

DOCTORAL PROGRAM REGULATIONS FOR THE  
WISSENSCHAFTLICHE HOCHSCHULE FÜR UNTERNEHMENSFÜHRUNG (WHU)  
-OTTO BEISHEIM SCHOOL OF MANAGEMENT-  
OF 06.04.2021

**PLEASE NOTE:** The English translation of the WHU *Promotionsordnung* is intended solely as a convenience to non-German-reading students and faculty. Only the German text published in the WHU *Mitteilungsblatt* 02/2021 is legally binding. In the event of any conflict between the English and German text, its structure, meaning or interpretation, the German text, its structure, meaning or interpretation shall prevail.

The Senate of the Wissenschaftliche Hochschule für Unternehmensführung (WHU) -Otto Beisheim School of Management-, hereinafter referred to as "WHU", adopted the following Doctoral Program Regulations for gaining the title of Doctor of Business and Economics on 10.02.2021. The Ministry of Science, Further Education and Culture of the State of Rhineland-Palatinate has approved these Doctoral Program Regulations in accordance with § 7(2), sentence 2 in conjunction with subsection 3, sentence 1 of the Hochschulgesetz (Higher Education Act), hereinafter "HochSchG" of 19.11.2010, last amended on 18.06.2019, in the letter dated 30.09.2020, ref. no: 7212-0001#2020/0002-1501 15325. WHU hereby gives notice of these Doctoral Program Regulations.

**§ 1 Purpose of the Doctorate**

The purpose of the doctorate is to demonstrate the doctoral student's particular ability to carry out independent scientific and academic work.

**§ 2 Award of the Doctorate**

WHU awards the degree of Doctor of Business and Economics (Doctor rerum politicarum – Dr. rer. pol.) on the basis of a scholarly paper (dissertation) and a disputation.

**§ 3 Doctoral Program Committee**

- (1) A Doctoral Program Committee is appointed by the Senate of WHU for the purposes of organizing the doctoral program procedures and for the tasks assigned by virtue of these Doctoral Program Regulations.
- (2) The Doctoral Program Committee consists of
  1. twelve WHU professors (full professors as well as assistant professors), it being required that each Faculty Group established in accordance with the WHU Charter be represented,
  2. one WHU student, ideally a doctoral student registered on the WHU doctoral program,
  3. one academic staff member of WHU,
  4. one non-academic staff member of WHU.
- (3) The Senate elects the members of the Doctoral Program Committee from the circle of WHU professors as set out under subsection 2, no. 1 as well as a head and his or her deputies from the circle of WHU full professors for a period of two years. Re-election is allowed. The regulations of the WHU Charter for ending and continuing offices apply *mutatis mutandis* to ending and continuing membership of the Doctoral Program Committee.
- (4) The regulations of the WHU Charter for passing resolutions apply to resolutions passed by the Doctoral Program Committee.
- (5) The head reports to the Doctoral Program Committee on the development of the doctoral program procedures. The Doctoral Program Committee gives the Senate ideas and suggestions for reforming the Doctoral Program Regulations.

#### **§ 4 Supervision of Doctoral Students**

- (1) WHU and its professors and assistant professors will ensure academic supervision of their doctoral candidates.
- (2) A first advisor will be appointed for each doctoral student at the time of admission (§ 6) and a second advisor on the basis of the exposé (§ 8).
- (3) All WHU professors (full professors as well as assistant professors) are entitled to supervise doctoral students. In the event of the advisor leaving WHU, he or she remains entitled for at least three years to continue supervising a student who has started a doctoral program until it is completed; this regulation is valid for assistant professors if their employment contract has been extended beyond 3 years for a further 3 years. Supervision can be continued beyond the period allowed in sentence 2 in exceptional cases where there are also special reasons and on application to the Head of the Doctoral Program Committee. A supervision which has already begun can be continued by emeritus or retired professors for no longer than three years after he or she last held a class in his or her subject.
- (4) With the approval of the Doctoral Program Committee and on application, a professor who is not a member of WHU but who fulfills all the requirements set out under § 49 or § 54 of the HochSchG can be appointed as the second advisor. The doctoral candidate's application shall clearly designate the second advisor and be addressed to the Head of the Doctoral Program Committee. External second advisors are the exception.
- (5) As part of doctoral program procedures in collaboration with universities of applied sciences (HochSchG, § 34(5)) or if it is deemed advisable for reasons of a specialist nature, a professor can be appointed third advisor on application. A professor who is not a member of WHU but who fulfills all the requirements under § 49 or § 54 of the HochSchG can also be appointed third advisor. In particular, as part of doctoral processes in collaboration with universities of applied sciences, a professor at a university of applied sciences can also be appointed third advisor. The doctoral candidate's application shall clearly designate the third advisor and be addressed to the Head of the Doctoral Program Committee. The appointment of a third advisor as set out in sentence 2 and sentence 3 is conditional on the other two advisors being members of WHU.
- (6) The advisors are appointed by the Head of the Doctoral Program Committee.
- (7) The advisors are obliged to regularly check the progress of their doctoral students' research and to advise them at reasonable intervals. For all advisors this includes participating in the defense of the doctoral project as set out under § 9 and in the disputation as set out under § 19.
- (8) In the event of a professor being unable to continue in his or her capacity as first or second advisor due to illness, death or lengthy absence beyond the advisor's control, or after the deadlines stated in subsection 3 have expired, the Head of the Doctoral Program Committee will appoint his or her successor. In the event of a professor being unable to continue in his or her capacity as third advisor for the reasons given in sentence 1, the Head of the Doctoral Program Committee will decide whether a successor will be appointed.
- (9) Subsection 8, sentence 1 will apply accordingly in the event of content or methods changing substantially during the course of the doctoral project or if there are any other compelling reasons for a change in supervision being necessary.

#### **§ 5 Requirements for Admission as a Doctoral Student**

- (1) Applicants who have gained credits and can show study attainment and performance at a university in the Federal Republic of Germany in accordance with subsection 2 (business and economic disciplines), in accordance with subsection 3 (methodological and factual knowledge) or in accordance with subsection 4 (other disciplines) can be admitted as doctoral students. Additionally, applicants who have gained credits and can show study attainment and performance at a university in the Federal Republic of Germany in accordance with subsection 5 and have passed the aptitude testing procedure can be admitted as doctoral students. In cases where credits have been gained outside the Federal Republic of Germany, the Head of the Doctoral Program Committee will decide

on the equivalence to the degrees and qualifications detailed under subsections 2 to 5 in accordance with the criteria set out in the guidelines of the Central Office for Foreign Education (ZAB), which is part of the office of the Standing Conference of the Ministers of Education and Cultural Affairs.

- (2) Applicants who fulfill one of the following conditions can be admitted as doctoral students:
1. The applicant holds a diploma degree in business or economics from a university with at least the final grade “good”. In exceptional cases where there are also special reasons, the final grade can also be “satisfactory”.
  2. The applicant holds a master’s degree in business or economics with at least the final grade “good”. In exceptional cases where there are also special reasons the final grade can also be “satisfactory”.

- (3) Applicants who fulfill one of the following conditions can be admitted as doctoral students:
1. The applicant holds a diploma degree from a university with at least the final grade “good” which is not in business or economics but the degree course has covered methodological and factual knowledge for the business and economic disciplines to a substantial extent.
  2. The applicant holds a master’s degree with at least the final grade “good” which is not in business or economics but the degree course has covered methodological and factual knowledge for the business and economic disciplines to a substantial extent.

In all cases the professor who has agreed to be the first advisor must explain in writing that the candidate has methodological and factual knowledge which is relevant for his or her doctoral project.

- (4) Applicants who fulfill one of the following conditions can be admitted as doctoral students provided that special grounds are given in writing by the professor who has agreed to be the first advisor:
1. The applicant holds a diploma degree from a university which is not specified in subsection 2 nor in subsection 3 and it has been given at least the final grade “good”.
  2. The applicant holds a master’s degree from a university which is not specified in subsection 2 nor in subsection 3 and it has been given at least the final grade “good”.

- (5) If an applicant holds a diploma degree from a university of applied sciences or has a bachelor’s degree with the final grade “very good” in business or economics, or with methodological and factual knowledge relevant to the business and economic disciplines to a substantial extent, proof of eligibility for the doctoral program must be provided by means of an aptitude testing procedure taken during a Master of Science program at WHU. The applicant must submit the application for admission to the aptitude testing procedure (available at <https://www.whu.edu/de/programme/promotionsprogramm/ordnungswerke> zugänglich) to the Head of the Doctoral Program Committee together with the documents verifying that the prerequisites for admission in accordance with sentence 1 have been fulfilled, as well as confirmation from a professor of WHU that he or she will act as first advisor if the applicant is admitted as a doctoral student. The Head of the Doctoral Program Committee will decide on the application for admission to the aptitude testing procedure. Admission to the aptitude testing procedure shall be denied if the documents in sentence 2 are not complete, and the missing documents are not submitted by the applicant within the required time limit. Grounds must be given for refusing admission. The following credits, study attainment and performance must be established in the aptitude testing procedure in accordance with the terms of the examination regulations and curricula for the Master of Science programs as amended from time to time:

1. 35 ECTS credit points from modules studied in Germany (courses) with a grade not lower than 2.5. For calculating the grade, the provisions of the particular Master of Science program’s examination regulations for calculating the overall grade apply mutatis mutandis.
2. An academic paper with a workload worth 25 ECTS credit points in total, which was awarded a grade no lower than 2.5. For the academic paper, the provisions of the particular Master of

Science program's examination regulations for a thesis apply mutatis mutandis with the proviso that it is not possible to write it in the form of group work.

For recognition of credits and examinations taken vis-à-vis the aptitude testing procedure, the provisions of the particular Master of Science program's examination regulations for recognizing credits and examinations taken apply mutatis mutandis. The aptitude testing procedure should be completed after one year. A fee is payable for the aptitude testing procedure.

## **§ 6 Admission as a Doctoral Student**

- (1) The Head of the Doctoral Program Committee will decide on the admission of an applicant as a doctoral student as soon as the following conditions are met:
  1. The applicant must have submitted the registration application (available at <https://www.whu.edu/de/programme/promotionsprogramm/ordnungswerke> zugänglichen) to the Head of the Doctoral Program Committee together with the documents verifying that the conditions for admission set out under § 5 have been fulfilled.
  2. The professor who has agreed to act as first advisor must have informed the Head of the Doctoral Program Committee in writing that he or she shall provide academic supervision to the applicant in his or her doctoral program procedure.
  3. Applicants wishing to register as set out under § 5(5) must have passed the aptitude testing procedure.
  4. A study contract has been concluded under the condition of admission as a doctoral student.
- (2) The status of those on doctoral programs can be that of internal or external doctoral students. The status of internal doctoral student applies if the candidate is employed at WHU for at least three eighths of a full-time staff position.
- (3) Candidates with the status of external doctoral students will be required to pay a fee for the doctoral program. The status of an external doctoral student applies if the candidate is either not employed by WHU, or he is employed by WHU for less than three eighths of a full-time position.
- (4) After a decision has been taken on admission, the doctoral student will receive written confirmation thereof without delay.
- (5) Admission as a doctoral student will be refused if the documents required in subsection 1 are incomplete and the missing documents are not submitted later by the applicant within the deadline set for completion. Grounds must be given for refusing admission.

## **§ 7 Withdrawal of the Doctoral Project**

- (1) A doctoral student can withdraw his or her doctoral project provided that the dissertation has not been accepted as set out under § 13.
- (2) Withdrawal of the doctoral project must be submitted in writing to the Head of the Doctoral Program Committee.

## **§ 8 Exposé**

- (1) The doctoral student must submit an exposé to the Head of the Doctoral Program Committee within a reasonable period of time after admission in accordance with § 6. The exposé sets out with regard to content and the methods to be employed to which field the doctoral project belongs.
- (2) In the event of there being any substantial changes to the content or methods during the doctoral project, the doctoral student must present a new exposé.

## **§ 9 Defense of the Doctoral Project**

- (1) After the exposé has been submitted and after having successfully completed the course as set out in § 10(5), the doctoral candidate defends his or her doctoral project before the advisors. The defense should generally be within a period of 18 months after admission in accordance with § 6.
- (2) The date for the defense of the doctoral project is set by the advisors in accordance with subsection 1 and in consultation with the doctoral candidate. The defense of the doctoral project is open to the whole WHU community and is announced by the Head of the Doctoral Program Committee. At the request of the doctoral candidate, the Head of the Doctoral Program Committee will invite the Equal Opportunity Officer of WHU.
- (3) The object of the defense is to present the doctoral project. The doctoral candidate should present his or her studies to date, position his or her work in the subject literature and describe the methods used. The presentation must show the suitability of the doctoral project for demonstrating independent scientific and academic work, and the contribution the project can make towards advancing the business and economic disciplines.
- (4) A record of the defense must be prepared showing the main points of the examination and the decision in accordance with subsection 6. The first advisor appoints a person to record the minutes. The doctoral candidate may examine the record of the defense.
- (5) The defense as a rule lasts 45 minutes.
- (6) The advisors grade the defense as either a “pass” or a “fail.” If the defense is graded as a “pass”, the doctoral project is accepted. If the defense is graded as a “fail,” the Doctoral Program Committee decides on whether to accept the doctoral project following a consultation with the doctoral candidate. If the doctoral project is not accepted, the doctoral candidate can repeat the defense once. The period within which the defense must be repeated is fixed by the Head of the Doctoral Program Committee at the proposal of the advisors. For a repeat of the defense sentences 1 to 3 shall apply. Grounds must be given for not accepting the doctoral project as set out in sentence 3.
- (7) In the event of there being any substantial changes to the content or methods during the doctoral project, the doctoral candidate must defend his or her doctoral project again.

## **§ 10 Doctoral Studies**

- (1) After admission as specified in § 6, the doctoral student embarks on his or her doctoral studies at WHU. The doctoral program offers research- oriented studies. It serves to further the academic education of the doctoral student and gives him or her the opportunity to acquire key qualifications.
- (2) The content of the doctoral studies depends on the conditions which the doctoral student fulfilled in accordance with § 5 when he or she applied for registration. The doctoral studies comprise:
  1. 6 certificates of academic achievement (with each certificate of academic achievement requiring a workload worth 3 ECTS credit points) for courses in the doctoral studies of WHU for doctoral students who registered in accordance with § 5(2), 5(3) or 5(5).
  2. Certificates of academic achievement amounting to 60 ECTS for courses in the doctoral studies or a master course of study at WHU, and 6 certificates of academic achievement (with each certificate of achievement requiring a workload worth 3 ECTS credit points) for courses in the doctoral studies at WHU for doctoral students who registered in accordance with § 5(4).
- (3) The decision as to in which courses certificates of academic achievement may be provided is made by the first advisor of the doctoral student. The doctoral student can make suggestions in this respect.
- (4) At the request of the doctoral student, the Head of the Doctoral Program Committee can recognize certificates of academic achievement gained outside WHU for the doctoral studies, provided that there are no significant differences in the skills gained in such courses to those that would be gained in equivalent courses offered by WHU.
- (5) In addition to the certificates of achievement as set out under subsection. 2, every doctoral student must successfully complete the WHU course in research integrity and good scientific practice.

## **§ 11 Dissertation**

- (1) The dissertation must deal with a subject from the business and economic disciplines. The subject can also be chosen across the disciplines of the economic sciences in the wider sense provided that it is mainly of a business or economic nature. The dissertation must be an independent, scientifically and academically weighty piece of work and make a contribution to advancing the business and economic disciplines.
- (2) The dissertation must be written in German or English.
- (3) The dissertation may be submitted either as a monograph or as a cumulative dissertation. A cumulative dissertation comprises at least three contributions, of which individual contributions or all of them may already have been published, or may have been accepted for publication in a scientific journal with a referee process. The contributions that have not yet been accepted for publication should be sufficiently developed so that they may soon be submitted to a scientific journal with a referee process.

## **§ 12 Submitting Applications for the Awarding of a Doctoral Degree**

- (1) Applications for the awarding of a doctoral degree must be submitted to the Head of the Doctoral Program Committee. The application comprises:
  1. a résumé in German or English;
  2. a statement saying whether and with what measure of success the doctoral student has already taken another doctoral, university diploma, bachelor, master or first degree examination;
  3. the certificates of academic achievement as set out under § 10 together with a record compiled by the first advisor showing the courses and classes allowed under § 10(3);
  4. the dissertation in triplicate;
  5. the dissertation in electronic form;
  6. electronic versions of all the theses from previously completed degrees, as far as they are available or can still be procured, and as long as submission is not contrary to legislation or contractual arrangements;
  7. all the data on which a dissertation is based in written or electronic form as set out in the Principles of Good Scientific Practice as long as submission is not contrary to legislation or contractual arrangements;
  8. a statement as set out under Appendix 1.
- (2) The exposé, proof of having successfully completed the course as set out in § 10(5), and the record of the successful defense of the doctoral project must be available.
- (3) Once the documents detailed in subsection 1 and subsection 2 have been submitted, the doctoral student must upload an electronic version of the dissertation on to a website set up by WHU for this purpose in order that automatic checks for plagiarism may be carried out.

## **§ 13 Acceptance of the Application for the Awarding of a Doctoral Degree**

- (1) The Head of the Doctoral Program Committee will decide on acceptance of the application for the awarding of a doctoral degree.
- (2) Acceptance of the application for the awarding of a doctoral degree will be refused if the documents required in § 12, subsection 1 to subsection 3 are incomplete and the doctoral student fails to hand in the missing documents within the period of time stipulated for completion. Grounds must be given for refusing acceptance.

## **§ 14 Appraisal of the Dissertation**



If the application for the awarding of a doctoral degree has been accepted, the Head of the Doctoral Program Committee will task the first and second advisors with preparing the first and second examiners' reports. If there is a third advisor, he or she will be tasked with preparing the third examiners' report.

### **§ 15 Assessment and Grading of the Dissertation**

- (1) Each advisor gives his or her opinion in a report as to whether the dissertation should be accepted or rejected.
- (2) The reports should be presented to the Head of the Doctoral Program Committee within 3 months of acceptance of the application for the awarding of a doctoral degree.
- (3) The dissertation proposed for acceptance must be graded with "adequate" (4.0), "satisfactory" (3.0), "good" (2.0) or "very good" (1.0). Intermediate grades can be formed to make a finer distinction by reducing or raising the grade by 0.3. It is not possible to award the grades 0.7 and 4.3. The dissertation proposed for rejection must be graded with "fail" (5.0).
- (4) A dissertation can only be graded better than 2.0 if at least one of the contributions or part of a monograph has been demonstrably accepted for publication or invited for revision (Revise & Resubmit) by a journal that is on a list of journals, which is to be determined by the WHU Doctoral Program Committee. The versions of the list that existed in the period between the submission of the article to the journal and the evaluation during the doctoral procedure apply. The lists will be published as it is usually the case at WHU. Exceptions to the rule as set out in sentences 1 and 2 can, in justified cases, be granted on a voice vote by the Head of the Doctoral Program Committee and his or her deputies on application from one of the advisors.
- (5) <sup>1</sup>If the dissertation has been assessed by at least one advisor as potentially acceptable but is in need of revision due to serious shortcomings, the Head of the Doctoral Program Committee will, after hearing all advisors, give the dissertation back to the doctoral student for reworking once within a period of time to be defined on a case-by-case basis; as a rule, this period should not exceed 12 months. In justified cases and upon application by the doctoral student, the Head of the Doctoral Program Committee can extend the deadline set for reworking the dissertation. The revised dissertation must be submitted to the Head of the Doctoral Program Committee and will be assessed and graded by the advisors in accordance with subsection 1 to subsection 4. § 12, subsection 1 and subsection 3 apply mutatis mutandis to dissertations submitted according to sentence 3.

### **§ 16 Display of the Dissertation**

- (1) Once all the reports have been received, all WHU professors and the advisors appointed for the doctoral student will be given the opportunity to examine the dissertation and the reports for a period of four weeks (Display of the Dissertation). The Head of the Doctoral Program Committee will notify those entitled to examine the dissertation and the reports of the beginning and the end of the display period. If the Head of the Doctoral Program Committee receives a dissenting opinion from one of the entitled persons within the period of display, the Head of the Doctoral Program Committee will ask all the advisors for their opinion. The deadline for presenting their opinion is four weeks. In the event that an advisor revises his or her report because of this dissenting opinion, the revised report must also be submitted within the period set in sentence 4. At the end of the period stipulated in sentence 4, the dissertation, reports as set out in sentence 1 as well as any revised reports as set out in sentence 5, the dissenting opinion and opinions provided by the advisors will be available for inspection for four weeks. Sentence 1 and sentence 2 apply mutatis mutandis to displaying in accordance with sentence 6. A new dissenting opinion is not permitted.
- (2) The Head of the Doctoral Program Committee will notify the doctoral student when the display begins in accordance with subsection 1, sentence 1 of receipt of the reports and the period of display. Sentence 1 applies mutatis mutandis to display in accordance with subsection 1, sentence 6 in the event of a dissenting opinion.

### **§ 17 Rejection of the Dissertation**

- (1) If the first advisor recommends rejection of the dissertation in his or her report, the dissertation is rejected.
- (2) If there are two advisors and only the second advisor recommends rejection of the dissertation in his or her report, the Head of the Doctoral Program Committee will appoint a third advisor and task him or her with preparing a third report. § 4(5), sentence 2 and sentence 3 apply mutatis mutandis.
- (3) If there are three advisors and both the second advisor and the third advisor recommend rejection of the dissertation in his or her report, the dissertation is rejected. If rejection of the dissertation is only recommended in the second report or third report, the dissertation is not rejected.
- (4) The dissertation is deemed as rejected if the dissertation to be revised as set out under § 15(5) is not submitted by the deadline.
- (5) If the dissertation is rejected, the doctorate comes to an end with the result being established as "fail". Grounds must be given for rejecting the dissertation.

### **§ 18 Acceptance of the Dissertation**

- (1) The dissertation is accepted after expiry of the period set forth in § 16(1), sentence 1 or - if a dissenting opinion is received after expiry of the period set forth in § 16(1), sentence 4 - unless it was rejected.
- (2) If the dissertation is accepted but described as in need of improvement by at least one advisor in his or her report, it will be accepted on condition that the corresponding improvements are made before permission to publish is granted.

### **§ 19 Disputation**

- (1) If the dissertation has been accepted, the disputation takes place.
- (2) The head of the disputation is nominated by the Head of the Doctoral Program Committee. He or she must be a full professor at WHU and must not at the same time be an advisor for the dissertation.
- (3) The date and time of the disputation are set by the advisors in consultation with the doctoral student and the head of the disputation. The disputation is open to the public. At the request of the doctoral student, the public nature of the disputation can be limited to the extent that it is only open to the WHU community. The disputation will be announced by the Head of the Doctoral Program Committee through the WHU's usual channels at least two weeks in advance. At the request of the doctoral student, the Head of the Doctoral Program Committee will invite the Equal Opportunity Officer of WHU.
- (4) The subject-matter of the defense is the presentation of the dissertation and the subsequent discussion of the doctoral project. The doctoral student is expected to defend the results achieved in the dissertation in the discussion with the advisors and the WHU full professors and assistant professors.
- (5) A record of the disputation must be prepared showing the main points and the result of the examination. The head of the disputation appoints a person to record the minutes.
- (6) The disputation as a rule lasts 60 minutes, of which about 30 minutes should be reserved for the presentation of the dissertation.

### **§ 20 Grading of the Disputation**

- (1) All advisors decide together with the head of the disputation on the grading of the disputation.
- (2) The disputation must be graded with "fail" (5.0), "adequate" (4.0), "satisfactory" (3.0), "good" (2.0) or "very good" (1.0). Intermediate grades can be formed to make a finer distinction by reducing or raising the grade by 0.3. It is not possible to award the grades 0.7, 4.3, 4.7 and 5.3.
- (3) The disputation is passed if the grade of the disputation is at least "adequate" (4.0).



- (4) If the duly invited doctoral student of the disputation fails to appear without a proper excuse, he or she will be deemed to have failed the disputation.
- (5) If the disputation is failed, it can be retaken once but not until at least six months later. Prior submission of a new dissertation is required if a period of more than two years has passed since the disputation was failed. In either case, a revision of the dissertation to include the latest advances in academic and scientific research can be required. The Head of the Doctoral Program Committee will take the decision based on sentence 3 after hearing all the advisors. If the repeated disputation is failed too, it is failed once and for all.
- (6) If the disputation is failed once and for all, the doctorate comes to an end with the result being established as "fail". Grounds must be given for establishing the result as set out in sentence 1.

### **§ 21 Forming the Overall Grade of the Doctorate**

- (1) Once a doctoral student has passed his or her disputation, the advisors and the head of the disputation determine the overall grade of the doctorate together.
- (2) The overall grade is calculated from the weighted average of the grades awarded for the disputation and the dissertation. If there are two reports on the dissertation, the first and second reports and also the disputation are each weighted by the factor 3. If there is a third report, the first, second and third reports are each weighted by the factor 2 and the disputation by the factor 3.
- (3) The overall grade of a doctoral examination passed is:
  - with an average up to 1.5 "summa cum laude"
  - with an average over 1.5 up to 2.5 "magna cum laude"
  - with an average over 2.5 up to 3.5 "cum laude"
  - with an average over 3.5 up to 4.0 "rite"
- (4) Only the first decimal place after the point is taken into account when forming the overall grade; all the other places are disregarded without rounding up or down.

### **§ 22 Publication of the Dissertation**

- (1) Once a doctoral student has passed his or her disputation and the advisors have been heard, the Head of the Doctoral Program Committee decides on granting permission for publication. Permission for publication can be refused if revisions are necessary under sentence 1 or § 18(2) and the doctoral student does not submit the correspondingly revised version of the dissertation by the deadline which has been set. As long as permission for publication has not been granted, the student is not allowed to publish the dissertation. Grounds must be given for refusing permission for publication.
- (2) Once permission for publication has been granted, the doctoral student must publish the dissertation in one of the options detailed below:
  1. Submission of 25 copies in letterpress or photomechanical printing and transferring the right which may then be passed on to other School Libraries to make additional copies of the dissertation.
  2. Submission of 8 copies in letterpress or photomechanical printing and also in an electronic version whose data format and data carrier have been agreed on with the WHU library. <sup>2</sup>The details of this form of publication will be regulated in an agreement between the doctoral student and WHU. <sup>3</sup>This will see the doctoral student transferring to the School above and beyond the right mentioned in no. 1 the right to make the dissertation available in data networks.
  3. Submission of 8 copies in letterpress or photomechanical printing and proof of publication in a journal.
  4. Submission of 8 copies in letterpress or photomechanical printing and proof of publication through the book trade by a commercial publisher with a minimum print run of 150 copies.

Distribution through the book trade can also be by means of a print-on-demand publication; the publisher must, however, give a written guarantee that a minimum of 150 copies will be available for a period of at least two years. It must be clearly indicated that the publication is based on a dissertation of the Wissenschaftliche Hochschule für Unternehmensführung (WHU) -Otto Beisheim School of Management-.

- (3) Submission must be within a period of one year after the day of the disputation. The Head of the Doctoral Program Committee can extend this deadline in special cases but by no more than one further year. The doctoral student must submit an application for such an extension and state the grounds for the request. In the event that the deadline stipulated is not met, the doctoral student has failed his or her doctorate.

### **§ 23 Completion of the Doctorate**

- (1) Once the doctoral student has fulfilled all his or her duties, the Dean or the President of WHU completes the doctorate by handing over a certificate of the award of a doctorate. It contains the subject of the dissertation and the overall grade of the doctorate. A copy of the certificate must be filed with the School's records.
- (2) In the case of § 22(2), no. 1 and no. 2, submission can be combined with the application to defer publication of the dissertation by up to one year from the day of the disputation. The doctoral certificate will, nevertheless, be handed over. The deadline can be extended on request for up to one more year.
- (3) Entitlement to use the doctorate degree is not acquired until the certificate has been handed over. Using the doctorate degree is not permitted before this time, including in the form of Doctor designatus.

### **§ 24 Refusal to Award and Revocation of the Doctorate**

- (1) If it is established before the doctoral certificate is handed over that the existence of fundamental criteria for admission to the doctoral program has been erroneously presumed or that there has been an attempt at deception by the doctoral student or that he or she is guilty of deception in his or her work in the doctoral program procedure, completion of the doctorate will be refused. The Doctoral Program Committee will decide on this matter following consultation with the doctoral candidate.
- (2) The doctorate can be revoked
  1. if it has been acquired by dishonest means,
  2. if the holder has been convicted by a final court judgment of a criminal offense which makes him or her appear unworthy of a doctorate,
  3. if the existence of fundamental criteria for the conferment has been erroneously presumed.

The Senate takes the decision on revoking the doctorate.

If the doctorate is revoked, all certificates and documents pertaining to gaining a doctorate must be returned.

- (3) Before any decision is taken concerning the refusal to award or the revocation of the doctorate, the doctoral student must be given the opportunity to respond to the accusations leveled within a reasonable period of time, which is usually four weeks.

### **§ 25 Doctoral Student's Right to Information**

- (1) At the request of the doctoral student, he or she will be allowed to inspect the reports relating to his or her dissertation within the display period as set out under § 16(1), sentence 1 and in the event of a dissenting opinion, within the display period as set out under § 16(1), sentence 6 too.

- (2) At the request of the doctoral student and after he or she has passed the disputation or also after he or she has deregistered, the student will be allowed to inspect his or her dissertation, the related reports and the record of the disputation.

### **§ 26 Deregistration**

- (1) Deregistration takes place by virtue of notification from the Head of the Doctoral Program Committee,
1. if the doctoral student withdraws his or her doctoral project in accordance with § 7,
  2. if after the defense is repeated in accordance with § 9(6), the doctoral project is still not accepted or the defense was not carried out within the period stipulated for the repeat,
  3. if acceptance of the application for the awarding of a doctoral degree was refused in accordance with § 13(2),
  4. when permission for publication is granted in accordance with § 22(1),
  5. when the doctorate is completed in accordance with § 23,
  6. if the doctorate is ended,
  7. if completion of the doctorate was refused in accordance with § 24(1),
  8. if the doctorate fee was not paid despite WHU having reminded the doctoral student twice, or
  9. if in accordance with § 22 (1) sentence 2 the permission for publication is denied.

Deregistration of the doctoral candidate may also result if there has not been sufficient contact with the advisor for more than two years and it is the doctoral student's fault.

The Doctoral Committee makes a decision about deregistration from the doctoral studies in accordance with sentence 2 following consultation with the doctoral candidate.

- (2) The dissertation, the reports and the record of the disputation remain in each and every case with the examination files.

### **§ 27 Principles of Good Scientific Practice**

Doctoral students and advisors are obliged to observe the Principles of Good Scientific Practice adopted by the WHU Senate.

### **§ 28 Regulations for People with Disabilities or a Chronic Illness**

If a doctoral student can satisfactorily show by means of a medical certificate that he or she is unable to take all or part of the examinations in the form or within the deadlines prescribed in these regulations due to a prolonged or permanent disability or chronic illness, the Head of the Doctoral Program Committee will allow a procedure upon application and according to the specific needs to redress the disadvantage. Choosing not to take an examination is not permitted.

### **§ 29 Honorary Doctorates**

- (1) As a rare mark of distinction in recognition of academic work of exceptional merit, WHU can confer an honorary Doctor of Business and Economics degree (Dr. rer. pol. h. c.).
- (2) The Senate decides on the conferral at the proposal of the Doctoral Program Committee. The proposal must be approved with a majority of two thirds of the members of the Doctoral Program Committee.
- (3) The Dean or the President of WHU completes conferral of the honorary doctorate by presenting a certificate highlighting the exceptional achievements of the recipient.

### **§ 30 Presentation Ceremony to Mark the 50th Anniversary of Conferral**

To mark the 50th anniversary of the conferral of a Dr. rer. pol. (Doctor of Business and Economics) by WHU, a ceremonious renewal of the doctoral degree certificate can be held by the Dean or the President of the School.

### **§ 31 Decisions Taken during the Doctoral Process**

Grounds must be given in writing for any decisions taken during the doctoral program procedure which cause an applicant or a doctoral student concern and sent to them together with information on the legal remedies available.

### **§ 32 Effective Date and Transitional Regulation**

- (1) These Doctoral Program Regulations take effect on the day after their publication in the WHU newsletter.
- (2) The Doctoral Program Regulations of September 22, 2017 cease to have effect upon these Doctoral Program Regulations coming into force. § 10 of the Doctoral Program Regulations of September 22, 2017 will continue to apply until September 29, 2022 to doctoral students already admitted. The same applies to § 32 sec. 2 sentence 2 of the Doctoral Program Regulations of September 22, 2017 with the exception that regarding the composition of the doctoral program committee and the assessment and grading of the dissertation, §§ 3 and 15 of these doctoral program regulations shall apply.

Vallendar, 06.04.2021

Universitätsprofessor Dr. Markus Rudolf

Dean of WHU

Wissenschaftliche Hochschule für Unternehmensführung (WHU)

-Otto Beisheim School of Management-

**Appendix 1 of the Doctoral Program Regulations of 06.04.2021**

Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_

**Declaration**

**in accordance with § 12 part 1 no. 8 of the Doctoral Program Regulations of 06.04.2021**

I hereby affirm, that I have written the

**dissertation**

submitted to Wissenschaftliche Hochschule für Unternehmensführung (WHU) -Otto-Beisheim-Hochschule- by myself and without using any means of resources other than those stated.

The dissertation has not been presented in the same or any similar manner either in whole or in part to any other board of examiners.

Sentences, text passages, data or concepts taken from other sources either word for word or as regards content have been marked accordingly and the source indicated.

The persons detailed below helped me in the manner described in return for payment/for no payment when it came to selecting and evaluating the following materials.

Surname	First Name(s)	Type of Assistance*	For payment/ for no payment

\* Co-Authors of contributions must also be mentioned here.

No other persons have been involved in the preparation of the presented dissertation with regard to its content or substance. In particular, I have not drawn on the paid help of referral or advisory services (doctoral consultants or other persons). Nobody has directly or indirectly received payments in kind from me for any work associated with the content of the dissertation presented.

The dissertation does not contain any elements which are the subject of current doctoral projects or doctoral projects which have already been completed.

Place, date, signature