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Heidelberg University Doctoral Degree Regulations for the Faculty of Economics and Social Sciences

as of 2 November 2015, as last amended of 17 March 2021

The senate of Heidelberg University determined on 16 March 2021 these first statutes concerning the amendment of Heidelberg University doctoral degree regulations for the Faculty of Economics and Social Sciences of 2 November 2015 (report of the President of 2 November 2015, p.1617f) on the basis of § 38 of the Act on Higher Education of the Land of Baden-Württemberg (Landeshochschulgesetz, LHG) of 1 January 2005, last amended by Article 1 of the fourth Act on Amendments to University Regulations (Fourth Act on University Regulation Amendments / Viertes Hochschulrechtsänderungsgesetz, 4th HRÄG) of 17 December 2020 (GBl, pp. 1204, 1230).

Approved by the President on 17 March 2021

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- (1) The Faculty of Economics and Social Sciences of Heidelberg University awards the academic degree "doctor rerum politicarum" (Dr. rer. pol.) on the basis of the candidate's doctoral work in the fields of political science, sociology or economics, or the degree "doctor rerum politicarum honoris causa" (Dr. rer. pol. h.c.) on the basis of outstanding academic achievement in economic and social sciences, or in closely associated disciplines.
- (2) The Faculty of Economics and Social Sciences is committed to upholding the Senate's Recommendations on Support for Junior Researchers at Heidelberg University, dated 19 July 2005, and implements these appropriately.
- (3) The organs of the Faculty for the doctorate, doctoral degree procedure are the doctoral committee and the examination commission determined by the doctoral committee for every doctorate, doctoral degree procedure.

§ 2 Components of the doctorate

- (1) The doctorate serves to demonstrate the candidate's ability to undertake independent academic research.
- (2) The doctorate consists of an academic paper (dissertation) and an oral examination (oral defence) on the subject area in which the dissertation has been written.

§3 Examiners and supervisors

- (1) The following members of the faculty are entitled to supervise doctoral candidates in the faculty, to evaluate doctoral candidates' dissertations and to act as a member of an examination commission:
 - professors in accordance with § 44 para. 1 of the Act on Higher Education of the Land of Baden-Württemberg (LHG)
 - associate professors,
 - heads of junior research groups,
 - honorary professors,
 - retired professors as well as
 - associate professors (appointed university professors that have reached qualification agreement (assozierte Professoren/Professorinnen)

The evaluators and examiners appointed for the given doctoral degree procedure are also entitled to examine candidates.

- (2) Professors, associate professors as well as heads of junior research groups who leave the faculty remain entitled to examine candidates in the doctoral degree procedure in which they are already involved.

§ 4 Doctoral committee

- (1) The doctoral committee decides upon admission to doctoral degree programmes and ensures the proper course of the doctoral degree procedure.
- (2) The faculty council elects the members of the doctoral committee, its chairperson, and deputies at the end of the summer semester, each for a two-year term. If a member withdraws from the doctoral committee, a successor will be immediately elected for the remainder of the term. Members may be re-elected.
- (3) The doctoral committee consists of a chairperson and four additional professors from the Faculty of Economics and Social Sciences. The primary occupation of these members must be at Heidelberg University. An associate professor in the faculty may also act as a member of the doctoral committee provided that his or her primary occupation is at Heidelberg University. The doctoral committee elects a deputy chairperson.
- (4) For the quorum to be met, at least one half of the members of the doctoral committee must be present. Decisions made by the doctoral committee are based on a majority vote of its members.
- (5) The doctoral committee does not convene publicly. This does not affect the right of the candidate concerned to be heard.
- (6) The doctoral committee will communicate its decisions to applicants or doctoral candidates in writing.

§ 5 Admission requirements, admission to the doctorate

- (1) Applicants who have completed Master programmes in the intended doctoral subject and as a rule have achieved the minimum overall grade of “good” can be admitted to the doctorate. Furthermore, applicants who have completed a course of study in the intended doctoral subject, in which they have achieved the minimum overall grade of “good”, at a university or at an institution of teacher education (Pädagogische Hochschule) with the normal period of studies of at least four years or who have completed a consecutive study programme following an undergraduate study programme at a university, an institution of teacher education (Pädagogische Hochschule) or at another higher education institution granting right for doctorate.

- (2) If the overall grade achieved is lower than “good”, admission to the doctoral programme may be granted if, in accordance with § 3, statements testifying the applicant’s academic aptitude are submitted by two faculty members who are entitled to examine and supervise candidates. This also applies if no overall grade exists.
- (3) If the subject in which the doctoral degree is to be completed was not the main subject examined in the Master’s degree, Magister or state examination, the doctoral committee may request that the applicant illustrate his or her subject-specific knowledge in a colloquium, or by successfully passing at least two courses at least Master’s degree level. In such a case, the applicant may be provisionally admitted to the doctoral degree programme for a maximum of 1 year. Proof that the candidate has successfully passed the colloquium, or the relevant courses, must be provided within this 1 year. On passing the colloquium or courses, the applicant is duly admitted to the doctoral degree programme and the doctorate period shall be set according to §7 (7). § 5 para. 4 and 5 apply accordingly. If proof is not provided within this 1 year, admission is nullified. If the doctoral candidate is not able to meet the deadline for reasons outside his or her responsibility, the deadline may be extended by a period of six months at the doctoral candidate’s request, which must be duly substantiated. Where the doctoral candidate is participating in a research training group within the faculty as part of a structured doctoral programme, additional proof must not be provided.
- (4) The colloquium is an oral examination which lasts for approximately one hour. The colloquium is carried out by two examiners who are entitled to conduct examinations within the faculty in accordance with § 3. The examiners are appointed by the doctoral committee. The content tested in the colloquium is limited to two subject areas. The colloquium serves to assess whether the applicant possesses sufficient knowledge in the subject area in which he or she wishes to complete a doctorate.
- (5) Courses in accordance with para. 3, shall be arranged by the doctoral committee in consultation with the supervisor.
- (6) In a duly scheduled meeting, the doctoral committee can, in individual cases, approve exceptions from the following provisions with a two-thirds majority of all members present, insofar as the Act on Higher Education of the Land of Baden-Württemberg (LHG) does not preclude this.

§ 6 Admission of highly qualified applicants holding a degree in the form of a (German university degree) or equivalent from a university of applied sciences or highly qualified applicants holding a Bachelor's degree or equivalent

- (1) The graduates holding a Bachelor's degree as well as state examination degree that do not fall under § 5 (1) can be admitted to the doctoral degree programme:
 - a) if they are particularly qualified and
 - b) at least half of their study courses relate to the subject of the doctoral degree programme and

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- c) they meet the requirements imposed by the doctoral committee providing evidence that they are able to undertake the same level of academic research in their in-tended doctoral subject as a candidate with a Master's degree. The study and examination qualifications imposed by these requirements must be acquired in the relevant subject in the Master's or doctorate programme.
- (2) Particularly qualified applicants holding a degree in the form of a certificate of a Diplom (German university degree) from a university of applied sciences, a vocational university (Berufsakademie) or the Württemberg Notarial Academy can gain admission when they have succeeded in the aptitude assessment procedure. As a rule, the aptitude assessment procedure lasts for four semesters. The required level of achievement is determined by the doctoral committee.

§ 7 Request for admission as a doctoral candidate

- (1) The applicant applies for admission to the doctorate to the doctoral committee in written form.
- (2) The application must be accompanied by the following documents:
1. curriculum vitae (CV) listing the applicant's previous academic career;
 2. certificate of a general higher education entrance qualification, a subject-restricted higher education entrance qualification or a university entrance qualification recognised by legal regulation or by the competent state authority;
 3. a transcript of all credits previously gained, or a list of all previous semesters spent enrolled in a course of study, previous places of study, as well as the courses attended and the names of the relevant lecturers;
 4. certificates for all completed degrees;
 5. statement as to whether the applicant has previously failed a doctoral examination;
 6. confirmation of supervision from a supervisor pursuant to § 3. This must be documented in a doctorate agreement pursuant to § 8 para. 4. The doctorate agreement shall be presented no later than six months after the date of issue.
- (3) Doctoral candidates must register and shall be centrally registered on submission of the doctorate agreement.
- (4) A decision on the application for admission shall be made by the doctoral committee during the lecture period, usually within six weeks. If the doctoral committee rejects an application, it must provide the applicant with the reasons in writing.

- (5) Admission to the doctorate is valid with immediate effect. Upon the request of the applicant, the date of admission may be deferred within a period not exceeding six months.
- (6) Successful doctoral candidates will receive written certification of their admission to the doctorate from the doctoral committee.
- (7) The dissertation must usually be submitted within three years. Upon request, the doctoral committee may grant an extension. Upon the request of the supervisor, admission to the doctoral degree programme may be revoked if, after five years, there is no reason to believe that the doctoral candidate will successfully complete the dissertation, or if the doctoral candidate does not comply with the obligations set out in the doctorate agreement. The doctoral candidate must be given the opportunity to be heard before any decision is made.

§ 8 Academic supervision of the doctoral candidate

- (1) Upon admitting a doctoral candidate, the faculty undertakes to evaluate a dissertation with the given topic and to support the doctoral candidate in his or her work to produce the dissertation.
- (2) Professors in the faculty are obliged to supervise doctoral candidates within the limits imposed by their own research, teaching, and academic tasks.
- (3) In accordance with § 3, doctoral candidates must provide the doctoral committee with the name of a supervisor. Provided that he or she is prepared to take on the role of supervisor, and the outline submitted by the doctoral student gives reason to expect that the dissertation will meet the purposes of the doctorate as according to § 2 para. 1, the doctoral committee shall appoint the designated person as supervisor.
- (4) The doctoral candidate and his or her supervisor produce a written doctorate agreement, which must, as a minimum, contain the content stipulated in § 38 para. 5 of the Act on Higher Education of the Land of Baden-Württemberg (LHG) (see Appendix 1).

This includes a work schedule, which is tailored to the research topic and the personal situation of the doctoral candidate. On the basis of this schedule, the doctoral candidate shall regularly inform the supervisor of the progress made on the dissertation. The supervisor shall be available at regular intervals to provide supervision and academic advice to the doctoral candidate. The work schedule may be amended via individual agreements made between the doctoral candidate and the supervisor, e.g. the language the dissertation is composed in. Amendments to the schedule may only be made on the basis of mutual agreement and may not conflict with provisions of the doctoral degree regulations relating to the extension of deadlines.

In addition, an accompanying programme (e.g. subject-specific courses, courses aimed at acquiring key qualifications, periods abroad, participation in conferences, presentations and publications) shall also be agreed upon. The supervisor advises the doctoral candidate on selecting appropriate activities.

The doctoral candidate and supervisor undertake to observe the rules for safeguarding good academic practice as established in the German Research Foundation's recommendations and Heidelberg University's statutes for safeguarding good academic practice and handling academic misconduct.

In the case of conflict, the doctoral candidate or supervisor may consult the independent ombudsperson for doctoral candidates, who acts as an advisory and mediation body for Heidelberg University.

The doctoral candidate and supervisor agree on the date for submission of the dissertation and the duration of the review process. They must hereby comply with the valid doctoral degree regulations.

The doctoral committee may extend this agreement with additional content.

- (5) Upon the request of the supervisor or the doctoral candidate, the doctoral committee may appoint a second supervisor. The second supervisor must fulfil the prerequisites for an evaluator, in accordance with §11 para. 2.
- (6) The doctoral committee may establish guidelines for doctoral degree procedures, thereby stipulating the participation of doctoral candidates in research training groups or obliging candidates in a given subject area to hold workshops in which the candidate, or group of candidates, give a presentation on their doctoral projects.
- (7) In the event of any dispute, Heidelberg University's ombudsperson for doctoral candidates may act as a mediator.

§ 9 Dissertation

- (1) The dissertation must be of an adequate academic standard and demonstrate the doctoral candidate's ability to undertake independent academic work in the doctoral subject.
- (2) The dissertation consists of a monograph or academic essays (cumulative). The requirements for cumulative dissertations are established by the doctoral committee. The relevant requirements may be subject-specific.
- (3) The dissertation is usually written in German or English. Upon written request, and provided that it will not prevent evaluation of the dissertation in accordance with § 11, the doctoral committee may allow the dissertation to be written in another language. If the doctoral committee allows a candidate to produce his or her dissertation in another language, the doctoral committee must stipulate that a summary of the dissertation is provided in German or English. This summary must detail the objectives, methods applied and findings from research.

§ 10 Submission of the dissertation and admission to the examination

- (1) Five bound copies of the dissertation and, where applicable, a summary of the dissertation, produced in accordance with § 9 para. 2 clause 3, are to be submitted to the doctoral committee. An additional digital copy of the dissertation must be provided in a searchable format.

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- (2) Along with the dissertation, the doctoral candidate must submit the following written documents:
1. an affidavit pursuant to Appendix 2 of these doctoral degree regulations;
 2. a signed copy of the information provided by Heidelberg University, pursuant to Appendix 3 of these doctoral degree regulations, pertaining to the significance of the affidavit and its potential legal ramifications;
 3. a statement by the doctoral candidate indicating whether he or she has previously used the dissertation or an amended version thereof as part of an examination, or previously submitted it to another faculty as a dissertation;
 4. a declaration of consent stating that electronic data processing programmes may be used to check the dissertation for compliance with general academic standards.
- (3) Complete or partial prior publication of the dissertation is admissible.
- (4) Admission must be denied if
1. the requirements for admission are not fulfilled;
 2. the documents are incomplete;
 3. the candidate submits a dissertation that has already been rejected by another examining body or which has been previously submitted as part of another examination procedure.
- (5) Admission may be denied if
1. the doctoral candidate has failed more than one previous attempt to obtain a doctorate,
 2. there are reasons which would justify revocation of an academic degree, or an academic degree has already been revoked.

§ 11 Dissertation evaluation

- (1) Following submission of the dissertation, the doctoral committee appoints at least two evaluators, one of whom is as a rule the supervisor. At least one evaluator must be a professor in the faculty as according to § 44 para. 1 of the Act on Higher Education of the Land of Baden-Wurtemberg (LHG). The appointment process is to be concluded within a four-week period.
- (2) The evaluators in the faculty are as a rule examine candidates in accordance with § 3. In addition, professors and associate professors from other faculties of Heidelberg University or from other universities, as well as professors from universities of applied science, or from the Baden-Wurtemberg Cooperative State University (DHBW) may, upon their agreement, be appointed as evaluators where the

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subject of the dissertation concerns content from closely associated subject areas. A minimum of half of the evaluators must be entitled to examine candidates in the faculty in accordance with § 3.

- (3) The evaluators recommend either the acceptance or rejection of the dissertation and, if the dissertation is to be accepted, award one of the following grades:
- | | |
|-----------------|-----|
| summa cum laude | (1) |
| magna cum laude | (2) |
| cum laude | (3) |
| rite | (4) |

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

- (4) The evaluators may impose conditions on the publication of the dissertation in their written evaluations.
- (5) The written evaluations should be presented to the doctoral committee within four months of the appointment of the evaluators.

§ 12 Inspection of the dissertation and written evaluations

- (1) Following submission of the written evaluations to the doctoral committee and the notification of the professors, associate professors and heads of junior research groups of the faculty, as well as doctoral candidate, the dissertation and written evaluations shall be available for inspection at the faculty dean's office for a period of two weeks. The notification shall include the beginning of the inspection period, the name of the doctoral candidate, the doctoral subject, the title of the dissertation and the names of the evaluators.
- (2) All professors, associate professors, evaluators and heads of junior research groups in the faculty, as well as the doctoral candidate are entitled to inspect the dissertation and written evaluations. The evaluators, as well as the members and deputy members of the examination commission shall receive a copy of the written evaluations.
- (3) Once the doctoral candidate has been successfully admitted to the examination in accordance with § 10, he or she may withdraw the submitted dissertation up to the point of submission of the first written evaluation. The candidate must submit a statement to this effect to the doctoral committee. Withdrawal of the dissertation results in termination of the doctoral degree procedure. § 20 applies accordingly.

§ 13 Appointment of additional evaluators

- (1) During the inspection period, professors, associate professors and heads of junior research groups in the faculty are entitled to request that the doctoral committee appoint a further evaluator. The request must be substantiated in writing. The ap-

pointment process is to be concluded without undue delay during the lecture period and within three weeks after the request has been received. The person who submitted the request may also be appointed as an evaluator.

- (2) Where additional evaluators are appointed, § 11 applies accordingly.

§ 14 Termination of the doctoral degree procedure in the case of negative evaluations

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

§ 15 Examination commission

- (1) Following submission of all written evaluations, and provided that § 14 does not apply, the doctoral committee shall appoint an examination commission. The supervisor usually acts as the chair of the examination commission. The examination commission must be appointed within four weeks during the lecture period. Upon request, the doctoral committee shall inform the members of the faculty entitled to examine candidates in accordance with § 3, as well as the doctoral candidate, of the composition of the examination commission.
- (2) The examination commission consists of the evaluators, as well as at least one additional member of the faculty who is entitled to examine candidates in accordance with § 3. In exceptional cases, a professor or associate professor from another faculty of Heidelberg University or from another university may be appointed as an additional examiner. One member of the examination commission should not represent the subject in which the doctorate is being completed, and one member must be an active professor in the faculty. The examination commission also includes a substitute member for cases where a member of the examination commission is unable to attend the oral defence for overriding reasons.
- (3) The chair of the examination commission determines the date of the oral defence, calls for the examination commission to convene and summons the doctoral candidate to the oral defence.
- (4) The examination commission makes decisions by majority vote. Decisions are to be recorded in a protocol.

§ 16 Dissertation result

- (1) The examination commission decides whether the dissertation is to be accepted or rejected. It may reject the dissertation only if this is recommended in at least one written evaluation.
- (2) If the examination commission rejects a dissertation that was submitted for the first time, the doctoral candidate is entitled to revise the dissertation and re-sub-

mit it within a year from the date of rejection. If a revised dissertation is submitted within this one year period, the doctoral degree procedure shall resume at § 10. If the doctoral candidate does not make use of the right to revise the dissertation, or if the revised dissertation is not submitted within the one year period, the dissertation shall be ultimately rejected and the doctoral degree procedure terminated. If a duly justified request for deadline extension has been submitted within the one-year period, the doctoral committee may extend it by up to six months.

§ 17 Oral defence

- (1) If the dissertation is accepted, the doctoral candidate is to sit an oral defence lasting approximately 90 minutes. The oral defence shall concern the dissertation itself and topics closely related to the relevant subject area.
- (2) The oral defence should usually take place within six weeks of the end of the inspection period. The chair of the examination commission must communicate the date, time and place of the oral defence, in writing, to the other members of the examination commission and to the doctoral candidate.
- (3) So far as space limitations allow, the chair of the examination commission may allow other doctoral candidates enrolled in the faculty as well as, upon the request of the applicant, other university members, to attend the oral defence as observers. Observers will not, however, be allowed to attend the discussion and announcement of the examination results. Upon the doctoral candidate's request, or for any other good reason, the public must be excluded from the oral defence.
- (4) The oral defence is conducted by the chair of the examination commission.
- (5) A concise written record of the oral defence must be prepared.

§ 18 Decision on performance in the oral defence

- (1) In a closed session immediately following the oral defence, the examination commission decides whether the doctoral candidate's performance in the oral defence is to be accepted or rejected.
- (2) Rejection of the oral defence results in rejection of the doctorate altogether.

§ 19 Doctoral result

- (1) Provided that the doctorate has not been rejected pursuant to § 14, § 16 para. 2 and § 18 para. 2, the examination commission determines, in a closed session, the grade for the dissertation on the basis of the written evaluations, and the grade for the oral defence on the basis of the candidate's performance. The examination commission will then determine the overall grade for the doctorate on the basis of these two grades.

- (2) The grades for the dissertation and the performance in the oral defence are calculated in accordance with § 10 para. 3.
- (3) The overall grade is the arithmetic average of the respective grades for the dissertation and the oral defence, whereby the grade for the dissertation is weighted twice, and the grade for the oral defence is weighted once. Average grades are classified as follows:
- Average grade
up to and including 1.50: summa cum laude
- Average grade
above 1.50 and up to and including 2.50: magna cum laude
- Average grade
above 2.50 and up to and including 3.50: cum laude
- Average grade
above 3.50 and up to and including 4.0: rite
- (4) The doctoral candidate shall be immediately notified of the doctoral result.

§ 20 Retake of components of the doctorate

- (1) If the dissertation has been rejected in accordance with § 14 and § 16 para. 2, the doctoral candidate may submit a new dissertation. In this case, the doctoral degree procedure resumes at § 10. An additional retake is not possible.
- (2) If the doctoral candidate's performance in the oral defence is rejected pursuant to § 18 para. 2, he or she may retake the oral defence upon written request to the examination commission. The request must be submitted to the examination commission no later than six months after the first oral defence. In this case, the doctoral degree procedure resumes at § 17. An additional retake is not possible.

§ 21 Publication of the dissertation

- (1) If the components of the doctorate are performed, the dissertation must be published no later than within two years after the date of the oral defence pursuant to (5) or a publishing contract must be submitted on condition that the doctoral candidate gives an assurance that the dissertation will be printed and free of charge submission will be provided within three years after the contract date.
- (2) If the deadline established in (1) is not met, all rights acquired with the doctorate are forfeited. In exceptional cases, where a substantiated request is submitted by the doctoral candidate in due time, the deadline for publication may be extended. The chair of the doctoral committee decides on extensions of up to six months. Longer extensions are decided upon by the doctoral committee.

- (3) If the examination commission has reservations about the publication of the dissertation in the form in which it was submitted, they may impose conditions on publication. Where conditions are imposed in accordance with § 11 para. 4, these must be imposed by the examination commission.
- (4) Prior to publication of the dissertation, the doctoral candidate must seek permission for the duplication of the dissertation from the chair of the examination commission. If conditions are imposed in accordance with para. 3, the chair shall make a decision in consultation with the members of the examination commission.
- (5) Dissertations can be published:
1. digitally via Open Access, on the University Library's (UB) document server. A printed and bound copy of the text must be also given free of charge to the University Library. Other forms of digital publication may be used only upon agreement with the University Library.
 2. in a series of publications or as a self-contained book distributed by a publisher, provided that proof of a minimum print run of 100 copies is provided. In this case, the University Library must be provided with three copies free of charge. If the publisher has a print-on-demand process in place to fulfil additional orders, a lower minimum print run may be accepted. It is the responsibility of the doctoral candidate to provide evidence thereof.
- (6) In the case of duplication as set out in para. 5, a printed note must be added stating that this is a Heidelberg dissertation. If the title is changed, the original title as submitted must be indicated.
- (7) In addition to the deposit copies named in para. 5, which must be provided to the University Library, two copies of the published dissertation must also be provided to the dean, and one copy must be provided to each of the evaluators free of charge.
- (8) Accepted dissertations that had already been fully published in accordance with § 10 para. 3 at the time of submission, are exempt from the publication requirement as set forth in para. 1 provided that publication complies with the requirements stated in para. 4.

§ 22 Handing over of the doctoral certificate and conferral of the degree Dr. rer. pol.

- (1) If the doctoral candidate submits the necessary deposit copies or a publication contract in due time in accordance with § 21 para.1, he or she shall be conferred the degree "doctor rerum politicarum" (Dr. rer. pol.) by doctoral certificate, which will be issued or delivered to the doctoral candidate. The doctoral certificate records the title of the dissertation, the overall grade and the subject of the doctorate, and states the date of the oral defence as the date on which the degree was awarded.

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- (2) When the doctoral degree is conferred after the submission of the publication contract, the conferral can be revoked if the necessary deposit copies are not submitted within the period stated in § 21 (1). The doctoral candidate may apply for extension of the publication deadline by up to two years.
- (3) The right to use of the title "Doctor" is acquired only upon receipt of the doctoral certificate.
- (4) After the dissertation has been published and submitted, the doctoral degree procedure is terminated.

§ 23 Conferral of the degree Dr. rer. pol. h.c.

- (1) In recognition of outstanding academic achievement in the field of economics and social sciences, or in other related fields, and on approval of the senate, the faculty may award the degree "doctor rerum politicarum honoris causa" (Dr. rer. pol. h.c.).
- (2) Such a degree can only be conferred if a recommendation is made by at least three professors or associate professors from the faculty. In preparation of the decision, the faculty council appoints two professors or associate professors from its members as rapporteurs. The faculty council will make a decision once it has received the rapporteurs' evaluations. For conferral to be approved, a three-quarter majority of members holding a doctorate must vote in favour of conferral.
- (3) The degree of Dr. rer. pol. h.c. is conferred by the faculty by issuance of a doctoral certificate in which the conferral of the doctorate is substantiated by the honouree's academic achievements.

§ 24 Revocation and withdrawal of admission; nullification of doctoral results

- (1) If, prior to the issuance of the doctoral certificate, it emerges that the applicant met a condition of admission through deception, or essential conditions of admission were mistakenly taken to have been satisfied, the faculty council may, upon the request of the doctoral committee, revoke its decision to admit a doctoral candidate to the doctorate. The same applies if facts become known that would justify revocation of a doctorate under state law.
- (2) If, prior to the issuance of the doctoral certificate, it emerges that the applicant used deception in order to fulfil one of the components of the doctorate, the doctoral committee may request that the faculty council nullify this particular component, or, in serious cases, revoke admission to the doctorate.
- (3) The candidate concerned must be heard before a decision is reached. The decision must be justified and the candidate must be provided with information on the procedure for appeal.

§ 25 Revocation of doctoral degree

- (1) The revocation of a doctorate is governed by state law. Unless otherwise stated in state law, the faculty council is responsible for the execution of such revocations.
- (2) The candidate concerned must be heard before a decision is reached. The decision must be justified and the candidate must be provided with information on the procedure for appeal.

§ 26 Coming into force and transitional provisions

- (1) The above doctoral degree regulations become effective on the first day of the month following their publication in the Bulletin of the President (Mitteilungsblatt des Rektors). At this point the Heidelberg University doctoral degree regulations for the Faculty of Economics and Social Sciences dated 2 November, 2015 shall become ineffective.
- (2) Doctoral candidates who began a doctoral degree procedure prior to these doctoral degree regulations becoming effective, may, upon request, continue the doctoral degree in accordance with the previous doctoral degree regulations dated 2 November 2015, provided that these provisions do not conflict with the Act on Higher Education of the Land of Baden-Württemberg (LHG).

Heidelberg, 17 March 2021

Professor Bernhard Eitel
President of Heidelberg University

Appendix 1**Doctorate agreement****Preliminary remark**

This agreement (pursuant to § 38 para. 5 LHG – Act on Higher Education of the Land of Baden-Württemberg) serves to provide support and advice to doctoral candidates in their doctoral projects. The doctorate agreement does not grant any legally enforceable rights. The agreement is based upon the currently foreseeable planning horizon and may be amended upon mutual agreement. The agreement is subject to acceptance by the faculty and is based on the respective doctoral degree regulations and, where applicable, the regulations of the structured doctoral degree programme.

(1) Parties to the agreement

Doctoral candidate (last name, first name)

Supervisor (last name, title, first name)

(2) Dissertation topic and subject

a) Intended dissertation topic (working title):

b) Faculty: _____

c) Subject /structured doctoral degree programme if applicable:

d) Start of the doctoral project (month/year) _____

e) Intended date of completion of the doctoral degree project (month/year)

(3) Rolling time and work schedule

(4) Details of individual course programmes

The following accompanying programme (e.g. subject-specific courses, courses aimed at acquiring key qualification, periods abroad, participation in conferences, presentations and publications) has been agreed upon: _____

(5) Review periods

The doctoral candidate and supervisor agree, in accordance with the doctoral degree regulations valid at the point of / of the dissertation, on the duration of the review process.

(6) Adherence to the rules for safeguarding good academic practice

Please note that this document is a non-binding convenience translation. Only the German version of the document entitled "Promotionsordnung der Universität Heidelberg für die Fakultät für Wirtschafts- und Sozialwissenschaften" [published in the President's bulletin (Mitteilungsblatt des Rektors) of 31/03/2021, p. 509], has legal validity.

The doctoral candidate and supervisor undertake to observe the rules for safeguarding good academic practice as established in the German Research Foundation's recommendations and Heidelberg University's statutes for safeguarding good academic practice and handling academic misconduct.

(7) Regulations for dispute resolution

In cases of conflict, the doctoral candidate or supervisor may consult the independent ombudsperson for doctoral candidates, who acts as an advisory and mediation body for Heidelberg University.

(8) Other

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Date, signature (doctoral candidate)

Date, signature (supervisor)

Faculty seal/ received on:

Appendix 2 to § 10 of the doctoral degree regulations of the Faculty of Economics and Social Sciences

Affidavit in accordance with § 10 of the doctoral degree regulations of the Faculty of Economics and Social Sciences

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

.....
.....

is my own independent work.

2. *I did not seek unauthorised assistance from a third party and I have employed no sources or means other than those listed. I have clearly marked any direct and indirect quotations taken from the work of others.*

3. *I have not, as yet, submitted this dissertation, neither in full nor in part,¹ to a university in Germany or abroad, as part of an examination procedure.*

Title of the dissertation:

University and year:

Type of examination or qualification:

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

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

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

Place and date

Signature

¹Please cross as appropriate. In the case of a positive answer, please indicate: title of the paper as submitted to another institution, name of the higher education institution, year of submission and the type of examination procedure or qualification. **Please note that this document is a non-binding convenience translation. Only the German version of the document entitled "Promotionsordnung der Universität Heidelberg für die Fakultät für Wirtschafts- und Sozialwissenschaften" [published in the President's bulletin (Mitteilungsblatt des Rektors) of 31/03/2021, p. 509], has legal validity.**

Appendix 3 to § 10 of the doctoral degree regulations of the Faculty of Economics and Social Sciences

Information on the affidavit

In order to obtain reasonable assurance that candidates perform their academic work without unauthorised assistance of third parties, universities in Baden-Württemberg require an affidavit which confirms that academic work has been produced independently. Given the particular legal significance of affidavits, which can have serious legal ramifications, the law imposes penal sanctions for false affidavits. Intentionally false statements are punishable by imprisonment for up to 3 years or by a fine.

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

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

§ 156 German Criminal Code: False Affirmations in Lieu of an Oath

Any individual who, before a public authority competent to administer affirmations in lieu of an oath, falsely makes such an affirmation or falsely testifies while referring to such an affirmation, shall be punished by imprisonment for a period of up to three years or by a fine.

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

Para. 1: If any individual commits one of the acts indicated in § 154 to 156 out of negligence, then imprisonment for a period of no more than one year or a fine shall be imposed.

Para. 2: The perpetrator shall be exempt from punishment if he or she rectifies the false statement in due time. The provisions of § 158 para. 2 and 3 shall apply accordingly.

Place and date

Signature