

Regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics

Reading version in consideration of

- the version of August 1, 2011 (Official Journal of Bielefeld University – Public Notices – Jg. 40, Series 14, p 218),
- the regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 1 August 2013 (Official Journal of Bielefeld University – Public Notices – Jg. 42, Series 16, p 309),
- the second regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 3 February 2014 (Official Journal of Bielefeld University – Public Notices – Jg. 43, Series 2, p 19) and
- the third regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 1 April 2015 (Official Journal of Bielefeld University – Public Notices – Jg. 44, Series 5, p 121).
- the fourth regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 1 February 2018 (Official Journal of Bielefeld University – Public Notices – Jg. 47, Series 3, p 25).

1. Doctorate Degree (Section 2 RPO)

- not applicable -

2. Purpose and forms of attaining doctorate degrees (Section 3 RPO)

(1) The final award of a doctorate degree is determined on the basis of a paper demonstrating original research (PhD thesis/dissertation) and a viva (oral) examination (thesis defense/disputation).

(2) The Department of Business Administration and Economics offers candidates for a doctorate a structured research degree program within the general framework of the "Bielefeld Graduate School of Economics and Management" (BiGSEM). Participation in the research degree program is not a compulsory requirement for obtaining a doctorate degree.

3. Responsibilities (Section 4 RPO)

(1) The Graduate Board consists of all members of the Department Assembly (Fakultätskonferenz), all members of the faculty's professors with voting rights and all faculty holding a higher doctorate degree (German habilitation) with voting rights. Only members of the Graduate Board holding a doctorate degree have the voting right for decisions concerning the academic achievements (Section 65 Paragraph 1 HG).

(2) The Graduate Board is chaired by the Dean of the Department of Business Administration and Economics.

(3) The Graduate Board constitutes a quorum if at least half of the members with voting rights is present. It decides with a simple majority of the present members with voting rights in an open vote; in case of tie, the vote of the chairman decides.

(4) During the semester break the Graduate Board assigns the execution of its duties and responsibilities to the chair provided that this affects decisions on the admission as research degree candidate in accordance with Section 5 and the admission requirements in accordance with Section 4 are satisfied without doubt. The chair reports on the decisions taken at the next regular meeting of the Graduate Board.

4. Admission requirements (Section 5 RPO)

(1) Subject to the provisions laid down in Paragraph 3, a course of study is regarded as pertinent under Section 5 Paragraph 1 Clause 1 RPO, if it has been successfully completed with a degree in economics or, depending on the subject of the doctoral thesis, in statistics or mathematics respectively, provided statistics constituted a major field of studies.

(2) As a matter of principle, applicants for a research doctorate must have completed a degree course as defined in Section 5 Paragraph 1 Clause 1a) RPO and achieved at least a first or second class Honours degree (80-89%) [Mindestnote "gut"] as minimum requirement. In the case of Section 5 Paragraph 1 Clause 1a) RPO the minimum requirement of an Honours degree may be waived by the Graduate Board if the academic qualification of the respective applicant justifies this decision. The Graduate Board may in this case stipulate that the applicant is to complete additional graded assignments in the subject area of economics amounting to up to 40 credit points and on average achieving a Grade B [Mindestnote "gut"] or higher, in accordance with the subject-specific stipulations for the master's programs in economics and business mathematics at the Department of Business Administration and Economics and to submit the

respective certificates.

(3) Applicants for a research doctorate who completed an eight-semester degree course at a university in a subject other than economics or a master's program within the meaning of Section 61 Paragraph 2 Clause 2 HG in a subject other than economics and achieved at least a first or second class 'Honours' degree or higher may be admitted to the research study program on the decision of the Graduate Board provided they possess adequate knowledge in their chosen subject area to complete a doctorate research study program in economics or statistics respectively. The Graduate Board may, insofar as the specific requirements of the program justify such an approach, request the applicant for a research doctorate to complete additional graded assignments amounting to up to 40 credit points and on average achieving a Grade B, in accordance with the subject-specific regulations of the master's programs in economics and business mathematics at the Department of Business Administration and Economics in the following doctorate research subject areas:

1. Economics (Business Administration, Political Economy or Business Mathematics) and
2. Statistics (including Econometrics and Empirical Social Research).

(4) Research degree candidates who have been admitted to the BIGSEM program may be permitted to transfer to candidature for the doctorate award without having to meet further requirements provided they successfully complete the course work specified in the BIGSEM program.

(5) Permission to transfer to candidature for the doctorate award is granted in accordance with Section 5 Paragraph 1 Clause 1b) RPO to graduates who successfully completed a study course in an appropriate discipline with an overall grade of at least "Honours" ["gut"]. As a further precondition candidates must have attained 60 credit points with an average Grade B in accordance with the subject-specific regulations for the master's programs in economics and business mathematics within the framework of a two-semester research degree program at the Department of Business Administration and Economics at the University of Bielefeld. In special circumstances corresponding research degree programs completed at the Department of Economics at another university may also be accepted. The Dean should advise applicants wishing to transfer to candidature for a doctorate in this way of the consequences under public sector employment law if they waive taking a master's degree.

(6) Once the respective requirements under paragraph 1 to 5 have been met, the applicant will be permitted to transfer to candidature for the doctorate award.

(7) If the Graduate Board decides to impose requirements as described under Paragraph 2 to 5, it will stipulate that these requirements have to be fulfilled before the applicant will be allowed to transfer to candidate status.

(8) Transfer to candidature for a doctorate award is to be refused, if the applicant has undergone a doctorate examination procedure in the field of economics at another university within the area of application of the German Basic Law.

5. Admission as Research Degree Candidate (Section 6 RPO)

(1) Admission as research degree candidate is initially limited to two years. As a rule, this period will be extended by a further four years on application; if an application for extension is submitted, it has to be supported by a:

1. short outline of the doctorate research project;
2. proposal for a second supervisor

Further time extensions are possible on submission of a substantiated application.

(2) On accepting the candidate, the Graduate Board will appoint one or two supervisors who are going to support the candidate in carrying out his/her doctorate research project and advise him/her on writing his/her doctoral thesis. If the status of doctorate research candidate is extended as described under Paragraph 1, two supervisors have to be appointed. If no such agreement was signed before, a supervision agreement as per figure 6, Paragraph 5 is to be concluded at the latest from the date the status of doctorate research candidate is extended.

6. Supervision (Section 7 RPO)

(1) Irrespective of Paragraph 2, only members of the group of academic staff or members of the Department of Business Administration and Economics holding a higher doctorate may become supervisors. Retired professors or professors emeritus may also be appointed as supervisors.

(2) At least one of the supervisors must be a professor at the Department of Business Administration and Economics at Bielefeld University. In case of an inter-disciplinary or a cross-university research project, a member of the group of faculty's professors or a member holding a higher doctorate of another department at Bielefeld University or a university other than Bielefeld may also be appointed as a supervisor. In the scope of a cross-university research project, an appointed supervisor from a university other than Bielefeld needs to be habilitated or to hold an achievement equivalent to a habilitation. If the potential supervisor does not hold a habilitation, a formal declaration made by the faculty is needed; this declaration is valid for five years.

(3) One supervisor will be appointed at the suggestion of the doctoral candidate. The second proposal of the candidate has no binding function.

(4) The Graduate Board may replace the supervisor either on his or her own request or on request of the doctoral candidate. If a supervisor leaves the Bielefeld University during the dissertation process, the Graduate Board may appoint a new supervisor. If a supervisor resigns from his/her position for important reasons while the doctorate research project is still in progress, the Graduate Board must appoint a new supervisor. Paragraph 3 applies accordingly.

(5) The doctorate research candidate and the supervisor(s) will conclude a supervision agreement corresponding to the sample drawn up by the Department of Business Administration and Economics.

7. Opening the doctoral examination procedure (Section 8 RPO)

The doctoral examination procedure will be opened on receipt of a written application to be submitted to the Graduate Board. In addition to the items listed in Section 8 RPO, the following documents have to be submitted:

1. a copy of the thesis in triplicate;
2. in the case of a cumulative doctoral thesis: a body of work demonstrating its original contribution to knowledge and scholarship as well as a print-out of the research papers/publications to be assessed;
3. a proposal by the candidate for appointing a further examiner for the oral examination.

8. Examination committee (Section 9 RPO)

(1) Once the doctoral examination procedure has been opened, the Graduate Board will appoint an examination committee. As a rule, this committee will consist of the two supervisors acting as assessors and a further examiner for the oral examination. The proposal submitted by the candidate with regard to the examiner for the oral examination can only be turned down with good cause.

(2) In special cases (for instance in case of inter-disciplinary work and very specific topics) the Graduate Board may appoint a further assessor to the examination committee. This person may also be a member of another faculty or another university.

(3) Examiners and assessors must be members with voting rights of the group of faculty's professors or members of the Department holding a habilitation or persons holding a qualification in accordance with Article 6, Paragraph 2, pp. 3 and 4. At least two members of the examination committee must be members of the group of faculty's professors.. At least one member must be a member with voting rights of the group of faculty's professors. Retired professors or professors emeritus may also be appointed as examiners or assessors.

(4) In justified exceptional cases an external professor may be appointed as examiner.

(5) The examination committee is chaired by a professor of the Department of Business Administration and Economics at the Bielefeld University who is also a member of the examination committee and who is not supervisor of the dissertation.

9. Doctoral Thesis (Dissertation) (Section 10 RPO)

(1)The doctoral thesis is to consist of a treatise on independent academic research carried out in the field of economics, proving that the candidate is capable of conducting independent academic work and displaying substantial economics-related results. The doctoral thesis may also consist of an interdisciplinary academic paper, if it contains a notable economics-related result.

2 If the specific characteristics of the topic justify this kind of approach, the doctoral thesis may also be presented in the form of a joint paper based on the results of teamwork rather than a single-authorship paper, provided the contributions of the single team members can be clearly identified and assessed separately. Only the contributions of the candidate will be considered in assessing the qualification for a doctorate degree.

(3) The doctoral thesis may be based on several single papers and be the result of research work carried out jointly with others, provided the papers were written after the date the candidate was admitted to the doctorate research program and followed the same leading academic question. The cumulative doctoral thesis must contain a treatise on the academic context as defined in Section 10, Paragraph 2 RPO. Overall this type of doctoral thesis must correspond to the academic requirements of a single paper. Paragraph 2 applies accordingly.

(4) Each examiner will, as a rule, prepare a report of the doctoral thesis within two months after the doctoral examination procedure has been opened and either recommend that the Graduate Board accept the thesis, return it for revision or fail it. The Dean may extend the deadline.

(5) Exceptional achievements may be awarded the grade "summa cum laude".

(6) Candidates have to be granted access to the examiners' reports.

(7) Once the examiners' reports have been submitted, the candidate will be informed immediately and he or she will then be granted the right to respond to the reports within two weeks. The candidate may renounce the right to respond in writing.

(8) Once this deadline has expired, the Dean will make the thesis, the examiners' reports and, if applicable, the response of the candidate generally accessible by displaying them on the premises of the department for three weeks, while at the same time informing all members of the faculty holding a doctorate degree about the public display.

(9) If all examiners recommended accepting the thesis and if there is no dissenting opinion voting against acceptance, the thesis is considered to be accepted. If all examiners recommended referral of the thesis for revision and if there is no dissenting opinion voting against revision, the thesis has to be returned to be revised within a period of six months.

(10) If at least one of the examiners failed the thesis or one of the examiners accepted the thesis and the other examiner recommended referral of the thesis for revision or if an objection has been raised, the Graduate Board will be called upon to decide about acceptance, revision or rejection of the doctoral thesis under the provision of Paragraph 11.

(11) If the same number of examiners accepted and failed the thesis or in case one examiner accepted the thesis and the other examiner referred the thesis for revision, the Graduate Board will have to appoint a third examiner or commission an external report, before a decision is taken in accordance with Paragraph 10, and inform the candidate accordingly. The candidate will then be given the opportunity to propose an examiner within two weeks after receiving the information. This proposal is not binding for the decision of the Graduate Board. Paragraphs 4 to 8 also apply to the preparation of this examiner's report.

(12) If the thesis is not accepted for a doctorate award, the candidate may be permitted to re-submit a revised version of the thesis. The deadline for re-submission will be set by the Graduate Board but will not exceed the maximum period of one year.

(13) An examiner who rejected a thesis may demand that he or she not be listed as examiner in the thesis. If the Graduate Board does not accept the thesis, the doctoral examination procedure has been failed. The rejected thesis, the copies of the thesis submitted to the department as well as all examiners' reports will be retained in the records of the faculty. The candidate has to be informed about the rejection in writing, the decision has to be justified and the candidate must be advised about his or her right to appeal.

(14) A candidate whose thesis was irrevocably rejected can no longer be awarded a doctorate degree by the Department of Business Administration and Economics at the Bielefeld University. In this case all university-level institutions on the territory of the Federal Republic of Germany will be notified of this decision in writing.

10. Oral examination (Section 11 RPO)

(1) Once the thesis has been accepted, the Dean will instruct the examination committee to prepare the oral examination, for the candidate to defend his or her thesis before the examination committee. The Dean will set the date for the oral examination following prior consultation with the examination committee.

(2) The Dean will invite the candidate at least two weeks in advance of the date arranged for the oral examination. Candidates not presenting themselves for the examination without due cause will be considered to have failed the examination.

(3) As a rule, the oral examination will take 90 minutes. Candidates will give a presentation of about thirty to forty minutes, summarizing the most important results of their work. In the following disputation the doctoral candidate is to defend his or her work and to establish links between his or her results and adjoining areas of economics.

(4) The Chair of the examination committee may admit questions from faculty members and other academic staff of the department.

(5) The examination committee will take an open vote and decide by simple majority whether the examination has been passed or not. If the vote results in a tie, the Chair will cast the decisive vote. Abstention from voting is inadmissible.

11. Overall grade of doctorate degree (Paragraph 12 RPO)

The examination committee will determine the overall grade in due consideration of all examiners' reports submitted and the performance shown in the oral examination. If the examination committee does not arrive at a unanimous decision, the majority of votes will decide. The provisions under figure 10 Paragraph 5 will apply accordingly. The Chair of the examination committee will apprise the candidate of the results of the doctoral examination procedure and outline the reasons for the decision of the examination committee.

12. Ratification of the doctorate degree (Section 13 RPO)

- not applicable –

13. Publication of the doctoral thesis (Section 14 RPO)

(1) The doctoral thesis is to be published within one year after the final grade was determined in accordance with the terms of figure 11.

(2) The title page of the doctoral thesis is to indicate clearly that the paper was presented as a doctoral thesis with the purpose to obtain a doctorate degree in economics at the Department of Business Administration and Economics. The names of the examiners are to be stated on the back of the title page. Due consideration is to be given to figure 9 Paragraph 13.

(3) The doctoral thesis is to include a brief curriculum vitae.

(4) If the doctoral thesis has been accepted for publication in a recognized academic journal or as a monograph available in the book trade, the stipulation laid down in Paragraph 3 may be disregarded. The stipulation laid down in Paragraph 2 may be disregarded if the respective information was given in a footnote or the preface of the monograph.

(5) The doctoral thesis will be regarded as presented to the academic public in a suitable way, if the author, in addition to the copies required by the doctoral examination procedure as per figure 7 clause 1 for archiving purposes, supplies three copies, to be printed on age-resistant, wood and acid-free paper as well as durably and permanently bound, to the university library free of charge and furthermore ensures dissemination by

- a) supplying 50 further copies, in either letterpress or photographic print, or
- b) submitting proof of publication in a recognized academic journal, or
- c) submitting proof of dissemination by means of a monograph available from the book trade published by a commercial publishing house with a minimum print-run of 150 copies or
- d) providing an electronic version, whose data format and storage medium have to be agreed with the university library.

In the case of a), the university library is obliged to keep an adequate number of the excess swap copies for four years. In the case of a) the doctoral candidate transfers the right to reproduce and disseminate his or her thesis to the university, which will then be entitled within the remit of its statutory duties to produce further copies or make them available on data networks, respectively. If a doctoral thesis is produced and distributed by a commercial publishing house and the printing costs are subsidized from public funds, an adequate number of copies is to be placed at the disposal of the university library for swapping.

14. Fraudulent misrepresentation and revocation of the doctorate degree (Section 15 RPO)

- not applicable -

15. Right of access (Section 16 RPO)

- not applicable -

16. Objection against decisions in the doctoral examination procedure (Section 17 RPO)

- not applicable -

17. Awarding an honorary doctorate degree (Section 18 RPO)

- not applicable -

18. Joint doctorate degree awarded in co-operation with other institutions (Section 19 RPO)

(1) The Department of Business Administration and Economics will also award a doctorate degree in economics (Dr. rer. pol.) in co-operation with one or several partner universities and partner faculties. It will also co-operate in awarding a corresponding academic degree at partner universities and partner faculties.

(2) Carrying out the doctoral degree procedure as per Paragraph 1 will require a written co-operation agreement with the partner institutions, in which all parties commit themselves to facilitating a joint doctoral degree procedure and regulating the details of the co-operation.

(3) Unless otherwise stated below, the rules laid down under figure 1 to 13 of these regulations for awarding doctorate degrees and the ordinance governing research studies will apply to the doctorate degree procedure according to Paragraph 1, Clause 1. For co-operation in accordance with Paragraph 1 Clause 2 the rules laid down in the agreement as per Paragraph 2 will apply.

(4) Figure 4 will apply with the proviso that the applicant must be able to show that he or she has obtained the relevant qualifications entitling him or her to enter doctorate degree procedures at all partner institutions.

(5) Figure 7 will apply with the proviso that the following documents are attached to the application:

- a) a statement issued by the partner organization that admission to the doctorate degree procedure is approved,
- b) a statement issued by the examiners appointed by the partner organization that they are prepared to assess the doctoral thesis,
- c) proof that the applicant is attending a research study course at the partner organization as per Paragraph 7.

(6) One member of the Department of Business Administration and Economics and at least one member of the partner organization, who must each be authorized examiners, will be appointed as supervisors to provide guidance on writing the doctoral thesis. The statements listed under Paragraph 5 are to be submitted to the Graduate Board when filing for registration of the planned doctoral project.

(7) While the application is being processed, the candidate must be registered as degree student or doctoral candidate respectively at one of the partner institutions. Applicants who have already completed the respective period of studies at the partner institution may be exempted from this requirement.

(8) The doctoral thesis will be assessed by at least one examiner who is a member of the Department of Business Administration and Economics and authorized in accordance with Figure 8 and at least one member of the partner institution. As a rule, the Graduate Board will appoint the supervisors as examiners of the doctoral thesis.

(9) In accordance with the partnership agreement, the examination committee will, as a rule, consist of at least four examiners. At least one member is to be an authorized examiner of the Department of Business Administration and Economics at the Bielefeld University in accordance with Figure 8 and at least two are to be authorized examiners of the partner institution. Each faculty has to be represented by at least one examiner.

(10) In case of inconsistencies in the between the doctoral regulations when awarding doctorate degrees in cooperation with another University, the Department Assembly can decide specific regulations.

(11) For the completion of the doctorate degree procedure Section 13 PRO applies with the proviso that the doctoral certificate has to give some indication of the transnational nature of the doctorate degree procedure. The certificate will document that a single doctorate degree was awarded, which may be held in the form awarded by the partner universities or partner faculties in the same way as in the form awarded by the Department of Business Administration and Economics. The official certificate may take the form of either

- a) a joint certificate signed and sealed by the Dean of the Department as well as the representatives of the partner universities or partner faculties responsible or
- b) several certificates in the respective national languages. The Dean of Department will sign and seal the German part. In an accompanying letter the candidate will be advised that the title may only be used in its German form or in the form of the country where the partner institution is located. The partner universities or partner faculties will issue their parts of the doctoral degree certificate in accordance with the rules and regulations applicable in their home country and, if required, will arrange for the official authentication of the jointly supervised doctoral degree procedure.

19. Coming into effect and Publication*)

The directive concerns the coming into effect of the doctorate regulations of the Department of Business Administration and Economics of the Bielefeld University as amended and promulgated on April 1st, 2011 (Official Journal of Bielefeld University – Public Notices – Jg. 40, Series 14, p 218), changed through the regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 1 August 2013 (Official Journal of Bielefeld University – Public Notices – Jg. 42, Series 16, p 309), through the second regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 3 February 2014 (Official Journal of Bielefeld University – Public Notices – Jg. 43, Series 2, p 19), through the third regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 1 April 2015 (Official Journal of Bielefeld University – Public Notices – Jg. 44, Series 5, p 121), and through the fourth regulation of the amendment of the doctorate regulations for awarding doctorate degrees adopted by the Department of Business Administration and Economics at the Bielefeld University on 1 February 2018 (Official Journal of Bielefeld University – Public Notices – Jg. 47, Series 3, p 25).