

**OFFICIAL TRANSLATION OF**

**“Promotionsordnung der Fakultät für  
Wirtschafts- und Sozialwissenschaften”  
(Amtliche Bekanntmachung Nr. 29 vom 30. März 2017)**

**THIS TRANSLATION IS FOR INFORMATION ONLY –  
ONLY THE GERMAN VERSION SHALL BE LEGALLY  
VALID AND ENFORCEABLE!**

**Doctoral Degree Regulations of the Faculty of Business,  
Economics and Social Sciences**

**dated 18 January 2017**

On 2 March 2017 in accordance with Section 108 subsection 1 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 18 July 2001 (HmbGVBl. p. 171), as amended 16 November 2016 (HmbGVBl. p. 472), the Executive University Board of Universität Hamburg ratified the Doctoral Degree Regulations adopted by the Faculty Council of the Faculty of Business, Economics and Social Sciences on 18 January 2017 pursuant to Section 91 subsection 2 no. 1 HmbHG.

## **Section 1**

### **Definition of doctoral studies and doctoral degree**

(1) The Faculty of Business, Economics and Social Sciences at Universität Hamburg shall have the authority to confer the academic degree Doctor of Economics and Social Sciences. The doctoral degree Doctor rerum politicarum (Dr. rer. pol.) shall be conferred for dissertations that predominately focus on economics. The doctoral degree Doctor philosophiae (Dr. phil.) shall be conferred for dissertations that predominately focus on the social sciences. The degree sought must be indicated by the prospective doctoral candidate in the application. The doctoral committee shall render a decision about this request along with the admission to the doctoral procedure pursuant to Section 4 herein.

(2) Doctoral studies evince the capacity for in-depth scholarly work through independent research.

(3) Doctoral work consists of

- the successful completion of the doctoral degree program in economics and the social sciences. The objectives, content, and structure of the economics and social sciences doctoral degree program and coursework to be completed are set forth in the academic regulations, as amended, for the Faculty of Business, Economics and Social Sciences' doctoral degree program;
- a written doctoral thesis (dissertation) submitted as a monograph or as multiple individual papers or related essays; and
- the oral defense of the dissertation.

(4) For outstanding scholarly achievements, the honorary degree Doctor of Economics and Social Sciences—Doctor rerum politicarum honoris causa (abbreviated: Dr. rer. pol. h. c.) or Doctor philosophiae honoris causa (Dr. phil. h.c.)—may be conferred.

(5) A doctoral degree pursuant to subsection 1 above may only be conferred in the same doctoral subject to a person once.

## **Section 2**

### **Doctoral committee**

(1) The responsible Faculty body elects the doctoral committee for a period of three years to implement doctoral procedures. The doctoral committee shall act as an examinations board in accordance with Section 63 subsection 1 HmbHG in conjunction with Section 59 HmbHG possessing the competencies described therein. The doctoral committee shall consist of one approved member of the Faculty eligible to take part in the doctoral procedure, one teaching or research Faculty member with

a doctoral degree, and three full-time Faculty university teachers or Faculty members who have completed a *Habilitation (venia legendi)*—postdoctoral qualification). The committee must be staffed so that all Faculty departments are represented by one university teacher. The committee must be staffed with an equal number of men and women. A proxy must be appointed for each member of the doctoral committee. A member may be reelected. A successor shall be elected for the remaining tenure if a member should prematurely retire from the committee.

(2) The doctoral committee shall elect a chairperson and vice-chairperson from the group of university teachers sitting on the committee.

(3) The doctoral committee shall establish department-specific subcommittees. Subcommittee authority is set out in Annex A to these Doctoral Degree Regulations. Subcommittees shall be staffed in accordance with subsection 1, sentences 1 through 3 and sentences 5 through 8.

(4) Doctoral committee meetings shall not be open to the public. The doctoral committee must account to the Faculty Council for its actions.

### **Section 3**

#### **Admission requirements**

(1) An application for admission to the doctoral procedure must be submitted to the doctoral committee before work on the dissertation commences. Generally, the prerequisite for admission to the doctoral procedure is the successful completion of a course of study from a university within the purview of [German] constitutional law in a degree program that is relevant to a doctoral degree in economics and/or social sciences by completing a master's degree program encompassing a total of at least 300 ECTS credits including the previously completed undergraduate program or completing

- a *Magister* in a degree program at a university;
- a *Diplom* in a degree program at a university; or
- the first state examination for a teaching degree for general education or vocational schools,

achieving an overall grade respectively of at least “gut” (good) (2.50 or better).

(2) If the applicant has

- a degree other than those specified in subsection 1 above;
- a non-subject-related degree; or
- an overall grade of less than “gut” (good) (2.50 or better),

then he or she may be admitted to the doctoral procedure if the doctoral committee determines that he or she has acquired the relevant educational qualifications that would permit doctoral study. The doctoral committee may require such applicants to

acquire ECTS credits within a specified period of time in order to meet standard university requirements in accordance with the respective university degree described in subsection 1 or to supplement the skills and knowledge demonstrated by the applicant as is necessary for the desired doctorate. Generally, the requisite ECTS credits must be acquired at the Faculty's graduate school.

(3) Comparable coursework and examination criteria equivalent to the requirements set forth in subsection 1 hereof for a degree conferred by a higher education institution not within the purview of [German] constitutional law will also be recognized as equivalent. If equivalence is not recognized, the doctoral committee will review the matter in order to determine whether or not the satisfaction of the conditions outlined in Section 2 would be enough to establish equivalence.

(4) At least one university teacher from the Faculty of Business, Economics and Social Sciences must endorse the dissertation project.

#### **Section 4 Admission procedure**

(1) Applications for admission to the doctoral procedure must be submitted in writing to the doctoral committee together with the following documents:

- a) academic transcripts, diplomas, and proof of qualifications necessary pursuant to Section 3 herein
- b) a tabular curriculum vitae with a summary of pertinent activities and experience related to the proposed doctoral project
- c) a statement attesting to whether the applicant has previously submitted an application for admission to a doctoral procedure, or whether a doctoral procedure is currently being pursued at another higher education institution or in another faculty; where applicable provide all details of previous doctoral applications or projects
- d) the intended dissertation topic and type of doctoral degree
- e) a written opinion by a university teacher from the Faculty of Business, Economics and Social Sciences about the doctoral project along with a commitment to supervise the doctoral procedure for the requested doctoral degree The opinion may contain proposed conditions pursuant to Section 3 subsection 2 herein.
- f) a statement that the applicant is familiar with the applicable doctoral degree regulations

(2) During the lecture period, the doctoral committee will generally decide on applications for admission to the doctoral procedure within one month.

(3) Doctoral candidates who are members of externally funded graduate schools may be admitted to the doctoral procedure, provided that such admission occurs on the

basis of a written agreement executed by the Faculty of Business, Economics and Social Sciences.

(4) Applications to the doctoral procedure shall be rejected if:

- a) the requirements set forth in Section 3 are not satisfied;
  - b) supporting documents pursuant to subsection 1 hereof are missing;
  - c) a doctoral procedure for the doctoral subject or a part of the doctoral subject has already been successfully completed;
  - d) the applicant has already been admitted to a doctoral procedure for the requested doctoral subject;
  - e) the declaration pursuant to subsection 1 letter c hereof was untruthfully submitted;
- or
- f) the selected dissertation topic is not a subject within the competency of the Faculty of Business, Economics and Social Sciences.

Applicants must be informed in writing of the reasons why an application has been rejected.

(5) Upon admission to a doctoral procedure, doctoral candidates must register with the Faculty of Business, Economics and Social Sciences Graduate School and enroll as a doctoral candidate at Universität Hamburg. Admission to the doctoral degree program shall be revoked if a doctoral candidate does not enroll as a doctoral candidate within the designated deadline set forth in the notification of acceptance or any extension thereof. This will not bar any reapplication for admission to the doctoral degree program.

(6) Within one year after admission to the doctoral degree program, doctoral candidates must submit a research proposal of the dissertation composed in either German or English to the doctoral committee. The research proposal must contain the research question or thesis, an outline of the research project and methodology, and work plan and time schedule. Written approval from the primary doctoral supervisor must accompany the research proposal. If the research proposal is not submitted within one year after admission, the doctoral committee shall revoke admission.

## **Section 5**

### **Dissertation project supervision and standard completion time**

(1) Once a doctoral candidate has been admitted to the doctoral procedure, the Faculty is then responsible for warranting the supervision and later evaluation of the dissertation project. Furthermore, the Faculty must warrant that at the beginning of the doctoral procedure the doctoral candidate is given the current version of the

*Guidelines for Safeguarding Good Scientific Practice and Avoiding Scientific Misconduct at Universität Hamburg* dated 15 May 2014.

(2) The doctoral committee shall establish a two-person supervisory commission for each doctoral procedure. Generally, the supervisory commission must be comprised of university teachers or members *venia legendi* from the Faculty of Business, Economics and Social Sciences. At least one member of the supervisory commission must be a full-time Faculty university teacher or member *venia legendi*. The supervisory commission must supervise the dissertation academically and procedurally on an ongoing basis. Upon prior consultation, doctoral candidates shall propose members for the supervisory commission. If the doctoral committee declines to accept proposed members, it must find suitable members for the supervisory commission.

(3) The doctoral committee may also appoint academics and scholars holding doctorates as doctoral procedure supervisors, provided that

- these persons are the heads of externally funded junior research groups for which Universität Hamburg is the hosting institution or
- these persons are academics in higher-level positions at non-university research institutions that within the scope of cooperation agreements have been granted the right to supervise doctoral procedures in agreement with the Faculty.

(4) Generally, each supervisor must meet with the doctoral candidate at least once per semester. The doctoral candidate should provide a progress report on his or her thesis for this meeting.

(5) Within an appropriate scope, doctoral candidates should regularly be given the opportunity during their dissertation work to present the progress made on the doctoral project.

(6) As a rule, the dissertation should be submitted within three years and the doctoral procedure completed within four years (standard completion time). Upon a doctoral candidate's request, German regulations regarding the protection of working mothers (Gesetz zum Schutz der erwerbstätigen Mutter, MuSchG) must be taken into account. The same shall also apply to candidate requests with respect to periods of parental leave in accordance with the German parental allowance and leave act (Gesetz zum Erziehungsgeld und zur Elternzeit, BErzGG). The standard completion time shall be extended by the respective term of statutory maternity leave and/or parental leave. If for important reasons a supervisor feels compelled to terminate the supervisory relationship during the course of dissertation work, then he or she must inform the doctoral committee chairperson without undue delay of the reasons therefor.

(7) Once a supervisor is no longer affiliated with Universität Hamburg, he or she shall retain the right for five years thereafter to supervise a dissertation that has commenced through to its completion and remain a voting member of the examination commission. This time limitation shall not apply to former full-time Universität Hamburg university teachers, whose teaching and examination authorization remains valid.

(8) Upon nomination by the Office of the Dean, the Faculty Council shall appoint an ombudsperson and a substitute ombudsperson for a three-year term. If there is a conflict with a supervisor, the doctoral candidate may contact the ombudsperson.

### **Section 6 Dissertation**

(1) The written doctoral thesis must demonstrate a capacity for autonomous in-depth scholarly work through independent research.

(2) A doctoral thesis may be submitted as

a) a monograph, that is, an academic work comprised of a complete and detailed exposition of research work and findings. Portions of the work may be prepublished.

OR

b) a dissertation by publication comprised of three published or unpublished pieces of work. A dissertation by publication must have an overarching title and a synthesized chapter that comprehensively introduces, interprets, evaluates, and discusses the individual papers and related essays included in the cumulative work. Moreover, a list of titles and coauthors of the individual papers or essays must be submitted.

(3) When written doctoral theses are produced in collaboration with other scholars, doctoral candidates must indicate in detail their contributions to the conception, realization, and composition of the work so that his or her share may be clearly delineated and evaluated. Each coauthor must be informed about this portrayal of the work.

(4) If pursuant to Section 6 subsection 2 letter b several pieces of work are submitted, no less than one piece submitted must have been authored alone.

(5) The dissertation must be composed in either German or English. This notwithstanding, upon request the dissertation or portions thereof may be composed in another language, provided this is approved by the doctoral committee.

(6) Doctoral candidates must cite all resources and aids, and affirm in an affidavit that they wrote the dissertation themselves. Doctoral candidates must also submit a declaration that they did not use any commercial services established to provide assistance to doctoral students. The thesis may not have been accepted as part of any previous doctoral procedure or graded as insufficient. In cases of doubt, work from previous doctoral procedures must be submitted for comparison.

(7) The dissertation must have a title page with the name of the author, its designation as a dissertation submitted to the Faculty at Universität Hamburg, the date of submission, and the names of the supervisors. Moreover, the dissertation must contain a short summary of results (abstract) in both English and German. A list of any publications ensuing from the dissertation must be attached as an appendix.

(8) Six copies of the dissertation must be submitted to the doctoral committee. Additionally, an electronic copy of the dissertation saved to an electronic storage device that permits an electronic analysis of plagiarism must be submitted. The supervisors and each member of the examination commission shall each receive a copy, one copy shall remain at the Faculty's graduate school, and one copy shall be archived.

(9) Proof of compliance with any additional requirements pursuant to Section 3 subsection 2 and successful completion of the coursework in Economics and Social Sciences pursuant to Section 1 subsection 3 herein must be submitted no later than at the point of submission of the dissertation.

## **Section 7**

### **Examination commission**

(1) The doctoral committee shall establish an examination commission for every doctoral procedure within four weeks of the submission of the student's dissertation and the proof required pursuant to Section 3 subsection 2 and Section 1 subsection 3 herein. The doctoral candidate may recommend commission members to the committee. The suggested recommendations are to be implemented to the extent tenable and possible. The doctoral committee shall appoint a chairperson who must be a full-time Faculty university teacher or member *venia legendi*. The chairperson may not be a coauthor of any individual paper that has been submitted in accordance with Section 6 subsection 2 letter b herein.

(2) The examination commission shall be comprised of at least three university teachers, members of the University *venia legendi*, or individuals commensurate with Section 5 subsection 3 herein. The majority of the members of the examination



commission must be full-time university teachers from the Faculty of Business, Economics and Social Sciences at Universität Hamburg. As a rule, a supervisor is appointed as a member of the examination commission as an assessor. The second supervisor may likewise be appointed to the examination commission. No more than one retired university teacher may be a part of the examination commission.

(3) The doctoral committee shall supplement the examination commission in accordance with the conditions set forth in subsection 2 above if any member should retire from the commission or for compelling reasons be unable to discharge his or her duties for an extended period of time.

(4) The examination commission's duties are

- a) to evaluate the dissertation based on the submitted assessments and any written positions submitted pursuant to Section 8 subsections 4, 5, and 7 herein;
- b) to organize and conduct the oral defense;
- c) to evaluate the oral defense; and
- d) to assign a final grade that takes into account the individual grades assigned to the dissertation and oral defense pursuant to Sections 9 and 10.

(5) Examination commission meetings shall not be open to the public.

(6) The examination commission shall decide matters upon a simple majority vote of those members entitled to vote, unless otherwise provided for in these Regulations. All votes on evaluations of performance shall be cast by open ballot and no abstentions shall be permissible. Decisions on the evaluation of performance may only be taken if voted upon by all members of the examination commission.

## **Section 8**

### **Evaluation of the dissertation**

(1) Two assessments shall be prepared for every dissertation. The doctoral committee shall appoint assessors from the members of the examination commission. The examination commission chairperson may not be appointed as an assessor. At least one assessor must be a full-time university teacher or member *venia legendi* of the Faculty of Business, Economics and Social Sciences. At least one assessor must be an authority in the discipline in which the dissertation has been written. If material methodical or topical aspects of the dissertation concern a field of study that is principally taught at another faculty, then the additional assessor should be a university teacher from this faculty.

(2) If individual papers or related essays have been submitted in accordance with Section 6 subsection 2 letter b, then at least one of the assessors must not be a coauthor of any work. This also applies to contributions linked to work in accordance with Section 6 subsection 2 letter a.

(3) The assessments must be composed independently of each other and submitted within three months of the request therefor. Late submissions must be explained to the doctoral committee in writing. The assessments must acknowledge the significance of the dissertation and its results and findings within a larger context and indicate any shortcomings. In the overall assessment, each assessor shall either recommend accepting the dissertation upon specifying a grade therefor in accordance with Section 9 herein, revising the dissertation pursuant to subsection 6 of this Section, or rejecting the dissertation. If the requisite evaluations are not clear in an assessment, the doctoral committee shall return the assessment for revision.

(4) If the evaluations in the assessments deviate from one another, the examination commission shall upon discussion propose a grade for the written work that, however, may not be *summa cum laude*. If the commission is unable to reach an agreement, the doctoral committee shall appoint another assessor to the examination commission.

(5) If both assessors evaluate the dissertation as *summa cum laude*, the doctoral committee shall appoint an additional assessor to the examination commission.

(6) An assessor shall be allowed once to state that the dissertation needs to be fundamentally revised. In this instance, the assessor shall not assign a grade to the work, but rather shall specify shortcomings that have been identified and where applicable shall recommend appropriate measures to rectify these deficiencies. If an assessor recommends that the dissertation be revised, the examination commission shall return the dissertation to the doctoral candidate and shall set a date for the resubmission of the revised dissertation. If the revised dissertation is resubmitted before the deadline, it must then be reevaluated. Otherwise, the doctoral candidate will have failed the doctoral degree. The examination commission shall decide on any exceptions.

(7) Once the assessment phase of the dissertation process has been completed, the dissertation together with the assessments shall be deposited with the Faculty's Graduate School for a period of two weeks (extended to four weeks during the semester break). All individuals and members of the Faculty entitled pursuant to Section 5 subsections 2 and 3 herein to supervise a dissertation may review the dissertation and proposed grades and submit a written opinion that is to be added to

the doctoral file. The doctoral committee shall inform this group of persons about the availability of the dissertation in an appropriate manner. Furthermore, members of the doctoral committee and the respective examination commission shall also be entitled to review the assessments during this review period. The examination commission must address opinions that are submitted during this review period, if any. The assessments shall be made available or sent to the doctoral candidate for review no later than one week before the oral defense, provided that no conditions have been placed upon the written work pursuant to Section 9 subsection 7 herein.

**Section 9**  
**Decision about approval of the dissertation**  
**and scheduling of the oral defense**

(1) After the review period has expired, the examination commission shall decide about the approval or rejection of the dissertation, the admission of the doctoral candidate to the oral defense phase, and the dissertation grade.

(2) The grade must be awarded unanimously, unless an additional assessor was appointed in accordance with Section 8 subsection 4 herein. In such a case, the commission majority shall determine the grade awarded. The grade of *summa cum laude* for a dissertation may only be awarded if all assessments recommend this grade. If the first two assessments propose the grade of *summa cum laude* and the third assessment pursuant to Section 8 subsection 5 does not, then only the grade of *magna cum laude* shall be awarded.

(3) Provided that a dissertation has been approved and accepted, the examination commission shall use the following grading scale:

- with distinction (*summa cum laude*, 0.7)
- very good (*magna cum laude*, 1)
- good (*cum laude*, 2)
- sufficient (*rite*, 3)

(4) The congruence of the content contained in the research proposal and the written dissertation is not material for the assessment of the dissertation.

(5) In the event the dissertation is rejected, the examination commission shall, without scheduling an oral defense, declare that the doctoral procedure has not been successfully completed and set forth the reasons for the decision. The doctoral committee chairperson shall inform the doctoral candidate in writing about the rejection and specify the reasons for the examination commission's decision.

(6) If the dissertation is approved, the examination commission shall inform the doctoral candidate of its decision and arrange a time for the oral defense together with

the doctoral candidate. The oral defense should be held within three months of receipt of the last assessment. The examination commission shall inform the doctoral candidate about the dissertation grade prior to the oral defense.

(7) If the assessments have written conditions attached to them, then a doctoral candidate may only proceed to the oral defense phase of the doctoral degree proceedings once the conditions have been reflected in the dissertation. The examination commission shall specify the conditions and verify whether they have been complied with. Approval to publish the dissertation shall be deemed granted to the extent the oral defense has been successfully completed, marking the end of the doctoral procedure.

(8) The doctoral candidate shall fail the doctoral degree if he or she decides not to orally defend the dissertation. The doctoral committee chairperson must inform the doctoral candidate about this in writing.

#### **Section 10** **Oral defense**

(1) The purpose of the oral defense is to allow the doctoral candidate to demonstrate his or her aptitude for oral recitation and discussion of scholarly problems. The oral defense may be conducted in German or English at the doctoral candidate's discretion. Upon the doctoral candidate's request, the doctoral committee shall decide on conducting the oral defense in another academic language. The oral defense shall be open to the university public. The examination commission chairperson may exclude the university public for compelling reasons upon the doctoral candidate's request therefor. In such a case, doctoral committee members are not considered members of the university public. Examination commission members must attend the oral defense.

(2) The oral defense shall commence with a 20 to 30 minute oral recitation in which the doctoral candidate shall present and elucidate the important results of the dissertation and their significance within a broader subject-related context. Subsequently, the doctoral candidate shall defend the dissertation and answer questions posed by members of the examination commission. Questions shall refer to the dissertation and the classification of the problems therefrom in a larger scholarly context. Finally, the chairperson of the examination commission can admit questions from the university public on the topic of the oral defense. The oral defense shall last for approximately 60 minutes.

(3) The examination commission chairperson shall coordinate the scholarly discussion and shall decide on the priority and, if necessary, the permissibility of the questions.

(4) The examination commission members shall appoint one member of the commission to act as secretary. The secretary shall keep the minutes of the oral defense. A transcript of the minutes shall be placed in the doctoral file.

Minutes must contain the following information:

- date, time, and location of the oral defense
- attendance list for the members of the examination commission
- the dissertation grade
- bullet-point information about the topics discussed
- the oral defense grade
- the final grade pursuant to Section 11
- unusual or particular events

All members of the examination commission must sign the transcript of the minutes.

(5) The doctoral candidate shall be deemed to have failed the oral defense if he or she fails to attend without a valid excuse. The doctoral candidate must be informed of this in writing.

**Section 11**  
**Decision about the oral defense**  
**and doctorate**

(1) Immediately following the oral defense, the examination commission shall retire into a closed session in order to confer on the results of the oral defense and, provided that it has been successfully passed, assign the oral defense a grade and the doctorate an overall final grade in accordance with the grading standards set forth in Section 9 subsection 3 herein. Provided that the oral defense has been passed, the overall final grade assigned shall correspond to the grade that was awarded for the dissertation, unless the examination commission unanimously decides that it wishes to deviate from the grade given for the written work based on the performance during the oral defense. The grade of *summa cum laude* may only be awarded as an overall final grade when at least two of the assessments evaluated the dissertation as *summa cum laude*. The examination commission will inform the doctoral student of the individual grades for the dissertation and the oral defense as well as of the overall grade.

(2) After the examination commission has assigned the final grade, the doctoral candidate shall receive a transcript of records containing the title of the dissertation, the individual grades for the dissertation and oral defense, and the overall final grade.

(3) If the doctoral candidate fails the oral defense, then within two weeks the doctoral committee chairperson shall inform the doctoral candidate of this decision, setting forth the reasons therefor in writing. The oral defense may be repeated once no earlier than three months and no later than six months thereafter.

(4) If the doctoral candidate fails the second oral defense attempt, the examination commission shall upon setting forth the reasons therefor declare that the candidate has failed the doctoral degree. Within two weeks the doctoral committee chairperson shall inform the doctoral candidate of this decision in writing.

### **Section 12 Publication and submission obligations**

(1) The dissertation must be published within two years of completing the doctorate. If the dissertation cannot be published within the time frame fixed therefor, the doctoral committee chairperson may grant an extension upon submission of a well-grounded petition therefor. It is sufficient for a dissertation by publication when the individual papers or essays are published. The publication of the individual works may occur separately.

(2) The doctoral committee shall decide in accordance with State and University Library requirements on how many printed or reproduced copies of the dissertation must be submitted by the doctoral candidate. The committee shall also determine in what form printed copies may be substituted with other information media. The State and University Library shall issue a notice when the publication obligations have been discharged.

### **Section 13 Diploma**

(1) A diploma conferring the doctorate will be issued in German and English. In addition to the doctoral candidate's personal details, the diploma shall contain information pertaining to the doctoral subject, title of the dissertation submitted, the final grade, the academic title conferred by the Faculty, and the date the oral defense was successfully completed. Doctoral candidates who wrote their dissertation within the framework of an externally funded graduate school may upon request have the name of their graduate school noted on the diploma, provided that cooperation efforts were based on a written agreement. An addendum shall be attached to the diploma in which the individual grades (grade for the dissertation and oral defense), the overall final grade, and the names of the assessors shall be specified.

(2) The President of Universität Hamburg, the Dean of the Faculty of Business, Economics and Social Sciences, and the doctoral committee chairperson shall sign the

diploma, which shall be affixed with the seal of the Faculty. The addendum shall be signed by the doctoral committee chairperson.

(3) The diploma will not be awarded to the applicant if, before being conferred, it becomes apparent that conditions have been met that warrant divestiture of the doctorate. In such an event, the applicant shall be notified about the reasons underlying the decision not to tender the diploma. Moreover, the applicant shall be informed about his or her option to appeal this decision.

(4) The diploma shall be issued within four weeks subsequent to the receipt of the notification that the publication obligations pursuant to Section 12 herein have been discharged. The diploma conferring the doctorate shall entitle the person to use the academic title “doctor.”

#### **Section 14 Appeal and procedural review**

A doctoral candidate may submit an appeal of decisions reached by the doctoral committee or examination commission to the chairperson of the doctoral committee within one month of the respective decision, provided that the doctoral candidate has been given information about his or her legal remedies; otherwise he or she shall have one year from the date of notification of the decision to submit an appeal. If an appeal is denied relief by the doctoral committee, the matter shall be remitted to the Doctoral Degree Appeals Committee at the University for a decision (Section 66 HmbHG dated 18 July 2001 last amended on 19 June 2015 HmbGVBl. p. 121).

#### **Section 15 Joint doctoral degrees with foreign institutions**

(1) The doctoral procedure may be completed in a joint program with foreign universities or equivalent higher education and research institutions if

- (a) the applicant meets the requirements for admission to the Faculty of Business, Economics and Social Sciences’ doctoral procedure at Universität Hamburg and
- b) the foreign institution may according to its national laws and regulations confer a doctorate, which degree so conferred by this institution would be subject to recognition within the scope of the German Constitution.

(2) The implementation of a joint doctoral procedure must be contractually stipulated. The contractual provisions of the agreement shall apply in addition to the provisions contained in these Doctoral Degree Regulations. Upon executing the agreement, the provisions contained in these Doctoral Degree Regulations must be taken into

consideration with respect to ensuring equivalence of the requirements and procedure. It must be mutually determined which doctoral degree rules and regulations shall apply. Where applicable, a German or English translation of the foreign doctoral degree regulations must be submitted in order to determine whether these regulations are equivalent to the Faculty's Doctoral Degree Regulations with respect to requirements and procedures. If the foreign doctoral degree regulations prevail, then assurance must be had that the essential provisions of the Doctoral Degree Regulations for the Faculty of Business, Economics and Social Sciences at Universität Hamburg will likewise be complied with.

(3) The doctoral candidate must be admitted to both participating institutions.

(4) The languages in which the dissertation may be written must be contractually stipulated. If applicable, the dissertation must also have a summary prepared in the third specified language in addition to German and English.

(5) The examination commission shall be comprised of two university teachers or members *venia legendi* from each participating university or equivalent research or educational institution. Upon application, the examination commission may be expanded by up to two additional university teachers or members *venia legendi* from the participating faculties; however, the composition of commission representation must remain equal. It must be warranted that members of the examination commission are proficient in the examination language.

(6) If both countries have divergent grading systems, then an agreement must be reached on the denomination and uniform documentation of jointly determined examination grades.

(7) Both universities shall jointly award a bilingual diploma according to the template developed by the German Rectors' Conference (Hochschulrektorenkonferenz, HRK). This will entitle the doctoral candidate to carry the academic title in either its German or foreign variation. However, one doctorate only will be conferred.

## **Section 16**

### **Honorary doctorate**

(1) The conferral of the honorary degree Doctor of Economics and Social Sciences Doctor rerum politicarum honoris causa (Dr. rer. pol. h.c.) or Doctor philosophiae honoris causa (Dr. phil. h.c.) shall occur upon recognition of exceptional scholarly achievement or merit at the recommendation of at least one of the departments of the Faculty of Business, Economics and Social Sciences.



(2) A commission established by the doctoral committee must assess scholarly achievements and merits. The commission shall be comprised of one approved member of the Faculty eligible to take part in doctoral procedures, one teaching or research faculty member with a doctoral degree, and three full-time faculty university teachers as well as a university teacher from another higher education institution. Three-fourths of the members of the Faculty Council must assent to the conferral.

(3) The award of the honorary doctorate shall be complete upon the tender of the diploma acknowledging the scholarly achievements or merits of the honoree.

**Section 17**  
**Divestiture of the**  
**doctoral degree**

(1) If a doctoral graduate has perpetrated a fraud with respect to the proof submitted for the admission requirements or the work performed during the course of a doctoral procedure, he or she may be divested of his or her doctorate. The Faculty's doctoral committee shall make a decision once the doctoral graduate has been afforded an opportunity to be heard at a hearing. The decision to divest a person of his or her doctoral degree may be appealed.

(2) This notwithstanding, legal provisions shall apply with respect to the divestiture of a doctoral degree.

**Section 18**  
**Discontinuing the doctoral procedure**

(1) If more than eight years have passed since admission to the doctoral procedure, the doctoral committee may discontinue the procedure by dismissing the student after affording the doctoral candidate an opportunity to be heard at a hearing and upon the supervisor's prior written consent and comment. Reasons for dismissal must be set forth in the administrative notice of discontinuance (Einstellungsbescheid). The administrative notice of discontinuance must be made in writing by the doctoral committee chairperson. This will not bar any reapplication for admission to the doctoral procedure.

(2) The doctoral candidate may withdraw any time prior to submitting the dissertation. All procedural steps completed up until the withdrawal will no longer count as part of the doctoral procedure after the withdrawal.

**Section 19**  
**Legal effect, repeal, and**  
**interim regulations**

(1) These Doctoral Degree Regulations shall become effective the day after their publication in the official publication sheet.

(2) Doctoral students who have been admitted to the doctoral degree procedure pursuant to the Doctoral Degree Regulations for the Faculty of Business, Economics and Social Sciences dated 24 August 2010 (official gov't gazette no. 86 p. 2104 et seq.), corrected on 3 December 2010 (official gov't gazette no. 97, p. 2477 et seq.), and amended on 25 April 2012 (Universität Hamburg Public Notice no. 81) may choose to be subject to the Doctoral Degree Regulations dated 18 January 2017 upon submission of a written petition therefor to the doctoral committee at any time up to six months after these Regulations become legally effective. If no change is petitioned for and the dissertation is not submitted within five years after these Doctoral Degree Regulations become effective, then the provisions contained in the Doctoral Degree Regulations dated 18 January 2017 shall become applicable.

Hamburg, 30 March 2017  
**Universität Hamburg**

**Annex A**  
**Authority of the Faculty doctoral committee and department-specific subcommittees**

The doctoral committee shall have the authority to establish department-specific subcommittees pursuant to Section 2 subsection 3 of the Faculty of Business, Economics and Social Sciences' Doctoral Degree Regulations dated 18 January 2017. The following table outlines the specific authority of the Faculty doctoral committee and subcommittees, respectively:

<b>Duty</b>	<b>Section</b>	<b>Authority</b>
Decision about which of the two doctorates shall be conferred	Section 1 subsection 1	Subcommittees
Election of doctoral committee chairperson	Section 2 subsection 2	Faculty doctoral committee / subcommittees
Establishment of department-specific subcommittees	Section 2 subsection 3	Faculty doctoral committee
Accounting to the Faculty Council	Section 2 subsection 4	Faculty doctoral committee
Determination of relevant educational qualifications and admission conditions for applicants as well as the evaluation of equivalent degree programs from higher education institutions outside the purview of [German] constitutional law	Section 3 subsections 2 and 3	Subcommittees
Admission of applicants	Section 4 subsection 2	Subcommittees
Notification and rationale for rejecting applicants	Section 4 subsection 4	Subcommittees
Revocation of admission upon failure to submit a research proposal within one year after being admitted to the doctoral procedure	Section 4 subsection 6	Subcommittees
Establishment of the supervisory commission	Section 5 subsection 2	Subcommittees
Appointment of junior research group and research group heads to supervise doctoral procedures	Section 5 subsection 3	Faculty committee
Permission to write the dissertation in another academic language other than German or English	Section 6 subsection 5	Subcommittees
Establishment of the examination commission and appointment of an examination commission chairperson	Section 7 subsection 1	Subcommittees
Replacing members of the examination commission on account of withdrawing or retiring members	Section 7 subsection 3	Subcommittees
Appointment of assessors	Section 8 subsection 1	Subcommittees
Returning assessments if the evaluations are not clear	Section 8 subsection 3	Subcommittees

The appointment of a third assessor if the examination commission is unable to reach an agreement about the evaluation of the dissertation	Section 8 subsection 4	Subcommittees
The appointment of a third assessor for a grade of <i>summa cum laude</i>	Section 8 subsection 5	Subcommittees
Written notification of failure because the dissertation was rejected, receiving the grade <i>non rite</i> (fail)	Section 9 subsection 5	Doctoral subcommittee chairperson
Written notification about failing the doctoral degree because the doctoral candidate has decided not to orally defend the dissertation	Section 9 subsection 8	Doctoral subcommittee chairperson
Decision about conducting the oral defense in another academic language other than German or English	Section 10 subsection 1	Subcommittees
Written notification about not passing the first oral defense attempt	Section 11 subsection 3	Doctoral subcommittee chairperson
Written notification about failing the doctoral degree because the second oral defense attempt was unsatisfactory	Section 11 subsection 4	Doctoral subcommittee chairperson
Extending the deadline for the publication of the dissertation	Section 12 subsection 1	Doctoral subcommittee chairperson
Determination of the number of dissertation copies that must be reproduced	Section 12 subsection 2	Faculty doctoral committee
Subscribing the diploma and addendum	Section 13 subsection 2	Faculty doctoral committee chairperson
Deciding on appeals against decisions handed down by the examination commission or doctoral committee	Section 14	Faculty doctoral committee
Establishment of a commission to determine exceptional scholarly achievement for the conferral of an honorary doctorate	Section 16 subsection 2	Faculty doctoral committee
Decision about the divestiture of the doctoral degree	Section 17 subsection 1	Faculty doctoral committee
Discontinuing the doctoral procedure after more than eight years post admission date	Section 18 subsection 1	Faculty doctoral committee
Written notification about the discontinuation of the doctoral procedure	Section 18 subsection 1	Faculty doctoral committee chairperson