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**Doctoral Degree Regulations for the Doctoral Program
of the Faculty of Management, Economics and Social Sciences
University of Cologne**

16 January 2008

Pursuant to section 2.4 and section 67.3 of the Higher Education Act of North Rhine-Westphalia (Das *Hochschulgesetz* des Landes Nordrhein-Westfalen), in the October 31, 2006 version of the Hochschulfreiheitsgesetz (GV NRW, p. 474), the Faculty of Management, Economics and Social Sciences of the University of Cologne (hereafter “FMES”) has set down the following regulations for its doctoral program.

Section 1

Standard Doctoral Degrees

Students who successfully complete a doctoral thesis and oral examination will receive the degree

- Doctor rerum politicarum (Dr. rer. pol.) -

from FMES.

Section 2

Honorary Doctoral Degrees

FMES may recognize extraordinary academic achievement in an individual by awarding him or her the honorary doctoral degree

- Doctor rerum politicarum honoris causa (Dr. rer. pol. h.c.) –

Section 3

Doctoral Program Committee

(1) The Doctoral Program Committee consists of the following members of FMES:

- a) the dean (chair);
- b) one professor each from the Department of Management, the Department of Economics and the Department of Social Sciences;
- c) and a representative from the academic staff (representative must possess a doctoral degree)

(2) The members of the Doctoral Program Committee (Sections 3.1.b and 3.1.c) and their proxies are selected by the Faculty Government (“die Engere Fakultät”). Members serve for a period of two years. Members can be reelected once. In the event that a member has assigned a proxy, the term of the proxy ends with the term of the member.

(3) The Doctoral Program Committee constitutes a quorum when the chair and the majority of the members are present. The Committee decides by simple majority. If voting is tied, then the vote of the chair shall prevail.

(4) The meetings of the Doctoral Program Committee are closed to the public. The members of the Committee and their proxies are sworn to secrecy.

(5) The chair represents the Doctoral Program Committee in court and out of court. He or she calls to order the meetings, directs the Committee and enacts its decisions. The Committee reserves the right to adjudicate appeals to its decisions.

Section 4

Conditions for Admission to the Doctoral Program

(1) Admission to the doctoral program requires a letter of support from an eligible dissertation supervisor (see Section 8.5) and the completion of a previous degree as per paragraphs 2 and 3 below. Applicants must complete the admission form and submit it to the dean of FMES before they begin the doctoral program.

(2) In the following cases, applicants will be admitted to the doctoral program by a decision of the dean:

a) a completed degree (“Diplom” or “Magister”) at FMES or a completed degree (from a program 4 years or longer in duration; including a bachelor’s degree) in economics, political science or the social sciences from a German university in economics or social sciences.

b) a completed degree from a 4-year (or longer) program (including a bachelor’s degree) from a German university, in which the percentage of subjects in economics or the social sciences amounts to 30 percent of the credits as determined by the degree requirements (combined majors)

c) a completed degree from a 4-year (or longer) program (including a bachelor’s degree) from a German university provided the applicant has worked at least one year as a research assistant at FMES or in one of its research institutes (“Assistenzregelung”).

d) extraordinary performance in a degree program (a “very good” in the German system) from a technical university (“Fachhochschule”; with either a “Diplom,” or a “Magister”) and the successful completion of an examination in the areas of management and economics or the acquisition of at least 60 credits from the master’s programs in business administration and in economics, of which at least 18 are in the area of “methods and techniques” (business administration) and “theories and methods” (economics) at FMES (“FH Regelung”). While completing the credit requirements, applicants may receive from the dean provisional admission to the doctoral program. In justified cases, applicants may be exempted from one or more examination requirements.

(3) In the following cases, applicants will be admitted to the doctoral program by a decision of the Doctoral Program Committee:

a) a completed degree in an academic field outside economics, political science or social sciences from a 4-year (or longer) program at a German university

b) a completed degree in an academic field from a 4-year program or longer at a university abroad; in case of multiple degrees or multiple universities, the number of program years will be considered cumulatively)

(4) In the case of 4.3.a and 4.3.b, a full-time professor or a faculty member (he or she must have earned a habilitation) of the FMES who has agreed to supervise the applicant’s dissertation must petition the Doctoral Program Committee. Alternatively, the board chair of the Cologne Graduate School in Management, Economics and Social Sciences (hereafter “CGS”) must petition the Committee. The supervisor and the applicants must submit the necessary documents and certifications to the Doctoral Program Committee.

(5) The admission to the doctoral program as defined by paragraph 3 can be made dependent on the successful completion of up to two seminars determined by the Committee. These seminars are not part of the doctoral program as defined by Section 5.

Section 5 Doctoral Studies

(1) After admission according to the conditions defined in Section 4, students must complete at least a 2-semester period of study in the doctoral program of FMES. The study consists of 5 courses, at least three of which are in the area “interdisciplinary methods and theories” (“Fachübergreifende Methoden und Theorien”) of the CGS.

(2) The board of the CGS determines which courses are to be part of the doctoral studies. Courses approved for the doctoral program are to be published at the beginning of the semester on the Internet page of the CGS.

(3) The Doctoral Program Committee may accept courses completed at other graduate schools in Germany or abroad. In certain exceptional cases the Doctoral Degree Committee can, at the behest of the supervisor, approve courses completed at other faculties.

Section 6 Admission to the Doctoral Examination

To begin the doctoral examination—the process that reviews the dissertation and the oral examination—a formal application (“Promotionsgesuch”) must be personally submitted to the dean’s office. The following materials are to be included with the application:

1. three copies of the dissertation;
2. a letter of admission to the doctoral program (see Section 4) and proof of having completed the doctoral coursework (see Section 5); and
3. the following statement:

I hereby declare that I have completed the following work without help from third parties and without means of assistance, apart from those indicated. I have cited the sources of all direct and indirect quotations, dates, and ideas that are not my own. The following persons assisted me with the selection and evaluation of research materials as described below and for payment or without payment as indicated:

No other persons were involved in preparing the contents of this work. I certify that I have not used the paid services of consultation firms, and that I have paid no one, directly or indirectly, for tasks connected to the contents of this dissertation. The work has not yet been submitted in the same or similar form to another institution in Germany or abroad. I certify that this statement is true and complete to the best of my knowledge.

In the event that coauthors were involved in the preparation of individual publications (see Section 8.2) then the statement “No other persons were involved” should be modified to read “No other persons except those listed in the work’s introduction were involved”

Section 7 Doctoral Examination

(1) The examination period begins immediately after the formal application and all required documents (see Section 6) have been approved by the dean.

(2) The examination period normally lasts no more than six months after the dissertation has been submitted.

Section 8 Dissertation

- (1) The dissertation must have been completed at FMES, and it must contribute a significant advancement to the state of research in the applicant's field of study. The dissertation is to be written in German or in English. The doctoral student may, with the approval of his or her supervisor, submit an application to the dean requesting that the dissertation be written in another language.
- (2) The dissertation may consist of multiple scientific publications by the doctoral candidate, provided they are thematically related. In this event, the candidate is to supply a detailed introduction to the articles, describing their conclusions, elucidating their subject, and, if coauthors were involved, the specific contribution of the doctoral candidate.
- (3) The dissertation is to include a bibliography and a list of resources used.
- (4) A publication of the doctoral candidate can only be used as part of the dissertation if its use does not violate the rights of third parties.
- (5) The dissertation supervisor may be a current or former or retired university instructor (full-time or adjunct) of FMES.

Section 9 Review of the Dissertation

- (1) For the review of the dissertation, the Doctoral Program Committee will designate two readers, one of which will be the dissertation supervisor, the other will come from persons listed in Section 8.5. Honorary professors of FMES can also be designated as readers. At least one of the readers must be a full-time professor at FMES. In exceptional cases, the Doctoral Program Committee can designate a full-time university staff member from another faculty and/or university to be one of the readers. The supervisor may request that a young researcher (possessing a doctorate) be designated as a reader.
- (2) In the case of an interdisciplinary dissertation, the Doctoral Program Committee may designate three readers; otherwise it will proceed as described in paragraph 4.
- (3) Each reader will give the dissertation one of the following grades:
summa cum laude
magna cum laude
cum laude
rite
non rite
- (4) In the event that one of the two readers designated in paragraph 1 does not accept the dissertation and the other reader does, the Doctoral Program Committee will designate another reader from the full-time teaching staff at FMES.
- (5) The dissertation is accepted when the majority of the readers designated by the Doctoral Program Committee recommend the dissertation as worthy of the doctoral title. Once the dissertation is accepted, the doctoral candidate will be permitted to take part in the oral examination.
- (6) The dean will notify the doctoral candidate in writing whether the work was accepted or rejected by the readers. In the case of rejection, the decision will be explained and information on legal recourse will be provided. The Doctoral Program Committee shall adjudicate decision appeals.

Section 10
Oral Examination

- (1) In the oral examination the doctoral candidate demonstrates that he or she can analyze and evaluate problems relating to management, economics, and the social sciences.
- (2) The oral examination is to be held in German, but can also be held in English should none of the participants object.
- (3) The minutes of the oral examination shall be taken. Should the examination receive a failing grade, it can be repeated once within a year's time from the date of the first examination.
- (4) The oral examination is open to the entire Faculty. The Doctoral Program Committee will appoint the dissertation readers (see Section 9.1 or 9.2) as members of the Examination Board as well as a further full-time faculty member at FMES. This chair will take the minutes.
- (5) At the beginning of the oral examination, the doctoral candidate shall submit to the members of the Examination Committee a two-page summary of the dissertation. The defense begins with a short presentation (15 minutes) in which the doctoral candidate discusses the most important results of his or her work. The questions that follow will be directed toward the lecture as well as the content and methodology of the dissertation. In addition to the dissertation, questions can be directed to themes related to the dissertation. The disputation lasts at least one hour and no more than one and a half hours.
- (6) The chair may decide to allow questions from the public. In case the order needed for a proper oral examination is jeopardized, the chair may decide to exclude the public from the proceedings. The reasons for the decisions are to be put on file.
- (7) The evaluation of the oral examination shall take place immediately thereafter and is not open to the public. Marks will be assigned as described in Section 9.3. The oral examination shall receive a failing mark when at least two of the members of the Examination Board give it a score of "non rite." The Board will immediately personally notify the doctoral candidate of the decision.

Section 11
Results of the Doctoral Examination

- (1) After the oral examination, the dean issues the final result. If the candidate has passed both the dissertation and the oral examination, then the final mark will be determined as follows: 2/3 from the arithmetic mean of the marks received by the dissertation and 1/3 from the arithmetic mean of the marks received by the dissertation defense. The following overall grades apply:
summa cum laude
magna cum laude
cum laude
rite
- (2) The dean will notify the doctoral candidate of the overall result of the doctoral examination in writing.
- (3) After the conclusion of the procedure, the candidate may request to examine the review of the dissertation within a period of one year. The candidate may take notes while reviewing the files. Copies or photographs are not permitted. The request should be submitted to the chair of the Doctoral Program Committee.

Section 12

Publication of the Dissertation

- (1) Upon successful completion of the doctoral examination, the candidate is required to publish the dissertation in a version approved by the readers. The candidate may:
 - (a) submit 80 copies of the dissertation to the FMES
 - (b) prepare and submit the dissertation in electronic form according to the requirements of the Universitätsbibliothek and the Stadtbibliothek Köln.
- (2) Should the dissertation appear independently in a scholarly series or in a book issued by an academic press, then the candidate need only submit 12 copies of his or her dissertation to the FMES.
- (3) Should most parts of the dissertation already have appeared in recognized scholarly journals (see Section 8.2), the candidates need only submit 12 copies of his or her dissertation to the FMES.
- (4) Copies of the dissertation must be submitted to the FMES within a year after the completion of the doctoral procedure. If this deadline is exceeded and the candidate is at fault, then all rights bestowed by the doctoral examination will be revoked. In certain justified cases, the candidate can submit a timely request to the Doctoral Program Committee for a one-year extension of the deadline.

Section 13

Fraud

Should it become known before the doctoral degree has been awarded that the candidate committed academic fraud in any part of the doctoral examination, the Faculty Government of FMES can declare the examination null and void.

Section 14

Awarding of the Doctoral Degree

- (1) The doctoral degree is awarded after the candidate passes the doctoral examination. Candidates are required to vow to the dean that they will always comport themselves in a way befitting of the doctoral title.
- (2) The doctoral certificate will be handed out after the requirements stipulated in Section 12 have been fulfilled. After the candidate has received the doctoral certification, he or she may bear the doctor title.
- (3) The doctoral degree certificate contains the title of the dissertation, the overall grade of the examination, and the date the degree was conferred. The certificate bears the signature of the dean and the seal of FMES. A copy of the doctoral degree certificate will be kept on file at FMES.

Section 15

Joint Doctoral Studies with Universities Abroad

- (1) Permission to pursue a joint doctoral studies with a university abroad requires admission (see Section 4) into the doctoral degree program of FMES. Permission to pursue joint doctoral studies also requires letters of intent from the University of Cologne and the partner university.
- (2) The regulations for a joint doctoral degree program can be set down in a framework agreement or in an individual agreement between FMES and the partner university. If a framework agreement exists, the program representative in Cologne, with the consent of the Doctoral Program Committee, will be responsible for making admission decisions. If an individual agreement exists, then the Doctoral Program Committee will be responsible for making admission decisions.
- (3) As a rule, doctoral procedures that include a joint program with a university

abroad must be carried out at FMES according to these Doctoral Degree Regulations. These Regulations can be replaced with equivalent regulations, especially in the following circumstances:

- (a) The doctoral studies (in the sense of Section 5) takes place at both universities in adherence to their respective regulations.
- (b) The candidate is supervised by a professor at FMES (see Section 8.5) and a professor at the partner university.
- (c) The dissertation is to be written in German and English (see Section 8.1)
- (d) The supervisors are assigned to be the readers who review the dissertation (Section 9).
- (e) The oral examination takes place in German based on the selection of those on the Examination Board (Section 10) or in the official language of the partner university. With the consent of the candidate, the examination can be held in English.
- (f) The doctoral degree certificate documents the joint doctoral program in addition to the information described in Section 14.3.

Section 16 **Joint Doctoral Procedure with French Universities** **(“cotutelle de thèse”)**

- (1) A joint doctoral procedure includes, in addition to joint doctoral studies (Section 15), a joint review of the dissertation and the oral examination. The review is to meet the requirements of the Doctoral Degree Regulations of FMES as well as those of the French university.
- (2) In the joint doctoral procedure, a single doctoral degree will be conferred. The certificate may be issued in German or in French.
- (3) In addition to the regulations in Section 15 for joint doctoral studies, the following special regulations apply for the joint doctoral degree procedure:
 - a) The dissertation should be written in German or French. It must include a summary written in the respective other language. The summary should describe the methodology and the most important conclusions. A candidate can request, with the permission of both universities, to write the dissertation in English.
 - b) The universities of the joint doctoral procedure may use different systems of assessment for evaluating doctoral work.
 - c) The oral examination is adjudicated by a jury with four to six members, half of which are to be named by FMES and the other half of which are to be named by the French partner university. The oral examination shall be in German or French. With the consent of the candidate, it can also be held in English.

Section 17 **Honorary Doctorate Procedure**

- (1) The procedure for the honorary doctorate begins with the written request of a full-time professor at FMES. The professor who writes the request must justify the nomination by describing the excellent scientific achievements called for in Section 2.
- (2) In a secret vote, faculty professors (“die Weitere Fakultät”) recommend to Faculty Government to accept or reject the request. The request is accepted when at least two thirds of those present accept it. Based on the recommendation of faculty professors, the Faculty Government makes a decision about conferring the honorary doctorate in a closed session. The request is approved if at least two thirds of the professors in the Faculty Government vote to approve it.
- (3) The dean will present the honorary doctorate certificate to the nominee. The certificate will name the merits of the recipient.

Section 18

Reissuing of the Doctoral Degree Certificate

The FMES will reissue a doctoral degree certificate on its 50th anniversary of its receipt. A small celebration will accompany the reissuing.

Section 19

Revocation of the Doctoral Degree

The doctoral degree is to be revoked if

- a) the holder of the degree is shown to have knowingly committed fraud with regard to the requirements for admission to the doctoral degree program;
- b) the holder of the degree committed fraud in completing the doctoral work, especially the dissertation; or
- c) the holder of the degree is convicted of a crime in a court of law in whose preparation or execution the doctoral title was misused.

(2) The doctoral degree can be revoked if the degree holder is convicted for a crime and sentenced to a prison sentence of more than a year. If the degree holder is sentenced abroad, the deed must be punishable in Germany for the doctoral degree to be revoked.

(3) The Faculty Government will decide whether to revoke a degree based on the recommendations of faculty professors in a closed session within a year after the verdict becomes known. Voting will be decided by the simple majority of those present. The degree holder affected by the decision shall have the opportunity to make a statement. If the degree was obtained from a joint doctoral degree program as defined in Section 15 or Section 16, then the partner university abroad will take part in discussions about the decision.

(4) After a decision to revoke the doctoral degree has been made, the doctoral certification is considered void and will be confiscated.

Section 20

Final Provisions

(1) These Doctoral Degree Regulations have been published in the Official Bulletin of the University of Cologne. They took effect on October 1, 2008. The Doctoral Degree Regulations issued March 3, 2005 (Official Bulletin 10/2005) will become invalid on this date. Paragraph 2 shall remain unaffected.

(2) Doctoral candidates who have already been admitted into the doctoral program by the time these Regulations take effect may, without prejudice to the regulation in paragraph 1, continue the program in accordance with the previously valid Doctoral Program Regulations, provided they state their intention to do this in writing by September 30, 2009. This decision cannot be reversed.

As decreed by the Faculty of Management, Economics and Social Sciences on November 26, 2007 and by the Dean's Office of the University of Cologne on January 3, 2008.

Cologne, the 16th of January 2008.

The Dean of the Faculty of Management, Economics and Social Sciences,
University of Cologne
University Professor Dr. Frank Schulz-Nieswandt