



**Ulm University - Doctoral Degree Regulations Dr. rer. pol.  
Doctor of Economics and Management  
for the Faculty of Mathematics and Economics**

**of 9 March 2016**

*The German version of this document is the only legally binding version. This English translation is for your convenience only.*

Pursuant to Section 1 (Landeshochschulgesetz (LHG))<sup>1</sup> of the 3<sup>rd</sup> Hochschulrechtsänderungsgesetz (3. HRÄG)<sup>2</sup> of 1 April 2014 (GBL.<sup>3</sup> No. 6, p. 99 ff), in a session held on 24 February 2016, the Senate of Ulm University has adopted the following specific doctoral degree regulations according to § 38 (4) 1 of the LHG and upon approval by the Faculty of Mathematics and Economics.

The President of the University issued his approval, pursuant to Section 38 (5) 1 of the LHG, on 9 March 2016.

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<sup>1</sup> Higher Education Act of the German state of Baden-Württemberg

<sup>2</sup> Third Higher Education Law Amendment Act

<sup>3</sup> Law Gazette

## **Preliminary Statement**

Pursuant to Article 3 (2) of the Basic Law for the Federal Republic of Germany, men and women shall have equal rights. All references to people and functions in these regulations shall apply equally to men and women.

## **§ 1 Scope of Application of the Specific Doctoral Degree Regulations**

The specific Doctoral Regulations apply in conjunction with the framework regulations for doctoral studies of Ulm University as amended to complement them. Thus, both regulations are structured in the same way and single sections may not include further regulations.

## **§ 1 a Specific Doctoral Degree Regulations of the Faculties**

## **§ 2 Doctoral Degrees**

Pursuant to these regulations of the Faculty of Mathematics and Economics and due process, Ulm University awards the academic degree Doctor of Economics and Management (Doctor rerum politicarum – Dr. rer. pol.) and, pursuant to § 2 (3) of the framework regulations for doctoral studies, an honorary doctorate (Doctor honoris causa – Dr. h. c.).

## **§ 3 Duration of the Doctorate**

The doctorate is to be completed within a maximum period of six years.

## **§ 4 Doctoral Committee, Appeals Board**

- (1) The Faculty Council shall constitute a Doctoral Committee for the minimum period of two years. It shall consist of a total of six members that can be either full-time employed professors – pursuant to § 44 (1) 1 LHG – or academic staff members according to § 44 (1) 2 LHG.
- (2) The Faculty Council shall appoint one of the members as chairperson and another member as vice chairperson of the Doctoral Committee.
- (3) The Doctoral Committee has a quorum when at least half of its members are present.

## **§ 5 Supervisor, Reviewers (Examiners)**

The Doctoral Committee can appoint professors who are released from their duties or retired as reviewers of a doctoral thesis.

## **§ 6 Admission Requirements for the Doctorate**

- (1) An excellent bachelor's degree, pursuant to § 6 (2) 3 of the framework regulations for doctoral studies further requires that the overall final mark is 2.0 or better and, in general, that the graduate is among the top five percent of students who graduated the same year. In justified cases the Doctoral Committee may ask for additional requirements according to § 36 (2) Landesverwaltungsverfahrensgesetz (LVwVfG)<sup>4</sup>.
- (2) Further admission requirements in addition to § 6 (1) 1 of the framework regulations for doctoral studies:
  - a) Proof of a higher education degree in Economics or a degree program including substantially the same study contents or – if recommended by the Doctoral Committee – a degree program (professional studies) that can be assigned to the field of promotion;

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<sup>4</sup> Administrative Procedural Law of the German state of Baden-Württemberg

- b) Proof of a final grade indicating that the applicant ranks in general among the best in his or her field; this may be evidenced by the final grade „good“ or better or according to a ranking. The Doctoral Committee may deviate from these regulations in duly substantiated exceptional cases.

## **§ 7 Admission to the Doctoral Proceedings and Admission as a Doctoral Candidate**

### **§ 8 Initiation of the Doctoral Proceedings (Submission of the Doctoral Thesis and Oral Examination)**

- (1) The application for the initiation of the doctoral proceedings shall be addressed to the Doctoral Committee Dr. rer. pol of the Faculty of Mathematics and Economics.
- (2) In addition to the documents required according to § 8 (1) of the framework regulations for doctoral studies, the doctoral candidate shall provide:
  - a) 5 written copies and one PDF file of the doctoral thesis; further details shall be determined by the Doctoral Committee;
  - b) a brief description of one thesis statement according to § 12 (1);
  - c) a suggestion concerning the examiners and the Examination Board.

### **§ 9 Examination Board**

- (1) In general, the Examination Board shall consist of three members, namely the supervisor who is also one of the reviewers, another reviewer of the doctoral thesis and (at least) one lecturer who is authorized to conduct a doctoral examination and who is not identical to the reviewers. At least one of the Examination Board members shall be a member of the Doctoral Committee. Further reviewers who were officially appointed by the Doctoral Committee may participate as examiners. The majority of the Examination Board members shall be members of Ulm University. The Examination Board members shall appoint one member of the Doctoral Committee as chairperson. The doctoral candidate's suggestion concerning the constitution of the Examination Board shall be taken into account.
- (2) The chairperson of the Doctoral Committee shall appoint new reviewers and examiners in case the assigned reviewers and examiners will not be able to carry out or accomplish their tasks due to unforeseen circumstances.
- (3) Each member of the Examination Board shall evaluate the performance of the doctoral candidate individually.

### **§ 10 Doctoral Thesis**

- (1) The Doctoral Committee shall accept a doctoral thesis that has already been published in whole or in part. In case an already published thesis has been accepted, the doctoral candidate may provide the appropriate number of specimen copies, instead of printed copies. In case of a pre-release, the original authorship has to be approved in writing.
- (2) The doctoral candidate may also submit a cumulative instead of a monographic thesis pursuant to § 10 (3) of the framework regulations for doctoral studies. In this case, the doctoral candidate is required to submit generally three related papers published in renowned journals or publishable papers, one of which must be written alone, in general, the scientific context of the individual papers must be outlined conclusively in the introduction.

- (3) If parts of the dissertation are written by one or more co-authors, the doctoral candidate must enclose a self-written statement on his or her contribution to the thesis. This statement must be signed and acknowledged by the co-author/s.

### **§ 11 Evaluation of the Doctoral Thesis**

- (1) A further reviewer shall be appointed if at least one of the reviewers suggests the grade „summa cum laude“. If at least one reviewer, however not all of them, grades the thesis with „insufficient“ or if the difference between the grades is two or greater, a further reviewer shall be appointed likewise.
- (2) If one reviewer has not handed in his or her evaluation after three months, the Doctoral Committee may appoint another reviewer.
- (3) Each reviewer shall evaluate the thesis and - in case of acceptance - grade according to the following scheme:
- |              |   |   |   |                 |
|--------------|---|---|---|-----------------|
| very good    | = | 1 | = | magna cum laude |
| good         | = | 2 | = | cum laude       |
| satisfactory | = | 3 | = | rite            |
- (4) Reviewers may also use the grades: 1.3; 1.7; 2.3; 2.7. The final grade shall be the arithmetic average of the individual assessments and shall be calculated to the first decimal place, all other decimal places shall be deleted.
- (5) If the doctoral thesis is accepted, the Doctoral Committee determines the grade pursuant to § 4 (1) 3 of the framework regulations for doctoral studies.

### **§ 12 Oral Examination**

- (1) The oral examination shall take place in form of a scientific symposium and shall be held either in German or English language. First, the doctoral candidate shall give a lecture (about 30 minutes) on his or her thesis, followed by a disputation that shall deal with subjects and approaches concerning the doctoral thesis as well as fundamental questions of the doctoral candidate's research area. Finally, the doctoral candidate shall discuss and defend one economic thesis statement that does not relate directly to his or her work. Yet the thesis statement shall concern scientific areas that are sufficiently represented at Ulm University. The Doctoral Committee may also reject the thesis and demand the submission of an alternative thesis statement.
- (2) The date for the oral examination shall be fixed in consultation with the doctoral candidate.
- (4) Professors and private lecturers of the faculty, the President and the Vice Presidents who are not in charge of the financial and personnel administration, the Deans of the other faculties shall be invited to the oral examination and shall be entitled to ask questions during the examination.
- (5) On request of the doctoral candidate and subject to the approval of the chairperson of the Examination Board, also non-members of Ulm University may attend the examination as observers.
- (6) § 11 (3) and (4) shall apply to the assessment of the oral examination accordingly.

### **§ 13 Repeat Oral Examination**

## **§ 14 Overall Grade**

(1) The overall grade is calculated from the weighted average of the doctoral thesis evaluation (accounting for two thirds) and the final grade for the oral examination (accounting for one third).

(2) The overall grade (see above) is awarded according to the following scheme:

magna cum laude / great honors	=	less than 1.5
cum laude / honors	=	1.5 to less than 2.5
rite / satisfactory	=	2.5 to 3.0

The average is calculated to the first decimal place, further decimal places shall be deleted. The figures may only serve as the basis for calculation and shall not appear in the certificate.

(3) As an exception, the overall grade “highest honors” (summa cum laude) may be awarded, provided the requirements pursuant to § 11 (4) 2 of the framework regulations for doctoral studies are satisfied and the non-rounded average for the doctoral achievements is 1.0. In this case, a unanimous decision of the Examination Board is required.

## **§ 15 Award of the Doctoral Degree and Certificate**

## **§ 16 Publication of the Doctoral Thesis**

## **§ 17 Non-attendance, Withdrawal and Inability to take part in the Examination**

## **§ 18 Deception and Infringement of the regulations**

## **§ 19 Revocation of the Doctorate**

## **§ 20 Access to the File**

## **§ 21 Procedural Violation and Appeal**

## **§ 22 Retention of the Examination Documents**

## **§ 23 Doctorate under Joint Supervision with a Foreign University**

(1) A doctorate under joint supervision with a foreign university requires that

- a) the doctoral candidate fulfills the requirements for the admission to the doctoral proceedings and as a doctoral candidate (§ 7) at Ulm University,
- b) the foreign university is entitled to award doctorates according to its national legislation and the academic degree awarded is recognized pursuant to § 7 of the Landeshochschulgesetz (LHG).

(2) In accordance with more detailed contract regulations, the proceedings may be led either by Ulm University or by the foreign university. The contract shall include the number of copies (§ 8) and - in case of success - the number of deposit copies (§ 16) to be handed in. The doctoral candidate shall receive a copy of the contract.

(3) The doctoral thesis shall be submitted to the leading university. A doctorate under joint supervision with a foreign university shall be dismissed if the doctoral thesis has already been submitted to one of the universities and accepted or rejected prior to the conclusion of a contract.

- (4) The doctoral project shall be supervised by one professor of Ulm University and one professor of the foreign university. Further details of the joint supervision shall be subject to the contract. At the same time, both supervisors shall also act as reviewers. If the evaluations of the thesis are not written in English or German, the leading university shall ensure that appropriate translations in one of the afore mentioned languages are provided. Upon receipt, the evaluations and the doctoral thesis shall be presented to both universities. Each university shall decide independently on the acceptance of the thesis and its evaluations. The grade is awarded in accordance with the relevant regulations of the university (specific doctoral regulations). The joint doctorate shall terminate if one university dismisses the doctoral thesis. In case only the foreign university rejects the doctoral thesis, the doctoral proceedings shall be continued according to these doctoral regulations.
- (5) If both universities accept the doctoral thesis, the oral examination shall take place at the leading university. An equal participation of both universities in the Examination Board is to be ensured. If the representatives of one universities reject the performance of the oral examination, the joint procedure shall be terminated; section (4) sentence 9 shall apply accordingly.
- (6) After successful completion of the doctoral proceedings under joint supervision with a foreign university, a doctoral degree certificate signed by both universities shall be delivered. The certificate shall confirm that the doctoral degree for the scientific performance has been jointly awarded by both universities. If an additional foreign doctoral degree certificate is awarded, the contract shall ensure that this document includes a reference to the joint doctoral proceedings with Ulm University.

#### **§ 24 Honorary Doctorate**

#### **§ 25 Disadvantage Compensation**

#### **§ 26 Entry into Force and Interim Regulations**

- (1) These regulations shall come into force on the day following their publications in the Amtliche Bekanntmachungen<sup>5</sup> of Ulm University.  
Subject to section (2) and (3) hereinbelow, upon entry into force these regulations shall supersede the doctoral degree regulations of Ulm University for the Faculty of Mathematics and Economics to award the doctoral degree Dr. rer. pol. of 6 July 2009, published in the Amtliche Bekanntmachungen No. 12 of 9 July 2009, pp. 138-150.
- (2) The doctoral regulations pursuant to section (1) sentence 2 shall apply for doctoral candidates having submitted their request for the admission to the doctoral proceedings prior to the entry into force of the revision.
- (3) Doctoral candidates who have been accepted at the time of the entry into force of these doctoral regulations may apply to the doctoral committee to graduate according to the former doctoral regulations pursuant to section (1) sentence 2 within three years after these doctoral regulations have come into force.

9 March 2016

[Signature]

Professor Dr.-Ing. Michael Weber, President

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<sup>5</sup> Official Bulletin