Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the Business School of the University of Mannheim, as at 11 March 2014

Based on section 38 subsection 4 and section 34 subsection 1 of the Act on Higher Education of the Land of Baden-Württemberg (LHG), the senate of the University of Mannheim passed the following Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the Business School of the University of Mannheim on 26 February 2014. The President approved this on 11 March 2014.

Section 1 - Type and Purpose of the Doctorate

(1) The University of Mannheim awards the degree of the Doctor of Business (Dr. rer. pol.) based on the successful completion of a doctoral dissertation, a doctoral program and a public oral defense (cf. section 8 et seqq.).

(2) The doctoral dissertation shall result from independent work in the interest of the field of business administration and be made available for the scientific community. In the dissertation, the doctoral candidate shall convey new scientific findings in the form of a monograph or an article-based dissertation. An article-based dissertation may include scientific publications or manuscripts intended for publication of the doctoral candidate; in any case a coherent overall concept is indispensable. The doctoral committee shall decide upon this matter. The dissertation and the oral defense serve to prove that the doctoral student is able to pursue independent scientific research.

(3) In the framework of these regulations the Business School is in charge of awarding the Doctoral Degree in Business.

Section 2 - Doctoral Committee

(1) The doctoral committee of the Business School shall make decisions in the doctoral process unless the dean or the examination committee is in charge.

(2) The doctoral committee is composed of professors and full-time senior academic staff members (Privatdozenten) of the Business School. Senior academic staff members (Privatdozenten) who work part-time and less than fifty percent of their work time for the University of Mannheim only have an advisory role in the decision-making processes. The dean or a designated full-time professor chairs the doctoral committee.

(3) The committee has a quorum if at least fifty percent of the members who are eligible to vote are present. Its meetings are not open to the public. The doctoral committee may entrust the chair with tasks the committee is normally in charge of.

(4) All decisions of the committee are minuted. In the event of a tie, the vote of the chair shall decide the matter.

(5) The discussions as well as the respective documents are subject to confidentiality.
Section 3 - Examiners

(1) Supervisors of doctoral candidates shall be professors and senior academic staff members (Privatdozenten) of the university. With their consent, professors emeriti and honorary professors may also be appointed as supervisors.

(2) Examiners shall be professors and senior academic staff members (Privatdozenten); they may also be members of other higher education institutions. Subsection 1 (2) applies correspondingly.

(3) Main evaluators and second evaluators shall be professors and senior academic staff members (Privatdozenten) of the university; second evaluators may also be members of other higher education institutions. Subsection 1 (2) applies correspondingly. The main evaluator shall be the professor or senior academic staff member (Privatdozent) who supervised the doctoral candidate.

(4) Professors and senior academic staff members (Privatdozenten) who used to work for the university, have not been released from their duties and are not retired may be appointed as examiners, main evaluators and second evaluators of the doctoral candidates they supervised.

Section 4 - Application for Admission as a Doctoral Candidate

(1) The application for admission as a doctoral candidate shall be submitted in writing to the dean.

(2) Along with the application, the following documents must be submitted:

a) the topic intended for the doctoral dissertation and as a rule a written statement of a professor or senior academic staff member (Privatdozent) declaring to supervise the doctoral candidate adequately;

b) the Higher Education Entrance Qualification;

c) the degree certificate of a completed master's program or Diplom program at a German or foreign higher education institution or of a bachelor's program with a standard period of study of at least four years in Business or another field of study acknowledged as comparable;

d) a CV and a description of the program of study the applicant completed, including detailed information on passed and failed academic and state examinations, in particular former requests to obtain a doctoral degree which did not lead to a doctoral degree;

e) a current certificate of good conduct according to the Federal Central Criminal Register Act (BZRG) or a proof of being employed in the public service.

Section 5 - Admission Requirements

(1) As a rule, the final grade of the Diplom, master's or bachelor's degree of the applicant according to section 4 subsection 2 (c) shall be at least "gut" ("good"). In justified cases, the doctoral committee may waive this requirement.

(2) The doctoral committee may also admit applicants who have completed a program of study with a standard period of study of at least eight semesters acknowledged as comparable and with a comparable degree at a German or foreign higher education institution; and applicants who did not take a comparable final examination but completed an additional program of study of two years at the University of Mannheim with a degree and a grade according to section 5 subsection 1.

(3) The doctoral committee may also admit particularly qualified graduates of a Diplom, master's or bachelor's program with a standard period of study of at least four years of the fields of Business, Economics and Business Informatics of a University of Applied Sciences if they have completed an assessment period of three semesters. The final grade of the degree from the University of Applied Sciences or of the bachelor's degree shall be "sehr gut" ("very good") and the doctoral committee of the respective school shall confirm that the doctoral candidate is capable of performing the scientific research expected from university graduates according to these regulations. The doctoral committee shall

PLEASE NOTE:

English translations of Promotionsordnungen are intended solely as a convenience to non-German-reading students. Only the German text published in the Bulletin of the President's Office ("Bekanntmachungen des Rektorats") is legally binding. In the event of any conflict between the English and German text, its structure, meaning or interpretation, the German text, its structure, meaning or interpretation shall prevail.
decide upon the coursework to be completed during the assessment period.
(4) Section 3 applies correspondingly to particularly qualified graduates of Cooperative Universities if the degree is state-approved.

Section 6 - Admission as a Doctoral Candidate
If all admission requirements have been met and there are no reasons for rejection according to section 7, the doctoral committee shall decide on the admission of the applicant upon the proposal of his or her supervisor. If the applicant is admitted, the dean accepts him or her to the list of doctoral candidates of the school. The doctoral candidate shall receive an official notification which entitles him or her to enrollment at the University of Mannheim and the use of university facilities according to the Act on Higher Education of the Land of Baden-Württemberg (LHG) and the regulations on admission and enrollment of the University of Mannheim; the notification also requires him or her to adhere to the principles of good scientific conduct. The supervisor shall oversee the progress of the dissertation and the doctoral program of the doctoral candidate and give advice in terms of time management and quality by means of regular meetings.

Section 7 - Rejection as a Doctoral Candidate, Revocation of Admission
(1) The doctoral committee may deny the admission of an applicant if the topic of the dissertation is not appropriate or originates from a field of study that is not sufficiently represented at the school. 
(2) The application for admission may be rejected on the grounds that would legally justify the revocation of the doctoral degree.
(3) The admission of a doctoral candidate may be revoked if a professor or senior academic staff member (Privatdozent) issues a declaration on the unsatisfactory progress of the doctoral dissertation.

Section 8 - Admission to the Doctoral Process
(1) The doctoral candidate shall submit a written request to obtain a doctoral degree to the dean.
(2) The request shall include
   a) the doctoral dissertation, usually written in German or English, in triplicate as well as the doctoral dissertation in electronic form in a common file format on an appropriate storage device. The copies of the dissertation and the storage device submitted become property of the university.
   b) A signed affirmation in lieu of oath with the following wording:
      "Declaration in lieu of oath according to section 8 subsection 2 No.1(b) of the Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the University of Mannheim:"
      1. Bei der eingereichten Dissertation zum Thema………………………………
         ……………………………………………………………………handelt es sich um mein eigenständig erstelltes Werk, das den Regeln guter wissenschaftlicher Praxis entspricht.
         The submitted doctoral dissertation on the subject………………………………………………………………… is my own work and adheres to the rules of proper scientific conduct.
      2. Ich habe nur die angegebenen Quellen und Hilfsmittel benutzt und mich keiner unzulässigen Hilfe Dritter bedient. Insbesondere habe ich wörtliche und nicht wörtliche Zitate aus anderen Werken als solche kenntlich gemacht.

PLEASE NOTE:
English translations of Promotionsordnungen are intended solely as a convenience to non-German-reading students. Only the German text published in the Bulletin of the President’s Office (“Bekanntmachungen des Rektorats”) is legally binding. In the event of any conflict between the English and German text, its structure, meaning or interpretation, the German text, its structure, meaning or interpretation shall prevail.
I did not seek unauthorized assistance of a third party and I have employed no other sources or means except the ones listed. I clearly marked any direct and indirect quotations derived from the works of others.

3. Die Arbeit oder Teile davon habe ich wie folgt/bislang nicht an einer Hochschule des In- oder Auslands als Bestandteil einer Prüfungs- oder Qualifikationsleistung vorgelegt. I did not yet present this doctoral dissertation or parts of it at any other higher education institution in Germany or abroad.

Titel der Arbeit:
Title of the doctoral dissertation

Abschluss:
Degree


5. Die Bedeutung der eidesstattlichen Versicherung und die strafrechtlichen Folgen einer unrichtigen oder unvollständigen eidesstattlichen Versicherung sind mir bekannt. Ich versichere an Eides statt, dass ich nach bestem Wissen die reine Wahrheit erklärt und nichts verschwiegen habe. “I am aware of the significance of this affirmation and the legal ramifications in case of untrue or incomplete statements. I affirm in lieu of oath that the statements above are to the best of my knowledge true and complete.”

c) A signed declaration of consent stating that the dissertation may be stored, sent or processed electronically exclusively in order to be checked for plagiarism.

The doctoral dissertation shall be rejected if the declaration according to No. 1 b) and c) is not submitted.

d) Proof that apart from the completion of his or her doctoral dissertation the candidate has successfully completed a doctoral program. Successful completion of a program of study at the Center for Doctoral Studies in Business (CDSB) shall serve as proof. Successful completion of three courses of the doctoral program including examinations shall also serve as proof. In the case that the doctoral candidate has attended a doctoral program at another institution, comparable coursework may be recognized. Courses which have been successfully completed as part of a doctoral program at a university inside as well as outside of Germany may be recognized by the doctoral committee upon request of the supervisor.

(3) The registration for the oral exam may be withdrawn provided the dissertation has not been rejected and the oral defense not yet begun.

(4) For admission, the documents according to section 4 shall have been submitted and the admission requirements according to section 5 shall have been met. Concerning the rejection of the request to obtain a doctoral degree section 7 subsections 1 and 2 apply correspondingly.
Section 9 - Acceptance of the Doctoral Dissertation

(1) The dean checks the request and decides on the admission. The dean shall appoint the main evaluator and the second evaluator for the doctoral dissertation. If necessary for the particular case and upon request of the supervisor or an official request, the dean may, as an exception to this section, appoint two second evaluators. The main evaluator shall be the professor or senior academic staff member (Privatdozent) who supervised the doctoral candidate. At least one of the evaluators shall be a tenured professor or a professor with an equivalent status at the University of Mannheim.

(2) Written evaluations shall be submitted within 2 months. If the evaluators support the acceptance of the dissertation in their evaluations, the dean gives all members of the doctoral committee the opportunity to read the dissertation within an appropriate period of time and make a statement. This period is three weeks and shall be during lecture periods.

(3) The dissertation is considered accepted if the evaluators support its acceptance and none of the members of the doctoral committee object to the recommendation in writing during the designated period (subsection 2 (3)). In case of a disagreement regarding the acceptance, the doctoral committee decides. If needed, the committee may obtain an evaluation from a third evaluator.

(4) Each evaluator who supports the acceptance of the dissertation shall grade it by assigning one the following grades: "summa cum laude", "magna cum laude", "cum laude" or "rite". The following equivalents apply:

- Grades 1.0-1.5 equal summa cum laude
- Grades 1.6-2.5 equal magna cum laude
- Grades 2.6-3.5 equal cum laude
- Grades 3.6-4.0 equal rite

Grades may be differentiated by adding or subtracting 0.3. The grades 0.7 and 4.3 shall not be assigned.

(5) If the doctoral committee or the evaluators reject the dissertation, the doctoral examination is considered failed. The candidate shall be notified of this in writing. All higher education institutions in Germany that have the right to confer doctoral degrees in Business Administration will be informed of the rejection.

Section 10 - Examination Committee

(1) The dean appoints the members of the examination committee.

(2) The members of the examination committee shall be the evaluators and at least one more examiner. The dean, the vice dean or a professor appointed by the dean chairs the committee. At least fifty percent of the members shall be tenured professors or professors with an equivalent status at the University of Mannheim.

Section 11 - Oral Defense and Final Grade

(1) The candidate shall defend his or her dissertation publicly in an oral defense. The oral defense is conducted by the chair of the examination committee. The members of the examination committee and the doctoral committee are authorized to ask questions and to respond. At least two members of the examination committee shall be members of the Business School. The examination lasts at least one and no longer than two hours. The committee's decisions are based on a majority of votes. In the event of a tie, the vote of the chair shall decide the matter.

After the oral defense has been completed successfully, the chair of the examination committee determines the final grade. The grade is "excellent" (summa cum laude), if all evaluations propose this grade and the oral defense has been evaluated with summa cum laude. In all other cases the final grade is

PLEASE NOTE:
English translations of Promotionsordnungen are intended solely as a convenience to non-German-reading students. Only the German text published in the Bulletin of the President’s Office (“Bekanntmachungen des Rektorats”) is legally binding. In the event of any conflict between the English and German text, its structure, meaning or interpretation, the German text, its structure, meaning or interpretation shall prevail.
the arithmetic average of the grades for the dissertation and the oral defense. The dissertation grade is weighted double whereas the oral defense is weighted regularly. The grade is

- *magna cum laude* in case of an average up to 2.5
- *cum laude* in case of an average from 2.6 to 3.5
- *rite* in case of an average from 3.6 to 4.0

When calculating the final grade only the first decimal place shall be of importance; all other decimal places shall be eliminated without rounding up or down.

(2) The oral defense, the grading process according to subsection 1 and the notification of the result shall be recorded in minutes. Upon request, the doctoral candidate receives a confirmation stating the final grade of the successfully completed doctorate. The confirmation needs to feature a note stating that it does not yet entitle the candidate to officially hold a doctoral degree.

(3) A candidate who fails the oral defense may present himself or herself again within 12 months but no earlier than 6 months after the first attempt. If the oral defense is failed again, the result is final and unappealable.

**Section 12 - Printing**

(1) The dissertation shall be published in the version that has been approved by the evaluators. If one of the evaluators does not approve, the doctoral committee decides on the approval.

(2) Altogether, 55 printed copies of the dissertation shall be given to the university library free of charge. However, the number of mandatory copies can be reduced to 6 if the dissertation is published

1. by a publishing house with at least 80 copies, or
2. in a relevant scientific magazine, or
3. in electronic form in a format that is approved by the university library and stored on a University of Mannheim server upon approval of the university.

All mandatory copies shall include a short CV. In justified cases, the dean may allow the printing of a shortened version in agreement with the doctoral committee.

(3) The mandatory copies shall be delivered within one year after the doctoral candidate has been informed of his or her grade. A doctoral candidate who fails to deliver the copies in time forfeits all rights acquired with the examination. The dean may extend the deadline upon reasoned request.

(4) The cover page of the dissertation shall read "Inauguraldissertation zur Erlangung des akademischen Grades eines Doktors der Wirtschaftswissenschaften der Universität Mannheim". The back of the cover page shall indicate the name of the dean as well as the names of the supervisors and evaluators and the date of the oral defense. If the dissertation is published with a publishing house, the publication shall indicate that it is based on a dissertation at the University of Mannheim.

**Section 13 - Granting of Doctoral Degree**

(1) Once the mandatory copies have been submitted, the doctoral degree is granted with the handover of the doctoral degree certificate. With the official granting of the degree, the candidate is authorized to use the title "doctor".

(2) The doctoral degree certificate is signed by the president of the University of Mannheim and the dean. It bears the date of the oral defense.
Section 14 - Annulment and Revocation of the Doctoral Degree

(1) The doctoral degree shall be annulled by the doctoral committee if it becomes evident that the doctoral candidate cheated during the admission to the doctoral process or during one of the examinations or did not adhere to the principles of proper scientific conduct.

(2) The doctoral committee is responsible for the revocation of the doctoral degree.

Section 15 - Renewal of the Doctoral Degree Certificate, Honorary Doctorate

(1) In order to honor its graduates, the school can renew doctoral degree certificates on the occasion of the 50th anniversary of the awarding of the doctorate. In the laudation, the school honors the academic and public achievements of the graduate.

(2) The university awards the honorary doctorate in Business (Dr. rer. pol. h.c.) in accordance with its Policy on the Awarding of Honorary Degrees.

Section 16 - Final Provisions

(1) These Regulations and Procedures Governing the Doctoral Dissertation become effective on 1 August 2014. At the same time, the Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the Business School of 27 March 2006, last amendments on 3 November 2010, cease to be effective.

(2) Candidates who have submitted a request to obtain a doctoral degree to the dean before these Regulations and Procedures Governing the Doctoral Dissertation became effective may request to continue the doctorate according to the respective valid version of the Regulations and Procedures Governing the Doctoral Dissertation of 27 March 2006, last amendments on 3 November 2010.

Approved and issued:
Mannheim, 11 March 2014

Prof. Dr. Ernst-Ludwig von Thadden
President