

THIS TRANSLATION OF THE 'Promotionsordnung des PhD Programms der Wirtschafts- und Sozialwissenschaftlichen Fakultät der Universität zu Köln vom 01.08.22' IS NOT LEGALLY BINDING.

**Doctoral Regulations of the PhD Programme
of the Faculty of Economics and Social Sciences
of the University of Cologne
of 1 August 2022**

Pursuant to Section 2, subsection 4, sentence 1 and Section 67, subsection 3, sentence 3 of the Higher Education Act of the State of North Rhine-Westphalia (Hochschulgesetz – HG) outlined in the Higher Education Future Development Act (Hochschulzukunftsgesetz – HZG NRW) of 16 September 2014 (GV.NRW. p. 547), last amended by Article 1 of the Act on Further Amendments to the Higher Education Act and the Higher Education Act for the Arts of 25 November 2021 (GV. NRW. p. 1210a), the Faculty of Management, Economics and Social Sciences of the University of Cologne has issued the following regulations:

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PART I. GENERAL PROVISIONS

Section 1 Scope of application

¹These doctoral regulations govern the doctoral studies, the examination procedure and the degree to be awarded for the doctorate in the PhD programme at the Faculty of Management, Economics and Social Sciences of the University of Cologne (hereinafter: Faculty). ²As part of the doctoral studies, a doctoral degree programme must be completed. ³The regulations for the degree programme to be completed as part of the doctoral studies can be found in the Examination Regulations for the doctoral studies of PhD programme of the Faculty of Management, Economics and Social Sciences dated 1 August 2022 (AM 56/2022) in the currently valid version. ⁴The doctoral programme commences in the winter semester 2022/23.

Section 2 Doctorate

(1) ¹The doctorate serves as proof of the ability to conduct independent academic work through an original research achievement. ²This is evidenced by including proof of communicative competence in written and oral form.

(2) The Faculty awards the degree of Doctor of Management, Economics and Social Sciences (philosophiae doctor, abbreviated: PhD).

(3) The degree shall be awarded after admission as a doctoral candidate and to doctoral studies (Section 4 and Section 5), successful completion of the doctoral studies programme (Section 7), acceptance of the dissertation (Section 11), passing the oral examination (disputation) (Section 12) and publication of the dissertation (Section 14).

PART II. DOCTORAL STUDIES

Section 3 Requirements for access to doctoral studies

- (1) Admission to the doctoral studies of the PhD programme requires:
1. a relevant university degree with a general standard period of study of at least eight semesters, for which a degree other than 'Bachelor' is awarded, which was completed with a grade of at least 'good' (2.0) and in which either in the Master's degree programme at least 75 credits or in the Bachelor's and in the Master's degree programme a total of at least 150 credits were acquired in the subject area of the intended doctorate, or

2. a successfully completed, relevant university degree with a general standard period of study of at least six semesters, which was completed with a grade of at least 'very good' (1.5), and proof of subsequent, appropriate studies in the doctoral subjects preparing for the doctorate, or
3. a successfully completed other Master's degree in a degree programme within the meaning of Section 67 subsection 4 no. 3 HG in conjunction with Section 61 subsection 2 sentence 2 HG, which was completed with at least the grade 'good' (2.0), and proof of study and/or examination achievements which indicate suitability for a doctorate in the field of study, or
4. a successfully completed Bachelor's degree and 90 credit points in an integrated Master's degree programme of the Faculty with a grade point average of at least 'good' (2.0).

(2) ¹As studies in preparation for the doctorate according to subsection 1 (2.), the applicant is required to successfully pass examinations for modules of the Master's degree programmes of the Faculty, which usually correspond to a subject-specific scientific in-depth study of two semesters. ²The decision on which study and/or examination achievements are required by an applicant is made by the dissertation committee after consultation with the respective subject representatives. ³When selecting the module examinations, particular attention shall be paid to ensuring that knowledge is acquired which corresponds to that of applicants who have successfully completed a relevant university degree programme in accordance with subsection 1 (1.). ⁴In exceptional cases, the completion of other examinations may be required. The doctoral preparatory studies must be completed with a grade point average of at least 'good' (2.0). ⁵Admission to the doctoral studies for the time of the predoctoral studies is initially granted provisionally subject to the fulfilment of the study and/or examination achievements. ⁶The final decision is made by the dissertation committee.

(3) Upon justified application by a full-time professor of the Faculty, the dissertation committee may grant a dispensation from the required grades or the required number of credit points in the doctoral subject.

Section 4

Application for admission as a doctoral candidate

(1) ¹The applicant shall submit their application for admission as a doctoral candidate in writing or electronically to the chairperson of the dissertation committee. ²The application may be submitted in German or English. ³The following attachments (if applicable as a scan or similar) must be included with the application:

1. the specification
 - a) of the PhD programme
 - b) of the doctoral subject economics

2. the working title and a brief description of the research project (approx. 250–500 words),
3. as a rule, a supervisory commitment by a supervisor from the group of persons pursuant to Section 6 subsections 3, 4 or 5 or a supervisory commitment by the academic director of the integrated Master's/PhD programme M.Sc. Economic Research or a supervisory commitment by the speaker of a Research Training Group, provided that they are a full-time professor of the Faculty,
4. proof of the admission requirements according to Section 3, in particular by submitting the certificate of the higher education entrance qualification, the final certificates for higher education (including individual grades or transcript of records, the certificates and the certificates of progress of studies) as well as, if applicable, the proof of studies preparing for the doctorate that have been completed in due time and successfully completed according to Section 3 subsection 2,
5. a curriculum vitae in tabular form,
6. a statement as to whether and with what success the applicant has already taken or registered for another doctoral examination.

(2) ¹Foreign-language transcripts or certificates that are not in English require a German language translation. ²Foreign final grades are converted to the German grading system by the doctoral office.

(3) ¹Applicants who have neither obtained their university degree in a German language or English language degree programme nor their university entrance qualification in German or English must provide proof of sufficient knowledge of the English language. ²Level B2 of the Common European Framework of Reference for Languages of the European Union is considered to be proof of sufficient English language skills. ³The dissertation committee decides on exceptions.

(4) ¹In the case of Germans and applicants who have the same status as Germans in accordance with the NRW award regulations, the subject-related and formal examination of the application is carried out by the dissertation committee, which decides on admission as a doctoral candidate. ²Independently of this, the International Office of the University of Cologne is responsible for checking all foreign secondary school and university certificates. ³In the case of foreign applicants, the subject-related examination is carried out by the dissertation committee, which decides on the subject-related requirements for admission. ⁴In the case of a subject-related approval by the dissertation committee and the written confirmation of supervision, the applicants shall address their application for admission to doctoral studies to the International Office, in accordance with the Regulations on the Admission of Foreign Students to Studies at the University of Cologne in their currently valid version.

Section 5

Admission as a doctoral candidate

(1) ¹In the case of a positive decision by the dissertation committee, the applicant will receive a written or electronic notification of admission as a doctoral candidate or a notification of subject-specific approval in the case of foreign applicants (Zulassungsbescheid). ²The date of the notification of admission is the date of the start of the doctorate according to the Higher Education Statistics Act.

(2) Upon admission as a doctoral candidate, membership in the Cologne Graduate School in Management, Economics and Social Sciences (CGS) is automatically granted.

(3) ¹Applicants who are required to complete preparatory studies for doctoral studies in accordance with Section 3 subsection 2 shall be granted provisional admission. ²This expires if the required evidence has not been provided within the set period.

(4) After receiving the notification of admission, the doctoral candidate must enrol in the doctoral programme of the Faculty as soon as possible, at the latest within three months, in accordance with Section 67 subsection 5 sentence 1 HG (Section 7).

(5) As a rule, the maximum duration of the entire doctorate should not exceed six years.

(6) In the event of a negative decision by the dissertation committee, the applicant will receive a corresponding written or electronic rejection notice, which will be accompanied by instructions on how to appeal.

Section 6

Supervision

(1) The doctorate is to be supervised. Supervision shall be provided by at least two supervisors, one of whom shall be the main supervisor (first supervisor) and the other shall act as an additional contact person.

(2) One of the two supervisors must be from the group of persons mentioned in subsection 3.

(3) Supervisors of the dissertation can be the following persons:

1. full-time professors of the Faculty,
2. full-time adjunct professors of the Faculty and full-time lecturers of the Faculty.

(4) Junior professors of the Faculty as well as junior research group leaders of the Faculty may be appointed as supervisors by the dissertation committee upon their own application.

(5) Part-time professors of the Faculty or professors who have been granted the membership status of a professor by the university may be appointed as supervisors by the dissertation committee upon their own application.

(6) Supervisors from subsection 3, 4 and 5 who leave the Faculty or are dismissed or have retired may continue to supervise ongoing doctoral projects for up to five years.

(7) Upon request by one of the persons named in subsection 3, members of the Faculty with a completed doctorate or of research institutions with which a joint, contractually regulated graduate programme exists, or university teachers from other Faculties or universities may be appointed as supervisors by the dissertation committee.

(8) ¹Within twelve months after admission as a doctoral candidate, the doctoral candidate, together with the supervisors, shall submit a written or electronic supervision agreement to the dissertation committee in accordance with the requirements of the Faculty. ²The supervision agreement is to be signed by all supervisors and the doctoral candidate.

Section 7

Doctoral studies programme

(1) The studies programme within the PhD programme requires prior admission as a doctoral candidate according to Section 5.

(2) ¹The doctoral candidate must complete courses of the doctoral studies programme of the PhD programme amounting to at least 60 credit points. ²In joint doctoral procedures with other domestic or foreign universities or domestic universities of applied science in accordance with Section 18, further study or examination credits may be specified.

(3) The modules of the doctoral studies programme are regulated in the appendix of the Examination Regulations for the doctoral studies of the PhD programme of the Faculty of Management, Economics and Social Sciences in its currently valid version.

PART III. DOCTORAL EXAMINATION

Section 8

Requirements for admission to the doctoral procedure

(1) The doctorate consists of the dissertation according to Section 9 and an oral examination (disputation) according to Section 12.

(2) Only those who fulfil the following requirements can be admitted to the doctoral procedure:

1. he or she is a doctoral candidate at the Faculty pursuant to Section 5,
2. the doctoral candidate has demonstrably fulfilled the doctoral preparatory studies that may have been imposed on him or her pursuant to Section 3 subsection 2,

3. the doctoral candidate has duly and successfully completed the doctoral study programme pursuant to Section 7 and
4. the doctoral candidate has completed a dissertation in accordance with Section 9, and this work has not yet been the subject of an academic or state examination procedure.

Section 9 Dissertation

(1) The dissertation must be a piece of work through which the doctoral candidate demonstrates the ability to conduct independent research and clearly present their own findings.

(2) ¹The dissertation should be written in German or English. ²In justified exceptional cases, it may be written in another language with the consent of both supervisors and the chairperson of the dissertation committee.

(3) ¹The dissertation can be written as a monograph or as a cumulative work consisting of several essays. ²Monographs are written by a sole author. ³The provisions on cumulative dissertations can be found in the appendix to these regulations.

(4) ¹If the dissertation involves the acquisition of primary data or the analysis of such data, the doctoral candidate shall adequately secure the central data and materials underlying the research results and, if applicable, the research software used, measured against the standards of the discipline concerned, and shall retain them for a period of at least 10 years. ²If there are comprehensible reasons for not retaining certain data, the doctoral candidate shall explain this.

(5) ¹A list of sources and aids used, a curriculum vitae and the following signed declaration must be attached to the dissertation at the end:

"I hereby affirm that I have written this dissertation independently and without the use of other aids and literature than those indicated. No other persons, apart from any co-authors listed in the thesis, were involved in the substantive preparation of this thesis. All passages that have been taken verbatim or in spirit from published and unpublished works of others are marked as such. I affirm that this dissertation has not yet been submitted to any other Faculty or university for examination; that it has not yet been published – apart from the partial publications and incorporated articles and manuscripts indicated – and that I will not publish the dissertation before completion of the doctorate without the approval of the doctoral examination board. I am aware of the provisions of these regulations. Furthermore, I hereby declare that I have read the guidelines of the University of Cologne for ensuring good scientific practice and that I have observed them in carrying out the work underlying the dissertation and in writing the dissertation, and I hereby undertake to observe and implement the guidelines stated therein in all scientific activities. I affirm that the submitted electronic version corresponds completely to the submitted printed version. I affirm that to the best of my knowledge I have been truthful and have not concealed anything."

German Text:

„Hiermit versichere ich an Eides statt, dass ich die vorliegende Dissertation selbstständig und ohne die Benutzung anderer als der angegebenen Hilfsmittel und Literatur angefertigt habe. Weitere Personen, neben den ggf. in der Arbeit aufgeführten Koautorinnen und Koautoren, waren an der inhaltlich-materiellen Erstellung der vorliegenden Arbeit nicht beteiligt. Alle Stellen, die wörtlich oder sinngemäß aus veröffentlichten und nicht veröffentlichten fremden Werken dem Wortlaut oder dem Sinn nach entnommen wurden, sind als solche kenntlich gemacht. Ich versichere an Eides statt, dass diese Dissertation noch keiner anderen Fakultät oder Universität zur Prüfung vorgelegen hat; dass sie – abgesehen von den angegebenen Teilpublikationen und eingebundenen Artikeln und Manuskripten – noch nicht veröffentlicht worden ist, sowie, dass ich eine Veröffentlichung der Dissertation vor Abschluss der Promotion nicht ohne Genehmigung des Promotionsausschusses vornehmen werde. Die Bestimmungen dieser Ordnung sind mir bekannt. Darüber hinaus erkläre ich hiermit, dass ich die Leitlinien der Universität zu Köln zur Sicherung guter wissenschaftlicher Praxis gelesen und sie bei der Durchführung der der Dissertation zugrundeliegenden Arbeiten und der schriftlich verfassten Dissertation beachtet habe und verpflichte mich hiermit, die dort genannten Vorgaben bei allen wissenschaftlichen Tätigkeiten zu beachten und umzusetzen. Ich versichere, dass die eingereichte elektronische Fassung der eingereichten Druckfassung vollständig entspricht. Ich versichere, dass ich nach bestem Wissen die reine Wahrheit gesagt und nichts verschwiegen habe.“

²If the affirmation was made falsely, the legal consequences of Section 63 subsection 5HG may apply.

(6) One or more publications by the doctoral candidate may only be submitted as a dissertation if their use as a dissertation does not conflict with the rights of third parties.

Section 10

Application for admission to the doctoral procedure

(1) ¹The doctoral candidate's application for admission to the doctoral programme must be submitted in writing or electronically to the chairperson of the dissertation committee of the Faculty.

(2) The following documents must be enclosed with the application (possibly as a scan or similar):

1. an electronic version of the dissertation and a bound copy of the dissertation to be kept in the doctoral office,
2. in the case of a cumulative dissertation, the confirmation of the supervisor that the provisions for the cumulative dissertation according to Annex No. 1 to 3 have been fulfilled,

3. a summary of less than one page,
4. Data storage in accordance with the Guidelines of the University of Cologne on Good Research Practice
5. proof of successful completion of the doctoral studies programme in accordance with Section 7.

(3) ¹After the dissertation committee has examined the application for admission to the doctoral procedure, the doctoral candidate receives a written or electronic notification of admission to the doctoral procedure. ²The doctoral office sends a dissertation copy digitally as a PDF to the reviewers. ³The doctoral candidate must be informed of a rejection of the application for admission in writing or electronically. The reasons for the rejection must be stated and the doctoral candidate must be provided with instructions on how to appeal.

Section 11

Assessment and evaluation of the dissertation

(1) ¹At least two reviews are obtained for the assessment of the dissertation. ²The reviewers of the dissertation are appointed by the dissertation committee, as a rule from the group of persons specified in Section 6 subsections 3, 4 and 5. ³At the request of the first supervisor, members of the Faculty with a doctorate or of research institutions with which a cooperation agreement for a joint contractually regulated graduate programme exists, a professor of another faculty of the University of Cologne or of another university may be appointed as reviewer. ⁴At least one of the reviewers must be a full-time professor of the Faculty.

(2) The dissertation committee may appoint further reviewers, especially for interdisciplinary dissertations.

(3) ¹At least one of the reviewers must not be a co-author of one of the submitted essays. ²One reviewer should not be co-author of all the articles of the submitted cumulative dissertation. ³In justified exceptional cases, this may be deviated from upon application; the dissertation committee decides on the application.

(4) ¹The reviewers submit independent, reasoned reviews to the dissertation committee within two months. ²The reviews assess the research performance, describe the scientific progress achieved by the dissertation and evaluate the performance in international comparison.

(5) The reviewers recommend in their reviews the acceptance or rejection of the dissertation (pass/fail).

(6) If the recommendations of the reviewers differ, the doctoral examination board obtains another independent review.

(7) The reviewers may use electronic plagiarism software if there is a reasonable suspicion of plagiarism.

(8) ¹A reviewer may recommend to the dissertation committee that the acceptance of the dissertation be made dependent on a prior revision if fundamental objections to the research approach, research implementation, research results or their presentation stand in the way of acceptance of the dissertation. ²If the dissertation committee follows this recommendation; the revision of the dissertation must take place within a period of 12 months. ³In exceptional cases, this period may be extended by the dissertation committee in agreement with the reviewers. ⁴With the new version, the original version must be resubmitted, if necessary with the comments of the reviewers.

(9) ¹If there are objections to the presentation and style of a publication of the dissertation in the form submitted, the reviewers may, in consultation with the dissertation committee, recommend that the acceptance of the dissertation be linked to amendment requirements to be fulfilled prior to publication. ²Such amendment requirements must be attached to the report in a separate document. ³The amendment requirements must be fulfilled within six months after the oral examination (disputation). ⁴Fulfilment of the amendment requirements is usually checked by the reviewers within a period of four weeks after submission of the amended dissertation. ⁵If a reviewer does not consider the requirements to be fulfilled, the dissertation committee decides whether the requirements are to be considered fulfilled.

(10) ¹The reports, together with the dissertation and any amendment requirements imposed in accordance with subsection 9, shall be available for inspection by the faculty members of the Faculty in printed or electronic form for a period of five days. ²The latter may lodge a reasoned objection within five days of the expiry of the display period.

(11) ¹If an objection is raised, the dissertation committee may obtain a further expert opinion on the dissertation. ²Subsection 10 applies accordingly in this case.

(12) ¹The final decision on the acceptance or rejection of the dissertation is made by the dissertation committee. ²In case of rejection of the dissertation, the doctoral candidate receives a written or electronic notification with instructions on how to appeal. ³A rejected thesis remains in the files of the Faculty together with all expert opinions.

Section 12

Oral examination (Disputation)

(1) ¹If the thesis has been accepted, an oral examination in the form of a disputation takes place. ²It serves to determine whether the doctoral candidate is able to justify the results elaborated in the dissertation, to elaborate on them and to place them in the context of the corresponding subject area.

(2) ¹The oral examination shall be conducted by an examination committee. ²The dissertation committee appoints at least two of the reviewers according to Section 11 subsections 1, 2 and 3 as members of the examination board as well as another full-time professor of the Faculty or a junior professor of the Faculty as the chairperson of the examination board. ³In case of exceptional circumstances, the chairperson of the doctoral examination board may appoint a substitute for a reviewer.

(3) ¹The disputation shall take place within three months after the final acceptance of the dissertation. ²At the doctoral candidate's request, the oral examination may be conducted as an online examination, provided that the consent of all parties involved to conduct an online examination has been obtained.

(4) At the doctoral candidate's request and with the unanimous consent of the examination committee, the oral examination may be held in English.

(5) ¹The oral examination is open to the university public (hochschulöffentlich) unless the doctoral candidate objects. ²It is announced on a notice board or in an online portal of the Faculty. ³The chairperson of the examination committee shall allow an appropriate number of listeners. ⁴With the consent of the doctoral candidate, the chairperson may admit listeners from outside the university. ⁵The members of the audience have no right to participate. ⁶They are excluded from the announcement of the grade. ⁷The chairperson of the examination committee may exclude members of the audience if the proper conduct of the oral examination appears to be at risk. ⁸The reasons for this shall be noted in the minutes.

(6) ¹The oral examination begins with a 15 to 20-minute presentation by the doctoral candidate in which they present the most important results of the dissertation. ²The subsequent examination discussion covers the presentation as well as the factual and methodological foundations of the dissertation. ³It may also refer to adjacent areas related to the subject of the dissertation. ⁴The disputation lasts at least one hour and at most one and a half hours.

(7) ¹Immediately after the oral examination, the examination board decides in closed session whether the examination has been passed on the basis of the performance shown in the oral examination.

(8) If the doctoral candidate does not appear at the oral examination without a proven valid reason, the oral examination shall be deemed to have been failed.

(9) ¹If the oral examination is not passed, it may be resat once. ²The resit must take place no later than six months after the first oral examination. ³The date for the resit shall be determined by the doctoral examination board in agreement with the examination committee. ⁴If the resit is also failed, the entire doctorate is definitively failed and thus terminated unsuccessfully. ⁵The same applies if the doctoral candidate misses the resit deadline through fault of the doctoral candidate or if the resit is waived. ⁶The doctoral candidate shall be notified of the decision in writing or electronically and shall be provided with instructions on how to appeal.

(10)¹A record of the subject and the result of the oral examination shall be made and signed by all examiners. ²This can be done in electronic form.

Section 13

Result of the examination

¹The doctoral candidate shall be informed of the result of the examinations in writing by the chairperson of the dissertation committee by means of a certificate. ²The certificate does not entitle the holder to use the doctoral degree. ³The use of the doctoral degree additionally requires the publication of the dissertation according to Section 14 and the completion of the doctorate according to Section 15.

PART IV. PUBLICATION AND COMPLETION OF THE DISSERTATION

Section 14

Publication of the dissertation

(1) ¹After passing the doctoral examination, the doctoral candidate must publish the dissertation in an appropriate form. ²In doing so, chapters that have already been published or accepted for publication may be replaced by a literature reference.

(2) Publication may take the following forms:

1. in electronic form on the university server KUPS and additional submission of five bound copies to the University and City Library of Cologne,
2. by private printing and submission of 40 bound copies to the University and City Library of Cologne,
3. in a publishing house with ISBN or ISSN and submission of five bound copies to the University and City Library of Cologne.

(3) The publication must contain a note on the title page or on the back of the title page stating that it is a dissertation accepted by the Faculty of Economics and Social Sciences of the University of Cologne; and the examiners and the date of the oral examination must be mentioned.

(4) ¹The publication must take place within one year after the successful completion of the oral examination. ²Upon justified application, the dissertation committee may extend this period by one year at a time, but to a maximum of three years.

Section 15

Award of the doctoral degree

(1) ¹With the passing of all doctoral examinations, i.e. the acceptance of the dissertation and the passing of the oral examination, the doctorate is completed and the doctoral candidate receives a certificate signed by the dean and bearing the date of the oral examination. ²The certificate does not entitle the holder to use the doctoral degree.

(2) ¹After publication of the doctoral thesis in accordance with Section 14, the graduate shall receive a certificate of the award of the doctoral degree signed by the dean and bearing the seal of the Faculty, which shall include the title of the doctoral thesis, the date of the last examination performance and the date of issue. ²In the case of a doctorate with another university, a non-university research institution or a university of applied sciences, the doctoral degree certificate shall bear the seal of the Faculty and that of the partner institution, showing that the doctoral degree is awarded by the Faculty. ³The doctorate is completed when the certificate is handed over.

(3) ¹If the doctorate has been passed, the dean may grant the doctoral candidate permission to use the doctoral degree provisionally upon request; this requires proof that printing is assured and will take place in the foreseeable future. ²The proof shall be provided by submitting a publishing contract. ³The authorization is subject to the resolutive condition that the dissertation is published within the deadlines specified in Section 14 subsection 4. ⁴It may be withdrawn if the doctoral candidate unduly delays or makes publication impossible through his or her conduct.

Section 16

Golden anniversary jubilee

The Faculty may solemnly renew the doctoral certificate on the 50th anniversary of the doctorate.

PART V. HONORARY DOCTORATE

Section 17

Honorary doctorate

(1) ¹The procedure for an honorary doctorate is initiated upon written application by at least two full-time professors of the Faculty. ²The applicants must justify the outstanding academic achievements required in accordance with Section 2 subsection 4.

(2) The execution of the honorary doctorate requires a resolution by the Faculty Council, whereby at least two thirds of the professors present must approve the application.

(3) The honorary doctorate is awarded by presentation of a certificate issued by the dean, in which the merits of the doctoral candidate are acknowledged.

PART VI. COOPERATION AGREEMENTS

Section 18

Cooperation with a domestic or foreign university or a domestic university of applied sciences

(1) ¹Admission to a joint doctoral programme with another domestic or foreign university or a domestic university of applied sciences requires prior admission in accordance with Section 5 as a doctoral candidate at the Faculty. ²Admission to the joint doctoral programme is subsequently granted by concurring declarations of intention by the Faculty and the domestic or foreign partner university.

(2) ¹The conditions of the joint doctoral procedure can be determined either by a framework contract of the University of Cologne in agreement with the Faculty or by an individual agreement between the Faculty or the University and the domestic or foreign university or the domestic university of applied sciences. ²Corresponding contracts are drawn up by or in cooperation with the dissertation committee and must be approved by the Faculty Council.

(3) A joint doctoral procedure provides for the joint assessment of the dissertation as well as a joint oral examination in a manner that meets the requirements of the doctoral regulations of the Faculty.

(4) ¹The cooperation agreement may contain provisions that deviate from these doctoral regulations; these take precedence over the provisions of these doctoral regulations. ²Unless otherwise stipulated in the respective cooperation agreement, the provisions of these regulations shall apply. ³The following must be observed:

1. The doctoral candidate is supervised by at least one full-time professor of the Faculty and at least one faculty member of the foreign university or the domestic university of applied sciences.
2. For the assessment of the dissertation, the dissertation committee may appoint additional reviewers in consultation with the partner university. Sections 11 subsection 1 and 2 shall otherwise remain unaffected.
3. If, in the case of cooperation with a domestic or foreign higher education institution, the assessment systems of the partner higher education institutions differ, a joint assessment system must be contractually regulated.
4. Contractual arrangements deviating from Section 12 may be made for the composition of the examination committee for the oral examination (disputation).

5. In the case of a doctorate with a foreign university, after successful completion of the doctorate and publication of the dissertation, a joint bilingual doctoral certificate is usually issued with reference to the joint doctoral procedure at the University of Cologne and the foreign partner university and indication of the jointly awarded doctoral degree or doctoral degree to be awarded in the respective country concerned and signed and sealed by both cooperation partners. If a joint doctoral degree certificate cannot be issued, two certificates referring to the binational doctoral degree procedure shall be issued, which shall only be valid jointly and in which it shall be indicated that only one doctoral degree shall be awarded, which may be held either in the German form or in the form of the foreign partner university. In the event that two certificates are issued, the results of the doctoral examinations as well as the overall result may additionally be shown according to the grading system of the issuing university.
6. In the case of a doctorate with a domestic university of applied sciences, the doctoral certificate shall bear the seal of the Faculty and that of the domestic university of applied sciences, showing that the doctoral degree is awarded by the Faculty.

PART VII. FURTHER PROVISIONS

Section 19

Dissertation committee

- (1) The dissertation committee is responsible for decisions in doctoral matters, unless these doctoral regulations stipulate otherwise.
- (2) The members of the dissertation committee with voting rights are:
 1. the dean as chairperson. The deputy dean is the vice dean for research,
 2. three further members from the group of university professors, one representative each from the fields of business administration, economics and social sciences,
 3. one member with a doctorate from the group of academic staff,
 4. one representative of the doctoral students, who may not at the same time belong to the group of academic staff,
 5. one member from the group of administrative and technical staff.
- (3) For the voting members according to subsection 2 (2.) through (5.) a deputy shall be elected in each case.
- (4) ¹The voting members of the dissertation committee as well as their deputies shall be elected by the Faculty Council separately according to groups upon proposal of the respective

groups. ²The term of office of the members from the group of university professors, the doctoral member from the group of academic staff and the member from the group of technical and administrative staff is four years; the term of office of the representative of the doctoral students is one year. ³Re-election is permitted. ⁴The term of office of a deputy shall end with the term of office of the corresponding member. ⁵If a member or a deputy resigns prematurely, a successor shall be elected for the remaining term of office.

(5) ¹The CGS director and the head of the doctoral office belong to the dissertation committee in an advisory capacity. ²The chairperson may call in other persons to the meetings in an advisory capacity if this appears appropriate.

(6) ¹The dissertation committee can vote if at least half of the voting members are present in addition to the chairperson or their deputies. ²The dissertation committee decides by a simple majority of the voting members present at the meeting. ³In the event of a tie, the chairperson shall have the casting vote. ⁴The member of the dissertation committee from the group of administrative and technical staff shall only have the right to vote in matters of doctoral studies insofar as he or she performs corresponding functions at the university. ⁵The chairperson shall decide on the existence of these prerequisites at the beginning of the member's term of office and, in cases of doubt, the rectorate. ⁶The voting member from the group of doctoral students does not vote on pedagogical-scientific decisions, the assessment and recognition of examination achievements, the determination of examination tasks.

(7) ¹The meetings of the dissertation committee are not open to the public and are generally held in person. ²The chairperson may decide to hold the meeting by electronic communication. ³The decision becomes invalid if half of the members of the dissertation committee object to it before the meeting. ⁴In the case of meetings by electronic communication, the chairperson may also decide that resolutions are to be passed by electronic communication; this may be deviated from by a resolution of the committee. ⁵Subsection 7 sentence 1 shall apply to meetings by electronic communication provided that 'present' means participating in the meeting. ⁶Resolutions may also be passed by circulation, provided no member objects. ⁷The members of the dissertation committee and their deputies are subject to obligation of discretion. ⁸If they are not in public service, they shall be sworn to discretion by the chairperson.

(8) The executive office of the dissertation committee is the doctoral office of the Faculty.

(9) ¹The chairperson of the dissertation committee, or their deputy if the chairperson is prevented from doing so, represents the dissertation committee, convenes the meetings of the dissertation committee, chairs them and implements the resolutions passed there. ²The dissertation committee may delegate the execution of its tasks to the chairperson for all regular cases. ³In case of urgency, the chairperson may conduct a vote by circular resolution. ⁴Decisions on objections remain reserved for the dissertation committee. ⁵Minutes shall be taken for each meeting of the dissertation committee.

(10) The chairperson of the dissertation committee shall announce orders, the setting of dates and deadlines as well as other notifications of the dissertation committee which do not only affect

individual persons with legally binding effect by posting them on a notice board or by other suitable means.

(11) Legally binding information on examination requirements, doctoral studies, the doctoral programme and examination performance is provided by the chairperson of the dissertation committee, their deputy, the CGS Director or the head of the doctoral office.

Section 20 Registration

¹Applicants and doctoral candidates are obliged to cooperate with the official processes and procedures used at the University of Cologne. ²Reference is made to the provisions of data protection law and Section 6 of the enrolment regulations of the University of Cologne as amended. ³Admission as a doctoral candidate and the application for admission to doctoral studies require complete registration and application in the registration and administration software for doctoral candidates of the University of Cologne, including all information in accordance with the Higher Education Statistics Act. ⁴Once a year, the data deposited in the system must be updated by all doctoral candidates in the manner provided by the doctoral office.

Section 21 Compensation for disadvantages and safeguarding

(1) The special concerns of doctoral candidates with disabilities, chronic or mental illnesses and doctoral candidates who are subject to maternity protection regulations shall be taken into account in order to ensure their equal opportunities.

(2) ¹If a doctoral candidate credibly demonstrates that he or she is unable to participate in examinations in the intended form or to the intended extent due to prolonged or permanent illness or disability, he or she will be granted compensation for disadvantages upon written or electronic application to the chairperson of the dissertation committee. ²The submission of a specialist medical certificate may be required for this purpose. ³This applies accordingly with regard to deadlines and dates, obligations to attend courses and coursework to be completed. ⁴The application must be submitted immediately after the prerequisites have been met.

(3) ¹The use of the safeguarding according to the maternity protection regulations as well as according to the deadlines of the Federal Parental Allowance and Parental Leave Act (Bundeselterngeld- und Elternzeitgesetz) in the currently valid version are made possible upon written application to the chairperson of the dissertation committee. ²In these cases, it is possible to take examinations despite the leave of absence. ³If a doctoral candidate can credibly demonstrate that she cannot participate in an examination in the intended form or to the intended extent due to maternity protection regulations, she will be granted compensation for disadvantages upon written or

electronic application to the chairperson of the dissertation committee. The submission of a specialist medical certificate may be required for this purpose. ⁵This applies accordingly with regard to deadlines and dates, obligations to attend courses and coursework to be completed. ⁶The application must be submitted immediately after the prerequisites have been met.

(4) ¹Special concerns resulting from the need for care or maintenance of the spouse, the registered partner, a direct relative or a relative in the first degree shall be taken into account appropriately, in particular with regard to deadlines and dates, obligations to attend courses and academic achievements. ²The application must be submitted immediately after the prerequisites have been met.

(5) ¹The applications pursuant to subsections 1 to 4 shall be comprehensively substantiated by the doctoral candidate, providing suitable evidence. ²Applications shall be submitted to the chairperson of the dissertation committee within a reasonable period of time prior to the performance of the service. ³Insofar as a change in the illness or disability is not to be expected, the compensation for disadvantages shall extend to all examinations to be taken in the course of the studies as well as the acquisition of participation requirements.

Section 22

Doctoral file, file inspection and retention periods

(1) ¹A doctoral file is kept for each doctoral candidate. ²The doctoral file documents in particular registration and admission as a doctoral candidate, registration and admission to doctoral studies, the transcript of records on the completed doctoral studies, the dissertation and the reviews of the dissertation, the examination committee of the disputation, the disputation minutes, the assessment of the dissertation and disputation, the proof of publication of the dissertation, as well as copies of the certificates and diplomas. ³The doctoral file shall be kept in writing or in full or in part electronically.

(2) ¹After the assessment of the dissertation and the oral examination have been announced, the doctoral candidate shall be granted access to the reviews and the minutes of the oral examination upon written request. ²The doctoral office shall determine the place and time of inspection. ³Inspection is possible for a maximum of five years after completion of the doctorate.

(3) ¹The doctoral file as well as the data collected in accordance with the enrolment regulations of the University of Cologne in its currently valid form shall be kept until the expiry of the third year following the discontinuation of the doctorate in the case of discontinuation of the doctorate. It will also be kept until the expiry of the fiftieth year following the completion of the doctorate in the case of successful completion. It can then be offered to the competent archive; if the archive refuses to accept it, it shall be destroyed. ²The academic degrees awarded and a catalogued collection of the period of study for the doctorate, the date of award of the certificate, the details of the supervision of the doctorate, the reviews of the doctoral thesis as well as the members of the examination committee, the certificates and documents awarded may be retained in a register until the expiry of

the fiftieth year following the completion of the doctorate; sentence 1, second half-sentence shall apply accordingly. ³In the event of discontinuation of the doctorate, the period of doctoral studies and the details of supervision may be retained in a catalogued collection until the end of the tenth year following the discontinuation of the doctorate; sentence 1, second half-sentence shall apply accordingly.

Section 23

Withdrawal of the doctoral degree

- (1) The doctorate may be withdrawn,
1. if it subsequently transpires that the doctoral candidate intentionally deceived others about the fulfillment of essential requirements for admission as a doctoral candidate and for the doctoral procedure,
 2. if it subsequently transpires that the doctoral candidate was guilty of deception in the performance of the doctoral work, in particular in the dissertation,
 3. if the doctoral candidate is demonstrably guilty of academic misconduct after the doctorate.

(2) ¹The Faculty Council decides on the withdrawal in a non-public meeting with a simple majority of the voting members present. ²The decision of the Faculty Council shall be prepared by the dissertation committee. ³The person concerned shall be given the opportunity to comment before the decision is made. ⁴In the case of a joint doctoral procedure pursuant to Section 18, this decision shall be made with the participation of the respective partner university.

(3) Following the decision to withdraw the doctorate, the doctoral certificate shall be declared invalid and confiscated.

(4) In all other respects, the withdrawal of the doctorate shall be governed by the provisions of the Administrative Procedure Act for the State of North Rhine-Westphalia (VwVfG NRW).

Section 24

Ombudsperson

(1) In all cases of conflict that cannot be resolved between the parties involved, the doctoral candidate or the first supervisor may call in the Faculty ombudsperson, who shall attempt to resolve conflicts by mutual agreement.

(2) ¹The Faculty Council elects an ombudsperson and a deputy. ²The ombudsperson is elected for a period of four years, re-election is possible. ³If the ombudsperson or the deputy leaves during the term of office, a new election takes place.

PART VIII. TRANSITIONAL ARRANGEMENTS AND ENTRY INTO FORCE OF THE REGULATION

Section 25 Transitional arrangements

(1) These Doctoral Regulations apply to all those who have applied for admission to doctoral studies after these regulations have come into force.

(2) ¹Upon informal application, doctoral candidates who were admitted to doctoral studies according to the Doctoral Regulations 2015 of 17 February 2015 (AM 15/2015) and correction of 6 March 2015 (AM 21/2015) and amendment of 18 July 2019 (AM 94/2019) and the Doctoral Regulations 2008 of 16 January 2008 (AM 8/2008) and amendment of 20 August 2012 (AM 16/2012) and the Doctoral Regulations 2005 of 9 March 2005 (AM 10/2005) and the Doctoral Regulations 2002 of 13 February 2002 (AM 74/2002) may apply to change to these Doctoral Regulations by the end of the summer semester 2025. ²The application must be submitted in writing or electronically to the dissertation committee.

(3) If modules of the doctoral degree programme were successfully completed before the regulations came into force, they will be recognized.

Section 26 Publication and entry into force

¹These regulations shall enter into force on the day following their publication in the Official Bulletins of the University of Cologne.

²Issued on the basis of the resolution of the Faculty Council of the Faculty of Economics and Social Sciences of 28 March 2022 and after examination of the legality by the Rectorate of 19 July 2022.

Cologne, 1 August 2022

The Dean

of the Faculty of Economics and Social Sciences at the University of Cologne

Professor Ulrich W. Thonemann, PhD

ANNEX

Provisions for the cumulative dissertation

1. Definition

¹A cumulative dissertation refers to a case in which the results of the dissertation are not presented in the form of a monograph, but in the form of a collection of usually three or more scientific essays. ²The essays may already have been published, accepted for publication, submitted for review or be suitable for submission. ³The publication should not date back more than six years.

2. Submission of a cumulative dissertation

(1) The individual essays are submitted together with the introduction as *one* document.

(2) The pages must be numbered consecutively across the different essays.

(3) The individual essays are treated as chapters of the cumulative dissertation (e.g. also in the case of references within the text).

(4) ¹The dissertation must contain an introduction. ²This refers to the entirety of all essays submitted as a dissertation. ³It makes clear by which overarching question the individual essays are connected and which aspects are to be covered by the individual essays in each case.

(5) The following information must be provided for all essays that are part of the dissertation

(a) Full names and titles of all authors

(b) Essay title

(c) Complete bibliography for published articles

(6) The essays must each be preceded by a short summary (abstract).

(7) ¹If co-authors have contributed to the preparation of individual essays, the individual performance of the doctoral candidate must be explained explicitly and in detail for each essay in a separate section, for example with regard to the conception of the contribution, theory and theory development, model development, data collection, empirical analysis, writing up. ²The co-authors must be informed of these explanations and given the opportunity to comment within two weeks of receiving the information if they object to the presentation.

(8) The complete bibliography contains all publications cited in the dissertation.

3. Requirements for a cumulative dissertation

¹At least one of the contributions to a cumulative dissertation should have been written as the sole author. ²In justified exceptional cases, this requirement may be waived upon request by the doctoral candidate or the supervisor; the dissertation committee shall decide on the request.

4. Assessment of a cumulative dissertation (cf. Section 11 subsection 3)

¹If a part of the submitted essays has been written together with one of the reviewers, another reviewer must be consulted for the review of the dissertation, who may not be co-author of an essay included in the dissertation. ²A reviewer should not be a co-author of *all* articles in the submitted cumulative dissertation. ³In justified exceptional cases, this may be deviated from at the request of the doctoral candidate or the supervisor; the dissertation committee decides on the request.