

Please note that this document is a non-binding convenience translation. Only the German version of the document entitled "Promotionsordnung der Universität Heidelberg für die Fakultät für Wirtschafts- und Sozialwissenschaften" [published in the Rector's Bulletin (Mitteilungsblatt des Rektors) dated 21 May 2012, p. 463] has legal validity.

Doctoral regulations of Heidelberg University for the Faculty of Economics and Social Sciences

of 20 April 2012

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Section 1 Doctorate

- (1) The Faculty of Economics and Social Sciences of Heidelberg University awards the academic degree of "doctor rerum politicarum" (Dr. rer. pol.) on the basis of the candidate's doctoral work in the fields of political science, sociology or economics or the degree "doctor rerum politicarum honoris causa" (Dr. rer. pol. h.c.) on the basis of outstanding academic achievement in economics and social sciences including neighbouring disciplines.
- (2) The Faculty of Economics and Social Sciences is committed to the Senate Recommendations on Support for Junior Researchers at Heidelberg University dated 19 July 2005, and implements them appropriately.
- (3) Provided that they do not conflict with the Act on Higher Education of the Land of Baden-Württemberg (LHG), the doctoral committee may, in a duly convened meeting and with a two-thirds majority, decide on exemptions from the following provisions in individual cases, e.g. to enable binational or interdisciplinary doctorates.

Section 2 Purpose and components of the doctorate, doctoral procedure

- (1) The doctoral dissertation serves to demonstrate the candidate's ability to undertake independent academic research.
- (2) The doctorate is composed of an academic paper (dissertation) and an oral examination (oral defence) in the respective discipline.
- (3) The faculty bodies dealing with doctorates are the doctoral committee and an examination committee appointed by the doctoral committee for each doctoral degree procedure.

Section 3 Doctoral committee

- (1) The doctoral committee decides upon admission to doctoral degree programmes and ensures the proper course of the doctorate.
- (2) The faculty board elects the members of the doctoral committee, its chairperson, and one deputy each at the end of the spring semester for a two-year term. If a member or a deputy member becomes unavailable, a successor will immediately be elected for the remainder of the term. Members may be re-elected.
- (3) The membership of the doctoral committee is made up of the chair and four additional professors of the Faculty of Economics and Social Sciences who must all have their primary occupation at Heidelberg University. It is permissible for one of the committee members to be a "Privatdozent" (hereinafter referred to as "associate professor") if his or her primary occupation is at Heidelberg University. The doctoral committee elects a deputy chairperson.

- (4) The doctoral committee takes its decisions by a majority vote of its members
- (5) The doctoral committee meets in closed sessions, without prejudice to hearings of the candidate concerned.
- (6) The doctoral committee will communicate its decisions to applicants or doctoral candidates in writing or electronically.

Section 4 Application for admission, request for admission as a doctoral candidate

- (1) The applicant submits a written application for admission to the doctorate to the dean of the faculty.
- (2) The application must be accompanied by the following documents:
 1. curriculum vitae listing the candidate's previous academic career;
 2. general higher education entrance diploma, a subject-restricted higher education entrance diploma or a higher education entrance diploma recognised by regulation or by the competent government authority;
 3. list of semesters spent enrolled in previous courses of study, places of study, and courses attended, including lecturers;
 4. degree certificate acquired at a university in Germany or abroad;
 5. statement as to whether the candidate has previously failed a doctoral examination;
 6. a proposal for a dissertation topic and a concept that outlines the dissertation and has been approved by the supervisor.
- (3) Professors and associate professors of the faculty may be appointed as supervisors. The supervisor is responsible for providing academic supervision to the candidate.

Section 5 Admission requirements, admission to the doctorate

- (1) As a requirement for admission to the doctorate, applicants are normally required to have completed a course of study (usually in the intended doctoral subject) at a university or at a comparable higher education institution with a minimum grade of "good".

Proof is to be provided in the form of a certificate of a Diplom, Magister, master's degree, Staatsexamen or equivalent degree. The same applies to master's degrees acquired from universities of applied science (Fachhochschulen - FH).

- (2) If the overall mark does not meet the minimum requirement of "good", the applicant may be admitted if two professors or associate professors of the faculty provide a favourable evaluation of the candidate's academic qualifications. This also applies if no overall mark exists.
- (3) If the chosen doctoral subject was not the main examination subject in the applicant's previous course of studies from which he or she obtained a Diplom, Magister, Staatsexamen or equivalent degree, the doctoral committee may ask the applicant to demonstrate his or her specialised skill and knowledge level by successfully completing a minimum of two courses for doctoral candidates. This requirement to furnish additional proof of qualification may be waived if the doctoral candidate belongs to a research training group with a structured programme for doctoral candidates that has been approved by the faculty.
- (4) The final oral examination lasts about one hour. It is conducted by two examiners who are professors or associate professors of the faculty, and who have been appointed by the doctoral committee. The number of subject areas covered in the final oral examination is restricted to two disciplines, which are to be determined by the doctoral committee.
- (5) The final oral examination serves to assess whether the applicant has sufficient knowledge of the chosen doctoral subject. This is deemed to be the case if the grade awarded for the oral examination is at least "good" (less than or equal to 2.50. The overall mark is determined as the arithmetic average of the individual marks awarded by the examiners. The grades permissible for the oral examination are "very good" (1), "good" (2), "satisfactory"(3), "sufficient" (4), and "insufficient" (5).
- (6) The doctoral committee must normally decide on requests for admission within six weeks while the university is in session. If the doctoral committee rejects an application, it must give the candidate a written statement of the reasons.
- (7) Successful candidates will receive a written notification of their admission to the doctoral programme issued by the Dean.
- (8) As a rule, the dissertation should be submitted within three years. The doctoral committee may grant an extension upon request. Admission to the doctoral programme may be revoked if, after five years, the candidate provides no reason to believe that he or she will conclude the dissertation successfully.

This does not apply if the doctoral candidate is not responsible for the delay. Prior to reaching a decision, the doctoral committee must give the candidate an opportunity to be heard.

Section 6 Admission of particularly qualified applicants with a degree from a university of applied sciences, a bachelor's degree or an international degree

- (1) The doctoral committee may admit applicants with a degree in a relevant subject from universities of applied sciences, vocational universities (Berufsakademien) or the Württemberg Notarial Academy, or with a bachelor's degree or an incompatible international university degree
 - a) if they are particularly skilled, and
 - b) successfully demonstrate during an aptitude assessment procedure (Eignungsfeststellungsverfahren) that they are able to undertake the same level of academic research in their intended doctoral subject as a candidate with a German university degree.
- (2) As a rule, the aptitude assessment procedure will last four semesters and the doctoral committee determines the required level of achievement.
- (3) The doctoral committee decides upon request by the candidate whether he or she has passed the aptitude assessment procedure.

Section 7 Academic supervision of the doctoral candidate

- (1) Upon admitting a doctoral student, the faculty undertakes to examine the dissertation with the theme already provided, and to support the doctoral candidate in his or her dissertation work.
- (2) The faculty's professors are obligated to supervise doctoral candidates within the limits imposed by their tasks related to research, teaching, and academic self-government.
- (3) Candidates are expected to nominate a professor or associate professor as their supervisor vis-à-vis the doctoral committee. If the nominee agrees to supervise the candidate, and if the dissertation schedule presented by the candidate gives reason to expect that the purpose of the doctorate (cf. section 2 subsection 1) will likely be met, the doctoral committee is to appoint the nominee as supervisor.
- (4) The candidate and his or her supervisor agree on a dissertation topic, the duration of the doctorate, and a three-year dissertation schedule. The progress of the dissertation project shall be evaluated regularly.
- (5) The doctoral committee may appoint a second supervisor if requested by the main supervisor or the candidate.
- (6) The faculty board can set down guidelines for doctoral degree procedures, stipulating inter alia the involvement of candidates in interdisciplinary research training groups or obligating candidates to realise workshops where the candidates of a given subject or subject group present their doctoral projects.

Section 8 Doctoral dissertation

- (1) The dissertation must be of an adequate scientific standard and demonstrate the candidate's ability to undertake independent academic work in the doctoral subject.
- (2) As a rule, the dissertation is to be written in German, English or French. The doctoral committee may upon written request allow candidates to submit dissertations written in other languages if language skills among the faculty's professors or associate professors allow for the dissertation to be evaluated in the respective language. The doctoral committee must without undue delay inform the faculty's professors and associate professors of its decision in writing. If the doctoral committee allows a candidate to submit his or her dissertation in another language, it must set down the condition that a dissertation summary is provided in German language, stating the objectives and findings of the research, and the methods applied.

Section 9 Submission of the dissertation and admission to the examination

- (1) Five copies of the dissertation and, where applicable, of a summary drafted in accordance with section 8 subsection 2 clause 4 are to be submitted to the doctoral committee; additionally, a digital copy of the dissertation must be provided in a searchable format.
- (2) Along with the dissertation, the candidate must submit the following documents:
 1. an affidavit pursuant to Appendix 1 to these doctoral regulations;
 2. a signed copy of the instructions pursuant to Appendix 2 to these doctoral regulations pertaining to the meaning of the affidavit and potential legal ramifications;
- (3) Prior publication of the dissertation, both in part or in full, is admissible.
- (4) The candidate is not to be admitted if
 1. he or she does not meet the admission requirements
 2. the documents are incomplete
 3. he or she submits a dissertation that has previously been rejected or used as the exam paper in another examination procedure.
- (5) Admission may be denied if
 1. the candidate failed more than one previous attempt to obtain a doctorate
 2. reasons exist which would justify revocation of an academic degree or if an academic degree has been revoked.

Section 10 Dissertation evaluations

- (1) Following submission of the dissertation, the doctoral committee appoints at least two evaluators, one of whom shall usually be the supervisor. The appointment process is to be concluded within a four-week period.
- (2) Pursuant to section 44 subsection 1 of the Act on Higher Education of the Land of Baden-Württemberg (LHG), evaluators must be professors or associate professors. They should normally belong to the Faculty of Economics and Social Sciences. Professors who are fully retired or semi-retired (i.e. who have been released from their teaching duties) may be appointed as evaluators if they were involved in advising the candidate for his or her dissertation. If the dissertation deals with subject matters relevant to disciplines outside the faculty, professors and associate professors belonging to other faculties of Heidelberg University may be appointed as evaluators with their consent. If professors of other universities or higher education institutions of a comparable academic standard or leaders of independent research groups who hold a position within the meaning of section 44 subsection 1 clause 1 or subsection 2 clause 2 Landeshochschulgesetz are to be appointed, the doctoral committee decides. At least half of the evaluators must be professors, associate or fully or semi-retired professors belonging the faculty.
- (3) The evaluators propose either acceptance or rejection of the dissertation and, if the dissertation is to be accepted, award one of the following marks:

summa cum laude	(1-very good)
magna cum laude	(2-good)
cum laude	(3-satisfactory)
rite	(4-acceptable)

Marks may be differentiated by adding or subtracting 0.3. The grades 0.7 and 4.3 shall not be assigned.

- (4) The evaluators may set down conditions for the publication of the dissertation.
- (5) The written evaluations should be presented to the doctoral committee within four months of the appointment of the evaluators.

Section 11 Inspection of the dissertation and of the evaluations

- (1) Once the evaluations have been submitted to the doctoral committee and a notification in this regard has been issued to the professors and associate professors, the dissertation shall be available for inspection at the Faculty Dean's office for a two-week period.
- (2) All professors, associate professors, evaluators and the candidate are entitled to inspect the dissertation and the evaluations.

- (3) The commencement date of the inspection period, the name of the candidate, the doctoral subject, the theme of the dissertation and the names of the evaluators are to be communicated to the faculty's professors and associate professors and to the candidate digitally or in writing.
- (4) Once the candidate has been admitted to the examination in accordance with section 9, he or she can withdraw the submitted dissertation until the first evaluation is received. The candidate must direct a statement to this effect to the doctoral committee. If the candidate withdraws his or her dissertation, the doctoral programme is terminated. Section 19 applies accordingly.

Section 12 Appointment of additional evaluators

- (1) Within the inspection period, the professors and associate professors are entitled to request the appointment of another evaluator. The request must be substantiated in writing. The appointment process is to be concluded without undue delay and within three weeks after the request has been received while the university is in session; the requester may be appointed as evaluator.
- (2) If additional evaluators are appointed, section 10 applies accordingly.

Section 13 Termination of the doctoral programme in the event of negative evaluations

If the doctoral committee finds that the majority of evaluations are negative, the dissertation shall be rejected and the doctoral programme shall be terminated.

Section 14 Examination committee

- (1) Following the expiry of the inspection period and the receipt of all evaluations, and provided that section 13 does not apply, the doctoral committee appoints an examination committee and a professor or associate professor from among its membership as the chairperson. The examination committee must be appointed within four weeks while the university is in session. The doctoral committee will communicate the composition of the examination committee to the professors and associate professors of the faculty and to the candidate upon request.
- (2) The examination committee is composed of the evaluators and at least one other professor or associate professor who belongs to the faculty but should represent a discipline different from the doctoral subject. To cater for cases where a member of the examination committee is unable to attend the oral defence for overriding reasons, the examination committee also includes a substitute member.

- (3) The chair of the examination committee sets the date of the oral defence, calls for the examination committee to convene, and summons the candidate to the oral defence.
- (4) Decisions of the examination committee are made by a majority of votes.
- (5) The examination committee immediately communicates its decision to the doctoral committee in writing.

Section 15 Dissertation result

- (1) The examination committee decides on acceptance or rejection of the dissertation. It may reject the dissertation only if this is recommended by at least one written evaluation.
- (2) If the committee rejects a dissertation that was presented for the first time, the candidate is entitled to revise the dissertation and re-submit it within a year from the date of rejection. If the revised dissertation is submitted in due time, the doctoral programme resumes at section 9. If the candidate chooses not to exercise his or her right to revise the dissertation, or if the revised dissertation is not submitted in due time, the rejection of the dissertation and the termination of the doctoral programme are final.

Section 16 Oral defence

- (1) If the dissertation is accepted, the candidate is to sit a 90-minute oral defence of the dissertation, which also includes questions about related themes from the candidate's subject area.
- (2) As a rule, the oral defence is to take place within six weeks following the expiry of the inspection period or the submission of all evaluations while the university is in session. The chair of the examination committee must communicate the date and place of the oral defence to the other members of the examination committee and to the candidate in writing. The chair also posts a notice to announce the date and place of the oral defence.
- (3) As far as space limitations allow, the chair of the examination committee may allow other doctoral candidates enrolled in the faculty to attend the oral defence as spectators. Spectators are not allowed while the committee debates and announces the result of the oral defence. The public must be excluded from the oral defence upon the candidate's request or if necessitated by good cause.
- (4) The chair of the examination committee chairs the oral defence.
- (5) A concise written record of the oral defence must be prepared.

Section 17 Decision about the result of the oral defence

- (1) Immediately after the oral defence, the examination committee decides in closed session whether the candidate's performance in the oral defence is to be accepted or rejected.
- (2) Rejection of the oral defence leads to rejection of the doctorate altogether.

Section 18 Doctoral result

- (1) Provided that the doctorate has not been rejected pursuant to section 13, section 15 subsection 2 and section 17 subsection 2, the examination committee decides in closed session on the mark of the oral defence and the mark of the dissertation, which will be determined on the basis of the written evaluations. The committee will then determine the overall mark on the basis of both marks.
- (2) Section 10 subsection 3 applies accordingly to the calculation of the marks assigned for the dissertation and the oral defence.
- (3) The overall mark is the arithmetic average of the respective grades for the dissertation and the oral defence. The dissertation grade is weighted double whereas the oral defence is weighted regularly. Averages are marked as follows:
 - an average between 1 and 1.5: summa cum laude
 - an average between 1.6-2.5: magna cum laude
 - an average between 2.6-3.5: cum laude
 - an average between 3.6-4.0: rite
- (4) The candidate shall be notified of the doctoral result immediately.

Section 19 Retake of components of the doctorate

- (1) If the dissertation has been rejected in accordance with section 13 and section 15 subsection 2, the candidate may submit a new dissertation. If the candidate chooses to do so, the doctoral programme resumes at section 9. Such re-takes are granted only once.
- (2) If the candidate's performance at the oral defence leads to rejection as set forth under section 17 subsection 2, the candidate may retake the oral defence upon written request to the examination committee. The request must be submitted to the examination committee within six months following the first oral defence. In this case, the doctoral programme resumes at section 16. Such retakes are granted only once.

Section 20 Publication and duplication of the dissertation

- (1) Once the components of the doctorate have been accepted, the dissertation must be published within two years after conclusion of the doctoral programme.
- (2) If the dissertation is not published in due time, all rights acquired with the doctorate are forfeited. In special cases, the time limit may be extended upon timely and substantiated request by the candidate. The chair of the doctoral committee decides on extensions of up to six months; for extensions exceeding this period, the decision is made by the doctoral committee.
- (3) If the examination committee has reservations about the publication of the dissertation as submitted to the examination committee, it may set down conditions for the candidate. If conditions in accordance with section 10 subsection 4 are set down, the examination committee must in turn set down the same conditions.
- (4) Prior to the dissertation being duplicated, the candidate must seek written permission to do so from the chair of the examination committee. If conditions pursuant to subsection 3 are set down, the chair will decide in agreement with the members of the examination committee.
- (5) Written permission for duplication of the dissertation may be given for publication
 1. in a series of publications or as a separate publication distributed by the publishing trade;
 2. in an academic journal or collected edition;
 3. as a digital copy of the dissertation, whose data format and carrier must be approved by the university library, plus six additional bound and typewritten hard-copies of the dissertation.

For duplications according to clause 1, the imprint must indicate that the publication is a Heidelberg University dissertation. Duplications according to clause 3, must include a reference identifying the publication as a Heidelberg University dissertation. If the dissertation title is modified for publication, the original title must be indicated.

- (6) If the dissertation is duplicated as set forth under section 5 clause 1, six deposit copies must be submitted to the faculty within two years following the date of the decision on the doctoral result. Subsection 2 applies accordingly.
- (7) In addition to the deposit copies, the candidate must submit one copy of the published dissertation to each of the evaluators.

- (8) For accepted dissertations that, by the time of submission were published in full in accordance with section 9 subsection 3, the publication requirement as set forth under subsection 1 is waived if the submitted publication complies with the requirements of subsection 4 clauses 1 and 2.

Section 21 Conferral of the degree Dr. rer. pol.

- (1) If the candidate submits the deposit copies in due time pursuant to section 20 subsection 5, he or she will be conferred the degree of "doctor rerum politicarum" (Dr. rer. pol.) by doctoral certificate, which will be handed or delivered to the candidate. The doctoral certificate records the title of the dissertation, the overall mark and the subject of the doctorate, and states the date of the oral defence as the date of degree award.
- (2) The right to use the title of "Doctor" is acquired only upon receipt of the doctoral certificate.

Section 22 Conferral of the degree Dr. rer. pol. h.c.

- (1) Acting with the approval of the senate, the faculty may award the degree of "doctor rerum politicarum honoris causa" (Dr. rer. pol. h.c.) in recognition of outstanding academic achievements in the fields of economics or social sciences.
- (2) The conferral of an honorary doctorate requires a proposal by at least three professors or associate professors of the faculty concerned. In preparation of its decision, the faculty board appoints from its membership two professors, university lecturers or associate professors as rapporteurs. The faculty board will make a decision once it has received the rapporteurs' evaluations. A three-quarter majority of members holding a doctorate is required.
- (3) The degree of Dr. rer. pol. h.c. is conferred by the faculty through the handing over of an honorary doctoral certificate in which the conferral of the doctorate is substantiated by the honouree's academic achievements.

Section 23 Revocation and withdrawal of admission; nullification of doctoral results

- (1) If, prior to the execution of the doctoral certificate, it emerges that the candidate met one of the conditions of admission through deception, or essential conditions of admission were mistakenly taken to have been satisfied, the faculty board may upon request by the doctoral committee revoke its admission of a doctoral candidate or admission to the examination procedure. The same applies if facts become known that would justify the withdrawal of a doctoral degree under state law.

- (2) If, before the doctoral certificate is issued, it emerges that the candidate used deception in order to meet one of the requirements for the doctorate, the doctoral committee may nullify either this particular result or all prior results. In severe cases the committee may revoke admission to the doctoral programme.
- (3) The candidate concerned must be heard before a decision is reached. The decision must be substantiated and served to him or her with instructions for appeal.

Section 24 Revocation of doctoral degree

- (1) Revocation of doctoral degrees is governed by state law. If state law does not specify otherwise, the faculty board is the competent body to administer revocation of doctoral degrees.
- (2) The candidate concerned must be heard before a decision is reached. The decision must be substantiated and served to him or her with instructions for appeal.

Section 25 Entry into force, transitory provisions

- (1) The above doctoral regulations become effective on the first day of the month following their publication in the Rector's Bulletin (Mitteilungsblatt des Rektors). They simultaneously supersede the doctoral regulations of Heidelberg University for the Faculty of Economics and Social Sciences dated 26 May 2006 (page 307 of the Rector's Bulletin dated 29 May 2006).
- (2) Candidates who took up a doctoral programme prior to these doctoral regulations becoming effective, may upon request continue the doctorate according to the previous doctoral regulations dated 26 May 2006, provided that these provisions are not in conflict with the Act on Higher Education of the Land of Baden-Württemberg (LHG).
- (3) Candidates who took up a doctoral programme at the Faculty of Philosophy and History or at the Faculty of Social and Behavioural Studies may, upon request, continue the doctorate according to the previous doctoral regulations for their respective subject, provided that these provisions are not in conflict with the Act on Higher Education of the Land of Baden-Württemberg.

Appendix 1 to section 9 of the doctoral regulations of the Faculty of Economics and Social Sciences

Affidavit in accordance with section 9 of the doctoral regulations of the Faculty of Economics and Social Sciences

1. *The submitted doctoral dissertation on the subject of:*

.....
is my own work.

2. *I did not seek unauthorised assistance of a third party and I have employed no other sources or means except the ones listed. I clearly marked any direct and indirect quotations derived from the works of others.*

3. *I have not¹ presented this doctoral dissertation or parts of it at another higher education institution in Germany or abroad.*

Title of the dissertation:

University and year:

Type of examination or qualification:

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

5. *I am aware of the meaning of this affirmation and the legal ramifications in case of untrue or incomplete statements.*

I affirm in lieu of oath that the above statements are to the best of my knowledge true and complete.

Place and date

Signature

¹ Please cross out as appropriate. In the case of a positive statement, please indicate: title of the paper as submitted to other institution, name of higher education institution, year of submission and type of examination or qualification.

Appendix 2 to section 9 of the doctoral regulations of the Faculty of Economics and Social Sciences

Affidavit instructions

In order to obtain reasonable assurance that candidates perform their academic work without unauthorised assistance of third parties, universities in Baden-Württemberg require an affidavit which confirms that the academic work was performed autonomously.

Given the particular legal relevance of affidavits, which may have serious ramifications, the law imposes penal sanctions for false affidavits. Intentionally and deliberately false statements are punishable by imprisonment of up to 3 years or a fine.

Negligent affirmations (i.e. you should have been aware that the affirmation was inaccurate) are punishable by imprisonment of up to one year or a fine.

The corresponding penal provisions are set forth under sections 156 (false affirmations in lieu of an oath) and 161 (negligent false oath, negligent false affirmation in lieu of an oath) of the German Criminal Code.

Section 156 German Criminal Code: False Affirmation in Lieu of an Oath

Whoever, before a public authority competent to administer affirmations in lieu of an oath, falsely makes such an affirmation or falsely testifies while referring to such an affirmation, shall be punished with imprisonment for not more than three years or a fine.

Section 161 German Criminal Code: Negligent False Oath, Negligent False Affirmation in Lieu of an Oath

Subsection 1: If someone commits one of the acts indicated in Sections 154 to 156 out of negligence, then imprisonment for not more than one year or a fine shall be imposed.

Subsection 2: Exemption from punishment shall occur if the perpetrator makes a timely rectification of the false statement. The provisions of section 158 subsections (2) and (3) shall apply accordingly.

Place and Date

Signature

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