

**The following translation of the Doctoral Regulations of the Faculty of Human Sciences as of December 2018 is not legally binding.**

For reasons of readability and to avoid the constant use of gender-specific pronouns, the singular *they* and its various grammatical forms has been used to refer to persons where the gender is unknown or unspecified (e.g. doctoral candidates or chairpersons). Thus, no masculine or feminine pronouns can be found in this document.

In accordance with § 2 section 4 and § 67 section 3 of the North Rhine-Westphalia Higher Education Act (Hochschulgesetz – HG) in the form of the Act on the Future of Higher Education (Hochschulzukunftsgesetz - HZG) from 16 September 2014 (GV. NRW. p. 547), last amended by article 3 of the Act to Secure the Accreditation of Study Programmes in North Rhine-Westphalia (Gesetz zur Sicherung der Akkreditierung von Studiengängen in NRW) from 17 October 2017 (GV. NRW. p. 806), the Faculty of Human Sciences of the University of Cologne has enacted the following Doctoral Regulations:

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## I. General information

### § 1 Purpose of doctorate; honorary doctorate

(1) By completing the doctoral degree with a thesis, the doctoral candidates prove their ability to perform independent scientific work in accordance with the stipulations in § 58 section 1 of the Higher Education Act.

(2) The Faculty of Human Sciences may award the title *Doktor* or *Doktorin der Philosophie* (Dr. phil.; in English: *Doctor of Philosophy* or PhD) – or if requested: *Doktor\_in der Philosophie* (Dr.\_in phil.) – as a result of a scientifically outstanding written work (“Dissertation”) and an oral defence (“Disputation” or viva voce) (see § 15).

(3) The Faculty of Human Sciences may also award the title *Doktor* or *Doktorin der Philosophie* (Dr. phil.; in English: *Doctor of Philosophy* or PhD) – or if requested: *Doktor\_in der Philosophie* (Dr.\_in phil.) – in cooperation with a foreign partner faculty. In the same manner, the Faculty of Human Sciences acts as a partner faculty to foreign faculties in awarding a PhD. Further details are governed by § 19.

(4) Upon recommendation of at least three faculty members who are authorised to examine doctoral degrees, the Faculty of Human Sciences may award honorary doctorates [*Doktor* or *Doktorin der Philosophie ehrenhalber* (Dr. phil. h.c.) – or if requested: *Doktor\_in der Philosophie ehrenhalber* (Dr.\_in phil. h.c.)] on the basis of outstanding scientific work and major contributions to science. Decisions on honorary doctorates shall be made by the Faculty Council (“Engere Fakultät”). An honorary doctorate shall only be awarded if a majority of two thirds of all members of the faculty authorised to examine doctoral degrees vote in favour of the proposal. Honorary doctorates are officially awarded through the presentation of a certificate honouring the recipients’ contributions.

## **§ 2 Graduate School of the Faculty of Human Sciences**

All doctoral candidates shall automatically become members of the Graduate School of the Faculty of Human Sciences. Membership shall be regulated by the Graduate School's statutes.

## **§ 3 Doctoral Committee**

(1) The Doctoral Committee ("Promotionsausschuss") shall be in charge of all decisions regarding the doctoral procedure unless stated otherwise in the Doctoral Regulations. The Committee is a public body for the purposes of the Administrative Procedural Law (*Verwaltungsverfahrenrecht*) and the Administrative Process Law (*Verwaltungsprozessrecht*).

(2) The Doctoral Committee shall comprise the following members:

1. one member of the Dean's Office as Chair;
2. four members of the group of university lecturers of which at least two must be full-time professors;
3. two members of the group of academic associates ("Wissenschaftliche Mitarbeiter\_innen");
4. one member of the group of staff from infrastructure and administrative services;
5. one member of the group of students.

Members of the group of academic associates must hold a doctorate, members of the group of students should have commenced their doctoral studies. The Doctoral Committee shall be elected by the Faculty Council, in case of members from groups 1, 2 and 3 for three years, the student member shall be elected for one year, upon recommendation by the respective groups. Re-election is possible. The Doctoral Committee shall elect a deputy chairperson from group 2. The Faculty Council shall elect deputies for all members except the chairperson upon recommendation by the respective groups. The deputy shall stand in if the corresponding regular member is

unable to perform their duties. In case of departure of a regular member during their tenure, a successor must be elected for the remaining term if no deputy is available.

(3) The composition of the Committee must be made public. The Committee shall be quorate if at least half of its voting members are present. If not specified otherwise, decisions are reached by simple majority of the members present. In case of a tie, the incumbent Chair's vote shall be decisive. In matters relating directly to teaching, with the exception of the evaluation of teaching, the group of university lecturers shall have the majority of votes. The one member of the group of staff from infrastructure and administrative services shall only have a vote in matters relating to the doctoral studies if doctoral studies are within the remit of their role within the university and if they have specific experience in this field. The Chair shall decide whether these requirements are met at the beginning of each term and, in case of doubt, the rectorate shall make the ultimate decision. The student members shall not partake in any vote on pedagogic-scientific questions; these are in particular the recognition of assessments ("Prüfungs- und Studienleistungen"), the summoning of examiners and the evaluation of the doctoral thesis and viva voce examination, including appeals. If the Doctoral Committee is in the process of making a decision on an ongoing PhD project, the supervisors may be heard according to § 4 sections 1, 2 and 4 as can the experts who examine the dissertation in accordance with § 12 section 1 if they are already known.

(4) The Doctoral Committee shall monitor whether the doctoral regulations are enforced and abided by and shall be tasked with ensuring the proper and timely conduct of examinations. Most notably, the Committee shall be responsible for rulings on appeals. Decisions must be communicated immediately and, in case of rejections, advice on legal remedies must be provided. The Doctoral Committee may delegate the performance of its duties to the chairperson in all regular cases; this shall not apply to rulings on appeals.

(5) Meetings of the Doctoral Committee shall not be open to the public. All members and their deputies shall be bound by official secrecy. If members of the Doctoral Committee or their deputies do not work in public service, they must be bound to secrecy by the chairperson presiding over the meeting.

(6) The Chair – or, in the event of unavailability, their deputy – shall represent the Doctoral Committee judicially and extrajudicially. The Committee’s chairperson shall summon the meetings, preside over them and enact the resolutions the Committee has adopted. The Chair shall carry out all duties delegated to them by the Committee and handle all regular cases that do not require decision-making by the entire Committee. In urgent cases, when the Doctoral Committee cannot be summoned in time, the chairperson shall make all decisions and inform the rest of the Committee members about the decisions in the next meeting.

(7) The Chair shall announce legally-binding orders, fixed dates and deadlines as well as other communications from the Doctoral Committee, which do not pertain only to individuals, in an appropriate manner.

(8) The Doctoral Committee shall announce guidelines regarding the doctoral procedure at the Faculty of Human Sciences. In addition to the provisions of the Doctoral Regulations, these guidelines are designed to provide guidance to supervisors and applicants as to the best possible conduct with regards to the doctoral procedure.

#### **§ 4 Right to examine doctorates**

(1) Authorised to examine doctorates (i.e. having degree awarding power; also “doctoral right”) at the Faculty of Human Sciences shall be those members and associates of the faculty who have either been awarded the *venia legendi* for one of their subjects by the Faculty of Human Sciences or, before its foundation, by another faculty of the University of Cologne through a habilitation procedure or who have been appointed to a professorship or a junior professorship at the Faculty of Human Sciences or, before its foundation, at another faculty of the University of Cologne. Associates of the Faculty of Human Sciences who have been named honorary professors may be granted the right to examine doctorates upon request. In addition, the doctoral right may also be granted upon request to members, in exceptional circumstances even to associates, of other faculties or universities under the conditions stipulated by § 65 section 1 sentence 1 of the Higher Education Act;

decisions on these matters shall be made by the members of the Faculty Council of the Faculty of Human Sciences who hold the right to examine doctorates.

(2) In exceptional circumstances and upon request, the doctoral right may also be granted to early career researchers who hold a PhD on the proviso that they are equal to junior professors by virtue of their contributions to teaching and research within the framework of existing funding programmes (e.g. DFG early career programmes such as the Emmy Noether Programme); decisions on these matters shall be made by the members of the Faculty of Human Sciences who hold the right to examine doctorates.

(3) The right to examine doctorates shall be maintained if holders of the right teach a two-hour course relevant to the doctoral subject at the Faculty of Human Sciences in every academic year. This course cannot be taught *privatissime*. If, for an exceptional but valid reason, this cycle is disrupted, the doctoral right must be applied for again and shall be subject to approval by the Doctoral Committee. Otherwise the doctoral right will expire. The right to examine doctorates shall also expire upon appointment to another university. However, the doctoral right may still be exercised beyond this point towards doctoral candidates who signed a Supervision Agreement (“*Betreuungszusage*”) in accordance with § 5 section 1 sentence 1 of the Doctoral Regulations before the holder of the doctoral right (i.e. the supervisor) lost their right to examine doctorates at the Faculty of Human Sciences.

(4) Members and associates of the Faculty of Human Sciences who hold degree awarding power may only agree to supervision in the subject at the Faculty of Human Sciences to which they are assigned by office or *venia legendi*, as specified in § 8. The authorisation to supervise in other subjects of the Faculty of Human Sciences may be granted upon request. In those cases, the Doctoral Committee, in consultation with members of the subject for which the extended authorisation of supervision is requested, shall decide on the matter.

## **II. Doctoral studies and the doctoral thesis**

### **§ 5 Admission to doctoral studies**

(1) The requirements for admission to a doctoral degree at the Faculty of Human Sciences are:

1. Confirmation of supervision (in the form of a written supervision agreement) from a person with degree awarding power pursuant to § 4. Supervision shall extend to both the doctoral studies themselves as well as the research and scientific work required for the writing of the thesis. Where applicable, it also extends to the research suitability and aptitude test (see § 6).
2. One of the following degrees:
  - (a) A diploma following completed university studies in a relevant subject with a standard study period of at least eight semesters and an academic degree other than “Bachelor’s” or
  - (b) A diploma following completed university studies in a relevant subject with a standard study period of at least six semesters (e.g. Bachelor’s programmes or polytechnic programmes) or
  - (c) A diploma following a Master’s degree pursuant to § 61 section 2 sentence 2 Higher Education Act (i.e. a Master’s degree of two to four semesters preceded by a Bachelor’s degree of at least six semesters).
3. A working title for the thesis.

(2) Admission to doctoral studies at the Faculty of Human Sciences shall also be dependent on proof of a “qualified” degree. Degrees pursuant to § 5 section 1 numbers 2a and 2c are considered “qualified” if the overall grade is not below “good”. If applicants request admission to a doctoral degree according to §5 section 1 number 2b, however, they must offer proof of a “particularly qualified” degree. Degrees are “particularly qualified” if the overall grade is “very good”. §5 section 1 number 3 shall remain unaffected.

(3) If an applicant fails to produce sufficient proof of a “qualified” or “particularly qualified” degree pursuant to § 5 section 2, an oral research suitability and aptitude test may be required at the suggestion of a member of the Faculty of Human Sciences with the right to examine doctorates, in which the necessary qualification grade of "good" or "very good" must be achieved. The Doctoral Committee shall decide on the topics of the aptitude test in consultation with members of the subject with degree awarding power. The test will ordinarily take 60 minutes; it is not open to the public. The examining board must comprise at least two faculty members with the right to examine doctorates, who belong to the subject for which the supervision agreement is sought; they shall be selected by the Doctoral Committee. The examining board shall convene in a non-public session immediately after the end of the examination to reach a decision and shall notify the applicant of whether they have achieved the required qualification grade (pass) or not (fail) shortly thereafter. § 14 (3) and (4) shall apply to the research suitability and aptitude test. In case of failure, the test may be re-taken once.

(4) The Chair of the Doctoral Committee shall decide on admissions to a doctoral degree. In case of a rejection, advice on legal remedies must be provided.

(5) An applicant may request the changing of their supervisor. This shall necessitate a new written supervision agreement. The Chair of the Doctoral Committee shall rule on the application. Changes in topics must be communicated to the Doctoral Committee after consultation with the supervisor(s).

### **§ 6 Research Suitability and Aptitude Test procedure**

(1) When a prospective doctoral candidate applies for a doctoral degree pursuant to § 5 section 1 number 2(b), additional, supplementary studies must first be completed in the doctoral subject as part of a research suitability and aptitude test (RSAT) procedure before the actual doctoral degree may begin. The candidate’s supervisor shall determine the contents of those studies. The proficiency to be proven through the aptitude test procedure shall correspond to the proficiency of a relevant Master’s

programme in the first year of study or of a comparable programme at the Faculty of Human Sciences. The workload shall amount to 60 CP (if 120 CP are the mandatory workload required for the completion of a Master's degree of four semesters).

(2) The research suitability and aptitude test procedure shall also be used if the prospective doctoral candidate applies in accordance with § 5 section 1 numbers 2(a) and 2(c) and can only prove partially relevant or recognisable academic work. If less than half of the required academic work from the previous course of study can be recognised as relevant to the doctoral subject, the Doctoral Committee shall decide upon admission to the RSAT procedure in consultation with the representatives of the subject who have degree awarding power.

(3) Academic work that has been performed at other universities, this includes foreign universities and art colleges, shall be treated as equal to achievements at the Faculty of Human Sciences if those achievements are equal according to § 63a of the Higher Education Act.

(4) The research suitability and aptitude test procedure shall be limited in time. It shall ordinarily be completed within one year. The Chair of the Doctoral Committee shall decide on justified exceptions upon request by the applicant; the supervisor may be heard before a decision is made.

(5) Failure to prove suitability/aptitude during the RSAT procedure may lead to the refusal of admission to a doctoral degree. This decision shall be made by the Doctoral Committee.

(6) Instead of undergoing the suitability and aptitude test procedure, a doctoral candidate may carry out necessary studies preparing for a doctoral degree within the framework of a relevant Master's programme. Particularly qualified students, i.e. Master's students who have achieved an average grade of "very good" in their academic course work during the first year of study, shall be considered to have proved the existence of preparatory studies in the relevant subject. These specific applicants

may be admitted to the doctoral studies and – while working on their thesis – may remain in the Master's programme in order to complete it with an M.A. or M.Sc. degree once they have achieved the required credits. The PhD thesis must not contain any parts of the Master's dissertation. Enrolment as a doctoral student shall only be possible after the successful completion of the Master's degree.

## **§ 7 Doctoral studies**

(1) After admission to the doctoral studies pursuant to § 5, a doctoral degree programme of a minimum of two semesters shall be carried out at the Faculty of Human Sciences. Doctoral candidates must be enrolled at Cologne University for this purpose. Following admission to a doctoral degree programme, complete registration must take place in the University of Cologne's doctoral registration system. The Chair of the Doctoral Committee may grant exceptions in justified cases.

(2) Individual supervision agreements between the doctoral candidate and a supervisor should ordinarily be reached within the first year of the candidate's doctoral studies and a signed copy must be handed in at the Doctoral Office. In extenuating circumstances (e.g. because of prolonged health impairments or child care responsibilities), the Chair of the Doctoral Committee may grant deviations from the arrangements made in the supervision agreement.

## **§ 8 Doctoral subjects and sub-disciplines**

(1) Doctoral degrees may be obtained in the following subjects at the Faculty of Human Sciences:

- a) Art
- b) Music
- c) Pedagogy
- d) Social Sciences
- e) Psychology
- f) Curative Education and Rehabilitation Studies

g) Media Science: Media Psychology / Media Pedagogy

(2) Further differentiation into sub-disciplines within these doctoral subjects at the Faculty of Human Sciences is possible. Decisions on the acceptance of individual sub-disciplines as doctoral (sub-)subjects are made by the Doctoral Committee upon request by the members of the respective subjects who hold the right to examine doctoral degrees. Potential sub-disciplines do not need to be declared upon enrolment. The chosen subject and, if applicable, the sub-discipline will be named on the Transcript of Records (§ 18 section 1). In case of admission to a doctoral degree programme in one of the sub-disciplines of a subject, the examination of the relevance of academic achievements according to § 5 is based on study content only relevant to this particular sub-discipline.

(3) The right to obtain a doctorate in a given subject ceases to exist 10 semesters after the decision has been made to abolish the subject. The Chair of the Doctoral Committee shall decide on exceptions upon request.

### **§ 9 Doctoral thesis**

(1) The doctoral thesis must address a topic from one of the subjects listed in § 8. It must contain significant scientific results and demonstrate the candidate's ability to independently conduct scientific research and to present their own findings in a clear and concise manner.

(2) The thesis can take one of several forms:

- a) As a monograph-based thesis (monographic thesis). The monograph-based thesis must not have been published as a whole before;
- b) As a monograph-based thesis with partial publication (monographic thesis with partial publication). Individual publications from this monograph which have been submitted by more than one author must contain a separate section that describes the doctoral candidate's own contribution to the results achieved in cooperation.

- c) As a publication-based thesis (cumulative thesis). The cumulative thesis contains a presentation of the current state of research with special consideration of the candidate's own research work. The cumulative thesis consists of several separate research articles as well as a mantle text that puts the research papers in a thematically and methodologically coherent context. As a rule, the individual research papers must be peer-reviewed and published in relevant scientific journals. The Doctoral Committee shall decide on exceptions in consultation with representatives from the respective subjects. The doctoral candidate must be first author in at least two of the research papers and the articles must be accepted for publication by a journal. If a cumulative thesis includes individual research papers which have been submitted by more than one author, the mantle text must contain a separate section that describes the doctoral candidate's own contribution to the results achieved in cooperation.

(3) The monographic thesis, the monographic thesis with partial publication or the mantle text of a cumulative thesis must be written in German or English and must be published after the conclusion of the doctoral degree (see § 17).

### **III. Doctoral examination procedure**

#### **§ 10 Admission to the doctoral examination procedure**

Admission to the doctoral examination procedure shall require successful completion of the doctoral studies according to § 7. The Chair of the Doctoral Committee may grant exceptions in justified cases.

#### **§ 11 Application to the doctoral examination procedure**

(1) The doctoral candidate must submit an application for admission to the doctoral examination procedure to the Chair of the Doctoral Committee, which should state the chosen subject and, if applicable, the chosen sub-discipline as well as the proposed examiners. The applicant must at the same time provide:

1. Three bound copies of the thesis as well as an electronic copy,
2. Notification of the type of dissertation according to § 9 sections 2 a), b) or c) with approval from the supervisor,
3. Four signed copies of the candidate's Curriculum Vitae in German or English, outlining academic and professional background and development,
4. Proof of a general or subject-related higher education entrance qualification ("Hochschulreife"/"Fachhochschulreife") or a German or foreign certificate recognised as equivalent as well as, if applicable, certificates for supplementary examinations taken or proof of another higher education entrance qualification in accordance with § 49 of the Higher Education Act,
5. A certificate of the candidate's "Magister", Master's, State, "Diplom" or Bachelor's examination (must be passed) and, if applicable, a certificate of recognition in accordance with § 6 section 3,
6. If applicable, one copy of each of the candidate's own scientific publications,
7. A statement by the doctoral candidate detailing as to whether they have made a successful or an unsuccessful attempt to obtain the doctorate at the Faculty of Human Sciences or at another faculty or university, or whether they are in a pending process (in which case a copy of the thesis in question must be submitted),
8. A signed statement, worded as follows:

"I hereby declare in lieu of oath that I have written my thesis independently and without undue assistance, that I have indicated all sources and aids used and that I have indicated the parts of my thesis, including tables, maps and illustrations taken from other works in wording or meaning as borrowings in each individual case; that this thesis has not yet been submitted to any other department for examination; that it has not yet been published; and that I will not publish it before completion of the doctoral procedure.

I am aware of the Doctoral Regulations. The enclosed thesis was supervised by \_\_\_\_\_.”

For a monographic thesis with partial publication or a cumulative thesis the wording should be as follows:

“I hereby declare in lieu of oath that I have written my thesis independently and without undue assistance, that I have indicated all sources and aids used and that I have indicated the parts of my thesis, including tables, maps and illustrations taken from other works in wording or meaning as borrowings in each individual case and that this thesis has not yet been submitted to any other department for examination. I am aware of the Doctoral Regulations. The enclosed thesis was supervised by \_\_\_\_\_.”

9. If a doctoral candidate opposes a public viva voce examination, they must do so in form of a written statement (see § 15 section 2 sentence 3). If the viva is to be conducted in English pursuant to § 15 section 4 sentence 2, the doctoral candidate must declare this. The doctoral candidate may make suggestions as to the composition of the examining board according to § 13 section 1. There is no right to having taken these suggestions into account; § 15 section 2 sentence 1 remains unaffected,
10. Proof of completion of a doctoral degree programme of at least two semesters pursuant to § 7 section 1 sentence 1.

(2) The day on which the Dean's Office receives all required documents shall be considered to be the day on which the application is submitted.

(3) The Chair of the Doctoral Committee shall decide on the admission of a candidate to the doctoral examination procedure. The chairperson shall communicate the decision in written form and, in the case of a rejection, must provide reasons and advice on legal remedies. The application may be rejected if one of the admission requirements stipulated by §§ 5, 6 and 10 has not been met. An application may be

withdrawn by the candidate as long as the doctoral examination procedure has not been concluded with a rejection of the dissertation according to §12 section 8 or as long as the viva voce examination has not yet taken place.

## **§ 12 Evaluation of the doctoral thesis**

(1) The Chair of the Doctoral Committee shall appoint two examiners for the evaluation of the doctoral thesis who must be authorised to examine doctoral degrees and should be members or associates of the Faculty of Human Sciences. Usually, the supervisor of the doctoral thesis provides the first evaluation report on the doctoral thesis. At least one of the examiners must represent the subject to which the doctoral thesis is related. Ordinarily, this will be the first examiner. The Chair of the Doctoral Committee shall decide in case of exceptional circumstances. In justified, subject-related exceptional cases (e.g. in the event of an interdisciplinary doctoral thesis), the Chair of the Doctoral Committee may appoint up to two additional examiners. The second examiner as well as additional examiners may belong to a different internal faculty or a faculty of another German university or a foreign university.

(2) The examiners shall evaluate the thesis within six weeks and recommend the acceptance or rejection of the doctoral thesis. In case of acceptance, the examiners also determine the grade. The following grades are valid:

rite (sufficient): 3.0

cum laude (good): 2.0

magna cum laude (excellent): 1.0

and – for outstanding performance – summa cum laude (excellent with distinction): 0.0.

Intermediate grades (0.7; 1.3; 1.7; 2.3 and 2.7) may be awarded. The final grade of the doctoral thesis is calculated from the arithmetic average based on the grades submitted by the examiners. These are:

at a numerical value of 0.0: summa cum laude

at a numerical value above 0.0 and up to 1.5: magna cum laude

at a numerical value above 1.5 and up to 2.5: cum laude

at a numerical value above 2.5 and up to 3.0: rite.

Only the first decimal point will be considered, further decimal places will be omitted without rounding.

(3) In case of the grade “summa cum laude”, three reviews must come to the same conclusion. In this case, at least one of the examiners must be a member of a different university.

(4) In case of objections to the research approach, research method or findings of the doctoral thesis, the examiners may recommend the acceptance of the doctoral thesis on the proviso of a prior revision. The revision must be carried out by a specific deadline which will be determined by the Chair of the Doctoral Committee in agreement with the examiners. In this case, the revised version as well as the original version of the doctoral thesis must be submitted along with the examiners’ comments.

(5) If objections have been raised against the presentation and style of the doctoral thesis in the submitted form, an examiner may associate the acceptance of the work with revision requirements which have to be met by the candidate prior to publication. The certificate of revision shall confirm the compliance with the amendment requirements (§ 17 section 2).

(6) Evaluations and the doctoral thesis itself will be available for inspection by members and associates of the Faculty of Human Sciences who have the authorisation to examine doctoral degrees for a period of two weeks. Those to whom this applies will

be notified by personal invitation. The inspection period may be extended in exceptional cases. This decision shall be made by the Chair of the Doctoral Committee.

(7) The doctoral thesis is accepted if the examiners have recommended the acceptance and if no justified written objection has been raised during the inspection period. Accordingly, an objection can also be raised against the recommended grades. If an objection is raised according to sentences 1 or 2, the Chair of the Doctoral Committee shall request an additional evaluation by another person after consultation with the examiners and the person who raised the objection. The same applies if the grade proposals differ by more than one grade. If the additional review advocates the acceptance of the work, the final grade of the doctoral thesis following an objection under sentences 1 or 2 will be calculated from the arithmetic average of all grades recommended in the evaluations. In the event of sentence 4, the grade shall be the arithmetic average of the three proposed grades. After this, further objections pursuant to sentence 2 shall no longer be admissible.

(8) The doctoral thesis will be rejected if at least one examiner has recommended the rejection of the doctoral thesis and if an objection to the rejection has not been raised within four weeks of the notification pursuant to section 6 by a person entitled to inspect the thesis in accordance with section 6 and justified by an expert opinion. If such an objection is raised or if the third review according to section 7 sentence 3 recommends the rejection of the doctoral thesis, the Chair of the Doctoral Committee shall appoint an additional person to give an additional evaluation. An objection according to section 7 sentences 1 or 2 against the additional review shall not be admissible. In this case the Doctoral Committee shall make the final decision on whether the doctoral thesis will be accepted or rejected after hearing the parties involved in the evaluation process. If the doctoral thesis is accepted, the Doctoral Committee shall also determine the grade.

(9) The chair of the Doctoral Committee shall inform the candidate of the acceptance or rejection of the doctoral thesis in written form and must provide advice on legal remedies if the doctoral thesis has been rejected. The Faculty of Human

Sciences shall keep a copy of the rejected doctoral thesis along with all the reviews in its archives.

### **III. Oral examination**

#### **§ 13 Examining board**

(1) If the thesis has been accepted, the Chair of the Doctoral Committee shall instate an examining board for the oral examination ("Disputation") in consultation with representatives of the doctoral subject in which the thesis was written.

(2) Any person who holds the right to examine doctorates pursuant to § 4 may become a member of the examining board.

(3) The Chair of the Doctoral Committee has the right to participate in all examinations. This right is normally exercised in case of repeat examinations.

(4) The examining board for any viva voce examination shall consist of at least three members: the examiners of the thesis plus one further member of the Faculty of Human Sciences who holds the right to examine doctorates and who shall chair the oral examination. At least two of these members of the examining board must represent the subject to which the doctoral thesis and viva belong.

#### **§ 14 Admittance or exclusion of the public, withdrawal and absence**

(1) After the thesis has been accepted in accordance with § 12, the viva may take place. Ordinarily, it shall take place during the semester. The dates are based on deadlines set by the Doctoral Committee. The Chair of the Doctoral Committee shall decide on justified exceptions.

(2) The viva shall be open to all faculty members and shall be announced by notice no later than eight days before its due date unless the doctoral candidate provided a written statement requesting otherwise (see § 11 section 1 number 9) together with their application for admission to the doctoral examination procedure. The Chair shall

be responsible for ensuring that an appropriate number of people can attend the viva. The audience shall have no right to contribute to the proceedings in any way. The Chair of the Doctoral Committee may have members of the audience removed if they appear to jeopardise the proper conduct of the examination. Reasons for removal of individual members of the audience must be provided in the minutes.

(3) If the doctoral candidate fails to appear to their own viva without adequate excuse, the exam shall be deemed not to have been passed. Whether an excuse is deemed adequate shall be decided by the chairperson of the Doctoral Committee.

(4) In case of illness, a medical certificate must be provided by the doctoral candidate without delay. If the doctoral candidate terminates the viva without verifiably good reason, the exam shall be deemed to be failed.

### **§ 15 Viva voce examination**

(1) The viva shall be carried out in the subject to which the written thesis belongs. The oral examination serves to prove the candidate's ability to substantiate their findings against questions and objections or to further elaborate on the results and to discuss them in a scientifically adequate manner.

(2) The viva will be carried out by the examining board under the direction of its chairperson. It shall take the form of a colloquium. The doctoral candidate shall publicly represent their thesis through an oral presentation and subsequent discussions and place the research in a larger context within the subject.

(3) Usually, the oral examination takes 90 minutes. The presentation by the candidate must not exceed 30 minutes. This is followed by a discussion between the doctoral candidate and the members of the examining board.

(4) The oral examination shall be conducted in German. At the doctoral candidate's request, the viva may also be conducted in English with the agreement of the examining board and the Doctoral Committee.

(5) The minutes shall be taken by a non-voting doctoral member of the Faculty of Human Sciences, appointed by the Chair of the Doctoral Committee.

(6) The special interests of doctoral candidates with disabilities or chronic illness must be taken into account to ensure equal opportunities. In case of a demonstrable impairment, the doctoral candidate may apply for an appropriate examination form equivalent to the oral examination to the Chair of the Doctoral Committee.

### **§ 16 Evaluation of the viva voce examination**

(1) Immediately after the completion of the viva, the examining board will reconvene in a non-public meeting to decide whether the oral examination has been passed. The examination has only been passed if the examining board approves it. Otherwise, the viva has not been passed.

(2) If the viva is passed, the examining board also determines the grade for the oral examination and notifies the doctoral candidate. The following grades are valid:

rite (sufficient): 3.0

cum laude (good): 2.0

magna cum laude (excellent): 1.0

and – for outstanding performance – summa cum laude (excellent with distinction): 0.0.

Intermediate grades (0.7; 1.3; 1.7; 2.3 and 2.7) may be awarded. If the examining board cannot agree on a grade, the final grade of the viva is calculated from the arithmetic average based on the grades suggested by the individual members of the examining board. These are:

at a numerical value of 0.0: summa cum laude

at a numerical value above 0.0 and up to 1.5: magna cum laude

at a numerical value above 1.5 and up to 2.5: cum laude

at a numerical value above 2.5 and up to 3.0: rite.

Only the first decimal point will be considered, further decimal places will be omitted without rounding.

(3) If the viva has not been passed, it may be re-taken once within a period determined by the Doctoral Committee. Repeated failure to pass the oral examination shall constitute the definitive failure of the viva voce and shall lead to the termination of the doctoral procedure without success.

(4) The chairperson of the examining board will inform the doctoral candidate of the results of the viva in written form and must provide advice on legal remedies if the viva has not been passed. The Faculty of Human Sciences shall keep a copy of the doctoral thesis along with all the reviews and minutes in its archives.

(5) After the completion of the doctoral procedure, all doctoral candidates or authorised persons are granted access to their own written work and the related expert opinions and correction notes of the examiners as well as to the minutes of the oral examination upon written application. The application must be made in written form within a year to the Doctoral Committee. During this inspection, doctoral candidates or authorised persons must be allowed to make copies or take photographs of the documents. If applicable, sample solutions must not be copied or photographed as they are not part of the candidate's examination file. If the deadline for inspection has expired, inspection is only possible if the doctoral candidates can justifiably prove that they were not responsible for the failure to meet the deadline. Further right of access does not exist.

## **V. Publication and certificate**

## **§ 17 Publication of the doctoral thesis**

(1) The doctoral candidate must make their doctoral thesis publicly available. This applies to monographs for monograph-based theses (either with or without partial publication) or to mantle texts of cumulative theses. There are several different ways to publish the doctoral thesis:

- a) Publication through a publishing house as a single publication (with an ISBN or ISDN number), publication within a scientific series or a scientific journal;
- b) Publication through private printing or duplication in bound form;
- c) Publication online in a digital format according to the University and City Library of Cologne's the guidelines for submitting electronic theses (KUPS);
- d) As print-on-demand.

(2) Immediately before publication, the thesis must be presented to the examiners again. The examiners shall ensure that the publication is appropriate in form, considering any amendments made when the thesis was accepted. The examiners must also approve any changes to the version submitted during the doctoral procedure and issue the imprimatur by signing the certificate of revision, which must be forwarded by the doctoral candidate to the Chair of the Doctoral Committee. If the two examiners cannot agree on the appropriateness of the form or on potential changes, the Chair of the Doctoral Committee shall make the final decision.

(3) Compulsory copies of the published version must be submitted to the Faculty of Human Sciences, namely:

- a) Of the monograph in the case of a monograph-based thesis
  - In the case of section 1 letter a): 6 copies, if a minimum circulation of 150 can be proved, or

- In the case of section 1 letter b): 60 copies or
- In the case of section 1 letter c): 6 printed copies or
- In the case of section 1 letter d) 60 printed copies

b) Of the mantle text in the case of a cumulative thesis:

- In the case of section 1 letter a) and b): 6 copies or
- In the case of section 1 letter c): 6 printed copies.

(4) The published version of the mantle text of a cumulative thesis no longer has to contain the original texts of the underlying journal articles if there are copyright reasons against the inclusion.

(5) The compulsory copies must be sent to the Chair of the Doctoral Committee within two years of the date of the viva voce examination. In justified cases, this deadline may be extended for one year. An extension beyond three years after the viva shall only be granted in exceptional circumstances. Failure to meet the set deadline may lead to the revocation of the doctorate by the Doctoral Committee without notice and – in the case of § 21 section 1 letter d) – to the revocation of the certificate.

### **§ 18 Transcript of Records and Certificate**

(1) Immediately after the successful completion of the viva voce examination, the doctoral candidate shall receive a Transcript of Records which shall contain information about the doctoral subject, the topic of the thesis as well as the grades for the written thesis and the oral examination.

(2) Upon the successful completion of all doctoral studies, the doctoral candidate shall receive a doctoral certificate signed by the Dean's Office and by the Chair of the Doctoral Committee and bearing the seal of the Faculty of Human Sciences.

(3) The doctoral certificate shows the overall grade of the doctorate. The overall grade is calculated from the arithmetic mean of the double-weighted grade of the thesis and the single-weighted grade of the viva voce examination. These are:

at a numerical value of 0.0: summa cum laude

at a numerical value above 0.0 and up to 1.5: magna cum laude

at a numerical value above 1.5 and up to 2.5: cum laude

at a numerical value above 2.5 and up to 3.0: rite.

Only the first decimal point will be considered, further decimal places will be omitted without rounding.

(4) Upon a reasoned application, supported by the first supervisor, the Dean may issue the certificate according to sections 1 or 2 as soon as the publication of the thesis has been secured; the provisions of § 17 section 5 remain unaffected.

(5) The title *Doctor of Philosophy* may only be held after the doctoral candidate has received their certificate.

## **VI. Cross-University doctorate**

### **§ 19 Doctoral procedure in cooperation with a foreign partner faculty**

(1) The joint realisation of and participation in the doctoral procedure in accordance with § 1 section 3 require a cooperation agreement with a foreign partner faculty in which both faculties commit to enabling a corresponding doctorate and commit to regulating the details of the cooperation. In principle, the provisions of these Doctoral Regulations apply. Deviating regulations made in the cooperation agreement shall take precedence over the provisions of these Doctoral Regulations.

(2) § 11 section 1 shall apply but in addition the following must be added to the application:

1. A statement by the partner faculty approving the admission of the doctoral candidate to the doctoral procedure;
2. Proof of studies at the partner faculty according to section 4 number 2.

(3) The thesis shall be written in German or in another language listed in the cooperation agreement. An abstract in the other language must be provided respectively.

(4) The following regulations shall apply to supervision and matriculation:

1. The thesis shall be supervised by one member of the Faculty of Human Sciences and one member of the partner faculty who hold the right to examine doctoral degrees.
2. The applicant must be enrolled as a regular student at the partner faculty for a minimum of one semester. Doctoral candidates who have already completed a degree programme of corresponding duration at the partner faculty may be exempted from this requirement. The decision shall be made by the Doctoral Committee.

(5) The following regulations shall apply to the examination of the thesis:

1. The thesis shall be examined by one member of the faculty who has the right to examine doctoral degrees, who teaches full-time at the Faculty of Human Sciences of the University of Cologne, and one member of the partner faculty. Exceptions may be granted by the Doctoral Committee.
2. The language of the expert opinions is governed by § 15 section 4.

(6) The following regulations shall apply to the viva voce examination:

1. The language of the viva voce examination is governed by § 15 section 4.

2. The composition of the examining board is regulated by the cooperation agreement between the Faculty of Human Sciences and the partner faculty.

(7) § 18 applies to the completion of the doctoral procedure on the proviso that a doctoral certificate is awarded in German and in the respective foreign language. The head of the Dean's Office of the Faculty of Human Sciences and the Chair of the Doctoral Committee shall sign and seal the German part. The partner faculty shall prepare its part of the doctoral certificate in accordance with their own regulations.

## **VII. Invalidity and revocation**

### **§ 20 Statement of invalidity**

If, before issuing the doctoral certificate, it emerges that the admission to the doctoral procedure was based on deliberate misrepresentation as to the existence of essential requirements or that the doctoral candidate was guilty of deception in providing proof of their academic achievements, the Faculty Council of the Faculty of Human Sciences may, in the case of § 19 with the cooperation of the partner faculty, declare all achievements resulting from the doctoral procedure invalid. The doctoral candidate must be given the opportunity to make a statement before a decision on the invalidity of their doctorate is made by the Faculty Council.

### **§ 21 Revocation of the doctorate**

(1) The doctorate shall be revoked if:

- a) it emerges that the doctoral candidate deliberately misled as to the existence of essential prerequisites for admission to the doctoral procedure;
- b) it emerges that the doctoral candidate is guilty of deception in relation to any part of the doctoral examination procedure, particularly with regard to the written thesis;

- c) it emerges that the doctoral candidate has been convicted by way of a legal procedure of a deliberate criminal offence for the planning or committing of which they have abused their doctorate;
- d) the doctoral candidate has received their certificate pursuant to § 18 section 4 but has failed to deliver the compulsory copies of their thesis within the set deadline according to § 17 section 5 on grounds for which they may be held responsible.

(2) The decision about the revocation shall be made by the Faculty Council, in the case of § 19 with the cooperation of the partner faculty. The doctoral candidate must be given the opportunity to make a statement before a decision on the revocation of their doctorate is made by the Faculty Council.

(3) If the doctorate is revoked, the doctoral certificate must be declared void and shall be confiscated.

## **VIII. Closing remarks**

### **§ 22 Coming into effect, transitional arrangements and publication**

(1) These Doctoral Regulations shall come into effect on 12 December 2018 and shall be published in the University of Cologne's Official Bulletins. At the same time, the Doctoral Regulations from 10 May 2010 expire. Section 2 remains unaffected.

(2) Doctoral candidates who were admitted to the doctoral procedure before the new Doctoral Regulations came into effect in December 2018 may choose whether they want their doctorate to be governed by the old or the new Doctoral Regulations. This choice must be declared in writing to the Doctoral Committee and is irreversible.

Issued on the basis of the resolution by the Faculty of Human Sciences of the University of Cologne dated 17 January 2018 and after verification of legality by the Rectorate of the University of Cologne dated 6 November 2018.

Cologne, 18 December 2018

The Dean  
of the Faculty of Human Sciences  
of the University of Cologne

signed

Prof Susanne Zank