

**Doctoral Regulations  
for the  
Bayreuth International Graduate School  
of African Studies (BIGSAS)  
at the Institute of African Studies  
at the University of Bayreuth  
[English Translation]**

**dated 15 September 2017**

By virtue of article 13 para 1 clause 2 sub-clause 2 in conjunction with article 64 para 1 clause 4 of the Bavarian Higher Education Act [*Bayerisches Hochschulgesetz – BayHSchG*], the University of Bayreuth issues the following Doctoral Regulations [*Promotionsordnung*] for the Bayreuth International Graduate School of African Studies (BIGSAS) at the Institute of African Studies:

## **Table of Contents**

- § 1 Aims of the Bayreuth International Graduate School of African Studies (BIGSAS)
- § 2 Academic Degree
- § 3 Doctorate in Law and Economics
- § 4 Requirements for Acceptance to a Doctorate at BIGSAS
- § 5 Aptitude Assessment Process and Admission to BIGSAS
- § 6 Preparatory Course
- § 7 Supervision and the Individual Research and Training Plan
- § 8 Examination Body
- § 9 Reviewers, Examiners and Assessors
- § 10 Application for Admission to the Doctoral Examination Procedure, Admission Requirements
- § 11 Statistical Requirements
- § 12 Decision Regarding Admission to the Doctoral Examination Procedure
- § 13 Dissertation
- § 14 Assessment of the Dissertation
- § 15 Disputation
- § 16 Evaluation of Performance, Overall Grade
- § 17 Cooperation with Universities of Applied Sciences (FHs and HAWs)
- § 18 Doctoral Research in Joint Supervision with a Foreign Partner Institution
- § 19 Access to Examination Documents
- § 20 Invalidity
- § 21 Reproduction, Deposit Copies
- § 22 Certificate and Completion of the Doctoral Degree
- § 23 Honorary Doctorate
- § 24 Consideration of Extenuating Life Circumstances
- § 25 Consideration of the Special Needs of the Disabled
- § 26 Transitional Regulations; Entry into Force

## § 1

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

<sup>1</sup>The Bayreuth International Graduate School of African Studies (BIGSAS) promotes the multi- and interdisciplinary orientation of doctoral researchers through the multi-faculty and multi-disciplinary anchoring of its focus on Africa at the University of Bayreuth. <sup>2</sup>Through the organized and intensive supervision of doctoral researchers throughout their entire doctoral research, an academic qualification is imparted together with professional skills. <sup>3</sup>The aim is to achieve a dissertation of a high academic standard, to shorten the period of qualification for doctoral researchers and to facilitate entry into the job market.

## § 2

### Academic Degree

(1) <sup>1</sup>The University of Bayreuth awards the following academic degrees through BIGSAS according to the measures outlined in these Doctoral Regulations:

1. “Doktorin der Philosophie” and “Doktor der Philosophie”, abbreviated as “Dr. phil.” and
2. “Doktorin der Naturwissenschaften” and “Doktor der Naturwissenschaften”, abbreviated as Dr. rer. nat.”.

<sup>2</sup>The doctoral degree can also be awarded together with a foreign university/faculty on the basis of a doctoral examination procedure jointly coordinated according to § 18.

(2) <sup>1</sup>If the supervisor [*Betreuer/in*] is a member of the Faculty of Biology, Chemistry & Earth Sciences, the Faculty of Languages & Literature, or the Faculty of Cultural Studies pursuant to § 7 para 1 clause 4, this faculty will be involved in the doctoral examination procedure. <sup>2</sup>The details are set out in §§ 12 para 2 clause 2, 14 para 4 clauses 5 and 6, 15 para 2 clause 1 number 6 and 22 para 2 clause 3.

(3) <sup>1</sup>To obtain a doctorate the doctoral researcher must compile an academic dissertation (doctoral thesis), penned by the doctoral researcher himself/herself, and defend the dissertation as part of a disputation (oral defence). <sup>2</sup>The academic degree is awarded based on the faculty to which the supervisor of the dissertation belongs.

(4) The doctoral researcher’s dissertation must demonstrate his or her ability to perform independent and continuing scientific work, while the disputation should prove that he or she has gained an appropriate level of knowledge in the subject of his or her dissertation and in the associated areas.

- (5) If decisions that affect the doctoral researcher adversely are made, they are to be sent to the doctoral researcher together with a rationale and information on how to appeal the decision.
- (6) Exclusion of committee members due to personal involvement or apprehension of bias are governed by article 41 para 2 of the Bavarian Higher Education Act (BayHSchG).

### § 3

#### Doctorate in Law and Economics

- (1) <sup>1</sup>Doctoral researchers seeking a doctorate in the subject areas of law and economics can also be admitted to BIGSAS. <sup>2</sup>In such cases the Doctoral Regulations for the Faculty of Law and Economics of the University of Bayreuth dated 15 September 2017 apply in its current version.
- (2) <sup>1</sup>§§ 4 to 7 are applicable provided they do not contradict the Doctoral Regulations for the Faculty of Law and Economics. <sup>2</sup>The supervisor as outlined in § 7 para 1 clause 4 should ideally be the same as the supervisor of the dissertation pursuant to § 7 para 1 clause 3 of the Doctoral Regulations for the Faculty of Law and Economics.
- (3) <sup>1</sup>A certificate of membership to BIGSAS as well as its associated activities can be issued upon presentation of the official document showing that the doctoral researcher has passed his or her doctoral examination at the Faculty of Law and Economics (§ 18 para 1 of the Doctoral Regulations for the Faculty of Law and Economics) and by submitting supporting documents concerning other academic achievements. <sup>2</sup>Proof of having passed the doctoral examination constitutes approval for the preliminary use of the doctoral title according to § 18 para 4 of the Doctoral Regulations for the Faculty of Law and Economics. <sup>3</sup>The certificate is issued in German; an English or French translation is provided as a supplement. <sup>4</sup>It must be signed by the Dean of BIGSAS.

## § 4

### Requirements for Acceptance to a Doctorate at BIGSAS

- (1) To be accepted to a doctorate at BIGSAS, an applicant must meet the following requirements:
1. have a higher education entrance qualification corresponding to the Qualification Regulations [*Qualifikationsverordnung*] (BayRS 2210-1-1-3-UK/WFK) in its current version,
  2. have a subject-related degree from of a university or college in the Federal Republic of Germany and have passed the *Diplom*, *Magister*, Master or state examination with a grade of at least “*gut*” (or a grade of at least “*vollbefriedigend*” for state examinations in law), or have an equivalent foreign degree,
  3. have successfully taken part in the aptitude assessment process according to § 5,
  4. not have already failed the doctoral examination according these Doctoral Regulations or a similar doctoral examination, and
  5. not have shown himself or herself unworthy of using the doctoral title through his or her behaviour.
  6. he or she must sign a written supervisory agreement with an instructor authorized to administer examinations detailing the framework conditions of the doctoral relationship (confirmation of the supervisor, topic of the dissertation, the basic planned schedule for the dissertation); there is no guarantee that the doctoral relationship will materialize.

The requirement given in para 1 number 2 is also considered fulfilled if the applicant

1. can provide proof of having completed a degree according to para 1 number 2 with a final grade of at least “*befriedigend*” and completed two seminars with the grade “*sehr gut*” (or a grade of at least “*gut*” for state examinations in law) as part of the preparatory course (§ 6), or
2. can provide proof of having completed a subject-related degree from of a university or college with a final grade of “*sehr gut*” for Bachelor/Baccalaureate degrees and having submitted a thesis as part of this Bachelor/Baccalaureate degree programme that received the grade “*sehr gut*”, and having participated in a subject-related Master’s course for at least two semesters.

- (2) <sup>1</sup>On request, academic credits from foreign universities or colleges may be submitted for recognition by the Academic Committee [*Akademischer Ausschuss*] of BIGSAS as credit towards the qualification requirements, provided they are equivalent to one of the degrees named 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 [*Kultusministerkonferenz*] and the University Rectors' Conference [*Hochschulrektorenkonferenz*] must be followed. <sup>3</sup>If no such equivalence agreements exist, the Academic Committee can request advice from the Central Office for Foreign Education [*Zentralstelle für ausländisches Bildungswesen*] of the Standing Conference of the Ministers of Education and Cultural Affairs. <sup>4</sup>The applicant may send an application for the recognition of academic achievements (credits) from a foreign institute of higher education prior to submitting an application for admission to BIGSAS.
- (3) <sup>1</sup>The required evidence of having fulfilled the acceptance requirements and a statement by the applicant that he or she had not yet been accepted to a doctorate at a different higher education institution or a different institute of the University of Bayreuth with the same specialization of doctoral work are to be submitted to the Academic Committee. <sup>2</sup>The Academic Committee makes decision regarding admission to the doctorate and being accepted to BIGSAS.
- (4) The request for acceptance to a doctorate automatically results in registration as an applicant to BIGSAS.
- (5) The doctorate commences upon written confirmation of acceptance to the doctorate and BIGSAS by the chair of the Academic Committee. If acceptance is unsuccessful, § 2 para 5 applies.

## § 5

### Aptitude Assessment Process and Admission to BIGSAS

- (1) <sup>1</sup>To be qualified for acceptance to a doctorate and admission to BIGSAS, an applicant must not only have excellent academic qualifications in the respective subject, but also exhibit a readiness and capacity to perform multi- disciplinary theoretical and methodical studies on this basis. <sup>2</sup>As preparation for the aptitude assessment process, the Academic Committee will appoint a specialist consultant [*Fachberichterstatter/in*] from the applicant's field to prepare a non-binding decision on the applicant's aptitude (qualification). <sup>3</sup>If the application has a reasonable chance of being admitted on the basis of the documents to be presented according to para 5 and the decision prepared by the specialist consultant, the Academic Committee will invite the applicant to take part in a scientific interview with the Academic Committee (with a duration of about half an hour). <sup>4</sup>The Academic Committee may transfer this responsibility to the members of the topic area. <sup>5</sup>The decision on acceptance to a doctorate and aptitude for admission to BIGSAS is reached by the Academic Committee on the basis of the presented documents, on the decision prepared by the specialist consultant, and on the scientific interview. <sup>6</sup>In exceptional

cases, especially when it is not feasible for the applicant to attend the interview, the Academic Committee may delegate scientific supervisors of BIGSAS or other authorized scientists to conduct the scientific interview as specialist consultants; in such cases, an assessor [*Beisitzer/in*] with experience in the field (§ 9) is to be brought in. <sup>7</sup>A comprehensive written report on the interview is to be prepared. <sup>8</sup>In this case, the Academic Committee will make their decision on the basis of the documents to be presented according to para 4, on the decision prepared by the specialist consultant, and on this report. <sup>9</sup>An applicant who is judged to be “unqualified” can be accepted to the preparatory course by the Academic Committee according to § 6, if it is to be expected that attending the course will result in his or her qualification.

(2) The following documents are required for the application and must be submitted in German, English or French:

1. curriculum vitae with detailed scientific career;
2. a letter of motivation for participating in BIGSAS;
3. proof of higher education entrance qualification;
4. copies of all leaving certificates and final reports from schools and colleges and/or universities;
5. reports from two college and/or university instructors, giving insight into the qualification and scientific potential of the applicant;
6. the degree thesis and, if applicable, other scientific works giving insight into the qualification of the applicant;
7. if applicable, a list of publications and
8. a summary of the subject matter to be covered in the dissertation (maximum 10 pages).

(3) <sup>1</sup>The outcome of the aptitude assessment process is to be sent to the applicant in writing.

<sup>2</sup>Upon successfully passing the aptitude assessment process and meeting the requirements given in § 4 para 1 clause 1 numbers 2 -6 of the present regulations, the applicant is to be sent written confirmation of his or her acceptance to pursue doctoral research. <sup>3</sup>In case of a negative decision, § 2 para 5 applies. <sup>4</sup>The course of the aptitude assessment process is to be recorded in written form. <sup>5</sup>The aptitude assessment process may be repeated once. <sup>6</sup>This also applies if the aptitude assessment process led to acceptance to the preparatory course. <sup>7</sup>Further repetitions are not permitted.

- (4) <sup>1</sup>Acceptance to a doctorate and admission is carried out annually on the dates given below. <sup>2</sup>Upon request, the Academic Committee may determine additional dates for acceptance and admission. <sup>3</sup>The application must reach BIGSAS by date of the application deadline.

<i>Application deadline</i>	<i>1 October</i>
<i>Aptitude assessment</i>	<i>Winter Semester</i>
<i>Notification of decision</i>	<i>February</i>
<i>Date of admission</i>	<i>1 April</i>

- (5) The doctoral researchers admitted to BIGSAS are enrolled as doctoral students.
- (6) The transfer of the tasks appointed to the Academic Committee by these regulations to the Dean of BIGSAS is excluded.

## § 6 Preparatory Course

- (1) <sup>1</sup>If a preparatory course is deemed necessary according to § 5 para 1 clause 9, the same should provide the necessary linguistic, methodological and theoretical knowledge prior to acceptance to a doctorate and admission to BIGSAS to enable successful completion of the doctorate. <sup>2</sup>Participation in the course is only possible if approval has been granted according to § 5 para 1 clause 9. <sup>3</sup>Participants in the preparatory course are temporarily enrolled according to § 3 para 1 number 5 of the University of Bayreuth's Enrolment Regulations for the purpose of the doctorate. <sup>4</sup>Participation in the preparatory course does not guarantee acceptance to the doctorate and admission to BIGSAS.
- (2) <sup>1</sup>The duration of the preparatory course is usually one semester. <sup>2</sup>On request and in justified cases, the preparatory course may be extended once by one semester for participants with a first language other than German. <sup>3</sup>The preparatory course is offered in both the summer and winter semesters.
- (3) <sup>1</sup>The Academic Committee assigns every participant accepted to the preparatory course a personal supervisor from the group of scientific supervisors at BIGSAS, after consultation with the supervisor and the participant. <sup>2</sup>Together with his or her supervisor, the participant determines the extent and content of the preparatory course. <sup>3</sup>The requirements as to the content and scope of the preparatory course are governed by the



requirements given in § 5 para 1 clause 1 and are determined individually for each applicant on the basis of his or her qualification level. <sup>4</sup>If the additional qualification is not successful, acceptance to the doctorate is denied by the Academic Committee. <sup>5</sup> § 2 para 5 applies.

## § 7

### Supervision and the Individual Research and Training Plan

- (1) <sup>1</sup>BIGSAS combines the advantages of individual supervision with those of team supervision. <sup>2</sup>The Academic Committee assigns a Research Area to each doctoral researcher by mutual agreement. <sup>3</sup>The members of this Research Area assist the doctoral researcher with the planning and execution of his or her research project, and with regard to his or her personal development and career prospects. <sup>4</sup>The authorized members of the Research Area assign – by mutual agreement – a personal supervisor for each doctoral researcher and at least two additional members of BIGSAS. Together, the supervisor and the members of BIGSAS make up the Mentoring Group. <sup>5</sup>On request, the Academic Committee can assign a new supervisor once.
- (2) <sup>1</sup>The doctoral researcher must develop an Individual Research and Training Plan (IRTP) together with the personal supervisor within three months of acceptance to the doctorate and admission to BIGSAS. <sup>2</sup>The IRTP aims to ensure the transfer of scientific and professional skills. <sup>3</sup>Subsequent changes to the IRTP require the supervisor's approval. <sup>3</sup>Any subsequent changes to the Individual Research and Training Plan require the approval of the supervisor. <sup>4</sup>The details are governed by BIGSAS's Codex of Doctoral Studies and Mentorship.
- (3) Doctorates with universities of applied sciences (FHs and HAWs, see § 17) are to be equally co-supervised by the instructors authorized to administer examinations at the FH/HAW and the University; the supervisory agreement and Individual Research and Training Plan are to be concluded between him or her and the doctoral researcher as well.

## § 8 Examination Body

- (1) <sup>1</sup>These Doctoral Regulations are carried out by the Academic Committee and by the Examination Committee. <sup>2</sup>The composition of the Academic Committee as well as its procedure of decision-making stem from § 8 para 1 to 3 of the Regulations of the Institute of African Studies at the University of Bayreuth [*Ordnung des Instituts für Afrikastudien an der Universität Bayreuth*] dated 5 March 2015 in its current version.
- (2) <sup>1</sup>The Dean of BIGSAS ensures compliance with the provisions of these Doctoral Regulations. <sup>2</sup>His or her responsibilities and powers are outlined in § 8 para 4 of the Regulations of the Institute of African Studies at the University of Bayreuth dated 5 March 2015 in its current version.
- (3) <sup>1</sup>The scientific supervisors at the time of foundation of BIGSAS, as well as the procedure for the appointment and dismissal of scientific supervisors are outlined in § 7 of the Regulations of the Institute of African Studies at the University of Bayreuth dated 5 March 2015 in its current version.
- (4) <sup>1</sup>The Examination Committee performs the tasks assigned to it in these Doctoral Regulations. <sup>2</sup>The Examination Committee is appointed by the Academic Committee at the recommendation of the authorized members of the Research Area immediately after admission of a doctoral researcher to the doctoral examination according to § 12 para 3 clause 2, and comprises the authorized supervisor assigned and at least two other authorized members of BIGSAS according to § 7 para 1 clause 4 or clause 5. <sup>3</sup>The members of the Examination Committee elect a chair, who may not also be the personal supervisor. <sup>4</sup>In a tied vote, the chair of the Examination Committee has the deciding vote. <sup>5</sup>Para 3 and 4 apply *mutatis mutandis* for the Examination Committee.

## § 9 Reviewers, Examiners and Assessors

<sup>1</sup>Authorized persons are defined by article 62 of the Bavarian Higher Education Act (BayRS 2210-1-1-WFK) in conjunction with the Regulations for Examiners [*Hochschulprüferverordnung - HSchPrüferV*] (BayRS 2210-1-1-6-WFK). <sup>2</sup>Instructors at other German or foreign higher education institutions may be appointed as examiners as long as they fulfil the qualification requirements given in article 62 para 1 BayHSchG in conjunction with § 4 HSchPrüferV. <sup>3</sup>In particular, foreign scholars who are from countries in which there is no *Habilitanden* status in the higher education regulations but who can demonstrate long-time experience in independently attending to responsibilities in research and teaching are to be considered as authorized to administer examinations. <sup>4</sup>For doctorates carried out in

cooperation with universities of applied sciences (FHs/ HAWs), § 17 applies; in addition, § 18 of the present regulations applies in the case of binational doctorates. <sup>5</sup>In case of § 5 para 1 clause 6, a member of a college or university who has successfully completed a degree corresponding to or comparable with that of the doctoral researcher to be examined can be appointed an assessor.

## § 10

### **Application for Admission to the Doctoral Examination Procedure, Admission Requirements**

(1) <sup>1</sup>The application for admission to the doctoral examination procedure must be submitted in writing to the chair of the Academic Committee. <sup>2</sup>Admission only applies to doctoral researchers accepted to a doctorate and admitted to BIGSAS under § 5 and supervised within its framework. <sup>3</sup>The application is to be submitted only after the supervisor has provided a written statement approving submission of the dissertation. <sup>4</sup>The Research Area and the personal supervisor under whose supervision the dissertation was written are to be named in the application. <sup>5</sup>The application must include the following:

1. proof of achievements required according to para 2,
2. declaration of the academic degree sought (§ 2 para 1),
3. eight copies of the dissertation, as well as an identical electronic version in WORD format, contained on a suitable data storage medium, a declaration of consent by the doctoral researcher that the electronic version of the dissertation may be subject to a separate examination while respecting the author's rights and data protection law and that the University's bodies for academic self-regulations may investigate if there is suspicion of scientific misconduct.
4. the following statutory declaration:  
"I hereby affirm that I have produced the thesis at hand without any inadmissible help from a third party or the use of resources other than those cited; ideas incorporated directly or indirectly from other sources are clearly marked as such. In addition, I affirm that I have neither used the services of commercial consultants or intermediaries in the past nor will I use such services in the future. The thesis in the same or similar form has hitherto not been presented to another examining authority in Germany or abroad, nor has it been published."

5. a continuation of the doctoral researcher's curriculum vitae originally submitted,
6. a statement on the reviewers and examiners requested by the doctoral researcher for the disputation,
7. an official certificate of good conduct [*Führungszeugnis*]. Foreigners are to submit evidence that has been recognized as equivalent with that awarded by the University of Bayreuth. This may be in the form of an extract from the criminal records in his or her home country, a character reference, or a comparable document. Members of the University of Bayreuth are exempt from submitting a certificate of good conduct.

(2) <sup>1</sup>The following proof of achievements according to para 1 number 1 is a requirement for admission to the doctoral examination procedure:

1. a lecture at a subject-related, external academic conference;
2. publication of an article in a subject-specific scientific journal; publication is considered to be proof of acceptance of the article by the editor;
3. participation in a summer school or comparable academic event in Bayreuth;
4. participation in a work group.

<sup>2</sup>No more than one of the required achievements under clause 1 can be substituted with another achievement under the same clause. <sup>3</sup>On request, the Academic Committee will decide in advance whether one of the activities completed by the doctoral researcher according to clause 1 fulfils the requirements of the same clause. <sup>4</sup>For a dissertation under joint supervision according to § 18, activities completed at the participating foreign educational institute will be recognized; the Academic Committee will specify the provisions.

## § 11

### Statistical Requirements

- (1) <sup>1</sup>In order to implement the Higher Education Statistics Act [*Hochschulstatistikgesetz - HStatG*] as amended, the doctoral researcher's personal data will be collected and automatically saved as described in § 5 HStatG by the relevant body of the University of Bayreuth using the application for acceptance to a doctorate; the data will be analysed in the framework of the doctorate to fulfil the legal responsibilities and for the purposes of legislation and planning in the field of higher education as given in § 1 (1) 1 and 2 HStatG. <sup>2</sup>To this extent, the applicant is required to cooperate and provide his or her personal data (article 10 para 2 clause 3 BayHSchG).

- (2) <sup>1</sup>Regular reports or data transfers will be carried out to the Bavarian State Office for Statistics relating to the aspects given in the HStatG dated 2 November 1990 and to the university administration for the purpose of illustrating the University's statistics. <sup>2</sup>Personal data is used and processed in line with the requirements of article 10 BayHSchG.

## § 12

### Decision Regarding Admission to the Doctoral Examination Procedure

- (1) <sup>1</sup>The chair of the Academic Committee reviews whether the application for admission to the doctoral examination procedure meets the requirements given in § 10 para 1. <sup>2</sup>If this is not the case and the shortcomings are not rectified within the period decided on by the chair of the Academic Committee, the Academic Committee will reject the application as inadmissible. <sup>3</sup>The chair of the Academic Committee once again reviews the requirements given in § 4. <sup>4</sup>If it thereby comes to light that one or more requirements are not met or are no longer met, then the application is to be rejected as inadmissible. <sup>5</sup>This does not apply if the doctoral researcher had no knowledge of no longer meeting the requirement or if no longer meeting the admission requirement was not due to grossly negligent ignorance or if he or she failed to meet one or more of the requirements at the time of admission but did not intend to deceive anyone. In the case of denial, § 2 para 5 applies.
- (2) <sup>1</sup>If the application for admission to the doctoral examination procedure meets the requirements given in § 10 para 1, the chair of the Academic Committee submits a written statement that he or she meets the requirements to the Academic Committee and allows it the opportunity to prepare a statement. <sup>2</sup>In cases of § 2 para 2 clause 1, the chair of the Academic Committee submits a written statement to the chair of the doctoral committee of the Faculty of Biology, Chemistry & Earth Sciences; the Faculty of Languages & Literature; or the Faculty of Cultural Studies and gives it the opportunity to prepare a statement.
- (3) <sup>1</sup>The Academic Committee makes a decision regarding the application for admission to the doctoral examination procedure in consideration of the statements submitted. <sup>2</sup>The decision should be made within one week of submission of the application. <sup>3</sup>In case admission is granted, the chair of the Academic Committee immediately appoints the Examination Committee according to § 8 para 4.

- (4) <sup>1</sup>The application for admission to the doctoral examination procedure can only be revoked before the doctoral researcher is sent a denial letter regarding admission to the doctoral examination procedure or before the disputation has commenced. <sup>2</sup>In such cases, the application is treated as if it had not been submitted.

### § 13

#### Dissertation

- (1) <sup>1</sup>The dissertation (doctoral research work) must represent an independent scientific work and contribute to solving scientific questions. <sup>2</sup>Parts of the dissertation may be published in advance. <sup>3</sup>The dissertation may be based on a previously written *Diplom*, *Magister*, Master's or admission thesis; however, it must go well beyond the original work in the amount of scientific research done. <sup>4</sup>The dissertation can be written in German, English or French. <sup>5</sup>On request and in justified cases, the Academic Committee may permit the doctoral researcher to write the dissertation in Portuguese or Arabic, provided reviewers are available who are in command of the language. <sup>6</sup>Every dissertation must include a multi-page summary and brief curriculum vitae in English.
- (2) <sup>1</sup>The dissertation must be submitted machine typed and bound; it must be paginated and include a table of contents and a bibliography. <sup>2</sup>The dissertation must also be submitted in an electronic version in WORD format. <sup>3</sup>All referenced literature and any other resources must be fully cited. <sup>4</sup>Quotations and paraphrases from the literature must be clearly marked as such.

### § 14

#### Assessment of the Dissertation

- (1) <sup>1</sup>After admission, the Examination Committee will immediately appoint two reviewers to assess the dissertation according to § 9. <sup>2</sup>If possible, the reviewer should not be the person under whose supervision the dissertation was written. <sup>3</sup>At least one of the reviewers should be from another university. <sup>4</sup>Each reviewer must submit a written evaluation (expert opinion) of the dissertation in German, English or French within a period of two months. <sup>5</sup>Should the reviewer fail to meet the deadline, the Examination Committee is entitled to relieve the reviewer in question of his or her duty and appoint another reviewer.

- 
- (2) In the case of doctorates with universities of applied sciences (FHs/HAWs), both equal supervisors of the dissertation from the FH/HAW and the University are generally appointed.
- (3) The reviewer may
1. propose the acceptance of the thesis and an assessment with a grade of 0 - 3.3 on the scale outlined in § 16 para 1. A decision in favour of acceptance may include a proposal that the dissertation be accepted on the condition that the doctoral researcher make changes or additions to it prior to publication; these must be adequately described in the proposal, or
  2. suggest that the dissertation be returned for revision, if the reviewer finds the work to be unsatisfactory (4.0 on the scale in § 16 para 1) but believes that it will be acceptable after revision within a reasonable period, or
  3. evaluate the dissertation to be unsatisfactory (4.0 on the scale in § 16 para 1) and recommend that it be rejected.
- (4) The Examination Committee will appoint an additional reviewer if the reviewers' recommendations for the assessment of the dissertation differ from each other by more than one grade point, or if the reviewers have a different opinion on the acceptance or rejection of the dissertation, or if a reviewer requests the appointment of an additional reviewer.
- (5) <sup>1</sup>Once the reviewers have submitted all expert opinions, the dissertation and the expert opinions are made available to the BIGSAS scientific supervisors for two weeks through physical distribution or transmission of the electronic documents. <sup>2</sup>The chair of the Examination Committee will inform the BIGSAS scientific supervisors in writing of the starting date of the period of inspection. <sup>3</sup>In addition, the chair of the Examination Committee may make the dissertation and expert opinions available to other authorized persons within the terms of § 9 who have a professional interest in the doctoral research work. <sup>4</sup>These authorized persons and the BIGSAS scientific supervisors may submit a written statement or their own expert opinion on the dissertation within the period of inspection. <sup>5</sup>In the cases of § 2 para 2 clause 1, the dissertation and the expert opinions are to be made available through physical distribution to the professors and other postdoctoral members of the Faculty of Biology, Chemistry and Earth Sciences, or Linguistics and Literary Studies, or Cultural Studies within the period of inspection according to clause 1. <sup>6</sup>Clause 4 applies *mutatis mutandis*.

- (6) <sup>1</sup>After the end of the period of inspection, the Examination Committee will decide on the assessment of the dissertation based on the expert opinions and, if applicable, the statements submitted according to para 4 clauses 4 and 6. <sup>2</sup>Dissertations that receive the grade “*befriedigend*” (satisfactory) or better are accepted; those that are given the grade “*unzulänglich*” (unsatisfactory) are rejected. <sup>3</sup>Reviewers and university instructors who have submitted a written statement or their own expert opinion according to para 4 clauses 4 and 6 will have the opportunity to present their views at the meeting of the Examination Committee. <sup>4</sup>The Examination Committee may propose that the dissertation be accepted on the condition that the doctoral researcher make changes or additions to it prior to publication; these must be adequately described in the proposal. In this case, the Examination Committee will appoint a reviewer to verify the fulfilment of this condition. <sup>5</sup>The doctoral researcher is to be granted access to the expert opinions. The chair of the Examination Committee determines the time and place of access to the documents.
- (7) <sup>1</sup>The Examination Committee may appoint one or more additional reviewers before making its decision on the assessment of the dissertation. <sup>2</sup>In this case, the subsequent procedure is governed by para 1, 2, 4 and 5.
- (8) <sup>1</sup>If at least one of the reviewers suggests returning the dissertation for revision, the Examination Committee will decide whether the dissertation is to be returned for revision; returning the dissertation for revision will be considered if an acceptable revision can be expected within one year. <sup>2</sup>The Examination Committee may appoint one or more additional reviewers before making its decision on returning the dissertation for revision. <sup>3</sup>If the Examination Committee decides on returning the dissertation for revision, the doctoral researcher must submit the revised dissertation within one year of receiving the returned dissertation; The Examination Committee may extend this period on the doctoral researcher’s request. <sup>4</sup>A revised dissertation will be assessed by the reviewers originally appointed for the dissertation, provided these are still available; for the remainder, para 1 to 6 apply. <sup>5</sup>If the doctoral researcher fails to submit the revised dissertation within this period or if it is rejected, the doctoral examination is ended unsuccessfully; in this case, the chair of the Examination Committee will give the doctoral researcher written notice as given in § 2 para 5.



## § 15 Disputation

- (1) <sup>1</sup>The disputation is the doctoral researcher's oral defence of the doctoral thesis among colleagues. <sup>2</sup>Its purpose is to demonstrate whether the doctoral researcher possesses in-depth knowledge of his or her subject and of other associated subject areas, and his or her ability to effectively apply methods and theories essential to his or her subject.
- (2) <sup>1</sup>The chair of the Examination Committee will determine the date of the disputation after consultation with the reviewers and will send a written invitation to
1. the doctoral researcher,
  2. the reviewers,
  3. the members of the Academic Committee,
  4. the members of BIGSAS according to the Regulations of the Institute of African Studies at the University of Bayreuth dated 5 March 2015 in its current version, and
  5. other university instructors who are professionally interested in the dissertation,
  6. in the cases described in § 2 para 2 clause 1, the members of the Faculty of Biology, Chemistry & Earth Sciences, the Faculty of Languages & Literature, or the Faculty of Cultural Studies,
- and inform the deans of the date and publish the same as a public university notice. <sup>2</sup>The doctoral researcher is to be summoned in writing at least 14 days prior to the start of the disputation. <sup>3</sup>He or she may forgo the period of summons.
- (3) <sup>1</sup>The chair of the Examination Committee leads the disputation and ensures that it is properly conducted. <sup>2</sup>The members of the Examination Committee and the two reviewers function as examiners. <sup>4</sup>All other university instructors present have the right to ask questions. <sup>5</sup>The disputation usually takes two hours. <sup>6</sup>Minutes are to be taken of proceedings.
- (4) <sup>1</sup>The dissertation is publicly defended in the disputation. <sup>2</sup>The doctoral researcher opens the disputation with a presentation of roughly 20 minutes in which he or she presents the findings of his or her dissertation.
- (5) <sup>1</sup>After the disputation the examiners determine the oral grade, under exclusion of the public. <sup>2</sup>Each examiner proposes a grade according to § 16 para 1. <sup>3</sup>The disputation is passed when all examiners have awarded at least the grade "*befriedigend*" (satisfactory). <sup>4</sup>If there is variation among the examiners' grades, they are to agree on one grade. <sup>5</sup>If this is not possible, the grade is determined as the arithmetic mean of the grades proposed by the examiners, calculated to two decimal places.

- (6) <sup>1</sup>If the doctoral researcher fails the disputation, the chair of the Examination Committee will give the doctoral researcher written notice as given in § 2 para 5. <sup>2</sup>The doctoral researcher may repeat a failed disputation once. <sup>3</sup>The application to repeat the disputation must be submitted to the chair of the Examination Committee within six months of receiving notice of having failed the disputation; on request, the Examination Committee may extend this period in special circumstances if there are reasons for which the doctoral researcher is not responsible. <sup>4</sup>If the doctoral researcher does not apply to repeat the disputation within the designated period or does not pass the repeated disputation, the doctoral examination procedure is ended unsuccessfully; clause 1 applies *mutatis mutandis*.
- (7) <sup>1</sup>The doctoral examination procedure is also considered ended unsuccessfully if the doctoral researcher fails to appear at the disputation due to reasons for which he is responsible, or if he withdraws from the disputation after it has already begun; in such cases, the chair of the Examination Committee will give the doctoral researcher written notice as given in § 2 para 5.

## § 16

### Evaluation of Performance, Overall Grade

- (1) The dissertation and the disputation are each evaluated for performance and given one of the following grades:
- mit Auszeichnung* (with distinction) (0; 0.3) = “summa cum laude”,  
*sehr gut* (very good) (0.7; 1.0; 1.3) = “magna cum laude”,  
*gut* (good) (1.7; 2.0; 2.3) = “cum laude”,  
*befriedigend* (satisfactory) (2.7; 3.0; 3.3) = “rite”,  
*unzulänglich* (unsatisfactory) (4.0) = “non rite”.
- (2) <sup>1</sup>The level of academic distinction (overall grade) of the doctorate is determined by the chair of the Examination Committee; it is the result of the arithmetic mean of the dissertation grade and the disputation grade, whereby the dissertation grade is worth twice as much. <sup>2</sup>Two decimal points are taken into consideration without rounding. <sup>3</sup>This results in an average of:
- 0.00 to 0.50 for “summa cum laude”,  
0.51 to 1.50 for “magna cum laude”,  
1.51 to 2.50 for “cum laude”,  
2.51 to 3.30 for “rite”.

- (3) <sup>1</sup>After determining the level of academic distinction of the doctorate, the chair of the Examination Committee issues the preliminary notification to the doctoral researcher. <sup>2</sup>It contains the level of academic distinction, the dissertation grade and the disputation grade. <sup>3</sup>The preliminary notification is signed by the chair of the Examination Committee and dated to the day of the disputation; it does not entitle the holder to use the doctoral title.

## **§ 17**

### **Cooperation with Universities of Applied Sciences (FHs and HAWs)**

- (1) BIGSAS enables doctorates to be carried out in cooperation with universities of applied sciences (FHs/HAWs) and/or in association with Bavarian universities of applied sciences (FHs/HAWs) on the basis of an agreement between Bavarian higher education institutions dated 19 October 2015 as part of the provisions of the present doctoral regulations.
- (2) Additional provisions may be made by way of cooperation agreements between the higher education institutions.

## **§ 18**

### **Doctoral Research in Joint Supervision with a Foreign Partner Institution**

- (1) Requirements for a doctorate carried out together with a foreign partner institutions include the following:
1. The doctoral researcher must meet the requirements for being accepted to pursue a doctorate and for admission to the doctoral examination procedure under the terms of the present doctoral regulations (§§ 4, 5 and 10) and the corresponding regulations at the partner institution.
  2. The foreign partner institution must be authorized to award doctoral degrees and the degree to be awarded must be recognized in Bavaria according to the provisions of BayHSchG dated 23 May 2006 (BayRS 2210-1-1-WFK) as amended.
  3. The Academic Committee is to sign an agreement with the foreign partner institution for carrying out joint doctoral projects.

- (2) <sup>1</sup>Depending on the details of the provisions in the agreement mentioned in para 1 number 3, the lead institution may be either BIGSAS or the foreign partner institution. <sup>2</sup>The agreement must include provisions about the number of copies to be submitted (§ 10 para 2 clause 5 number 3) and the number of copies to be submitted if the doctoral researcher passes (§ 21 para 1 clause 1 number 1). <sup>3</sup>The doctoral researcher shall receive a copy of the agreement.
- (3) <sup>1</sup>The dissertation is to be submitted by the lead institution. <sup>2</sup>A dissertation that was already submitted and accepted or rejected by one of the institutions involved prior to signing a contract as given in para 1 number 3 cannot be used in a joint doctoral procedure.
- (4) <sup>1</sup>The lead institution appoints reviewers for the dissertation. <sup>2</sup>At least one reviewer must belong to the University of Bayreuth. <sup>3</sup>If the reviews are not written in German, English, or French, then the lead institution is to provide translations into one of these languages. <sup>4</sup>Once the assessment is received, it is submitted to the foreign institution and BIGSAS together with the dissertation. <sup>5</sup>Each institution is to make a decision independently regarding accepting the dissertation and its assessment. <sup>6</sup>If one of the institutions rejects the dissertation, the joint process is ended. <sup>7</sup>If the dissertation is only rejected by the foreign partner institution, the process is continued at BIGSAS in accordance with the general provisions of the present doctoral regulations.
- (5) <sup>1</sup>If the dissertation was accepted by both institutions, a disputation will be held at the lead institution. <sup>2</sup>When deciding on the assessment and acceptance of the disputation, equal involvement of the institutions is to be ensured; this can be accomplished via a joint committee or weighting of the examiners' votes. <sup>3</sup>For a disputation at BIGSAS, at least one examiner from the foreign partner institution must take part in addition to the examiner from BIGSAS given in § 15 para 3. <sup>4</sup>For BIGSAS's vote, § 15 para 5 applies. <sup>5</sup>If the representative of one of the institutions does not accept the doctoral researcher's performance in the oral examination, the joint process is ended; para 4 clause 7 applies *mutatis mutandis*.
- (6) <sup>1</sup>After successful completion of the doctoral examination procedure jointly supervised by a foreign partner institution, a joint doctoral certificate signed by both institutions involved is to be issued by derogation from §22 in which it is clear that the doctoral degree as given in § 2 para 1 was jointly issued by the institutions involved due to a scholarly contribution. <sup>2</sup>If in derogation from clause 1 a doctoral certificate is issued by the University of Bayreuth and the foreign institution, both certificates shall be combined in such a way that both certificates make it clear that they refer to a joint doctorate and that the degree holder is authorized to bear the German doctoral title in Germany and the corresponding doctoral title abroad. <sup>3</sup>The agreement given in para 1 number 3 is to ensure that any additional certificate issued by the foreign institution refers to the joint doctoral procedure with BIGSAS.

## § 19

### Access to Examination Documents

<sup>1</sup>After receiving the notice given in § 16 para 3 or finishing the doctoral examination procedure without passing it, the doctoral researcher may have access to his or her examination documents. <sup>2</sup>The Dean of BIGSAS shall determine the time and place of granting access to the documents. <sup>3</sup>The request is to be submitted to the chair of the Academic Committee within one month of receiving the notice given in § 16 para 3 or finishing the doctoral examination without passing it. <sup>4</sup>He or she shall determine the time and place of granting access to the documents. <sup>5</sup>The procedure for granting access is governed by article 29 ff. BayVwVfG, like other cases in which access to documents is requested.

## § 20

### Invalidity

- (1) If the doctoral researcher proves to have been deceptive in his or her doctoral work, the Examination Committee will declare that the doctoral examination procedure has been failed; if the doctoral examination procedure has not yet been completed, it will be discontinued.
- (2) If the act of deception does not become evident until after the examination report or the certificate has already been handed out, the Examination Committee will seize this/these.
- (3) If the requirements for admission to the doctoral examination were not fulfilled – without intentional deception on the part of the doctoral researcher – and this does not become evident until after the examination report has already been handed out, this deficiency is considered remedied by the fact that the doctoral researcher has passed the examination.
- (4) <sup>1</sup>For the remainder, the withdrawal of the acceptance to the doctorate and the revocation of the doctoral title takes place in adherence to legal regulations. <sup>2</sup>The Examination Committee is responsible for such decisions.
- (5) <sup>1</sup>In the cases described in para 1, 2 and 4, the person concerned must be given the opportunity to make a statement. <sup>2</sup>Reasons must be given for an unfavourable decision as given in § 2 para 5 with information on the right to appeal it.

## § 21 Reproduction, Deposit Copies

(1) <sup>1</sup>For the purpose of publication, the doctoral researcher must deliver the number of copies free of charge to the chair of the Examination Committee according to the type of publication chosen within one year of the date of the notice of having passed the examination. <sup>2</sup>The following types of publication may be chosen:

1. 10 printed or print-quality reproduced copies of the dissertation, or
2. 7 copies if the dissertation is to appear as an independent publication in book stores or as a monograph in a series of papers with a minimum circulation of 150 copies; the back of the title page must indicate that the publication is a dissertation and include the place where the dissertation took place or
3. 5 copies if the dissertation is to be published in electronic form on the Internet via the university library; the data format and medium must be coordinated with the university library.

In the cases of 1. and 3., the applicant must grant the University the right to make and disseminate additional copies of his or her dissertation or to make it available in data networks as part of the statutory duties of university libraries.

(2) <sup>1</sup>In addition to the deposit copies, the doctoral researcher is to submit to the chair of Examination Committee an abstract of no more than one page in length, approved by the supervisor, in German, English or French for the purpose of publication. <sup>2</sup>On the doctoral researcher's request, the Examination Committee may extend the period to deliver the deposit copies by up to a total of three years in special circumstances.

(3) <sup>1</sup>The doctoral researcher is to present to the chair of the Examination Committee confirmation from the supervisor that all of the Examination Committee's requirements have been met and that any deviations from the submitted version have only been carried out with the approval of the supervisor. <sup>2</sup>For the remainder, the dissertation is to be published in the version in which it underwent final assessment.

(4) If the doctoral researcher fails to meet the deadline for delivering the deposit copies he or she will lose all the rights he or she acquired through successful completion of the examination procedure; § 12 para 1 clause 6 applies *mutatis mutandis*.

## § 22

### Certificate and Completion of the Doctoral Degree

- (1) <sup>1</sup>Once the requirements named in § 21 have been fulfilled, BIGSAS will issue a certificate in German stating that the doctoral researcher has passed the doctoral examination. <sup>2</sup>An English or French translation will also be issued.
- (2) <sup>1</sup>The certificate confirms that the doctoral research has been completed successfully and also states the title of the dissertation and the final grade. <sup>2</sup>It is signed by the Dean of BIGSAS and by the President of the University of Bayreuth. <sup>3</sup>In the cases described in § 2 para 2 clause 1, the certificate is also signed by the dean of the Faculty of Biology, Chemistry & Earth Sciences, the Faculty of Languages & Literature, or the Faculty of Cultural Studies. <sup>4</sup>The certificate is dated to the date of disputation.
- (3) <sup>1</sup>The certificate is handed out by the Dean of BIGSAS together with its translation. <sup>2</sup>The doctorate is completed with the handing out of the certificate; the doctoral researcher thereby attains the right to use the doctoral title he applied for.
- (4) The chair of the Examination Committee may allow the doctoral researcher preliminary use of the doctoral title prior to handing out the certificate if the doctoral researcher has fulfilled the requirements set out in § 21 but the handing out of the certificate is delayed, or if the publication of the dissertation and the delivery of the deposit copies have been sufficiently ensured by a binding statement from the publisher.
- (5) For doctorates together with colleges of applied sciences (FHs/HAWs, see § 17), the FH/HAW involved is to be given on the certificate.

## § 23

### Honorary Doctorate

- (1) <sup>1</sup>BIGSAS may award an honorary doctorate (doctor honoris causa) for exceptional scientific, artistic, other cultural or social achievements. <sup>2</sup>The process of awarding an honorary doctorate is initiated by the justified request of at least one-third of the scientific supervisors of BIGSAS. <sup>3</sup>The request is to be addressed to the Dean of BIGSAS.

- (2) <sup>1</sup>The scientific supervisors of BIGSAS will appoint at least two professors to appraise the exceptional scientific or artistic achievements by the person to be honoured. <sup>2</sup>The expert opinions are submitted to the scientific supervisors of BIGSAS together with the request.
- (3) The scientific supervisors of BIGSAS decide on the awarding of an honorary doctorate.
- (4) <sup>1</sup>The President of the University of Bayreuth and the Dean of BIGSAS award the honorary doctorate by presenting the honoured person a certificate. <sup>2</sup>The certificate honours the scientific or artistic achievement.

## § 24

### Consideration of Extenuating Life Circumstances

- (1) <sup>1</sup>On request, deadlines and periods must consider the applicability of protection periods outlined in §§ 3, 4, 6 and 8 of the Maternity Protection Law [*Mutterschutzgesetz – MuSchG*] of 20 June 2002 (BGBl I p. 2318) in its current version, the periods outlined in the Federal Law on Parental Allowance and Parental Leave [*Bundeselternge- und Elternzeitgesetz – BEEG*] of 5 December 2006 (BGBl I p. 2748) in its current version, and the times for the care of a close relative outlined in § 7 para 3 of the Home and Institutional Care Act [*Pflegezeitgesetz – PflegeZG*] of 28 May 2008 (BGBl I pp. 874, 896) in its current version for a person in need of care as outlined in §§ 14, 15 of the Eleventh Book of the Social Code [*Sozialgesetzbuch – SGB XI*] of 26 May 1994 (BGBl I pp. 1014, 1015) in the current version. <sup>2</sup>The relevant documents must be kept; changes to circumstances must be reported immediately.
- (2) <sup>1</sup>On request, periods in which completing work is not possible for the doctoral student – or if his or her capacity to do so is severely restricted – for reasons for which he or she is not responsible will not be counted towards the time limits of the programme. <sup>2</sup>The relevant documents must be kept; in particular, medical certificates must be submitted. <sup>3</sup>Changes to circumstances must be reported immediately.



## § 25

### Consideration of the Special Needs of the Disabled

<sup>1</sup>To safeguard equal opportunities, the special circumstances of disabled applicants or doctoral researchers will be adequately considered. <sup>2</sup>On the applicants' or doctoral researcher's written request, the Examination Committee will determine – considering the severity of his or her disability and its effect on the examination – the form in which he or she is to complete his or her examination, or grant him or her an extension of the period for completing his or her work by up to one half of the regular period for completing the work. <sup>3</sup>Proof of the disability affecting the examination must be provided by the applicant or doctoral researcher in the form of medical certificates stating that the applicant or doctoral researcher is unable to complete or partially complete the examination as scheduled due to an extended period of or a permanent disability. <sup>4</sup>The application must be included with the application for acceptance to a doctorate. <sup>5</sup>If the application is submitted at a later date, it only applies for future examinations.

## § 26

### Transitional Regulations; Entry into Force

- (1) The present doctoral regulations take effect on the date of their announcement on 16 September 2017; they replace the BIGSAS doctoral regulations dated 15 February 2008 (AB UBT 2008/number 014) in the amended version dated 5 July 2011 (AB UBT 2011/number 032).
- (2) <sup>1</sup>For doctoral researchers who already received a letter confirming supervision before these regulations take effect, the provisions of the present regulations shall apply with the following provisos:
  - the letter confirming supervision replaces the supervisory agreement to be signed according to § 4 para 1 clause 1 number 6
  - such doctoral researchers are to provide evidence of meeting the requirements given in § 4 para 1 with the request for admission to the doctoral examination procedure as described in § 10.

<sup>2</sup>The Academic Committee can make a decision regarding such matters at an earlier time if so requested by the applicant.

Issued on the basis of a decision by the University of Bayreuth's Senate on 24 May 2017 and the approval of the University of Bayreuth's President granted on 14 September 2017 Reference № A 3525 - AL I.

Bayreuth, 15 September 2017

[*University seal*]

University of Bayreuth  
The President  
Professor Dr. Stefan Leible

This version was published at the University on 15 September 2017.

Its publication was announced by way of a notice at the University on 15 September 2017.

The date of the announcement is 15 September 2017.