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## **PhD Regulations for the Faculty of Business Administration and Economics of European University Viadrina**

**Dated 20 April 2016**

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### **Section 1**

#### **Doctoral degree and purpose of the PhD**

(1) The Faculty of Business Administration and Economics of European University Viadrina awards the academic degree of "Doktor/Doktorin der Wirtschaftswissenschaften" (Dr. rer. pol.).

(2) The PhD procedure serves to demonstrate the candidate's ability to conduct in-depth scientific work. The doctoral degree is awarded on the basis of scientific work (thesis) that is based on independent research and an oral examination (defence).

(3) Pursuant to section 4 hereof, the Faculty of Business Administration and Economics of European University Viadrina can award the title of "Doktorin ehrenhalber" or "Doktor ehrenhalber" (Dr. rer. pol. h.c.) in recognition of outstanding scientific achievements.

## **Section 2 PhD procedure**

- (1) The PhD procedure is carried out by the dean, the faculty council and the examination bodies.
- (2) Examination bodies are the PhD admission board (section 3) and the PhD commission (section 13).

## **Section 3 PhD admission board**

- (1) The faculty council is responsible for the organisational and administrative performance of PhD matters and procedures. It appoints a PhD admission board.
- (2) The faculty council appoints the PhD admission board and the chairperson, who must be a professor, for a term of two years. The PhD admission board consists of three professors or junior professors with a proven academic track record within the meaning of section 46 (2) sentence 1 of the University Act of the Federal State of Brandenburg and one academic collaborator of the Faculty of Business Administration and Economics holding a PhD. Employees having applied for admission to the PhD procedure do not qualify as members of the PhD admission board. One university professor/ junior professor within the meaning of subsection (2) sentence 2 and an academic collaborator holding a PhD must be proposed as deputies. If the academic collaborators fail to propose an employee holding a PhD for election and appointment by the faculty council, the PhD admission board consists solely of university professors/ junior professors within the meaning of subsection (2) sentence 2.
- (3) The PhD admission board reports to the faculty council. The PhD admission board informs the faculty council of its decisions and of those of the PhD commission appointed by it. In the case of suspected procedural shortcomings during the performance of a PhD procedure or in the case of disputes between the PhD admission board or the PhD commission and a doctoral researcher, the faculty council can intervene and must decide at the request of a member of the PhD admission board, the PhD commission, the doctoral researcher or the supervisor. However, the faculty council cannot change the assessments submitted by the reviewers.
- (4) The PhD admission board constitutes a quorum if all members were invited in writing, by fax or e-mail five working days in advance and if the majority of members, including the majority of university professors/ junior professors, are present and entitled to vote. The PhD admission board normally meets at least once per semester.
- (5) The PhD admission board makes its decisions, typically at meetings, with a simple majority of the votes cast, including the majority of university professors/ junior professors. An alternative procedure is the circulation procedure for decisions in suitable cases, especially in cases where the question concerned can be answered with "yes" or "no". Voting rights may not be transferred. In the event of a tie, the chairperson has the casting vote. Minutes must be drawn up of the meeting which must show the date and place of the meeting, the names of the persons present, the matters dealt with, as well as motions, decisions and the voting result.

## **Section 4 Honorary PhD**

- (1) The awarding of an honorary PhD pursuant to section 1 (3) hereof is contingent upon a written application by at least three university professors/ junior professors of the Faculty of Business Administration and Economics of European University Viadrina. The application

must be submitted to the dean. The dean forwards the application to the chairperson of the PhD admission board. If at least three quarters of the members of the PhD admission board support the awarding of the proposed honorary PhD, the chairperson of the PhD admission board submits the application to the faculty council. The faculty council decides, on the basis of its consideration of the comments submitted, with three quarters of the votes cast whether or not the application to award the honorary PhD title is accepted.

(2) The dean awards the honorary PhD by handing over a certificate signed by the president and the dean and honouring the scientific work of the person honoured. The right to use the honorary PhD title is awarded by handing over the certificate.

## **Section 5**

### **Joint PhD procedures with universities in Germany and co-operative PhD procedure**

(1) The performance of joint PhD procedures with other domestic universities authorised to perform PhD procedures or universities of applied sciences is based on bilateral agreements between European University Viadrina and the respective universities or universities of applied sciences.

(2) Agreements with universities of applied sciences should include a provision setting forth that the thesis is supervised each by a professor/ junior professor of European University Viadrina and by a professor of the respective university of applied sciences (co-operative PhD procedure).

## **Section 6**

### **Binational PhD procedures**

(1) A binational PhD procedure is performed on the basis of a co-operation agreement between European University Viadrina and the respective foreign university (Cotutelle procedure).

(2) Such agreements can contain provisions that differ from the PhD regulations of the faculty if this is the only way to achieve harmonisation with the PhD regulations of the partner university. The proposed deviation must be communicated to the faculty council and justified before the co-operation agreement is signed. The PhD admission board issues a positive or negative comment thereon.

## **Section 7**

### **Admission procedure**

The following preconditions must be generally fulfilled for admission to the PhD procedure:

- a) A completed master's degree in business administration and/or economics from a university in the territory of the German Framework Act for Higher Education [Hochschulrahmengesetz] with a grade of "gut" [good] or better or
- b) A completed bachelor's degree in business administration and/or economics from a university in the territory of the German Framework Act for Higher Education with a grade of "sehr gut" [very good] and proof of special qualification through successful participation in three modules with at least 18 ECTS credits of the master programme of the Faculty of Business Administration and Economics of European University Viadrina with an average grade of "good" or better. The modules are determined by the PhD admission board.

(2) Applicants having a university degree of a German university other than the degree set forth in subsection (1) lit. a) or b) hereof can be admitted to the PhD procedure if their qualification is guaranteed for the subject to which the PhD project relates. The PhD admission board can admit the applicant to the PhD procedure on condition that certificates

of achievement are submitted within a defined period of time which are necessary in order to supplement the qualifications proven by the applicant.

(3) If the final result of an applicant as contemplated in subsection (1) lit. a) does not correspond to the grade mentioned there, the applicant can be admitted to the PhD procedure if his or her qualification is guaranteed for the subject to which the PhD project relates.

(4) Applicants holding a corresponding foreign university degree are admitted to the PhD procedure if the PhD admission board determines that the grade of such degree corresponds to the final grade as contemplated in subsection (1) lit. a) or b) hereof and that equivalence of the degree is ensured. Subsections (2) and (3) apply analogously.

(5) An applicant is not admitted to the PhD procedure if he or she has already received the PhD degree in business administration and/or economics from a university entitled to confer the PhD degree and if he or she is entitled to use this title in Germany or if he or she has finally failed a PhD examination in business administration and/or economics.

(6) The applicant must send the application for admission to the PhD procedure to the chairperson of the PhD admission board.

(7) The application for admission to the PhD procedure must be accompanied by documents suitable to demonstrate fulfilment of the preconditions as contemplated in section 7 (1) to (4) hereof. The working title and a description of the PhD project must also be submitted. The PhD project must originate from a subject that is represented by at least one professor or junior professor pursuant to section 3 (2) sentence 2 hereof, an associate professor [Privatdozent/-in] or a retired professor of the Faculty of Business Administration and Economics. Heads of junior research groups of the faculty can act as supervisors on request and after approval by the PhD admission board. The applicant must propose a supervisor from this group of persons as contemplated in sentences 3 and 4 who represents the subject and who is willing to fulfil this function. The same applies to co-operative PhD procedures where additionally a professor of the co-operation institute holding a PhD degree is proposed and willing to act as supervisor.

(8) Admission can be denied if circumstances exist due to which a PhD degree already awarded could be withdrawn pursuant to section 21 (2).

(9) The PhD admission board decides on applications for admission to the PhD procedure. The reasons for negative decisions must be given in writing and include information regarding appeals.

## **Section 8**

### **Acceptance as a doctoral researcher and supervision**

(1) The acceptance as a doctoral researcher at European University Viadrina is effected by signing a PhD agreement pursuant to subsection (2) or by admission to a research training group [Graduiererkolleg] that requires the signing of a PhD agreement in this context. Enrolment is carried out pursuant to section 31 (6) sentence 1 of the University Act of the Federal State of Brandenburg. Admission to the PhD procedure is carried out pursuant to section 7 hereof.

(2) PhD agreements within the meaning of section 31 (8) of the University Act of the Federal State of Brandenburg set forth concrete rights and obligations of doctoral researchers, their respective scientific supervisors pursuant to section 7 (7) sentences 3, 4 and 6 hereof, and the faculty. As a minimum, the agreements include references to the commencement date of the PhD and regular scientific meetings as well as a statement that the doctoral researcher has read these PhD regulations as well as the "Directive to Secure Good Scientific Practice and to Avoid Scientific Misconduct at European University Viadrina" [Richtlinie zur Sicherung guter

wissenschaftlicher Praxis und zur Vermeidung wissenschaftlichen Fehlverhaltens an der Europa-Universität Viadrina Frankfurt (Oder)] in its applicable version. The PhD agreement template, including related information and recommendations regarding its completion, is attached to these PhD regulations as a non-binding appendix. A copy of the PhD agreement must be immediately submitted to the PhD admission board. The application for admission to the PhD procedure pursuant to section 7 (6) and (7) must be submitted no later than two years after the signing of the PhD agreement. If this deadline is exceeded, the applicant will no longer be admitted to the PhD procedure unless this violation is beyond the applicant's control.

(3) In the event of suspected scientific misconduct, the case can be referred to the independent person of trust (Ombudsperson) of European University Viadrina pursuant to section 5 (1) of the Directive to Secure Good Scientific Practice and to Avoid Scientific Misconduct at European University Viadrina dated 17 July 2002. In the event of any disputes, the parties to the PhD agreement can additionally contact an independent arbitrator pursuant to section 24 of the Statutes of European University Viadrina dated 28 January 2015, as last amended on 27 January 2016.

(4) The supervision relationship can be continued beyond the supervisor's departure from the European University Viadrina at the supervisor's request. The request must be addressed to the PhD admission board.

(5) The PhD agreement can be terminated by mutual agreement as long as no application for admission to the PhD procedure was filed. The PhD admission board must be informed. In the case of violations of agreements or good scientific practice, the PhD agreement can be terminated by written notice of the supervisors or the doctoral researcher to the PhD admission board with the PhD admission board to be informed likewise. Admission also becomes void as a result of this.

(6) Participation in courses of the doctoral researchers' programme of the Faculty of Business Administration and Economics representing a total of 10 ECTS credits is required as part of the PhD procedure. One ECTS credit typically corresponds to a total workload of 30 working hours. The courses are selected in agreement with the supervisor.

(7) Studies and examinations completed in other forms are recognised on request by the PhD admission board on condition that these correspond to a result within the meaning of subsection (6) sentences 1 and 2 hereof. The courses are selected in agreement with the supervisor.

(8) Furthermore, three presentations in doctoral researchers' seminars or at scientific meetings, symposiums, workshops are mandatory as part of the PhD procedure.

## **Section 9**

### **Compensation for disadvantages and non-discrimination rules**

(1) Cases of special hardship (such as longer periods of illness) must be taken into consideration in the PhD agreement. When hardship occurs during the course of the PhD procedure, the PhD agreement must be adjusted accordingly.

(2) Doctoral researchers making use of the statutory protection periods under the German Maternity Protection Act [Mutterschutzgesetz] and/or who are on parental leave and/or who look after or care for children outside the statutory parental leave or who look after or care for close relatives are supported by taking their specific needs into consideration during the thesis and defence phase; this should be reflected in the PhD agreement. The PhD admission board in charge decides on concrete compensatory measures after the special situation has been sufficiently demonstrated. The doctoral researcher is obliged to immediately report any changes in preconditions. The PhD agreement must be amended accordingly.

(3) The thesis and defence procedures aim to consider the specific needs of doctoral researchers with disabilities within the meaning of section 3 of the German Equal Opportunities for People with Disabilities Act [§ 3 Behindertengleichstellungsgesetz] and of doctoral researchers with chronic diseases; this should be reflected in the PhD agreement. If the doctoral researcher, by submitting a medical certificate, proves that he or she, due to longer or permanent physical disability or chronic disease, is unable to perform the oral and written parts of the examination, as a whole or in part, in the usual way, the PhD admission board can allow that the procedures for the examinations are adapted accordingly. The PhD admission board can additionally request submission of a certificate issued by a public health officer. The doctoral researcher is obliged to immediately report any changes in circumstances. The PhD agreement must be amended accordingly.

## **Section 10**

### **Application for admission to the PhD examination**

(1) The doctoral researcher's written application for admission to the PhD examination must be sent to the chairperson of the PhD admission board. The following documents must be included in the application:

- a) A report on the doctoral researcher's professional career in German or English with special emphasis on the doctoral researcher's education history
- b) Proof of the doctoral researcher's admission to the PhD procedure
- c) Proof of the achievements as contemplated in section 8 (6) to (8) hereof
- d) The thesis in four bound copies with page numbers written using a word processing program, as well as one electronic version of the thesis submitted in a customary file format that must be suitable for plagiarism checking
- e) In the case of a cumulative PhD procedure: the published and/or accepted articles, confirmation, if applicable, of acceptance of the articles, a description of the PhD project and of the conceptual connection between the publications as well as a description (signed by all co-authors) of each author's share in the publications
- f) An affidavit by the doctoral researcher listing the PhD examinations already taken, including the results thereof
- g) An affidavit with a reference to the Directive to Secure Good Scientific Practice and to Avoid Scientific Misconduct at European University Viadrina dated 17 February 2002 [Richtlinie zur Sicherung guter wissenschaftlicher Praxis und zur Vermeidung wissenschaftlichen Fehlverhaltens an der Europa-Universität Viadrina Frankfurt (Oder)] in its applicable version stating that the doctoral researcher has personally written the thesis, not used any external help and not used any references other than those listed in the list of references of the thesis, and that the thesis has not been the subject matter of a PhD examination at another university.

(2) The PhD admission board issues a written notice on the application for admission to the PhD examination which, when negative, must include reasons therefor and information regarding appeals. Admission must be denied if

- a) the application is incomplete or incorrect or
- b) the preconditions for admission as required pursuant to subsection (1) hereof are not fulfilled.

(3) When the doctoral researcher is admitted to the PhD examination, the PhD admission board appoints at least two reviewers for the thesis, including all supervisors of the thesis. The PhD admission board can also appoint an external reviewer; in the case of a co-operative procedure as contemplated in section 5 (2) hereof, the thesis should be supervised by a university professor/ junior professor of the Faculty of Business Administration and Economics and a university professor of the university of applied sciences, and university professors of

the university of applied sciences should be appointed as reviewers. Junior professors and honorary professors holding a PhD can also be reviewers. If the thesis concerns the subject of another faculty of European University Viadrina, a reviewer can belong to another faculty.

(4) Retired professors are not obliged to serve as second reviewers.

(5) The application for admission to the PhD examination can be withdrawn as long as the PhD procedure has not yet been completed by a decision that the thesis was failed or the defence has begun.

## **Section 11 Thesis**

(1) The normal languages of a thesis are German or English. The thesis can be written in another language if supervision, assessment and inspection are ensured. The choice of a language other than German or English must be stated in the application for admission to the PhD procedure pursuant to section 7 hereof. Cumulative theses can contain articles in several languages.

(2) The thesis in the form of a monograph must cover a scientific subject and constitute independent scientific work by the doctoral researcher.

(3) The written part of the PhD examination can also be performed in the form of a series of at least three scientific articles on a coherent subject (cumulative thesis) dealing with scientific topics from the field of Business Administration and Economics and connected by an overarching issue from which the subject of the thesis emerges. The scientific articles must be worthy of publication and fulfil one of the following requirements:

- a) At least one of the scientific articles has been accepted for publication by a renowned referenced international scientific journal.
- b) At least two of the scientific articles have been accepted for publication by renowned referenced scientific journals.

(4) Empirical data collected must also be submitted in its entirety in electronic form along with the thesis.

## **Section 12 Assessment, revision, rejection of the thesis**

(1) Each reviewer submits a substantiated assessment of the thesis. The assessment can contain requirements for the final version. Requirements aiming at changing the subject of the thesis submitted are not permitted. The assessment must recommend acceptance, rejection (insufficient) or revision of the thesis. The proposal to accept the thesis must be combined with a mark for the thesis on the basis of the system specified in section 15 (1) and (2) hereof. Assessments of theses already revised can no longer propose revision.

(2) Assessment by the reviewer must be carried out within three months. Exceptions from this deadline can be permitted by the PhD admission board at a reviewer's request.

(3) If one of the reviewers proposes to reject the thesis or if the proposed marks for the thesis on the basis of the system specified in section 15 (1) and (2) hereof differ by more than one mark, the PhD admission board appoints another – even external, when necessary – reviewer who has a PhD and is a university professor.

(4) After the assessments have been submitted, the thesis and the assessments are laid open at the dean's office for inspection for two weeks by the professors, junior professors, associate

professors [Privatdozenten/-innen], honorary professors as well as retired professors of the faculty and the members of the PhD admission board. Any member of the above-mentioned group can file an objection within another period of one week.

(5) In the case of an objection as contemplated in subsection (4) sentence 2 hereof, the faculty council decides whether or not the thesis will be accepted. If no objection is filed and if all reviewers support acceptance of the thesis, the thesis is then deemed to be accepted. This is determined by the PhD admission board. If no objection as contemplated in subsection (4) sentence 2 hereof is filed, the PhD admission board decides whether or not the thesis will be accepted in cases contemplated in subsection (3) hereof.

(6) A revised thesis is accepted if all reviewers support this and if no objection as contemplated in subsection (4) sentence 2 hereof is filed. If at least one reviewer proposes rejection of the revised theses, these are then finally rejected. The PhD admission board establishes acceptance or rejection of the theses. If an objection as contemplated in subsection (4) sentence 2 hereof is filed, the PhD admission board decides on acceptance or rejection.

(7) If the thesis is rejected (insuffizienter), the doctoral researcher can repeat his or her PhD application once with a thesis on another topic.

(8) A thesis cannot be revised more than once.

(9) The thesis must be returned to the doctoral researcher for revision when this is proposed by one reviewer pursuant to section 12 (1) hereof or when the faculty council or the PhD admission board decide this pursuant to section 12 (5) hereof.

(10) If the thesis is returned for revision and not submitted again within one year or a longer period not to exceed two years granted to the doctoral researcher at the PhD admission board's request, the thesis is then considered to be rejected.

(11) Following revision of the thesis within the period granted, the thesis must be submitted to the reviewers and assessed by these again pursuant to section 12 (1) hereof. The thesis is deemed to be rejected if this deadline for revision is exceeded.

(12) Instead of revising the thesis, the doctoral researcher can repeat his or her application for admission to the PhD procedure once with a new thesis on a different subject within a period not to exceed two years.

(13) Theses that have been rejected are retained, including all assessments, in the files of the faculty.

### **Section 13 PhD commission**

(1) After the thesis has been accepted, the doctoral researcher must defend it. For this purpose, the PhD admission board convenes the PhD commission immediately after acceptance of the thesis for the forthcoming PhD procedure and appoints the chairperson of this commission. The chairperson may not at the same time be supervisor of the thesis.

(2) The PhD commission has the following tasks:

- a) To schedule and perform the defence
- b) To assess the defence
- c) To determine the overall grade

(3) The PhD commission consists of four professors and/or junior professors – taking the



provisions of subsection (4) hereof into consideration – and/or associate professors [Privatdozenten/-innen] and a fourth academic collaborator with a PhD of the Faculty of Business Administration and Economics of European University Viadrina. The PhD commission meets in closed session.

(4) The supervisors of the thesis are members of the PhD commission. External reviewers as contemplated in section 10 (3) hereof as well as reviewers from another faculty of European University Viadrina can be members of the PhD commission. In the case of co-operative PhD procedures, both reviewers are members of the PhD commission.

(5) The PhD commission can only pass resolutions with the votes of all members entitled to vote. When a member leaves the commission, the PhD admission board appoints a successor in agreement with the PhD commission.

(6) The PhD commission appoints a keeper of minutes for the defence.

#### **Section 14 Defence**

(1) The defence should take place within six weeks after acceptance of the thesis. The PhD admission board can extend the deadline at the doctoral researcher's request.

(2) The chairperson of the PhD commission informs the doctoral researcher of the members of the PhD commission and the date of the defence. No later than two weeks before the date of the defence, the doctoral researcher must submit to the PhD commission a summary of the main results of his or her thesis in German or English.

(3) The defence can be performed in a language other than German if the performance of the defence is ensured. The defence covers the thesis, the assessments and the summary of the main results presented and begins with an oral presentation by the doctoral researcher not exceeding 30 minutes. The defence takes around one hour.

(4) The members of the PhD admission board, of the PhD commission as well as other members of the faculty holding a PhD degree are entitled to ask the doctoral researcher questions as part of the defence.

(5) The defence is open to members of the university subject to available space.

(6) If a doctoral researcher fails to attend the defence without a valid reason, the defence is then deemed to be failed. The reasons for failing to attend must be immediately communicated and substantiated to the PhD admission board in writing. The doctoral researcher is obliged to submit a medical certificate in the event of illness. The PhD admission board decides whether the reasons stated are sufficient.

#### **Section 15 Grade of the PhD examination**

(1) The following marks of the individual parts of the examination and the following overall grade are awarded:

summa cum laude	(1) = particularly outstanding
magna cum laude	(2) = worth special recognition
cum laude	(3) = good
rite	(4) = satisfactory
insufficienter	(5) = insufficient

(2) In order to enable a differentiated assessment of the examination results, intermediate marks can be awarded by reducing or increasing the individual marks by 0.3; the following marks, however, being excluded: 0.7; 4.3; 4.7 and 5.3.

(3) The PhD commission determines the mark of the defence once completed. The PhD commission also determines the overall PhD grade.

(4) If the doctoral researcher's defence result is "insufficenter", the oral examination is not passed.

(5) In calculating the overall grade of the PhD examination, only the first decimal place of the average mark of the assessments and of the average mark of the defence is considered; all further decimal places are deleted without rounding. The overall PhD grade is made up of the mark of the assessments and of the defence. The overall PhD grade is calculated from the average mark of the assessments (counting twice) and the mark of the defence (counting once).

The overall PhD grade must be determined as follows:

Average of up to 1.5	= summa cum laude
Average of above 1.5 to 2.5	= magna cum laude
Average of above 2.5 to 3.5	= cum laude
Average of above 3.5 to 4.0	= rite

Only the first decimal place is considered here.

(6) The chairperson of the PhD commission communicates to the doctoral researcher the result of the defence and the overall PhD grade in the doctoral researcher's presence.

(7) Minutes must be taken of the defence proceedings. The minutes must be signed by the chairperson of the PhD commission and the keeper of the minutes and are included in the examination files.

## **Section 16 Repetition**

If the defence was failed, it can be repeated once. The repeat defence must take place within a maximum of one year after the first defence. The PhD admission board determines the date. If this date is missed, the PhD examination is then deemed to be finally failed.

## **Section 17 Special notice of negative decisions**

Rejection of the thesis and the decision that the defence has not been passed must be communicated to the doctoral researcher by the PhD admission board within one month in a written notice including information regarding appeals.

## **Section 18 Publication of the thesis**

(1) In the case of a cumulative thesis as contemplated in section 11 (3) hereof, the thesis is deemed to be published. The provisions of subsections (2) to (6) hereof apply to monographs.

(2) After the defence has been successfully passed, print permission must be obtained prior to publishing the thesis. It must be granted by the chairperson of the PhD admission board if the text to be printed matches the version assessed. The PhD admission board can approve exceptions to this rule if the reviewers agree. In the case of requirements, print permission may only be granted if such requirements are fulfilled; this will be decided by the chairperson of the PhD admission board. After print permission has been granted, only editorial corrections are permitted before publication.

(3) The doctoral researcher must publish the thesis within one year after passing the defence. The following forms of publication are permitted:

- a) Publication as a monograph by a scientific publishing house with a circulation of at least 150 copies, or in a scientific journal
- b) Publication of the thesis as an electronic publication on a server of the university library of European University Viadrina, with the data format and medium, including the form and content of a declaration of consent to publication to be agreed upon with the university library of European University Viadrina.

If a form of publication as contemplated in subsection (3) lit. a) or b) is chosen, five printed copies must be handed over to the PhD admission board.

- c) Publication in a printed form by the doctoral researcher. Ten printed copies must be handed over to the PhD admission board. The printed copies must be accompanied by a digital version of the text and a declaration of consent provided by the university library that the thesis may be published in digital form on a server by the university library. The data format and medium must be agreed upon with the university library. If a large number of printed copies is requested, the university library will inform the author. The author can then hand over further copies to the university library. Otherwise the thesis will be published as a digital version. If the author signs an agreement with a publisher, he or she has to immediately notify the university library thereof and hand over two copies of the book to the university library.

All copies to be handed over as contemplated in subsection (3) lit. a) to c) must show on the back of the title page the names of the reviewers, the name of the Faculty of Business Administration and Economics of European University Viadrina as well as the date of the defence.

(4) The faculty council can allow printing of an abbreviated version if there is a special interest in publishing the thesis in a particular scientific series or journal.

(5) If the required copies are not submitted within one year after the PhD examination has been passed, all rights acquired through the PhD examination will become void. The PhD admission board can extend the deadline for submission in special cases. The application must be submitted and substantiated by the doctoral researcher in due time.

## **Section 19**

### **Conclusion of the PhD procedure, PhD certificate**

(1) After handing over of the required copies pursuant to section 18 (4), the PhD (Dr. rer. pol.) is awarded by handing over the PhD certificate. The certificate shows the title of the thesis, the date of the defence, the overall grade of the PhD as well as the names of the president and dean. The certificate is issued in German and English and signed by the president and dean.

(2) The right to use the PhD only becomes effective after the PhD certificate has been handed over. The faculty council can in exceptional cases authorise the doctoral researcher to use the

title even before; such authorisation may only be granted if the doctoral researcher proves that printing is ensured and will take place in the foreseeable future.

## **Section 20 Archiving periods**

(1) It is not permitted to destroy examination documents if an appeal was lodged or a lawsuit filed in an examination procedure and if the appeal procedure is not yet ended.

(2) The retention periods for examination documents of PhD procedures are as follows:

a) Fifty years for the following documents:

- the thesis submitted
- the assessments
- the minutes of the oral PhD examination (defence)
- drafts, carbon copies or copies of the PhD certificate
- if the examination was not passed: the draft, carbon copy or copy of the notice sent to the doctoral researcher
- other examination documents of special importance

b) One year for applications for admission to the PhD procedure and to the PhD examination including the documents required for admission unless these were already returned to the applicant.

(3) Empirical data, especially primary data captured by the doctoral researcher during the course of the research work, must be archived for a term of five years. Archiving can be ensured by the university at research training groups or other research groups. Otherwise the PhD holder must ensure archiving.

(4) The period commences in each case on the expiration of the calendar year in which the PhD holder received the PhD certificate or in which the PhD procedure was found to be concluded.

(5) The retention periods apply to all documents mentioned in subsections (2) and (3) hereof including the documents already archived.

## **Section 21 Invalidity and revocation of the PhD degree**

(1) In the event that serious misconduct, such as deception or plagiarism, on the part of the doctoral researcher is found before the conclusion of the PhD procedure pursuant to section 19, the faculty council can, at the supervisor's request to the PhD admission board or on its own, after having heard the doctoral researcher, declare the results of the PhD procedure to be invalid.

(2) Notwithstanding section 48 of the German Administrative Procedures Act [§ 48 Verwaltungsverfahrensgesetz], the PhD degree is to be withdrawn if

- a) it is subsequently found that it was obtained through deception in the PhD examinations or through deception with regard to important preconditions of the PhD procedure;
- b) the PhD holder is convicted of an intentional crime and has misused the PhD degree in the preparation or commitment thereof.

(3) If the preconditions for admission to the PhD procedure were not fulfilled without the PhD holder planning deception in this respect, and if this fact is only discovered after the certificate was handed over, this defect is remedied by the successful passing of the PhD examination.

(4) The faculty council decides on withdrawal of the title after having heard the PhD holder. The president must be heard before the decision is made.

## **Section 22 Suspension of the PhD procedure**

The PhD procedure can be suspended during investigation or criminal proceedings related to a crime which would justify withdrawal of the PhD title in the case of conviction. This decision is made by the faculty council.

## **Section 23 Quality assurance**

In order to achieve a high level of quality in the field of research and graduate education, European University Viadrina constantly evaluates the quality assurance measures as contemplated in these PhD regulations. Further details are laid down in the Regulations for the University's Internal Quality Assurance System in Studies and Teaching [Satzung zur Hochschulinternen Qualitätssicherung in Studium und Lehre] in their applicable version.

## **Section 24 Inspection of the examination file**

Doctoral researchers as well as PhD holders have the right to inspect all documents concerning their PhD procedures within one year after the conclusion of the PhD procedure.

## **Section 25 Coming into effect**

These PhD Regulations come into effect on the day of their publication in the Official Journal of European University Viadrina [Amtliche Bekanntmachungen der Europa-Universität Viadrina Frankfurt (Oder)].

## **Section 26 Transitional rules**

The PhD regulations dated 25 October 1995 in the version dated 7 April 2010 apply to doctoral researchers who were admitted to the PhD procedure before the coming into effect of these PhD regulations and who submit a complete application for admission to the PhD examination before 1 October 2022. If the doctoral researcher applies for admission to the PhD examination after 30 September 2022 or if the application is incomplete, the provisions of the current PhD regulations are then applicable to the doctoral researcher. Doctoral researchers within the meaning of sentence 1 can opt for application of these PhD regulations in the form of irrevocable, written notification to the PhD admission board.