

University of Hohenheim Doctoral Degree Regulations for the Degrees Dr. oec. and Dr. rer. soc. from the Faculty of Business, Economics and Social Sciences

from 13 February 2015

Based on Sec. 38(4) of the State Higher Education Act (LHG, Landeshochschulgesetz) from 4 January 2005 (Law Gazette, p.1), amended last by Article 1 of the Third Higher Education Law Amendment Act from 1 April 2014 (Law Gazette, p. 99), the University of Hohenheim Senate passed the following doctoral degree regulations on 4 February 2015.

The President approved the doctoral degree regulations pursuant to Sec. 38(4)(1) LHG on 13 February 2015.

Note

For reasons of legibility, in the following doctoral degree regulations only the male grammatical form will be used. All comments related to persons always apply equally to women and men.

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Section 1 Purpose of Doctorate; Types of Doctorates; Language of Doctoral Work

- (1) The doctorate serves as proof of the capability of performing independent scientific work. Based on the doctoral work, in the Faculty of Business, Economics and Social Sciences, the University of Hohenheim awards the academic degree of Doctor of Social Sciences - doctor rerum socialium (Dr. rer. soc.) or Doctor of Economic Sciences - doctor oeconomiae (Dr. oec.). The doctoral examinations consist of a written scientific work (dissertation) and an oral examination (defence). The topic of the dissertation must be taken from an area of social or economic sciences represented by a professor or university lecturer (*Hochschullehrer*) at the University of Hohenheim according to Sec. 44(1)(1) of the State Higher Education Act (LHG).
- (2) If the doctorate according to Sec. 4(5) for Dr. oec. is done in the context of the doctoral study programme "Business Administration and Economics", upon request the doctoral committee may award the academic degree "Doctor of Philosophy" (Ph.D.).
- (3) Upon a decision by the Faculty, the University may also award the degree as an honorary doctorate.
- (4) The doctoral work may be completed in German or English. Upon the applicant's request and with the consent of the supervisor, the doctoral committee may allow the doctoral work to be done in whole or in part in another language. The request is typically to be submitted together with the request for acceptance as a doctoral candidate. If all doctoral work is done in another language, this is to be noted on the degree certificate.

Section 2 Responsibility, Doctoral Committee

- (1) Insofar as no other responsibility has been assigned, decisions required for the doctoral proceedings shall be made by the doctoral committee. In standard cases, the chairperson of the doctoral committee may decide on the acceptance of doctoral candidates and the initiation of the doctoral proceedings.
- (2) The doctoral committee is made up of a total of five members from business, economics, and social sciences. The Dean is the chairperson. The Dean's Office may delegate the chair of the doctoral committee to one of the Vice Deans. The other four members are appointed by the Faculty Council. Three of the other members must be professors (*Hochschullehrer*) according to Sec. 44(1)(1) LHG in the Faculty of Business, Economics and Social Sciences. Another member must hold a doctorate and belong to the scientific service electoral group (*Wahlgruppe des wissenschaftlichen Dienstes*). When appointing these members, it should be ensured that the Faculty's scientific concentrations are appropriately represented. The Faculty Council also appoints two alternate members including one professor from the Faculty of Business, Economics and Social Sciences and one member who holds a doctorate and belongs to the scientific service electoral group (*Wahlgruppe des wissenschaftlichen Dienstes*).
- (3) The term of office for the members of the doctoral committee is four years. Re-appointment is permitted.
- (4) The doctoral committee meets as needed, but at least once each semester. Decisions may also be made in writing or electronically via circulation procedure if the decision does not require a discussion due to its fundamental significance or the complexity of the matter and if no member objects. A decision via circulation procedure requires the majority of votes from all members of the doctoral committee. The chairperson of the doctoral committee reports regularly to the Faculty Board, which formally approves his actions once each semester.
- (5) The doctoral committee has a quorum if at least four members are present. The decisions are made by a simple voting majority of the members present; if there is a tie, the chairperson's vote shall be the deciding vote. Before decisions on requests, the respective supervisor of the doctoral work is to be heard by the committee. In cases explicitly mentioned by the doctoral degree regulations, the chairperson may decide alone.

Section 3 Requirements for Acceptance as a Doctoral Candidate

- (1) The requirement for acceptance as a doctoral candidate is the applicant's above average qualifications. These are typically proven with above-average overall marks in:
 - a) a Master's programme at a higher education institution within the area of application of the German Basic Constitutional Law,
 - b) a degree programme with a standard period of study of at least four years at a university, college of education, or art college within the area of application of the German Basic Constitutional Law (Diplom, state examination, Magister),
 - c) a continuing degree programme building on a basic studies degree programme at a university, college of education, or another university with the right to award doctorates insofar as the requirements listed in Sec. 3(2 and 3) are fulfilled.
- (2) Regular admission as a doctoral candidate requires a degree in social, business, or economic science according to Sec. 3(1) with an overall mark of 2.5 or better. With a mark of 3.0 or better, acceptance as a doctoral candidate may be granted if the primary supervisor supports this decision in writing and the doctoral committee approves.
- (3) Those persons who have completed a degree programme in an area other than social, business, or economic sciences in the meaning of Sec. 3(1)(2) that does not fulfil the criteria listed in Sec. 3(2) but who have achieved a comparable qualification in another way may also be admitted as doctoral candidate. Admission is typically linked to additional requirements (additional work in the Master's and/or doctoral studies). The doctoral committee shall decide on the additional requirements and whether they have been fulfilled in individual cases according to the standard of Sec. 3(8).
- (4) In addition, the doctoral committee may also admit particularly qualified Bachelor's degree graduates from social, business, or economic science programmes with a standard period of study of at least 6 semesters. The requirement for this is an overall mark of 1.5 or better. In order to fulfil the requirements for a doctorate, these doctoral candidates go through a one-year orientation phase in which the additional requirements set down by the doctoral committee (at least 2 and a maximum of 6 courses or examinations with 6 ECTS credits each) are to be fulfilled. The doctoral committee determines whether the orientation phase was successfully completed and issues written confirmation. If the orientation phase was not successfully completed on time, acceptance as a doctoral candidate is revoked unless the doctoral candidate is not responsible for the reason for which the deadline was missed. By way of derogation from sentences 2 and 3, in the case of an eight-semester Bachelor's programme completed with above-average success (overall mark of 2.0 or better), the doctoral committee may accept the applicant directly as a doctoral candidate and forego the requirement of a one-year orientation phase. For graduates of Bachelor's programmes in areas other than social, business, or economic sciences, the regulations in Sec. 3(3)(2 and 3) apply *mutatis mutandis*.
- (5) The doctoral committee may also admit especially qualified graduates from a state examination degree programme with a standard period of study of less than four years or a Diplom degree programme from a university of applied sciences or a cooperative education university if they completed their studies with an average mark of 1.5 or better and have successfully proven their qualification in a special aptitude test. The aptitude test must be successfully completed before the request for acceptance as a doctoral candidate is submitted. The doctoral committee decides on the length of the aptitude test and what work it shall include. The doctoral committee determines whether the aptitude test was successfully completed and issues written confirmation.
- (6) Applicants who have completed a degree examination from a foreign university that is not considered equivalent may be admitted if they provide the proof of qualification recommended by the Central Office for Foreign Education (ZAB) or if the doctoral committee determines they are qualified.
- (7) The applicants must show proof of good language proficiency in the language in which the dissertation is to be written. The form of proof is determined by the doctoral committee.
- (8) The doctoral committee determines the ability to begin doctoral studies in individual cases and, in particular, in order to preserve scientific quality has the right to link the admission of applicants to binding additional requirements (completion of work in Master's and/or doctoral studies). If the additional requirements are not completed or not completed on time, acceptance as a doctoral candidate may be revoked.

Section 4 Request for Acceptance as a Doctoral Candidate

- (1) Applicants who fulfil the requirements according to Sec. 3 may request their acceptance as a doctoral candidate with the Faculty in writing with the inclusion of the intended topic. This does not entitle the applicant to a legal claim to the initiation of doctoral proceedings.
- (2) The request should include:
 - a) certificates proving the requirements according to Sec. 3 have been met,
 - b) the intended topic of the dissertation, the working title, the name of the supervisor, and, if applicable, the co-supervisor according to Sec. 6(2),
 - c) binding confirmation from the supervisor that he agrees to supervise the doctorate and, if Sec. 6(2) is applied, an additional binding confirmation from the co-supervisor from the Faculty of Business, Economics and Social Sciences of the University of Hohenheim,
 - d) the doctoral agreement according to Annex 1,
 - e) a statement of any preceding or ongoing attempts at obtaining a doctorate,
 - f) a current certificate of good conduct according to the Federal Central Criminal Register Act,
 - g) a CV in table format with a description of professional development,
 - h) if applicable, proof of a successfully concluded aptitude test,
 - i) a declaration as to whether the doctoral work is to be done in German or English or a request if the doctoral work is to be done in a language other than German or English.
- (3) With the request, the doctoral candidates also submit a declaration that they are familiar with the respectively valid version of the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim and that they will respect these guidelines.
- (4) With the acceptance as a doctoral candidate, the Faculty expresses its willingness to support the applicant in his or her scientific work and to evaluate the dissertation as scientific work.
- (5) The doctorate in "Dr. oec." can, upon the doctoral candidate's request, be done in the framework of the doctoral study programme "Business Administration and Economics". The doctoral committee decides on participation in the doctoral study programme according to Sec. 3(2) of the study and examination regulations for the doctoral study programme "Business Administration and Economics". Participation in the doctoral study programme requires the candidate to complete the required modules according to Sec. 5(4) of the study and examination regulations for the doctoral study programme "Business Administration and Economics".

Section 5 Decision on the Acceptance as a Doctoral Candidate; Duration of Doctorate

- (1) If the requirements in standard cases according to Sec. 3(1) and Sec. 3(2)(1) are fulfilled, and if the applicant has submitted the required documents according to Sec. 4(2 and 3), the chairperson of the doctoral committee grants acceptance as a doctoral candidate.
- (2) In the following cases, the doctoral committee must decide on the acceptance of the doctoral candidate together with the supervisor:
 - a) if the applicant submits a final degree certificate that was not issued by a faculty of social or business and economic sciences in the German Higher Education Framework Act's area of applicability,
 - b) if the applicant provides proof of the requirements according to Sec. 3(2)(2) or Sec. 3(3 to 5),
 - c) if the proof according to Sec. 3(6) is not provided by means of a certificate from a state-recognized institution,
 - d) if the applicant is already part of a doctoral proceeding or previously attempted a doctorate,
 - e) if there are doubts as to whether the proposed dissertation topic falls within the Faculty's area of competency,
 - f) if there are doubts as to whether the topic is worth being researched or whether the applicant's previous education is appropriate.
- (3) The chairperson of the doctoral committee notifies the applicant of the admission decision in writing.
- (4) The doctorate should be concluded within a period of six years. In reasoned individual cases, during this period a one-time request for a 6-month extension may be submitted to the chairperson of the doctoral committee. If the doctorate has not been completed after six years and no extension request has been submitted, the acceptance as a doctoral candidate shall automatically end. The doctoral candidate may submit a new request for admission according to Sec. 4(2). For acceptance as a doc-

toral candidate, the applicant must fulfil the requirements of the doctoral degree regulations that are valid at the time of the renewed request for acceptance.

- (5) Those accepted as doctoral candidates may be enrolled for a maximum duration of six years. Enrolled doctoral candidates have the rights and obligations of students.

Section 6 Supervision of the Dissertation

- (1) The dissertation may be supervised by any professor or university or private lecturer (*Hochschul- oder Privatdozentin oder Hochschul- oder Privatdozent*). Retired or emeritus professors may be appointed as supervisors by the doctoral committee.
- (2) If a dissertation is supervised by a professor or university or private lecturer not from the University of Hohenheim's Faculty of Business, Economics and Social Sciences, the doctoral committee appoints a professor or university or private lecturer from the Faculty as a co-supervisor. This provision also applies to professors at universities of applied sciences or the Baden-Württemberg Cooperative State University (DHBW).
- (3) If the supervisor can no longer fulfil his or her duties for important reasons, after hearing the doctoral candidate, the chairperson of the doctoral committee appoints another professor or university or private lecturer competent in the subject if possible.
- (4) According to Annex 1, in cases of conflict during the doctorate and for academic self-monitoring, the doctoral candidates may request support from the responsible ombudsperson.
- (5) The participation of doctoral candidates who primarily complete their doctoral dissertation at institutions outside of the Faculty of Natural Sciences (external doctoral candidates) in the doctoral candidate seminars or colloquia is explicitly and actively encouraged to promote scientific discussion with the supervisors and to include the candidate in University operations. In addition, they may attend courses in the doctoral programme "Business Administration and Economics".

Section 7 The Dissertation

- (1) The dissertation topic must be taken from a subject area of social or business and economic sciences represented by a professor or private lecturer primarily employed by the University of Hohenheim. It should generally be prepared at a University institution. Scientific work which is done at institutions outside of the University will also be co-supervised by a University of Hohenheim professor or university or private lecturer according to Sec. 6(2) who is responsible for the subject.
- (2) The dissertation must make a contribution to scientific progress. It must be an independent piece of work by the applicant. If the dissertation is based on research done in the context of group work, the applicant must have completed his or her contribution independently. The individual work of the applicant must be clearly delimitable and, in terms of the content, equal to a typical dissertation.
- (3) A cumulative dissertation is possible, that is, the results of a dissertation may be published, be accepted for publication, or be intended for publication in whole or in part before submission. In this case, as well, a coherent overall concept with an introduction and concluding discussion of the dissertation topic is to be submitted. More details on cumulative dissertations are regulated by the Faculty of Business, Economics and Social Sciences' guidelines, which are to be concluded by the Faculty Council together with a representative from the Graduate Council.

Section 8 Request for Initiating the Doctoral Proceedings

- (1) The request for initiating the doctoral proceedings is to be submitted in writing to the chairperson of the doctoral committee.
- (2) The request should include:
 - a) the dissertation including four copies of the printed version, an electronic version on a data carrier (CD-ROM, DVD, or USB drive), and any advance publications,
 - b) a written affidavit pursuant to Annex 2 as well as a copy of the instructions on the importance and criminal-legal consequences of the affidavit provided by the Faculty and signed by the applicant pursuant to Annex 3 of these doctoral degree regulations. If the dissertation was created in the context of a larger project with the participation of multiple doctoral candidates, the individual work must be clearly shown,
 - c) a declaration that the digital version of the dissertation is identical to the printed version and

consent that the dissertation is checked with plagiarism detection software according to Annex 4,

- d) four copies of a CV in table form,
 - e) four copies of a summary of the research question and results of the dissertation of around two DIN A4 pages (short summary) in German or English approved and signed by the supervisor,
 - f) documentation of the doctoral agreement created after acceptance as a doctoral candidate and the modified versions of the agreement,
 - g) suggestions for the members of the examination committee,
 - h) a declaration that a request for initiating doctoral proceedings is not ongoing and has not been submitted in the past for the dissertation submitted here,
 - i) a current certificate of good conduct according to the Federal Central Criminal Register Act.
- (3) With the request, the doctoral candidates also submit a declaration that they have upheld the respectively valid version of the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim.
 - (4) If a request does not fulfil the requirements according to Sec. 8(2 and 3), it will not be accepted.

Section 9 The Reviewers

- (1) The dissertation is evaluated by at least two reviewers. The first reviewer is typically the supervisor. At least one of the reviewers must be a professor (*Hochschullehrer*) according to Sec. 44(1)(1) LHG in the University of Hohenheim's Faculty of Business, Economics and Social Sciences. Professors or university or private lecturers from outside of the University of Hohenheim's Faculty of Business, Economics and Social Sciences are welcome to be included as reviewers. They participate in the doctoral proceedings with the same rights and obligations.
- (2) The reviewers are to be appointed at the latest in the next meeting of the doctoral committee following the submission of the dissertation.
- (3) If one of the reviewers can no longer fulfil his or her duties, after hearing the doctoral candidate and if possible with the approval of the supervisor, the chairperson of the doctoral committee appoints another professor or university or private lecturer competent in the subject.
- (4) Second reviewers and, if applicable, additional reviewers, are typically appointed by the doctoral committee from amongst the professors or university or private lecturers upon the suggestion of the supervisor. The majority of the reviewers and examiners participating in the doctoral proceedings must be from the Faculty of Business, Economics and Social Sciences.
- (5) The doctoral candidate is to be informed of the reviewers' names.

Section 10 Reviews of the Dissertation

- (1) The chairperson of the doctoral committee immediately forwards the dissertation to the reviewers.
- (2) The reviewers are required to submit a review within a maximum of three months after receiving the dissertation. An extension of this deadline is possible in exceptional cases with the consent of the doctoral committee. If the deadline has been missed unreasonably, the doctoral committee may appoint another reviewer.
- (3) Each reviewer submits four copies of the review to the chairperson of the doctoral committee and requests that the work be accepted, be accepted with certain changes, or be rejected, and suggests a mark from those listed in Sec. 15.
- (4) In addition, each reviewer evaluates whether the dissertation manuscript is ready to print. The reviewers consult with each other on whether the manuscript is ready to print.
- (5) If all reviewers request the work be accepted, the proceedings are continued. If all reviewers request the rejection of the work, the proceedings are closed.
- (6) If only one of the reviewers requests the rejection of the work, the chairperson of the doctoral committee typically appoints another reviewer to whom the dissertation is then immediately sent. Sec. 10(2) applies *mutatis mutandis*. This reviewer provides the Faculty with a final suggestion for the evaluation of the work.
- (7) If the marks from the reviewers deviate by more than one grade level, the doctoral committee may request another review. For the selection of the additional reviewer, Sec. 9(4) applies *mutatis mutandis*. Sec. 10(2) applies *mutatis mutandis* for the review deadline.

Section 11 Continuation of the Proceedings

- (1) If the proceedings are continued, the dissertation is to be posted for two weeks in the Career Center for viewing by the professors and university or private lecturers primarily employed by the University of Hohenheim's Faculty of Business, Economics and Social Sciences. In the lecture-free period, this deadline increases to 4 weeks. The chairperson of the doctoral committee immediately informs all the Faculty's professors and university or private lecturers primarily employed by the University of Hohenheim of the continuation of the proceedings and includes the summary and the reviews. They are given the opportunity to object within the deadline set in Sec. 11(1)(1 or 2) in the form of a dissenting opinion on the dissertation. In individual cases, the deadline may be shortened if the chairperson of the doctoral committee views it as necessary and all participants in the proceedings agree to a shortened deadline.
- (2) Immediately after the deadline has passed, the chairperson of the doctoral committee determines whether the dissertation has been accepted. If no dissenting opinions have been submitted, the mark for the dissertation is calculated as the arithmetical mean of the reviewers' suggestions. If a dissenting opinion has been submitted, the doctoral committee decides how to proceed.
- (3) After the circulation deadline has passed, the chairperson of the doctoral committee shall set the date for the oral examination, immediately notify the candidate of the date, and publicize it within the University. Between the end of the circulation proceedings and the date of the oral examination, no more than six weeks or, in the lecture-free period, no more than eight weeks should pass.

Section 12 Oral Examination (Defence)

- (1) In the defence, which is open to the University public, the doctoral candidate defends his dissertation theses to the examination committee according to Section 13. The discussion may include other questions if these are related in terms of content or methods to the dissertation.
- (2) The defence lasts a minimum of one hour and a maximum of two hours. Any professor (*Hochschullehrer*) from a scientific university may also witness the defence.
- (3) If there are justified third-party interests that must be protected, the doctoral committee may allow exceptions to the regulations in Sec. 12(1) (defence open to the University public) and Sec. 12(2) (admittance of other professors).
- (4) The defence is conducted between the candidate and the members of the examination committee according to Sec. 13.
- (5) The date of the defence is to be publicized within the University in a timely manner.
- (6) The examination committee evaluates the defence with a mark upon which they agree according to Sec. 15(1). The defence is considered to have been passed if it is evaluated with the mark of 3.0 or better.

Section 13 Appointment of the Examination Committee

- (1) For each doctoral proceeding, an examination committee is created. It evaluates the oral doctoral work.
- (2) The examination committee is appointed by the doctoral committee when deciding whether to initiate the doctoral proceedings. The basis for this appointment is the suggestion submitted by the candidate according to Sec. 8(2)(g).
- (3) The examination committee includes the following voting members:
 - a) at least two reviewers according to Sec. 9; if a reviewer cannot attend, a representative is appointed.
 - b) at least one additional professor or university or private lecturer from the Faculty of Business, Economics and Social Sciences. This member may be suggested by the candidate.The examination committee is chaired by the person named under Sec. 13(3)(b). A maximum of two of the examiners may belong to the same Institute at the University of Hohenheim. There is no legal right to a certain examiner.

Section 14 Repeating the Oral Examination

- (1) If the candidate fails the oral examination, he or she may request to repeat the examination at the earliest after two, at the latest after twelve months. The entire doctoral proceedings are concluded unsuccessfully if no request to repeat the oral examination has been submitted within twelve months unless the doctoral candidate is not responsible for the reason the deadline was missed.
- (2) If the oral examination is failed a second time, the doctoral proceedings are concluded unsuccessfully. A second repetition of the oral examination is not possible.

Section 15 Marking

- (1) The following individual marks are possible for evaluating the dissertation and oral defence:
1.0 = very good
2.0 = good
3.0 = satisfactory
4.0 = fail
The marks 1.5 and 2.5 are also permissible.
- (2) The mark for the dissertation is calculated as the arithmetical mean of the individual notes from all reviews. The mark is to be cut off (with no rounding) one place after the decimal point.
- (3) The overall mark is made up of the weighted mean of the marks for the dissertation (weighted doubly) and the mark for the oral examination (weighted singly). The mark is to be cut off (with no rounding) one place after the decimal point.
The overall mark is given a distinction according to the following list:
1.01 to 1.5 = magna cum laude (= very good)
1.51 to 2.5 = cum laude (= good)
2.51 to 3.0 = rite (= pass)
- (4) If the dissertation was evaluated as outstanding by all reviewers and if the oral examination was very good (1.0), the distinction "summa cum laude" is given.

Section 16 Result of Doctorate

- (1) Immediately after the conclusion of the oral examination, the examining committee determines the total result of the doctorate.
- (2) The candidate cannot receive the doctoral degree if the oral examination according to Sec. 12(6)(2) was not passed.
- (3) The chairperson of the examining committee immediately informs the candidate of the overall result and issues a preliminary certificate of the concluded doctoral proceedings.

Section 17 Changing the Title of the Dissertation

- (1) The title of the dissertation may be changed at any time for good reason until the publication according to Sec. 18.
- (2) To do so, the doctoral candidate must submit an informal request in which the reasons for changing the title are detailed. The supervisor must agree to the changed title in writing. The doctoral committee decides on the request.
- (3) If the title change has been agreed upon after the conclusion of the oral defence according to Sec. 12, the new title is to be used in the doctoral degree certificate according to Sec. 19.

Section 18 Publication of the Dissertation

- (1) The doctoral candidate must ensure that the dissertation is published. This can be done after the primary reviewer has declared the manuscript to be ready for print by
 - a) distribution via booksellers with the seal "D100" and an ISBN by a commercial publisher or by self-publishing with a minimum number of 150 copies and the delivery of four copies to the University of Hohenheim KIM Library
 - or
 - b) the delivery of 40 copies to the University of Hohenheim KIM Library
 - or
 - c) the delivery of an electronic version and six copies to the University of Hohenheim KIM Library;

the KIM Library determines the data format, carrier, and required number of copies of the electronic version; before the text of the manuscript, the date of the oral defence and the names of the Dean and the reviewers are to be printed.

- (2) Of the copies submitted, at least three must be printed on non-ageing wood-free and acid-free paper in a permanent binding. On the back side of the title page, the date of the oral examination and the names of the Dean and the reviewers are to be included.
- (3) In the cases described in Sec. 18(1)(b and c), the doctoral candidate gives the University the right to save this form of dissertation in the context of its legal duties and to reproduce and distribute the dissertation. This can also be done via data networks.
- (4) The publication is to be done within two years after the conclusion of the oral examination. Within this deadline, the required copies, special copies, and data carriers in Sec. 17(1) are to be submitted free of charge to the KIM Library. The chairperson of the doctoral committee may extend the deadline upon request. If the deadline is passed, all rights obtained in the doctoral proceedings are negated unless the doctoral candidate is not at fault for the reason the deadline was missed.
- (5) When publishing a cumulative dissertation, the copyrights of the publishers are to be respected, and, if necessary, permissions for the second publication of each individual article are to be obtained. Regulations in particular regarding various article versions (pre-print, post-print, publisher's PDF) must be respected. Before submitting the required copies to the University Library (KIM), the copyright situation must be clarified and the publishers' declarations of consent must be submitted.

If there is no consent from the publisher for the secondary publication of an article, the Faculty of Business, Economics and Social Sciences accepts that, instead of that article, an abstract with the complete bibliographical information (title of the journal, volume, year, issue, page numbers, link to the publisher's homepage) is published. The abstract published in the dissertation may in this case not be identical with the abstract originally published in the publisher's version. The scientific public is thereby sufficiently informed of the type and scope of the doctorate.

In addition, the following must be kept in mind:

- a) In the case of distribution via booksellers with the seal "D100" and an ISBN by a commercial publisher, nine copies must be submitted to the KIM Library. The declarations of consent from the publisher(s) for a second publication of each individual article as well as the complete bibliographical data (title of the journal, volume, year, issue, page numbers, link to the publisher's homepage) are to be printed in the dissertation.
- b) Delivery of 40 hard copies as book or photo prints to the University of Hohenheim KIM Library: The declarations of consent from the publisher(s) for a second publication of each individual article as well as the complete bibliographical data (title of the journal, volume, year, issue, page numbers, link to the publisher's homepage) are to be printed in the dissertation.
- c) In the case of an electronic publication on the University of Hohenheim's OPUS server (self-archiving), six copies of the published electronic version are to be submitted in hard copy (100% identical with the electronic version) as book or photo prints to the KIM Library. The version published on OPUS is to be made available as a complete file in digital form (pdf file). The electronic second publication of the individual articles also depends on the publishers' consent.

Section 19 Certificate and Use of the Doctorate Title

After proof that the dissertation has been published, the Faculty issues a certificate. This certificate includes the overall results, the title of the dissertation and, insofar as it is required by Sec. 1(4)(4), a note on the language in which the doctoral work was done. The certificate is issued in German; an English translation is included. Upon request, the certificate can also be issued in English; in this case, a German translation is included. The date of the degree is given as the day of the final examination (defence). The certificate is signed by the University of Hohenheim's President and the respective Dean, and the seal of the University of Hohenheim is placed on it. Only after the certificate is received may the doctoral candidate use the doctoral degree title.

Section 20 Honorary Doctorate

- (1) In recognition of outstanding scientific work in teaching and research areas represented by the Faculty of Business, Economics and Social Sciences, the University of Hohenheim may award the honorary doctoral degree Honorary Doctor of Social Sciences (Dr. rer. soc. honoris causa) or Honorary Doctor of Economic Sciences (Dr. oec. honoris causa).
- (2) Such a request is to be submitted by at least five professors to the Dean. The request is to be sent to every professor and university or private lecturer primarily employed by the Faculty at the University of Hohenheim with reasons. The professors and university or private lecturers in the Faculty Council decide on the request together with the Senate.
- (3) The honorary doctorate is awarded in a ceremony by the Dean by handing over the doctoral certificate issued for this purpose. The certificate is signed by the President of the University of Hohenheim and the Dean.

Section 21 Invalidity of the Doctoral Work and Revocation of the Doctoral Degree

- (1) If it is revealed before the doctoral certificate has been issued that the candidate was guilty of deception in the doctoral work, in particular plagiarism or scientific misconduct according to Sec. 3 of the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim, or that key requirements for the admission to doctoral work were incorrectly assumed to have been fulfilled, the Faculty Council may declare the doctoral work to have been failed and the doctorate as invalid and decide whether another attempt at obtaining a doctorate may be made.
- (2) The doctoral degree can be revoked by the doctoral committee if it is later shown that it was received due to deception. In other respects, the statutory regulations apply.
- (3) Before the doctoral committee decides to declare the doctorate invalid and to revoke the doctoral degree, the affected person is to be given the opportunity to make a statement regarding the accusations.
- (4) The decision of the doctoral committee according to Sec. 21(1 and 2) is to be reasoned and sent to the affected person together with information on legal remedies.

Section 22 Inspection of Files

Sec. 29 of the State Administrative Procedure Act (LVwVfG) applies to the right to inspect files.

Section 23 Entry into Force and Transitional Provision

- (1) These regulations shall enter into force on the day after they have been published in the University of Hohenheim's Official Notifications. At the same time, the University of Hohenheim doctoral degree regulations for Dr. rer. soc. from 19 June 1973 in the version from 19 May 2009 and the University of Hohenheim doctoral degree regulations for Dr. oec. from 28 Nov 2013 go out of effect insofar as nothing else has been determined in the following.
- (2) Applicants who were accepted as doctoral candidates before these doctoral degree regulations went into effect may upon request conclude their doctoral proceedings according to the provisions of these new regulations. Otherwise they continue under the previously valid doctoral degree regulations in the respectively valid version.

Stuttgart, 13 February 2015

Signed

Professor Dr. Stephan Dabbert
- President -

Annex 1

Doctoral Agreement

according to Sec. 4(2) of the University of Hohenheim doctoral degree regulations for Dr. oec. and Dr. rer. soc.

between

.....(Doctoral candidate)
.....(Supervisor)
.....(If applicable, co-supervisor).

Objective and Purpose

The doctoral agreement is to make the relationship between the doctoral candidate and the supervisor(s) transparent in terms of content and time. Planning and carrying out a doctorate should be arranged by the agreement between the doctoral candidate and the supervisor on their own responsibility such that a high-quality project can be completed within an appropriate period of time. The time plan should be adapted to the dissertation project and the doctoral candidate's life situation and continually revised.

The agreement to advise does not replace the "Request for Acceptance as a Doctoral Candidate" to the Faculty and does not give a legal right to a doctorate or employment at the University of Hohenheim.

Description of Doctoral Project

- (1) Working title of the dissertation
.....
.....
.....
- (2) The basis for the doctoral agreement are the following documents to be signed by the signers of the doctoral agreement:
 - a) Outline of the goals or summary of the intended doctoral project
 - b) Timeline for the intended doctoral project
- (3) For important reasons, the timeline agreed upon for the doctoral project may be extended. Notwithstanding this, Sec. 5(4) of the doctoral degree regulations apply, according to which the doctorate should be concluded within a period of six years.
- (4) The agreement with its annexes is to be reviewed twice a year and modified if necessary by those involved. These documents are to be submitted together with the Request for Initiating the Doctoral Proceedings.

Supervision Conditions

- (5) The supervisor and doctoral candidate discuss the progress of the doctoral project individually at least twice per year based on documents in the doctoral agreement. The supervisor provides feedback on the current progress and advises the doctoral candidate. The doctoral candidate writes brief minutes of the meeting, and these are signed by the supervisor.
- (6) In addition, the doctoral candidate regularly and on his or her own initiative informs the supervisor of the progress on the dissertation. In particular, planned changes to the original agreement are to be noted, discussed in personal meetings, and agreed on in writing.
- (7) The supervisor must make it possible for the doctoral candidate to participate in research-related events such as doctoral seminars or colloquia in order to ensure appropriate supervision conditions. The doctoral candidate should be informed of additional offers such as subject- and university-wide events, research conferences, and internal and external offers for scientific qualification.
- (8) The supervisor is obligated to ensure that the duration between the submission of the dissertation and the oral examination does not exceed six months. In other respects, the deadlines set in Sec. 10(2) and Sec. 11(1 and 3) of the doctoral degree regulations apply.
- (9) If the doctoral project is no longer pursued, the doctoral candidate is obligated to inform the Dean in writing that he or she is stopping work on the dissertation.

Scientific Methods and Individual Education Programme

(10) The doctoral candidate is obligated to participate in research-oriented events and subject- and university-wide offers in the research context as long as funding is secured. This includes seminars or colloquia for doctoral candidates as well as other offers such as research conferences and internal and external offers for scientific qualification. In addition, they may take part in the doctoral study programme "Business Administration and Economics" or attend individual courses in the doctoral study programme.

If the doctoral candidate and supervisor wish, they may agree upon an individual education programme in writing and include it with the doctoral agreement.

Upholding Principles of Good Scientific Practices

(11) The doctoral candidate and supervisor are obligated to uphold the provisions in the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim in the respectively valid version.

In the Case of Conflicts

(12) In case of conflict, the parties turn to the responsible ombudsperson(s). If the doctorate is ended due to the conflict, both persons are to send written reasons to the Dean and/or the ombudsperson. Notwithstanding, the Guidelines for Ensuring Scientific Integrity and Good Scientific Practices at the University of Hohenheim apply in the respectively valid version.

Place, Date

Signature of the doctoral candidate

Place, Date

Signature of the supervisor

If applicable, additionally

Place, Date

Signature of the co-supervisor

Annex 2

Affidavit

according to Sec. 8(2)(b) of the University of Hohenheim doctoral degree regulations for Dr. oec. and Dr. rer. soc.

1. For the dissertation submitted on the topic

.....
.....
.....

I hereby declare that I independently completed the work.

- 2. I only used the sources and aids documented and only made use of permissible assistance by third parties. In particular, I properly documented any contents which I used - either by directly quoting or paraphrasing - from other works.
- 3. I did not accept any assistance from a commercial doctoral agency or consulting firm.
- 4. I am aware of the meaning of this affidavit and the criminal penalties of an incorrect or incomplete affidavit.

I hereby confirm the correctness of the above declaration. I hereby affirm in lieu of oath that I have, to the best of my knowledge, declared nothing but the truth and have not omitted any information.

Place, Date

Signature

Annex 3

Affidavit

according to Sec. 8(2)(b) of the University of Hohenheim doctoral degree regulations for Dr. oec. and Dr. rer. soc.

Information

The University of Hohenheim requires an affidavit declaring that the academic work was done independently in order to credibly claim that the doctoral candidate independently completed the academic work.

Because the legislative authorities place particular importance on affidavits, and because affidavits can have serious consequences, the legislative authorities have placed criminal penalties on the issuance of a false affidavit. In the case of wilful (that is, with the knowledge of the person issuing the affidavit) issuance of a false affidavit, the criminal penalty includes a term of imprisonment for up to three years or a fine.

A negligent issuance (that is, an issuance although you should have known that the affidavit was false) is punishable by a term of imprisonment for up to one year or a fine.

The respective regulations can be found in Sec. 156 StGB (Criminal Code) (false affidavit) and in Sec. 161 StGB (negligent false oath, negligent false affidavit).

Sec. 156 StGB: False Affidavit

Issuing a false affidavit to an authority body responsible for accepting affidavits or perjury under reference to such an affidavit shall be punishable with a term of imprisonment up to three years or with a fine.

Sec. 161 StGB: Negligent False Oath, Negligent False Affidavit:

Sec. 161(1): If one of the actions described in Secs. 154 and 156 is done negligently, the action shall be punishable by a term of imprisonment of up to one year or a fine.

Sec. 161(2): Impunity shall apply if the perpetrator corrects the false information in a timely manner. The regulations in Sec. 158 (2) and (3) apply mutatis mutandis.

I have taken note of the information on the affidavit.

Place, Date

Signature

Annex 4

Declaration that the digital version of the dissertation is identical to the printed version according to Sec. 8(2)(c) of the University of Hohenheim doctoral degree regulations for Dr. oec. and Dr. rer. soc.

Surname	
if applicable birth name	
First Name	
Address	
E-mail	
Tel. No.	

I hereby confirm that the digital version of the dissertation submitted with the title:

.....
.....
.....

is identical to the printed version. I consent to the use of plagiarism detection software to review the dissertation.

Place, Date

Signature