



DOCTORAL DEGREE REGULATIONS

Faculty of Management and Economics

Witten/Herdecke University

Issued: January 1, 2013

The Private Universität Witten/Herdecke gGmbH has issued the following Doctoral Degree Regulations, pursuant to § 73 section 2 and § 67 of the NRW Higher Education Act (HG) in the version of the Academic Freedom Act dated October 31, 2006 (GV.NRW, p. 474) in their current versions.

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§ 1

Purpose of doctoral studies

Doctoral studies serve as evidence of a candidate's competences in independent scientific research beyond the level and scope of a degree program in economics.

§ 2

Doctoral degree

- (1) The Faculty of Management and Economics at Witten/Herdecke University awards the academic degree of a doctor of economics (Doctor rerum politicarum – Dr. rer. pol.) pursuant to regular doctoral procedures.
- (2) It awards an honorary doctorship of economics (Doctor rerum politicarum honoris causa – Dr. rer. pol. h. c.) on the basis of a faculty council resolution (§ 18).

§ 3

Doctoral procedures

Requirements for successful doctoral procedures are:

- completed doctoral studies,
- an academically noteworthy written thesis and
- a successful oral examination (disputation).

§ 4

Doctoral committee

- (1) The dean is the faculty representative for, and in charge of, doctoral procedures. The dean may delegate this responsibility to the chairperson of the examination committee.
- (2) The faculty appoints a doctoral committee consisting of the dean and two further professors, holders of postdoctoral lecturing qualifications or junior professors in full-time positions at the faculty. The second and third members of the doctoral committee are elected by the faculty council for a term of two years. The committee elects a chairperson from among its members.

§ 5

Admission to doctoral studies

- (1) Candidates are admitted to doctoral studies who
 - apply in writing to the doctoral committee,
 - provide evidence of a completed relevant degree program (sections 2 to 6), and
 - meet the remaining admission requirements (sections 7 and 8).
- (2) Relevant degree programs in the sense of section 1/1 are:
 - a) a regular degree program with a standard period of study of at least eight semesters, concluded with a degree other than Bachelor and an overall final mark of at least “good” (better than 2.5);
 - b) a completed regular degree program with a standard period of study of at least six semesters and subsequent appropriate studies in the pertinent subjects in preparation of the doctoral project, with an overall final mark of “excellent” (1.5 or better);
 - c) a relevant Master program in the sense of § 61 section 2 sentence 2 HG, with an overall final mark of “good” (better than 2.5).
- (3) Relevant degree programs are in particular: business economics, general management, industrial engineering, and business and computer science. Admission is also possible for applicants who in addition to meeting the other requirements submit evidence of a degree in a field sufficiently affiliated to economics.
- (4) The doctoral committee may grant exemptions from requirements set down in (2)a-c in substantiated individual cases. In case of (3)2 the doctoral committee decides on equivalence of degree course and qualification. In cases of sentence 1 and 2 the doctoral committee may request candidates to submit proof of preparatory studies or qualifications.
- (5) The doctoral committee may admit applicants to doctoral studies according to (2)b on a temporal basis. In such cases candidates must acquire a total of eight credits in preparation of their doctoral studies within a period of two semesters. Having acquired these credits, candidates are finally accepted as registered doctoral candidates; otherwise the doctoral committee may either extend the 2-semester period or withdraw the temporal admission.
- (6) Admission is also granted on the basis of a degree acquired at a university outside Germany that is equivalent to those stipulated in sections (2) to (5).
- (7) Applicants must submit the following to the doctoral committee in writing:
 - a) provisional title of the doctoral thesis,
 - b) CV and précis of education,
 - c) a statement on previous or current doctoral studies elsewhere, or if applicable, evidence of a doctoral degree acquired previously.

- (8) Applicants must name a supervisor for the doctoral thesis who has confirmed in writing to the doctoral committee his or her willingness to act as a mentor for the candidate. If the mentor has a full-time position at the UW/H Faculty of Management and Economics as a professor, instructor with postdoctoral lecturing qualification or junior professor, or acts as extrabudgetary professor at the Faculty, then the doctoral committee must assign this person to the applicant as a mentor. If the mentor holds an honorary or visiting professorship at the UW/H Faculty of Management and Economics, then the doctoral committee shall assign this person to the applicant as a mentor. If the mentor in the sense of sentence 1 meets requirements of § 65 section 1 sentence 2 HG NRW for the assessment of doctoral performance in a different capacity, the doctoral committee may assign this person to the applicant as a mentor.
- (9) Applicants acquire the status of doctoral candidate at the Faculty upon registration. The doctoral candidate must remain registered at the university for the entire duration of doctoral studies.

§ 6

Content of doctoral studies

- (1) Doctoral studies have a regular duration of six semesters.
- (2) The faculty council sets down contents of doctoral studies acting on a proposal from the faculty professors. Candidates must acquire a total of eight credits. Credits acquired according to § 5 section 5 do not count in this context.
- (3) Doctoral studies have been successfully completed as soon as all requirements of the doctoral curriculum are met. The doctoral committee must confirm completion in writing upon request.
- (4) In substantiated cases the doctoral committee may grant exemption from the doctoral curriculum according to section 2, either in general or in individual cases. In case of exemptions it is necessary to ensure that aims and objectives set down in section 2 are met otherwise. Section 3 sentence 2 applies accordingly.

§ 7

Application to open examination procedures

- (1) Upon successful completion of doctoral studies, candidates may apply in writing to the doctoral committee to open examination procedures.
- (2) The application must comprise.
 - a) the candidate's postal address, title of doctoral thesis, envisaged doctoral title, and name of mentor;

- b) documentation of successful doctoral studies, or exemption;
 - c) CV including description of personal and professional development, nationality;
 - d) statement on previous or current doctoral studies elsewhere, or where applicable, evidence of a doctoral degree acquired previously;
 - e) four bound copies of the doctoral thesis;
 - f) statement that the candidate has compiled the thesis without assistance, has not used other sources and tools than those indicated, and has marked text parts quoted verbatim or in substance as such;
 - g) a list of the candidate's earlier scientific publications in print;
 - h) suggestion of at least two reviewers for the doctoral thesis;
 - i) proof of effected payment of pertinent fees according to current UW/H regulations on fees.
- (3) The application may be withdrawn only once. Withdrawal is denied after receipt of one review, or two weeks after appointment of the examination committee.
- (4) The doctoral committee decides on opening of examination procedures after formal examination of the application within one month upon receipt, and informs the candidate in writing without delay. The committee may give a candidate the chance to remedy any formal defects in the submitted documents within a reasonable time.

§ 8

Examination committee

- (1) Having decided to open examination procedures, the doctoral committee appoints an examination committee for the doctoral examination.
- (2) The examination committee consists of at least two persons, one of whom may be the mentor. Members of the examination committee must meet criteria stipulated in § 5 section 8 sentence 2 to 4. At least one member must meet criteria stipulated in § 5 section 8 sentence 2.
- (3) Examination committee members act as reviewers as well as examiners for the oral examination (defense). The doctoral committee appoints one of the examination committee members as chairperson.

§ 9

Performance

Doctoral studies are considered as successfully passed if the doctoral thesis as well as the oral examination are rated at least as "rite" (sufficient = 3.0).

§ 10

Doctoral thesis

- (1) The doctoral thesis must be a candidate's appropriately formulated and academically noteworthy contribution to scientific research and compiled without assistance. It is accepted that a candidate may have published earlier papers on the academic topic of the thesis.
- (2) Several scientific papers already published or accepted for publication may be accepted as a cumulative thesis if the overall result of these papers meets the requirements of a doctoral thesis, if publications are not too far apart in time, and are part of a cohesive scientific context which has to be described in a conclusive exposition. This will be validated by the examination committee pursuant to implementation provisions to these regulations on doctoral procedures.
- (3) The doctoral thesis must have a title page, a list of contents and a comprehensive list of sources and literature quoted. It may be written either in German or in English.
- (4) Each reviewer shall submit a written and substantiated review to the doctoral committee no later than two months after appointment as reviewer. The doctoral committee passes the reviews on to the chairperson of the examination committee without delay. Reviews must state acceptance or rejection of a doctoral thesis. A jointly agreed suggestion decides on acceptance or rejection. If no agreement has been reached the doctoral committee decides on subsequent steps and may request an additional review. In case of acceptance, the following rating criteria apply:

summa cum laude	(excellent = 0)
magna cum laude	(very good = 1)
cum laude	(good = 2)
rite	(sufficient = 3)

Ratings of 0 (summa cum laude), 1 (magna cum laude) or 2 (cum laude) may be graded down by half a mark. The mark for a rejected doctoral thesis is 4 = non rite (insufficient).

The final overall mark for the doctoral thesis is calculated from the unrounded arithmetic mean of the two individual marks awarded in the two reviews. The doctoral committee requests an additional review if these two marks differ by more than 1.0.

- (5) The examination committee informs the faculty that thesis and reviews are available for inspection for two weeks. The examination committee informs the doctoral committee whether the doctoral thesis was accepted and with which final overall mark, or rejected. Professors and academic staff of the faculty are authorized to inspect the thesis. Persons defined in § 5 section 8 sentence 2 may in addition submit written comments up to the end of the inspection period. The doctoral committee decides on comments advising rejection and may request an additional review for this purpose. The doctoral committee may extend the inspection period given in sentence 1 without stating reasons by up to 4 weeks upon request of a professor at the Faculty.

- (6) Rejection of the doctoral thesis terminates doctoral procedures. The examination committee decides whether to permit the candidate to submit the revised thesis a second time with a new application and informs the doctoral committee accordingly without delay, who will then inform the candidate in writing. One copy of the rejected thesis is kept on file.

§ 11

Oral examination (defense)

- (1) Upon acceptance of the doctoral thesis the chairperson of the examination committee determines the date of the oral examination and notifies the candidate and the doctoral committee of this date and the marks of the reviews at least two weeks prior to this date.
- (2) The doctoral candidate, the mentor acting as the chair of the examination committee as a rule, and the reviewer(s) as additional examiner(s) are present at the oral examination. The oral examination is recorded in minutes which will become part of the examination files.
- (3) The doctoral candidate presents contents and essential results of the thesis for a maximum period of 30 minutes. The subsequent discussion should not exceed 60 minutes and serves to determine the candidate's ability to substantiate, further explicate and defend thesis results against questions and objections on the basis of his or her specific academic knowledge and skills. The examination also extends to the theoretical and methodological background of the thesis subject and may be held in German or English as agreed with the examiners.
- (4) Immediately after the oral examination, the members of the examination committee deliberate on the candidate's performance to agree on whether the candidate passed or failed the examination. They also determine the mark for the examination pursuant to § 10 section 4. The examiner chairing the oral examination notifies the candidate, the examination committee and the doctoral committee of the result without delay.
- (5) If candidates fail in the oral examination, they may repeat the examination but only once within one year, and no earlier than after three months.
- (6) If candidates do not present themselves for the oral examination, or withdraw after the examination has begun, the oral examination is considered as failed. If candidates present valid reasons for their withdrawal or absence they must indicate and substantiate these reasons to the chairperson of the examination committee without delay. In case of illness a candidate must present a medical certificate to the chairperson who will then, if the reasons are accepted, determine a new date; in all other cases the examination is considered as failed.

§ 12

Grade awarded

- (1) Upon conclusion of the last part of the examination the examination committee determines the overall final result of doctoral procedures with one of the following grades:

summa cum laude	(excellent)
magna cum laude	(very good)
cum laude	(good)
rite	(sufficient)

- (2) The grade is calculated from the mean of the overall mark for the doctoral thesis and the overall mark for the oral examination, whereby the thesis accounts for 2/3 and the oral examination for 1/3 of the overall final grade.
- (3) The grade is calculated in accordance with the mean as stipulated in section 2 as follows:

0.0 - <0.6 = summa cum laude
0.6 - <1.6 = magna cum laude
1.6 - <2.6 = cum laude
2.6 – 3.0 = rite

- (4) The examination committee notifies the doctoral committee of the grade achieved without delay and passes on all examination documents.

§ 13

Acquisition of doctoral title

- (1) The doctoral title may be claimed only after candidates have received the official doctoral certificate confirming the successfully passed doctoral examination. Prior to that they receive a provisional certificate confirming the examination.
- (2) The doctoral certificate has to be issued pursuant to appendix 3 and carries the date of the last oral examination, the university seal and the president's and dean's signatures.
- (3) The dean hands over the doctoral certificate after the candidate has delivered copies of the thesis in accordance with § 14, and should do so in a form appropriate to the occasion.

§ 14

Publication

- (1) Doctoral candidates are obliged to produce their thesis in writing and to make results available to the scientific community in appropriate form by duplication and circulation within one year after the last oral examination. If doctoral candidates fail to meet this deadline all rights acquired by the doctoral examination will be forfeited. In justified cases the doctoral committee may extend this deadline upon prior request. If one of the reviewers objects to the version of the doctoral thesis intended for publication the doctoral committee will resolve the issue.
- (2) The candidate makes a doctoral thesis available to the scientific community in appropriate form by delivering, in addition to copies required to be filed by the faculty, two free copies to the university library (via the doctoral committee) on age-resistant, wood and acid-free paper, in double-sided print and permanently preserved, and additionally ensuring circulation either by
 - a) proof of distribution via professional editors with a minimum edition of 150 copies and delivery of 15 publisher copies, or
 - b) delivery of an electronic version in 12 copies, format and disk to be arranged with the doctoral committee, pursuant to current cost and user regulations.
- (3) All publications must adhere to the template for the title page of the doctoral thesis as in appendix 1 and the template for the back of the title page as in appendix 2.
- (4) Proof of distribution of cumulative doctoral theses pursuant to § 10 section 2 ensues from proof of acceptance for publication or effected publication of individual papers.
- (5) In cases described in section (2) b) and in (4), the doctoral candidate confers the right to the university to produce and distribute, or make available in data banks, additional copies of the doctoral thesis in the context of university libraries' statutory duties.
- (6) Copies submitted with the application remain with the reviewers.

§ 15

Withdrawal of doctoral title and deception attempt

- (1) If prior to receiving the doctoral certificate a doctoral candidate turns out to be guilty of deception in connection with his or her performance in doctoral procedures, or if essential requirements for doctoral procedures turn out to have been erroneously assumed to be met, the doctoral procedures are declared null and void. The doctoral committee will decide on such cases.
- (2) The doctoral title may be withdrawn pursuant to statutory regulations. The doctoral committee will decide on such cases.

§ 16

Inspection of procedural files

- (1) Upon conclusion of doctoral procedures, the doctoral candidate has the right to inspect the files of the procedures and is furthermore entitled to inspect, prior to the oral examination, the two reviews of the doctoral thesis, to be made available to the candidate by the chairperson of the examination committee upon request.
- (2) The right to inspect procedural files includes candidates' right to make photocopies at their own cost.

§ 17

Publicity

The oral examination is open to faculty members, but not the subsequent discussion nor announcement of results to the candidate.

§ 18

Honorary doctorship

- (1) The faculty is entitled to award an honorary doctorship in economics (Dr. rer. pol. h. c.) for outstanding academic merits or merits in professional practice in those fields of research and teaching represented at the faculty.
- (2) The faculty council decides on honorary doctorships. A corresponding decision requires a comprehensive submission presented and supported by at least three professors, instructors with postdoctoral lecturing qualification or junior professors at the faculty, to be addressed to the dean in writing. The decision requires approval by 2/3 of all voting members.
- (3) An honorary doctorship requires approval by the Senate of Witten/Herdecke University.
- (4) The honorary doctorship enters into effect upon handing over the doctoral certificate issued to this purpose explicating the honored person's merits. The president and the dean will sign the document and hand it over.

§ 19

Entry into force and transitional arrangements

- (1) These regulations on doctoral procedures enter into force on February 1, 2013. Registration under earlier versions of these regulations passed by the Faculty of Management and Economics is no longer possible as from that date.
- (2) Any doctoral procedures opened previously (acceptance as doctoral candidate according to § 5 of regulations on doctoral procedures passed September 17, 1985 in the amended version issued August 1, 2010) will be governed by that version up to and including December 31, 2014 as deadline for submission of the thesis. From then on current regulations on doctoral procedures will apply to those candidates as well. The doctoral examination may follow current regulations on doctoral procedures upon a candidate's request.
- (3) Any doctoral procedures opened previously (acceptance as doctoral candidate according to § 5 of regulations on doctoral procedures passed September 17, 1985 in the amended version issued October 24, 2001) will be governed by that version up to and including December 31, 2012. From then on current regulations on doctoral procedures according to (1) will apply to those candidates as well. The doctoral examination may follow regulations according to (2) up to and including December 31, 2014.
- (4) The doctoral committee may extend the deadline stipulated in (2) by up to two years in substantiated individual cases. The same applies to (3) sentence 3.
- (5) Issued on the basis of the Senate's decision dated November 6, 2012 and confirmation of equivalence with pertinent state university regulations by the NRW Ministry of Innovation, Science and Research dated January 23, 2013 - AZ.: 221-7.04.02.01/146 (9686).

Witten, January 25, 2013

Prof. Dr. Martin Butzlaff

President, Private Universität Witten/Herdecke gGmbH

Translation: July 2013. The original German version is legally binding.

Appendix 1 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

at

Witten/Herdecke University

in the field of management and economics

submitted by:

(first name, surname)

from (place of birth)

(year of print)

Appendix 2 to Regulations on Doctoral Procedures

Template for back of title page

First reviewer:

Second reviewer:

Date of oral examination:

Appendix 3 to Regulations on Doctoral Procedures

Template for Doctoral Certificate

Mr/Ms **First name, surname,**

born in (place of birth) on (date of birth),

successfully completed regular doctoral procedures

at the Faculty of Economics, Witten/Herdecke University

with his/her doctoral thesis entitled:

(title of doctoral thesis)

in evidence of his/her abilities to pursue independent scientific research.

With this document the University awards the academic title of a:

Doctor of economics (Dr. rer. pol.)

The overall final mark awarded is:

(mark).

In witness thereof this document was issued bearing the university seal.

Witten, (date of last oral examination)

(Name)

President

(Name)

(Dean)