## § 21

### Diploma and completion of the doctorate

- (1) 1If the requirements specified in § 20 are met, BIGSAS issues a diploma in German stating that the doctoral examination has been passed. 2In addition, an English or a French translation will be provided.
- (2) 1The diploma confirms the successful completion of the doctorate, stating the title of the dissertation and the final grade. 2It is signed by the head of BIGSAS and the President of the University of Bayreuth. 3In the cases of § 2 para 2 sentence 1, the diploma shall additionally be signed by the Dean of the Faculty of Biology, Chemistry & Earth Sciences or the Faculty of Languages & Literatures or the Faculty of Humanities & Social Sciences. 4The date of the diploma is the date of the viva voce.
- (3) 1The diploma, together with its translation, is handed out by the head of BIGSAS. 2The awarding of the doctoral degree marks the completion of doctoral studies; it entitles the doctoral candidate to use the doctoral degree for which he or she applied.
- (4) After a successful oral examination, the doctoral diploma can be issued prematurely upon request if the doctoral candidate submits a text of the dissertation approved for reproduction by the academic supervisor in a file format suitable for online publication, as agreed with the

University of Bayreuth Library, and grants the University of Bayreuth Library the right to publish this text if he or she does not fulfil his or her obligation to reproduce the dissertation and deliver the deposit copies within the deadlines set out in § 20 para 1 and 2; § 20 para 4 shall not apply in this case. In addition, the doctoral candidate delivers five printed or print-like copies of the dissertation to the chairperson of the Examination Committee.

- (5) In the case of doctorates awarded in cooperation with universities of applied science/HAWs (§ 16), the university of applied science/HAW involved must also be stated on the diploma.

## **§ 22**

### **Honorary doctorate**

- (1) <sup>1</sup>BIGSAS may award honorary doctorates for extraordinary scientific, artistic, cultural, or social achievements. <sup>2</sup>The honorary doctorate procedure is initiated upon justified request of at least one third of the academic supervisors of BIGSAS. <sup>3</sup>The request must be addressed to the head of BIGSAS.
- (2) <sup>1</sup>The academic supervisors of BIGSAS appoint at least two professors to review the extraordinary scientific or artistic achievements of the person to be honoured. <sup>2</sup>The reviews are submitted to the academic supervisors of BIGSAS together with the request.
- (3) The academic supervisors of BIGSAS decide on the award of the honorary doctorate.
- (4) <sup>1</sup>The President of the University of Bayreuth and the Head of BIGSAS confer the honorary doctorate by presenting the honoured person with a diploma. <sup>2</sup>The diploma shall acknowledge the scientific or artistic achievement.

## **§ 23**

### **Consideration of protective provisions**

- (1) <sup>1</sup>The use of the protection periods of the Maternity Protection Act (MuSchG) must be guaranteed. <sup>2</sup>Upon application, the claiming of parental leave in accordance with the Federal Parental Allowance and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetz, BEEG) as well as of 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 Social Code (Sozialgesetzbuch, SGB XI) shall be guaranteed. <sup>3</sup>The appropriate evidence must be furnished; any changes in status are to be reported immediately.

- (2) <sup>1</sup>If duly requested, periods during which doctoral research was impossible or only possible to a limited extent for reasons beyond the doctoral student's control shall be taken into account with regard to the examination schedule. <sup>2</sup>The appropriate evidence must be furnished; in particular, medical certificates must be submitted. <sup>3</sup>Any changes in status are to be reported immediately.

## **§ 24**

### **Consideration of the special needs of disabled or chronically ill persons and persons in extenuating life circumstances**

- (1) <sup>1</sup>For the sake of ensuring equal opportunities, the particular needs of disabled or chronically ill applicants and doctoral candidates are to be appropriately accommodated. <sup>2</sup>Upon written request by the applicant or doctoral candidate, the Doctoral Committee shall determine the form in which he or she shall take his or her examination or grant an extension of working hours of up to half the normal working hours, depending on the severity of the proven examination disability or chronic illness. <sup>3</sup>Evidence of disability or chronic illness is to be provided by way of a medical certificate, which confirms that the applicant or candidate is unable (entirely or in part) to take the examination in its usual form due to a lasting or permanent disability or chronic illness. <sup>4</sup>The request must be attached to the application for the opening of the doctoral examination process. <sup>5</sup>If the request is submitted later, it shall only be valid for subsequent examinations.
- (2) <sup>1</sup>Applicants/doctoral candidates in extenuating life circumstances may apply to the Doctoral Committee for reasonable accommodations in accordance with paragraph 1. <sup>2</sup>The Doctoral Committee shall decide on the presence of extenuating life circumstances and the extent of reasonable accommodations to be provided.

## **§ 25**

### **Transitional provisions, effective date**

- (1) The present doctoral regulations come into force on 16 February 2021; at the same time the BIGSAS doctoral regulations dated 15 September 2017 (AB UBT 2017/067), subject to para 2 and 3, cease to have effect. \*)
- (2) For doctoral candidates who have already been admitted to BIGSAS in accordance with § 5 of the doctoral regulations of BIGSAS dated 15 September 2017 (AB UBT 2017/067) prior to the entry into force of the present doctoral regulations, the provisions of the present regulations shall only apply if they declare in writing to the Steering Committee within six months of the announcement of the present regulations that they wish to structure their doctorate in accordance with the present regulations.

- (3) Doctoral candidates who have already applied for admission to the doctoral examination procedure in accordance with § 10 of the doctoral regulations of BIGSAS dated 15 September 2017 (AB UBT 2017/067) before the present doctoral regulations come into force or who apply for admission to the doctoral examination procedure within six months of the publication of the present regulations without previously submitting a declaration in accordance with para 2 to the Steering Committee, shall continue their doctoral examination process in accordance with the provisions of the BIGSAS doctoral regulations dated 15 September 2017 (AB UBT 2017/067).
- \*) The version dated 30 March 2023 contains the following provision on entry into force:  
The present regulations shall enter into force on 31 March 2023.