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**Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in
Natural Sciences at the University of Mannheim**

as at 6 June 2016

(Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 16 / 2016
of 10 June 2016)

This is a non-official version of the Regulations on Admission and Enrollment. Only the version published in the Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) shall prevail and be binding.

Based on section 38 subsection 4(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 Natural Sciences according to section 19 subsection 1(2) No. 10 LHG on 1 June 2016. The President approved this on 6 June 2016.

Section 1 - Type and Purpose of the Doctorate

(1) ¹The School of Business Informatics and Mathematics of the University of Mannheim awards the degree of the Doctor of Natural Sciences (doctor rerum naturalium - Dr. rer. nat.) based on the successful completion of a dissertation and an oral defense. ²The doctorate serves to prove that the doctoral student is able to pursue in-depth scientific research.

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(2) ¹The doctoral dissertation shall deal with a field of study adequately represented at the School of Business Informatics and Mathematics. ²It shall result from independent work and make a significant contribution to the further development of this field of study.

(3) During the oral defense, the doctoral candidate shall present the results of his or her dissertation and prove that he or she is able to discuss their scientific significance within the field of study.

Section 2 – Supervisors, Examiners, Evaluators

(1) Within the meaning of these Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree supervisors shall be full professors, junior professors and senior academic staff members (Privatdozenten) of the School of Business Informatics and Mathematics of the University of Mannheim. With their consent, professors emeriti, senior academic staff members (Privatdozenten), junior 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 also be appointed as supervisors. At least one supervisor shall have the University of Mannheim as his or her main employer. The supervisors will supervise and advise the doctoral candidate during the doctoral program, receive the report on the status of the dissertation from the doctoral candidate and meet with him or her on a regular basis to discuss the progress of the dissertation; it shall be made sure that the doctoral candidate works independently at all times.

(2) Examiners and evaluators shall be full professors, junior professors and senior academic staff members (Privatdozenten) of the School of Business Informatics and Mathematics of the University of Mannheim. Professors, junior 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 and evaluators of the doctoral candidates they

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supervised. With their consent, professors emeriti and senior academic staff members (Privatdozenten) may also be appointed as examiners and evaluators.

(3) Full professors, junior professors and staff members who hold the *venia legendi* from German public universities, officially recognized universities, national or foreign higher education institutions or institutions recognized as equivalent by the doctoral committee can be admitted as supervisors, examiners, and evaluators upon request. On the grounds of special reasons, it is possible to request post-doctoral graduates as examiners. This is the case if academic achievements similar to a habilitation were completed and habilitations and professorships are unusual at the institution recognized as equivalent.

Section 3 - Dean's Office and Doctoral Committee

(1) Decisions regarding matters related to these regulations of the dean's office require an unanimous vote. If the dean's office is not able to decide unanimously, the doctoral committee decides.

(2) The doctoral committee is composed of the members of the dean's office and all staff members of the School of Business Informatics and Mathematics whose main employer is the university in line with section 2 subsection 1(1). The doctoral committee makes decisions in the doctoral process, unless, according to the Regulations and Procedures Governing the Doctoral Dissertation, another body is in charge. The doctoral committee is to comment on changes to these Regulations and Procedures. Their comment is to be included in the supporting documents for the school council. The dean or a representative designated by him or her chairs the doctoral committee.

(3) During all meetings of the doctoral committee the Rules and Regulations on the Procedures of Decision-Making Bodies of the University of Mannheim apply, unless, according to these Regulations and Procedures Governing the Doctoral Dissertation, no other rules apply.

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- (4) The chair of the committee can summon meetings via e-mail.
- (5) Proposals concerning the agenda and attached documents as well as proposals on the summoning of the doctoral committee may be submitted to the chair of the committee via e-mail.
- (6) The doctoral committee may decide on all issues by way of circulation. If at least one member of the committee objects within three working days after the day of the dispatch of the document/s, a meeting shall be summoned.
- (7) In urgent cases the chair of the committee can summon the doctoral committee without complying to due time and form; section 6 remains unaffected.

Section 4 - Admission Requirements

- (1) In order to be admitted as a doctoral candidate, the applicant shall have finished his or her
1. master's degree or
 2. bachelor's degree with a standard period of study of at least four years at a university, college of education or a college of art or
 3. a degree from a consecutive program at a university, college of education or another higher education institution entitled to confer doctorates with at least "gut" ("good").

In justified cases, the doctoral committee may waive the requirement of a grade of "gut" ("good") or better; the doctoral committee shall decide upon this matter. A case is especially justified if relevant work experience can be proven.

- (2) Degrees obtained from foreign official or officially recognized higher education institutions in the field of the dissertation or related fields shall be recognized according to the Act on Higher

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Education of the Land of Baden-Württemberg. The doctoral committee decides on the recognition with a three-quarters majority.

(3) As an admission requirement, particularly qualified graduates, who have completed a three-year bachelor's program or state examination program, or a Diplom program at a university of applied sciences, a public university of cooperative education or who have completed a program at the Notarakademie Baden-Württemberg, in the subject of the doctoral dissertation or a related subject, must prove their above average performance with a final grade of 1.3 or better. Before the admission procedure begins, the applicant shall submit a research proposal, which is usually 15 pages, to his or her future supervisor. In this research proposal the applicant shall indicate his or her reasons for the dissertation project. The applicant should use the dissertation proposal to demonstrate his or her particular academic ability. The proposal also serves as an indicator of the quality of the future dissertation. Within the first three semesters of enrollment as a doctoral student, the candidate shall prove his or her achievements by submitting confirmations that he or she attended two lectures worth 8 ECTS credits each and one seminar at master's level.

Section 5 - Application for Admission as a Doctoral Candidate

(1) The application for admission as a doctoral candidate shall be submitted in writing to the dean of the School of Business Informatics and Mathematics.

(2) The following information is to be provided using the form entitled "Application for Admission to the Doctoral Process" found in attachment 1 of these Regulations and Procedures, along with the other required documents listed below, as part of the application:

- a) the research topic for the doctoral dissertation
- b) name/s of the university teacher/s who shall supervise the dissertation,
- c) proof that the admission requirements were met in accordance with section 4,

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- d) Higher Education Entrance Qualification,
- e) 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 unsuccessful attempts to obtain a doctoral degree,
- f) the Advising Agreement concluded between the supervisor and the doctoral candidate.

Section 6 - Admission or Rejection as a Doctoral Candidate, Revocation of Admission

(1) The doctoral committee decides on the admission of the applicant. The admission of a candidate may be rejected if the application is not submitted in the required form or if the candidate does not fulfill the admission requirements. The admission of a candidate may be rejected or revoked on the grounds of reasons that would legally justify the revocation of the doctoral degree. An applicant cannot be accepted if he or she has already undertaken a doctorate in the same subject and was unsuccessful. The doctoral committee decides on exceptions with a three-quarters majority. An exception may occur if the applicant has significantly edited the content of his or her original dissertation in the period following the unsuccessful doctorate attempt. In those cases, corresponding to section 4 subsection 3, the doctoral committee decides on the suitability of the applicant and on whether he or she has completed the courses at master's level as stated in section 4 subsection 3(4), which serve to determine the suitability of applicants; a three-quarters majority is needed for a decision. To reach this decision, the committee considers a detailed statement from the supervisor and reviews the research proposal.

(2) If the applicant is successful, he or she becomes a doctoral candidate; applicants defined in section 4 subsection 3 are accepted on the condition that they provide proof of completing the courses at master's level in due time, provided that such proof was not submitted with the application. The dean shall appoint one or more supervisor/s shortly after the admission of the candidate.

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(3) The admission of a doctoral candidate may be revoked by the doctoral committee two years after their admission at the earliest if the doctoral candidate does not produce a written statement on the sufficient progress of his or her dissertation, which is confirmed by the supervisor, within one month of receiving a written request for such a statement. The deadline for providing the required proof may be extended by the doctoral committee where there are important reasons for doing so. In cases corresponding to section 4 subsection 3, the admission of a doctoral candidate may be revoked if he or she does not complete the required courses in due time.

(4) The doctorate shall be completed after no more than ten semesters. In justified cases and upon request of the doctoral candidate, the doctoral committee may extend the aforementioned period of time. A case is especially justified if teaching or project work cause particular stress which affects the candidate's academic work. The admission as a doctoral candidate expires if the doctorate is not completed within a maximum of ten semesters.

Section 7 - Admission to the Doctoral Process

(1) The doctoral candidate shall submit a written request to obtain a doctoral degree to the dean of the School of Business Informatics and Mathematics. Anyone who is on the list of doctoral candidates is eligible to request his or her admission to the doctoral process.

(2) The request shall include

- a) the doctoral dissertation, usually written in German or English, in triplicate. The copies submitted become property of the university.
- b) proof of the coursework completed as part of the doctorate as listed in the form "Application for Admission to the Doctoral Process" (Attachment 1).
- c) a signed declaration in lieu of oath with the following wording:

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"Declaration in lieu of oath according to section 7 subsection 2(c) of the Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Natural Sciences at the University of Mannheim.

i. The submitted doctoral dissertation on the subject

.....

is my own work.

ii. I did not seek unauthorized assistance from a third party and I have employed no other sources or aids except the ones listed. I clearly marked any quotations derived from the works of others.

iii. I have not yet presented this doctoral dissertation or parts of it at any other higher education institution in Germany or abroad.

Title of the doctoral dissertation:

.....

Degree:

.....

iv. I hereby confirm the accuracy of the affirmation above.

v. 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 true and complete to the best of my knowledge."

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

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e) In cases corresponding to section 4 subsection 3, proof that the doctoral candidate has completed the courses at master's level that serve to determine the suitability of applicants.

(3) The request to obtain a doctoral degree may be withdrawn provided the dissertation has not been rejected.

(4) The dean's office decides on the admission to the doctoral process. Admission may be rejected if the application does not fulfill the form requirements according to subsections 1 and 2 or if the candidate does not fulfill the admission requirements. The admission of a candidate may be rejected on the grounds of reasons that would legally justify the revocation of the doctoral degree.

Section 8 - Examination Committee; Evaluators

(1) The dean's office appoints the examination committee and its chair. The examination committee is composed of at least four examiners according to section 2 subsections 2 and 3; at least three of them shall belong to the group of people defined in section 2 subsection 2.

(2) The dean's office appoints at least two evaluators according to section 2 subsections 2 and 3; at least one of them shall belong to the group of people defined in section 2 subsection 2. Supervisors are appointed as evaluators. Evaluators may be members of the examination committee but may not be appointed chair.

Section 9 - Evaluation and Acceptance of the Dissertation

(1) The evaluators shall each submit written evaluations within two months. The evaluations need to comprise

a) a critical appraisal of the work,

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b) a well founded recommendation for the acceptance or the rejection of the dissertation.

c) In case acceptance is recommended, one of the following grades shall be proposed:

excellent ("ausgezeichnet") = 0

very good ("sehr gut") = 1

good ("gut") = 2

acceptable ("genügend") = 3

The grade "very good" = 1 may be downgraded by 0.3 by adding a minus (e.g. 1-). The grades "good" = 2 and "acceptable" = 3 may be upgraded or downgraded by 0.3 by adding a plus or a minus (e.g. 2+ or 3-).

d) If the evaluator recommends rejecting the dissertation, the proposed grade is:

not acceptable ("nicht genügend") = 4.

(2) If the grades proposed by both evaluators differ by more than one whole grade, the dean's office appoints a third evaluator and informs the other evaluators of this. Sentence 1 applies accordingly if both evaluators suggest the grade "excellent"; in such instances, at least one external evaluator must be appointed.

(3) 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 to make a statement. As a rule, this period is three weeks. Statements shall be submitted to the dean.

(4) 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 or via e-mail during the designated period (subsection 3). In case not all evaluators support the acceptance of the dissertation or at least one member of the doctoral committee objects to the acceptance, the

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doctoral committee decides; the committee may obtain another evaluation in accordance with section 8 subsection 2 and section 9 subsection 1; the committee shall reject the dissertation if the arithmetic average, including one decimal, of the grade proposals from all evaluations equals 3.6 or worse. The dissertation is considered rejected if all evaluators support its rejection.

(5) If the committee decides to make the acceptance of the dissertation subject to corrections, the revised version of the dissertation shall be submitted to the doctoral committee within a period set by the committee. Section 7 applies respectively.

Section 10 - Grade

(1) The grade of the dissertation shall be determined by the examination committee on the basis of the obtained evaluations and the decisions of the doctoral committee.

(2) If two evaluations have been obtained, the arithmetic average of the proposals is the final grade. If more than two evaluations have been obtained, the arithmetic average of all proposals is the final grade; subsection 3 remains unaffected. If the grade is calculated according to sentences 1 or 2, only one decimal will be taken into account.

(3) The grade is "excellent", if all three evaluators propose this grade.

(4) In case the dissertation is rejected according to section 9 subsection 4 sentence 2 or 3, the examination committee shall set the grade "not acceptable". In this case, the doctoral candidate has failed; no oral defense shall be held. He or she shall be informed of this in writing. He or she will no longer hold the status of a doctoral candidate. It is not possible to retake the examination.

Section 11 - Oral Defense and Final Grade

(1) The oral defense includes a scientific presentation by the doctoral candidate, followed by a scientific discussion.

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(2) In the scientific presentation, the doctoral candidate presents his or her research findings. The scientific presentation is a public event. Its duration shall be 30 minutes. Upon request from the doctoral candidate to the dean of the School of Business Informatics and Mathematics, the scientific presentation may be given in front of the members of the doctoral committee and the examination committee exclusively.

(3) The scientific discussion, which follows the presentation, covers the topic of the dissertation and related fields of study. The duration of the scientific discussion should be 30 minutes. The members of the examination committee and the doctoral committee are authorized to ask questions and to respond.

(4) The oral defense is accepted if the majority of the examination committee approves its acceptance. In the event of a tie, the vote of the chair of the examination committee shall decide the matter. If the oral defense is accepted, the examination committee decides on a grade according to section 9 subsection 1(2)(c). The grade for the oral defense will be the arithmetic average of the grade proposals from all members of the examination committee. Only one decimal place will be taken into account. If the examination committee does not accept the oral defense, it shall grade the defense "not acceptable".

(5) The oral defense and the grading process shall be recorded in the minutes that shall be signed by the members of the examination committee.

(6) If the examination committee does not accept the oral defense, the candidate may present himself or herself once again after three months and no later than 12 months after the first defense. If the oral defense is once again not accepted, the doctoral candidate has failed. He or she shall be informed of this in writing. He or she will no longer hold the status of a doctoral candidate. It is not possible to retake the examination.

(7) After the oral defense, the chair of the examination committee decides on a final grade for the doctorate. The doctorate is passed if both the doctoral dissertation and the oral defense are

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graded "acceptable" or better. The final grade of the doctorate is "excellent" (summa cum laude) if all evaluations propose this grade and the oral defense has been evaluated with a grade higher than 1.2. In all other cases, the final grade is 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 1.5

cum laude in case of an average from 1.6 to 2.5

rite in case of an average from 2.6 to 3.5

The examination committee decides with a simple majority. Members may not abstain from voting.

(8) The evaluations of the oral defense and the final grade shall be communicated to the candidate as soon as the grading process is completed.

(9) The oral defense and the grading process shall be recorded in the minutes that shall be signed by all members of the examination committee.

Section 12 - Printing

(1) The version of the dissertation that has been approved by the dean's office shall be published. Copyright regulations shall be observed.

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

1. by a publishing house with at least 80 copies or
2. in a relevant scientific magazine, or

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3. in electronic form on a storage device in a file format that is approved by the university library and can be stored on a University of Mannheim server.

In justified cases, the dean's office may allow the printing of a short version in agreement with the examination 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 in justified cases upon request.

(4) The cover page of the dissertation shall read "Inauguraldissertation zur Erlangung des akademischen Grades eines Doktors der Naturwissenschaften 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 scientific presentation; if an evaluator proposed the rejection of the dissertation, he or she may request to have his or her name omitted. If the dissertation is published by 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 delivered, 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 scientific discussion.

Section 14 - Annulment and Revocation of the Doctoral Degree

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- (1) The doctoral degree shall be annulled if it becomes evident that, before the degree has been granted, the doctoral candidate cheated during admission to the doctoral process or during one of the examinations.
- (2) In accordance with the laws of Baden-Württemberg, the doctoral committee is responsible for the revocation of the doctoral degree.

Section 15 - Conflicts in the Course of the Doctoral Process

In case of conflicts between the doctoral candidate and the supervisor, the parties may consult the respective ombudsman or woman. All details in regards to the appointment of ombudsmen and women are governed by the Statutes of the University of Mannheim on the Appointment of Ombudsmen and Women for Doctoral Candidates and their Supervisors (Satzung der Universität Mannheim zur Bestellung von Ombudspersonen für Promovierende und deren Betreuer/innen).

Section 16 - Renewal of the Doctoral Degree Certificate, Honorary Doctorate

- (1) The school may renew the doctoral degree in order to honor its graduates for their outstanding scientific work or for their close ties with the university.
- (2) The School of Business Informatics and Mathematics of the University of Mannheim awards the honorary doctoral degree in Natural Sciences (doctor naturalium honoris causa - Dr. rer. nat. h.c.). The honorary doctoral degree may be awarded to people for outstanding achievements in research fields of the School of Business Informatics and Mathematics. Suggestions, including in-depth reasoning, shall be submitted to the dean. People holding a statutory office at the University of Mannheim or serving as an elected member of one of the statutory bodies of the University of Mannheim may submit a suggestion for an honorary doctoral degree to the dean. The honorary doctoral degree is awarded on the basis of unanimous decisions of the school

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council of the School of Business Informatics and Mathematics and the senate of the University of Mannheim. The dean awards the honorary doctoral degree. The honorary doctoral degree can be revoked on the grounds of reasons which, if known, would have prevented its conferment in the first place or on the grounds of reasons which have arisen after the conferment. Sentence 5 applies to the revocation of the honorary doctoral degree accordingly.

Section 17 - Temporary and Final Provisions

(1) These Regulations and Procedures Governing the Doctoral Dissertation become effective the day after their announcement in the Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) of the University of Mannheim.

(2) At the same time, the regulations and procedures for a doctorate in natural sciences of 30 July 2001 (Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 20/2001 pp. 16 et seqq.), last amendments on 11 July 2012 (Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 13/2012, part 1, p. 80 et seqq.) cease to be effective.

(3) The regulations and procedures for a doctorate in natural sciences of 30 July 2001 still apply to applicants who were admitted to the list of doctoral candidates of the school before these Regulations and Procedures Governing the Doctoral Dissertation became effective. Also, they still apply to candidates who had already put in a request for assessment according to section 3 subsection 3 of the regulations and procedures for a doctorate in natural sciences of 30 July 2001. The following provisions apply:

1. The doctoral committee is composed according to the provisions of the new Regulations and Procedures Governing the Doctoral Dissertation. Therefore, section 3 subsection 2(1) in conjunc-

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tion with section 2 subsection 1(1) of these Regulations and Procedures Governing the Doctoral Dissertation shall replace section 2 sentence 1 of regulations and procedures for a doctorate in natural sciences of 30 July 2001.

2. The definition of persons eligible to be appointed as members of the examination committee according to section 9 subsection 1 of the regulations and procedures for a doctorate in natural sciences of 30 July 2001 is replaced by the respective regulations on the appointment of examiners as members of the examination committee according to these Regulations and Procedures Governing the Doctoral Dissertation; therefore, section 8 subsection 1(2) in conjunction with section 2 subsection 2 and 3 of these Regulations and Procedures Governing the Doctoral Dissertation shall replace section 9 subsection 1(2) of regulations and procedures for a doctorate in natural sciences of 30 July 2001.

3. In addition, section 15 of these Regulations and Procedures Governing the Doctoral Dissertation applies.

(4) Upon written request, the doctoral studies may be continued according to these Regulations and Procedures Governing the Doctoral Dissertation in line with subsection 3. The request shall be made to the dean. If the request is approved, the transitional provision according to section 3 no longer applies to the doctoral candidate.

Approved and issued:

Mannheim, 6 June 2016

Prof. Dr. Ernst-Ludwig von Thadden

President

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Appendix 1

Application for Admission to the Doctoral Process

1. Details on the doctorate

The Regulations and Procedures Governing the Doctoral Dissertation of the school in its current version and if applicable, the Study Regulations of the doctoral degree program apply.

Doctoral Candidate

E-mail (optional)

Working Title of the Doctoral Dissertation

Chair

Main Supervisor

If applicable, Second Supervisor
