

Az.: LL-JSL-7841.11-3

## **Albert Ludwigs University Doctoral Regulations for the Economics and Behavioral Science Faculty**

At its meeting of the 22nd February 2017 the Senate of the Albert Ludwigs University, on grounds of section 38 paragraph 4 clause 1 of the law on Baden Württemberg Higher Education Institutions (Landeshochschulgesetz – LHG) of 1st January 2005 (GBl. page 1), last amended by Article 2 of the regulation of 23<sup>rd</sup> February 2016 (GBl page 108), adopted the following statute.

The Rector gave his assent on [\[date\]](#).

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### **1 Purpose and Conferral of the Doctorate**

(1) A proper doctorate serves as evidence of proficiency in in-depth academic work in one of the specialist areas covered by the Economics and Behavioral Science Faculty. It is based on an independently written academic thesis (dissertation) and an oral examination on the subject of the dissertation.

(2) On the basis of the doctoral examination being passed in the field of Economics the Faculty of Economics and Behavioral Science awards the academic degree Doctor of Economics (Doctor rerum politicarum, abbreviated Dr. rer. Pol.) and in the field of Behavioral Science the academic degree Doctor of Philosophy (Doctor philosophiae, abbreviated Dr. phil.) or Doctor of Natural Science (Doctor rerum naturalium, abbreviated Dr. rer. nat.); women can also take the doctoral degree in the female form. Within the

framework of doctoral studies the degree Doctor of Philosophy (abbreviated as Ph.D.) can instead also be awarded.

(3) In the field of Behavioral Science the academic degree Doctor of Philosophy will be awarded if the dissertation has a predominantly humanities or social science character; the academic degree Doctor of Natural Science will be awarded if the dissertation has a predominantly natural science character;

(4) The length of the doctorate cannot exceed five years. In cases where there are good reasons the Doctoral Committee can extend the deadline for the expiry of the set agreement by a maximum of two years; the application includes a justification as well as a comment from the supervisor responsible. On the expiry of the greatest length of time permissible for the doctorate, admission to the doctorate expires, unless the doctoral process has already been started. Protected periods and permissions in accordance with section 22 are not included in calculation of the length of the doctorate.

(5) People who are admitted to the doctoral program at the Albert Ludwigs University are matriculated as doctoral students. Other people, who want to complete a dissertation and are accepted as doctoral students must be registered as doctoral students by the registration office; they can, on application, be matriculate as doctoral students.

## **2 Doctoral Committee**

1) The Doctoral Committee is responsible for the organization of the doctoral process, in particular decisions on the acceptance of doctoral students, appointment of supervisors, initiation of the doctoral procedures, appointment of assessors, appointment of members of the Examination Committee, the supervision of the timely completion of the doctoral procedure including the documentation of the number of doctoral students in the Economics and Behavioral Science Faculty, as well as for all the tasks assigned by these Doctoral Regulations. The responsibilities of the chairperson of the Doctoral Committee remain unaffected.

(2) The Faculty Council appoints a Doctoral Committee for the field of Economics (Institute for Economic Sciences) and for the field of Behavioral Science (Institute for Educational Science, Institute for Psychology and Institute for Sport and Sport Science). The Dean will chair the Doctoral Committee of the area to which s/he is a member. The chair of the Doctoral Committee of the other division is the full-time Vice Dean. For each Doctoral Committee, the Faculty Council elects a professor as vice-chair from among the members of the Doctoral Committee in question; the term of office is four years.

(3) The Doctoral Committee for the field of Economics consists of the full-time university professors and lecturers. Retired former professors / professors and professors may participate the Doctoral Committee meetings in an advisory capacity.

(4) In addition to the chairperson, the Doctoral Committee for the field of Behavioral Sciences also includes four full-time professors or lecturers as well as a post doctoral academic member of staff, and, at the suggestion of the Doctoral Students' Convention, a doctoral student in the field of Behavioral Sciences, who each have only an advisory role. With the exception of the chairperson, the members of the Doctoral Committee are elected by the Faculty Council; for each of these members, the Faculty Council elects a deputy. The term of office of the elected university professors and lecturers is four years; that of the postdoctoral fellows and the doctoral candidate is two years; one reappointment is permitted.

(5) The Doctoral Committee generally advises and decides in meetings convened and chaired following the regulations; it sits in private. The Doctoral Committee is quorate when all the members have been invited in accordance with the regulations and the majority of the members who are entitled to members are present. In so far as not otherwise provided, decisions are basically taken by simple majority. In the event of a voting tie, the chairperson has a casting vote. Decisions can also be taken by written or electronic process, if no member objects and at least two thirds of the members participate. Decisions under the examination rules, as well as in particular decisions on withdrawal of a doctorate, abstentions, secret ballots and proxy voting are not permitted.

(6) Members of the Doctoral Committee and their deputies are bound by confidentiality in respect of examination matters or where the duty of confidentiality is specifically decided. The duty of confidentiality includes the maintaining of secrecy regarding advisory documents; it continues after the end of membership of the Doctoral Committee.

(7) The Doctoral Committee ensures the transparency and quality of the grading. Every five years it prepares a report for the Faculty Council on the measures taken to ensure transparency and quality; the report is forwarded to the Dean the Pro-Rector for Research who makes it available to the other Faculties for the purpose of exchanging experiences and the further development of their measures towards ensuring quality.

(8) The Doctoral Committee can delegate the performance of certain tasks to the chair person or their deputy, subject to revocation; this does not apply to decisions on the acceptance of doctoral students, the withdrawal and cancellation of the acceptance of a doctoral student, the invalidity of doctoral achievement, the divestment of doctoral degrees, as well as objections.

(9) The Doctoral Committee is the authority in terms of the Administration Procedural Law and the Administration Process Law.

### **3 Assessors and Examiners**

(1) University professors, honorary university professors, exceptional professors, former professors, retired professors as well as external lecturers in the Economics and Behavioral Science Faculty can be appointed as the assessor of a dissertation and the examiner of an oral examination. The Doctoral Committee can, upon request, also grant temporary doctoral authorization and appoint as assessor and examiner in the doctoral procedure full time academic work group leaders in the Economics and Behavioral Science Faculty who have demonstrated outstanding ability for academic work. It is a requirement for this that the special ability for academic work is evidenced through a dissertation of outstanding quality or a minimum of an equivalent academic paper and an external assessment by a recognized research institution.

(2) Furthermore, the Doctoral Committee can also appoint members of other Faculties of the Albert Ludwigs University or other national or foreign universities or staff at academic research institutes as assessors and examiners. For interdisciplinary dissertations or dissertations spanning more than one Faculty, members of other Faculties should be appointed as assessors and examiners. The conditions under section 1 apply correspondingly hereto.

(3) In each doctoral process at least one assessor must be a professor in the Economics and Behavioral Science Faculty.

### **4 Dissertation Supervision; Doctoral Agreements**

(1) The Doctoral Committee appoints a responsible supervisor for each doctoral student. The responsible supervisor can only be someone who can be appointed as an assessor, in accordance with section 3 paragraph 1. People who can be appointed as assessors in accordance with section 3 paragraphs 1 or 2 can be appointed as additional academic supervisors (secondary supervisors). If a non-habilitating junior researcher is appointed in accordance with section 3 paragraph 1 as responsible supervisor, a person must be appointed as second supervisor who fulfills the requirements of section 3 paragraph 1 clause 1. If a university professor or external lecturer who has been appointed as supervisor leaves the Economics and Behavioral Science Faculty, s/he can be legally tied and obliged to continue to observe for up to three years after s/he leaves; where good reasons are given this obligation can be extended by the Doctoral Committee to a maximum of five years.

(2) The future responsible supervisor and the future doctoral student enter into a doctoral agreement using the form for this provided by the Economics and Behavioral Science Faculty, the contents of which must include at least the following:

1. the names of the doctoral student and the supervisor,
2. the working title of the dissertation,
3. time schedules for regular supervision meetings and progress reports, as in keeping with the dissertation project and the doctoral student's personal circumstances, each to be regularly updated,
4. details of an individual study program,
5. a mutual obligation for compliance with the regulations of good academic practice,
6. rules for resolving conflict and

7. the defined assessment time on submission of the dissertation.
- (3) The doctoral agreement only takes effect upon the acceptance as doctoral student.

## **5 Requirements for Admission as a Doctoral Student**

(1) Conditions for admission to study for a doctorate are that the applicant

1. has a qualifying degree

a) a masters degree from a German university

b) a degree from a German university or education university with a minimum of four years regular study or

c) a further degree building on a basic degree from a German university, educational university or another university with entitlement to study for a doctoral degree

in the a subject relevant in relation to the intended thesis topic,

2. is not already accepted or admitted for doctoral studies in the same academic subject at another Faculty or university and has not already failed the doctoral examination in the same academic subject at a university and

3. is not unworthy to undertake a doctoral degree in accordance with the legal requirements.

If the qualified qualification pursuant to clause 1 no. 1 has not been obtained in a subject relevant to the dissertation topic, the Doctoral Committee may exceptionally allow the applicant to pursue a doctorate, provided the other admission requirements have been met.

(2) Foreign degrees require recognition by the Doctoral Committee. It is a requirement for recognition that the equivalence be established with the relevant national degree. Decisions on equivalence must take into account are the equivalence agreements approved by the Culture Ministry Conference and the University Rectors' Conference, as well as agreements in the context of university partnerships. In cases of doubt on equivalence the Central Office on Foreign Education can be consulted. If the equivalence cannot be established, because an individual course or examination assessment cannot be proven, the applicant may be admitted, on the basis of suggestions made by the Central Office for Foreign Education, if the missing course or examination assessment in the context of a suitability assessment procedure can be repeated and the suitability assessment procedure is successfully completed; the suitability assessment procedure must not take longer than two semesters.

(3) Highly qualified graduates with bachelor degrees or who have passed state examinations but who do not meet the requirements of paragraph 1 clause 1 no. 1, may, if they are among the best five percent of the graduates in their degree course in the last six semesters, on condition that they have been admitted to the doctoral program, they have earned at least 40 and at most 60 ECTS credits prior to the initiation of the doctoral procedure by successfully completing modules from master programs of the Faculty of Economics and Behavioral Sciences. The Doctoral Committee determines the modules assigned, taking into account the envisaged dissertation topic.

(4) Highly qualified graduates of diploma courses of a specialist university (Fachhochschule) or of a career academy (Berufsakademie) in a subject appropriate having regard to paragraph 1 no. 1, may be admitted to the doctorate program by the Doctoral Committee if they prove in an aptitude assessment process that they are capable of the appropriate academic work to the same extent as is required for graduates according to paragraph 1, in the specialist subject intended for the dissertation. Admission to the aptitude assessment procedure requires that the candidate belong to the top five percent of graduates of his/her degree program in the past six semesters and that a university professor, an additional professor or a lecturer of the Faculty of Economics and Behavioral Sciences approves the admission and agrees to supervise the dissertation. Taking into account the completed studies at the specialist university (Fachhochschule) or of a career academy (Berufsakademie) and the envisaged dissertation topic, the Doctoral Committee determines the modules to be taken as part of the aptitude assessment procedure with a maximum of 40 ECTS credits from Master programs of the Faculty of Economics and Behavioral Sciences. The aptitude assessment procedure, which lasts no longer than two semesters, is passed if all the modules to be attended have been completed successfully.

## **6 Acceptance as a Doctoral Student**

(1) Those intending to prepare a dissertation and who meet the admission conditions under section 5, should register for acceptance as a doctoral student at the earliest possible opportunity. The written application, in which the topic of the dissertation is to be indicated, must be addressed to the Doctoral Committee responsible for the subject. If the topic of the dissertation is within the Faculty but spans the fields of Economics and Behavioral Science, the application should be made to both Doctoral Committees. If the dissertation topic spans more than one subject and addresses specialist areas taught in more than one faculty, then the application is made only to one of the relevant faculties. In the case of such dissertations spanning more than one Faculty the doctoral degree will only be awarded by one Faculty. This is to be decided by the relevant Faculties before the acceptance as a doctoral student.

(2) The application must be accompanied by

1. proof of fulfillment of the admissions criteria in accordance with section 5;
2. the doctoral agreement in accordance with section 4 paragraph 2;
3. a declaration that the applicant knows the applicable doctoral regulations of the Economics and Behavioral Science Faculty;
4. a current curriculum vitae presenting the applicant's personal and professional career;
5. a declaration of ongoing or past doctoral studies attempts; this must include when, on what subject and in which Faculty or in which subject the doctorate was registered; in particular the reason for not having complete the process must be explained, or an officially certified copy of the certificate of a doctoral degree which has already been awarded;
6. for foreigners in particular evidence of sufficient knowledge of German.
7. a recent certificate of good conduct in accordance with Federal Central Register Law unless this has already been sent directly to the Doctoral Committee, as well as a declaration on ongoing criminal investigations; for foreigners who cannot present a certificate of good conduct in accordance with Federal Central Register Law, an equivalent certificate must be produced, which is no more than six months old, from the responsible legal authority or state office from their own country.

(3) The Doctoral Committee usually decides on the application within three months, for doctoral programs for the respective start of the course. Acceptance as a doctoral student is to be refused if

1. the admission criteria according to section 5 are not fulfilled,
2. the proposed chosen dissertation topic does not fall within the specialist orientation of the Economics and Behavioral Science Faculty or no member of the Faculty, who fulfills the requirements set out in section 3 paragraph 2, is capable of expert assessment of the dissertation topic,
3. no member of the Faculty with responsibility under section 3 paragraph 1 considers the chosen topic to be worthy of investigation or suited to the applicant's educational background, or
4. the provision of the material equipment for carrying out the intended project is not secured.

(4) If the applicant is accepted as a doctoral student, s/he will receive a written decision of this. Simultaneously with the decision on acceptance, the Doctoral Committee appoints the person identified in the doctoral agreement as supervisor. If the acceptance as a doctoral student according to section 5 paragraph 3 is subject to a condition, the notification pursuant to clause 1 must also contain information on the achievements to be fulfilled. In cases of a negative decision to refuse acceptance as a doctoral student, the Doctoral Committee must give reasons for this in writing and provide a statement of legal remedies.

(5) Acceptance as a doctoral student can, in particular, be withdrawn if

1. the doctoral agreement (section 4 paragraph 1) is void or rescinded,
2. reasons are subsequently revealed for refusal of the acceptance as a doctoral student,
3. there is no prospect that the dissertation can be successfully completed within the appropriate time
4. the doctoral student has breached the duty of confidentiality accepted by him/ her in the doctoral agreement (section 4 paragraph 2).



Withdrawal of the acceptance as a doctoral student in accordance with clause 1 no. 4 can only take place if the Ombudsman appeal process has been followed without success and no new supervision agreement has been reached.

(6) Acceptance as a doctoral student expresses the Economics and Behavioral Science Faculty's readiness in principle to assess a dissertation on the proposed topic as an academic paper. Acceptance as a doctoral student obliges the Faculty to provide academic supervision for the doctoral student.

(7) Acceptance as a doctoral student does not provide a legal entitlement to admission to the doctoral process.

(8) The responsible supervisor ensures that the doctoral student is made familiar with the rules of academic good practice.

(9) Two years after the acceptance as a doctoral student the responsible supervisor checks whether the intended doctorate can be continued, and informs the Doctoral Committee in writing of the outcome of this review.

## **7 Initiation of the Doctoral Process**

(1) Initiation of the Doctoral Process requires that the doctoral student still fulfills the admission requirements set out in section 5. The application for the initiation of the doctoral process (assessment of the thesis and the oral examination) is submitted to the Doctoral Committee in writing. The application must be accompanied by the following documents:

1. the decision on acceptance as a doctoral student in accordance with section 6 paragraph 4 clause 1;
2. the current version of the doctoral agreement in accordance with section 4 paragraph 2;
3. an up-to-date curriculum vitae presenting the applicant's personal background and professional career;
4. the dissertation in triplicate, printed and bound form as well as additionally in electronic form on the specified data storage system and in the specified format;
5. as applicable a declaration on the chosen form of the oral examination in accordance with section 10 paragraph 3;
6. If applicable, identifying the desired degree of Doctor of Philosophy or of a Doctor of Natural Science according to section 1 paragraph 2 clause 2, in which the choice of doctoral degree must be justified, with a written statement from the responsible supervisor attached; if the aim is to achieve the degree of Doctor of Philosophy within the framework of a doctoral program, this must also be stated;
7. a declaration of any previous or current doctoral attempts with place, date and university and the topic of the dissertation, as well as an officially certified copy of the certificate of a doctoral degree which has already been awarded;
8. a recent certificate of good conduct in accordance with the Federal Central Register Act, unless the certificate of good conduct is sent directly to the Doctoral Committee, as well as a declaration of ongoing criminal investigations; from foreigners who cannot produce a certificate of good conduct in accordance with the Federal Central Register Act, a certificate, dated within the last six months, is required of the equivalent significance from a responsible legal authority or administrative office in their country of origin;
9. an affidavit in accordance with the appendix to these Doctoral Regulations;
10. a copy of the instruction provided by the Faculty of Economics and Behavioral Sciences on the significance and the criminal consequences of the affidavit, signed by the doctoral candidate;
11. where relevant, a full list of the academic publications and papers presented;
12. in cases where a doctoral course has been completed or participation in a structured doctoral program, evidence of the performance achieved;
13. if applicable, evidence of successful completion of courses taken in preparation for doctoral studies and individual course programs in accordance with section 4 paragraph 2 no. 4 as well as the completion of further requirements.

(2) The application can only be withdrawn once, with a written explanation. Withdrawal is not permitted if the Doctoral Committee has already received an assessment or if it has been more than four weeks since an assessor was appointed.

(3) A request in relation to the requirements of paragraph 1 can only be rejected on the grounds of one of the legal reasons on which the doctoral degree could be withdrawn. The decision is taken by the Doctoral Committee.

(4) Über die Zulassung zum Promotionsverfahren entscheidet der Promotionsausschuss. Der Promotionsausschuss kann die Entscheidung über Anträge, die keine besonderen Schwierigkeiten aufweisen, auf den Vorsitzenden/die Vorsitzende übertragen. Der Doktorand/Die Doktorandin erhält über die Zulassung einen schriftlichen Bescheid. Wird die Zulassung abgelehnt, ist die Entscheidung schriftlich zu begründen und dem Doktoranden/der Doktorandin mit einer Rechtsbehelfsbelehrung zuzustellen.

(4) The Doctoral Committee decides on the admission to the doctoral procedure. The Doctoral Committee can delegate decisions on applications which present no particular difficulties to the chairperson. The doctoral student receives a written decision on admission. If admission is refused, the written decision must give reasons and provides the doctoral student with information on legal remedies.

## **8 Dissertation**

(1) The subject of the dissertation must be chosen in a specialist subject properly covered by the Economics and Behavioral Science Faculty. The dissertation must prove the doctoral student's capacity for independent, in-depth academic work, and must make a notable contribution to progressing the state of scientific knowledge.

(2) The thesis must be written in German or English. Upon a reasoned application by the doctoral candidate, the Doctoral Committee may authorize the preparation of the dissertation in French if its assessment within the Faculty of Economic and Behavioral Science is secured. The application must be submitted to the Doctoral Committee before the dissertation is prepared, with the opinion of the responsible supervisor. If the dissertation is written in a foreign language, it must include a summary in German as an appendix.

(3) The dissertation can be submitted as a monograph or as a cumulative dissertation. The doctoral student's papers summarized in a cumulative dissertation must have originated from a common academic question and be published in international, peer-reviewed, scientific journals or accepted for publication. In justified cases, instead of one of the two scientific papers published in a peer-reviewed, internationally recognized journal or accepted for publication, the Doctoral Committee may also accept a scientific paper published in a peer-reviewed, internationally recognized conference proceedings. The doctoral student must have made written at least two of the publications submitted; none of the submitted papers may be the subject of another dissertation of an ongoing or completed doctoral thesis. A detailed statement must be provided which includes a critical appraisal of the research topics and the most important findings of the papers submitted, in the context of the academic literature on the topic, as well as, if necessary, assessment of the doctoral student's individual contribution and the contributions of the individual work by the other authors of the thesis. If the dissertation is based on research carried out as part of a joint research project, the individual performance of the doctoral student must be clearly distinguishable and assessable.

(4) The dissertation must contain a title sheet according to the model format available from the Economics and Behavioral Science Faculty, a table of contents, a summary and a detailed list of sources and literature used.

## **9 Assessment of the Dissertation**

(1) If the doctoral student is admitted to the doctoral process, the Doctoral Committee appoints a first assessor and a second assessor for evaluation of the dissertation. The first assessor is usually the responsible dissertation supervisor. The second assessor is appointed by the Doctoral Committee in consultation with the first assessor.

(2) The assessors test whether the dissertation submitted as can be accepted as a doctoral work, whether it must be rejected or is to be returned for amendments to be made. They assess the academic achievement in their written assessments giving reasons, which must be presented to the Doctoral Com-

mittee usually three months after the appointment of the assessor. As long as return of the thesis for amendments has not been suggested, the thesis is evaluated giving one of the following marks and the relevant predicate:

1.0	1.3,	summa cum laude	for a really outstanding achievement
1.7	2.0, 2.3,	magna cum laude	for an especially creditworthy achievement
2.7	3.0, 3.3	cum laude	for a good achievement
3.7, 4.0		rite	for an acceptable achievement
5.0		non probatum	for an unacceptable achievement

The predicate "summa cum laude" can only be awarded for particularly outstanding achievement. The assessor can suggest changes to the dissertation.

(3) If the two assessors differ from one another regarding their recommendation for acceptance or rejection of the dissertation or their evaluation differs by more than one grade, the Doctoral Committee appoints a third assessor. This third assessor should submit his / her opinion within two months.

(4) Upon receipt of all the assessments, the dissertation and the assessments will be available for perusal in the Dean's office for at least two weeks during the term time or at least three weeks outside of term time. The display period should not exceed four weeks. Additionally or alternatively the display can be in electronic form. The chairperson of the Doctoral Committee notifies the members of the Faculty Council who are entitled to act as examiners in the doctoral process of the place and dates of the dissertation being on display. Those with entitlement to see the dissertation have the right to lodge a written objection to the acceptance, rejection or assessment of the dissertation by the end of the display period. Reasons for the objection must be given in writing within a week of its submission. If an objection is made the Doctoral Committee decides whether this can be discounted or whether a further assessor will be appointed; the Committee can hear from those who have assessed the dissertation to date. Paragraph 3 clause 2 applies as appropriate.

(5) If the assessors are in agreement in recommending the acceptance of the dissertation, it is thereby accepted, as long as no objection is lodged or an objection has been rejected by the Doctoral Committee. If the majority of the assessors rejects the dissertation, then it is thereby rejected. In all other cases the Doctoral Committee decides on the acceptance or rejection on the basis on the assessments provided and the marks therein proposed.

(6) The total mark for the dissertation is formed from the arithmetical average of the individual marks given by the assessors. Only the first figure in decimal place after the decimal point is taken into account, all other figures are ruled out without rounding up. The predicates for a dissertation which has been accepted are as follows:

summa cum laude	for an average of 1.3, or better
magna cum laude	for an average from 1.3 to 2.5
cum laude	for an average from 2.5 to 3.5,
rite	for an average from 3.5 to 4.0.

(7) Where one of the assessors makes a reasoned suggestion the dissertation will be returned to the doctoral student for amendment within a period specified by the Doctoral Committee. The deadline can be extended by the Doctoral Committee in exceptional cases on application by the doctoral student giving good reasons. If the deadline expires without the doctoral thesis being re-submitted in a revised form, it is treated as having been rejected.

(8) The doctoral candidate may be required by the first assessor to revise his/her dissertation with regard to publication; the doctoral procedure will not be completed until these conditions have been met.

(9) If acceptance of the thesis is refused, the doctoral process is unsuccessfully ended. The doctoral student receives a written decision of rejection from the Doctoral Committee, which must give reasons and be accompanied by a legal statement of appeal rights. In such cases the doctoral student may only submit a thesis on another topic once and not before expiry of one year. If this thesis is also rejected, the doctoral examination is permanently failed.



## 10 Oral Examination

(1) The oral examination should take place no later than a year after the acceptance of the dissertation. The appointment for the oral examination, which must be at least a week after the acceptance of the dissertation, must be notified promptly. The dissertation, the assessments, as well as any objections are to be made accessible to the examiners.

(2) In the oral examination the doctoral student should prove his/ her spoken ability to discuss academic problems. The oral examination in the field of Behavioral Science is held as a defense of the thesis (section 11), in the field of Economics it can be held, depending on the doctoral student's choice, either as a defense of the thesis (section 11) or in the form of a viva voce (section 12).

(3) The oral examination in case of a defense of the thesis, is open to the Faculty; upon application by the doctoral student the chairperson of the Examination Committee can also admit guests from outside of the Faculty to listen. In the case of viva voce, Faculty professors are free to attend the oral examinations; doctoral students from the field of Economics may attend the oral exam according to the available places. Where there are good reasons or on application by the doctoral student the public can be excluded. Admission of the public does not extend to the consultation and notification of the outcome.

## 11 Defense of the Thesis

(1) After the acceptance of the dissertation the Doctoral Committee appoints the Examination Board and sets a date for the oral examination. At the same time as being notified of the oral examination date, the doctoral student will be notified of the names of the members of the Examination Commission

(2) The Examination Commission is made up of the first assessor and the second assessor, as well as a further examiner for the oral examination, who cannot be the same assessor as for the dissertation. If a member of the Examination Commission cannot participate in the oral examination, the chairperson of the Doctoral Committee appoints in their place another person in their place who is a suitable subject specialist, who meets the requirements of section 3 paragraph 1 or 2. Replacement of the first assessor by a substitute is only permitted if there are compelling reasons. The majority of the members of the Examination Commission must belong to the Faculty of Economics and Behavioral Science; at least one member of the Examination Commission must be a professor in the Faculty of Economics and Behavioral Sciences. The Examination Commission is chaired by a member appointed by the Doctoral Committee, who should be one of the university professors. The responsible supervisor of the dissertation can not be chair of the Examination Commission. The Examination Commission advises and makes its decisions in private. It decides by simple majority of votes; abstentions are not allowed. Their decisions must be recorded in a minute kept on file.

(3) The defense of the thesis is usually held in German. With the consent of all members of the Examination Commission, the oral defense can also be held in English or French at the request of the doctoral student.

(4) In the defense of the thesis the doctoral student defends his/her dissertation in front of the Examination Commission. The defense of the thesis begins with a 30 minute presentation from the doctoral student about the dissertation; this will be followed by an in-depth academic discussion about the dissertation, as well as questions related to its methodology and content. The defense of the thesis lasts between 60 and 75 minutes in total.

(5) The first assessor chairs the defense of the thesis. The examiner for the oral examination in accordance with paragraph 2 sentence 1 takes the minutes. The minutes, in which the basic content and results, as well as beginning and end of the defense of the thesis, are to be recorded, must be signed by all members of the Examination Commission. The presence of all members of the Examination Commission is required throughout the oral examination.

(6) Immediately following the defense of the thesis, the Examination Commission shall inform the doctoral student on the assessment of the oral examination. Each member of the Examination Commission awards a grade in accordance with section 9 paragraph 2. The grade of the disputation results from the arithmetic mean of the individual assessments; section 9 paragraph 6 clauses 2 and 3 apply accordingly. The oral examination is passed if the average of all the assessments is at least 4.0 ("rite"). The predicate "summa cum laude" may only be awarded if none of the individual ratings is worse than 1.3.

(7) The members of the Examination Commission are required to maintain confidentiality on all examination matters dealt with in closed session. The confidentiality obligation includes the secrecy regarding the

examination documents. The duty of confidentiality continues even after termination of membership of the Examination Commission.

## 12 Viva Voce

(1) The viva voce consists of three examinations, namely the examination on the dissertation subject and two subject examinations, which are taken by three different examiners in the form of an academic discussion lasting 20 minutes each. The examinations can be carried out, in agreement between the doctoral candidate and the respective examiners, in German, English or French.

(2) In accordance with the doctoral candidate's proposal and with the consent of the first assessor, the subject chosen from specialist topics listed in the catalog in paragraph 3 is taken from the topic of the dissertation or the dissertation topic containing an excerpt from this subject, if this section is recognized as part of the subject in economic research and learning. In cases of doubt, the Doctoral Committee decides on the acceptance of a proposal. The examination in the dissertation subject should be taken by the first assessor, and in the case of his / her being unable to attend, by the second referee, and refers to the subject matter of the dissertation for an appropriate amount of time.

(3) For the two specialist subject examinations, two subjects from the following catalog are to be selected by the doctoral student:

1. Business Administration
2. Finance
3. Quantitative methods
4. Economic Policy
5. Economic Theory
6. Business Information Systems

The subject chosen as a dissertation subject can not be chosen as a subject for a subject specialist examination; this does not apply if the dissertation subject is a partial subject.

(4) The examination on the dissertation subject and the two subject examinations take place as individual examinations before an examiner in the presence of an assessor. The examiner and assessor are appointed by the chairperson of the Doctoral Committee. As examiners, persons may be appointed pursuant to section 3 paragraph 1 clause 1. The assessor can be appointed as an associate who works full-time as an academic in the field of Economics at the Faculty and has a doctorate. Notice of each of the intended examiners and their deputies shall be given at the latest four weeks before the first examination date for the individual examination dates of a semester in the subjects referred to in paragraph 3.

(5) A minute of the essential items and results of the oral examination shall be taken by the assessor and signed by the examiner and the assessor.

(6) The grade of the viva voce is calculated as the arithmetic mean of the grades of the three individual examinations; section 9 paragraph 6 clauses 2 and 3 apply accordingly. The oral exam is passed if no subject has been awarded a grade worse than 4.0 ("rite").

## 13 Failure and Repeat of the Oral Examination

(1) If the oral examination is failed or counts as failed the Doctoral Committee provides a written decision thereon, which gives reasons and is accompanied by a statement of legal appeal rights. The oral examination can be repeated once, within a year from the legal finality of the examination decision. The application for admission to repeat the examination is made to the Doctoral Committee no sooner than two months after the notification of the examination decision.

(2) The doctoral process is ended without success and the doctoral examination permanently failed if no application of repeat of the oral examination has been made within a year after the legal finality of the examination decision or if a repeat oral examination is also failed. In justified cases the Doctoral Committee can, on application from the doctoral candidate, extend the deadline for re-sitting the examination.

(3) If the doctoral procedure is ended unsuccessfully, the doctoral student receives an appropriate written decision, which must give reasons and be accompanied by a legal statement of appeal rights.

#### **14 Total Mark for the Doctorate**

(1) If the oral examination is passed, the Doctoral Committee determines the total mark and the applicable predicate for the doctorate. The overall grade for the doctorate is calculated as follows: The overall grade of the dissertation, in accordance with section 9 paragraph 6, is multiplied by six and the grade of the defense of the thesis, in accordance with section 11 paragraph 6, or the grade of the viva voce, in accordance with section 12 paragraph 6 is multiplied by four. Then the sum of the products is divided by ten; section 9 paragraph 6 clauses 2 and 3 apply accordingly. The overall title "summa cum laude" may only be awarded if the title "summa cum laude" has been awarded for both the dissertation and the oral examination.

(2) If applicable, the Doctoral Committee shall at the same time determine the doctoral degree to be awarded in accordance with the prerequisites pursuant to section 1 paragraphs 2 and 3 and taking into account the doctoral candidate's preference pursuant to section 7 paragraph 1 clause 3 no. 6.

(3) After determination of the total mark for the doctorate, the Doctoral Committee notifies the doctoral student of the outcome of the doctorate.

(4) If the doctoral process has been successfully completed, the Doctoral Committee will issue the doctoral student with a provisional certificate of having passed the doctoral examination, usually within three weeks of completion of the oral examination. This contains the title and the assessment of the dissertation, the assessment of the oral examination as well as the overall mark for the doctoral studies. The provisional certificate must contain the note that the doctoral student is not yet entitled to take the doctoral degree.

#### **15 Publication of the Dissertation**

(1) Within a period of two years after passing the oral examination the doctoral candidate must make the dissertation in a version approved by the first assessor, accessible to the academic public in an appropriate manner through replication and distribution.

(2) Prior to publication the dissertation must be submitted to the first assessor to grant permission to print. The permission to print must be provided on a form and put on the doctoral file. If the first assessor rejects the version of the dissertation intended for publication, the Doctoral Committee decides on this at the request of the doctoral candidate.

(3) The doctoral candidate satisfies his / her obligation to publish if s/he delivers the following number of required copies, which must be printed on age-resistant, wood- and acid-free paper and permanently bound, free of charge:

1. three copies to the Faculty of Economics and Behavioral Sciences and
  2. to the University Library Freiburg
- a) in the case of electronic publication via the research information system of the Freiburg University Library FreiDok plus one copy printed on paper in copy-ready typescript together with an electronic version whose file format and data storage system comply with the specifications of the Freiburg University Library; the doctoral candidate has to assure that the electronic version in content and formatting corresponds to the copy printed on paper;
  - b) when published by a commercial publisher in the book trade and proof of a minimum print run of 150 copies as well as proof of publication as a dissertation stating the dissertation in the imprint - one copy;
  - c) if published in an academic journal, a reprint;
  - d) when the individual papers of a cumulative dissertation in academic journals are published, two copies of the entire dissertation printed on paper.

In the case of clause 1 no. 2 a), the doctoral candidate grants the University of Freiburg the right to produce and disseminate additional copies of his/her dissertation within the scope of the legal duties of the Freiburg University Library or to make them available in data networks.

(4) The names of the assessor and the Dean are to be indicated on the back of the title sheet, as well as the date of the oral examination as date of the doctorate. In the case of a later title change, the title of the dissertation submitted at the time is to be pointed out.

(5) If the doctoral student fails to obtain the permission to print from the first assessor, or if s/he fails to meet the deadline specified in paragraph 1, all rights acquired through the doctoral examination expire; if the doctoral certificate has already been handed out, it must be confiscated. In justified cases, the Doctoral Committee may extend the deadline on application prior to its expiry, however for a maximum of three years.

## **16 Completion of the Doctorate and Certificate**

(1) The doctorate is completed by the presentation of the certificate. The doctoral certificate is signed by the Rector of Albert Ludwigs University and the Dean of the Economics and Behavioral Science Faculty and is stamped with the University seal. In addition to the degree obtained, the certificate contains the overall title of the doctorate and the title of the doctoral thesis, as well as the name, the date of birth and the place of birth of the doctoral student. The date of the doctorate is given as the date of the oral examination.

(2) The doctoral degree certificate will only be presented if the doctoral candidate has submitted the required copies of the dissertation to the Faculty of Economics and Behavioral Sciences and the Freiburg University Library in accordance with section 15 paragraph 3. The presentation of the doctoral degree certificate should take place in an appropriate way. Before presentation of the doctoral certificate, the doctoral student does not have the right to claim the doctoral degree, not even with a proviso.

(3) Notwithstanding paragraph 2 clause 1, the Doctoral Committee may, at the request of the doctoral student, in the case of a delivery pursuant to section 15 paragraph 3 clause 1 no. 2 b), already agree to the delivery of the doctoral degree certificate if a legally binding publishing agreement exists, ready-to-print manuscript is available to the publisher and the Doctoral Committee, and the publisher makes a binding declaration to the Doctoral Committee that printing and financing are secured and that the compulsory copies for the Faculty and the Freiburg University Library will be sent free of charge.

(4) Procedural rules resulting from international agreements are not affected.

## **17 Withdrawal from the Oral Examination**

(1) If the doctoral student does not participate in the oral examination in part or in full, this will be treated as withdrawal.

(2) If the doctoral student does not take part in the oral examination because of illness or for another important reason, the withdrawal will be approved on written request. The application must be submitted to the Doctoral Committee without delay by the doctoral student, stating the reasons for withdrawal and enclosing appropriate proofs. In case of illness, the application must enclose a doctor's certificate that states the significant medical cause for the assessment of incapacity for taking an examination.

(3) If the withdrawal is approved by the Doctoral Committee, a new examination date will be set. If the withdrawal is not approved, the oral examination counts as having been failed.

## **18 Revocation and Cancellation of Admission to the Doctoral Program; Invalidity of Doctoral Performance**

(1) If, prior to presentation of the doctoral certificate, it emerges that the doctoral student has used deception in relation to an admission requirement or if acceptance of the essential admission requirements has been erroneous, the admission to the doctorate can be withdrawn. The same shall apply if facts are disclosed which would justify a withdrawal of the doctoral degree under section 36 paragraph 7 of the State Higher Education Law (Landeshochschulgesetz).

(2) If, prior to presentation of the doctoral certificate, it emerges that the doctoral student has used deception in the doctoral requirements, fulfillment of individual or the entire doctoral requirements may be deemed to have been invalid; in severe cases admission to the doctoral procedure can be withdrawn.

(3) Before any such decision under paragraphs 1 or 2 the doctoral student must be given the opportunity to comment. The decision is issued in writing giving reasons to the doctoral student, with an explanation of legal remedies.

## **19 Divestment of the Doctoral Degree**

(1) Withdrawal of the doctoral degree is subject to section 36 paragraph 7 of the State Higher Education law (Landeshochschulgesetz) and section 48 of the State Law on Administrative Procedures (Landesverwaltungsverfahrensgesetz).

(2) If the conditions for admission to the doctoral procedure were not fulfilled, without intentional deception on the part of the applicant, and if this fact first emerges after the presentation of the doctoral certificate, the fault is deemed to have been corrected by the passing of the doctoral examination.

(3) Before a decision on the divestment of a doctoral degree the affected person is given the opportunity to comment. The decision is issued in writing giving reasons to the person affected, with an explanation of legal remedies.

(4) In a case where the doctoral degree is withdrawn, the doctoral certificate which has already been presented is also confiscated.

(5) Divestment of the doctoral degree can be notified by the Rector with the necessary details to all German universities which can award doctorates.

## **20 Procedural Faults and Objection**

(1) Defects in the doctoral procedure must be reported to the Doctoral Committee without delay.

(2) The affected party may lodge an objection with the Doctoral Committee in writing within one month of the date of the notification, against any incriminating notices issued on the basis of these regulations. The Doctoral Committee decides on the objection, where appropriate after hearing from the Examination Board.

(3) The provisions of the Administrative Law Regulations apply to the objection.

## **21 Ombudsman Procedure**

(1) The Ombudspersons, appointed by the Senate of the Albert Ludwigs University are the contact person for the doctoral students of the Economics and Behavioral Science Faculty, as well as for their supervisors in all conflicts arising from the supervisory relationship and work on the dissertation.

(2) The implementation of the Ombudsman's procedure is regulated in the statutes of the Albert Ludwigs University Freiburg for the implementation of the central ombudsman's procedure.

## **22 Protected Periods**

(1) Upon request by a doctoral student the protection periods under section 3 paragraph 1 and section 6 paragraph 1 of the Working Mothers' Protection Act (Mutterschutzgesetz - MuSchG) in the version as notified on June 20th 2002 (BGBl. I. Page 2318) as amended from time to time, shall be taken into account. The application must be accompanied by the necessary supporting documents. Maternity leave periods interrupt the time limits under these regulations.

(2) Likewise, upon application, the time limits for parental leave in accordance with section 15 paragraphs 1 to 3 of the Law on Parental Pay and Parental Leave (Bundeselterngeld- und Elternzeitgesetz – BEEG) of 27<sup>th</sup> January 2015 (BGBl. I page 33) as amended from time to time, are to be taken into account. The doctoral student must notify the Doctoral Committee in writing at least four weeks before the date on which s/he wants to start his / her parental leave, together with the required documentation, of which period he / she wishes to take parental leave. The Doctoral Committee must check whether the legal conditions which would entitle an employee to take parental leave are fulfilled, and notifies the outcome to the doctoral student, along with the new examination dates set or other deadlines.



(3) Recourse to the protection provisions will be enabled, as defined by section 7 paragraph 3 of the Law on Periods of Care (Pflegerzeitgesetz – PflegeZG) of 28<sup>th</sup> May 2008 (BGBl. pp. 874, 896) as amended from time to time, for care of a close relative who is in need of care within the meaning of sections 14 and 15 of the Eleventh Book of the Social Code (SGB XI) of 26 May 1994 (BGBl I, pp.1014, 1015), as amended.

### **23 Disadvantage Compensation**

(1) Doctoral students with disabilities or chronic illness which makes the fulfillment of the doctoral requirements more difficult shall, upon request by the Doctoral Committee, be granted appropriate compensatory measures for their disadvantage. The Doctoral Committee determines the form and scope of the compensatory measure to be necessary for the performance of the doctoral thesis, according to the severity of the obstacle or illness as demonstrated. In particular, the duration of examinations provided for in these regulations may be adequately prolonged; or, alternatively, appropriate compensation may be granted in other forms.

(2) Application for compensatory measures must be made no later than the application for start of the doctoral procedure. The evidence of the disability or illness as defined by paragraph 1, clause 1 must be provided through a medical certificate, which states the necessary medical cause for the assessment. The Doctoral Committee can generally or in individual cases require the presentation of a report from a doctor specified by the Committee.

(3) Before the Doctoral Committee's decision in accordance with section 1 clause 2, in cases of dispute, with the consent of the doctoral student, the university official with responsibility for students with disabilities or chronic illness shall be consulted.

### **24 Retention of the Examination Files**

(1) After successful completion of the doctoral process the examination documents, including the thesis, will be kept in the Economics and Behavioral Science Faculty's files.

(2) If the dissertation is rejected or the doctoral examination is permanently failed, the doctoral thesis, along with all expert opinions, remains in the Faculty files.

(3) The examination documents are held by the Faculty for five years. After expiry of this retention period the examination documents according to paragraph 1 shall be handed over to the university archives and the examination documents pursuant to paragraph 2 shall be offered.

### **25 Inspection of the Examination Files**

The doctoral student has the right, upon application, to see the examination documents within a year of the completion of the doctoral process. The chairperson of the Doctoral Committee decides the date and time of the inspection.

### **26 Doctoral Degree with Joint Supervision from Other Universities**

(1) The organization of joint doctoral procedures with one or more other universities in Germany or abroad which have the right to award doctorates is made on the basis of an agreement between the Albert Ludwigs University and the universities concerned. This cooperation agreement is to be signed by the doctoral student and on behalf of the Albert Ludwigs University by the supervisor, the chairperson of the Doctoral Committee, and the Rector. The cooperation agreement contains the regulations in particular on the following:

1. the organization of the academic supervision of the doctoral student,
2. the minimum length of the period of research at the partner university,
3. the examination formats, including the language to be used, the membership of the Examination Board and the applicable marking system,
4. the arrangements for award of the doctoral degree,

5. the obligation to publish the thesis,

6. responsibility for travel costs.

(2) For doctoral degrees which the Albert Ludwigs University in joint supervision with other universities entitled to award doctorates, the general requirements of these doctoral regulations apply, in so far as no special regulation is affected as a consequence.

(3) The doctoral student will be supervised by an academic teacher from each of the other universities involved and by an academic teacher in the Economics and Behavioral Science Faculty, who meets the requirements of section 3 paragraph 1 clause 1.

(4) The doctoral student decides in consultation with the supervisor of the thesis, at which of the universities involved the degree process the doctoral procedure will be carried out.

(5) The Faculties and the universities involved are stated on the back of the title sheet of the thesis.

(6) The requirements of whichever university at which the doctoral process is undertaken apply to the assessment of the thesis, the conduct of the oral examination, the setting the total final mark for the doctorate and the possibility of repeating the doctoral degree examination, although the following conditions must be fulfilled:

1. If the doctoral process is not undertaken at the Albert Ludwigs University it must be ensured that at least one specialist subject representative of the Economics and Behavioral Science Faculty of the Albert Ludwigs University who holds the qualification of professor, is involved in the doctoral process at the other university.

2. If the doctoral process is undertaken at the Albert Ludwigs University at least one representative of the other university or universities involved who fulfills the criteria set out in section 3 paragraph 2, is appointed as an assessor or examiner.

(7) The doctoral certificate contains the names and signatures of the persons as intended by the universities involved in accordance with the doctoral regulations, and shows the seal of the Albert Ludwigs University as well as the seal of the other participating university/ies or faculty/ies. It includes the academic degree a Doctor of Economics or a Doctor of Philosophy or a Doctor of Natural Science or a Doctor of Philosophy, as well as where appropriate the relevant foreign academic degree. The doctoral certificate specifies that the doctorate was with joint supervision. Where two doctoral certificates are awarded clauses 1 to 3 apply respectively.

(8) Receipt of the doctoral certificate confers upon the doctor the right to adopt the title doctor in the Federal Republic of Germany, and in the case of a joint doctorate with a foreign university the relevant academic degree in the state to which the participating university belongs. The right to only one doctoral degree is awarded.

(9) The cooperation agreement can refer to the right of other university /ies involved as to publication of the thesis and the number of copies required. It must be ensured that, depending on the form of publication, the Economics and Behavioral Science Faculty receives at least three obligatory copies and the University of Freiburg Library, depending on the type of publication, the number of copies set out in section 15 paragraph 3.

## **27 Doctoral Students' Convention**

(1) Doctoral students accepted by the Economics and Behavioral Science Faculty make up a Doctoral Students' Congress.

(2) The Doctoral Students' Congress can advise doctoral students on relevant questions and make recommendations to the university bodies. The Doctoral Students' Congress will be provided with the draft Doctoral Regulations for comment; the comment will be included in the Senate's documents.

(3) The Doctoral Students' Congress draws up its own business rules and elects a chairperson. Organizational details of the Doctoral Students' Congress and the electoral procedure for the Committee are regulated by the rules of procedure, which the Congress decides with the majority of its members present.

(4) A member of the Committee of the Doctoral Students' Congress can take part in the discussion of draft Doctoral Regulations at meetings of the Central Faculty Council.

## **28 Doctoral Anniversary**

The Faculty of Economics and Behavioral Sciences can renew the doctorate in a subject matter represented by it on the occasion of the fiftieth anniversary of the doctoral day by a certificate, if this respects the special academic merits or the particularly close ties of the person to be honored with the Albert Ludwigs University appears appropriate. The decision on this is made by the Faculty Council.

## **29 Honorary Doctorates**

(1) In special recognition of outstanding academic achievements in one of the specialist areas represented by the Faculty, the Faculty of Economics and Behavior, as a rare distinction in the field of Economics, awards the honorary degree of Doctor of Economics (Doctor rerum politicarum honoris causa, abbreviated Dr. rer. hc) and in the field of Behavioral Science, the degree of honorary Doctor of Philosophy (Doctor philosophiae honoris causa, abbreviated to Dr. phil. hc) or a Doctor of Natural Science (Doctor rerum naturalium honoris causa, abbreviated Dr. rer nat ). Women can also hold the honorary doctorate in the female form.

(2) The Faculty Council, in consultation with the Senate, decides on the award of honorary doctorates, as well as on their withdrawal applying section 19 as as relevant.

(3) A proposal on for award of an honorary doctorate can my made by one or more professors in the relevant field of the Economics and Behavioral Science Faculty. The proposal must be submitted in writing to the chairperson of the Doctoral Committee. The nomination must contain:

1. a biography of the distinguished person,
2. a list of their publications,
3. a fully reasoned justification, which also contains explanation of the proposed degree, and
4. a draft wording for the certificate.

After checking that it is complete, the chairperson of the Doctoral Committee forwards the proposal to the Faculty Council.

(4) The Faculty Council creates a Committee which checks the requirements for an honorary degree and obtains an expert assessment for the resolution of the Faculty Council. The Committee consists of: the proposer or one of the proposers as their representative, as well as five further university professors from the relevant area of the Faculty.

(5) The Faculty Council decides on the application taking account of the expert opinion of the Committee, with a two thirds majority vote of its members who are entitled to vote.

(6) The person to be honored will only be informed of the intended honorary doctorate after the full completion of the procedure. S/he will be offered the honorary doctorate by the Dean.

(7) The award of the honorary doctorate takes place at a ceremony for the presentation of the certificate by the Dean in the presence of the faculty members. The academic service of the honorary doctor is acknowledged in the certificate. The certificate will be signed by the Rector and the Dean, and stamped with the University seal.

## **30 Commencement and Transitional Provisions**

(1) This Doctoral Regulation takes effect on 1<sup>st</sup> April 2017 in Kraft. Simultaneously the Freiburg University Doctoral Regulation for the Economics and Behavioral Science Faculty of 20<sup>th</sup> October 2004 (Official Proclamations vol. 35, no. 61, pp. 338 - 350), lat amended on 6<sup>th</sup> November 2006 (Official Proclamations vol. 37, no. 47, pp. 271 -272), reported on 18<sup>th</sup> November 2011 (Official Proclamations vol. 42, no. 103, p. 722) ceases to have effect.

(2) The current regulations apply to doctoral procedures which have already been started at the time of entry into force of these Doctoral Regulations or whose commencement has already been applied for at that time.

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(3) For doctoral candidates already accepted for doctoral studies at the time of entry into force of this doctoral regulation, who have not yet applied for the commencement of their doctoral procedure, the previous regulations apply, unless the doctoral student expressly applies for the application of this doctoral regulation.

Freiburg, [Date]

Prof. Dr. Dr. h.c. Hans-Jochen Schiewer

Rector

## Appendix

(to section 7 paragraph 1 clause 3 number 9)

### Declaration on Oath

The declaration on oath is usually to be provided in writing. The possibility for acceptance of a declaration on oath by affidavit remains unaffected. The written declaration is worded as follows:

"Declaration on Oath in accordance with section 7 paragraph 1 clause 3 no. 9 of the Doctoral Regulation of Albert Ludwigs University for the Economics and Behavioral Science Faculty.

1. The thesis submitted on the topic

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is my own achievement.

2. I have only used the sources and resources specified and have not had any third party help. In particular I have identified where I have adopted the literal or conceptual work of others.

3. I have presented thesis or a part thereof:

*(please cross as applicable)*

- as yet to no other university in Germany nor abroad as subject of an examination or qualification achievement;
- to another university in Germany or abroad as subject of an examination or qualification achievement as follows;

Title of the thesis submitted elsewhere:

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Name of the relevant university:

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Year of submission of the thesis:

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Type of the examination of qualification achievement:

4. I confirm that the above declaration is correct.
5. I understand the significance of this declaration on oath and I am aware of the criminally punishable consequences of making a false or incomplete declaration on oath.

I swear on oath that to the best of my knowledge that I have declared the whole truth and have not concealed anything.

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Place and date

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Signature."