

# Doctoral Studies Guidelines

*As of July 30th 2015*



Published by the Office of the Dean of the  
Faculty of Law, Business, and Economics



UNIVERSITÄT  
BAYREUTH

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The Basis for the doctoral studies program at the University of Bayreuth's Faculty of Law, Business, and Economics is established by the **Doctoral Studies Regulations as of February 10th 2012 (AB UBT 2012/001)** – in short PromO. The University of Bayreuth, represented by the Faculty of Law, Business, and Economics, awards the academic degrees of juris doctorate (Dr. jur.) and doctorate in economics (Dr. rer. pol.) based on the respective required doctoral studies achievements.

The PromO governs the procedure of the doctoral studies program. This process commences with admission to the program, which the candidate must apply for **after completion of the dissertation**. To aid in the individual self-assessment, as to whether the requirements for admission have been met, the prospective applicant should consult the pertinent regulations of the PromO. In this way, these guidelines are able to provide tips to the admission's process as well as the doctoral studies procedures. When appropriate, it is advisable for the candidate to apply for a binding preliminary decision at the dean's office to determine whether the special admission requirements are being met.

***Nota bene:** These doctoral studies guidelines are not legally binding. They are intended to provide assistance to the prospective doctoral students and serve as an informational leaflet. Binding legal basis for the doctoral studies procedure are the Doctoral Studies Regulations as of February 10th 2012 (AB UBT 2012/001).*

## A. Admissions Process for Doctoral Studies Programs

### I. Preliminary Decision

If there is any doubt as to whether the applicant's degree meets the prerequisites required for a doctoral studies program, an application for a binding preliminary decision can be made. This decision can address issues including, for example, the grades obtained in pertinent economic subjects. Whether or not such a preliminary decision is advisable should be discussed with the academic counsellor.

Possible cases that require a preliminary decision are, among others:

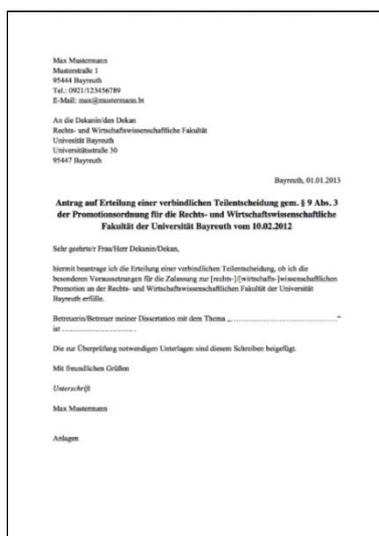
- Foreign degrees
- Degrees from universities of applied sciences
- Degrees only partially related to Economics
- MBA Degrees

This process only examines the **special** admission requirements for doctoral studies in accordance with §5 and §6 of the PromO. The preliminary decision makes no assertion as to whether the **general** doctoral studies requirements regarding §§ 4, 8 PromO have been met. The final decision concerning admission to the doctoral studies program (§9 PromO) will be made only upon the submission of the application for admission and the required documents following

completion of the dissertation. The assessment made in the preliminary decision as to the fulfillment of the special admission requirements is to be taken as a binding basis.

It is therefore recommended to apply for a preliminary decision before writing the dissertation. The application hereto, including pertinent evidential documents, is to be submitted to the dean in written form.

***Nota bene:*** The example letters/applications included throughout the Doctoral Studies Guidelines are available for download on the dean's office web pages.



The following documents are to be submitted along with the application:

1. Certified copies of examination certificates (Further documentation required in cases of name changes)\*
2. Signed curriculum vitae from the applicant
3. Letter from a teaching individual/lecturer entitled to conduct examinations, that he/she endorses the doctorate and will assume academic supervision\*\*
4. Accreditation certificate for the course of study (if applicable)

In Addition (if § 5 para.2, nr. 1 / § 6 para. 2, nr.1 PromO apply)

5. Two seminar certificates, each with a minimum grade of "good"\*\*\*
6. Letter of confirmation by the university, that said applicant is qualified for a doctorate program in accordance with that particular university's doctoral studies regulations

\* Notarization is also available at the office of the dean of the Faculty of Law, Business, and Economics

\*\* If § 5 para.2, nr. 2 / § 6 para. 2, nr.2 PromO apply, additional information is required pertaining to whether the dissertation covers an area involving both the focus of the academic supervisor as well as the field of law. Additionally, a letter endorsing further teaching as a tutor

or lecturer is required to conduct examinations for the Faculty of Law, Business, and Economics of the University of Bayreuth.

\*\*\* If § 5 para.2, nr. 1 / § 6 para. 2, nr.1 PromO apply, at least one of these seminar certificates must be obtained from the Faculty of Law, Business, and Economics of the University of Bayreuth.

## II. Application for Admission

An application for admission must be requested in written form from the dean of the Faculty of Law, Business, and Economics.

<p>Max Mustermann Musterstraße 1 95444 Bayreuth Tel.: 0921/123456789 E-Mail: max@mustermann.bt</p> <p>An die Dekanin/den Dekan Rechts- und Wirtschaftswissenschaftliche Fakultät Universität Bayreuth Universitätsstraße 30 95447 Bayreuth</p> <p style="text-align: right;">Bayreuth, 01.01.2013</p> <p style="text-align: center;"><b>Antrag auf Zulassung zum Promotionsverfahren gemäß § 8 der Promotionsordnung</b></p> <p>Schr geehrte/r Frau/Herr Dekanin/Dekan,</p> <p>hiermit beantrage ich die Zulassung zum [rechts-]/[wirtschafts]wissenschaftlichen Promotionsverfahren an der Rechts- und Wirtschaftswissenschaftlichen Fakultät der Universität Bayreuth.</p> <p>Der Titel meiner Dissertation lautet „.....“, Betreuer/in meiner Dissertation ist Herr/Frau Prof. ....</p> <p>Die Zulassungsunterlagen sind diesem Schreiben beigelegt.</p> <p>Mit freundlichen Grüßen</p> <p><i>Unterschrift</i></p> <p>Max Mustermann</p> <p>Anlagen</p>
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The following documents must be enclosed with the application:

### 1. Pertinent examination certificates and documents (officially certified copies)

- Generally for law studies, either the diploma of the First State Legal Examination and the official degree certificate, or the examination records of the Second State Legal Examination (if both examinations were taken, both examination records should be submitted).
- In Economics, generally either the diploma with the respective examination records, or the Master's diploma with the respective examination records must be submitted.

The examination must generally have been passed with a minimum grade of “fully satisfactory” in law and with a minimum grade of “good” in economics courses of study. If additional requirements have been met, exceptions can be granted to applicants who have passed the law examination with at least 8 points, or to applicants who have passed the economics examination with a minimum grade of “satisfactory”.

## 2. Signed curriculum vitae from the applicant (in English or German)

If the name of the applicant has changed, e.g. due to marriage, it is necessary to also submit an officially certified supporting document from the civil registry office.

***Nota bene:*** *If the applicant has already received a positive preliminary decision concerning the special admission requirements, it is no longer necessary to submit the above-mentioned documents,. However, the preliminary decision must be mentioned in the application form and a single copy of the preliminary decision must be submitted with the application. The following documents must be submitted nonetheless.*

## 3. Three identical copies of the dissertation

## 4. Official German certificate of good conduct (Original)

The requested **official certificate of good conduct** may not be older than three months – calculated from the date of reception of the application form at the dean’s office – and should, if possible, be sent directly from the Federal Office of Justice to the dean’s office. A certificate of good conduct is not required if one of the following applies:

- The “Exmatrikulation” (removal from the register of students) at the University of Bayreuth was less than three months ago (in this case a single copy of the last confirmation of matriculation needs to be submitted),
- The applicant is employed in civil service (in this case it is necessary to submit a single copy of the contract of employment or a copy of the certificate of appointment),
- The applicant is a member of the University of Bayreuth (e.g. an enrolled student); in this case a single copy of the current enrolment certificate needs to be submitted.

## 5. Affirmations and affidavits from the applicant

(§ 85.1 Nr. 5 PromO):  
*Hiermit erkläre ich, dass gegen mich wegen eines Verbrechen oder eines vorsätzlichen Vergehens weder ein Ermittlungs- noch ein Strafverfahren anhängig ist; ich bin wegen einer solchen Tat weder rechtskräftig verurteilt noch verurteilt ich eine Freiheitsstrafe.*

(§ 85.1 Nr. 6 PromO):  
*Hiermit erkläre ich eidestattlich, dass ich die Dissertation selbstständig verfasst und keine anderen als die von mir angegebenen Quellen und Hilfsmittel benutzt habe. Ich habe die Dissertation nicht bereits zur Erlangung eines akademischen Grades eingereicht und habe auch nicht bereits diese oder eine gleichartige Doktorprüfung endgültig nicht bestanden.*

(§ 85.1 Nr. 8 PromO):  
*Hiermit erkläre ich eidestattlich, dass ich keine gewerbliche Promotionsvermittlung und -beratung in Anspruch genommen habe und auch nicht nehmen werde.*

(§ 85.1 Nr. 9 PromO):  
*Hiermit erkläre ich mich damit einverstanden, dass die elektronische Fassung meiner Dissertation unter Wahrung meiner Urheberrechte und des Datenschutzes einer besonderen Überprüfung unterzogen werden kann.*

(§ 85.1 Nr. 10 PromO):  
*Hiermit erkläre ich mich damit einverstanden, dass bei Verdacht wissenschaftlichen Fehlverhaltens Untersuchungen durch universitätsinterne Organe der wissenschaftlichen Selbstkontrolle stattfinden können.*

\_\_\_\_\_  
(Ort, Datum, Unterschrift)

## 6. Supervision agreement (Original)

Should the supervision agreement have already been made available to the dean's office, it is kindly requested to make a note of this in the cover letter. The supervision agreement must bear the original signatures of the supervisor, as well as that of the applicant.

Three signed copies of the supervision agreement are to be made. One copy will be submitted to the office of the dean, one copy to the supervisor and the final copy shall remain in the possession of the candidate.

## 7. Electronic version of the dissertation

It is necessary to provide a PDF-file of the dissertation on a CD, DVD or USB-stick. An e-mail containing a copy of the dissertation is not sufficient.

## III. Filing the Application for Admission and Required Documents

Admissions applications are to be sent (if possible via registered mail) along with the aforementioned documents, to the following address:

**Universität Bayreuth**  
**Dekanat der Rechts- und Wirtschaftswissenschaftlichen Fakultät**  
**Universitätsstraße 30**  
**95447 Bayreuth**

Further application processing is possible only after all required documents have been received, in complete and correct form, by the office of the dean.

## B. Dissertation

The first step towards completing a doctorate studies program is the dissertation.

The distinguishing features of a dissertation are:

- a display of independent scientific achievement,
- a contribution to solving research problems and
- an effort to obtain new scientific evidence.

The academic paper is to be overseen by an authorized supervisor and establishes a doctoral relationship. It must then be presented to the office of the dean in the form of a supervision agreement, which contains a proposed time schedule for the research pertaining to and writing of the dissertation. If the dissertation is being written in the context of a Graduate Centre or a separate doctoral studies program, the supervision regulations of these respective programs will govern the process. There are special regulations in the fourth passage of the PromO that cover the specific process for dissertations which are being written in joint supervision with a university abroad. A template of a supervision agreement can be found subsequent to this paragraph.



**UNIVERSITÄT  
BAYREUTH**

Mitglieder  
der Promotionskommission der  
Rechts- und Wirtschaftswissenschaftlichen  
Fakultät Bayreuth

**Entwurf einer Betreuungsvereinbarung für  
Promotionsverfahren an der  
Rechts- und Wirtschaftswissenschaftlichen Fakultät  
der Universität Bayreuth vom 01.12.2012**

**A) Beteiligte<sup>1</sup>**

	Name	Adresse
<b>Doktorand</b>		
<b>Betreuer I</b>	Name	Lehrstuhl
<b>Betreuer II</b>	Name	Lehrstuhl

**B) Arbeit**

Der Arbeitstitel der Doktorarbeit lautet: „Das Verhältnis zwischen Doktorand und Doktorvater aus juristischer und ökonomischer Perspektive“. Die Arbeit soll in deutscher Sprache abgefasst werden. Angestrebt wird ein Umfang von zirka 200 Seiten.

**C) Zeitplan**

Der Zeitplan soll die Promotionsphase in Abschnitte teilen und Zwischenziele enthalten, auf die sich der Doktorand und der Betreuer geeinigt haben. Darüber hinaus kann in diesem Plan auch ein möglicher Forschungsaufenthalt im Ausland, die Teilnahme an Tagungen oder die angestrebte Veröffentlichung von Zeitschriftenbeiträgen festgehalten werden.

	2013	2014	2015	2016
Dissertation		Abgabe Expose		Abgabe Dissertation
Reisen	Teilnahme Fortbildung	Teilnahme Workshop	Teilnahme Konferenz	
Ausland			Forschungsaufenthalt	

<sup>1</sup> Mit allen Personen- und Funktionsbezeichnungen sind Frauen und Männer in gleicher Weise gemeint. Eine sprachliche Differenzierung im Wortlaut der einzelnen Regelungen wird aus Gründen der erleichterten Lesbarkeit nicht vorgenommen.

Stand: 01.12.2012

1

## I.      Formal Design of the Dissertation

The Office of the Dean of the Faculty of Law, Business, and Economics at the University of Bayreuth has published certain requirements concerning the form of the submitted dissertation, which are mandatory for every doctoral studies applicant. The dissertation is to be typewritten and should be printed (if possible double-sided), bound or stapled, as well as supplemented with page numbers. Furthermore the dissertation should contain a table of contents and a summary which outlines the research question as well as the results. The respective applied literature as well as other sources are to be fully documented; those segments which have been adapted in part, or entirely verbatim, must be clearly marked. In general, the dissertation is to be written in the German language or, upon approval from the supervisor, in the English language. With the consent of the supervisor and the dean, the applicant may be allowed to present the dissertation in a different language, provided a detailed summary in German is enclosed

Furthermore the appropriate design of the title page and the writing of an abstract by the “Erstberichterstattender” (first reviewing university official) must be adhered to.

### Title page

With regard to the obligatory submission of copies at a later date, the dissertation must include a title page that meets the standards set by the faculty. The following depicted pages are to be printed on one sheet, double-sided front and back. The faculty’s standards only apply to the respective wording and word sequences; the doctoral student is free to choose a different type font or a different layout.

***Nota bene:*** Following “Dekanin/Dekan...” it is necessary to include the name of the respective dean at the Faculty of Law, Business, and Economics incumbent at the time of the colloquium.

**Front page of title page**

<p>&lt; Thema &gt;</p>  <p>Dissertation zur Erlangung des Grades eines Doktors der <i>[Rechts/Wirtschaftswissenschaft]</i> der Rechts- und Wirtschaftswissenschaftlichen Fakultät der Universität Bayreuth</p>  <p>vorgelegt von <i>[Vorname(n)] [Nachname(n)]</i> aus <i>[Geburtsort]</i></p>
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**Reverse page of title page**

<p><i>Dekan/in:</i> &lt; Name &gt;</p> <p><i>Erstberichtersterter/in:</i> &lt; Name &gt;</p> <p><i>Zweitberichtersterter/in:</i> &lt; Name &gt;</p> <p><i>[ggf. Dritberichtersterter/in:]</i> &lt; Name &gt; /</p> <p><i>Tag der mündlichen Prüfung:</i> &lt; TT.MM.JJJJ &gt;</p>
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**II. Publishing and obligatory copies****1. Obligatory copies, abstract and other required documents**

Within a year of successfully passing the colloquium, doctoral students are required to hand in (free of charge) 15 copies of the dissertation to the dean's office. These copies can be submitted in person, via a third party (e.g. the respective chair) or via mail.

The dean's office will then distribute the obligatory copies as follows:

- Nine copies go to the exchange point at the University of Bayreuth's library, four of which are kept for display, with the other five being sent to exchange points at other universities
- One copy each will go to two separate university officials for the initial and secondary reviewing processes. If necessary, another copy will be sent to a third reviewer
- The three or four remaining copies will be for distribution to the respective department at the Faculty of Law, Business, and Economics

Even if the doctoral student personally distributes printed copies of his/her dissertation to the reviewers, it is still necessary to submit the 15 obligatory copies to the dean's office.

Additionally, the abstract, as well as the confirmation letter by the "Erstberichtersterter" (first reviewer), are to be enclosed on separate, single sheets of paper and provided for each one of



## **C. Doctoral Procedures**

### **I. Course of doctoral studies**

As the previous chapters of this text have outlined, it is advisable to apply for a preliminary decision before pursuing the actual doctoral studies. This process makes it possible to clarify in advance whether or not an applicant meets the special admission requirements of §§5,6 PromO.

If an applicant has not requested a preliminary decision, there is a risk that, after completing the time-consuming dissertation, the applicant will, due to their failure to meet all formal requirements of the program, still be denied admission to the doctorate studies program.

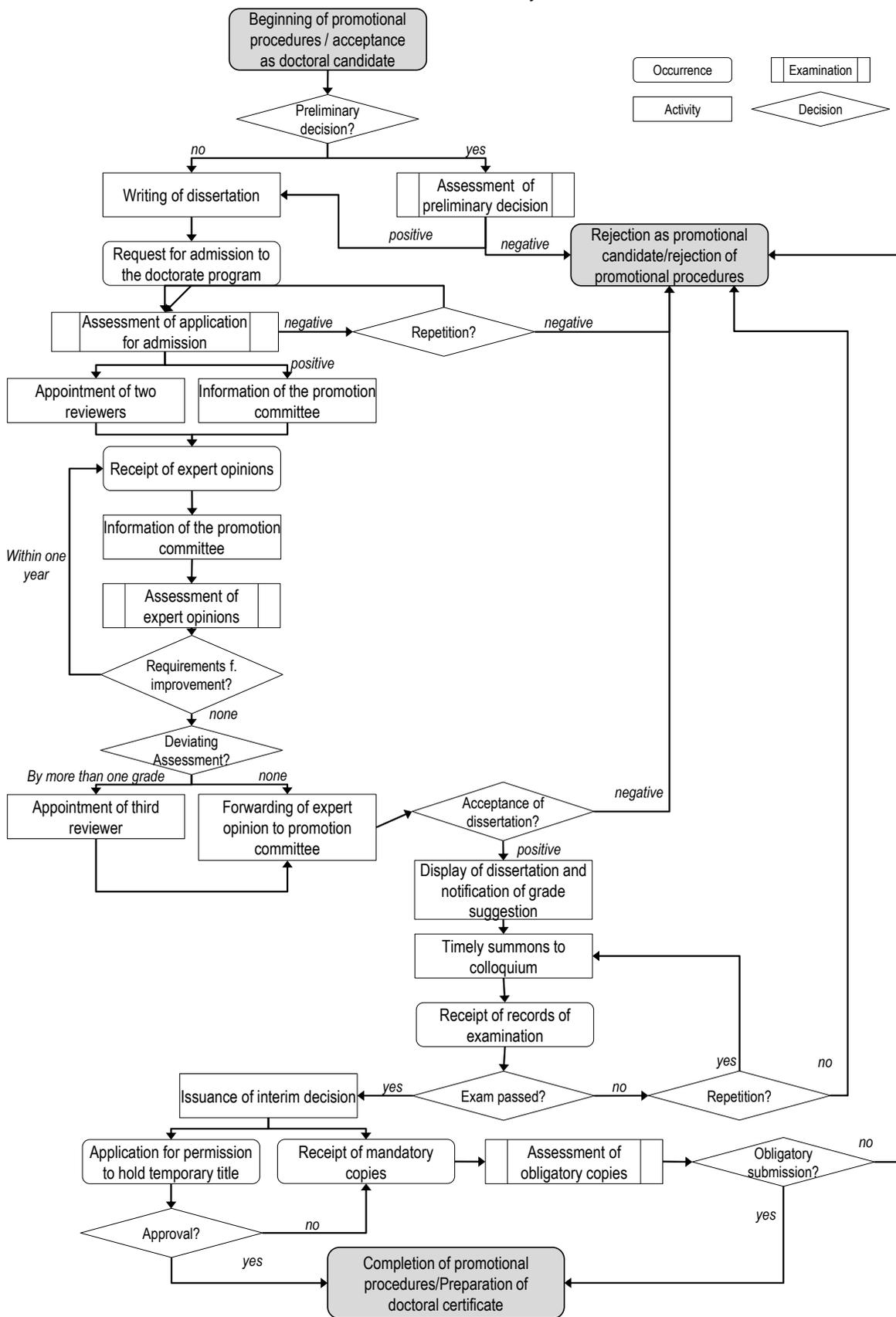
With the commencement of the doctorate studies selection procedure, the official committee will obtain and examine the expert opinions of the initial and secondary reviewers named in the supervision agreement. If, during this examination certain requirements appear unfulfilled, the doctoral candidates are given one year to adapt their dissertation and undergo a renewed assessment. In the case of a positive review of requirements, or in the absence of any special requirements, the expert opinions must then be assessed with respect to their valuation. If there is a discrepancy in the grading by more than one grade between the two assessments, it is necessary to bring forward a third expert opinion. These two, or if necessary, three assessments, will then be passed on to the doctoral studies committee. The committee can then accept or decline the dissertation based on the aforementioned expert opinions.

If the dissertation is accepted, it will be made available at the office of the dean, for all chairs of the Faculty of Law, Business, and Economics at the University of Bayreuth. At the same time, a notice will be posted regarding the suggested grades, as recommended by the reviewers, as well as information on the summoning for the colloquium, the defence of the dissertation.

Provided that the colloquium is successfully passed, with or without use of the optional second attempt, the office of the dean will issue a temporary notification. Following this, all obligatory copies are to be submitted in the manner described earlier. An application for preliminary use of the doctoral title is now possible. Once the obligatory copies of the dissertation are handed in, the doctoral studies procedure is complete and the doctoral studies certificate will be issued. This certificate enables doctoral students to officially use the doctoral title, regardless of whether a request for preliminary use of the title was issued or not.

The following flowchart is intended to illustrate the procedure of doctoral studies:

Flow Chart „Doctoral Procedures - Faculty of Law and Economics“



## II. Preliminary Use of the Title

It is possible to use a temporary version of the doctoral title before receiving the doctoral studies certificate. This will require an application for permission to carry a temporary doctoral title. For this purpose it is necessary, in accordance with §18 para. 4 alt. 2 of the PromO, to send a written application for temporary use of the title to the dean's office by mail. The confirmation that the dissertation has been published and that the obligatory copies have been submitted, as verified by a printing company, will be the prerequisite for this.

Max Mustermann  
Musterstraße 1  
95444 Bayreuth  
Tel.: 0921/123456789  
E-Mail: max@mustermann.bt

An die Dekanin/den Dekan  
Rechts- und Wirtschaftswissenschaftliche Fakultät  
Universität Bayreuth  
Universitätsstraße 30  
95447 Bayreuth

Bayreuth, 01.01.2013

**Antrag auf Gestattung der befristeten Führung des Doktorgrades**

Sehr geehrte/r Frau/Herr Dekanin/Dekan,

unter Bezugnahme auf § 18 Abs. 4 der geltenden Promotionsordnung der Rechts- und Wirtschaftswissenschaftlichen Fakultät der Universität Bayreuth beantrage ich hiermit die Gestattung der vorzeitigen, befristeten Titelführung des Doktorgrades.

Den unterschriebenen Verlagsvertrag mit [*Verlag, Ort*] zur bevorstehenden Veröffentlichung meiner Dissertation habe ich beigelegt.

Mit freundlichen Grüßen

*Unterschrift*

Max Mustermann

Anlage

Typically the preliminary holding of the doctoral title is limited to one year starting with the date of the colloquium. Upon further request by the doctoral student, however, the dean is able, in accordance with § 17 para. 1 s. 2 of the PromO, to enact a one-time extension of this limitation by one additional year.

### III. Awarding of the certificate

The awarding of the doctoral certificate is conducted at the official ceremony during the faculty day in the summer term. It is also possible, however, to apply for and receive the certificate at a different time, in the dean's office, assuming all formal requirements are fulfilled.

 <b>UNIVERSITÄT BAYREUTH</b>		<b>RECHTS- UND WIRTSCHAFTSWISSENSCHAFTLICHE FAKULTÄT - DEKANAT -</b>	
Dekanat-RW, Universitätsstr. 30, 95447 Bayreuth		<b>Telefon:</b> +49 - (0)921 / 55-6001 <b>Telefax:</b> +49 - (0)921 / 55-6002 <b>Internet:</b> www.rw.uni-bayreuth.de <b>E-Mail:</b> dekan.rw@uni-bayreuth.de <b>Raum:</b> RW I, Zi. 1.136 (1.OG)	
<p><b>Ihr Promotionsverfahren</b>  <b>Antrag auf Aushändigung der Urkunde</b></p>			
Name:			
Vorname:			
Anschrift:			
Telefon/ Handy:			
E-Mail-Adresse:			
Bitte teilen Sie uns mit, in welcher Form wir Ihnen Ihre Urkunde zukommen lassen können:			
<input type="checkbox"/> Ich möchte die Urkunde persönlich im Dekanat abholen			
<input type="checkbox"/> Ich möchte die Urkunde per Post an die o.g. Anschrift zugesandt bekommen			
Andernfalls überreichen wir Ihnen Ihre Urkunde anlässlich der Feierstunde am nächsten Fakultätstag persönlich.			
_____ Ort, Datum		_____ Unterschrift	

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## Contact Information

Office of the Dean of the Faculty of Law, Business, and Economics at the University of Bayreuth

Building RW I  
Room 1.136 (1st floor)  
Universitätsstr. 30  
95447 Bayreuth

E-Mail: [sekretariat.rw@uni-bayreuth.de](mailto:sekretariat.rw@uni-bayreuth.de)

Tel.: +49 (0921) / 55 – 6001

Fax: +49 (0921) / 55 – 6002

Office hours: Monday – Thursday, 9-12 a.m.