

Doctoral Regulations of Zeppelin University to earn the doctoral degrees of Dr. rer. pol., Dr. rer. soc., Dr. phil.

dated June 29, 2011,
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To regulate the award of doctoral degrees pursuant to Section 70 para. 7 sentence 1, Section 38 of the Law governing Universities and Colleges in Baden-Württemberg (State Law on Education – LHG) dated January 1, 2005 (current version of GBl P.1 State Law Gazette), the Zeppelin University Senate adopted the following regulation based on Section 70 para. 7 in connection with Section 38 para. 4 LHG.

The German version is binding in all cases.

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General information

Section 1: Objective and purpose of the doctoral degree

- (1) The doctoral degree demonstrates independent and advanced research skills. These skills are determined based on a substantial research paper (dissertation), an oral examination (disputation) as well as the successful enrolment in the doctoral program at Zeppelin University.
- (2) Based on the successful doctoral examination, Zeppelin University awards the degree of Dr. rer. pol. (Doctor rerum politicarum) or Dr. rer. soc. (Doctor rerum socialium) or Dr. phil. (Doctor philosophiae). The award is contingent on the successful completion of a doctoral program in a subject selected from one of the following subject groups
 - | Business & Economics,
 - | Political & Social Sciences or
 - | Communication & Culture.
- (3) The award of a second doctoral degree in the same subject within the meaning of Para. 2 is not permitted.
- (4) Alternatively, Zeppelin University has the right to award the mentioned degrees with the conferral of an honorary doctorate (h.c.).

Section 2: Doctoral Committee

- (1) The Doctoral Committee consists of three university lecturers working full-time at Zeppelin University, in particular professors and junior professors, specializing in the subject groups according to Section 1 para. 2 sentence 2, with at least one university lecturer representing each subject group, as well as a graduate research associate. The Graduate School is represented by an administrative member with an advisory vote, who manages the day-to-day business.
- (2) The members of the Doctoral Committee are elected by their respective subject group of university lecturers and the group of graduate research associates for a two-year tenure by secret ballot; re-election is permitted. The person with the

most votes in his group is deemed elected, on condition that at least one university lecturer must be represented from each subject group according to Section 1 para. 2 sentence 2.

- (3) The members of the Doctoral Committee elect a chair and an assistant chair from their pool by secret ballot; re-election is permitted. The chair and his representative must be part of the group of university lecturers.
- (4) The chair convenes regular meetings. The program directorate of the ZU Graduate School manages the day-to-day business. The Doctoral Committee constitutes a quorum if all members were invited at least one week before the meeting and if the majority of its members including the chair or the assistant chair are present. The Doctoral Committee adopts decisions by simple majority. Abstention and secret ballot are not permitted.
- (5) In individual cases, the Doctoral Committee can call in up to two additional full-time university lecturers working at Zeppelin University specializing in the same or a different subject group, if their expertise is conducive to the deliberations (co-opted members); they have an advisory vote. If a member or co-opted member of the Doctoral Committee is at the same time supervisor or co-supervisor, he is not permitted to participate in the deliberations to the extent they relate to the person supervised by him; proxy voting is not permitted. The provisions of Sections 20 and 21 of the State Administrative Procedures Act relating to excluded persons and the concern about bias remain unaffected hereof.
- (6) The meetings of the Doctoral Committee are not open to the public. The members of the Doctoral Committee as well as guests are bound by the chair to maintain confidentiality. Minutes are taken of the meetings.
- (7) The duties of the Doctoral Committee include in particular
 - a) admission to the doctoral degree pursuant to Section 7;
 - b) aptitude assessment as well as determination of potentially required additional study prerequisites and examination types pursuant to Section 7 para. 2 and 3;
 - c) determination of the form of the dissertation pursuant to Section 12 para. 4;
 - d) appointment of dissertation supervisors (supervisor and co-supervisor) pursuant to Section 10;

- e) decision concerning the recognition of alternative credentials within the scope of the doctoral program pursuant to Section 9 para. 4;
 - f) organization of the doctoral examination pursuant to part 3;
 - g) determination of amendments of the dissertation for publication pursuant to Section 23.
- (8) The Doctoral Committee is generally entitled to assign individual decisions or certain authorizations and duties to the chair and revoke this assignment at any time.
- (9) A resolution may be initiated by the chairman using the circulation procedure in electronic form via e-mail if the subject matter is urgent.

Section 3: Duration of the doctoral degree

The duration to complete the doctoral degree does not last longer than four years. The Doctoral Committee decides about an extension of the duration to complete the doctoral degree in the individual case upon request.

Section 4: Language of the doctoral degree

All achievements required to earn the doctoral degrees can be completed in English upon request, provided no capacity and organization-related reasons are opposed to this. In particular, this concerns

- a) the dissertation,
- b) the disputation and
- c) the modules of the doctoral program.

I Admission to the doctoral program

Section 5: Admission requirements

- (1) Normally, graduates who successfully
1. earned a master's degree,
 2. earned a diploma, graduate or state examination degree from a university, teacher's college or college of art with a standard study period of at least four years or
 3. completed a postgraduate degree program at a university, teacher's college or a different university with the right to award doctoral degrees

in any of the subjects pursuant to Section 1 para. 2 sentence 2 by taking an examination and earning a total score of at least 2.0 (good) and have special technical qualifications can be admitted to the doctoral program as Ph.D. student (doctoral candidate). A precondition set in the case of foreign degrees is that the grade and course must fulfill the requirements specified in Sentence 1. Adequacy will be determined by the Doctoral Committee on the recommendation of the Graduate School.

- (2) In exceptional cases and upon application of a university lecturer working full time at Zeppelin University (supervisor according to section 10) graduates who successfully earned
1. a degree in accordance with Para. 1 and whose final examination result, in analogous application of Section 18b para. 2 sentence 1 of the German Federal Training Assistance Act (BAföG), belongs to the highest 20 out of a hundred of all examination graduates who have completed this examination in the same calendar year, and has achieved the minimum final grade specified in the subject-specific annexes to these regulations, which may not however be lower than 2.5,
 2. a degree with a total score of at least 1.5 for a bachelor's or state examination program that is not part of Para. 1,
 3. a degree with a total score of 1.5 for a diploma program at a university of applied science or a university of cooperative education, or
 4. a degree for a minor with a minimum score of 1.5 in any of the subjects pursuant to Section 1 para. 2 sentence 2
 5. a degree from the Notary Academy Baden-Württemberg with a minimum score of "satisfactory" or

6. a degree pursuant to Para. 1 in a subject other than one of the subjects pursuant to Section 1 para. 2 sentence 2, provided the proposed dissertation is dealing with a fringe topic between this subject and one of the subjects pursuant to Section 1 para. 2 sentence 2 and

have special technical qualifications, demonstrated with an aptitude assessment procedure pursuant to Section 8 can be admitted as doctoral candidates.

In the cases described in Para. 2 No. 6, in the Faculty of Law the final grade must be equivalent to at least 8 points in a first state legal examination.

Section 6: Application for admission to the doctoral program

- (1) Anyone who meets the admission prerequisites pursuant to Section 5 is entitled to apply for admission to the doctoral program.
- (2) The application consists of
- a) a curriculum vitae including the description of the personal and professional background;
 - b) proof of graduation from a university including the score pursuant to Section 5, original version (for inspection) as well as in the form of a certified copy (to be kept on file);
 - c) proof of special technical qualifications pursuant to Section 5 in the form of
 - a seven to ten page exposé of the proposed dissertation;
 - the written commitment of a professor, junior professor, extraordinary professor, permanent guest professor or private lecturer working at Zeppelin University confirming their willingness to act as supervisor (supervisor pursuant to Section 10) as well as the written substantiation of the technical qualifications and the aspired doctoral degree pursuant to Section 1 para. 2 sentence 1 by the supervisor on the form provided by the Doctoral Committee;
 - d) the duly completed application form provided by the Doctoral Committee including the specification of the language selection for the PhD achievements pursuant to Section 4 letters a) and b) as well as the specification of the dissertation format approved by the supervisor pursuant to Section 12 para. 4;
 - e) a declaration about previous or pending applications for the conferral of a doctoral degree; including information about when, with what topic and at which faculty the application was filed and the reason why the procedure was not completed; a certified document concerning a previously awarded doctoral degree, if applicable and

f) a certificate of good conduct issued within the last six months

and shall be submitted completely to the Doctoral Committee by the applicant.

Section 7: Admission to the doctoral program

- (1) The Doctoral Committee makes its decision about the applicant's admission to the doctoral program on the basis of the documents submitted pursuant to Section 6 para. 2.
- (2) In consultation with the supervisor, the Doctoral Committee is entitled to tie the admission to the doctoral program of applicants pursuant to Section 5, para. 1 to the condition of the completion of additional study prerequisites and examination types. The applicant is required to fulfil these study prerequisites and examination types after the admission simultaneously with the doctoral program and to provide proof thereof when filing the application for admission to the doctoral examination pursuant to Section 11.
- (3) The Doctoral Committee adjudicates on admission to the doctorate for applicants in accordance with Section 5 para. 2 after their suitability has been determined by the faculty. The doctoral committee adjudicates on admission to the doctorate in accordance with Section 5 para. 2 on the recommendation of the declaring faculty, with the condition that any additional academic and examination requirements are met. Upon admission, the applicant will be required to fulfil these additional study prerequisites and examination types simultaneously with the doctoral program and to supply proof of completion when applying for admission to the doctoral examination pursuant to Section 11. The additional academic and examination requirements should be fulfilled within one year.
- (4) The result of the Doctoral Committee's decision concerning the admission will be communicated to the applicant promptly.
- (5) If the Doctoral Committee rejects an applicant, the applicant is entitled to file a written complaint with the Zeppelin University Senate. The Senate will make a final decision concerning the admission, considering the written feedback from the Doctoral Committee as well as the supervisor. The applicant will be notified of the Senate's decision.

Section 8: Aptitude assessment

- (1) The suitability of candidates in accordance with Section 7 para. 3 and Section 5 para. 2 will be determined by the adjudication of the full-time professors within the faculty to which the doctoral applicant belongs, based on the performance required by these regulations and the supplementary regulations of the faculty.
- (2) The process consists of a review of the candidate's general academic qualifications and doctoral project. Any other details are determined by the faculties in the subject-specific annexes to these regulations in accordance with the provisions of Para. 3 and 4.
- (3) The review of general academic qualifications will use suitable criteria to determine whether the candidate is in possession of equivalent academic qualifications within the meaning of Section 5 para. 1 of these regulations. This can be determined through individual outstanding academic achievements in relevant subjects, specific examinations or other similar achievements. If possession of the general academic qualifications has been proved, the doctoral project will be submitted to the full-time professors within the faculty in the form of an exposé or other presentation.
- (4) Based on the presentation given in accordance with Para. 3 sentence 3 and the result of the review of the general academic qualifications, the full-time professors within the faculty will determine the candidate's suitability and any requirements that need to be fulfilled. They recommend acceptance or rejection to the doctoral committee, as well as any requirements that may need to be fulfilled.

II Structure of the doctoral program

Section 9: Doctoral program

- (1) At ZU, the conferral of a doctoral degree is associated with the enrolment in a partly structured doctoral program. The program includes courses that are assigned to a subject-specific compulsory program and an interdisciplinary semi-elective program. The program includes three modules, one of which must involve participation in academic courses and another compulsory doctoral colloquia. The third module includes courses on methodology, research and teaching, in accordance with the particular subject-specific annexes. The level

of the courses must be higher than competence level seven. Specific details are provided in the subject-specific annexes to these regulations. The program must be completed during the doctoral phase.

(2) The modules in the interdisciplinary semi-elective program are:

<p>1. Scientific activities</p> <ul style="list-style-type: none"> group & cluster events attending thematic lectures and professional symposia attending conferences and meetings 	<ul style="list-style-type: none"> at least 3 events a total of at least 32 course units of 45 minutes each (4 days) timing of participation is open within the promotion period, however, to be proven upon application for admission to the doctoral examination
<p>2. Doctoral colloquia</p> <ul style="list-style-type: none"> regular discussion of the dissertation projects internal or external colloquia 	<ul style="list-style-type: none"> 1 x per semester evidence of ongoing participation and presentation of own dissertation project to be provided

(3) The module of the subject-specific compulsory programme consists of

<p>Subject-specific seminars in the following areas: Selected from</p> <ul style="list-style-type: none"> a) Research practice b) University didactic further education c) Theories d) Research Methods 	<ul style="list-style-type: none"> at least four seminars with a minimum total of 16 ECTS from different areas; compulsory seminars of at least 4 ECTS each must be chosen from areas c and d timing of participation is open within the promotion period, however, to be proven upon application for admission to the doctoral examination all candidates with teaching duties at Zeppelin University are required to give priority to attending the university didactical offer. Seminars for doctoral candidates can be autonomously organized by the candidate in the format of PhD Student Studies and carried out in coordination with a promoter as a topical field representative with regard to the contents A seminar within the framework of university collaborations may also be attended at partner universities
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(4) In exceptional cases, the enrolment in the doctoral program pursuant to Para. 1 can be waived completely or in part, if the candidate is able to demonstrate the fulfilment of alternative achievements equivalent to the doctoral program.

For this purpose, the candidate shall present the supervisor with a list of achievements and the supervisor shall confirm their equality.

The confirmation of the equality, in addition to content factors, is based on the equivalence of the achieved credit points (Module 2). The list is to be submitted to the Doctoral Committee together with the documents for admission to the doctoral examination in accordance with Section 11 para. 2, which makes a final decision on the equivalence. The program management of the ZUGS decides on the eligibility of seminars for doctoral candidates in graduate school.

- (5) The modules completed within the scope of the doctoral program and the alternative achievements conclusively recognised as equivalent, if applicable, will be documented in a certificate. The certificate will be given to the candidate after he has successfully passed the doctoral examination and shall be signed by the program director of the Zeppelin University Graduate School (Section 22 para. 4).

Section 10: Supervision of the dissertation

- (1) The dissertation is supervised by a professor, junior professor, associate group leader or extraordinary (Section 6 of the Evaluation Regulations) professor working at Zeppelin University (supervisor). A professor on a split chair or a senior professor or lecturer of Zeppelin University may be given a general right by the Senate to award doctorates and also work as a supervisor at the suggestion of a department in accordance with the Doctoral Committee.
- (2) At the candidate's suggestion, the Doctoral Committee appoints a second supervisor (co-supervisor), who has to be a professor, junior professor, associate group leader, extraordinary (Section 6 of the Evaluation Regulations) professor, lecturer of Zeppelin University, professor on a *split chair*, senior professor, substitute or ZU honorary professor and has been given a general right by the Senate to award doctorates at the suggestion of a department in accordance with the Doctoral Committee. The co-supervisor must be a full-time professor at another officially-recognized university. Professors from applied science universities may be admitted as co-supervisors, provided that their academic qualifications include a doctorate with a final grade of at least "magna cum laude". The candidate must provide complete contact information along with the co-supervision proposal and ideally submit it to the doctoral committee with the first annual report on the progress of the thesis in accordance with

Para. 5.

- (3) At least one of the supervisors of the dissertation must be a professor.
- (4) The supervisor and co-supervisor who are at the same time the reviewers of the dissertation pursuant to Section 13, have the duty to monitor the candidate's research efforts regularly and sustainably; the supervisors are not permitted to delegate the supervision of the dissertation. The parties involved execute a written supervision agreement for this purpose.
- (5) The candidate is required to submit an annual report about the progress of his dissertation project co-signed by the supervisor to the Doctoral Committee. The form issued by the Doctoral Committee shall be used for this purpose.
- (6) The supervisor and co-supervisor shall conduct an interim evaluation at an advanced point in time during the doctoral examination procedure, but before an application for doctoral examination is submitted (Section 11). This is mentioned in the annual report of the corresponding date.
- (7) The supervisor may continue to oversee the current examination procedure and exercise the right of examination after leaving Zeppelin University, until completion. Additional procedures may not be accepted after leaving Zeppelin University.
- (8) Should the supervision of the supervisor or co-supervisor end before the completion of the doctoral degree, the chair of the Doctoral Committee shall promptly appoint a new supervisor or co-supervisor proposed by the candidate.

III Doctoral examination

Section 11: Admission to the doctoral examination

- (1) The prerequisites for admission to the doctoral examination are
- a) a written dissertation pursuant to Section 12;
 - b) the completion of the doctoral program pursuant to Section 9.
 - c) proof of the performed interim evaluation.
- (2) Candidates who meet the prerequisites set forth in Section 11 para. 1, are entitled to apply for admission to the doctoral examination. The application consists of:
- a) a minimum of four hardback copies of the dissertation forwarded to the reviewers pursuant to Section 13 as well as the Doctoral Committee, along with an identical digital version of the dissertation provided to the program management of the ZUGS; if additional reviewers pursuant to Section 15 shall be appointed, additional hardback copies must be provided;
 - b) A personally signed statement with the following wording: 'I hereby declare that I have completed this work without undue assistance from third parties, and without using any resources other than those indicated. Any data and concepts from other sources directly or indirectly incorporated are labelled by quoting the source. The work has never been submitted in identical or similar format to any other examination board either locally or abroad in the past";
 - c) a copy of the justification of changes and written approval from the supervisor concerning the format of the dissertation as monograph or as publication-based dissertation pursuant to Section 6 para. 2, letter d) and Section 12 para. 4, to the extent changes were made;
 - d) proof of additionally required study prerequisites and examination types if required (Section 7 para. 2 and 3) and of the enrolment in the doctoral program. Moreover, proof pursuant to Section 9 para. 4 and 5 is required for the crediting of alternative credentials or the exemption from the doctoral program;
 - e) proof of enrolment in the preventive plagiarism detection program at ZU pursuant to Section 12 para. 3 as well as
 - f) other proposals of potential external reviewers of the dissertation pursuant to Section 13, if applicable

and shall be submitted completely by the candidate via the ZUGS to the Doctoral Committee.

- (3) Based on the submitted documents, the Doctoral Committee decides about
1. the admission to the doctoral examination;
 2. the admission of the format of the dissertation pursuant to Section 12 para. 4;
 3. the appointment of the reviewers of the dissertation pursuant to Section 13.

The candidate receives written notifications about the decisions adopted by the Doctoral Committee.

Section 12: Dissertation

- (1) The dissertation must represent an independently developed and adequately formulated, relevant scientific contribution of the candidate to scientific research. A dissertation that was previously submitted as dissertation elsewhere must not be used as basis of the doctoral degree.
- (2) In addition to the content-related text, the submitted dissertation must contain a title page, a table of contents, a clearly structured synopsis and a comprehensive index of quoted sources and literature references. For empirical analyses, the underlying primary data collected for the respective analyses shall be submitted as well.
- (3) Prior to submitting the application for admission to the doctoral examination, the candidate is required to have the dissertation subject to the preventive plagiarism detection of ZU and to provide proof thereof pursuant to Section 11 para. 2, letter e).
- (4) The dissertation can be written as monograph or as publication-based dissertation (Section 14). The candidate must specify the selected format in the application form for admission to the doctoral program and have it approved by the supervisor in writing with his signature (Section 6 para. 2, letter d)). In justified exceptional cases and with the supervisor's written consent, the format of the dissertation can be changed once up to the point when the application for admission to the doctoral examination is submitted. The candidate must submit the justification of the change along with the supervisor's written consent together with an annual report about the dissertation (Section 10, para. 5) to the Doctoral Committee. The Doctoral Committee must decide on the change of the format of the dissertation.

Section 13: Review of the dissertation

- (1) The dissertation is reviewed by two reviewers, the supervisor and the co-supervisor.
- (2) If the co-supervisor, contrary to Section 10 para. 2 sentence 2, is also a member of Zeppelin University, the Doctoral Committee, on the proposal of the candidate, shall appoint a third, external evaluator in accordance with Section 10 para. 2 and 3.
- (3) Should a reviewer pursuant to Sections 20 or 21 of the Administrative Procedure Act for the State of Baden-Württemberg (LVwVfG) be challenged because of prejudice, the Doctoral Committee appoints a new reviewer pursuant to Section 10 para. 2 and 3.
- (4) Every reviewer compiles an expert opinion. Personal, direct and complete cognizance of the dissertation is a mandatory requirement for the review. The expert opinions must justify the recommendation for acceptance or rejection of the presented dissertation clearly and understandably, enabling the members of the Doctoral Committee to make a responsible decision based on the expert opinions. This includes the listing of all positive and negative aspects of the thesis, as well as a justification of the grade awarded. The assessment should provide sufficient feedback to serve as the basis for the thesis defense.

Section 14: Publication-based dissertation

- (1) The key component of a publication-based thesis is a minimum of three individual papers submitted during the doctoral period and to internationally recognized peer-reviewed journals or internationally recognized conferences; unless otherwise specified in the subject-specific regulations (see annex). Book chapters and conference proceedings cannot form part of a thesis. The criteria associated with quality requirements for individual works in accordance with international standards can be found in the subject-specific annexes to these regulations. The doctoral candidate must document the past review process of every individual paper with all the results in a separate document and submit it together with the dissertation for evaluation when submitting the application for admission to the doctoral examination pursuant to Section 11 para. 2.

- (2) The individual papers pursuant to Para. 1 must have a comprehensive research connection to be explained by the candidate in the format of a well-founded scientific synopsis. This synopsis must have a minimum of 30 pages.
- (3) The sum of the individual papers pursuant to Para. 1, weighted with the reciprocal value of the number of all authors listed on the respective individual paper must be at least two. Individual works in sole authorship are weighted by a factor of 1; individual works with one co-author are weighted to one half; individual works with two co-authors are weighted to one third, etc. Departing from the reciprocal from the number of people, the co-authors may set another weighting for the joint individual work, whose maximum value per person may reach 0.5.
- (4) No more than one reviewer may be a co-author at the same time; Section 13 para. 3 applies accordingly. If this is the case, then in accordance with Section 13 another person who has not yet participated in the process will be appointed by the Doctoral Committee for the assessment. If the internal reviewer is a co-author, an additional internal or external reviewer must be chosen. If the external reviewer is a co-author, another external reviewer must be chosen. The subject of the assessment is also the statement drafted in accordance with para. 2.

Section 15: Score for the dissertation

- (1) Immediately after the candidate's admission to the doctoral examination, the reviewers of the dissertation each receive one copy of the dissertation. They submit the reviews of the dissertation as well as the copies of the dissertation provided to them to the Doctoral Committee no later than three months after the receipt of the copies of the dissertation, together with a recommendation to accept or reject the dissertation. Reasons shall be given for the acceptance or rejection.

- (2) Every reviewer in favour of acceptance proposes a score for the evaluation of the dissertation. Possible scores are:

summa cum laude	with honors	= 1.0	for an especially outstanding performance
magna cum laude	very good	= 1.3 or 1.7 or 2	a performance above the average requirements for a thesis
cum laude	good	= 2.3 or 2.7 or 3.0	a performance that met average requirements in every aspect
rite	sufficient	= 3.3 or 3.7 or 4.0	a performance that just met the average requirements for a thesis in spite of its shortcomings
non rite	failure	= 4.3 or worse	a performance that had significant shortcomings and was basically not applicable

- (3) The Legal Department of ZU promptly informs the graduate academic staff of the location where the expert opinions and dissertation are displayed for two weeks, or six weeks during lecture-free times, with the inclusion of the reviewers' names. The display period is also deemed complied with after two weeks during lecture period, if the display starts during the lecture-free period. During this period, the candidate as well as all members of the graduate academic staff of Zeppelin University are entitled to inspection during regular business hours. All members of the graduate academic staff of Zeppelin University are entitled to announce the submission of feedback with written reasons until the end of the display period. Feedback must be received by the Legal Department within one week of the announcement.

- (4) The Doctoral Committee accepts the dissertation if the acceptance is recommended unanimously in the expert opinions and if no negative feedback is received. The following applies to the grading:
1. If the scores proposed for the evaluation of the dissertation differ from each other by a value of 1.0 or less, the dissertation will be graded based on the arithmetic mean of the proposed scores, calculated up to two places after the decimal separator.
 2. If the scores proposed for the evaluation of the dissertation differ from each other by a value of more than 1.0, the Doctoral Committee appoints an additional reviewer. In this case, the dissertation will be graded based on the arithmetic mean of the proposed scores, calculated up to two places after the decimal separator.
 3. If the score proposed for the dissertation is "summa cum laude" in both expert opinions, the Doctoral Committee appoints an additional reviewer unless this concerns a publication-based dissertation pursuant to Section 14. Section para. 4 with already 3 reviewers. Sentence 2 remains unaffected.
- (5) The grading for the dissertation is established as follows:

summa cum laude	with honors	= 1.00
magna cum laude	very good	= higher than 1.00 to 2.00
cum laude	good	= higher than 2.00 to 3.00
rite	sufficient	= higher than 3.00 to 4.00
non rite	failure	= higher than 4.00

- (6) If negative feedback is received or if the recommendations with respect to the acceptance or rejection differ, the Doctoral Committee is entitled to obtain a supplementary written opinion and to appoint up to two additional reviewers. The Doctoral Committee determines the further procedure and decides about the acceptance or rejection of the dissertation in a future meeting after receiving the supplementary written opinions. In case of acceptance, the Doctoral Committee establishes a score for the dissertation as set forth in Para. 4 and 5.
- (7) The candidate is notified about the decision of the Doctoral Committee – including the reasons in case of rejection –, possibly giving him the opportunity to repeat the dissertation pursuant to Section 16 para. 1.

Section 16: Repetition of the dissertation; withdrawal

- (1) If a majority of reviewers or the Doctoral Committee reject the dissertation, the doctoral degree is terminated. In exceptional cases, the Doctoral Committee is entitled to decide in case of remediable defects of the dissertation in consultation with the supervisor and the co-supervisor, that the candidate has permission to submit a revised dissertation within a period of at most one year to be defined by the Doctoral Committee. The candidate is notified in writing about this decision. One copy of the rejected dissertation is kept on file. Sections 11 to 15 apply analogously to the repetition of the dissertation. If a repeated dissertation is rejected again, the doctoral degree is considered a definitive failure.
- (2) The candidate is entitled to withdraw from the doctoral examination for an important reason for as long until the Doctoral Committee has made a decision about the acceptance or rejection of the dissertation. It is up to the Doctoral Committee to rule on the acceptance of the reason.

Section 17: Passing and grading of the disputation; Doctoral Commission

- (1) The oral doctoral examination (disputation) shall take place within four months after the receipt of the last expert opinion. It is conducted by a Doctoral Commission whose members are appointed by the Doctoral Committee upon acceptance of the dissertation.
- (2) The Doctoral Commission is made up of the supervisor and the co-supervisor, a member of the Doctoral Committee acting as chair as well as a professor or graduate academic employee of Zeppelin University. An observer who is usually the program director of the Zeppelin University Graduate School or is in the final year of doctoral studies is appointed as another member who is not permitted to ask questions or perform examinations.
- (3) The disputation is led by the chair of the Doctoral Commission. He ensures the proper conduct of the procedure. The observer takes minutes. The minutes must be signed by all members of the Doctoral Commission.
- (4) The disputation lasts 90 minutes. It is introduced with an internal lecture by the candidate about the fundamental outcomes of the dissertation which shall not exceed 30 minutes. The following non-public round table discussion mainly

addresses topics and questions with an objective or method-related correlation with the dissertation. Only the members of the Doctoral Commission are permitted to ask questions.

- (5) Immediately after the disputation, the Doctoral Commission decides in a closed meeting whether or not the candidate has passed. The majority of commission members must declare the disputation successful. The Doctoral Commission grades the successful disputation with one of the scores listed in Section 15 para. 2. Should they fail to reach an agreement about the score, the arithmetic mean of the scores proposed by the four commission members will be established analogously to Section 15 para. 4, calculated up to two places after the decimal separator. Once the deliberations are concluded, the chair of the Doctoral Commission informs the candidate whether or not he has passed the disputation and what score was awarded for it.
- (6) The chair of the Doctoral Commission promptly forwards the minutes with the results of the disputation to the Doctoral Committee.

Section 18: Repetition of the disputation

- (1) Should the candidate fail the disputation, he will be notified hereof by the Doctoral Committee in writing. The candidate is given the opportunity to repeat the disputation once after the end of three months at the earliest and after the end of six months at the latest. Section 17 applies analogously to the repetition of the disputation. The result of the dissertation remains unaffected.
- (2) The entire doctoral examination is deemed a failure if the repetition of the disputation pursuant to Para. 1 was not passed. The candidate receives a written notification about the definitive failure of the doctoral degree from the Doctoral Committee.

Section 19: Default and withdrawal from the disputation

- (1) If the candidate fails to appear at a disputation date, the reasons for the non-appearance must be communicated to the chair of the Doctoral Commission promptly and explained in writing within three days. If the candidate has fallen ill, this statement must be accompanied by a doctor's note.
- (2) The chair of the Doctoral Commission must be notified promptly, but no later than before the result of the disputation is announced of the inability to complete the examination occurring during the disputation, and a written explanation produced within three days. If the candidate has fallen ill, this statement must be accompanied by a doctor's note.
- (3) The Doctoral Committee makes the decision about the possibility to repeat the disputation on the basis of the presented written explanation as well as an additional hearing of the candidate as necessary.
- (4) The disputation is deemed a failure if the candidate fails to appear at the examination date without a relevant reason or if he withdraws after the start of the disputation without a relevant reason. In particular, the inability to complete the examination due to the candidate's illness is considered a relevant reason.

Section 20: Final score of the doctoral degree

- (1) After the successful completion of the disputation, the Doctoral Committee establishes the final score of the doctoral degree and the awarded doctoral degree pursuant to Section 1 para 2 sentence 1.
- (2) The final score is composed of eighty per cent of the score for the dissertation and twenty per cent of the score for the disputation.

- (3) The final score for the doctoral degree (grade) is established as follows:

summa cum laude	= 1.00	with honors
magna cum laude	= higher than 1.00 up to 2.00	very good
cum laude	= higher than 2.00 up to 3.00	good
rite	= higher than 3.00 up to 4.00	sufficient
non rite	= higher than 4.00	failure

- (4) The candidate receives a written notification from the Doctoral Committee about the overall score of the successful doctoral examination together with a summary of the reasons and the information that the doctoral degree certificate will be handed out pursuant to Section 22 after publication of the dissertation and that the professional title of doctor may only be used after that. The notification includes permission to temporarily use the title of doctor in the form of "Dr. des."; the attestation of completed modules of the doctoral program (Section 9) as well as the acknowledgement about the doctoral examination is enclosed with the notification.

Section 21: Right to object

- (1) The candidate shall file any objections against administrative actions performed by the Doctoral Committee, the Doctoral Commission or their chairs within one month after they have been announced in writing or stated orally on the record with the Doctoral Committee. The deadline is also deemed met if the objection is filed with the President as representative of Zeppelin University.
- (2) If the Doctoral Committee fails to remedy the objection, the Doctoral Committee presents the objection to the Senate to make a decision.

IV Award of the doctoral degree and use of the professional title

Section 22: PhD certificate

- (1) The graduate may only use the title Doctor after the PhD certificate confirming that he passed the doctoral examination has been handed out or mailed to him.
- (2) The certificate is handed out or mailed after the publication of the dissertation pursuant to Section 23.
- (3) The certificate contains the grade of the doctoral degree and the title of the dissertation. The document is issued with the date of the disputation, stamped with the university's seal and signed by the President of the University and the Dean of Zeppelin University Graduate School.
- (4) Both the Transcript of Records of the doctoral program as well as the confirmation about the successful doctoral examination are available in English upon request.

Section 23: Publication of the dissertation

- (1) The candidate is obligated to make the dissertation available to the scientific public within one year after passing the disputation in a traditional professional manner. At the candidate's request, the Doctoral Committee is entitled to extend the one-year period set forth in Sentence 1 for an important reason at most twice by one more year each. Should the candidate miss a deadline without submitting an application for extension, he will lose all rights acquired with the doctoral degree.
- (2) Prior to the publication, the Doctoral Committee shall present the dissertation to the supervisor to determine the publication mode and to issue the permission to publish it. In consultation with the Doctoral Committee, the supervisor is entitled to ask for changes of the dissertation in view of its publication or to approve them at the candidate's request. The candidate has the right to ask the Doctoral Committee for permission to translate and publish the dissertation in a different language. Should the candidate fail to obtain the permission for publication and the approval, all rights acquired with the doctoral degree will expire.

- (3) The duty to publish the dissertation is deemed met if the candidate delivers six hardback copies of the complete dissertation printed on age-resistant paper free of charge to the Doctoral Committee and additionally publishes it in one of the following formats:
- a) a publishing house agrees to distribute it through bookstores and provides proof of a minimum circulation of 150 copies. Deviating from subsentence 1, six specimen copies of the book must be delivered to the Doctoral Committee in this case. It is considered equivalent to the delivery if the publishing house makes a binding representation to the Doctoral Committee that the dissertation is print-ready, the printing will be completed within one year and that six specimen copies will be mailed to the Doctoral Committee free of charge;
 - b) if the entire dissertation is published in a recognised scientific journal, six preprints of the corresponding journal/s shall be provided to the Doctoral Committee free of charge;
 - c) if individual parts of a publication-based dissertation pursuant to Section 14 were published in one or several recognised scientific journal/s, six reprints each of the respective journals shall be provided free of charge to the Doctoral Committee. In addition, the Doctoral Committee decides on the type of publication of dissertations pursuant to Section 14, on the basis of letter d), unless the candidate can provide proof of publication pursuant to letter a);
 - d) at the candidate's request, the Doctoral Committee is also entitled in exceptional cases to approve the duplication by means of traditional methods of duplication (letterpress or photo printing). In this case, the candidate is required to supply the Doctoral Committee with 30 additional mandatory copies; moreover, the ZUGS shall be provided with a file containing the final version of the dissertation. The candidate agrees to grant Zeppelin University the right to create and distribute additional copies of the dissertation and to make it accessible in research networks and scientific databases. The candidate must also submit the declaration of consent form for self-printing (co-authors information) when delivering the publication copy.
 - e) Monographs pursuant to Section 12 can, notwithstanding lit. a), be added as a pdf file to the Institutional Repository of Zeppelin University as an alternative to being published by a publishing house. Furthermore, 3 print copies of the complete dissertation must be delivered free of charge for storage in the library of Zeppelin University. Publication-based dissertations pursuant to Section 14 can be included as a second publication in the Institutional Repository of Zeppelin University. The contractual agreements with the journal publishing houses which have accepted the dissertation or

single parts thereof within the scope of a first publication shall remain unaffected. For this purpose, the candidate must submit the declaration of consent form for uploading into the institutional repository (information regarding the co-authors and journals) when delivering the publication copy.

- (4) When the dissertation is published, the title shall be preceded or followed by the following information. Alternatively, this information can be provided on the reverse side of the title page:

| Dissertation of Zeppelin University
| Names of the reviewers
| Date of the disputation.

- (5) The delivery duties governed by Media Law remain unaffected.

Section 24: Attempt of deception and revocation of the doctoral degree

- (1) Should it be determined prior to the handing out of the PhD certificate that the candidate has committed deception, threat or bribery during his degree examination (dissertation and disputation) or in connection with the proofs pursuant to Section 5, or violated the doctoral regulations, the doctoral examination shall be declared null and void based on a decision of the Doctoral Committee and the doctoral degree shall be deemed a definitive failure. Sections 48 et sqq. of the Administrative Procedure Act for the State of Baden-Württemberg remain unaffected with respect to the rescission or revocation of the award of the doctoral degree.
- (2) In addition, the doctoral degree including an honorary doctorate can be revoked by the university based on a decision from the Doctoral Committee, if the graduate has been finally convicted for an intentional criminal act by using the doctoral title to prepare or commit it; in this case, the handed out certificate shall be revoked.

V Miscellaneous regulations

Section 25: Doctoral degree with the joint supervision by a faculty abroad (Cotutelle de thèse)

- (1) Zeppelin University is entitled to award the degrees of Dr. rer. pol. or Dr. rer. soc. or Dr. phil. in partnership with a university of science abroad based on the joint conduct of a doctorate. This approach requires a joint supervision by one supervisor and co-supervisor each and the candidate's stay of at least one semester as doctoral candidate at the partner university. The institution abroad must have the right to award doctorates based on its national legal provisions and the degree to be awarded must be eligible for recognition in consideration of the recommendations issued by the Central Office for Foreign Education of the Standing Conference of the Ministers of Education and Cultural Affairs (KMK) as well as the equivalency agreements under international law as amended.
- (2) The requirements for admission to the doctoral program must be met both according to the regulations of Zeppelin University as well as those of the university abroad.
- (3) An agreement shall be executed between Zeppelin University and the university abroad for the purpose of a joint doctoral examination which requires the approval from the Doctoral Committee. The agreement governs the award of a doctoral degree managed jointly by the competent bodies of the university abroad and the Doctoral Committee, in particular a joint examination, evaluation and grading of the doctoral candidate's credentials by a joint Doctoral Commission as well as the terms for publishing the dissertation. It can include exceptions for the composition of the Doctoral Commission, the compilation of the expert opinions, the format, duration and language of the disputation, the language of the dissertation and the certificate as well as the terms of publication of the dissertation.
- (4) After publication of the dissertation pursuant to Para. 3, the candidate receives a PhD certificate issued jointly by the participating universities, on which the doctoral degree of the university abroad as well as the one of Zeppelin University are listed. The candidate agrees to use only one doctoral degree, either the one awarded by the university abroad or the one awarded by Zeppelin University, but not both simultaneously. In addition, the candidate receives a

notification confirming the joint supervision and pointing out the duties pursuant to Sentence 2.

- (5) The candidate can submit the application for the award of the doctoral degree within the meaning of these regulations to the Doctoral Committee after admission to the doctoral program at the earliest and until the end of the first semester at the latest.

Section 26: Honorary doctorate

- (1) Zeppelin University has the right to award the honorary doctorates of doctor rerum politicarum honoris causa (Dr. rer. pol. h.c.) or doctor rerum socialium honoris causa (Dr. rer. soc. h.c.) or doctor philosophiae honoris causa (Dr. phil. h.c.) based on outstanding scientific achievements or other special merits of ideational nature relating to the sciences the university is commissioned with.
- (2) The prerequisite for the award of an honorary doctorate of Dr. rer. pol. h.c. or Dr. rer. soc. h.c. or Dr. phil. h.c. is a comprehensive application supported by at least three professors from the subject group awarding the respective title, which has to be presented to the Senate for decision-making. The Senate must enact the award of the honorary degree with a majority of two thirds of its members.
- (3) The honorary degree is awarded with the hand-out of the certificate issued for this purpose, highlighting the graduate's credentials. The certificate is stamped with the university seal and signed by the President of the University and the Dean of the Zeppelin University Graduate School.

Section 27: Final provisions

- (1) These doctoral regulations enter into force on the day after they have been announced.
- (2) Candidates who submitted their dissertation to Zeppelin University prior to the effective date of these rules will complete their doctorate in accordance with the rules in force up to this change. Candidates who were admitted to the doctoral program in accordance with the regulations in force prior to this revision will retain their admission and may choose to proceed in accordance either with

these revised regulations or the previous regulations. The Graduate School invites doctoral candidates to make their choice known. This choice cannot be revoked.

Section 28: Tuition fees

Fees are governed in a separate fee schedule issued by the management of the responsible body of Zeppelin University.

Annexes

1. Subject-specific Regulations of the Faculty of Business and Economics

Regarding Section 5 Admission requirements

- (1) Exemptions are possible up to a grade of 2.5.

Regarding Section 8 Aptitude assessment

The suitability of candidates who are to be admitted under the exemption rule in accordance with Section 5 para. 2 with grades between 2.0 - 2.5 is determined on the basis of the results achieved in previous studies (e.g. the type and scope of the courses taken in a specific field and the grades obtained, the quality of the final thesis, and the like).

All other candidates are required to prove their general academic qualifications in one or more examinations in the fields of competence a) 'advanced management', b) 'advanced macroeconomics', c) 'advanced microeconomics' and d) 'advanced methods'. Qualification in competence field d) must be tested in every case; At least two areas out of fields a) - c) must be verified in relation to the specific doctoral project. The equivalence of the general academic qualifications is deemed proven if the examinations in the corresponding courses of the 2y M.Sc. CME have been passed. In each field of competence, these courses must not fall below 6 ECTS. If the individual test(s) refer(s) to other courses, in addition to the scope requirement, the level in question must be equivalent to at least Masters level. The basic principle is that the tests must have been started at the earliest opportunity and successfully completed

within one year.

The doctoral project is examined by professors within the faculty in the context of a presentation given by the candidate followed by a debate. After this debate, additional requirements relating to subject-specific content may be formulated in consultation with the supervisor of the work.

Regarding Section 9 Doctoral program

The program must be completed during the doctoral phase. The substantiating methodology, research and teaching courses are agreed individually with the doctoral student and recorded for each semester.

Regarding Section 14 Publication-based dissertation

In a synopsis compiled for the commission, the candidate will explain the key contributions to knowledge made in a minimum of three highlighted academic works. This contribution creates a coherent narrative arc between the individual publications, while contextualizing and reflecting on the research. The language used is either German or English.

In the case of co-authored contributions, the pro rata contribution made by the candidate must be clearly indicated. This may, for example, be done in a written declaration, which must be signed by every co-author.

The outstanding quality of the works highlighted in the synopsis, in accordance with international standards, must be demonstrated within the context of an overall evaluation incorporating all the individual works.

The proof will be considered valid if all of the individual works highlighted in the synopsis have been published or accepted for publication in a publication organ operating a peer-review process, which was listed in the SCImago Journal Rank Indicator (SJRI) at the time of submission. Alternatively, the VHB JOURQUAL or 'Handelsblatt' ranking valid at the time of submission may be used; in this case, each publication organ must have been assigned to Category C at least.

The proof will be considered valid if at least one of the works highlighted in the synopsis has been submitted to a high-quality publication organ operating a peer-review process and has reached at least the revise and resubmit (R&R) stage. A publication organ will

be considered high-quality within the meaning of these regulations if, at the time of submission, it is ranked by the SJRI as figuring among the top 10 % of all publication organs within a specific subject area or subject category. Alternatively, the VHB JOURQUAL or 'Handelsblatt' ranking valid at the time of submission may be used; high-quality publication organs within the meaning of these regulations are defined as A+ or A journals. The remaining works highlighted in the synopsis in a SJRI listed, peer-reviewed publication organ will at least be under review or have been accepted for presentation in a highly regarded conference or highly regarded workshop within the field. The outstanding quality of a conference/workshop must be demonstrated by the candidate in each case, and it must be demonstrated that the contribution has undergone a review process in the form of a 'full paper' and that only part of the submitted work has been accepted for the presentation.

Specifically, in justifiable exceptional cases, the outstanding quality of an individual work may also be demonstrated using appropriate documentation, including for example, the impact factor of the respective publication organ or corresponding citation rates.

Responsibility for evaluating the candidate's works falls to the thesis examiners. It cannot be substituted with the mere reporting of the results of a review process.

2. Subject-specific Regulations of the Faculty of Political and Social Sciences

Regarding Section 5 Admissions requirements

A minimum grade of 2.3 is required for an exception to be granted in accordance with Section 5 para. 2 item 1.

Regarding Section 8 Aptitude assessment

(1) In order to ascertain general academic suitability, the supervisor will rely on the references and exposés associated with the doctoral project in order to determine whether the applicant has attended courses relevant to the doctoral project and achieved an average result of 2.0. The master's thesis should also have received a grade of at least 2.0.

(2) Based on the requirements specified in Paragraph 1 and the exposés, the

supervisor submits an application to the faculty representative recommending that the doctoral committee admits the candidate as a doctoral student. Where applicable, the application should include any recommended requirements. The exposé should be included with the application, along with a justification demonstrating how the criteria specified in Para 1 have been fulfilled and verified with the relevant documentation (certificate copies).

(3) Once it has been established and verified that the formal criteria specified in Para. 1 have been fulfilled, the faculty representative sends the application, along with the justification and exposé, to the professors within the faculty who are entitled to vote for their agreement. The application is deemed to have been accepted if none of the professors have registered their reasoned objection within 3 weeks of the sending of the application. If such an objection is raised, the faculty representative informs the supervisor of this. If the supervisor is able to remedy the objection, the application is deemed to have been successful; otherwise, the application is presented to a professorial meeting for voting. In this professorial meeting, the candidate is given the opportunity to present his/her doctoral project. The professorial meeting then adjudicates regarding admission, with any applicable conditions, based on a majority of the votes cast.

(4) If the recommendation is accepted, it is forwarded by the supervisor, along with the application for admission to the doctorate, to the Doctoral Committee.

Regarding Section 9 Doctoral program

The faculty may stipulate additional modules for individual subjects.

Regarding Section 14 Publication-based thesis

The contributions submitted for the thesis must contain a substantial portion produced by the candidate him-/herself. At least one of the contributions must be published or have been accepted for publication. The other contributions must be under review with a journal.

3. Subject-specific Regulations of the Faculty of Communication and Culture

Regarding Section 5 Admissions requirements

[No deviating, subject-specific regulations.]

Regarding Section 8 Aptitude assessment

[No deviating, subject-specific regulations.]

Regarding Section 9 Doctoral program

The program must be completed during the doctoral phase. In the Faculty of Communication and Culture, the methods, research and teaching courses to be used in the doctoral project are determined individually in consultation with the candidate when applying for the doctoral project.

Regarding Section 14 Publication-based thesis

A cumulative doctorate in the Faculty of Communication and Culture requires participation in at least four contributions to recognized peer-review journals. At least three of the four publications must be 'published' or 'accepted'. Moreover, two of these contributions must be published in English-language international journals; one may be published in a German-language journal. Singly-authored individual works are weighted with a factor of 1. A mention as first author is always weighted with at least 0.5 points, including in cases where there are multiple authors. Other authorship mentions are calculated using the reciprocal. A score of at least 2.5 points must be achieved.

Complimentary close

The President has approved the changes to these regulations pursuant to Section 38, para. 4 sentence 1 of the State Law on Higher Education.

Notice of announcement

The amendments adopted by the Senate on May 8, 2019 shall be approved in accordance with Section 38 para. 4 sentence 1 LHG and announced. They enter into force on May 8, 2019.

Friedrichshafen, 8 May 2019

Prof. Dr. Insa Sjurts
President
