

JUSTUS-LIEBIG-



The President

**Announcements of
Justus Liebig University Giessen**

7. April 2010

7.40.02 No. 1

Doctorate Regulations of the Faculty of
Economics and Business Studies

**Doctorate Regulations
of the Faculty of Economics and Business Studies
of Justus Liebig University Giessen
of 14 March 2010**

Versioninformations

Original Version: decided by Faculty Board on 14 March 2010; consented by Senate on 24. March 2010;
approved at President's Office on 7. April 2010

Tabular presentation of the Versioninformations

	Resolution	Endorsement	Approval	
Regulations	Faculty 14 March 2010	Board: Senate: 24 March 2010	President's 7 April 2010	Office:

Contents

Versioninformations	1
Tabular presentation of the Versioninformations	1
I. General principles	3
Article 1 Doctoral degree and purpose of the doctorate	3
Article 2 Official bodies and competence.....	3
Article 3 Formation and composition of the Doctoral Board	3
II. Doctorate procedures and admission	4
Article 4 Requirements for admission as a doctoral candidate.....	4
Article 5 Admission as a doctoral candidate.....	4
Article 6 Types of doctorate procedure.....	5
III. Doctoral studies	5
Article 7 Doctoral studies with performance grades	5
Article 8 Doctoral studies without performance grades	6
IV. Doctoral thesis	6
Article 9 Presentation of the planned doctoral thesis.....	6
Article 10 Preparation of the doctoral thesis	7
Article 11 Ending the doctorate procedure without submitting the doctoral thesis	8
Article 12 Opening the assessment procedure and assessing the doctoral thesis.....	8
Article 13 Displaying the doctoral thesis and preparing for the oral examination.....	9
V. Oral examination	10
Article 14 General provisions for the oral examination.....	10
Article 15 Non-appearance and withdrawal.....	11
Article 16 Disputation	11
Article 17 Viva discussion of theses.....	11
VI. Evaluation and conclusion of the doctorate	12
Article 18 Evaluating the doctoral performance	12
Article 19 Concluding the procedure.....	13
VII. Other provisions	14
Article 20 Honorary doctorates/the award of other doctoral titles.....	14
Article 21 Disallowance and withdrawal of the doctorate	15
Article 22 Doctorate fees.....	15
Article 23 Transitional provisions and entry into force	15

I. General principles

Article 1

Doctoral degree and purpose of the doctorate

(1) On due completion of the doctorate procedure, the Faculty of Economics and Business Studies of Justus Liebig University Giessen shall confer the degree of Doctor of Economics and Business Studies (Doctor rerum politicarum, Dr. rer. pol.) on candidates who have demonstrated their academic aptitude in a doctoral thesis and as part of their doctoral studies and/or oral examination.

(2) The doctorate shall be awarded in recognition of particular academic skills.

Article 2

Official bodies and competence

(1) The official bodies involved in the doctorate procedure shall be the Doctoral Board (Article 3), the supervisors (Article 10 (5)), the viva examiners (Article 17 (2)), the assessors (Article 12 (2)) and the Doctoral Committee (Article 12 (3)).

(2) The Doctoral Board shall decide on all matters, unless they are covered by other provisions in the Doctorate Regulations. In particular, the Doctoral Board shall appoint the provisional and final supervisors and the assessors and shall instate the Doctoral Committee for the disputation (Article 16).

(3) The supervisors' role shall involve providing the doctoral candidate with advice and support during his/her doctoral studies (Articles 7 and 8), in his/her preparation of the viva discussion theses (Article 17) and during the preparation of the doctoral thesis.

(4) The assessors' role shall be to assess the doctoral thesis (Article 12).

(5) The Doctoral Committee shall conduct the disputation and evaluate the doctoral performance.

(6) Professors, junior professors, emeritus professors, retired professors, adjunct professors, honorary professors, associate professors and university lecturers from the Faculty may be appointed as supervisors, assessors or members of the Doctoral Committee. If the subject area concerned renders it necessary, a person from another Faculty or university that is entitled to award doctorates may be selected as an assessor, provided that the position he/she holds corresponds to one of the groups listed above.

Article 3

Formation and composition of the Doctoral Board

(1) The Doctoral Board shall comprise the Dean, three other professors and one research associate who holds a doctorate, together with one doctoral candidate and one student; the representatives of the latter two groups shall act in an advisory capacity. All members of the Doctoral Board must be members of the Faculty. The different subject areas within the Faculty (Business Studies, Economics) must be appropriately represented in the composition of the Doctoral Board.

(2) Unless they are ex officio members, the members of the Doctoral Board shall be appointed by the Faculty Council; the respective groups shall be entitled to propose their representative(s) on the Doctoral Board. The professors and the research associate shall be appointed for a period of three years, the doctoral candidate and the student for a period of one year. An alternate must be appointed for each of these members.

(3) The Doctoral Board shall be chaired by the Dean. The Dean may be represented by the Vice-Dean.

(4) The Chair shall be responsible for conducting the day-to-day business of the Doctoral Board. The person concerned and the members of the Doctoral Board may overturn the decision of the Chairperson in favour of the decision of the Doctoral Board. Members acting in an advisory capacity also have this entitlement.

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 4
--	--------------	--------------	--------

(5) The person affected may raise objections to decisions of the Doctoral Board; the Doctoral Board shall pass judgement on this matter. If the decision is not amended, the person affected may raise another objection; the President shall pass judgement on this (Article 44 of the Hesse Higher Education Act (HHG)).

II. Doctorate procedures and admission

Article 4

Requirements for admission as a doctoral candidate

(1) Admission as a doctoral candidate shall be dependent on the candidate having gained a first degree (*Diplom*) in economics or business studies at an academic university where the standard duration of the study programme was at least eight semesters, or a Master's degree in economics or business studies within the sphere of application of the German Basic Constitutional Law as part of a consecutive study programme which normally lasts at least eight semesters and having achieved the grade of at least "good". The Doctoral Board shall decide on exemptions.

(2) International academic qualifications shall be recognised as equivalent economics and business studies qualifications pursuant to the guidelines produced by the Central Office for Foreign Education under the Standing Conference of the Ministers of Education and Cultural Affairs (*Kultusministerkonferenz*). The Doctoral Board shall decide whether the qualification is equivalent. If any doubt arises as to whether the foreign qualification is equivalent, the Central Office for Foreign Education must be consulted.

(3) Other candidates with a first degree (*Diplom*) or Master's degree in economics, business studies or other subjects, or those with equivalent qualifications may be admitted if the following eligibility criteria are met:

- a) Two documents providing evidence of successful completion of doctoral studies courses, which – unless they are graded – shall not be provided by the candidate's provisional supervisor;
- b) Successful presentation of the planned doctoral thesis (Article 9).

(4) On commencing the doctoral studies, each doctoral candidate must submit an application for provisional admission. The Doctoral Board shall then decide on the provisional admission and on the provisional supervisors; as a general rule, if the doctoral candidate is able to provide evidence of his/her achievements, the provisional supervisors shall become the doctoral candidate's non-provisional supervisors. The provisional supervisors may consult other colleagues for the purposes of assessing the planned doctoral thesis.

(5) For the degree upon which admission is based (paragraphs 2 and 3), a grade of at least "good" (2.5) or an equivalent grade must have been awarded. The Doctoral Board may allow exemptions in justified cases.

Article 5

Admission as a doctoral candidate

(1) Applications to be provisionally admitted as a doctoral candidate must be presented in writing to the Doctoral Board of the Faculty of Economics and Business Studies. The following must be appended to the application:

- a) Curriculum vitae with photograph;
- b) Transcripts of records pursuant to Article 4;
- c) Statement as to whether, and with what outcome, applications have been made for admission to a doctorate procedure at other universities;
- d) For non-German candidates, evidence of sufficient German or English language skills;
- e) Writings already published by the candidate;

- f) Details of the desired doctoral path pursuant to Article 6;
- g) Details of the professors/lecturers selected as supervisors (Article 2 (6)) and their opinion.

After the doctorate procedure has been concluded, the documents pursuant to (e) above shall be returned to the candidate. The remaining documents will be kept on file in the Faculty.

(2) The Doctoral Board shall grant final admission when the thesis title and the provisional working schedule for the planned doctoral thesis have been submitted together with an opinion from each of the two supervisors.

(3) If the criteria for admission (Article 4, Article 5 (1) and (2)) are fulfilled, the Doctoral Board shall accept the planned doctoral thesis on a provisional or final basis. The Doctoral Board shall thus guarantee the supervision and subsequent assessment of the doctoral thesis. If the application for admission is rejected, written justification must be provided. After deciding to accept a candidate, the Doctoral Board shall notify the relevant graduate centre of the name of the doctoral candidate and the topic of the planned doctorate; at the same time it shall inform the doctoral candidate of the services offered by the relevant graduate centre. Admission to a graduate centre shall be conducted pursuant to the regulations governing the individual centre.

(4) The Faculty's professors and lecturers pursuant to Article 2 (6) must be informed of the admission of doctoral candidates. The Doctoral Board shall maintain a list of the planned doctoral theses that have been registered; the list shall be made available to members and associates of Justus Liebig University Giessen.

Article 6

Types of doctorate procedure

After consulting their two supervisors, doctoral candidates who have been admitted to the doctorate may choose from the three following types of doctorate procedure:

- a) completion of a course of doctoral studies (Article 7) with performance grades, together with a defence of the written doctoral thesis in a disputation (Article 16);
- b) completion of a course of doctoral studies (Article 8) without performance grades, together with a defence of the written doctoral thesis in a disputation (Article 16);
- c) completion of an oral examination, which shall take the form of a defence of the written doctoral thesis in a disputation (Article 16), and which shall include a viva discussion of two additional theses (Article 17).

Both the provisional and final application for admission must indicate the type of doctorate procedure that has been chosen. Changes can be made at any time after consulting the supervisors; the Doctoral Board must be notified in writing. Once the doctoral thesis has been submitted the decision regarding the type of doctorate procedure shall become binding.

III. Doctoral studies

Article 7

Doctoral studies with performance grades

(1) The doctoral candidate must present performance records in doctoral studies provided by the Faculty or in doctoral studies that are generally recognised or recognised in this particular case and that must conclude with performance grades. An oral doctoral examination in the form of a disputation (Article 16) shall also be required.

(2) The doctoral programme requires examination passes in at least four courses worth 6 credit points each (pursuant to ECTS) and at least one doctoral seminar worth 6 credit points.

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 6
---	--------------	--------------	--------

(3) Examinations for the courses referred to in (2) above must generally be written, in the form of a written examination or a research paper; they shall be assessed pursuant to the grade scale set forth in Article 12 (7). The seminars referred to in paragraph 2 above shall generally comprise a seminar presentation and a seminar paper; these may be graded or assessed as “passed” or “failed”. By arrangement with the supervisor or provisional supervisor (Article 2 (3)), the seminar may be replaced by a paper given at an international conference, provided that the papers submitted to this conference are subject to a selection procedure.

(4) In consultation with the supervisor or provisional supervisor concerned (Article 2 (3)), the doctoral candidate shall draw up a doctorate plan to show the combination of courses chosen for the doctoral programme. The plan requires the written approval of the supervisor.

(5) The doctoral candidate may also include courses completed at other universities if these are provided as courses for doctoral candidates. The two supervisors shall decide whether or not to recognise courses completed in another university’s doctoral programme.

(6) The overall grade for the doctoral programme shall be determined by calculating the arithmetic average of the individual grades for the examinations referred to in paragraph 2 above. If the doctoral candidate has completed more than four courses, the best four individual grades shall be used to produce the arithmetic average. If the doctoral candidate has completed more than one graded doctoral seminar, the best grade shall be used to produce the arithmetic average.

(7) The Doctoral Board shall decide how to convert the grades for courses taken abroad that form part of the doctoral programme.

Article 8

Doctoral studies without performance grades

(1) The doctoral candidate must present performance records in doctoral studies provided by the Faculty or in doctoral studies that are generally recognised or recognised in this particular case. An oral doctoral examination in the form of a doctoral disputation (Article 16) shall also be required.

(2) The doctoral programme requires successful participation in at least four courses worth 6 credit points each (pursuant to ECTS) and at least one doctoral seminar worth 6 credit points.

(3) Performance records for the courses referred to in paragraph 2 above must generally be written, in the form of a research paper or project with presentations. The seminars shall generally comprise a seminar presentation and active participation in the seminar. Performance shall be assessed as “passed” or “failed”. The doctoral seminar may be replaced by a paper given at an international conference, provided that the papers submitted to this conference are subject to a selection procedure.

(4) In consultation with the supervisor or provisional supervisor concerned (Article 2 (3)), the doctoral candidate shall draw up a doctorate plan to show the combination of courses chosen for the doctoral programme. The plan requires the written approval of the supervisor.

(5) The doctoral candidate may also include courses completed at other universities if these are provided as courses for doctoral candidates. The two supervisors shall decide whether or not to recognise courses completed in another university’s doctoral programme.

IV. Doctoral thesis

Article 9

Presentation of the planned doctoral thesis

Irrespective of the chosen doctorate procedure, each doctoral candidate shall generally be required to present and defend his/her planned doctoral thesis openly within the Faculty, at the latest one year before submitting the doctoral thesis. The supervisors or provisional supervisors (Article 2 (3)) must accept the research project.

The supervisors may consult other colleagues with regard to the assessment. Minutes must be taken during the presentation meeting.

Article 10

Preparation of the doctoral thesis

(1) The focus of the doctoral thesis must be in a subject area that is adequately represented in the Faculty of Economics and Business Studies of Justus Liebig University Giessen. The doctoral thesis must satisfy the following requirements:

- a) It must advance academic knowledge as a result of independent research;
- b) It must comply with the methodological principles of the subject;
- c) It must include documentation compliant with the principles of academic research of the material assessed and of the specialist literature consulted;
- d) It must present its subject clearly and its structure must be flawless.

(2) Parts of a study that has been written by more than one doctoral candidate may be recognised as a doctoral thesis if they have been written by the doctoral candidate, present related fields of study, can be clearly delimited and evaluated as individual work produced by the doctoral candidate and comply with the criteria set forth in paragraph 1 (group doctoral thesis). A separate doctorate procedure must be carried out for each doctoral candidate.

(3) Doctoral candidates may submit either a monograph or a collection of at least three papers (cumulative doctoral theses) as their doctoral thesis. In the case of a cumulative doctoral thesis, the following criteria must also be observed:

- a) One of the papers submitted may be a literature review;
- b) For submissions that have been produced jointly, the relative share written by the doctoral candidate must generally be considered to be 1 divided by the number of authors. If all the authors issue a personal statement delimiting their own share in the work in question and wish to define the relative shares differently from the aforementioned rule, the relative share is to be determined according to the personal statement;
- c) The sum of the individual shares in all contributions must be at least 2;
- d) On submission of the written doctorate, at least one contribution must have passed successfully through an assessment procedure, i.e. either a selection procedure for acceptance at a conference or having reached at least the second round of the assessment process for publication in an economic journal ("revise and resubmit"). The two supervisors shall determine which conferences and journals are acceptable;
- e) Papers that have already been published may be submitted if they were published no more than five years previously.

(4) The individual doctoral theses may be written in German or in English. Other languages may be permitted if the members of the Doctoral Committee have sufficient language skills to be able to assess the doctoral thesis.

(5) A planned doctorate that has been accepted pursuant to Article 5 must be supervised by one or more people from among those referred to in Article 2 (6), at least one of whom must be a member of the Faculty of Economics and Business Studies.

(6) The doctoral candidate must present three bound copies of the typewritten monograph that is considered

ready for printing. The doctoral thesis may not have been previously published in its entirety.

(7) A declaration that is worded as follows must be appended to the doctoral thesis:

"I hereby declare that I have completed the submitted doctoral thesis independently and with only those forms of support mentioned in the thesis. In the analyses that I have conducted and to which I refer in this thesis, I have followed the principles of good academic practice, as stated in the Statute of Justus Liebig University Giessen for Ensuring Good Scientific Practice."

In the case of a cumulative doctoral thesis, three copies of each of the individual papers must be submitted separately. For papers that have already been published, copies of the published texts may be submitted. The declaration given above must be adjusted as follows and be appended to each of the three copies of the papers:

"I hereby declare that I completed the papers submitted and listed hereafter independently and with only those forms of support mentioned in the relevant paper or in the following supplementary list. When working with the authors listed, I contributed no less than a proportionate share of the work. In the analyses that I have conducted and to which I refer in the papers, I have followed the principles of good academic practice, as stated in the Statute of Justus Liebig University Giessen for Ensuring Good Scientific Practice."

If all the papers submitted have been written independently, the second sentence of the declaration shall be omitted. A list of the submitted papers with the usual bibliographical information must be appended to the declaration. The declaration must be signed.

Article 11

Ending the doctorate procedure without submitting the doctoral thesis

(1) The doctoral candidate may declare the doctorate procedure concluded before presenting the thesis. The doctorate is then not deemed to have failed. The documents pursuant to Article 5 (1) shall be returned.

(2) On a proposal from the supervisor, the Doctoral Board may declare the doctorate procedure to have been concluded if, after an appropriate period, no progress in the doctoral candidate's research can be observed. The doctoral candidate must previously be given a hearing. The doctorate procedure shall not be declared to have been concluded if the doctoral candidate provides evidence to show that he/she is not responsible for the lack of progress in the research and that completion of the doctoral thesis in the foreseeable future seems to be ensured.

Article 12

Opening the assessment procedure and assessing the doctoral thesis

(1) The doctoral candidate shall apply for the assessment procedure to be opened by submitting his/her doctoral thesis. If the candidate has chosen the type of doctorate that involves doctoral studies with performance grades, performance records must be presented with the doctoral thesis. If the candidate has chosen the type of doctorate that involves doctoral studies without performance grades, the relevant evidence of participation must be submitted with the doctoral thesis. If the candidate has chosen the type of doctorate that does not involve doctoral studies, the viva discussion of the theses (Article 17 (1)) must be submitted with the doctoral thesis.

(2) The Doctoral Board shall assign two people pursuant to Article 2 (6), one of whom must be a professor in the Faculty of Economics and Business Studies, to assess the doctoral thesis. As a general principle, the supervisors shall be appointed as assessors.

(3) At the same time the Doctoral Board shall instate the Doctoral Committee. For doctorates that involve a course of doctoral studies, this shall comprise, in addition to the assessors referred to in paragraph 2 above, two further professors from the Faculty of Economics and Business Studies, one of whom must be a professor in the field of Economics and the other a professor in the field of Business Studies. For doctorates that do not involve a course of doctoral studies, the supervisors of the viva theses must be appointed to the Doctoral

Committee. The Chair of the Doctoral Board shall appoint one professor who is a member of both the Faculty and the Doctoral Committee as Chair of the Doctoral Committee.

(4) The Doctoral Committee shall take decisions by a majority of the votes cast. In the event of a tied vote, the Chair shall have the casting vote.

(5) After the assessors have been appointed pursuant to paragraph 2 above and before the assessments are displayed, the doctoral candidate shall be entitled to propose an additional assessor subject to his/her agreement and provided that he/she is a member of one of the groups referred to in Article 2 (6).

(6) The Doctoral Board may, following discussion with the supervisor, appoint further assessors from the groups referred to in Article 2 (6).

(7) Each assessment shall include a recommendation as to whether the doctoral thesis should be accepted or rejected. A recommendation for acceptance must be accompanied by one of the following grades:

summa cum laude	–	excellent	=	1
magna cum laude	–	very good	=	2
cum laude	–	good	=	3
rite	–	sufficient	=	4

Half points may be awarded.

The grade for rejection is:

insufficenter	–	insufficient	=	5
---------------	---	--------------	---	---

Each assessment may contain suggestions for amendments. The assessments should be presented no later than four months following the submission of the thesis to the assessors.

(8) If only two assessments are provided and they differ in their assessment of whether the research should be accepted, the Doctoral Board shall appoint another assessor, with the approval of the existing assessors. If no agreement can be reached, the Doctoral Board shall decide.

(9) If at least one of the assessments recommends acceptance of the thesis and another suggests amendments, the Doctoral Committee must decide whether the thesis shall be returned to the doctoral candidate for revision within a given period, which shall be at least six months, or whether the procedure shall continue pursuant to Article 13. Following the revision of the thesis, the assessors shall once again be given an opportunity to express their opinion, this time on a definitive basis, within an appropriate time, generally within three months.

(10) If all the assessments reject the thesis and if no positive assessments are presented when the period for displaying the work has expired, the doctorate shall have been failed. If there is at least one positive additional assessment, the Doctoral Board shall decide whether the procedure shall continue in accordance with paragraph 8 or whether the doctorate shall have been failed.

(11) In all other cases the doctorate procedure shall continue pursuant to Article 13.

Article 13

Displaying the doctoral thesis and preparing for the oral examination

(1) If the criteria for the continuation of the doctorate procedure pursuant to Article 12 have been fulfilled, the Chair of the Doctoral Board shall inform the members of the Doctoral Committee, the persons referred to in Article 2 (6) within the Faculty and the supervisors and assessors not belonging to that group of people of the name of the doctoral candidate, the title of the doctoral thesis and the recommendation of the assessors; the doctoral thesis shall then be displayed together with the assessments for perusal in the Dean's Office for a period of two weeks during the lecture period or for a month during the lecture-free period. Anyone from the

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 10
---	--------------	--------------	---------

groups referred to in Article 2 (6) belonging to the Faculty may add their own assessment of the doctoral thesis.

(2) Following the expiry of the display period, the Chair of the Doctoral Board shall inform the doctoral candidate of the receipt of the assessments, which he or she may view in the Dean's Office.

(3) At the request of the doctoral candidate, the Chair of the Doctoral Board shall set the date for the oral examination.

(4) If the doctoral candidate fails to present an application pursuant to paragraph 3 above within six months of being given the information pursuant to paragraph 2 above, or if he/she declares in writing that he/she does not wish to proceed to an oral examination, the doctorate shall have been failed.

(5) In well-founded exceptional cases, the Chair of the Doctoral Board may extend the deadline if so requested by the doctoral candidate.

V. Oral examination

Article 14

General provisions for the oral examination

(1) The oral examination shall be conducted as a doctoral disputation pursuant to Article 16, or shall be expanded into a viva discussion of two theses pursuant to Article 17. It shall be conducted as an individual examination.

(2) The oral examination may take place no earlier than two weeks and should take place no later than eight weeks following the expiry of the display period. At the request of the candidate, the oral examination may be conducted at an earlier date, provided that the members of the Doctoral Committee agree to shorten the normal period allowed.

(3) The Dean shall invite the doctoral candidate, the members of the Doctoral Committee, the supervisors who are not assessors and the assessors pursuant to Article 12 (5), (6) and (8) (as well as the additional assessors) to the oral examination and shall announce the date and time within the university.

(4) The oral examination shall be conducted by the Chair of the Doctoral Committee. The members of the Doctoral Committee and the others invited pursuant to paragraph 3 above shall be entitled to ask questions and give replies. The Chair of the Doctoral Committee must disallow questions that are not in line with the purpose of the oral examination or are unrelated to the subject of the oral examination. The disallowance of these questions may be reversed by a resolution of the Doctoral Committee.

(5) The oral examination shall be conducted in German or in English. In well-founded exceptional cases, the Doctoral Board may allow the oral examination to be conducted in another foreign language if requested by the doctoral candidate and all members of the Doctoral Committee agree.

(6) Minutes of the oral examination shall be taken.

(7) Members and associates of the University shall be admitted to the oral examination as observers. If the oral examination is disrupted, the Chair of the Doctoral Committee may exclude the public.

(8) Following discussion, the Chair of the Doctoral Committee shall notify the candidate of the result of the examination.

(9) The Dean shall provide written notification if the oral examination has been failed. It can be repeated once within a year but no earlier than three months after the first attempt.

(10) The entire doctorate procedure shall be deemed to have been concluded without having been passed if

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 11
---	--------------	--------------	---------

no application to repeat the oral examination has been submitted within the one-year deadline or if the examination is failed a second time.

Article 15

Non-appearance and withdrawal

(1) If the doctoral candidate does not attend the oral examination or if he/she withdraws from the examination without good reason after it has started, the examination shall be deemed to have been failed.

(2) If the doctoral candidate is able to provide a good reason for his/her withdrawal or absence, the Chair of the Doctoral Committee must be notified of this reason immediately and the reason must be credible. If the doctoral candidate is ill, he/she must present a doctor's certificate.

(3) If the Chair accepts the reason given, a new date and time will be set. The examination results that already exist must be taken into account in this case. If the reason given by the doctoral candidate is not considered valid, the examination shall be deemed to have been failed.

Article 16

Disputation

(1) If the doctoral candidate has successfully completed a course of doctoral studies, he/she must defend the doctoral thesis in the disputation. The doctoral candidate shall open the disputation with a 30-minute presentation on the content of the thesis. The disputation shall be based on the content of the thesis, the assessments and additional assessments and shall also cover selected problems associated with the topic and other related subject areas, as well as the state of research in those areas.

(2) The disputation should last at least one hour and at most two hours.

(3) Following the disputation, each member of the Doctoral Committee shall award a grade for the defence of the doctoral thesis pursuant to the grade scale in Article 12 (7). The arithmetic average of the grades shall then be calculated. The disputation shall have been passed if the arithmetic average of the grades is 4.0 or better.

Article 17

Viva discussion of theses

(1) If the doctoral candidate has not completed a course of doctoral studies, the doctoral disputation shall be expanded into a viva discussion of two theses. One thesis should be a well-founded explanation or statement on a problem area within the subject field. Each thesis must be accompanied by a short written discussion, which shall place the thesis in an economic context, present the merits of discussing the specified thesis and outline the direction of the argument.

(2) The doctoral candidate shall propose the theses when presenting his/her doctoral thesis. These must permit a viva examination on two issues that are not closely related. The issues must include an economic investigation of specialist topics, which goes beyond the narrow research field covered by the doctoral thesis. Only one of these theses may address a subject outside the field of economics and business studies. For each thesis the doctoral candidate shall propose a supervisor, who must meet the requirements specified for the selection of the assessors of doctoral theses. The Doctoral Board shall appoint the examiners.

(3) The Doctoral Committee may, at the request of one of the members, reject unsuitable theses. In this case, the Dean shall provide substantiated written notification of this decision. The doctoral candidate shall be given a period of two weeks to substitute new theses for those that have been rejected.

(4) A short justification of each thesis may be given in the examination. The viva discussion must focus on the topics in the theses.

(5) At least 30 minutes and at most one hour shall be devoted to each thesis during the viva discussion.

(6) Following the viva examination, each examiner shall award a grade for the defence of each thesis pursuant to the grade scale provided in Article 12 (7). The arithmetic average of the grades for the individual theses shall then be calculated. Finally, the arithmetic average of the two grades for the individual theses shall be calculated. The viva examination shall have been passed if the arithmetic average of the two grades for the individual theses is 4.0 or better.

VI. Evaluation and conclusion of the doctorate

Article 18

Evaluating the doctoral performance

(1) Following the disputation, the Doctoral Committee shall determine the overall result of the doctorate by awarding one of the following grades:

summa cum laude	–	excellent
magna cum laude	–	very good
cum laude	–	good
rite	–	sufficient
insufficenter	–	insufficient

(2) The grade shall be derived from

- a) the overall grade for the doctoral thesis, i.e. the non-rounded arithmetic average of the grades awarded by the assessors; and
- b) the overall grade for the oral examination, i.e. the non-rounded arithmetic average of the individual grades that were used to calculate the result of the oral examination.

(3) The grade shall be determined as follows on the basis of the arithmetic average:

	up to	1.5	=	summa cum laude
of more than	1.5	up to	2.5	= magna cum laude
of more than	2.5	up to	3.5	= cum laude
of more than	3.5	up to	4.0	= rite
of more than	4.0		=	insufficenter

(4) The assessors who are members of the Doctoral Committee shall establish the overall grade after the disputation or viva discussion of theses has taken place. The performance in the doctoral thesis and disputation or viva discussion of theses shall be weighted as follows:

- a) the doctoral thesis shall always have a three-quarters weighting;
- b) in the case of graded doctoral studies, performance records from the doctoral studies and the disputation shall each have a one-eighth weighting;
- c) in the case of ungraded doctoral studies, the disputation shall have a one-quarter weighting;
- d) if no doctoral studies have been undertaken, the disputation itself and the grade from the viva discussion of theses shall each have a one-eighth weighting.

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 13
---	--------------	--------------	---------

(5) The Doctoral Committee may instruct the doctoral candidate to make amendments before the doctoral thesis is printed; the instructions must be made in writing. Amendments may not be made to parts of a cumulative thesis that have already been published or selected for publication.

Article 19
Concluding the procedure

(1) Having passed the oral examination, the doctoral candidate must present the final version of the doctoral thesis, as approved by the Doctoral Committee, together with the relevant comments of the Chair of the Doctoral Committee, as a manuscript ready for publication. The Chair of the Doctoral Committee may only insert the comment to signify that it is ready for printing after any amendments required pursuant to Article 18 (5) have been made.

In the case of a cumulative thesis, the individual papers – unless they have already been published or selected for publication – must also be submitted as manuscripts ready for publication; each must accordingly have a comment inserted to the effect that it is ready for printing.

(2) Doctoral candidates undertake to make the doctoral thesis appropriately accessible to the academic public. If the written doctoral thesis is submitted as a monograph, the doctoral candidate must ensure that the copies of the final version of the thesis referred to in paragraph 1 are provided, and must also supply the university library with the following additional copies free of charge:

- a) four copies for the archives printed on age-resistant, wood-free and acid-free paper and permanently bound; and
- b) 80 book-printed or photocopied copies for the purposes of distribution; or
- c) 40 further copies on microfiches, if the thesis is to be published on microfiche; or
- d) in the case of electronic publication, an electronic version whose data format and data carrier must be agreed with the university library.

(3) Apart from the copies referred to in paragraph 1 for the Dean's Office and the four copies referred to in paragraph 2, indent (a), for the university library, no other copies need be delivered to the university library if:

- a) the thesis is to be published in a journal; or
- b) a commercial publisher handles distribution through the book trade, there is a minimum print run of 150 copies and an indication on the reverse of the title page that it has been published as a University of Giessen doctoral thesis together with reference to the Faculty of Economics and Business Studies.

If the printing costs for publication by a commercial publisher have been subsidised with public funds, one copy must also be presented to the Faculty of Economics and Business Studies.

(4) In cases covered by paragraph 2, indents (b) and (c), the doctoral candidate shall grant Justus Liebig University Giessen the right to produce and distribute further copies of the doctoral thesis and, in accordance with the statutory duties of the university library, to make them available in data networks.

In cases covered by paragraph 2, indent (d), the doctoral candidate shall grant Justus Liebig University Giessen the right to produce and to distribute further copies of the doctoral thesis or to make them available in data networks, in accordance with the statutory duties of the university library.

(5) In the case of a cumulative thesis, if one or more of the papers are to be published in specialist journals or collections, the university library must be supplied with six offprints of these publications. Papers that form part of a cumulative thesis but that are not to be published in specialist journals or collections must either be

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 14
--	--------------	--------------	---------

published in the generally accessible format for discussion paper series, with six copies being delivered to the university library, or in the electronic format specified in paragraph 2, indent (d).

(6) The doctoral thesis must be published within one year. If a work is published in a specialist journal or anthology, the date on which acceptance for publication is confirmed shall be the relevant date. In exceptional cases and if the doctoral candidate submits a timely and well-reasoned request, the Chair of the Doctoral Board may extend the publication deadline; the extension shall generally be for no longer than one year.

(7) If a doctoral candidate culpably misses a deadline set, the rights acquired through the doctorate shall lapse.

(8) After the copies have been presented, or after presentation of a contract relating to the printing of the doctoral thesis signed with a commercial publisher or following the acceptance of papers for publication in specialist journals and/or anthologies, the Dean of the Faculty of Economics and Business Studies shall issue the doctoral candidate with the doctorate certificate.

The doctorate certificate shall include the date of the oral examination, which shall be deemed to be the date on which the doctorate was awarded, the title and author of the doctoral thesis, together with the grade awarded for the doctorate. It shall be signed by the Dean of the Faculty and shall bear the seal of Justus Liebig University Giessen and the seal of the Faculty of Economics and Business Studies.

(9) The doctoral title may not be used until the doctorate certificate has been presented.

VII. Other provisions

Article 20

Honorary doctorates/the award of other doctoral titles

(1) The Faculty may award the title Honorary Doctor of Economics (Doctor rerum politicarum honoris causa – Dr. rer. pol. h. c.) in recognition of outstanding achievements in the field of economics and business studies.

(2) The honorary doctorate procedure shall be opened following submission of a written proposal by a member of one of the groups referred to in Article 2 (6) addressed to the Dean. The proposal shall be presented by the Dean in a non-public meeting of the Honorary Doctorate Committee.

The Honorary Doctorate Committee shall comprise the elected members of the Faculty Council as well as all other full-time professors, junior professors and associate professors from within the Faculty, provided that they have given the Dean written notice of their intention to participate at least one week before the meeting in response to the invitation to attend, which must be issued at least two weeks before the date of the meeting. Emeritus and retired professors, honorary professors and adjunct professors may participate in the decisions in the Honorary Doctorate Committee in an advisory capacity, provided that they have given the Dean written notice of their intention to participate at least one week before the meeting in response to the invitation to attend, which must be issued at least two weeks before the date of the meeting.

(3) The Honorary Doctorate Committee shall appoint at least two professors to act as rapporteurs; they must be members of the Faculty and may not have submitted the proposal. They shall draw up reports that pay tribute to the achievements and merits of the proposed candidate.

The reports prepared by the rapporteurs shall be read aloud in a non-public meeting of the Honorary Doctorate Committee at the earliest four weeks after the rapporteurs have been appointed. The reports shall then be discussed.

(4) A decision about the honorary doctorate can only be taken in a meeting of the Honorary Doctorate Committee, which shall take place at the earliest four weeks after the presentation of the reports.

(5) The Honorary Doctorate Committee shall decide to award the honorary doctorate if the application is

Doctorate Regulations of the Faculty of Economics and Business Studies	7 April 2010	7.40.02 No 1	Page 15
--	--------------	--------------	---------

supported by at least three-quarters of the members who are eligible to vote and who hold a doctorate. The decision shall be taken in a non-public meeting. The voting shall take place by secret ballot.

(6) The Dean of the Faculty shall award the honorary doctorate by presenting the honorary doctorate certificate. The certificate, signed by the Dean, shall pay tribute to the merits of the holder of the honorary doctorate.

(7) The Doctoral Board shall decide on the possibility of a second doctorate in Economics and Business Studies being awarded.

Article 21

Disallowance and withdrawal of the doctorate

(1) The Doctoral Board must refuse to award the doctorate if, before the procedure is concluded, it is found that

- a) the doctoral candidate has cheated substantially in the procedure; or
- b) key criteria for the doctorate have not been fulfilled.

(2) The Doctoral Board may withdraw the doctoral title. This withdrawal is governed by the statutory provisions. The doctoral title may be withdrawn if the reasons given in paragraph 1 come to light at a later date or if the publisher (Article 19 (8)) has not published the doctoral thesis within a year.

(3) The person concerned must be given an opportunity to comment on the accusations before the decision of the Doctoral Board regarding the disallowance or the withdrawal of the doctorate is taken.

Article 22

Doctorate fees

(1) The doctoral fees are EUR 300. Evidence of payment to the Dean of the Faculty of Economics and Business Studies must be presented when the application pursuant to Article 12 (1) is submitted. In cases of hardship, the fees may be reduced or waived following application by the Dean.

(2) If the disputation needs to be repeated, a further doctoral fee of EUR 200 must be paid to the Dean of the Faculty of Economics and Business Studies.

Article 23

Transitional provisions and entry into force

(1) Doctoral candidates who started their doctoral thesis before these Doctorate Regulations enter into force may complete their doctorate in accordance with the previously applicable procedure. Doctoral theses which are being prepared as these Doctorate Regulations enter into force will be registered by the Doctoral Board.

(2) These Doctorate Regulations shall enter into force on the day following their publication. At the same time the previously applicable Doctorate Regulations of 8 February 1989, as amended on 28 June 2000, shall cease to apply. Paragraph 1 shall remain unaffected.

Giessen, 14 March 2010

Dean of the Faculty of Economics and Business Studies