

**Doctoral degree regulations of Heidelberg University
for the
Faculty of Economics and Social Sciences**

of 2 November 2015, last amended on 17 March 2021

Based on § 38 of the Act on Higher Education of the Land of Baden Württemberg (*Landeshochschulgesetz* - LHG) of 1 January 2005, last amended by Article 1 of the Fourth Act Amending Provisions of Higher Education (*Viertes Hochschulrechtsänderungsgesetz* - 4. HRÄG) of 17 December 2020 (GBl. p. 1204, 1230), the Senate of Heidelberg University adopted the following first by-laws amending the doctoral degree regulations of Heidelberg University for the Faculty of Economics and Social Sciences of 2 November 2015 (Rector's Gazette of 27 November 2015, p. 1617 et seq.) on 16 March 2021.

The Rector approved them on 17 March 2021.

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§ 1 Doctorate

- (1) The Faculty of Economics and Social Sciences of Heidelberg University awards the academic degree "doctor rerum politicarum" (Dr. rer. pol.) based on results in the doctoral degree procedure in the subjects of political science, sociology, and economics or "doctor rerum politicarum honoris causa" (Dr. rer. pol. h.c.) based on

outstanding scientific achievements in the field of economics and social sciences, including related fields.

- (2) The Faculty of Economics and Social Sciences is committed to the guiding recommendations of the Senate of Heidelberg University on the promotion of junior researchers of 19 July 2005 and implements them in an appropriate manner.
- (3) The faculty's bodies for doctoral degree procedures are the doctoral committee and an examinations committee appointed by the doctoral committee for each doctoral degree procedure.

§ 2 Results in the doctoral degree procedure

- (1) The doctorate demonstrates the ability to conduct independent scientific work.
- (2) The results in the doctoral degree procedure comprise the preparation of a scientific paper in the doctoral subject (doctoral thesis) and an oral examination (defence) in this subject, the subject matter of which includes the doctoral thesis.

§ 3 Authorised examiners and supervisors

- (1) The following members of the faculty are authorised to supervise doctoral candidates of the faculty, to review their doctoral theses and to participate in the examinations committees:
 - the professors in accordance with § 44 (1) LHG
 - the associate professors,
 - the heads of junior research groups,
 - the honorary professors,
 - retired professors, and
 - affiliated professors

The evaluators and examiners appointed in the respective doctoral degree procedure are also authorised to examine.

- (2) Professors, associate professors, and heads of junior research groups who leave the faculty shall remain authorised to examine for the respective doctoral degree procedure in which they are involved.

§ 4 Doctoral committee

- (1) The doctoral committee decides on admission to the doctorate and ensures that the doctoral degree procedure is conducted properly.
- (2) The members of the doctoral committee and its chair and one deputy each are elected by the faculty council at the end of the summer semester for a term of office of two years. If a member or deputy member resigns, their successor is elected immediately thereafter for the remainder of the term of office. Re-election shall be permitted.
- (3) The members of the doctoral committee are the chair and four other professors from the Faculty of Economics and Social Sciences who work full-time at Heidelberg University. A member of the doctoral committee may also be an associate professor of the faculty, provided that they are working at Heidelberg University full-time. The doctoral committee elects a deputy chair.
- (4) The doctoral committee shall have a quorum if at least half of its members are present. The doctoral committee shall decide by a majority of its members.

- (5) The doctoral committee shall be non-public. Hearing of the person concerned shall not be affected by this.
- (6) The doctoral committee shall inform the applicant or the doctoral candidate of its decisions in writing.

§ 5 Admission requirements, admission to the doctorate

- (1) Anyone who has completed a Master's degree programme in the doctoral subject, generally with an overall grade of at least "good" may be admitted as a doctoral candidate. In addition, anyone who has completed a degree programme in a doctoral subject at a university or university of teacher education with a standard period of study of at least four years or a degree programme based on an undergraduate degree programme at a university, university of teacher education or another university with the right to award doctorates with an overall grade of at least "good" may be admitted to the doctorate.
- (2) If the overall grade is not at least "good", admission to the doctorate may be granted if favourable evaluations on the applicant's scientific qualifications are submitted by two authorised examiners and supervisors of the faculty in accordance with § 3. This shall also apply if there is no overall grade.
- (3) If the doctoral subject was not the focus of the examination in the Master's, Diplom, Magister, or state examination or in the examination recognised as equivalent, the candidate may be requested by the doctoral committee to provide evidence of their specialist knowledge in a colloquium or by passing at least two courses at a minimum of Master's level. In this case, the applicant may be provisionally admitted for a maximum of 1 year. Proof of having passed the colloquium or the passed courses must be provided within one year. Upon passing the examination, the applicant is deemed to have been regularly admitted and the doctoral period is set in accordance with § 7 (7). § 5 (4) and (5) apply accordingly. The admission shall expire if no proof is provided within one year. If the doctoral candidate is unable to meet this deadline for reasons for which they are not responsible, the deadline may be extended by 6 months upon request by the doctoral candidate that must be submitted including a statement of reasons. Additional proof may be waived if the doctoral candidate is involved in a research training group (for doctoral students) with a structured programme approved by the faculty.
- (4) The colloquium is an oral examination lasting approximately one hour. It is examined by two examiners who are authorised examiners and supervisors of the faculty in accordance with § 3 and are appointed by the doctoral committee. The required competencies for an examination in the colloquium are limited to two subject areas. In the colloquium, the candidate must prove that they have sufficient knowledge in the chosen doctoral subject.
- (5) The courses in accordance with (3) shall be determined by the doctoral committee in consultation with the supervisor.
- (6) In a duly convened meeting, the doctoral committee may decide on exceptions to the following provisions in individual cases by a two-thirds majority of all members present, provided that this does not conflict with the LHG.

§ 6 Approval of particularly qualified graduates of diploma degree programmes or comparable degree programmes from universities of applied sciences, particularly qualified graduates of a Bachelor's degree programme or a comparable degree programme

- (1) Graduates of Bachelor's degree programmes and State Examination degree programmes that do not fall under § 5 (1) may be admitted to the doctorate if
 - a) they are particularly qualified,
 - b) at least half of the course of studies is in the field of the doctoral subject and
 - c) they meet the conditions imposed by the doctoral committee which provide evidence that they are equally qualified to perform scientific work in the doctoral subject as a Master's graduate who is eligible for doctoral studies. The coursework and examination components to be completed as conditions must be taken from the Master's or doctoral programme of the respective subject.
- (2) Particularly qualified graduates of a diploma programme at a university of applied sciences or a university of cooperative education and graduates of the Baden-Württemberg Notarial Academy may be admitted after successfully passing an aptitude assessment procedure. The coursework and examination components to be completed in the aptitude assessment procedure, which generally lasts four semesters, are determined by the doctoral committee.

§ 7 Application for acceptance as a doctoral candidate

- (1) The candidate shall apply in writing to the doctoral committee for admission to the doctorate.
- (2) The application must be accompanied by:
 1. a curriculum vitae detailing the scientific career;
 2. the diploma of general higher education entrance qualification, a relevant subject-restricted higher education entrance qualification or a university entrance qualification recognised by law or by the competent state authority;
 3. a transcript of examination prerequisites or a list of study semesters, study locations and courses attended and their lecturers;
 4. the diplomas for all degrees;
 5. a declaration by the applicant stating whether they have already taken a doctoral examination without success;
 6. a confirmation of supervision by a supervisor in accordance with § 3, which should be documented by a doctoral agreement in accordance with § 8 (4). The doctoral agreement must not be older than 6 months.
- (3) Doctoral candidates are obligated to register and are recorded centrally when the doctoral agreement is concluded.

- (4) The doctoral committee shall typically decide on an application for admission within six weeks during the lecture period. If the application for admission is rejected, the applicant must be informed of the reasons in writing.
- (5) The admission shall become valid with immediate effect. At the request of the doctoral candidate, it can be set for a later date within six months.
- (6) Upon admission to the doctorate, the doctoral committee shall issue the doctoral candidate with a certificate of admission to the doctorate.
- (7) As a rule, the doctoral thesis should be submitted after three years. The doctoral committee may extend the deadline upon request. Acceptance as a doctoral candidate may be revoked for good cause at the request of the supervisor if the doctoral candidate is not expected to successfully complete the doctoral thesis after five years or if the obligations of the doctoral candidate under the doctoral agreement are not met. The doctoral candidate must be given an opportunity to comment before a resolution is passed.

§ 8 Scientific supervision of the doctoral candidate

- (1) Upon acceptance as a doctoral candidate, the faculty undertakes to assess a doctoral thesis on the specified topic and to support the doctoral candidate in the preparation of the doctoral thesis.
- (2) The university lecturers of the faculty are obligated to take on supervisions within the scope of their possibilities limited by their tasks in research, teaching, and self-administration.
- (3) The doctoral candidate shall nominate a supervisor to the doctoral committee in accordance with § 3. The doctoral committee shall appoint the nominated person if they are willing to accept that position and if the concept of the doctoral thesis submitted by the doctoral candidate indicates that the purpose of the doctorate in accordance with § 2 (1) is likely to be achieved.

- (4) A written doctoral agreement is concluded between the doctoral candidate and the supervisor with the minimum contents in accordance with § 38 (5) LHG (see Annex 1).

This shall include a schedule and work plan that is adapted to the research topic and the personal life situation of the doctoral candidate. The doctoral candidate shall regularly report to the supervisor on the progress of the doctoral thesis project based on this. The supervisor is available at regular intervals to supervise and advise the doctoral candidate. Individual agreements between the doctoral candidate and the supervisor can be added to the work plan, e.g., the language in which the doctoral thesis is to be written. A change to the schedule shall require mutual agreement and must not run counter to the provisions of the doctoral degree regulations on the extension of deadlines.

In addition, an accompanying programme (e.g., subject-specific courses, courses to acquire key qualifications, stays abroad, participation in conferences, lectures, and publications) is agreed. The supervisor shall advise the doctoral candidate on the selection of appropriate courses.

The doctoral candidate and the supervisor commit to complying with the rules of good academic practice as set out in the recommendations of the German Research Foundation and the by-laws on safeguarding good academic practice and dealing with academic misconduct of Heidelberg University.

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

The doctoral candidate and the supervisor shall agree on the duration of the assessment procedure in accordance with the applicable doctoral degree regulations when submitting the doctoral thesis.

The doctoral committee may add further content to this agreement.

- (5) At the request of the supervisor or the doctoral candidate, the doctoral committee may appoint a second supervisor. Second supervisors must meet the requirements as evaluators in accordance with § 11 (2).
- (6) The doctoral committee may stipulate guidelines for doctoral theses which, among other things, prescribe the involvement of doctoral candidates in doctoral programmes or the organisation of workshops for doctoral candidates in a subject or subject group with presentation of the doctoral projects.
- (7) If any disputes arise, the ombudsperson for doctoral candidates at Heidelberg University can be called in to mediate.

§ 9 Doctoral thesis

- (1) The doctoral thesis must fulfil scientific requirements and demonstrate the doctoral candidate's ability to conduct independent scientific work in the doctoral subject.
- (2) The doctoral thesis comprises a monograph or scientific essays (cumulative). The requirements for cumulative doctoral theses are determined by the doctoral committee. Specifications in this regard can be defined on a subject-specific basis.
- (3) The doctoral thesis generally must be written in German or English. Upon written request, the doctoral committee may authorise the submission of a doctoral thesis written in another language, provided that the review in accordance with § 11 is possible. If a doctoral thesis is submitted in another language with the approval of the doctoral committee, the doctoral committee shall impose the condition of submission of a summary of the doctoral thesis in German or English, in which the research objectives, the methods used, and the research results are presented.

§ 10 Submission of the doctoral thesis and admission to the examination

- (1) Five copies of the doctoral thesis and, if applicable, a summary in accordance with § 9 (3) sentence 3 must be submitted to the doctoral committee in bound form; a further copy of the doctoral thesis must be submitted in electronic form in a verifiable format.
- (2) When submitting the doctoral thesis, the doctoral candidate must submit it in writing,
 1. an affidavit in accordance with Annex 2 of these doctoral degree regulations;
 2. a copy, signed by the applicant, of the instruction provided by the University in accordance with Annex 3 of these doctoral degree regulations on the significance and criminal consequences of the affidavit;
 3. a declaration as to whether the doctoral thesis has already been used elsewhere in this or another form as an examination paper or submitted to another faculty as a doctoral thesis;

4. a declaration of consent that the doctoral thesis may be checked for compliance with generally applicable scientific standards using electronic data processing programmes.
- (3) The doctoral thesis may have already been published wholly or in part.
 - (4) Approval shall be refused if
 1. the requirements for admission are not met;
 2. the documents are not complete;
 3. a doctoral thesis that has already been rejected by another examination authority or a doctoral thesis used as an examination paper in another examination procedure is submitted.
 - (5) Approval must be refused if
 1. the doctoral candidate has already made more than one unsuccessful attempt at acquiring a doctorate,
 2. there are any reasons that would justify withdrawal of an academic degree or if an academic degree has been withdrawn.

§ 11 Review of the doctoral thesis

- (1) The doctoral committee appoints at least two evaluators after submission of the doctoral thesis; the supervisor is usually one of the evaluators. At least one evaluator should be a university lecturer in accordance with § 44 (1) LHG of the faculty. The order should be placed within four weeks.
- (2) The evaluators of the faculty are generally authorised examiners and supervisors in accordance with § 3. In addition, university lecturers and associate professors from other faculties at Heidelberg University or other universities as well as professors from universities of applied sciences or the DHBW may be appointed as evaluators with their consent if the doctoral thesis deals with subject areas related to other subjects. At least half of all evaluators must be authorised examiners and supervisors of the faculty in accordance with § 3.
- (3) The evaluators propose the acceptance or rejection of the doctoral thesis and, in the case of a proposal for acceptance, one of the following grades:

summa cum laude	(1)
magna cum laude	(2)
cum laude	(3)
rite	(4)

Intermediate grades by increasing or decreasing the above grade levels by 0.3 are permitted. The grades 0.7 and 4.3 are not possible.

- (4) The evaluators may impose conditions on the publication of the doctoral thesis in their evaluations.
- (5) The evaluations should be submitted to the doctoral committee no later than four months after the evaluators have been appointed.

§ 12 Making available of the doctoral thesis and the evaluations

- (1) After receipt of the evaluations by the doctoral committee and notification to the professors, associate professors, and heads of junior research groups of the faculty as well as the doctoral candidate, the period of making available of two weeks begins in the dean's office of the faculty. The notification shall include the start of

the period of making available, the name of the doctoral candidate, the doctoral subject, the title of the doctoral thesis and the names of the evaluators.

- (2) All professors, associate professors, and heads of junior research groups of the faculty as well as the doctoral candidate have the right to inspect the doctoral thesis and evaluations. The evaluators as well as the members and deputies of the examinations committee receive a multiple copy of the evaluations.
- (3) After admission to the examination in accordance with § 10, the doctoral candidate may withdraw the doctoral thesis until receipt of the 1st evaluation. The statement must be addressed to the doctoral committee. In this case, the doctoral degree procedure will end. § 20 shall apply accordingly.

§ 13 Appointment of further evaluators

- (1) Professors, associate professors, and heads of junior research groups of the faculty have the right to apply to the doctoral committee for the appointment of an additional evaluator within the period of making available. The application must be justified in writing. The appointment should be made immediately, during the lecture period within three weeks of receipt of the application; the applicant may be appointed as an additional evaluator.
- (2) If further evaluators are appointed, § 11 shall apply accordingly.

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

If the doctoral committee determines that the majority of evaluations are negative, the doctoral thesis is rejected, and the doctoral degree procedure is terminated.

§ 15 Examinations committee

- (1) Once all evaluations have been received, the doctoral committee shall appoint an examinations committee, unless § 14 applies. The examinations committee is usually chaired by the supervisor. The examinations committee should be appointed within four weeks during the lecture period. Upon request, the doctoral committee shall inform the authorised examiners and supervisors of the faculty in accordance with § 3 and the doctoral candidate of the composition of the examinations committee.
- (2) The examinations committee comprise the evaluators and at least one other authorised examiner and supervisor from the faculty in accordance with § 3. In exceptional cases, a university lecturer or associate professor from another faculty at Heidelberg University or another university may be appointed as an additional examiner. One member of the examinations committee should not represent the doctoral subject and one member of the examinations committee must be an active university lecturer in the faculty. The examinations committee also includes a deputy in the event that a member of the examinations committee is unable to participate in the defence for overriding reasons.
- (3) The chair of the examinations committee shall set the date for the defence, convene the examinations committee, and invite the doctoral candidate to the defence.
- (4) Decisions of the examinations committee are made by majority vote and must be recorded in the minutes

§ 16 Decision on the doctoral thesis

- (1) The examinations committee shall decide on acceptance or rejection of the doctoral thesis. It can only reject the doctoral thesis if at least one evaluation recommends this.
- (2) If a doctoral thesis submitted for the first time is rejected, the doctoral candidate has the right to resubmit it within one year of the date of rejection following a revision. If a revised doctoral thesis is submitted on time, the doctoral degree procedure starts again at § 10. If no use is made of the right to revise the doctoral thesis or if the revised doctoral thesis is not submitted on time, the doctoral thesis is definitively rejected, and the doctoral degree procedure is terminated. If a justified application for an extension of the deadline is submitted within the one-year period, the doctoral committee may extend the deadline by up to 6 months.

§ 17 Defence

- (1) Once the doctoral thesis has been accepted, the doctoral candidate must conduct a defence lasting approximately 90 minutes on the doctoral thesis and related issues in their subject.
- (2) As a rule, the defence should take place within six weeks of the end of the period of making available. The chair of the examinations committee must inform the other members of the examinations committee and the doctoral candidate in writing of the time and place of the defence.
- (3) The chair of the examinations committee may allow doctoral candidates accepted by the faculty and, at the request of the doctoral candidate, other members of the University to attend the defence as members of the audience, subject to available places. Participation shall not include consultation and announcement of the examination result. The public must be excluded for important reasons or at the request of the doctoral candidate being examined.
- (4) The defence shall be chaired by the chairperson of the examinations committee.
- (5) A transcript of the course and content of the defence must be compiled.

§ 18 Decision on the defence result

- (1) Immediately after the defence, the examinations committee decides in a closed session whether the doctoral candidate's defence is to be recognised or rejected.
- (2) If the defence is rejected, the doctorate is rejected.

§ 19 Result of the doctorate

- (1) The examinations committee shall determine the grade of the doctoral thesis based on the evaluations, the grade of the defence based on the defence, and the overall grade based on both grades in a closed session, unless the doctorate is refused in accordance with §§ 14, 16 (2), and 18 (2).
- (2) § 11 (3) shall apply accordingly to the formation of the grades for the doctoral thesis and the defence.

- (3) The overall grade shall be determined as follows as the arithmetic total of the grade for the doctoral thesis weighted at two third and the grade for the defence weighted at one third:

at an average up to 1.50 (incl.):	summa cum laude
at an average above 1.50 to 2.50 (incl.):	magna cum laude
at an average above 2.50 to 3.50 (incl.):	cum laude
at an average above 3.50 to 4.0 (incl.):	rite

- (4) The doctoral candidate shall be informed of the result of the doctorate without undue delay.

§ 20 Repeating of results in the doctoral degree procedure

- (1) If the doctoral thesis is rejected in accordance with §§ 14 and 16 (2), the doctoral candidate may submit a new doctoral thesis. In this case, the doctoral degree procedure starts again at § 10. No further repetitions will be possible.
- (2) If the defence is rejected in accordance with § 18 (2), the doctoral candidate may repeat the defence upon submitting a written application to the examinations committee. The application must be received by the examinations committee no later than six months after the first defence. In this case, the doctoral degree procedure starts again at § 17. No further repetitions will be possible.

§ 21 Publication of the doctoral thesis

- (1) Once the results in the doctoral degree procedure have been completed, the doctoral thesis must be published in accordance with (5) no later than two years after the defence or a publishing contract must be submitted, provided that the doctoral candidate also guarantees publication and submission free of charge in accordance with (5) within three years of the date of the contract.
- (2) All rights acquired through the examination components shall expire if the deadline specified in (1) is missed. In special cases, the deadline may be extended if the doctoral candidate submits a justified application in good time. The chair of the doctoral committee decides on an extension of up to six months, beyond that the doctoral committee decides.
- (3) If the examinations committee has reservations about the publication of the doctoral thesis in the form submitted, it may impose conditions on the doctoral candidate. If conditions have been imposed in accordance with § 11 (4), the examinations committee must impose these conditions itself.
- (4) Before publishing the doctoral thesis, the doctoral candidate must obtain permission to reproduce the doctoral thesis from the chair of the examinations committee. If conditions have been imposed in accordance with paragraph 3, the chair shall decide in agreement with the members of the examinations committee.
- (5) Publication may take place
1. by electronic publication in Open Access on the document server offered by Heidelberg University Library (UB). In addition, a print-

ed and bound text-identical deposit copy must be submitted to the University Library free of charge.

2. by printing in a publication series or as an independent book in a publisher's bookshop, provided that a minimum print run of 100 copies can be documented. In this case, three deposit copies must be delivered to the University Library free of charge. A lower minimum print run is acceptable if the publisher fulfils further orders via the print-on-demand process. The doctoral candidate is responsible for providing proof of this.
- (6) In the case of a reproduction in accordance with para. 5, a printer's mark shall be added stating that it is a Heidelberg doctoral thesis. If the title is changed, reference to the title of the submitted doctoral thesis must be made.
- (7) In addition to the deposit copies for the University Library specified in para. 5, two copies of the published doctoral thesis shall be submitted to the dean's office and one copy each to the evaluators free of charge.
- (8) If a thesis has been accepted as a doctoral thesis which was already published in full at the time of submission in accordance with § 10 (3), the obligation to publish in accordance with para. 1 shall not apply if the present publication fulfils the requirements in accordance with para. 4.

§ 22 Award of the degree certificate and conferral of the Dr. rer. pol. degree

- (1) If the doctoral candidate has submitted the deposit copies or the publishing contract in accordance with § 21 (1) in good time, the degree "doctor rerum politicarum" (Dr. rer. pol.) shall be conferred by handing over or delivering the doctoral certificate. The doctoral certificate contains the title of the doctoral thesis, the overall grade and the doctoral subject and states the date of the defence as the date of the doctorate.
- (2) If the doctorate is conferred after submission of a publishing contract, the conferral may be revoked if the deposit copies are not submitted within the period specified in § 21 (1). The doctoral candidate may apply for an extension of the submission deadline by a maximum of a further two years.
- (3) The right to use the title of doctor is only acquired upon receipt of the doctoral certificate.
- (4) The doctoral degree procedure is completed with the publication of the doctoral thesis and the submission of the deposit copies.

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

- (1) For outstanding scientific achievements in the field of economics and social sciences, including related fields, the faculty may award the degree "doctor rerum politicarum honoris causa" (Dr. rer. pol. h.c.) with the approval of the senate.
- (2) The award requires the application of at least three university lecturers or associate professors of the faculty. The faculty council appoints two university lecturers or associate professors from among its members as rapporteurs to prepare for its decision. After receiving the evaluations, the faculty council shall decide by a three-quarters majority of its members holding a doctorate.

- (3) The Dr. rer. pol. h.c. degree is conferred by presenting a degree certificate in which the faculty justifies the conferral with the scientific merits of the person thus honoured that it has recognised.

§ 24 Withdrawal and cancellation of admission; invalidity of results in the doctoral degree procedure

- (1) If it transpires before the doctoral certificate is issued that the candidate has misled the doctoral committee about an admission requirement or that essential admission requirements have been wrongly assumed to have been met, the faculty council may revoke admission to the doctorate at the request of the doctoral committee. The same shall apply if any facts become known that would justify revocation of the doctorate under state law.
- (2) If it becomes apparent before the doctoral certificate is issued that the candidate has cheated in a doctoral performance, the faculty council may, at the request of the doctoral committee, declare this doctoral performance or all previous results in the doctoral degree procedure invalid or, in serious cases, revoke admission to the doctorate.
- (3) The person concerned must be heard before a resolution is passed. The decision must be substantiated and sent to the person concerned with information on legal remedies.

§ 25 Withdrawal of the doctorate

- (1) Withdrawal of the doctorate shall be subject to the provisions of state law. The faculty council is responsible if there are no provisions on responsibility.
- (2) The person concerned must be heard before a resolution is passed. The decision must be substantiated and sent to the person concerned with information on legal remedies.

§ 26 Entering into effect, transitional provisions

- (1) These by-laws shall enter into effect on the day following their publication in the Rector's Gazette
- (2) For doctoral degree procedures that have already been initiated at the time these regulations enter into effect, the previous provisions of the doctoral degree regulations of 02 November 2015 shall apply upon request, provided that the Act on Higher Education of the Land of Baden Württemberg does not conflict with them.

Heidelberg, 17 March 2021

Professor Dr rer. nat. Bernhard Eitel
Rector

Annex 1
Doctoral agreement

Preliminary remark

This agreement (in accordance with § 38 (5) LHG) serves to support and advise the doctoral candidate in their doctoral project. No enforceable legal positions arise from the doctoral agreement. The agreement is based on the currently possible planning horizon and can be amended by mutual agreement. The agreement is subject to acceptance by the faculty and is based on the respective doctoral degree regulations and, if applicable, on the regulations of the structured doctoral programme.

(1) Participating persons

Doctoral candidate (last name, first name)

Supervisor (last name, title, first name)

(2) Topic and department of the doctoral thesis

a) Planned topic of the doctoral thesis (working title):

b) Faculty:

c) Department / possibly structured doctoral programme:

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

e) Planned end of the doctoral project (month/year)

(3) Time and work plan to be updated

(4) Details of an individual study programme

The following accompanying programme (e.g., subject-specific courses, courses to acquire key qualifications, stays abroad, participation in conferences, lectures, and publications) is agreed:

(5) Assessment times

The doctoral candidate and supervisor shall agree on the duration of the assessment procedure in accordance with the applicable doctoral degree regulations when submitting the doctoral thesis.

(6) Compliance with the rules of good academic practice

The doctoral candidate and the supervisor commit to complying with the rules of good academic practice as set out in the recommendations of the German Research Foundation and the by-laws on safeguarding good academic practice and dealing with academic misconduct of Heidelberg University.

(7) Rules for the resolution of disputes

Doctoral candidates or supervisors may turn to the independent ombudsperson for doctoral candidates, who shall act as an advisory service and mediation office at Heidelberg University, if there are any conflicts.

(8) Miscellaneous

Date, signature (doctoral candidate)

Date, signature (supervisor)

Stamp of the faculty/received on:

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

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

1. *The doctoral thesis submitted on the topic of*

.....
independently.

2. *I have only used the sources and aids indicated and have not made use of any unauthorised help from third parties. In particular, I have labelled content taken literally or accordingly from other works as such.*

3. *I have not¹ yet submitted the thesis or parts of it to another university in Germany or abroad as part of an examination or qualification*

Title of the work:

University and year:

Type of examination or qualification achievement:

4. *I confirm that the above declarations are correct.*

5. *I am aware of the significance of the affidavit and the consequences under criminal law of an incorrect or incomplete affidavit.*

I declare on oath that I have stated the absolute truth to the best of my knowledge and have not concealed anything.

Place and date

Signature

¹ Delete as appropriate. If the answer is in the affirmative, the following must be stated: the title of the work submitted elsewhere, the university, the year of submission and the type of examination or qualification.

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

**Affidavit
Instruction**

The universities in Baden-Württemberg require an affidavit on the independence of the scientific work performed in order to provide credible assurance that the doctoral candidate has performed the scientific work independently.

Because the legislator attaches particular importance to the affidavit and it can have considerable consequences, the legislator has made the submission of a false affidavit a criminal offence. If a false declaration is made intentionally (i.e., knowingly), a custodial sentence of up to 3 years or a fine may be imposed.

Negligent submission (i.e., submission although you should have recognised that the declaration does not correspond to the facts) can result in a custodial sentence of up to one year or a fine.

The relevant criminal provisions are set out in § 156 StGB (false declarations in lieu of an oath) and in § 161 StGB (negligent false declaration, negligent false affidavit).

§ 156 StGB: False affidavit

Any person who falsely makes an affidavit before a public authority competent to take an affidavit or makes a false statement in reliance on such an affidavit shall be liable to a custodial sentence not exceeding three years or to a monetary penalty.

§ 161 StGB: Negligent false statement, negligent false affidavit:

Para. 1: If one of the offences specified in § 154 to 156 has been committed through negligence, a custodial sentence not exceeding one year or a monetary penalty shall be imposed.

Para. 2: Impunity arises if the offender corrects the false affidavit in time. The provisions of § 158 (2) and (3) apply accordingly.

Place and date

Signature