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Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the Business School of the University of Mannheim

as of 11 March 2014

(Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 05/2014 of 13 March 2014, pp. 12 et seqq.)

1st amendment as at 6 June 2016

(Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 16/2016 of 10 June 2016, pp. 43 et seqq.)

2nd amendment as of 27 February 2019

(Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 03/2019 of 18 December 2013, p. 91 et seqq.)

3rd amendment as of 4 June 2019

(Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 15/2019, p. 169)

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

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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 student 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 student; 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, junior 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. Meetings of the doctoral committee are not open to the public.
- (4) All decisions of the committee are minuted. In the event of a tie, the chair has the deciding vote.
- (5) The discussions as well as the respective documents are subject to confidentiality.

Section 3 - Examiners

- (1) Supervisors of doctoral students shall be professors, junior professors and senior academic staff members (Privatdozenten) of the university. In justified cases, professors of other universities, universities of applied sciences or cooperative state universities shall serve as supervisors. With their consent, professors emeriti and honorary professors may also be appointed as supervisors.
- (2) Examiners shall be professors, junior 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, junior 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. If a supervisor belongs to the group of people defined in sentence 1, they shall be the main evaluator.

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- (4) 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, main evaluators and second evaluators of the doctoral students they supervised.

Section 4 - Application for Admission as a Doctoral Student

- (1) The application for admission as a doctoral student 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 student adequately;
 - b) the Advising Agreement concluded between the supervisor and the doctoral student;
 - 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;

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 student is capable of performing the scientific research expected from university graduates according to these regulations. The doctoral committee shall 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.

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Section 6 - Admission as a Doctoral Student

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 an applicant upon the proposal of their supervisor. If the applicant is admitted, the dean accepts him or her to the list of doctoral students of the school. The doctoral student 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 student and give advice in terms of time management and quality by means of regular meetings.

Section 7 - Rejection as a Doctoral Student, 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 of reasons that would legally justify the revocation of the doctoral degree.
- (3) The admission of a doctoral student 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 student 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 declaration 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. The submitted doctoral dissertation on the subject is my own work and adheres to the rules of proper scientific conduct.
 2. 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. I did not yet present this doctoral dissertation or parts of it at any other higher education institution in Germany or abroad.

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Title of the doctoral dissertation:

.....

Degree:

.....

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

5. 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."

- c) A signed declaration of consent stating that the dissertation may be stored, sent or processed electronically 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 their doctoral dissertation the student 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 student 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 defense 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 student. 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

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make a statement. During lecture periods the period is two weeks. Outside of lecture periods the period is four weeks.

- (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 of 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 student shall be notified of this in writing. All higher education institutions in Germany that have the right to confer doctoral degrees in Economics 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 first 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) Students shall defend their 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 the arithmetic average of the grades for the dissertation and the oral de-

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fense. 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 student 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 student to officially hold a doctoral degree.
- (3) A student 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 there is no option to re-do the oral defense.

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) (2) Altogether, 55 printed copies of the dissertation shall be given to the university 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.
- (3) 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.
- (4) The mandatory copies shall be delivered within one year after doctoral students have been informed of their grade. A doctoral student who fails to deliver the copies in time forfeits all rights acquired with the examination. The dean may extend the deadline upon reasoned request.
- (5) 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 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.

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Section 13 - Granting of Doctoral Degree

- (1) Once the mandatory copies have been submitted, the doctoral degree is granted with the hand-over of the doctoral degree certificate. With the official granting of the degree, the student is authorized to use the title "doctor".
- (2) The diploma 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 student 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 14a - Ombudsman or woman

In case of conflicts between the doctoral student 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 Students and their Supervisors (Satzung der Universität Mannheim zur Bestellung von Ombudspersonen für Promovierende und deren Betreuer/innen).

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

- (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 Business School of the University of Mannheim awards the honorary doctoral degree in Business (doctor rerum politicarum honoris causa - Dr. rer. pol. h.c.). The honorary doctoral degree in Business may be awarded to people for outstanding achievements in research fields of the Business School. 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 council of the Business School 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 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 Disser-

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tation 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) Students 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.

Article 2 of the first amendment of 6 June 2016:

The amendment becomes effective the day after its announcement in the Bulletin of the President's Office ("Bekanntmachungen des Rektorats") of the University of Mannheim.

Article 2 of the second amendment of 27 February 2019:

This amendment becomes effective the day after its announcement in the Bulletin of the President's Office ("Bekanntmachungen des Rektorats") of the University of Mannheim.

Article 2 of the third amendment of 4 June 2019:

This amendment becomes effective the day after its announcement in the Bulletin of the President's Office ("Bekanntmachungen des Rektorats") of the University of Mannheim.

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