

Doctoral degree regulations of the Faculty of Economics and Social Sciences, University of Tübingen

On 29 September 2022 the University of Tübingen Senate passed the following doctoral degree regulations in accordance with § 38 (4) sentence 1 of the Landeshochschulgesetz (LHG) of 1 January 2005, most recently amended by article 7 of the regulation of 21 December 2021 (GBl. 2022 p.1); the regulations were approved by the President on 06.10.2022.

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§ 1 Goals and types of doctorate

(1) ¹⁾ The goal of a doctorate under paragraphs 2 and 3 is qualification in a research discipline, primarily in an academic environment but possibly also in a non-academic environment. ²⁾ That includes a systematic understanding and mastery of the skills and methods of this research discipline as well as a comprehensive knowledge of the relevant literature. A candidate has demonstrated a systematic understanding if he/she can independently identify academic problems, can carry out critical analysis, development and synthesis of new and complex ideas and can incorporate these processes into the social, academic, and cultural context. ³⁾ Following a successful doctorate, the doctor must have obtained the ability to plan and conduct significant research projects independently and with academic integrity, particularly as the head of a research team. This requires competency in discussion of knowledge in the doctor's special field with colleagues in the discipline, the ability to present such knowledge to an academic or general public audience, as required.

(2) The University of Tübingen's Faculty of Economics and Social Sciences confers the academic title of Dr. rer. soc., Dr. rer. pol., Dr. rer. nat., or Dr. phil. in one of the subjects it represents on the basis of a scholarly work (doctoral thesis) and an oral defense

(3) ¹⁾ Under the regular procedure, a doctoral thesis based primarily on the social sciences leads to the awarding of the degree of Dr. rer. soc.; a doctoral thesis based primarily on business or economics leads to a degree of Dr. rer. pol.; a doctoral thesis of a primarily scientific nature leads to a degree of Dr. rer. nat.; and a doctoral thesis primarily based on the humanities leads to a degree of Dr. phil. ²⁾ In cases of doubt, the doctoral examination committee will make the decision.

(4) ¹⁾ The Faculty of Economics and Social Sciences may confer the honorary academic title Dr. rer. soc. h.c. or Dr. rer. pol. h.c. for special services to academia. ²⁾ The application must be considered by the doctoral examination committee at two different meetings: A first meeting is for registration and appointment of an examination board; at the second, there is a report, discussion and a resolution. ³⁾ The resolution requires a majority of three-quarters of the members of the doctoral examination committee. ⁴⁾ The honorary doctorate takes effect upon presentation of the doctoral certificate, in which the recipient's special services to academia are to be set out.

§ 2 Doctoral examination committee

(1) ¹⁾ All decisions not expressly covered by these doctoral degree regulations are to be made by the doctoral examination committee. ²⁾ The head of the doctoral examination committee is the Dean or the member of the Faculty board who is responsible for doctorates. ³⁾ Insofar as no decision on the assessment of doctoral work is being made, the doctoral examination committee can authorize the committee head to make decisions generally or in specific cases. ⁴⁾ For decisions delegated to the head of the doctoral examination committee by these doctoral degree regulations or under sentence 3 above, the examination committee may make recommendations.

(2) ¹⁾ The doctoral examination committee is made up of the Dean as committee head, the Vice-Dean of Research as deputy head, and five members appointed from the School of Business and Economics, and one member appointed from each of the seven institutes in the Social Sciences department. The head of the committee may call upon up to two further persons with close links to the subject as defined under para. (2) sentences 1 and 2; these persons shall each have the right to cast a vote. ²⁾ Members of the faculty's full-time teaching staff are eligible (§ 44 (1) no.1 in conjunction with § 9 (1) sentence 3 LHG) ³⁾ The elected members of the doctoral examination committee are elected by the faculty council. ⁴⁾ Their term of office is three years. ⁵⁾ If an elected member withdraws before the end of his/her term of office, a new member is elected for the remainder of the term of office.

(3) The doctoral examination committee has a quorum if at least half of its members are present. If a member informs the committee head in good time before the meeting of a plausible reason for his or her inability to attend, the non-attendance shall be deemed to be excused.

(4) Doctoral examination committee meetings are held *in camera*. The invitation to the meeting of the doctoral examination committee together with the agenda and attachments may also be sent to the members as an electronic document.

(5) ¹⁾ Decisions are passed with a majority of the votes, unless otherwise agreed. ²⁾ In the event of a tie, the committee head's vote decides the matter. ³⁾ Voting is usually done by a show of hands, if the doctoral examination committee does not decide to hold a secret ballot. ⁴⁾ Abstention from voting is not permitted. ⁵⁾ If the committee is deciding on the assessment of doctoral theses, the minutes must record not only the result of the vote and where appropriate the processes of opinion formation and voting, but also how many members decided upon the basis of which examiner's report or objections or parts thereof. In accordance with § 93 LVwVfG, minutes must be taken of each decision by the doctoral examination com-

mittee under these regulations; this record must be signed by the committee head and, if applicable, by the person taking the minutes. If the minutes are filed electronically in the form of public electronic documents, the printout of the public electronic document provided with a certification note shall have the same probative value as a certified copy of the minutes.

(6) ¹⁾ Those involved are obliged to maintain confidentiality. ²⁾ This obligation also extends to confidentiality regarding all associated documents.

(7) The Dean or Vice-Dean of Academic Affairs assumes the role of ombudsman under § 38 (4) LHG.

§ 3 Prerequisites for doctoral studies

(1) ¹⁾ The prerequisite for acceptance as a doctoral student and for admission to the doctoral qualification process is usually, notwithstanding the further requirements under § 5, a degree successfully completed at an academic institution of higher education in Germany in

1. a Master's Degree program or
2. a degree course at a University, a college of Education or Art with at least a four-year regular duration of study or
3. a graduate program following on from Bachelor's Degree studies at a University, a college of Education or other institution of higher education with the right to confer doctorates.

²⁾ The final examination must have been completed with a grade of "good" or "very good." ³⁾ A person who has completed a study program with an overall grade of "satisfactory" at a German institution of higher education may be admitted to doctoral studies if the subject matter of the Master's thesis or other written work examined for that study program belongs within the Social Sciences or Economics, and the relevant written work was graded "good" or better.

(2) ¹⁾ If you did not major in the subject in which you plan to take a doctorate, you will usually be required to complete additional coursework and assessment of 30-60 ECTS credits in your doctoral subject at the University of Tübingen. ²⁾ The doctoral examination committee will decide on the details.

(3) ¹⁾ Other final examinations completed at institutions of higher education in Germany may be recognized as equivalent to a final examination in the applicant's desired subject if a substantial part of them is also part of that doctoral subject or is otherwise closely linked to the doctoral subject and a member of the doctoral examination committee approves. ²⁾ With regard to the overall grade of this final examination, paragraph (1) sentences 2 and 3 above apply.

(4) ¹⁾ Degrees from institutions of higher education outside Germany may be recognized if they are equivalent. ²⁾ Regarding the equivalency of international degrees, the committee will draw upon the Equivalency Agreements approved by the Standing Conference of the Ministers of Education and the German Rectors' Conference as a basis for decision. ³⁾ If there are doubts about equivalency, the relevant authority (Zentralstelle für ausländisches Bildungswesen) may be consulted. ⁴⁾ If subsequently there are still doubts about equivalency, an oral exam may be held to establish whether the candidate is qualified to carry out doctoral studies in the relevant subject. ⁵⁾ In this examination, the candidate must demonstrate that he/she has knowledge of a standard equivalent to German final examinations. ⁶⁾ The applicant is to be examined by two members of the F

(5) Faculty's full-time teaching staff (§ 44 (1) no. 1 in conjunction with § 9 (1) sentence 3 LHG) appointed by the committee head. ⁷⁾ This exam takes approximately 45 minutes and may be conducted in English upon application by the applicant. ⁸⁾ The applicant has passed if his/her performance is given a "pass" grade by both examiners. ⁹⁾ If the applicant's performance is given a "fail" grade by at least one examiner, the exam may be attempted one more time.

(6) ¹⁾ Highly qualified holders of a diploma from a university of applied science or cooperative education will be admitted to doctoral studies if screening shows that they are qualified to carry out academic work in the doctoral subject at the same level as university graduates. ²⁾ The same goes for highly-qualified holders of a Bachelor's degree from an academic institution of higher education not covered under § 3 (1). ³⁾ A very good final grade (1.5 or better) is required for admission to the screening process; the applicant must have been among the top ten percent of his/her graduating year at the institution of higher education or university of cooperative education he/she was enrolled in at the time of his/her final examination. The applicant must provide documentation of this from the relevant institution. ⁴⁾ The screening process usually encompasses coursework and assessment of 60 ECTS credits, including an assignment to be completed over two months on a different topic from that of the final thesis. ⁵⁾ The doctoral examination committee decides on the assessment to be carried out in this period, on the recommendation of the supervisor, where appropriate.

(7) ¹⁾ The applicant must demonstrate sufficient knowledge of the German or the English language. ²⁾ The doctoral examination committee will decide in what form this language proficiency must be proven, either generally or on a case-by-case basis.

§ 4 Acceptance as a doctoral candidate and maximum duration of doctoral studies

(1) ¹⁾ A student who meets the requirements under § 3 and intends to complete a doctoral thesis must apply to the Faculty for acceptance as a doctoral candidate, giving details of his/her planned thesis topic. ²⁾ The application must be made at the start of the doctoral project at the University of Tübingen; supervisors must ensure this is done.

(2) ¹⁾ The application must include:

1. details of the subject in which the doctorate is to be obtained,
2. the preliminary title of the planned thesis,
3. the name of the applicant's desired supervisor as well as the supervisor's declaration of willingness,
4. the name of a second supervisor as well as his/her declaration of willingness,
5. details of any doctoral program in which the candidate will be taking part, if relevant.

²⁾ The application must also include proof that the requirements under § 3 have been met.

³⁾ The doctoral student and the supervisors are to sign a written supervision agreement under § 38 (5) LHG, as amended. A copy of this must be included with the application.

(3) ¹⁾ A candidate may be granted qualified admittance until all necessary documentation has been submitted in accordance with § 2 (1). ²⁾ A candidate may be granted qualified admittance until all necessary documentation has been submitted. ³⁾ Acceptance will be attested in writing.

(4) ¹⁾ An application for admittance as a doctoral candidate will be rejected if the requirements under § 3 and/or § 4 (2) are not met, if the planned topic is clearly inappropriate for a doctoral thesis, or if no Faculty member with an obligation to supervise is able to supervise the candidate. ²⁾ The reason for the rejection of the application must be given in writing, along with information on the right to appeal. ³⁾ Approval will also be denied if there is a reason to do so under § 7 nos. 5 - 11. The necessary documentation and declarations must be submitted in writing by the candidate.

(5) ¹⁾ The head of the examination committee will assign an academic supervisor to the doctoral student. Usually this will be the supervisor foreseen under paragraph (2) no. 3. ²⁾ The head of the examination committee must also assign a second supervisor, who may be the supervisor named in paragraph (2) no. 4. ³⁾ If the head of the examination committee does not wish to comply with the doctoral student's wish, the doctoral examination committee will make the decision.

(6) ¹⁾ At least one of the supervisors must be a university teacher qualified in the doctoral

subject according to § 44 (1) no. 1 LHG and as such a member of the faculty's full-time staff (§ 9 (1) sentence 3 LHG).²⁾ Furthermore, professors of other University of Tübingen Faculties, professors of universities of applied science, retired or emeritus professors, academics with habilitation (Privatdozent), extraordinary professors, adjunct professors, and visiting professors, as well as qualified members of the Faculty of Economics and Social Sciences at the University of Tübingen, professors from universities of Applied Science or the Cooperative State University, or appropriately qualified members of other academic institutions of higher education in Germany or abroad, may be appointed. University professors of institutions of higher education without the right to award doctorates, with which the Faculty cooperates in doctoral examination process, may be associated for a limited period of time for the duration of a doctoral examination process under § 38 (6a) LHG.³⁾ Under exceptional circumstances, the doctoral examination committee may assign the task of supervision to other persons (usually junior research group leaders) with a doctoral qualification.⁴⁾ Supervisors not belonging to the Faculty of Economics and Social Sciences Faculty must be approved by the doctoral examination committee.

(7) ¹⁾ If the doctorate is being carried out within the framework of a doctoral program, the candidate may be required to additionally take part in a structured course of doctoral studies. ²⁾ The details are regulated in the articles of the relevant doctoral program, which must be approved by the doctoral examination committee.

(8) ¹⁾ Acceptance as a doctoral student may be retracted if the application for admission to the doctoral qualification process under § 5 is not submitted within five years; the student must first be heard. ²⁾ If acceptance is revoked, the right to be enrolled as a doctoral candidate ends.

(9) If a supervisor leaves the faculty due to retirement or relocation to another university, the supervisory relationship may be continued until the end of the candidate's doctoral process, if all parties agree. If the supervisor dissolves the supervisory relationship or the supervisor's term of employment ends (temporary professorship, assistant professorship), the doctoral examination committee is to find another supervisor for the applicant, upon his/her application, insofar as a supervisor in the applicable field is available and prepared, according to his/her personal and academic assessment, to enter into a doctoral-supervisory relationship with the applicant and to sign a written supervision agreement under paragraph (2) no. 3.

(10) Irrespective of paragraph (9) every supervisor has the right to unilaterally end the supervisory relationship for plausible reasons, particularly if, despite sufficient instruction and supervision, the candidate's lack of ability is demonstrated and a successful completion of the doctorate in a reasonable time can no longer be expected, or if the relationship of trust has been damaged or if the candidate changes his/her topic without authorization.

§ 5 Application for admission to the doctoral qualification process

(1) ¹⁾ Applications for admission to the doctoral qualification process must be made to the head of the doctoral examination committee. ²⁾ The application must include:

1. the title of the doctoral thesis,
2. the applicant's address in/near Tübingen and, if relevant, the applicant's home address,
3. the names of the thesis supervisors,
4. the names of the desired examiners,
5. the names of the desired examiners for the oral defense,

(2) The application must be accompanied by:

1. the thesis (§ 6) in German or English or in another approved language under § 6 (3) sentence 2, as three printed copies and on three data storage carriers along with the candidate's declaration that all copies are identical,

2. the written acceptance to doctoral candidacy under § 4 (3),
3. a curriculum vitae in German or English, showing the student's professional and academic development,
4. a declaration on any previous abandoned or completed doctoral qualification processes or relevant examination processes which the applicant has taken part in,
5. a declaration on whether the doctoral thesis submitted has already been published in part or in its entirety and whether it has ever been submitted in part or in its entirety as a doctoral thesis or any other piece of assessed work, and if so, when and where, in which subject and with what result,
6. a declaration containing the following:

"I hereby declare that the thesis I submit for my doctorate with the title: is my own independent work, that I used only the sources and resources cited and have clearly indicated all content adopted either word-for-word or in substance. I solemnly swear that this information is true and that I have not concealed any relevant information. I am aware that making a false declaration is punishable by a fine or by a prison term of up to three years."

In the case of § 6 (2) the declaration must be adapted accordingly and a declaration in line with § 6 (2) sentence 3 included.
7. a declaration by the applicant that his/her admission to the current doctoral qualification process was not the result of a commercial transaction. The applicant must specifically declare that he/she has not engaged any organization which accepts payment to seek supervisors to produce doctoral theses or which carries out in part or in its entirety the assessed work which it is incumbent upon the doctoral candidate to do. Furthermore, the applicant confirms that he/she is aware of the legal consequences of using a commercial thesis writing agency (exclusion from acceptance as a doctoral candidate and exclusion from admission to the doctoral qualification process, an end to the doctoral qualification process and annulment of the degree already held due to fraud under § 21).
8. a declaration on academically-related criminal convictions, disciplinary measures and pending criminal and disciplinary proceedings, insofar as the duty to disclose is not barred by § 53 of the applicable law (Bundeszentralregistergesetz).
9. if there are academically-related criminal convictions, a police clearance certificate issued no more than 6 months previously.
10. an identity card or passport or certified copy thereof must be presented.

(3) Until the decision on the doctoral thesis has been made under § 11 (4), (5) or (6), the application for admission to doctoral examination may be withdrawn by written declaration to the head of the doctoral examination committee without specifying reasons. As a result, the thesis would count as not submitted.

(4) The doctoral examination committee decides, at the suggestion of the supervisor where appropriate, which degree according to § 1 is to be conferred and ensures the subject-appropriate assignment of supervisors and examiners.

§ 6 Doctoral thesis

(1) ¹⁾ The doctoral candidate must demonstrate with his/her doctoral thesis that he/she is capable of independent academic work; the thesis must present the candidate's own research results - providing new academic insights - in an appropriate form and scope. ²⁾ Academic publications and manuscripts planned for publication may be incorporated; in this case too, a coherent overall concept in line with the topic must be shown.

(2) ¹⁾ If the doctoral thesis or parts of it are the result of collaboration, the applicant must have composed his/her contributions independently and on his/her own authority. ²⁾ His/her individual work must be clearly recognizable, and his/her contributions must be in accordance with the requirements of content and scope set out in paragraph (1). ³⁾ The applicant must outline

the framework of joint work, giving the names of any co-contributors and their share of the overall project as well as the significance of their contributions for the collaborative work.

(3) ¹⁾ The doctoral thesis must be written in German or English. ²⁾ Writing a thesis in any other language requires approval by the doctoral examination committee. ³⁾ In such cases a summary in German or English must be included.

§ 7 Decision on admission to the doctoral qualification process

(1) ¹⁾ The committee head usually makes a decision on admission within two weeks of the application being submitted. ²⁾ In case of doubt, he/she will call upon the committee to make a decision.

(2) Admission will be denied if:

1. the application is incomplete and the missing documents were not submitted on time even following a request for them,
2. the doctoral thesis submitted clearly does not meet the requirements set out in § 6,
3. the requirements set out in §§ 3, 4 have not been met,
4. the applicant meets conditions which would justify the withdrawal of his/her doctorate,
5. ¹⁾ the applicant has previously attained or unsuccessfully attempted to attain the same doctoral degree with the same classification (e.g. Dr. rer. soc., Dr. rer. pol., Dr. rer. nat., Dr. phil.) at the same faculty of this University, or ²⁾ the applicant is seeking to obtain a doctoral degree with a different or the same classification (which he/she has already obtained at another faculty of this or another university) and cannot document a degree in a further degree program according to § 3.
6. the doctoral thesis submitted has already been successfully or unsuccessfully submitted in a doctoral qualification process at this or another faculty or at another institution of higher education in Germany or abroad,
7. a second attempt under § 17 was concluded unsuccessfully
8. the applicant has already unsuccessfully completed more than one doctoral qualification process in the doctoral subject or in a comparable subject at this or another university.
9. it is established under § 17 that the applicant is not capable of independent academic work.
10. the applicant has successfully completed a habilitation in the subjects in which he/she seeks to complete a doctorate.
11. the police clearance certificate shows that the applicant has been convicted of academically-related crimes according to § 5 paragraph (2) nos. 8 and 9 and/or he/she was subject to disciplinary measures as a result and the applicant thereby offers no guarantee of appropriate academic behavior in the future.

(3) Admission may be deemed to be admission to repeat the process under § 17, if a doctoral qualification process or comparable procedure in the doctoral subject has been completed unsuccessfully.

(4) The decision on the application will be communicated in writing to the applicant without delay - in cases of rejection, including reasons and information on the right to appeal.

§ 8 Appointment of examiners

(1) ¹⁾ Once the applicant has been admitted to the doctoral qualification process, the head of the doctoral examination committee appoints at least two examiners without delay to assess the doctoral thesis. ²⁾ Without prejudice to § 4 (6) sentence 4, the doctoral examination committee will make the decision if the committee head does not wish to comply with the applicant's wish.

(2) ¹⁾ Examiners may be appointed from the group of persons named in § 4 (6). ²⁾ At least one of the examiners must be a university teacher qualified in the doctoral subject according to § 44 (1) no. 1 LHG and as such a member of the faculty's full-time staff (§ 9 (1) sentence 3 LHG), usually one of the supervisors. ³⁾ Examiners not belonging to the Faculty of Economics and Social Sciences Faculty must be approved by the doctoral examination committee. ⁴⁾ Examiners who are not members of the doctoral examination committee must be given the opportunity of a hearing if their decisions differ from the recommendations of the examiners' report.

(3) ¹⁾ In special cases, the doctoral examination committee may, in agreement with the doctoral candidate, release an examiner from his/her duties. ²⁾ In such cases, the doctoral examination committee will appoint a new examiner.

§ 9 Assessment of doctoral thesis

(1) ¹⁾ Examiners must produce a written examiner's report within three months. ²⁾ If this time limit is substantially exceeded, the committee head may appoint a different examiner, following consultation with the doctoral examination committee and without prejudice to other measures.

(2) ¹⁾ Examiners recommend whether to accept or reject a doctoral thesis or to send it back for revision (§ 10). ²⁾ The examiner's reports must contain:

1. a critical appraisal of the content,
2. a well-reasoned recommendation for acceptance or rejection of the doctoral thesis,
3. if the thesis is recommended for acceptance, a suggested grade from the following:

summa cum laude (excellent)	=	0
magna cum laude (very good)	=	1
cum laude (good)	=	2
sufficient (rite)	=	3.

³⁾ The grade 0 (excellent) may be downgraded by 0.3 using a minus sign; the grades 1 (very good), 2 (good) and 3 (sufficient) may be upgraded or downgraded by 0.3 using a plus sign or a minus sign.

4. If a rejection of the thesis is recommended, the grade is:

insufficenter (not sufficient)	=	4.
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(3) ¹⁾ If the examiners' reports have been submitted and differ by more than one grade or on whether to accept or reject the doctoral thesis, the head of the doctoral examination committee gives each examiner the other examiner's report to read, indicating that they may change their own reports within a period of four weeks. ²⁾ If the differences remain, the doctoral examination committee will appoint a further examiner.

§ 10 Revision of doctoral thesis

¹⁾ The head of the doctoral examination committee may send the thesis back for revision within a reasonable period of time, at the suggestion of an examiner and with the consent of the applicant. ²⁾ If the doctoral thesis is submitted once more, the later version becomes the object of a new process under § 9. ³⁾ The appointment of examiners under § 8 remains in place if no other decision is made. ⁴⁾ If the applicant does not comply with the time limit, the process will be continued with the doctoral thesis in the form which has been submitted, unless the applicant is not responsible for the time limit being exceeded.

§ 11 Grading of the doctoral thesis

(1) ¹⁾ Once the final examiners' reports have been submitted, the head of the doctoral examination committee communicates this without delay to all members of the committee. ²⁾ This communication must include the title of the doctoral thesis and the name of the author, the

name of the examiners and the grades they propose, as well as the start and end dates of the period in which the thesis will be made available for inspection (Auslagefrist).

(2) ¹⁾ The doctoral thesis, along with the examiners' reports, will be made available in the Dean's Office for inspection by members of the doctoral examination committee and by all full-time members of the Faculty's academic staff (§ 44 (1) no. 1 LHG). ²⁾ The thesis inspection period is 10 working days.

(3) ¹⁾ The members of the doctoral examination committee with voting rights and all full-time members of the Faculty's academic staff (§ 44 (1) no. 1 LHG) in the department (Fachbereich) are entitled to make an objection, in writing, to the examiners' appraisals or to request a formal discussion. ²⁾ Furthermore, they are entitled to propose that the thesis be sent back for revision; in such case, the matter proceeds in accordance with § 10. ³⁾ The applicant is entitled to inspect the examiners' reports and objections; he/she is also entitled to make a statement of his/her own. ⁴⁾ He/she may request that his/her statement is communicated to members of the doctoral examination committee prior to their deliberations.

(4) ¹⁾ If the examiners arrive at the same result and no objection is made and no formal discussion is requested, the examiners' proposals automatically become the result of the thesis appraisal. ²⁾ If all examiners propose acceptance of the doctoral thesis and if the proposed grades are not more than one grade apart, an average of the proposed grades is calculated, provided no objection is made and no formal discussion is requested. ³⁾ This average includes whole numbers and the first decimal place only; all further decimal places are deleted with no rounding.

(5) ¹⁾ If no decision is reached under paragraph (4), the doctoral examination committee decides on the grading of the thesis; it may resolve to obtain a report by a further examiner before reaching a decision. ²⁾ If an examiner's report or a written objection proposes rejecting the thesis, the decision will initially be made with regard to whether to accept the thesis or not; if so, a decision will then be made on the grade. ³⁾ The decision on the grade is brought about when each member of the doctoral examination committee submits a grade in accordance with § 9 (2) no. 3. The arithmetic mean is calculated from the grades submitted; this calculation takes into account whole numbers and the first decimal place only; all further decimal places are deleted with no rounding.

(6) ¹⁾ The acceptance or rejection of the doctoral thesis is communicated to the applicant without delay. ²⁾ If the thesis is rejected, the applicant has completed the doctoral qualification process unsuccessfully. ³⁾ In such case, the head of the committee gives the applicant written notification, giving reasons and including information on the right to appeal.

(7) One copy of the thesis goes on file at the Faculty along with all examiners' reports and any written objections and statements.

§ 12 Nature of the oral defense

¹⁾ The oral defense takes the form of an oral exam in which the applicant reports verbally on the main areas covered by his/her doctoral thesis and defends his/her work in a subsequent discussion with the members of the examination committee. ²⁾ He/she must answer questions on the methods and results of his/her work, the significance of the thesis topic and on related matters in the doctoral subject in a sound academic manner and respond to examiners' and examination committee members' fundamental objections. ³⁾ The applicant must be given the opportunity to inspect the examiners' reports and objections at least two weeks before the oral defense. ⁴⁾ The applicant decides whether the oral defense is to take place in German or English.

§ 13 Procedure for the oral defense

(1) ¹⁾ Once the thesis has been accepted, the head of the doctoral examination committee appoints at least three examiners to form an examination board and appoints one of them to be its head. ²⁾ The examiners are appointed from the group of persons named in § 4 (6). ³⁾ Usually the examiners of the thesis are appointed as examiners in the oral defense. ⁴⁾ At least two examiners must be members of the faculty's full-time teaching staff (§ 44 (1) no. 1 in conjunction with § 9 (1) sentence 3 LHG). ⁵⁾ The doctoral examination committee may decide to allow disciplines from outside the Faculty to be represented by an examiner, upon application by the candidate or by the head of the doctoral examination committee. ⁶⁾ § 8 (2) applies accordingly.

(2) ¹⁾ The head of the doctoral examination committee sets a date for the oral defense in consultation with the examiners and the candidate. ²⁾ It takes place at the earliest two weeks after the thesis inspection period (Auslagefrist) has ended; it should take place within twelve weeks of notification of the thesis grade. The doctoral candidate may apply to do it sooner or later if the examiners agree. ³⁾ If the applicant fails to appear at the appointed time, he/she fails the exam. ⁴⁾ If he/she fails to appear due to circumstances beyond his/her control, a new date will be set. ⁵⁾ If one of the examiners is absent or if no agreement is reached on the appointment of an examiner, the doctoral examination committee decides on the appointment of examiners.

(3) ¹⁾ The oral defense is moderated by the head of the examination board. ²⁾ The applicant's presentation should take approximately half an hour, the subsequent discussion an hour at most. ³⁾ An official record is to be kept of the oral examination proceedings and the determining of the grade.

(4) ¹⁾ All members of the Faculty may attend the oral defense as members of the audience, subject to the availability of seating. ²⁾ This attendance does not extend to consultations or the announcement of the examination result. ⁴⁾ If there is good cause, the head of the doctoral examination committee may exclude audience members upon the applicant's written application, which must include reasons. ⁴⁾ If there is good cause, the head of the doctoral examination committee may exclude audience members upon the applicant's written application, which must include reasons.

§ 14 Grading of the oral defense

(1) Following the discussion, the examiners meet in closed session and decide on a grade for the assessed work.

(2) ¹⁾ After this consultation, each examiner awards one of the grades listed under § 9 (2) or the grade 4 (insufficient). ²⁾ If the grades differ, the arithmetic mean is calculated from the grades submitted. ³⁾ As in § 11 (4) sentence 3, this calculation takes into account whole numbers and the first decimal place only. ⁴⁾ The candidate passes the examination if each examiner gives a grade of better than 4.0.

(3) ¹⁾ The applicant will then be informed of the final grade. ²⁾ If the examination is not passed, the head of the doctoral examination committee gives the applicant written notification, giving reasons and including information on the right to appeal - including the option of repeating the oral defense.

§ 15 Repetition of the oral defense

(1) ¹⁾ If the candidate fails the oral defense, he/she may repeat it once. ²⁾ The applicant must register for a repeat examination within twelve months. ³⁾ The head of the committee may extend this time limit in special cases. ⁴⁾ The repeat exam is carried out according to §§ 12 – 14.

(2) ¹⁾ If the candidate fails the repeat exam, he/she has completed the doctoral qualification process unsuccessfully. ²⁾ The head of the committee gives the applicant written notification, giving reasons and including information on the right to appeal.

§ 16 Overall grade

(1) ¹⁾ Following the successful completion of the oral defense, the head of the examination board determines the overall grade. ²⁾ It is calculated using the double-weighted grade for the doctoral thesis according to § 11 (4) sentences 2 and 3 and/or § 11 (5) sentence 3 and the single-weighted grade for the oral defense according to § 14 (2) sentences 2 and 3. ³⁾ Calculation of the overall grade takes into account whole numbers and the first decimal place only; all further decimal places are deleted with no rounding. ⁴⁾ The overall grade is defined as follows

average grade of 0.0 to 0.4:	summa cum laude (excellent),
average grade of 0.4 to 1.4:	magna cum laude (very good),
average grade of 1.4 to 2.4:	cum laude (good),
average grade of 2.4 to 3.5:	rite (sufficient).

⁵⁾ The applicant is notified of the overall grade by the head of the examination board.

(2) ¹⁾ The applicant receives written notification of the overall grade with which the examination process was successfully completed. ²⁾ This notification must also indicate that it does not confer the right to hold the title of doctor.

§ 17 Repetition of the doctoral qualification process

¹⁾ If an applicant's doctoral qualification process has been completed unsuccessfully, the applicant may apply to be re-admitted to the process if the doctoral examination committee does not decide, on the basis of the applicant's previous performance, that he/she is not capable of independent academic work. ²⁾ A new doctoral thesis must be submitted.

§ 18 Publication of the doctoral thesis

(1) ¹⁾ The applicant is obliged to publish his/her doctoral thesis within two years of the day on which he/she successfully defended the thesis. ²⁾ The applicant may apply to the head of the committee to extend this time limit, giving reasons.

(2) ¹⁾ Before going to print, the applicant must submit a written declaration to the head of the committee, stating whether the printed version differs from the version submitted along with the application for admission, and if so, to what extent. If the two versions differ, the supervisor must approve the changes; in his/her absence, the other supervisor or the head of the committee will do so; the changes must be approved if the differences are not substantial. ³⁾ The applicant may appeal to the doctoral examination committee if changes are rejected.

(3) ¹⁾ In special cases, the partial publication of a doctoral thesis may be permitted. ²⁾ This is to be decided by the doctoral examination committee.

(4) ¹⁾ The title page of the thesis must be in accordance with a template determined by the doctoral examination committee. ²⁾ At the end of the doctoral thesis, the author may reproduce the curriculum vitae submitted with the application for admission. ³⁾ If the doctoral thesis is published as an independent monograph by a commercial publishing house, in a journal or in electronic form, the title page must be affixed as a separate sheet to the deposit copies under (5) (see below). ⁴⁾ Prior to publication, the title page, and where appropriate also the foreword, dedication, and curriculum vitae must be submitted to the head of the committee for approval.

(5) ¹⁾ The obligation to publish and distribute the doctoral thesis is met,

1. when publication in a journal takes place in which case 5 deposit copies are to be delivered to the Dean's Office) or when a commercial publisher undertakes to distribute the

work via the book trade (as printed work, print-on-demand or e-book). In this case, 4 deposit copies must be delivered to the Dean's Office. Or

2. by the delivery of an electronic version in line with Tübingen University Library specifications to the University Library, together with three archive copies printed on aging-resistant, wood-free, acid-free paper and with permanent binding.²⁾ The title page must be in accordance with a template determined by the doctoral examination committee.³⁾ The doctoral candidate must ensure that the electronic version corresponds to the printed copies.⁴⁾ In the case of electronic publication, the applicant surrenders to the University of Tübingen the non-exclusive right within the framework of the University Library's statutory duties to produce and distribute further copies of the doctoral thesis and to make it available in data networks.⁵⁾ The doctoral candidate must be informed in writing beforehand that conceding this right may prohibit or impede publication of the thesis elsewhere at a later date.

(6) In special cases, a different form of publication may be permitted. This is to be decided by the doctoral examination committee.

(7) If the applicant evades his/her duty to publish or if he/she fails to deliver the required number of deposit copies within the time limit set, the doctoral examination committee may strip the doctoral candidate of all rights obtained via the examination.

§ 19 Issuing and presentation of the doctoral degree certificate

(1) ¹⁾ Once the applicant has delivered the deposit copies, the head of the doctoral examination committee has a doctoral degree certificate issued. ²⁾ It is in German and includes the thesis title and the overall grade in line with § 16 (1) sentence 4. ³⁾ The degree certificate is dated to the day on which the deposit copies were delivered and signed by the University President and by the Dean of the Faculty.

(2) ¹⁾ If the doctoral thesis is being published by a commercial publisher or in a journal according to 18 (5) no. 1, the head of the doctoral examination committee may authorize the issuing of the degree certificate prior to the delivery of deposit copies if publication is guaranteed within two years. ²⁾ The degree certificate is then dated to the date of the decision.

(3) An English translation of the degree certificate may be included upon application; the translation may include remarks on the content of the doctoral program.

(4) Upon presentation of the degree certificate, the doctorate is completed and the doctor is thereby entitled to hold the title of Doctor.

(5) The degree certificate may be renewed if at least 50 years have passed since it was issued; the wording will be changed accordingly.

§ 20 Special provisions for doctoral studies jointly supervised with a university outside Germany

(1) ¹⁾ The doctoral qualification process may be carried out with supervision performed jointly with a university outside Germany, if an agreement has been made with that university and approved by the doctoral examination committee. ²⁾ These doctoral degree regulations apply unless otherwise stated below.

(2) ¹⁾ The applicant is to be supervised by one academic teacher from each university involved. ²⁾ The supervisor from the university outside Germany is appointed second supervisor in the Tübingen doctoral qualification process; in his/her absence, another supervisor suggested by the non-German university is appointed. ³⁾ Under the agreement to be made according to (1) it must be ensured that the Tübingen supervisor or, alternatively, another member of the Faculty

participates in the doctoral qualification process at the university outside Germany.

(3) ¹⁾ If an equivalent oral defense takes place at the non-German university with the collaboration of the Tübingen supervisor or an alternatively-appointed member of the University of Tübingen, that oral defense may thereby replace the oral examination otherwise required by these doctoral degree regulations. ²⁾ In such cases, no overall grade is calculated. Details are to be regulated in an agreement with the relevant university outside Germany.

(4) ¹⁾ If an oral defense is carried out under these doctoral degree regulations, professors from the non-German university may be appointed as examiners. ²⁾ Details are to be regulated in the abovementioned agreement.

(5) ¹⁾ The doctoral degree and the relevant degree from the non-German university may be conferred by both universities. ²⁾ If two separate degree certificates are issued conferring the degrees, they must include a note to the effect that the doctorate was obtained under the joint supervision of two universities. ³⁾ In all cases it must be noted that the successful completer of the doctoral qualification process has the right to hold the title of doctor either in the German form or in the form of the other country in which the degree was issued, and that the names of both supervising universities may be added in parentheses. ⁴⁾ Each of the universities issues a separate certificate detailing its assessment of the doctoral work.

§ 21 Deception, withdrawal of a doctoral degree

(1) Irrespective of § 4 paragraph (4) and § 7 paragraph (2) no. 1 approval as a doctoral candidate or admission to the doctoral process may be refused if information provided in the required documentation turns out to be untrue and are liable to mislead the supervisor and members of the doctoral examination committee regarding the facts, particularly the applicant's qualifications, the required academic qualifications or doctoral qualification processes begun but not completed at other universities.

(2) ¹⁾ If the applicant attempts to influence the result of his/her assessed work using deception or resources which are not permitted, the relevant work will be rejected with a grade of "insufficient" (4.0). ²⁾ This is to be decided by the doctoral examination committee. ³⁾ In extreme cases of attempted deception in the oral defense, any repetition of the exam (§ 15(1)) may be ruled out.

(3) ¹⁾ If it becomes clear after notification of the assessment of doctoral work that the applicant has used deception to produce this work, that significant requirements for the doctorate were erroneously believed to have been met, or that other statutory violations exist, the relevant decisions may be canceled according to the provisions of the applicable state law, § 48 Landesverwaltungsverfahrensgesetz. ²⁾ If the doctoral degree certificate has already been issued, it will in this case be recalled. ³⁾ The doctoral degree may also be withdrawn on the basis of the relevant statutory provisions; under § 36 (7) LHG, a university degree awarded by a university in Baden-Württemberg may be withdrawn, without prejudice to §§ 48 and 49 of the LVwVfG, if the holder's subsequent conduct has seriously violated the generally accepted principles of good scientific practice. ⁴⁾ If the legality of the doctoral degree has been established without a doubt after the affected person has been given an official hearing and if the doctoral degree has been revoked via legal notification by the faculty, the University reserves the right to inform the academic public (libraries, institutions of higher education, associations, journals) of the fact in the interests of a correctly-functioning academic community.

(4) ¹⁾ The doctoral examination committee will decide on all disputes referring to these doctoral degree regulations or their interpretation, within the Faculty's competence. ²⁾ Notices of objection are issued by the person responsible for Academic Affairs at the President's Office.

§ 22 Inspection of doctoral files

(1) The applicant has the right to read the files on his/her doctoral qualification process within

one year of its completion. § 11 paragraph (3) remains unaffected.

(2) ¹⁾ This is granted upon written application. ²⁾ Applications must be made to the head of the doctoral examination committee. ³⁾ The place and time of inspection are decided by the head of the committee; the inspection is supervised.

§ 23 Effective date and transitional arrangements

(1) ¹⁾ These exam regulations come into effect on the date of their publication in the University of Tübingen's official bulletin, the Amtliche Bekanntmachungen. ²⁾ At that time they replace the doctoral degree regulations of the Faculty of Economics and Social Sciences dated 12.12.2016 (University of Tübingen official notices 42, no. 27 of 20.12.2016.).

(2) Doctoral examination processes in which the complete application for admission had already been submitted when these doctoral regulations came into force will still be completed in accordance with the previously valid doctoral regulations.

Tübingen, 6 October 2022

Professor Dr. Bernd Engler
President and Vice-Chancellor