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**PhD Regulations for the
Faculty of Management, Economics and Social Sciences
of the University of Cologne
17 February 2015**

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Pursuant to Sections 2(4) and 67(3) of the Higher Education Institution Act of the Federal State of North Rhine-Westphalia (“Gesetz über die Hochschulen des Landes Nordrhein-Westfalen” or “Hochschulgesetz”, abbreviated to “HG”), as amended by the Higher Education Future Act (“Hochschulzukunftsgesetz”) of 16 September 2014 (North Rhine-Westphalian law gazette 2014, p. 547), the Faculty of Management, Economics and Social Sciences of the University of Cologne has enacted the following PhD regulations:

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Section 1
Standard PhD degrees

The Faculty of Management, Economics and Social Sciences of the University of Cologne awards PhD degrees in Management, Economics and Social Sciences with the title of

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

on the basis of a dissertation written by the candidate and an oral examination.

Section 2
Honorary PhD degrees

In exceptional cases, the Faculty of Management, Economics and Social Sciences of the University of Cologne can award an honorary PhD degree in Management, Economics and Social Sciences with the title of

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

in recognition of outstanding services to science.

Section 3
Doctoral Degrees Board (“Promotionsausschuss”)

(1) The Doctoral Degrees Board shall consist of the following voting members from the Faculty of Management, Economics and Social Sciences:

- a) a chair – this role shall be performed by the Dean; the Dean can delegate the role of chair to the Vice-Dean of Research;
- b) three further members from among the core teaching staff group (“Hochschullehrerinnen und Hochschullehrer”); there must be one member each to represent the three fields of Business Administration, Economics and Social Sciences;
- c) one member from among the associated teaching staff group (“akademische Mitarbeiterinnen und Mitarbeiter”) who holds a PhD;
- d) one member from among the group of students enrolled on the PhD programme at the Faculty of Management, Economics and Social Sciences of the University of Cologne, provided he or she is not a member of the associated teaching staff (“akademische Mitarbeiterinnen und Mitarbeiter”); and
- e) one member from among the technical and administrative staff group.

(2) The Doctoral Degrees Board shall include the following advisory members from the Faculty of Management, Economics and Social Sciences:

- a) the managing director of the graduate school of the Faculty of Management, Economics and Social Sciences of the University of Cologne – the “Cologne Graduate School” (CGS) and
- b) the manager of the PhD Programmes Office (“Promotionsbüro”).

(3) ¹The Doctoral Degrees Board members specified in (1)b and c above and their substitutes

shall be appointed by the Faculty Council for a period of four years and in compliance with Section 11c of the HG Act. ²The Doctoral Degrees Board members specified in (1)d and e above and their substitutes shall be appointed by the Faculty Council for a period of one year. ³Each of the groups listed in (1) b to e shall be entitled to nominate members. ⁴Re-appointment is permitted. ⁵The substitute members shall stand in for the members they represent if the latter are unable to participate. ⁶The first period of office for all members of the Doctoral Degrees Board constituted by these regulations shall begin on 1 May 2015. ⁷The current Doctoral Degrees Board, established in accordance with the 2008 PhD Regulations (Official Notices 8/2008) shall remain in office until 30 April 2015.

(4) ¹The Doctoral Degrees Board shall be deemed to have a quorum if the majority of the voting members (at least three of whom must be core teaching staff (“Hochschullehrerinnen und Hochschullehrer”)) are present in addition to the Chair. ²For matters directly concerning the PhD programme and the related preparatory studies, apart from assessment thereof, it must be ensured that the members from the core teaching staff group have at least half of the votes. ³Decisions shall be taken by simple majority voting. ⁴If the votes for and against are equal, the Chair’s vote shall decide. ⁵The Doctoral Degrees Board member from the technical and administrative staff group shall only be entitled to vote on matters concerning the PhD programme if their role at the University permits them to vote and they have particular experience in the area concerned. ⁶The Chair shall decide whether this is the case at the beginning of the member’s appointment. ⁷The member specified in (1)d above shall not vote on decisions relating to academic aspects, particularly assessment of and credit transfers for examinations, nor shall they vote on decisions concerning objections relating to these points.

(5) ¹The Doctoral Degrees Board meetings shall be closed to the public. ²The members of the Doctoral Degrees Board and their substitutes shall be bound by a confidentiality obligation. ³Those of them who are not civil servants shall be sworn to secrecy by the Chair.

(6) ¹The Chair of the Doctoral Degrees Board shall represent the Doctoral Degrees Board in legal and non-legal matters. ²The Chair shall convene the Doctoral Degrees Board meetings, chair them and implement any decisions taken at the meetings. ³He or she shall perform the tasks assigned to them by the Doctoral Degrees Board plus all ordinary business for which a decision by the Doctoral Degrees Board is not necessary. ⁴The Doctoral Degrees Board shall reserve the right to make decisions concerning objections against decisions taken by its Chair.

(7) The Doctoral Degrees Board is entitled to use the managerial services of the PhD Programmes Office within the Dean’s Office of the Faculty of Management, Economics and Social Sciences of the University of Cologne.

Section 4 Admission

(1) ¹Candidates must have been admitted to the PhD programme in order to be able to apply to study for a PhD as described in Section 6. ²Prior to enrolling on the PhD programme, they must apply to be admitted by submitting the required form to the Chair of the Doctoral Degrees Board of the Faculty of Management, Economics and Social Sciences of the University of Cologne. ³They must back up their application with a statement of their reasons for wishing to embark on the programme. ⁴The following documents must be submitted along with the application:

- a) an outline of their planned research project,
- b) a curriculum vitae,
- c) proof of their general qualification for university entrance,
- d) all transcripts of records from previous programmes from which the candidate has graduated (including marks),

- e) two letters of recommendation, one to two pages long, from core teaching staff members and
- f) a letter from a supervisor from among the persons specified in Section 8(5), confirming their willingness to act as a supervisor ("Betreuungsusage").

⁵The confirmation letter from the supervisor shall provide a detailed statement to illustrate that the applicants' academic performance to date plus any practical experience they have in the area to be covered in their dissertation is sufficient for the PhD programme.

⁶It shall also show that the applicant has the appropriate skills to be able to produce an academic work independently. ⁷Any bias on the part of the supervisor must be stated in the confirmation letter. ⁸The applicant must provide the Doctoral Degrees Board with all records and documents it requires to be able to make an informed decision.

(2) ¹Applicants can be admitted if they have

- a) a degree from a relevant master programme or
- b) a degree from a relevant higher education programme with a standard period of study of at least eight terms, for which the title awarded is not "bachelor", or
- c) a degree from a relevant higher education programme with a standard period of study of at least six terms, followed by appropriate studies to prepare for a PhD programme or
- d) a degree from another type of master programme as described in sentence 2 of Section 61(2) of the HG Act or from another university programme with a standard period of study of at least eight terms, for which the title awarded is not "bachelor", followed by appropriate studies to prepare for a PhD programme.

²A master programme is deemed relevant if at least 75 of the 120 credit points it carries were accumulated in the subject area in which the applicant wishes to pursue their PhD. ³A master degree from a programme carrying fewer than 120 credit points shall also be deemed relevant if the total number of credit points accumulated during the bachelor and master programmes or during a relevant higher education programme of the type described in b) above was at least 300, and at least 150 of the credit points accumulated during the applicant's studies overall were accumulated in the subject area in which they wish to pursue their PhD.

(3) Applicants wishing to be admitted to the PhD programme must be able to prove that they have successfully completed a degree. This is deemed to be the case where an applicant with a degree of the type defined in (2) a, b and d above graduated with an overall mark of "gut" (2,0) or higher or where an applicant with a degree of the type defined in (2) c above graduated with an overall mark of "sehr gut" (1,5) or higher or resp. international grades equivalent to the German metric.

(4) ¹ Applicants must provide proof that they have an adequate knowledge of German or English if neither their studies towards their higher education degree nor towards their general qualification for university entrance were conducted in German or English. ²Proof of adequate knowledge of German can be provided through the German language test for admission to higher education (“Deutsche Sprachprüfung für den Hochschulzugang”) (level DSH-2 or DSH-3), the German as a Foreign Language test (level 4 in all four parts of the test) or another, equivalent test, in accordance with the DSH Test Regulations as amended from time to time. ³A B2 certificate in line with the European Union Common European Framework of Reference for Languages is considered proof of adequate proficiency in English. ⁴Decisions concerning exemptions shall be made by the Doctoral Degrees Board.

(5) ¹The admission procedure begins with a review of the documents submitted in accordance with (1) above. ²The applicants who pass this stage are given a selection interview, conducted by two members of the core teaching staff group specified in Section 8(5). ³The Doctoral Degrees Board shall inform applicants of the outcome of the procedure in a written document that includes information on how to appeal. ⁴Admission for applicants of the type specified in (2) c and d above shall apply provisionally until they provide proof that they have attained the credit points specified in (7) below. ⁵If the requirement stipulated in sentence 5 of (7) is not met, the applicant’s admission shall be revoked. ⁶The Doctoral Degrees Board shall inform the applicant that this is the case in a written document that includes information on how to appeal.

(6) ¹The outcome of the admission procedure as per sentence 3 of (5) above shall be decided by the Doctoral Degrees Board. ²At the request of a member of the core teaching staff group specified in Section 8(5), the Doctoral Degrees Board can grant an exemption from one or more of the admission requirements set out in sentences 2 and 3 of (2) above. ³In accordance with the Enrolment Regulations (“Einschreibungsordnung”) of the University of Cologne, students shall initially be admitted for six years of study. ⁴This does not include the time for preparatory studies for PhD programmes. ⁵The period of admission can be extended upon request if good reasons are given to do so. ⁶The length of the extension shall be decided by the Doctoral Degrees Board.

(7) ¹The Doctoral Degrees Board shall specify selected research track courses from the master programmes at the Faculty of Management, Economics and Social Sciences of the University of Cologne, which PhD candidates of the type specified in (2) c or d above must pass by way of preparation for their PhD studies in addition to the credit points specified in Section 5. ²The courses can be found in a list drawn up by the Cologne Graduate School in Economics, Management and Social Sciences of the Faculty of Management, Economics and Social Sciences of the University of Cologne. ³The number of credit points to be accumulated by PhD candidates of the type specified in (2)c above in the preparatory studies shall be between 30 and 60, as specified by the Doctoral Degrees Board. ⁴The number of credit points to be accumulated by PhD candidates of the type specified in (2)d above in the preparatory studies shall be between 12 and 30, as specified by the Doctoral Degrees Board. ⁵Credit points as of sentence 3 and 4 must be completed before the specified deadline and with an average mark of at least 2,0. ⁶In order to take the relevant examinations, candidates are required to matriculate temporarily for preparatory studies for PhDs in accordance with the Enrolment Regulations of the University of Cologne. ⁷The Doctoral Degrees Board shall decide the duration of the temporary matriculation.

(8) ¹A written supervision agreement between the supervisor and PhD candidate, detailing the key aspects of their relationship, shall be presented to the Doctoral Degrees Board within twelve months of the candidate being admitted. ²This supervision agreement shall specify the main milestones. ³The supervision agreement can include interim evaluations.

⁴If one of the agreed interim evaluations is failed for reasons for which the PhD candidate is responsible, their admission to the PhD programme shall be revoked. ⁵The Doctoral Degrees Board shall inform the PhD candidate of this in a written document to include information on how to appeal.

(9) ¹All supporting documents must be submitted as originals or certified copies. ²Transcripts of records or certificates in a language other than German or English must be accompanied by a German translation, the accuracy of which must be certified by the relevant diplomatic or consular representative of the Federal Republic of Germany in the country of origin or by a sworn interpreter or translator in the Federal Republic of Germany.

(10) ¹Applicants can be refused admission to the PhD programme if they have been convicted of an intentional criminal act and sentenced to at least one year in prison. ²If they were convicted outside of Germany, the criminal act must constitute an offence in Germany too.

Section 5 **PhD programme**

(1) ¹Once candidates have been admitted and have matriculated, they embark on a PhD programme at the Faculty of Management, Economics and Social Sciences of the University of Cologne, lasting at least two months. ²During the programme, they must accumulate a minimum of 30 credit points, of which no more than 12 are allowed to be gained in research seminars or doctorate colloquiums. ³Fellowship holders from the Graduate School of the Faculty of Management, Economics and Social Sciences of the University of Cologne, other graduate colleges and PhD candidates in specific Areas or centres of the Faculty can be requested to provide evidence of additional studies or examinations worth up to 30 credit points. ⁴The studies or examinations required by sentence 3 must be agreed in writing with the PhD candidates in their supervision agreements.

(2) ¹The Doctoral Degrees Board shall specify the courses for the PhD programme as suggested by the Graduate School or by a member of the core teaching staff group at the Faculty of Management, Economics and Social Sciences of the University of Cologne specified in Section 8(5). ²The PhD courses to be attended by PhD candidates shall be announced on the website of the Cologne Graduate School in Economics, Management and Social Sciences of the Faculty of Management, Economics and Social Sciences of the University of Cologne before the start of term.

(3) ¹The Chair of the Doctoral Degrees Board can recognise courses delivered by a Graduiertenkollegs at a German university, by the Max Planck Research Institutes (IMPRS) or as part of a PhD programme at another faculty of the University of Cologne or of another university in Germany or abroad if the PhD candidate submits a written request to this end. ²The number of credit points required by (1) above not gained at the Faculty of Management, Economics and Social Sciences of the University of Cologne shall not exceed 12. ³If 12 credit points are recognised, the PhD programme specified in (1) above can be shortened to one term by written request.

(4) ¹Credit points from master programmes at the Faculty of Management, Economics and Social Sciences of the University of Cologne that are cited as being PhD courses in the Examination Regulations for a master programme at the Faculty of Management, Economics and Social Sciences of the University of Cologne ("research tracks") can be transferred to the PhD programme specified in (1) above upon written request by the PhD candidate in question. ²If at least 12 credit points are recognised, the PhD programme specified in (1) above can be shortened to one term upon written request by the PhD candidate.

(5) In order to take examinations on the PhD programme, candidates must be matriculated as PhD students at the University of Cologne.

Section 6

Application for PhD examination

¹The PhD student must apply to the PhD examination by submitting the required form, addressed to the Chair of the Doctoral Degrees Board, to the PhD Programmes Office. ²The application must be accompanied by the following:

1. three bound copies of the dissertation;
2. a summary, less than one page in length;
3. all of the data defined as relevant in Section 4 of the Guidelines on safeguarding good scientific practice and handling scientific misconduct (Official Notices 24/2011) and the dissertation in PDF format on one or more digital storage device(s);
4. proof that the PhD candidate has been admitted to the programme in accordance with Section 4, proof that he or she had been undertaking a PhD programme at the Faculty of Management, Economics and Social Sciences of the University of Cologne of the type specified in Section 5 and proof of enrolment;
5. a statement by the PhD student as to whether they object to their oral defence being open to the public;
6. a statement by the PhD student concerning any conflicts of interest.

Section 7

Opening of the PhD examination procedure

(1) The PhD examination procedure shall be opened as soon as the Chair of the Doctoral Degrees Board approves the application for PhD examination, accompanied by the complete set of documents required by Section 6.

(2) As a rule, the PhD examination procedure is to be completed no later than six months after the dissertation was submitted.

(3) If the application for PhD examination is rejected, the Chair of the Doctoral Degrees Board shall issue a written document to that effect. ²The reasons for the rejection must be given in writing and information on how to appeal must be included. ³Decisions concerning objections shall be made by the Doctoral Degrees Board.

Section 8

Dissertation

(1) ¹The dissertation must be a work produced at the Faculty of Management, Economics and Social Sciences of the University of Cologne, through which the PhD candidate makes a remarkable contribution to the development of academic research in the PhD subject. ²The dissertation shall be written in German or English. ³On request, the Chair of the Doctoral Degrees Board can approve another language for the writing of the dissertation, in consultation with the supervisor.

(2) ¹Subject to the approval of the Doctoral Degrees Board, the dissertation can also be

made up of several scientific articles resp. manuscripts produced by the PhD candidate that have related content. ²In such cases, a detailed introduction must be included with the articles, describing the main results of the publications and showing how their content is related; if co-authors were involved in the production of individual publications, the input provided by the PhD candidate must also be described in this introduction. ³At least one of the articles must have been written solely by the PhD candidate. ⁴The approval described in sentence 1 must be obtained as early as possible.

(3) ¹A bibliography, a curriculum vitae and the following declaration (in German and optional additionally in English) must be enclosed at the end of the dissertation:

"Hiermit versichere ich an Eides Statt, dass ich die vorgelegte Dissertation selbstständig und ohne die Benutzung anderer als der angegebenen Hilfsmittel angefertigt habe. Die aus anderen Quellen direkt oder indirekt übernommenen Aussagen, Daten und Konzepte sind unter Angabe der Quelle gekennzeichnet. Bei der Auswahl und Auswertung folgenden Materials haben mir die nachstehend aufgeführten Personen in der jeweils beschriebenen Weise entgeltlich/unentgeltlich (zutreffendes bitte unterstreichen) geholfen:

Weitere Personen waren an der inhaltlich-materiellen Erstellung der vorliegenden Dissertation nicht beteiligt. Insbesondere habe ich hierfür nicht die entgeltliche Hilfe von Vermittlungs- bzw. Beratungsdiensten in Anspruch genommen. Niemand hat von mir unmittelbar oder mittelbar geldwerte Leistungen für Arbeiten erhalten, die im Zusammenhang mit dem Inhalt der vorgelegten Dissertation stehen. Die Dissertation wurde bisher weder im In- noch im Ausland in gleicher oder ähnlicher Form einer anderen Prüfungsbehörde vorgelegt. Ich versichere, dass ich nach bestem Wissen die reine Wahrheit gesagt und nichts verschwiegen habe."

(Translation: "I hereby declare in lieu of an oath that this dissertation is my own work and that I have not used any sources other than those listed in the bibliography. Statements, data and concepts taken directly or indirectly from other sources are indicated as such along with the source. The persons listed below assisted me in the way described for each case for a fee/free of charge (underline as appropriate) with the selection and evaluation of the following material:

No other persons were involved in the production of the content of this dissertation. In particular, I did not avail myself of the paid assistance of advisory service providers. No one received payment in kind from me directly or indirectly for work connected to the content of this dissertation. The dissertation has not been submitted in the same or similar form to any other examination authority in Germany or abroad. I declare that, to the best of my knowledge, I have said nothing but the truth and have not concealed anything." ²If, as described in Section 8(2), co-authors were involved in the production of individual publications, the words "apart from the co-authors listed in the introduction to the dissertation" shall be added after "Other persons" in the declaration.

(4) PhD candidates can only submit one or more of their publications as their dissertation if their use as a dissertation does not conflict with third party rights.

(5) ¹Dissertations can be supervised by full-time and on-leave members of the core teaching staff, full-time adjunct professors ("außerplanmäßige Professorinnen oder Professoren") or full-time "Privatdozent" lecturers from the Faculty of Management, Economics and Social Sciences of the University of Cologne. ²Professors from the Max Planck institutes who are co-opted Faculty members can also act as supervisors. ³Members of the core teaching staff, adjunct professors ("außerplanmäßige Professorinnen oder Professoren") and "Privatdozent" lecturers from the Faculty of Management, Economics and Social Sciences of the University of Cologne who have retired or been relieved of their duties can serve as dissertation supervisors for up to five years after they are sent on leave, relieved of their duties or go into retirement. ⁴Equally, teaching staff who were previously

members of the Faculty of Management, Economics and Social Sciences and have since left the University's service can supervise or review dissertations for up to five years after leaving service.⁵At the request of supervisors of the type described in sentences 2 and 3, this period can be extended for ongoing PhD examination procedures.⁶At the request of one of the persons specified in sentence 1, other members of the Faculty of Management, Economics and Social Sciences of the University of Cologne or of Max Planck institutes who hold a PhD can be appointed as supervisors.

Section 9

Assessment of dissertations

(1) ¹The Doctoral Degrees Board shall appoint two reviewers from among the persons specified in Section 8(5) to assess the dissertation. ²Honorary professors from the Faculty of Management, Economics and Social Sciences of the University of Cologne can also be appointed as reviewers.

³At least one of the reviewers must be a full-time professor from the Faculty of Management, Economics and Social Sciences of the University of Cologne. ⁴Where there are good reasons to do so, the Doctoral Degrees Board can appoint a member of the core teaching staff of another faculty and/or another university as one of the reviewers. ⁵At the request of the supervisor, a junior researcher from the Faculty of Management, Economics and Social Sciences of the University of Cologne who holds a PhD can also be appointed as a reviewer.

(2) In the case of interdisciplinary dissertations or in cases in which the supervisor is a co-author of one or more of the submitted publications, the Doctoral Degrees Board can appoint three reviewers.

(3) ¹Reviewers can use plagiarism detection software. ²The procedure for using such software shall be specified by the Doctoral Degrees Board.

(4) ¹Each reviewer must award the dissertation one of the following marks:

summa cum laude [with distinction] (0,0)
magna cum laude [very good] (0,7; 1,0; 1,3)
cum laude [good] (1,7; 2,0; 2,3)
rite [satisfactory] (2,7; 3,0; 3,3) or
non rite [fail] (5,0)

²All reviews must be written independently by the reviewers appointed by the Doctoral Degrees Board. ³It is not permitted to have reviews checked for credibility by reviewers other than the appointed ones. ⁴All reviews must focus on assessing the research achievements, describe the development of academic research achieved by the dissertation and assess it based on international benchmarks. ⁵If all of the reviewers give the dissertation the mark of "summa cum laude", the Chair of the Doctoral Degrees Board shall obtain an additional independent, external review. ⁶If the mark awarded by the additional reviewer is also "summa cum laude", the mean of the dissertation marks in accordance with Section 11(1) awarded in the review shall be "summa cum laude" (0,0). ⁷If the additional reviewer awards a different mark, the mean of the dissertation marks in accordance with Section 11(1) shall be deemed to be "magna cum laude" (0,4).

(5) ¹The dissertation shall be deemed accepted if the majority of the reviewers appointed by the Doctoral Degrees Board award it a mark of at least "rite". ²If one of the reviewer, but not all of them, marks a as "non rite", the Doctoral Degrees Board shall appoint an additional reviewer from among the full-time, core teaching staff of the Faculty of Management, Economics and Social Sciences of the University of Cologne. ³If the additional reviewer gives the dissertation a mark of at least "rite", the dissertation shall be deemed accepted. ⁴If the

additional reviewer gives the dissertation a mark of “non rite” (5,0) or if all of the reviewers as specified in (1) above gave the dissertation a mark of “non rite” (5,0), the dissertation shall be deemed rejected. ⁵If the dissertation is accepted, the PhD candidate is admitted to the oral defence.

(6) ¹The Chair of the Doctoral Degrees Board shall inform the PhD candidate in writing as to whether the reviewers have accepted or rejected the dissertation. ²In the event of a rejection, the reasons for the rejection must be given in writing and information on how to appeal must be included. ³Decisions concerning objections shall be made by the Doctoral Degrees Board.

(7) ¹If the dissertation is rejected, the Chair of the Doctoral Degrees Board shall advise the PhD candidate, when informing them of the result of the review as per (6) above, that they can submit a revised version within one year. ²If the PhD candidate does not submit a revised version with the one-year period for reasons for which they are responsible, they shall be deemed to have failed the PhD examination procedure at the final attempt. ³This shall also apply if the revised version is rejected.

Section 10

Oral defence

(1) The purpose of the Oral defences is for the PhD candidate to prove that they can independently analyse and assess problems in the areas of management, economics or social sciences.

(2) ¹For the Oral defence, which is open to members of the Faculty, the Doctoral Degrees Board shall appoint the reviewers described in Section 9(1) or (2) as members of the Examinations Board (“Prüfungskommission”) and one additional full-time member of the core teaching staff of the Faculty of Management, Economics and Social Sciences of the University of Cologne as the Chair of the Examinations Board. ²The Chair shall also keep the minutes. ³In extraordinary circumstances, the Doctoral Degrees Board can appoint a substitute to stand in for a reviewer.

(3) ¹The Oral defence shall be conducted in German. ²It can be held in English if none of the Examinations Board members nor the PhD candidate object.

(4) ¹The Oral defence shall start with a short presentation, lasting at least 15 minutes, in which the PhD candidate presents the main results of their dissertation. ²The ensuing oral examination covers both the presentation and the ideas and methods upon which the dissertation is based. ³It can cover areas related to the subject matter of the dissertation as well as the actual subject matter of the dissertation. ⁴The Oral defence shall last at least one hour and at most one and a half hours.

(5) ¹The Chair can allow questions from the audience. ²The Chair can also exclude the public from the Oral defence if the order required to conduct it properly is jeopardised. ³A record must be kept of the reasons.

(6) ¹The provisions of Section 9(4) shall be applicable, mutatis mutandis, to the assessment of the Oral defence, which takes place immediately after the Oral defence and is not open to the public. ²It is deemed failed if at least two members of the Examinations Board give it a mark of “non rite”. ³The PhD candidate shall be immediately informed verbally of the result of the assessment. ⁴In the case of a failed Oral defence, the Chair of the Doctoral Degrees Board shall also inform the PhD candidate of the result in a written document. ⁵Information on how to appeal must be included in the document. ⁶Decisions concerning

objections shall be made by the Doctoral Degrees Board. ⁷A failed Oral defence can be retaken once within one year of the first Oral defence being failed.

Section 11

Result of the PhD examination

(1) ¹After the Oral defence, the Chair of the Doctoral Degrees Board shall establish the result of the PhD examination. ²If the dissertation has been accepted and the oral examination passed, the overall mark for the PhD degree shall be calculated such that two thirds of the mark is contributed by the arithmetic mean of the dissertation marks and one third by the arithmetic mean of the marks gained by the PhD candidate in the Oral defence.

³In the case described in sentence 3 of Section 9(5), the arithmetic mean of the dissertation marks shall be deemed at least 3.3. ⁴The overall mark for a PhD degree shall be one of the following:

- 0,0 summa cum laude [with distinction]
- Above 0,0 to 1,5 magna cum laude [very good]
- Above 1,5 to 2,5 cum laude [good]
- Above 2,5 rite [satisfactory].

(2) The Chair of the Doctoral Degrees Board shall inform the PhD candidate in writing of the result of the PhD examination.

(3) ¹Once the marks have been announced, access to the candidate's files can be granted at the candidate's request. ²The request must be made in writing to the Chair of the Doctoral Degrees Board no sooner than 14 days after the examination. ³In each case, access to files must be requested within one year.

Section 12

Printing the dissertation

(1) ¹Once they have passed the PhD examination, candidates must make the version of their dissertation accepted by the reviewers available to the public free of charge by reproducing and distributing it. ²This is an integral part of the dissertation. ³To this end, he or she can:

- (a) submit 75 printed copies of the dissertation to the Faculty of Management, Economics and Social Sciences of the University of Cologne or
- (b) hand in an electronic version of the dissertation to the "Exchange Department" of the University and City Library of Cologne ("Universitäts- und Stadtbibliothek Köln") in accordance with the rules of the University and City Library of Cologne. In this case, an additional five printed copies must be submitted to the Tauschstelle of the University and City Library of Cologne and one printed copy to the PhD Programmes Office of the Faculty of Management, Economics and Social Sciences of the University of Cologne.

(2) ¹If the dissertation is published as part of a series of research papers or separately by a publisher of research works, the number of copies to be supplied to the Faculty of Management, Economics and Social Sciences of the University of Cologne is reduced to twelve. ²If more than two reviewers were appointed, the number of copies to be supplied increases by one for each additional reviewers.

(3) ¹The number of copies to be supplied to the Faculty of Management, Economics and Social Sciences of the University of Cologne is 30 if a dissertation of the type described in

Section 8(2) has mainly been published in journals with an ISSN. ²In this case, 29 copies must be supplied to the Exchange Department of the University and City Library of Cologne and one to the PhD Programmes Office of the Faculty of Management, Economics and Social Sciences.

(4) ¹The copies to be supplied to the Faculty of Management, Economics and Social Sciences of the University of Cologne in accordance with (1) to (3) above must be submitted in the PhD Programmes Office of the Faculty of Management, Economics and Social Sciences of the University of Cologne within one year after the day on which the Oral defence took place. ²If this deadline is not adhered to through the fault of the PhD candidate, all rights acquired through the PhD examination shall cease to apply. ³The Doctoral Degrees Board can extend the deadline for submission to up to three years if it receives a request in good time, supported by good reasons to do so.

Section 13

Invalid PhD examination results

¹If it transpires, before the PhD certificate is issued, that the PhD candidate is guilty of cheating in the examinations, the Council of the Faculty of Management, Economics and Social Sciences of the University of Cologne can declare the examination results invalid. ²The PhD candidate must be given the opportunity to comment before this decision is made. ³The Doctoral Degrees Board shall inform the PhD candidate of the invalid results in writing in a document including information on how to appeal.

Section 14

Awarding of the PhD degree

(1) ¹Candidates who have passed the PhD examination shall be awarded the PhD degree in a public ceremony. ²The PhD candidate shall make a vow to the Dean or, should the Dean be unable to attend, the Chair of the Doctoral Degrees Board, to always act in a way worthy of the PhD degree title. ³This vow can also be given in written form.

(2) ¹The PhD certificate shall be issued once the requirements of Section 12 have been met. ²Once the PhD certificate has been issued, the holder is permitted to use the PhD degree title.

(3) ¹The PhD certificate shall include the title of the dissertation and the overall mark for the PhD and bear the date of the Oral defence. ²The Dean shall sign the PhD certificate, which bears the seal of the Faculty of Management, Economics and Social Sciences of the University of Cologne; a copy of the PhD certificate shall be kept in the Faculty's files. ³In addition to the seal of the Faculty of Management, Economics and Social Sciences of the University of Cologne, the certificate can bear the seal of a Graduierten- schule or a partner institution.

Section 15

Joint PhD examination procedure with a foreign higher education institution

(1) ¹To be admitted to a joint PhD programme with a foreign higher education institution, candidates must have been admitted as PhD candidates at the Faculty of Management, Economics and Social Sciences of the University of Cologne as per Section 4. ²On the Cologne side, the Doctoral Degrees Board can admit the PhD candidate to the joint PhD programme at the suggestion of the management of a graduate school of the Faculty of Management, Economics and Social Sciences of the University of Cologne or of a member of the core teaching staff specified in Section 8(5). ³The candidate is then admitted to the joint

PhD programme by means of identical declarations of intent by the Faculty of Management, Economics and Social Sciences of the University of Cologne and the foreign partner institution.

(2) ¹The conditions applicable to the joint PhD programme can be specified either in a master agreement or in an individual agreement between the Faculty of Management, Economics and Social Sciences of the University of Cologne and the foreign higher education institution. ²These agreements shall be drawn up by or in cooperation with the Doctoral Degrees Board of the Faculty of Management, Economics and Social Sciences of the University of Cologne and must be approved by the Faculty Council.

(3) In joint PhD examination procedures, the thesis must be jointly assessed and the Oral defence jointly conducted in accordance with the requirements of the PhD regulations of the Faculty of Management, Economics and Social Sciences of the University of Cologne and of the foreign partner institution involved.

(4) ¹ PhD examination procedures that have an integrated joint PhD programme at a foreign higher education institution shall be conducted in accordance with these PhD Regulations at the Faculty of Management, Economics and Social Sciences of the University of Cologne. ²It is possible to apply equivalent contractual provisions in place of the provisions of these PhD Regulations, particularly with regard to the following situations:

- a) The PhD programme is to take place at both higher education institutions in accordance with their respective regulations; at the Faculty of Management, Economics and Social Sciences of the University of Cologne, Section 5 shall apply.
- b) The PhD candidate is to be supervised by a professor from the Faculty of Management, Economics and Social Sciences of the University of Cologne and a professor from the foreign higher education institution.
- c) ¹In accordance with Section 8(1), dissertations are to be written in German or English. ²If jointly requested by all parties involved, the Doctoral Degrees Board can also approve a different language.
- d) In addition to the two reviewers specified in Section 9(1), the Doctoral Degrees Board can appoint further reviewers as per the agreed conditions to assess the thesis.
- e) The higher education institutions involved in the joint PhD examination procedures can use different systems for assessing PhD examinations.
- f) The Oral defence as described in Section 10 shall be conducted in German or English as decided by the examiners and the Chair of the Examinations Board.
- g) The Oral defence can deviate from the provisions of Section 10 if the procedure and the composition of the Examinations Board have been specified in the master agreement or in an individual agreement between the Faculty of Management, Economics and Social Sciences of the University of Cologne and the foreign partner institution.
- h) ¹The joint PhD certificate from the participating higher education institutions (in the case of a joint degree) or the certificates issued individually by the participating higher education institutions (in the case of a double degree) document the details specified in Section 14(3) and the joint PhD programme. ²One PhD degree title is awarded and it can be used either in the German form or the form used by the foreign institution. ³The certificate shall bear the seals of the Faculty of Management, Economics and Social Sciences of the University of Cologne and of the foreign partner institution.

Section 16

Joint PhD examination procedure with a German university of applied sciences ("Fachhochschule")

(1) ¹To be admitted to a joint PhD programme with a German university of applied sciences, candidates must have been admitted as PhD candidates at the Faculty of Management, Economics and Social Sciences of the University of Cologne at the joint request of the faculty council responsible at the university of applied sciences and the management of a graduate school of the Faculty of Management, Economics and Social Sciences of the University of Cologne. ²The Doctoral Degrees Board provisionally admits the applicant to the joint PhD programme at the Faculty of Management, Economics and Social Sciences of the University of Cologne. ³The notice of provisional admission specifies the number of credit points that the preparatory studies described in Section 4(7) must carry. ⁴The candidate is admitted to the joint PhD programme once they have successfully completed the studies specified in sentence 3, by means of identical declarations of intent by the Faculty of Management, Economics and Social Sciences of the University of Cologne and the faculty council responsible at the university of applied sciences.

(2) ¹The conditions applicable to the joint PhD programme can be specified either in a master agreement or in an individual agreement between the University of Cologne and the university of applied sciences. ²These agreements shall be drawn up by or in cooperation with the Doctoral Degrees Board of the Faculty of Management, Economics and Social Sciences ("WiSo Faculty") of the University of Cologne and must be approved by the WiSo Faculty Council.

(3) ¹Joint PhD examination procedures with universities of applied sciences shall be conducted in accordance with these PhD Regulations at the Faculty of Management, Economics and Social Sciences of the University of Cologne. ²It is possible to apply equivalent contractual provisions in place of the provisions of these PhD Regulations, with regard to the following situations:

- a) The PhD candidate is to be supervised by a professor from the Faculty of Management, Economics and Social Sciences of the University of Cologne and a professor from the university of applied sciences.
- b) Section 8(1) shall apply mutatis mutandis.
- c) ¹For the assessment of the dissertation as specified in Section 9, a minimum of one professor from the group of persons specified in Section 8(5) shall be appointed as a reviewer. ²A maximum of one professor from the university of applied sciences, who is the candidate's supervisor, can be appointed as a reviewer.
- d) The PhD certificate documents the details specified in Section 14(3) and the joint PhD examination procedure and is to bear the seal of the university of applied sciences as well as that of the Faculty of Management, Economics and Social Sciences of the University of Cologne.

Section 17

Procedure for honorary PhD degrees

(1) ¹The procedure for honorary PhD degrees shall be initiated by written request from a full-time professor from the Faculty of Management, Economics and Social Sciences of the University of Cologne. ²The requesting party must state the outstanding services their nominee has made to science as required by Section 2.

(2) ¹In a secret vote, the core teaching staff der Weiteren Fakultät shall make a recommendation to the Faculty Council to accept or reject the request. ²The request shall be deemed accepted if at least two thirds of those present vote in favour. ³Having received the recommendation of the Weiteren Fakultät, the Faculty Council shall decide in a closed session whether to award the honorary PhD title. ⁴The request shall be deemed accepted if at least two thirds of the core teaching staff present vote in favour.

(3) The honorary PhD degree shall be awarded by presenting a certificate prepared by the Dean, which recognises the services of the person receiving the degree.

Section 18

Renewal of the PhD certificate

The Faculty of Management, Economics and Social Sciences of the University of Cologne can renew the PhD certificate in a ceremony to mark the 50th anniversary of the PhD degree being attained.

Section 19

Revocation of a PhD degree

(1) A PhD degree can be revoked

- a) if it subsequently transpires that the PhD holder was guilty of wilful deceit with regard to key requirements for admission to the PhD examination procedure;
- b) if it subsequently transpires that the PhD holder was guilty of cheating in PhD examination components, especially the dissertation;
- c) if the PhD holder has been convicted of an intentional criminal act and the PhD degree title was misused in the preparation or committing of said crime, or if the PhD holder has been convicted of an intentional criminal act and sentenced to at least one year in prison. If convicted outside of Germany, the criminal act must constitute an offence in Germany too.

(2) ¹The Faculty Council shall decide in a closed session and by simple majority of its voting members present whether the title is to be revoked. ²The Doctoral Degrees Board shall make the necessary preparations for the Faculty Council to be able to make its decision. ³The decision shall be made within one year of the Faculty Council having taken notice of the circumstances justifying revocation. ⁴The person concerned shall be given the opportunity to comment before the decision is made. ⁵In the case of a joint PhD examination procedure in accordance with Section 15, the foreign higher education institution shall be involved in the decision; in the case of a joint PhD examination procedure in accordance with Section 16, the university of applied sciences shall be involved in the decision.

(3) In order to prepare the Faculty Council's decision regarding the revocation of the PhD degree, the Doctoral Degrees Board shall review the facts of the situation by:

- a) carrying out a general credibility check of the facts given in justification of the revocation; commencing further action if they are found to be credible or terminating

- the procedure and reporting to the Faculty Council if they are not;
- b) including the legal department (“Justitiariat”) in any further action;
- c) hearing a statement regarding the accusations by the person concerned;
- d) conducting a detailed check of the facts given in justification of the revocation;
- e) producing a provisional report on the results of their checks;
- f) the provisional report is then discussed by the Faculty Council;
- g) producing a final report on the results of their checks;
- h) hearing a statement by person concerned and the Ombudsperson regarding the accusation and the report on the checks in the Faculty Council
- i) formulating a proposed decision for the Faculty Council.

(4) The Doctoral Degrees Board can consult representatives of the field in question when reviewing the facts of the situation.

(5) Once the decision has been made to revoke the PhD degree, the PhD certificate must be declared invalid and returned to the University.

(6) In all other respects, the process of revoking a PhD degree shall be based on the provisions of the Act on Administrative Procedure (“Verwaltungsverfahrensgesetz”) for the federal state of North Rhine-Westphalia (the “VwVfG NRW Act”).

Section 20

Final provisions

(1) ¹The PhD Regulations shall be published in the official notices (“Amtliche Mitteilungen”) of the University of Cologne. ²They shall enter into force on the day after their publication in the official notices. ³At the same time, the PhD regulations dated 16 January 2008 (Official notices 8/2008), as amended by the regulations dated 20 August 2012 (Official notices 16/2012), shall cease to apply. The provisions of (2) below shall remain unaffected.

(2) ¹PhD candidates who have already been admitted to the PhD programme when these regulations come into force can be awarded their PhD in accordance with the previous PhD regulations irrespective of the provision in (1) above provided they make a written statement to this effect by 30 April 2015. ²Said statement cannot be revoked.

(3) The Doctoral Degrees Board specified in Section 3 of these regulations shall also be in charge of all PhD examination procedures conducted in accordance with past PhD regulations as of the coming into force of these regulations.

Executed in accordance with the resolutions passed by the Faculty of Management, Economics and Social Sciences on 17 November 2014 and the verification of their legality by the Rectorate of the University of Cologne on 12 February 2015.

Cologne, 17 February 2015
 The Dean
 of the Faculty of Management, Economics and Social Sciences
 of the University of Cologne
 Signed by
 Universitätsprofessor Dr. Werner Mellis