
DOCTORAL DEGREE REGULATIONS

Purpose:	To govern all relevant processes which are part of doctoral studies at Kühne Logistics University
Issued on:	September 5, 2017
Valid as of:	September 7, 2017

On September 5, 2017, the Academic Senate of Kühne Logistics University – Wissenschaftliche Hochschule für Logistik und Unternehmensführung (KLU) approved the following Doctoral Degree Regulations.

Table of contents

§1	Definition of doctorate, doctoral degree
§2	Board of Doctoral Examiners
§3	Admission requirements
§4	Admission procedure
§5	Supervision of the doctoral project, standard period of studies
§6	Interim evaluation
§7	Dissertation
§8	Dissertation Committee
§9	Assessment of the dissertation
§10	Decision on the dissertation and scheduling the oral defense
§11	Oral defense
§12	Decision on the oral defense and the doctorate
§13	Publication and submission requirements
§14	Doctoral degree certificate
§15	Appeal and review of the procedure
§16	Joint doctorates with German or foreign institutions
§17	Revocation of the doctoral degree
§18	Discontinuation of the procedure
§19	Entry into effect

§1 Definition of doctorate, doctoral degree

- (1) KLU awards the degree “Doctor of Philosophy” (Ph.D.) in management or the doctoral degree in business, economics, and social sciences (Dr. rer. pol.). §12 (2) contains further details on the awarding process.
- (2) The doctorate is proof of the candidate’s ability to conduct in-depth academic work by means of independent research.
- (3) In accordance with the annex of the Doctoral Degree Regulations, the doctoral studies consist of:
 - academic work equivalent to at least 90 credit points (CP),
 - a dissertation, which may be submitted either as a monograph or as several individual manuscripts, and
 - its oral defense.
- (4) An academic degree in accordance with §1 (1) may only be awarded once to a person.

§2 Board of Doctoral Examiners

- (1) The Academic Senate deploys a Board of Doctoral Examiners for a period of two years to supervise all procedures regarding the doctoral project. This is an examination committee within the meaning of §63 (1) Hamburg Higher Education Act in conjunction with §59 Hamburg Higher Education Act (HmbHG), equipped with the competences set out therein. It is composed of a member of the university who has been admitted to the doctoral program, (if possible) an academic employee of the university with a doctorate degree, four resident faculty members, and the Dean of Research.
- (2) A deputy must be appointed for each member. Members may be reappointed. If a member departs prematurely, her/his deputy will replace that member.

- (3) The Dean of Research is ex officio chairperson of the Board of Doctoral Examiners. The Board of Doctoral Examiners appoints a deputy chairperson from among the members of the resident faculty.
- (4) The Board of Doctoral Examiners may delegate certain powers to its chairperson.
- (5) The meetings of the Board of Doctoral Examiners are not public. It is accountable to the Academic Senate.

§3 Admission requirements

- (1) Before commencing the doctoral program, a candidate must apply to the Board of Doctoral Examiners for admission to the doctoral program. In general, the requirement for admission to the doctoral program is the successful completion of a master's degree or diploma relevant to a doctorate program in business, economics, social sciences, or comparable studies; with a minimum overall grade of "good" – 2.50 or better for German degrees or an equivalent international grade.
- (2) If the applicant has been awarded a degree other than those specified in §2 (1), she/he may still be admitted to the doctoral program if the Board of Doctoral Examiners finds that she/he has sufficient qualifications in the field. The Board of Doctoral Examiners may require this applicant to achieve additional credit points within a certain period of time in fields that are customary for the university degree specified in §2 (1) or which are required to supplement the knowledge and abilities for the intended doctoral program. In principle, the required credit points must be achieved at the KLU.
- (3) The doctoral project must be supported by at least one resident faculty member of the KLU.
- (4) Applicants who have not been awarded a degree for a study program conducted in the English language must prove sufficient language skills to complete the doctoral program. The Board of Doctoral Examiners may issue implementing regulations for this purpose.

§4 Admission procedure

- (1) Applications must be submitted to the Board of Doctoral Examiners in writing along with the following documents:
 - a) transcripts of records, certificates, and proof of qualifications in accordance with §3,
 - b) a completed application form including personal details, the candidate's preferred field of research, specific research interests, (if applicable) publications, and the desired doctoral degree,
 - c) a tabular CV with an overview of all activities and experiences relevant to the intended doctoral program, particularly prior methodological knowledge,
 - d) contact details of two professors and/or teachers which can be used as references,
 - e) a declaration attesting to whether or not the applicant has previously applied for a doctorate or whether she/he is pursuing a doctorate at another university or another department, in which case full details must be provided.
- (2) In general, applications are decided upon by the Board of Doctoral Examiners within one month.
- (3) Application must be rejected if:
 - a) the requirements specified in §3 are not met,
 - b) documents specified in §4 (1) are missing,
 - c) a doctorate has been awarded in the subject area of the doctoral program,
 - d) the applicant has already been admitted to a doctoral program in the respective subject area,
 - e) if the declaration specified in §4 (1) e) is false or
 - f) if the Board of Doctoral Examiners comes to the conclusion that KLU's expertise does not match the intended doctoral project.

- (4) Reasons for rejection must be provided in writing and communicated to the applicant.
- (5) Admission entails the registration to KLU's doctoral program. The Supervising Committee decides, in agreement with the Dean of Research, on the courses within the relevant course categories stipulated (see annex).

§5 Supervision of the doctoral project, standard period of studies

- (1) By admitting the candidate, KLU commits to ensure the supervision and assessment of the doctoral project. Furthermore, it will ensure that candidates are provided with the current version of the "Charter for safeguarding good academic practice and avoiding academic misconduct" by the Deutsche Forschungsgemeinschaft (DFG) and KLU.
- (2) For each doctoral project, the Board of Doctoral Examiners will appoint a Supervising Committee composed of at least two members. In principle, the Supervising Committee is composed of resident faculty members of KLU. At least one member of the Supervising Committee must be a resident faculty member at the rank of Associate and Full Professor. The Supervising Committee has an ongoing obligation to academically and procedurally supervise the doctoral project. The relationship between the candidate and the Supervising Committee will be governed in a Supervision Agreement. The candidate may propose the members of the Supervising Committee. If the Board of Doctoral Examiners rejects the candidate's proposal, the Board of Doctoral Examiners must decide on suitable members for the Supervising Committee.
- (3) In principle, the doctoral project must be completed within four years (standard period of study). The candidate may hand in an informal application for a one year extension to the Board of Doctoral Examiners at a time. The Board of Doctoral Examiners decides on the extension together with the Supervising Committee. If this extension is rejected, the candidate will be removed from the doctoral program. Provisions on the protection of mothers in employment (MuSchG) must be taken into consideration on the request of the candidate. The same applies to applications made by the candidate relating to deadlines for parental leave under the Parental Allowance and Parental Leave Act (BEEG). The Doctoral Board of Examiners will extend the standard period of study for the doctoral project respectively. If a supervisor is obliged for compelling reasons to terminate the supervisory relationship,

she/he is obliged to inform the chairperson of the Board of Doctoral Examiners without delay stating the reasons for doing so.

- (4) In general, the candidate must complete an interim evaluation after two years, which assesses whether the doctoral project can be successfully completed within the next two years. §6 contains further details.
- (5) If the supervisor's association with KLU ends, she/he retains the right to complete the supervision of any doctoral project for a period of five years. §5 (3) applies accordingly.

§6 Interim evaluation

- (1) Upon completion and successful defense of the status of the doctoral project after two years it must be verified whether the candidate meets the requirements for successfully completing the doctoral project.
- (2) The candidate must submit a written proposal for her/his doctoral project at the latest 23 months after admission to the doctoral program. The exposé should not exceed 20 pages and should detail research questions and methods.
- (3) The interim evaluation will be assessed by two professorial members of the Board of Doctoral Examiners as well as the Dean of Research as the chairperson. The supervisors of the doctoral candidate do not partake in the interim evaluation.
- (4) An interim evaluation is assessed with a positive outcome, in those cases where the Board of Examiners decides, on the basis of evaluating the exposé and the defense, that the doctoral project can be successfully completed within the next two years.
- (5) The doctoral project will only be continued in the case of a positive assessment.
- (6) The Board of Doctoral Examiners informs the doctoral candidate about the outcome of the interim examination in written form.

§7 Dissertation

- (1) The dissertation is proof of the candidate's ability to conduct in-depth academic work by means of independent research.
- (2) The dissertation must be in English.
- (3) The dissertation may be submitted as
 - a) a monograph, i.e., a self-contained presentation of the research and its findings. Parts of the work may be published in advance. In this case, the dissertation must contain a list of the respective publications,
 - b) a publication-based dissertation which is composed of at least three published and/or unpublished individual works. The Academic Senate may make recommendations on the type of individual works. The publication-based dissertation must contain an overall title and a synopsis which consists of an introduction, an overall interpretation, evaluation, and a discussion of the individual works included in the dissertation. In addition to the information required by §7 (5), a list of the titles of the individual manuscripts must be submitted.
- (4) Regarding written components of the dissertation which are based on collaboration with other academics, the candidate must present the contribution which she/he made to the article.
- (5) The candidate must reference all resources and aids and affirm that she/he wrote the dissertation herself/himself as specified in §7 (3) and did not use any other resources than those stated. She/he must give a declaration that she/he has not obtained any commercial doctoral advisory services. The work cannot have been accepted or deemed insufficient in an earlier doctoral project. In case of doubt, work done as part of earlier doctoral projects must be submitted for comparison purposes.
- (6) The title page of the dissertation must include the name of the author, state that it is a dissertation submitted to KLU, provide the date of submission, and include a cover page for the names of the reviewers.
- (7) Six copies of the dissertation must be submitted to the Board of Doctoral Examiners. A version suitable for online publication must also be submitted. This may only be used according to

§13 (3). Each supervisor and member of the Dissertation Committee receive a copy; one copy will be kept by KLU for archiving.

- (8) Proof that the additional requirements in accordance to §3 (2) have been met and the 90 credit points for academic work have been acquired (as specified in the annex) must be submitted along with the dissertation.

§8 Dissertation Committee

- (1) The Board of Doctoral Examiners will appoint a Dissertation Committee for each doctoral project within four weeks of submission of the dissertation and the proof required in accordance to §3 (2) and §1 (3). Members of the Dissertation Committee may be proposed by the candidate. The Board of Doctoral Examiners will appoint a chairperson who must be a resident faculty member at KLU.
- (2) The Dissertation Committee is composed of three professors. One member of the Dissertation Committee must be a resident faculty member at KLU. The second member must be a professor at another German or international institution of higher education with the right to award doctorates that are recognized in Germany. The third member must be either a professor at KLU or at another German or international institution of higher education with the right to award doctorates that are recognized in Germany. Only one member may have co-authored publications with the candidate.
- (3) If any member leaves the Dissertation Committee or is prevented from performing her/his duties for compelling reasons for an extended period of time, the Board of Doctoral Examiners will supplement the Dissertation Committee taking the provisions of §8 (2) into account.
- (4) The tasks of the Dissertation Committee are as follows:
 - a) assessment of the dissertation, based on the submitted reviews and any statements in accordance with §9 (2), (4), and (5),
 - b) scheduling and conducting the oral defense,

- c) assessment of the oral defense,
 - d) deciding on the overall grade taking into consideration the individual evaluations for the dissertation and the oral defense as specified in §§ 10 and 11,
 - (e) deciding on the type of doctoral degree, taking into account the candidate's preferences as stated in the application form.
- (5) The meetings of the Dissertation Committee are not public.
- (6) Unless these regulations stipulate otherwise, the Dissertation Committee's decision are taken by majority vote of the members entitled to vote. All votes on performance assessments are taken by open ballot; abstentions are not permitted. Decisions on performance assessments may only be taken if all members of the Dissertation Committee participate in the vote.

§9 Assessment of the dissertation

- (1) Two reviews are made for each dissertation. The reviewers are appointed by the Board of Doctoral Examiners. One of them must be a resident faculty member at KLU. A second member must be a professor at another German or international institution of higher education with the right to award doctorates that are recognized in Germany.
- (2) The reviewers may not have co-authored any of the individual works submitted as specified in §7 (3). This also applies to contributions which are related to the work according to §7 (3).
- (3) The reviews must be written independently of one another and must be submitted within two months. If a deadline is missed, written grounds for this must be provided to the Board of Doctoral Examiners. The reviews must assess the significance of the dissertation and its findings within a broader context and also describe any deficiencies. In the overall assessment, each reviewer must either recommend that the dissertation be accepted with a grade in accordance with §10 (4), be returned for revision and re-submission in accordance with §9 (5), or be rejected. If the required assessments do not emerge clearly from a review, the Board of Doctoral Examiners will return the review for revision.
- (4) If the assessment in the reviews diverge from one another, the Dissertation Committee will – after discussing the matter – propose a grade for the dissertation. If the Dissertation Committee cannot reach an agreement, the Doctoral Board of Examiners will appoint an

additional reviewer, who will become a member of the Dissertation Committee. In such cases, the Dissertation Committee will decide on the grade by majority vote. If the vote results in a draw, the chairperson's vote will be counted twice.

- (5) A reviewer may once state that there is a need for fundamental revision of the dissertation. In such cases, the reviewer does not grade the work, but identifies its deficiencies and may also recommend suitable measures for rectification. If a reviewer recommends fundamental revision, the Dissertation Committee will return the dissertation to the candidate and set a deadline for re-submission. If the dissertation is re-submitted according to the deadline, it will be reassessed by the reviewers. Otherwise, the candidate fails the doctoral project. The Dissertation Committee decides on any exceptions.

§10 Decision on the dissertation and scheduling the oral defense

- (1) The Dissertation Committee decides on the acceptance or rejection of the dissertation, the admission of the candidate for the oral defense, as well as on the grade to be awarded for the dissertation.
- (2) The grade is determined unanimously, unless another reviewer is appointed in accordance to §9 (4). In such cases, the committee will decide on the grade by majority vote. The grade "summa cum laude" may only be awarded for the dissertation if all reviewers recommend this grade unanimously.
- (3) If the dissertation is accepted, the Dissertation Committee will apply the following grading system:
 - summa cum laude,
 - magna cum laude,
 - cum laude,
 - rite.
- (4) The grade must be awarded based on the following criteria:
 - ability for in-depth, independent academic work,
 - independent research,
 - originality and topicality,

- clarity of argumentation,
- strength of evidence,
- transparency of methods,
- style and formal accuracy,
- critical treatment of the literature,
- discussion of findings.

- (5) If the dissertation is rejected, the Dissertation Committee will declare that the candidate has failed the doctoral project without scheduling an oral defense and will outline the reasons for its decision. The chairperson of the Board of Doctoral Examiners must inform the candidate of the rejection in writing, stating the reasons for the decision taken by the Dissertation Committee.
- (6) If the dissertation is accepted, the Dissertation Committee will inform the candidate of its decision and will set a date for the oral defense. In general, this should take place within one month following the receipt of the last review. The Dissertation Committee will inform the candidate of the grade awarded for the dissertation prior to the oral defense.
- (7) If the reviews include written requirements, the oral defense may only take place if the requirements for the written work have been met. The Dissertation Committee will define and verify the requirements. The print approval for the dissertation is deemed to have been issued if the doctoral project is concluded with an oral defense.

§11 Oral defense

- (1) The purpose of the oral defense is to prove the candidate's ability to orally present and discuss academic issues. The oral defense will be conducted in English. It is open to the public, but only the reviewers and members of KLU have the right to speak. The chairperson of the Dissertation Committee may exclude the public upon the candidate's request, provided that compelling reasons are presented. In this context, the members of the Board of Doctoral Examiners are considered members of the public. The members of the Dissertation Committee must participate in the oral defense.
- (2) The oral defense begins with an oral presentation in which the candidate presents and explains the fundamental findings of the dissertation and their significance in a broader

subject-related context. The candidate then defends the dissertation and answers questions from the members of the Dissertation Committee. The questions must relate to the dissertation and its relevance within the broader academic context. Subsequently, the chairperson of the Dissertation Committee may allow questions from the university public on the topic of the oral defense. The oral defense is composed of a 30-minute presentation by the candidate, followed by a discussion of a maximum of 60 minutes.

- (3) The chairperson of the Dissertation Committee coordinates the academic discussion and decides on priority and (as the case may be) whether questions are allowed.
- (4) The members of the Dissertation Committee appoint one of their members to take minutes. The member taking minutes keeps a record of how the oral defense proceeds. The minutes must be filed with the doctoral document and contain the following information:
 - date/time/place of the oral defense,
 - attendance list of members of the Dissertation Committee,
 - dissertation grade,
 - contributions to the discussion in bullet point format,
 - grade of the oral defense,
 - overall grade as per §12,
 - special incidents.

The minutes must be signed by all members of the Dissertation Committee.

- (5) If the candidate fails to appear at the oral defense without an excuse, she/he is deemed to have failed it. The candidate must be notified of this in writing.

§12 Decision on the oral defense and the doctorate

- (1) Following the oral defense, the Dissertation Committee will discuss the result of the oral defense and the overall grade of the doctorate in a non-public session. If the oral defense is assessed as “passed”, the overall grade will correspond to the grade given for the written component, unless the Dissertation Committee unanimously decides on the basis of the candidate’s performance in the oral defense that the grade diverts from the dissertation

grade. The Dissertation Committee will inform the candidate of the individual grades for the dissertation and the oral defense as well as the overall grade.

- (2) The Dissertation Committee decides on the doctoral degree to be awarded. If the doctoral project is publication-based, the “Doctor of Philosophy” (Ph.D.) is awarded; if the doctoral project is in the form of a monograph, a Dr. rer. pol. is awarded.
- (3) No later than two weeks after the Dissertation Committee has decided on the overall grade, the candidate will receive a transcript of record containing her/his full name, date and place of birth, the doctoral degree (Ph.D. or Dr. rer. pol.), the subject area of the doctoral project, all courses completed in the doctoral program and their grading, the title of the dissertation, the date of submission, the date of the oral defense, as well as the names of the reviewers and their individual grading of the dissertation. Furthermore, if the candidate has written her/his dissertation in cooperation with an externally funded graduate school, the certificate will also contain the name of this graduate school along with the signatures of the responsible persons, provided that the cooperation is based on a written agreement. The transcript of record entitles the candidate to use the academic title of the doctoral degree provided that the dissertation has been published in accordance to §13.
- (4) If the candidate fails the oral defense, the decision as well as the reasons for that decision must be communicated to the candidate in writing by the chairperson of the Board of Doctoral Examiners within two weeks. The oral defense may once be repeated no earlier than three months and no later than six months following the first oral defense.
- (5) If the candidate fails the oral defense a second time, the Dissertation Committee will declare the doctoral project as failed and will state the reasons for its decision. The chairperson of the Board of Doctoral Examiners must inform the candidate of the decision in writing within two weeks.

§13 Publication and submission requirements

- (1) The dissertation must be published within twelve months of the successful completion of the doctorate. If it cannot be published within this period, the chairperson of the Board of Doctoral Examiners may extend the deadline upon justified request.

- (2) In compliance with the requirements of the KLU library, the Board of Doctoral Examiners determines the number of printed or duplicated dissertation copies the candidate must submit. Furthermore, it determines how printed copies may be replaced by other media.
- (3) If the deadline and extended deadline according to §13 (1) and (2) have expired, the dissertation (or, in case of publication-based dissertations, parts which have not yet been published), will be published online by KLU library.

§14 Doctoral degree certificate

- (1) A doctoral degree certificate will be issued in English with a copy in German. The certificate will contain the subject area of the doctorate, the title of the dissertation submitted, the overall grade, as well as the date of the successful oral defense.
- (2) The President and the Dean of Research of KLU or their respective deputies will sign the certificate, which bears the seal of the university.
- (3) If reasons arise for revoking the doctorate before the doctoral degree certificate is issued, the certificate will not be presented to the candidate. In this case, the candidate will be informed of the reasons for refusal to issue the certificate. Further, the candidate will be informed of the possibility to appeal against this decision.
- (4) The doctoral degree certificate must be issued within a year of the successful oral defense.

§15 Appeal and review of the procedure

If information on legal remedies has been provided, appeals to decisions of the Dissertation Committee must be submitted to the chairperson of the Dissertation Committee within a month of it being announced; otherwise it must be submitted within one year of its announcement. If the Dissertation Committee does not grant a remedy for the appeal, the matter must be passed on to the Board of Doctoral Examiners for a decision. The candidate also has the right to appeal against decisions of the Board of Doctoral Examiners.

§16 Joint doctorates with German or foreign institutions

- (1) The doctoral project can be carried out jointly with universities or equivalent educational or research institutions in Germany or abroad, if
 - a) the applicant meets the requirements for admission to the doctoral project at KLU and
 - b) the German or international institution has the right to award doctorates and the doctoral degree awarded by this institution is recognized within the scope of application of the German Basic Law (Grundgesetz).
- (2) The candidate must be enrolled to the institutions involved.
- (3) The involved institutions determine which examination regulations are applicable to the procedure.

§17 Revocation of the doctoral degree

- (1) The doctoral degree may be revoked if the graduate has been guilty of deception when proving the requirements for admission or when doing her/his doctoral project. The decision of revocation is taken by the Board of Doctoral Examiners of KLU following a hearing with the graduate. An objection may be raised against the revocation of the doctoral degree.
- (2) In addition, the law applies to the revocation of the doctoral degree.

§18 Discontinuation of the procedure

- (1) If more than eight years have passed since the candidate was admitted to the doctoral project, the Board of Doctoral Examiners may discontinue the procedure after having obtained the prior written consent and opinion of the supervisors and following a hearing with the candidate. The official decision on the discontinuation must be reasoned in writing by the chairperson of the Board of Doctoral Examiners. The candidate will be exmatriculated. This does not preclude a reapplication by the candidate for admission to the doctoral program.

- (2) The candidate has the right to withdraw from the doctoral program until she/he submits the dissertation. The previous procedural steps are not deemed to be part of the doctoral project once a candidate has withdrawn.

§19 Entry into effect

These regulations shall initially be entered into effect on the day after their approval by the respective authority in Hamburg.

Hamburg, September, 05, 2017



Professor Thomas Strothotte, PhD
President



The Doctoral Degree Regulations of KLU of September 05, 2017 are supplemented by the following annex:

Annex

The following academic work may be credited towards the 90 credit points (CP) required according to §1 (3):

- Courses at KLU or a partner university (either in Germany or abroad) or another recognized institution. A maximum of 40 CP will be recognized:

Course category	Content	CP
Fundamental Courses	3 mandatory courses in Philosophy of Science, Presentation and Writing Skills, Writing and Ethics in Publication	15
Depth Requirement	A minimum of 3 expert courses in the field of the dissertation	15
Breadth Requirement	A minimum of 2 courses in a field of research which is not directly affected by the dissertation	10

- Presentations in at least 4 research colloquia at KLU. 5 CP per year are recognized for this (i.e. 20 CP).
- Teaching experience as part of the degree programs at KLU. A maximum of 20 CP are recognized for this.
- Planning the dissertation project with the supervisors. 5 CP (i.e. 10 CP) will be recognized for this in each of the first two years.
- Other equivalent forms of academic work and further education to be approved by the Board of Doctoral Examiners.