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**Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree
in Business at the Business School of the University of Mannheim**

as of 11 March 2014

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1. amendment as at 6 June 2016

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2. amendment as at 27 February 2019

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3. amendment as at 6 June 2019

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p. 169)

4. amendment as at 4 November 2021

(Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) No. 11/2021
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Content

Section 1 - Type and Purpose of the Doctorate	3
Section 2 - Doctoral Committee	3
Section 3 - Supervisors, Main Evaluators and Second Evaluators, Examiners	3
Section 4 - Application for Admission as a Doctoral Student	4
Section 5 - Admission Requirements	4
Section 6 - Admission as a Doctoral Student	4
Section 7 - Rejection of Admission, Revocation of Admission	5
Section 8 - Admission to the Doctoral Process	5
Section 9 - Acceptance of the Doctoral Dissertation	6
Section 10 - Examination Committee	7
Section 11 - Oral Defense and Final Grade	7
Section 12 - Printing	7
Section 13 - Granting of Doctoral Degree	8
Section 14 - Annulment and Revocation of the Doctoral Degree	8
Section 14a - Ombudsman or Woman	8
Section 15 - Renewal of the Doctoral Degree Certificate, Honorary Doctoral Degree	8
Section 16 - Final Provisions	9

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Section 1 - Type and Purpose of the Doctorate

- (1) The University of Mannheim awards the degree of the Doctor of Business (Dr. rer. pol.) based on the successful completion of a doctoral dissertation, a doctoral program and an oral defense (cf. section 8 et seqq.) that is open to members of the university.
- (2) The doctoral dissertation results from independent work in the interest of the field of business administration and must be made available for the scientific community. In the dissertation, the doctoral student must convey their own, new scientific findings in the form of a monograph or an article-based dissertation. An article-based dissertation may include scientific publications or manuscripts intended for publication of the doctoral student; in any case a coherent overall concept is indispensable. The doctoral committee decides upon this matter. The dissertation and the oral defense serve to prove that the doctoral student is able to pursue independent scientific research.
- (3) Within the scope of these regulations and procedures, the Business School is in charge of awarding the Doctoral Degree in Business.

Section 2 - Doctoral Committee

- (1) The doctoral committee of the Business School makes decisions in the doctoral process unless the dean or the examination committee are in charge.
- (2) The doctoral committee is composed of professors, junior professors and full-time senior academic staff members (Privatdozenten) of the Business School. Senior academic staff members (Privatdozenten) who work part-time and less than fifty percent of their work time for the University of Mannheim only have an advisory role in the decision-making processes. The dean or a representative professor designated by the dean chairs the doctoral committee. The dean determines the duration of this appointment; they can revoke it at any time.
- (3) The committee has a quorum, if at least fifty percent of the members who are eligible to vote are present. Meetings of the doctoral committee are not open to the public.
- (4) All decisions of the committee are minuted. In the event of a tie, the chair has the deciding vote.
- (5) The discussions as well as the respective documents are subject to confidentiality.

Section 3 - Supervisors, Main Evaluators and Second Evaluators, Examiners

- (1) Supervisors of doctoral students must be professors, junior professors or senior academic staff members (Privatdozenten) of the university, or managers of Emmy Noether Research Groups, post-doctoral researchers who participate in a program of the German Research Foundation (DFG), the EU or a similar program and work at the school. In justified cases, professors of other universities, universities of applied sciences or cooperative state universities can serve as supervisors. With their consent, professors emeriti and honorary professors can also be appointed as supervisors.
- (2) Examiners can be full professors, junior professors, senior academic staff members (Privatdozenten), as well as managers of Emmy Noether Research Groups, post-doctoral researchers who participate in a program of the German Research Foundation (DFG), the EU or a similar program; they can also be members of other higher education institutions. Subsection 1 sentence 2 applies correspondingly.
- (3) Main and second evaluators can be full professors, junior professors, senior academic staff members (Privatdozenten), as well as managers of Emmy Noether Research Groups, post-

doctoral researchers who participate in a program of the German Research Foundation (DFG), the EU or a similar program; they may also be members of other higher education institutions. Subsection 1 sentence 2 applies correspondingly. Section 9 subsection 1 sentence 3 remains unaffected.

- (4) Professors, junior professors, and senior academic staff members (Privatdozenten) who used to work for the university, have not been released from their duties and are not retired may be appointed as examiners, main evaluators and second evaluators of the doctoral students they supervised.

Section 4 - Application for Admission as a Doctoral Student

- (1) The application for admission as a doctoral student must be submitted in writing to the dean.
- (2) Along with the application, the following documents must be submitted:
 - a) the topic intended for the doctoral dissertation;
 - b) the Advising Agreement concluded between the supervisor and the doctoral student,
 - c) a notarized copy of the degree certificate according to section 5;
 - d) a description of the program of study the applicant completed, including detailed information on passed and failed academic and state examinations, in particular former requests to obtain a doctoral degree which did not lead to a degree.

Section 5 - Admission Requirements

- (1) Only those can be taken on as a doctoral student who have completed a Master's or Diplom program at a German or foreign higher education institution or a bachelor's program with a standard period of study of at least four years in Business or another field of study acknowledged as comparable with the final grade of at least "gut" (good). In justified cases, the doctoral committee may waive this requirement.
- (2) The doctoral committee may also admit applicants who have completed a program of study with a standard period of study of at least eight semesters acknowledged as comparable and with a comparable degree at a German or foreign university; and applicants who did not take a comparable final examination but completed an additional program of study of two years at the University of Mannheim with a degree and a grade according to section 5 subsection 1.
- (3) The doctoral committee may also admit particularly qualified graduates of a Diplom, master's or bachelor's program with a standard period of study of at least four years of the fields of Business, Economics and Business Informatics of a University of Applied Sciences if they have completed an assessment period of three semesters. The final grade of the degree from the University of Applied Sciences must be "sehr gut" ("very good"). In justified cases, the doctoral committee may waive the requirement of a "very good" degree. The doctoral committee decides upon the coursework to be completed during the assessment period.
- (4) Section 3 applies correspondingly to particularly qualified graduates of Cooperative Universities if the degree is state-approved.

Section 6 - Admission as a Doctoral Student

If all admission requirements have been met and there are no reasons for rejection according to section 7, the doctoral committee will decide on the admission of the applicant upon the proposal of their supervisor. If the applicant is admitted, the dean accepts them to the list of doctoral students of

the school. The doctoral student will receive an official notification which entitles them to enrollment at the University of Mannheim and the use of university facilities according to the Act on Higher Education of the Land of Baden-Württemberg (LHG) and the General Statutes of the University of Mannheim; the notification also requires them to adhere to the principles of good scientific conduct; section 38 subsection 5 sentence 1 clause 2 LHG remains unaffected. If at the time of the application for admission the doctoral student admitted to the Center for Doctoral Studies in Business (CDSB) has not received their graduation certificate yet according to section 5 subsections 1 through 4, they may be admitted if they present a notarized copy without delay as soon as they receive it. The supervisor must oversee the progress of the dissertation and the doctoral program of the doctoral student and give advice in terms of time management and quality by means of regular meetings.

Section 7 - Rejection of Admission, Revocation of Admission

- (1) The doctoral committee may deny the admission of an applicant, if the topic of the dissertation is not appropriate or originates from a field of study that is not sufficiently represented at the school.
- (2) The application for admission may be rejected on the grounds of reasons that would legally justify the revocation of the doctoral degree.
- (3) The admission may be revoked if a supervisor issues a declaration on the unsatisfactory progress of the doctoral dissertation.

Section 8 - Admission to the Doctoral Process

- (1) The doctoral candidate must submit a written request to obtain a doctoral degree to the dean.
- (2) The request must include:
 - a) The doctoral dissertation, usually written in German or English, in triplicate as well as the doctoral dissertation in an electronic form that is approved by the school. The copies of the dissertation and the storage device submitted become property of the university.
 - b) A signed declaration in lieu of oath with the following wording:
 “Declaration in lieu of oath according to section 8 subsection 2 sentence 1 (b) of the Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the University of Mannheim:
 1. The submitted doctoral dissertation on the subject _____ is my own work and adheres to the rules of proper scientific conduct.
 2. I did not seek unauthorized 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 did not yet present this doctoral dissertation or parts of it at any other higher education institution in Germany or abroad.

Title of the doctoral dissertation:

.....

Degree:

.....

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

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5. I am aware of the significance of this affirmation and the legal ramifications in case of untrue or incomplete statements. I affirm in lieu of oath that the statements above are to the best of my knowledge true and complete."
- c) A signed declaration of consent stating that the dissertation may be stored, sent or processed electronically in order to be checked for plagiarism. The doctoral dissertation must be rejected if the declaration according to sentence 1 (b) and (c) is not submitted.
- d) Proof that apart from the completion of their doctoral dissertation the student has successfully completed a doctoral program. Successful completion of a program of study at the Center for Doctoral Studies in Business (CDSB) serves as proof. Successful completion of three courses of the doctoral program including examinations also serve as proof. In the case that the doctoral student has attended a doctoral program at another institution, comparable coursework may be recognized. Courses which have been successfully completed as part of the graduate program at a university in as well as outside of Germany may be recognized by the doctoral committee upon request of the supervisor. If there are several supervisors, they must all recognize these courses.
- (3) The registration for the oral defense may be withdrawn provided the dissertation has not been rejected and the oral defense not yet begun.
- (4) For admission, the documents according to section 4 must have been submitted and the admission requirements according to section 5 must have been met. Concerning the rejection of the request to obtain a doctoral degree section 7 subsections 1 and 2 apply correspondingly.

Section 9 - Acceptance of the Doctoral Dissertation

- (1) The dean checks the request and decides on the admission, appoints the main evaluators and the necessary second evaluators for the dissertation and tasks them to prepare an evaluation. Upon request of the supervisor or an official request, the dean may, as an exception to sentence 1 appoint two second evaluators if this is necessary for the particular case. The main evaluator must be the applicant's supervisor. At least one of the main or second evaluators must be a tenured professor or a professor with an equivalent status at the University of Mannheim.
- (2) Written evaluations must be submitted within 2 months. If the evaluators support the acceptance of the dissertation in their evaluations, the dean gives all members of the doctoral committee the opportunity to read the dissertation within an appropriate period of time and make a statement. During lecture periods the period is two weeks. Outside of lecture periods the period is four weeks.
- (3) The dissertation is considered accepted if the main and second evaluators support its acceptance and none of the members of the doctoral committee object to the recommendation in writing during the designated period according to subsection 2 sentence 3. In case of a disagreement regarding the acceptance, the doctoral committee decides. If needed, the committee may obtain an evaluation from another second evaluator.
- (4) Each evaluator who supports the acceptance of the dissertation must grade it by assigning one of the following grades: "summa cum laude", "magna cum laude", "cum laude" or "rite". The following equivalents apply:

Grade 1 corresponds to "summa cum laude", Grade 2 corresponds to "magna cum laude", Grade 3 corresponds to "cum laude", Grade 4 corresponds to "rite".

Grades may be differentiated by adding or subtracting 0.3 by adding “-” and “+”. The grades 0.7 and 4.3 must not be assigned.

- (5) If the doctoral committee or the main and second evaluators reject the dissertation, the doctoral examination is considered failed. The student must be notified of this in writing.

Section 10 - Examination Committee

- (1) The dean appoints the members of the examination committee.
- (2) The examination committee consist of the examiners according to section 3 subsection 3 and 4. A professor appointed by the dean chairs the committee. At least two members of the examination committee must be tenured professors or persons with an equivalent status at the University of Mannheim.

Section 11 - Oral Defense and Final Grade

- (1) The student must defend their dissertation in an oral defense that is open to members of the university. The oral defense is conducted by the chair of the examination committee. The members of the examination committee and the doctoral committee are authorized to ask questions and to respond. At least two members of the examination committee must be members of the Business School. The examination lasts at least one and no longer than two hours. Each examiner gives a vote for one of the grades “summa cum laude“, “magna cum laude“, “cum laude“ or “rite“; section 9 subsection 4 sentence 2 applies accordingly. If there is disagreement about the grade, the examination committee decides on the oral defense grade by majority vote; in the event of a tie, the vote of the chair shall decide the matter. After the oral defense has been completed successfully, the chair of the examination committee determines the final grade. The final grade is the arithmetic average of the grades for the dissertation and the oral defense. The dissertation grade is weighted double whereas the oral defense is weighted regularly. The grade is
“summa cum laude” in case of an average to 1.5,
“magna cum laude” in case of an average between 1.6 and 2.5, “cum laude” in case of an average from 2.6 to 3.5,
“rite” in case of an average from 3.6 to 4.0.
When calculating the final grade, only the first decimal place is of importance; all other decimal places must be eliminated without rounding up or down.
- (2) Minutes must be produced for the oral defense, the grading process according to subsection 1, and the result. Immediately after the oral defense, the doctoral candidate receives a confirmation stating the final grade of the successfully completed doctorate. The confirmation needs to feature a note stating that it does not yet entitle the candidate to officially hold a doctoral degree.
- (3) Doctoral students who fail the oral defense may present themselves again within 12 months but no earlier than 6 months after their first attempt. If the oral defense is failed again, the result is final.

Section 12 - Printing

- (1) The dissertation must be published in the version that has been approved by the evaluators. If

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- one of the evaluators does not approve, the doctoral committee decides on the approval.
- (2) Altogether, 35 printed copies of the dissertation must be given to the university free of charge. However, the number of mandatory copies can be reduced to 6 if the dissertation is published
 1. by a publishing house with at least 80 copies, or
 2. in a relevant scientific magazine, or
 3. in electronic form in a format that is approved by the university library and stored on a University of Mannheim server upon approval of the university.
 - (3) All mandatory copies must include a short CV. In justified cases, the dean may allow the printing of a shortened version in agreement with the doctoral committee.
 - (4) The mandatory copies must be delivered within one year after the doctoral student has been informed of their grade. A doctoral student who fails to deliver the copies in time forfeits all rights acquired with the examination. The dean may extend the deadline upon reasoned request.
 - (5) The cover page of the dissertation must read "Inauguraldissertation zur Erlangung des akademischen Grades einer Doktorin der Wirtschaftswissenschaften der Universität Mannheim" or "Inauguraldissertation zur Erlangung des akademischen Grades eines Doktors der Wirtschaftswissenschaften der Universität Mannheim" for German dissertations, and "Inaugural Dissertation to Obtain the Academic Degree of a Doctor in Business Administration at the University of Mannheim" for English dissertations. The back of the cover page must indicate the name of the dean as well as the names of the main and second evaluators, as well as the date of the oral defense. If the dissertation is published with a publishing house, the publication must indicate that it is based on a dissertation at the University of Mannheim.

Section 13 - Granting of Doctoral Degree

- (1) Once the mandatory copies have been submitted, the doctoral degree is granted with the handover of the doctoral degree certificate. With the official granting of the degree, the student is authorized to use the title "doctor".
- (2) The certificate is signed by the President and the dean. It includes the date of the oral defense and the date of its issuing.

Section 14 - Annulment and Revocation of the Doctoral Degree

- (1) The doctoral degree must be annulled by the doctoral committee if it becomes evident that the doctoral student cheated during the admission to the doctoral process or during one of the examinations or did not adhere to the principles of proper scientific conduct.
- (2) The doctoral committee is responsible for the revocation of the doctoral degree.

Section 14a - Ombudsman or Woman

In case of conflicts between the doctoral student and the supervisor, the parties may consult the respective ombudsman or woman. All details in regards to the appointment of ombudspersons are governed by the statutes of the University of Mannheim on the appointment of ombudspersons for early-stage researchers (Satzung der Universität Mannheim zur Bestellung von Ombudspersonen für Promovierende und deren Betreuer/innen).

Section 15 - Renewal of the Doctoral Degree Certificate, Honorary Doctoral Degree

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- (1) In order to honor its graduates, the school can renew doctoral degree certificates on the occasion of the 50th anniversary of the awarding of the doctorate.
- (2) The Business School of the University of Mannheim awards the honorary doctoral degree in Business (doctor rerum politicarum honoris causa - Dr. rer. pol. h.c.). The honorary doctoral degree in Business may be awarded to people for outstanding achievements in research fields of the Business School. Suggestions, including in-depth reasoning, must be submitted to the dean. People holding a statutory office at the University of Mannheim or serving as an elected member of one of the statutory bodies of the University of Mannheim may submit a suggestion for an honorary doctoral degree to the dean. The honorary doctoral degree is awarded on the basis of unanimous decisions of the school council of the Business School and the senate of the University of Mannheim. The dean awards the honorary doctoral degree. The honorary doctoral degree can be revoked on the grounds of reasons which, if known, would have prevented its conferment in the first place or on the grounds of reasons which have arisen after the conferment. Sentence 5 applies to the revocation of the honorary doctoral degree accordingly.

Section 16 - Final Provisions

- (3) These Regulations and Procedures Governing the Doctoral Dissertation become effective on 1 August 2014. At the same time, the Regulations and Procedures Governing the Doctoral Dissertation to Earn a Doctoral Degree in Business at the Business School of 27 March 2006, last amendments on 3 November 2010, cease to be effective.
- (4) Candidates who have submitted a request to obtain a doctoral degree to the dean before these Regulations and Procedures Governing the Doctoral Dissertation became effective may request to continue the doctorate according to the respective valid version of the Regulations and Procedures Governing the Doctoral Dissertation of 27 March 2006, last amendments on 3 November 2010.

Article 2 of the first amendment of 6 June 2016:

The amendment becomes effective the day after its announcement in the Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) of the University of Mannheim.

Article 2 of the second amendment of 27 February 2019:

This amendment becomes effective the day after its announcement in the Bulletin of the President's Office (Bekanntmachungen des Rektorats) of the University of Mannheim.

Article 2 of the third amendment of 4 June 2019:

This amendment becomes effective the day after its announcement in the Bulletin of the President's Office ("Bekanntmachungen des Rektorats") of the University of Mannheim.

Article 2 of the fourth amendment:

- (1) The amendment becomes effective the day after its announcement in the Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats) of the University of Mannheim.
- (2) The stipulation of article 1 number 1 letter b does not apply to dissertations that are already submitted.