

Regulations on Doctoral Procedures
Faculty of Management and Economics

Doctorate in Economics
- Doctor rerum politicarum (Dr. rer. pol.) -

Revised on 10.12.2019

Witten/Herdecke University has issued the following Regulations on Doctoral Procedures pursuant to § 73 a (3), and § 67 of the Higher Education Act (*Hochschulgesetz - HG*) of the Federal State of North Rhine-Westphalia as amended.

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§ 1 General

The Faculty of Management and Economics at Witten/Herdecke University awards the academic degree of a Doctor of Political Science and Economics (Dr. rer. pol.) on the basis of a doctoral thesis (dissertation) and an oral examination (viva voce or public defense of the dissertation). It may award an honorary doctorate (Doctor rerum politicarum honoris causa - Dr. rer. pol. h.c.) for outstanding academic and social merits.

§ 2 Purpose of doctoral procedures

Doctoral procedures serve as evidence of a candidate's competencies in independent scientific research, documented by a written doctoral thesis (dissertation) in a scientific discipline represented with a Chair or Professorship at the Faculty of Management and Economics, Witten/Herdecke University, as well as by an oral public defense (viva voce) of this thesis.

§ 3 Doctoral Procedures

Doctoral procedures commence with the applicant's acceptance as doctoral candidate and end with the resolution on the candidate's performance.

1. Committees and officials

1.1 Mentor

The mentor is the doctoral candidate's personal contact in doctoral procedures and provides continuous support. The mentor holds either a professorship or postdoctoral lecturing qualification at the Faculty of Management and Economics, Witten/Herdecke University.

1.2 Doctoral committee

A doctoral committee is set up for the doctoral procedures at the Faculty of Management and Economics to perform all pertinent tasks and those assigned to it by these Regulations on Doctoral Procedures.

Responsibilities of the doctoral committee include in particular:

- to ascertain requirements for, and decide on admission to, doctoral procedures in accordance with § 3 (2.1);
- to open doctoral procedures and appoint reviewers in accordance with § 3 (2.3);
- to determine dates and deadlines;
- to decide on special cases in doctoral procedures; and
- to rule on objections.

The doctoral committee consists of five members from the group of university teachers at the Faculty of Management and Economics in accordance with §11 (1.1) of

the Higher Education Act (HG - *Hochschulgesetz*). The members of the doctoral committee elect the chairperson and the deputy chairperson. Members of the doctoral committee are suggested by the Dean and elected by the Faculty Council. They may be re-elected, and their term of office is four years. The composition of the doctoral committee must be announced.

Passing of committee resolutions is not open to the public. Decisions are taken by simple majority. The vote of the chairperson shall decide in the case of a tie vote. The doctoral committee may delegate current business to the chairperson. Resolutions on negative decisions and objections require a vote of the committee as a whole.

The chairperson shall oblige the members of the doctoral committee to observe confidentiality.

The doctoral committee ensures that the Regulations on Doctoral Procedures are adhered to. It reports to the Faculty Council on the progress of doctoral procedures on a regular basis and may suggest revisions in regulations and improvements in procedures.

2. Sequence of doctoral procedures

2.1 Acceptance as doctoral candidate

2.1.1 Applicants may be admitted to doctoral procedures of Dr. rer. pol. who document:

1. successful completion of a relevant degree programme at an institution of higher education with a standard period of study of at least eight semesters, concluded with a degree other than a bachelor's degree and with a final grade of at least "good" (2.5 or better); or
2. successful completion of a relevant degree programme at an institution of higher education with a standard period of study of at least six semesters, concluded with a final grade of "excellent" (1.5 or better), and subsequent appropriate studies in the pertinent subjects in preparation of the doctoral project; or
3. successful completion of a master's degree programme pursuant to § 61 (2.2) HG, concluded with a final grade of at least "good" (2.5 or better).

Relevant degree programmes are in particular programmes from the fields of business economics, general management, political science, industrial engineering and business information technology. Admission is also possible for applicants who, in addition to meeting all other requirements, submit evidence of a degree in a field sufficiently related to political science and economics. The doctoral committee decides on the equivalence of the degree and the appropriate studies in the pertinent subjects in preparation of the doctoral project pursuant to 2.1.1 (2).

The doctoral committee also decides on reasonable exceptions from above grade requirements.

Differing doctoral admission procedures for applicants with a degree from a university on the one hand and for applicants with a degree from a university of applied sciences on the other hand are not permissible.

- 2.1.2 The applicant determines the subject of the doctoral thesis in the form of a standardised supervision agreement, in consultation with the mentor. The doctoral supervision agreement contains a CV, certificates of successfully passed relevant examinations, and an outline (exposé) which describes the planned research project (objective, intended methodology, prospective results and schedule). It forms the basis for the doctoral thesis. Mentor and doctoral candidate must both sign the supervision agreement.
- 2.1.3 The applicant registers the doctoral project with the chairperson of the doctoral committee by submitting the supervision agreement. Within eight weeks of receipt, the chairperson of the doctoral committee checks whether the application meets the requirements according to Section 2.1.1 and checks the submitted documents for completeness. The applicant must be given a deadline of two weeks to revise the supervision agreement, and achieves the status of doctoral candidate as soon as all requirements have been met. The first instalment of the fees for doctoral procedures and administrative fees pursuant to the applicable UW/H Regulations on Fees are due for payment. After admission, the doctoral candidate has to be registered at the Registrar's Office without delay.

2.2 Doctoral thesis (dissertation)

- 2.2.1 The doctoral thesis must be a candidate's independent academic performance. The written thesis must constitute a contribution to scientific progress in one of the disciplines represented at the Faculty of Management and Economics and provide evidence of the candidate's competence to elaborate on a scientific topic under supervision using sound methods, and to present the findings comprehensively with due reference to the literature. Candidates have to adhere to the methodological principles of their discipline.
- 2.2.2 Doctoral theses shall be written in German or English. They may have been published elsewhere in parts, with the listing of authors clearly connecting the publication with Witten/Herdecke University.
- 2.2.3 A cumulative dissertation is possible. This is the compilation of at least three papers with the candidate as author. At least one paper must have already been accepted for publication in a peer-reviewed journal. The Guidelines for Cumulative Dissertations in the Appendix to these regulations provide further details.

If a doctoral candidate plans to submit a cumulative dissertation, the mentor submits a corresponding application to the chairperson of the doctoral committee. The doctoral committee makes the final decision on acceptance.

2.3 Application

2.3.1 Upon completion of the thesis, the doctoral candidate submits a written application to the chairperson of the relevant doctoral committee, in coordination with the mentor. This application includes:

- the title of the doctoral thesis (dissertation),
- the mentor's written confirmation that he/she approves of the submitted version of the thesis and is willing to act as the primary reviewer,
- two alternative suggestions for the second reviewer, with the suggested persons having to meet the requirements pursuant to § 36 HG,
- proof of payment of the second instalment of the fees for doctoral procedures in accordance with the UW/H Regulations on Fees,
- the candidate's updated CV in German or English,
- documentation of completed coursework and exam performance,
- the doctoral thesis in four copies (for a cumulative dissertation: the equivalent in the meaning of Section 2.2.3) as well as an electronic PDF file,
- an affidavit attached to these Regulations on Doctoral Procedures as Appendix 1.

2.3.2 If the chairperson of the doctoral committee questions the suitability of a suggested reviewer, she/he may ask the doctoral candidate to make further suggestions.

2.3.3 Candidates who withdraw their application for doctoral procedures must notify the chairperson of the doctoral committee in writing. Withdrawal is admissible only as long as the doctoral thesis has not been rejected for insufficient proof of independent academic performance as requested in § 2.

2.4. Grading of doctoral thesis (dissertation)

2.4.1. The chairperson of the doctoral committee ascertains within a reasonable period whether the application is correct and complete. The doctoral candidate has two weeks to hand in missing documents. As soon as the application is complete, the chairperson of the doctoral committee commissions the mentor and one of the suggested second reviewers to write their reviews within a period of twelve weeks. If by this deadline a review has not been submitted, the chairperson of the doctoral committee – after one written reminder and another two-week deadline – contacts the alternative second reviewer suggested by the mentor and asks for a review.

2.4.2 The doctoral thesis is available for inspection at the Dean's Office of the Faculty of Management and Economics for two weeks after receipt of the two reviews. All professors and holders of postdoctoral lecturing qualifications at the UW/H Faculty of Management and Economics are authorized to inspect all documents referring to the doctoral procedure and may submit expert comments to the chairperson of the doctoral committee. The mentor is to be informed of such comments in writing. The doctoral committee must duly consider them in assessing the thesis.

2.4.3 Reviews must state acceptance or rejection and contain a recommendation for the grade to be awarded. The following grades may be awarded:

- summa cum laude (0)
- magna cum laude (1)
- cum laude (2)
- rite (3).

If both reviewers suggest acceptance but differ in the recommended grade by at least two grades, the competent chairperson of the doctoral committee commissions an independent third review from a professor at Witten/Herdecke University or another academic institution of higher education within a period of four weeks maximum. The final grade is calculated from the arithmetic mean of all reviews.

If one reviewer suggests rejection and the other acceptance, the competent chairperson of the doctoral committee commissions an independent third review from a professor at Witten/Herdecke University or another academic institution of higher education within a period of four weeks maximum. If two of the then available three reviews suggest rejection, then the thesis is deemed to be rejected. If the dissertation is rejected, the chairperson of the doctoral committee will notify the candidate in writing. The reasons for rejection must be given in writing, complemented by information on the right to appeal. The doctoral committee decides on appeals. If two of three reviews suggest acceptance, then the thesis is deemed to be accepted. The grade awarded will be based only on the two reviews suggesting acceptance.

The chairperson of the doctoral committee has the right to propose external reviewers, in consultation with the mentor and the Dean of the Faculty of Management and Economics.

The grade "summa cum laude" may only be awarded for doctoral theses which candidates have already published wholly or partly as an author in an internationally renowned peer-reviewed journal. The grade "summa cum laude" can only be awarded to monographic theses as the final grade if both reviewers suggest it without reservation. In this case, the competent chairperson of the doctoral committee commissions an external reviewer with an outside opinion on the thesis with a deadline of four weeks. The chairperson of the doctoral committee has the right to propose this external reviewer in consultation with the mentor. Sections 2.4.2 and 2.4.3 apply accordingly to the external review; the thesis will be available for inspection according to Section 2.4.2 only after receipt of the external review.

2.4.4 After the display period ends, the chairperson of the doctoral committee decides on acceptance of the thesis.

2.4.5 The chairperson of the doctoral committee may decide to return the thesis to the candidate and request amendments on a one-time basis. The deadline for resubmission is twelve months. The doctoral committee may extend it by another twelve months for serious reasons upon the candidate's request. A doctoral thesis is deemed as rejected if the candidate does not meet the deadline.

2.5 Oral proceedings

- 2.5.1 Oral proceedings may be opened as soon as the chairperson of the doctoral committee has accepted the doctoral thesis.
- 2.5.2 As soon as the thesis has been accepted and the requirements as set out in Section 2.5.1 have been met, the chairperson of the doctoral committee sets a date for the oral examination (public defense/viva voce). Reviewers are to be invited for that date without delay.
- 2.5.3 The oral examination is open to the university public and is held in the presence of at least one member of the doctoral committee and the two reviewers, with one of the reviewers being able to take part in the examination via video conference.
- 2.5.4 The oral examination may be held either in German or in English.

2.6 Oral examination (public defense/viva voce)

- 2.6.1. The oral examination takes place in the form of a colloquium and starts with the doctoral candidate presenting the key findings of the doctoral thesis within 30 minutes at most, followed by a discussion of the presentation content, which shall not exceed 30 minutes. The chairperson or deputy chairperson of the doctoral committee presides over the meeting. The examinations board consists of the chairperson and the reviewers.
- 2.6.2 The examinations board deliberates on acceptance and decides on the grade to be awarded. Reviewers of the thesis are entitled to vote. Possible grades are listed in Section 2.4.3.
- 2.6.3 If the grade awarded for the doctoral candidate's oral performance is not at least "rite", the candidate is deemed to have failed. If the candidate fails the oral examination, the chairperson of the doctoral committee will notify the candidate also in writing, including information on the right to appeal. The doctoral committee decides on appeals. If the oral examination is rejected, the chairperson of the doctoral committee and the candidate agree on a date for a repetition of the oral examination on a one-time basis. If the oral examination is still rejected after the repetition, the doctoral procedures are deemed as having been definitely failed. The chairperson of the doctoral committee will notify the candidate in writing, including information on the right to appeal. The doctoral committee decides on appeals.
- 2.7. If a candidate is absent from the oral examination or does not complete it without a compelling reason, this examination is deemed to have been failed. The doctoral committee has the final say.

§ 4
Resolution on doctoral procedures

Upon acceptance of a candidate's written and oral performance, the relevant doctoral committee decides on the grade to be awarded, based on submitted reviews and the grade awarded for the oral examination. Possible grades are listed in § 3 (2.4.3).

The final grade "summa cum laude" may be awarded only if recommended unreservedly in all available single assessments (reviews and oral examination grade). If one of the single assessments differs, then the final grade cannot be better than "magna cum laude".

In all other cases the final grade is calculated by two-thirds (2/3) from the arithmetic mean of the reviews considered (see § 3, 2.4.3) and by one third (1/3) from the grade for the oral examination.

The final grade corresponds to the following levels:

0	=	summa cum laude
> 0 to 1.5	=	magna cum laude
> 1.5 to 2.5	=	cum laude
> 2.5 to 3.0	=	rite

§ 5
Publication

1. Candidates must have their doctoral thesis printed or duplicated at their own expense within one year after resolution on doctoral procedures. The ready-for-print manuscript has to be submitted to the mentor for permission to print. Permission is deemed to be given if this version corresponds exactly to the version submitted for review. In this case, the doctoral candidate confirms exact correspondence via affidavit to the chairperson of the doctoral committee.
2. Publication requirements are met by
 - delivery of one specimen copy printed on paper and twelve (12) electronic copies via the graduation office to the University library – data format and storage medium have to meet the provision of the University library;
 - or proof of distribution via professional editors with a minimum edition of 150 copies. Date and place of publication as a doctoral thesis at Witten/Herdecke University must be indicated on the back of the title page. Fifteen (15) copies must be delivered to the University library via the graduation office.
3. The title page must correspond to the templates for title pages in Appendices 2 and 3. A brief CV and the affidavit must be attached to the dissertation on the last pages.

4. In substantiated cases and if requested by the doctoral candidate in good time, the chairperson of the doctoral committee may extend the publication deadline for the doctoral thesis by six months maximum on a one-time basis.
5. The University's obligation to issue the doctoral certificate shall expire if a candidate does not meet the established publication deadline.

§ 6
Doctoral certificate

1. Doctoral certificates are handed over to candidates who have met all obligations. The certificate contains, among other things, the title of the doctoral thesis and the final overall grade. It is signed by the Dean of the Faculty of Management and Economics as well as by the President of Witten/Herdecke University and carries the University seal. It bears the date of the last completed examination.
2. The doctoral certificate may be handed over upon proof of dissertation publication in print and payment of administrative fees.
3. Candidates may claim the doctoral title only after having received the doctoral certificate.

§ 7
Withdrawal of doctoral degree

If a doctoral candidate turns out to be guilty of deception in connection with her/his performance in doctoral procedures or proof of such performance, in particular if the doctoral thesis is not completely to be recognized as the candidate's autonomous performance or if essential requirements turn out to have been erroneously assumed by the chairperson of the doctoral committee to be met, the Faculty of Management and Economics is authorized to declare the degree as null and void any time and to withdraw the degree immediately and irrevocably. Details are set out in the UW/H rules of good scientific practice on how to address scientific misconduct.

§ 8
Inspection of procedural records

1. Doctoral candidates have the right to inspect the entire procedural records, including reviews and any comments, during the display period.
2. Inspection of records includes the right to make transcripts or copies at the candidate's own expense.

§ 9
Exclusion of the public

All deliberations and resolutions on doctoral procedures take place in closed session unless stated otherwise in these Regulations on Doctoral Procedures.

§ 10
Honorary doctorate

1. The University may award an honorary doctorate (Dr. rer. pol. h.c.) for outstanding academic and social merits. The decision requires approval by at least two-thirds (2/3) of the Faculty Council members attending. A university teacher has to submit a substantiated request for such a decision to the Dean in writing.
2. An honorary doctorate requires approval by the Senate in each individual case, in addition to a positive vote in the Faculty Council.
3. An honorary doctorate must be substantiated in the certificate, which will bear the date of the Senate's resolution and the signatures of the University President and the Dean of the Faculty. The relevant Ministry of Research will be notified.

§ 11
Entry into force

These revised Regulations on Doctoral Procedures enter into force on 01.04.2020. Registration under earlier versions of these regulations passed by the Faculty of Management and Economics, Witten/Herdecke University, is no longer possible as from that date.

Any doctoral procedures opened prior to that date in accordance with § 3 will be governed by the Regulations on Doctoral Procedures applicable at the start of these procedures. However, a doctoral candidate may submit a request to the chairperson of the doctoral committee to apply this latest revised version.

These Regulations on Doctoral Procedures were issued on the basis of the Senate's resolution dated 14.01.2020 and the determination of equivalence of these Regulations on Doctoral Procedures with regulations at state universities issued by the NRW Ministry of Culture and Science dated 24.03.2020 – reference number: 223-7.04.02.01.01/146 (9686).

Witten, 31.03.2020

Prof. Dr. med. Martin Butzlaff
President
Witten/Herdecke University

(Translation: March 2020 – The original German version is legally binding.)

Appendix 1 to Regulations on Doctoral Procedures: Affidavit

(First name, surname)

(Address)

I herewith affirm in lieu of an oath that I have compiled the doctoral thesis (dissertation) submitted without assistance, have not used other sources and tools than those indicated, and have marked text parts, data and concepts quoted verbatim or in substance as such, indicating the source. The persons listed below have assisted me in selecting and assessing the following material against payment/free of charge (please underline as appropriate) in the way described:

Other persons did not contribute to the compilation of the doctoral thesis submitted in terms of content and material. In particular, I have not used the services of any professional agencies against payment. Nobody has received any benefits in kind, neither directly nor indirectly, for services in connection with the content of the doctoral thesis submitted. I have not submitted this dissertation to any other examinations office in the same or similar form, neither in Germany nor abroad. I affirm that, to the best of my knowledge, I have told nothing but the truth and have not withheld any information."

.....
Date

.....
Signature

Appendix 2 to Regulations on Doctoral Procedures: Template for title page of doctoral thesis

(Title of doctoral thesis)

Inaugural doctoral thesis
to be awarded the title of a Doctor of Economics
(Doctor rerum politicarum – Dr. rer. pol.)
of the
Faculty of Management and Economics
at
Witten/Herdecke University

Submitted by:

(first name, surname)

From: (place of birth)

(Year of print)

Appendix 3 to Regulations on Doctoral Procedures: Template for back of title page

First reviewer:

Second reviewer:

Date of oral examination: