# TABLE OF CONTENTS

Doctorate Rules and Regulations for the Dr. rer. pol of the Department of Business and Economics of Freie Universität Berlin 1190
Doctorate Rules and Regulations for the Dr. rer. pol. of the Department of Business and Economics of Freie Universität Berlin
dated July 16, 2008

Preamble

The expanded faculty council of the Department of Business and Economics has, based on Section 14, para. 1, sub-para. 2 of the partial basic regulation (trial model) of Freie Universität Berlin dated October 27, 1998 (FU Communication 24/1998) in conjunction with Section 70, para. 5 of the Act on Admission to Universities in the State of Berlin (Berliner Hochschulgesetz - BerlHG) in the version of its publication of the revised version of February 13, 2003 (GVBl. p. 278), most recently amended by the Law of July 12, 2007 (GVBl. p. 278), issued the following doctorate rules and regulations for the Dr. rer. pol. of the Department of Business and Economics of Freie Universität Berlin on July 16, 2008:*  

Table of Contents
§ 1 Definition of the term doctorate
§ 2 Doctoral committee
§ 3 Admission requirements
§ 4 Admission to the doctoral procedure
§ 5 Registration as doctoral candidate
§ 6 Joint doctorate with foreign institutions
§ 7 Dissertation
§ 8 Supervision of the dissertation project
§ 9 Dissertation
§ 10 Dissertation assessment
§ 11 Doctoral commission
§ 12 Dissertation assessment
§ 13 Oral exam [Disputation]
§ 14 Decisions on the oral exam and final grade
§ 15 Retake
§ 16 Discontinuation, new doctoral procedure
§ 17 Doctoral certificate
§ 18 Dissertation publication
§ 19 Publication format
§ 20 Submission provisions
§ 21 Non-compliance with doctoral provisions, revocation of the doctoral degree
§ 22 Honorary doctorate
§ 23 Legal effectiveness and interim regulations

* This regulation was approved on July 31, 2008 by the Senate Committee for Higher Education.
and make the necessary decisions. The same applies respectively to the doctoral commissions. The faculty council cannot change the opinions or grades submitted by the reviewers.

(4) If the vote taken by the doctoral committee results in a tie, the side of the committee that has the votes of the majority of the full-time professors prevails.

(5) With regard to fundamental disagreements on procedural issues, the doctoral committee must inform the respective responsible central commission.

§ 3

Admission Requirements

(1) To be admitted to the doctoral procedure, the candidate must have successfully earned his or her university degree at a scientific university in the Federal Republic of Germany and in a subject that is essential for a doctorate from the Department of Business and Economics of Freie Universität Berlin and must have passed

– A Master’s examination with a total of 300 credit points (including previously completed study program) or
– A diploma examination, or
– The first state examination for secondary teachers trained to teach at general education or vocational schools ("Studienrat")

with a final grade of at least "good" (pursuant to the regulations for general examination matters).

(2) Applicants can be admitted with a Bachelor’s degree in one of the subjects essential for the doctorate, if the degree was conferred with the best possible grade available according to the grading scale of the respective examination regulations, and if the applicant successfully passed an assessment test administered by two full-time professors in subject areas essential for the doctorate. The doctoral committee decides on the format of the assessment test. The candidate shall be considered as having passed the assessment test, if the grade average for the assessment test(s) in a subject or subjects is at least 2.3.

(3) If the applicant has a university degree other than the ones listed under para. 1 and 2 or if the applicant’s exam was not graded as outlined in Section 3, para. 1, the applicant may be admitted to the doctoral procedure if his or her qualification for the doctoral subject is assured. The doctoral committee may admit the applicant with the condition that he or she provide certain graded course assessments within a certain period of time, that are required for university studies as per para. 1 or in addition to the education evidenced by the application for the desired doctorate.

(4) If the degree was conferred by a Fachhochschule [University of Applied Sciences], the respective qualification must be proven pursuant to Section 35, para. 3 BerHwG with a final exam at a Fachhochschule in a study course essential for a doctorate from the Department of Business and Economics of Freie Universität Berlin with the best possible grade available according to the grading scale of the respective examination regulations. The doctoral committee will decide on a case by case basis, if it wants to proceed in accordance with para. 2 or para. 3.

(5) A university degree from a university outside the Federal Republic of Germany is also considered a university degree equivalent to those in para. 1. If the Central Office for Foreign Education Systems, which is part of the Standing Conference of Ministers of Education and Cultural Affairs [Zentralstelle für ausländisches Bildungswesen beim Sekretariat der Ständigen Konferenz der Kultusminister der Länder in der Bundesrepublik Deutschland] does not list this university degree as an equivalent degree, an equivalency confirmation must be obtained from this office. If the Central Office for Foreign Education Systems does not provide an assessment of the grading of the foreign university degree, the doctoral committee shall certify that this final university degree grade is comparable to university degree with a grade of at least "good". If equivalency is not determined, the doctoral committee shall determine if, pursuant to the provisions under para. 3, equivalency can be established.

§ 4

Admission to Doctoral Procedure

(1) To be admitted to the doctoral procedure, the candidate must submit the work title and work schedule for the dissertation project, which must pertain to a subject area that is represented by at least one professor from the Department of Business and Economics. The project should be approved by at least one professor from the Department. The applicant must suggest a supervisor, who represents the subject area and who is willing to take on this responsibility. If appropriate and requested, also visiting professors can become actively involved in the doctoral procedure as supervisors and/or reviewers; the doctoral committee shall decide their involvement on a case by case basis. This provision also applies respectively to Sections 7, para. 1; 8, para. 1 and 2; Section 10, para. 2 and 6; 11, para. 3. If the applicant fulfills all requirements, he or she shall be admitted to the doctoral procedure, once
the supervision of the doctoral project is assured (Section 8).

(2) Notwithstanding para. 1, an already completed dissertation can be submitted under exceptional circumstances, if the subject area the dissertation deals with is represented by at least one professor from the Department of Business and Economics, and if this professor is prepared to assess the dissertation, provided, however, the dissertation has not been submitted in its current or another version within the context of another doctoral procedure. Dissertations that were graded as "non rite (insufficient) cannot be used as the basis of a doctoral procedure.

(3) Applications for admission to the doctoral procedure must be sent to the chair of the doctoral committee of the Department of Business and Economics. The application must be accompanied by all required documentation, certificates, and, if applicable, additional proof of qualification in the subject area the applicant wants to earn a doctorate in, as well as a written statement on if, and, if applicable, when another application for admission to a doctoral procedure was submitted to another department of Freie Universität Berlin or another scientific university.

(4) The doctoral committee usually decides immediately on applications for admission to doctoral procedures, if possible within one month. The reasons for a rejection must be provided in writing.

§ 5
Registration as Doctoral Candidate

(1) Doctoral candidates, who are not already members of Freie Universität Berlin because they work for the university or are enrolled in a study program, must register or enroll as a doctoral candidate at Freie Universität Berlin.

(2) If the candidate does not register within the time period provided in the notice of admission to the doctoral procedure and/or the grace period, the admission to the doctoral procedure shall expire. This does not, however, preclude a new application for admission to the doctoral procedure.

§ 6
Joint Doctorate with Foreign Institutions

(1) The doctoral procedure can be carried out jointly with foreign universities or similar educational institutions, if:

a) The applicant meets the requirements for admission to the doctoral procedure of the Department of Business and Economics of Freie Universität Berlin, and

b) The foreign university or equivalent educational institution has the right to grant doctorates in accordance with its national legal regulations, and the respective degree to be awarded would have to be recognized as a doctoral degree within the context of the Framework Act for Higher Education.

(2) The departments, faculties, or equivalent institutions must enter into an agreement stipulating how the joint doctoral procedure should, on a case by case basis and generally be carried out. These agreements apply in addition to the provisions of these rules and regulations. The equivalency with the respectively applicable provisions of these rules and regulations must be guaranteed with regard to requirements and procedures.

§ 7
Dissertation Project

(1) The candidate is free to choose the topic of the dissertation, but should do so in consultation with the professor who is to supervise the project. Generally, the dissertation project should be completed within four years (normal doctoral period). Should a doctoral candidate exceed the normal doctorate period, he or she must present a statement from the doctoral committee to the university administration indicating the status of the dissertation and the amount of time the candidate probably still requires. If the statement is not submitted within three months of the doctoral candidate having been asked to do so for reasons the doctoral candidate is responsible for, the admission to the doctoral program shall expire.

(2) If the dissertation is written in a language other than German or English (Section 9, para. 2), the work schedule must include a respective request and the reasons for doing so. Other foreign languages are permitted, if they are commonly used in the international literature of the subject area, and a subject-related supervision and review can be guaranteed by the Department of Business and Economics. The doctoral committee shall decide on the issue, if a respective request is submitted.

§ 8
Supervision of the Dissertation Project

(1) Usually, a dissertation project is supervised by a professor from the Department of Business and Economics. This professor shall provide the doctoral candidate and the doctoral committee with a statement indicating that he or she is willing to supervise
the dissertation project for its entire duration. If the supervisor or the doctoral candidate feel compelled to terminate the supervisory relationship while the project is ongoing, they must immediately inform the doctoral committee and state the reasons. If a supervisor leaves Freie Universität Berlin, the supervisor shall be entitled to complete the supervision of a commenced dissertation and to remain a member of the doctoral commission. The doctoral committee shall also advise applying doctoral candidates with regard to scholarships or other assistance.

(2) Notwithstanding para. 1, the doctoral committee can also, upon request, grant persons the right to be involved in certain doctoral procedures as supervisors, reviewers, or examiners, if these persons have a scientific qualification that is equivalent to the qualification of an active, full-time professor of the department.

(3) Should, pursuant to Section 4, para. 1, sub-para. 3, a full-time professor of the Department be suggested as a supervisor, who was released from his or her duties or has retired, the doctoral committee shall, in consultation with the applicant, appoint an active full-time professor of the department as a second supervisor.

(4) If warranted, the doctoral committee may also appoint professors who are not associated with the Department. The doctoral committee shall appoint a full-time professor from the Department to support the external supervisor. External supervisors must also guarantee proper supervision if their professional activities take place mainly outside of the State of Berlin, and must, in particular, ensure personal contact with the doctoral candidate.

(5) If warranted and if the persons involved agree, other professors can participate in a doctoral project, especially professors from a Fachhochschule.

(6) The supervisor must make him or herself adequately available to the doctoral candidate to advise the candidate and to discuss the dissertation project.

(7) Should an applicant apply for admission to the doctoral procedure without naming and selecting a supervisor as per Section 4, para. 1, the doctoral committee shall, together with the applicant, try to find a professor from the department, who is qualified to supervise the project. If it is not possible to find a professor from the department, who would be willing to supervise the project, the candidate can only be admitted to the department's doctoral procedure, if the dissertation’s supervision is assured.

(9) Prior to finalizing the dissertation, the doctoral candidate should have the opportunity to discuss the methods that were used within the context of seminars, colloquia, or conferences.

§ 9
Dissertation

(1) The written doctoral work shall prove the candidate’s qualification for independent in-depth scientific work and should strive to constitute an advancement of scientific findings.

(2) The written doctoral work to be submitted in German or English may consist of:

a) An unpublished or completely or partially published paper that must contain an integrally closed presentation of the research and its results. Prior publications are only allowed if jointly agreed upon by the doctoral candidate and the supervisor.

or

b) A cumulative paper. At least three professional articles must be submitted, and the topics of the articles must be connected. The doctoral candidate must submit a separate paper that explains how the topics of the articles are connected. This paper, in conjunction with the submitted professional articles, constitutes the dissertation. The doctoral committee must be advised of the topic of the dissertation as a whole, the titles of the respective articles, and the names of co-authors.

(3) Regarding written doctoral work pursuant to para. 2 that was developed in cooperation with other scientists, the part of the doctoral student must be clearly defined and assessable. The doctoral candidate must outline in detail the part he or she has played in the design, execution, and drafting of the research findings.
(4) The doctoral candidate must reference all resources and aids that were used and assure that the paper was authored independently on this basis. The paper cannot have been accepted within the context of an earlier doctoral procedure or graded as insufficient. In the event of doubt, papers from earlier doctoral procedures must be submitted for comparison purposes.

(5) The dissertation’s title page must include the author’s name, list the Department of Business and Economics of Freie Universität Berlin and the year of submission. It must also include a cover page for the names of the reviewers. The appendix must include summaries of the results in German and English and a list of prior publications that have resulted from this dissertation. Subject to the doctoral candidate’s approval, it should also include a short resume of the doctoral candidate.

(6) The dissertation must be submitted in three printed copies. Each reviewer shall be provided with one copy, and one copy shall remain with the department and shall be archived. Previous publications of parts of the paper must also be submitted as reprints in triplicate.

§ 10

Dissertation Assessment

(1) The doctoral committee usually appoints two reviewers immediately upon receipt of the dissertation.

(2) As a general rule, the supervisor of the dissertation project is appointed as the primary dissertation reviewer. Together with this reviewer and the doctoral candidate, the doctoral committee shall appoint another reviewer, who must be a professor. At least one reviewer must be a professor and a member of the Department of Business and Economics. If requested by the reviewer or the doctoral candidate, the doctoral committee may appoint a professor as another reviewer in the event of grading discrepancies or if the topic of the dissertation seems to require such a step. The provisions of sub-paragraphs 1-4 apply accordingly to persons listed in Section 8, para. 2 - 5.

(3) If, as part of the admission to the doctoral procedure as per Section 4, para. 2, an already completed dissertation is submitted, the doctoral committee shall appoint the reviewer in accordance with para. 2. The doctoral candidate must agree with the appointment of a reviewer.

(4) The reviewers’ opinions must be submitted within three months of having been commissioned. Failures to observe the time limit must be justified to the doctoral committee in writing. The opinions must be treated confidentially, until the doctoral procedure has been completed. The opinions must recognize the importance of the dissertation topic in a larger context, honor the results of the paper, and outline any deficiencies. If a reviewer notices deficiencies in the paper that can or must be addressed, the reviewer must describe these in the opinion in detail. Each reviewer must write a final overall assessment, in which the paper is graded pursuing to the grading system described in Section 12, para. 2.

(5) If the reviewers have significant differences of opinion, the doctoral committee must appoint another, possibly external reviewer.

(6) After the review has been completed, the dissertation must be laid open for two weeks in the Department of Business and Economics. Any member of the faculty council qualified to supervise dissertations as per Section 8, para. 1 may review the dissertation and the opinions and submit comments that must be included in the doctoral documentation. The doctoral committee must inform this group of people when a dissertation has been laid open. The doctoral commission can appoint a professor as an additional reviewer on the basis of comments as per sentence 2.

(7) As long as no opinion has been submitted, the doctoral candidate may withdraw from the procedure or may withdraw the paper. The procedure shall then no longer be regarded as a doctoral procedure.

§ 11

Doctoral Commission

(1) After the opinions have been submitted, the doctoral committee shall appoint the members of the doctoral commission for the doctoral procedure in question.

(2) The tasks of the doctoral commission are as follows:

a) Assess the dissertation on the basis of the submitted opinions,

b) Schedule and conduct the oral exam.

c) Grade the oral exam,

d) Calculate the final grade.
(3) The doctoral commission consists of four professors and one doctoral candidate admitted to the Department of Business and Economics in an advisory capacity. The suggestions of the doctoral candidate should be taken into consideration when establishing the commission. The doctoral commission must include at least one reviewer. The doctoral commission should not include more than one professor, who was relieved of his or her duties or who had retired. The meetings of the doctoral commission are not open to the public.

(4) Within the context of interdisciplinary doctoral procedures, other departments must be adequately taken into consideration when forming the doctoral commission.

(5) The decisions of the doctoral commission are only valid after all voting members have cast their votes. Abstentions are not allowed. If one member has to leave the commission, the doctoral committee shall replace this member accordingly.

(6) The doctoral commission shall appoint a chairperson from its midst, and shall also appoint a secretary.

§ 12
Dissertation Assessment

(1) The doctoral commission shall grade the dissertation on the basis of the submitted opinions prior to scheduling the oral exam.

(2) The following grading system is to be used to assess the dissertation:
- Summa cum laude (outstanding)
- Magna cum laude (very good)
- Cum laude (good)
- Rite (sufficient)
- Non rite (insufficient)

To further differentiate the assessment, the grades can be increased (“melius quam”) or decreased (“peius quam”). The grades “melius quam summa cum laude” and “peius quam rite” are excluded.

(3) If the doctoral commission does not grade the dissertation on the basis of the submitted opinions with at least “rite (sufficient)”, the doctoral commission shall declare the doctorate as not passed, and shall not schedule an oral exam.

(4) If the dissertation has been graded with at least “rite (sufficient)”, the doctoral commission shall schedule the time and date of the oral exam together with the doctoral candidate. It should take place no later than four weeks after the period of time during which the dissertation is laid open in the department. The members of the doctoral committee may attend oral exams. Oral exams are open to the university, unless the doctoral candidate objects.

§ 13
The Oral Exam

(1) The purpose of the oral exam is to prove the ability of the doctoral candidate to verbally explain and discuss scientific problems associated with the doctoral subject and to defend the dissertation against criticism. The oral exam may be conducted in German or in English.

(2) The oral exam begins with a 30 minute presentation, during which the doctoral candidate explains the results of the dissertation and their significance within a larger subject-related context. Subsequently, the doctoral candidate defends the dissertation against criticism and answers questions from members of the doctoral commission. All questions should relate to a placement of the dissertation’s problems into larger scientific contexts. The exchange must take at least 30 minutes, but no longer than 60 minutes.

(3) If the room is not sufficiently quiet to permit a scientific exchange, the person in charge of the oral exam must exclude the public.

(4) Should the doctoral candidate miss the oral exam without a valid excuse or should he or she wish not to take the exam, it shall be graded as “non rite (insufficient)”. The decision not to take the exam must be submitted in writing.

§ 14
Decisions on the Oral Exam and Final Grade

(1) Following the oral exam, the doctoral commission shall assess and grade the oral exam in a closed meeting pursuant to Section 12, para. 2. If the oral exam is not graded with at least "rite (sufficient)", it shall be declared as not passed.

(2) The dissertation is more important for the final grade.

(3) Following the discussion, the person responsible for the oral exam shall inform the doctoral candidate of the results of the individual parts of the doctoral work and the final grade in accordance with the following grading system:
- Summa cum laude (outstanding)
- Magna cum laude (very good)
- Cum laude (good)
- Rite (sufficient)
(4) The opinions and the minutes are part of the doctoral documentation and shall remain with the Department of Business and Economics.

(5) If also the oral exam is graded as at least "rite (sufficient)", the doctoral candidate will be issued an interim certificate.

§ 15
Repeat Procedures

(1) The doctoral procedure cannot be repeated, if the dissertation was not graded at least with "rite (sufficient)".

(2) If the oral exam was graded with "non rite (insufficient)", it can be repeated one time, at the earliest after three months, at the latest after six months.

(3) If this period as per para. 2 is exceeded, the right to a second exam is waived, unless the doctoral candidate is not responsible for the failure to retake the exam.

§ 16
Discontinuation of the Procedure, New Doctoral Procedure

(1) If more than six years have passed since the candidate was admitted to the doctoral procedure, the doctoral committee may discontinue the procedure after having previously obtained the written approval of the supervisor and having heard the doctoral candidate. The discontinuation notification must include reasons. It is issued in writing by the chair of the doctoral committee. This does not, however, preclude a new application for admission to the doctoral procedure.

(2) If the doctorate is not passed as per Section 15, admission to a new doctoral procedure may be applied for, but the new dissertation cannot be submitted until after one year has passed.

§ 17
Doctoral Certificate

(1) A doctoral certificate will be issued in German.

(2) It must contain the following:
1. The name of the university and the department,
2. The conferred doctoral degree,
3. The name of the doctor,
4. The title of the dissertation and its grade,
5. The grade of the oral exam,
6. The final grade of the doctorate,
7. The date of the oral exam,
8. The signature and name of the dean,

(3) The date of the doctorate is the date of the oral exam.

(4) The doctoral certificate will be issued after the submission provisions as per Section 20 have been fulfilled. The doctoral certificate entitles its owner to use the doctoral degree.

§ 18
Publication of the Dissertation

(1) The dissertation is to be published within two years after the oral exam and must include all changes that were approved by the reviewers and the number of copies named in Section 20 must be submitted free of charge to the department administration, which will make sure that all copies not remaining with the department are immediately forwarded to the university library.

(2) If the doctoral candidate can prove that publication is ensured by a commercial publishing house (Section 19, No. 1), the submission period can be extended by one year at the most. Under justified circumstances, another extension by one more year at the most is possible.

(3) If the doctoral candidate does not comply with the deadlines listed under 1 and 2, the doctoral procedure shall be closed without the award of an academic degree.

(4) A dissertation published by a commercial publishing house must indicate that it is a dissertation of Freie Universität Berlin. Copies published in a different manner must comply with the form requirements of Section 9, para. 5 and must list the names of the reviewers and the date of the oral exam.

(5) Papers that were published completely or to a significant extent and published individual papers of a cumulative paper must be published within the context of a doctoral procedure. Further details can be found in the implementation regulations of the Department of Business and Economics.

§ 19
Publication Format

The following publication formats are allowed for publications:
1. Publication by a commercial publishing house as a monograph, if a minimum circulation of at least 150 copies can be proven,
2. Publication in a journal,
3. Publication through the doctoral candidate in the form of a letterpress print or picture print,
4. Publication by the doctoral candidate in the form of a microfiche, if this was approved by the doctoral committee,
5. Regarding dissertations consisting of a text section and a table section: publication of the text section in letterpress print or picture print, and of the table section in the form of microfiches.
6. Publication by the doctoral candidate in an electronic format, if this was approved by the doctoral committee.

§ 20 Submission Provisions
(1) If a dissertation is published by a commercial publishing house (Section 19, No. 1) or in a journal, 10 copies must be submitted.
(2) The dissertation copies to be submitted pursuant to para. 1 must be accompanied by copies of the original title page, the dissertation’s cover page, and a resume (Section 9, para. 5, sub-para. 3).
(3) If the doctoral candidate publishes the dissertation him or herself in letterpress or picture print (Section 19, No. 3), 80 copies must be submitted. If the dissertation is published in the form of microfiches (Section 19, No. 4), an original copy and three copies of the dissertation in reproducible typescript must be submitted in addition to 50 microfiches. If the doctoral candidate publishes the dissertation him or herself in the form of a letterpress or picture print or in the form of microfiches, the doctoral candidate shall grant Freie Universität Berlin the right to produce and distribute additional copies and/or microfiches.
(4) If the table section of a dissertation is reproduced in the form of microfiches (Section 19, No. 5), a negative film of the images must be submitted in addition to the original fiche and the 50 copies. This also applies, if the entire dissertation as per Section 19, No. 4 is replicated in the form of microfiches.
(5) If the dissertation is published in an electronic format (Section 19, No. 6), the data format and data carrier must be coordinated with the university library. In addition, five copies must be submitted in reproducible typescript.

§ 21 Non-Compliance with Doctoral Provisions, Revocation of Doctoral Degree
(1) If it is learned before the doctoral certificate is presented to a candidate that

1. the doctoral candidate
   a) Is not worthy of a doctoral degree, or
   b) Has been untruthful with regard to important requirements for the conferment of the doctoral degree
2. The fulfillment of essential requirements for the conferment of the doctoral degree had erroneously been assumed without the situation described under 1 being the case,
the doctoral committee shall, subject to a decision of the doctoral committee to the contrary, not present the doctoral certificate and declare the entire exam as not passed.
(2) The revocation of a doctoral degree is governed by the applicable legal provisions.

§ 22 Honorary Doctorate
The faculty council can, if requested to do so by at least three professors of the Department of Business and Economics confer the degree of Honorary Doctor of Economic Sciences (Dr. rer. pol. h. c.) for outstanding scientific work in a field that is represented by the department. The faculty council must appoint a doctoral commission as per Section 11, para. 3, which shall submit an expert opinion assessing the doctoral work. The decision of the faculty council requires the approval of the majority of its members entitled to a doctoral degree.

§ 23 Legal Effectiveness and Interim Regulations
(1) These doctorate rules and regulations shall become effective one day after their publication in the Communications (official register of Freie Universität Berlin). Concurrently, the doctorate rules and regulations pertaining to the Dr. rer. pol. of the Department of Business and Economics dated January 27, 1993 (FU Communication 28/1993), most recently amended on May 23, 2007 (FU Communication 49/2007), shall become invalid.
(2) With regard to doctoral procedures that were commenced prior to these doctorate rules and regulations becoming effective, the doctorate rules and regulations dated January 27, 1993 (FU Communication 28/1993) most recently amended on May 23, 2007 (FU Communication 49/2007) shall apply, as long as an interim period of four years after these rules and regulations have become effective is not exceeded. Section 18 of these rules and regulations also applies to all procedures that have not yet been concluded pursuant to the former rules and regulations.