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Doctoral Regulations
of the
Faculty of Arts and Humanities
of the University of Cologne
11 June 2015

Pursuant to section 2.4 and section 67.3 of the Higher Education Act of North Rhine-Westphalia (*Hochschulgesetz – HG*), in the September 16, 2014 version of the Future Higher Education Act (*Hochschulzukunftsgesetz – HZG*) (GV NRW, p. 547), the Faculty of Arts and Humanities of the University of Cologne has set down the following regulations:

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Section 1

Purpose of the Doctorate; Honorary Doctorate

(1) The doctorate establishes that its recipient is capable of engaging in independent scholarly research.

(2) The Faculty of Arts and Humanities grants the degree of Doctor of Philosophy (Dr. phil.) on the basis of an academically substantial written dissertation and an oral examination in the form of a *defensio* or *disputatio*.

(3) The Faculty of Arts and Humanities also grants the degree of Doctor of Philosophy (Dr. phil.) as leading faculty in conjunction with a partner university outside Germany. It also cooperates with a responsible partner university outside of Germany in granting a corresponding academic degree. More detailed provisions can be found in Sect. 19.

(4) The Faculty of Arts and Humanities can confer the degree and honour of an honorary doctor of philosophy (Dr. phil. h.c.) for outstanding academic performance or particular contributions to the academy. The decision is taken by the faculty proper, and requires the consent of at least two thirds of all faculty members entitled to supervise doctoral dissertations of the extended faculty proper. Conferring honorary doctorates takes place by handing over the certificate honouring the achievements.

(5) An applicant can be granted the degree of a doctor of philosophy (Dr. phil.) in accordance with paragraphs 1 to 3 only once. If this degree was already obtained at the Faculty of Arts and Humanities or another faculty or university, it will not be conferred again. Paragraph 4 remains unaffected.

Section 2

a.r.t.e.s. Graduate School for the Humanities Cologne (AGSHC)

(1) The AGSHC is the Graduate School of the Faculty of Arts and Humanities. It forms the institutional framework for the two forms of the doctoral programme: the standard model (Regular Track) and the integrated model (Integrated Track). Furthermore, the AGSHC is responsible for quality assurance of the doctoral programme of the Faculty of Arts and Humanities.

(2) Basing a doctoral programme on the standard model (Regular Track) means that it can also be carried out part-time while working, and is usually supported on the academic and professional levels by a faculty member entitled to supervise doctoral dissertations or a member of the Faculty of Arts and Humanities entitled to supervise doctoral dissertations (hereinafter: primary supervisor). It is intended that a documented discussion about the progress of the doctoral programme be carried out at least once a year. The applicant is also to consult another supervisor for academic support of his or her dissertation project (hereinafter: second supervisor).

(3) The integrated model (Integrated Track) is a structured doctoral programme usually concluded in 36 months. The doctoral programme is usually supported by a faculty member entitled to supervise doctoral dissertations, or a member of the Faculty of Arts and Humanities entitled to supervise doctoral dissertations (hereinafter: primary supervisor). The applicant is to consult two additional supervisors for academic support of his or her dissertation project (hereinafter: second or third supervisor) so that his or her doctoral programme is academically supported by three persons in accordance with Sect. 8.

Further details on admission to the integrated model at the AGSHC are governed by the regulations on admission to the integrated model in its currently valid version. For all associated programmes, the respective regulations of the Graduate Schools associated in the framework of the Integrated Track apply.

(4) A Supervision Contract is usually concluded between the doctoral student and the primary supervisor within six months after enrolment in the doctoral programme.

(5) Upon request from a member of the group of professors, the faculty proper can, in conjunction with the AGSHC, establish additional structured doctoral programmes or research classes or training groups. These can also be interdisciplinary across faculties.

Section 3 Doctoral Committee

(1) The Faculty of Arts and Humanities forms a doctoral committee to organise the doctoral program and the tasks allocated by these doctoral regulations. The doctoral committee is an authority in terms of administrative procedural law.

(2) The doctoral committee consists of the following voting members:

1. the dean as chairperson; in accordance with No. 2, the doctoral committee can elect one of its members as representative, who will take the role of chair if the dean is unable to attend.
2. one member each from the group of professors from each group of disciplines of the Faculty of Arts and Humanities;
3. two members from the group of academic staff;
4. two members from the group of students;
5. one member from the group of technical and administrative staff.

The advisory members of the doctoral committee are the Vice Dean for Research and Young Academics, the speaker of the Graduate School, and the managing director of the Graduate School, unless they are members under Nos. 1 to 3. The doctoral committee can consult with additional persons for meetings.

The members from the group of professors must come from various institutes and departments in accordance with the spectrum of disciplines of the Faculty of Arts and Humanities. The members from the academic staff group must have doctoral degrees; the student members must be enrolled in their main course of study of studies leading to a state examination, a Magister or a diploma, or studying for a master's degree, or in a doctoral programme.

The faculty proper selects the members of the doctoral committee and its representatives. The members from the group of professors and the members from the group of academic staff will be elected for a three-year duration; the student members and the member from the group of technical and administrative staff will be elected for one year. Re-election is possible.

(3) The composition of the doctoral committee is to be announced by posting a notice and/or on the Internet. The doctoral committee has a quorum if at least half of its voting members are present. It decides by a simple majority of the members present at the meeting. In the event of a tie, the vote of the chairperson in office decides. The member of the doctoral committee from the group of technical and administrative staff only has a right to vote in matters related to teaching if he or she performs corresponding functions in the university and has particular experience in the respective area. The chairperson decides at the beginning of the member's time in office whether these requirements are met. The student members do not vote on pedagogical and academic decisions; these include in particular the assessment and recognition of examinations and academic performance, the appointment of examiners, the assessment of components of doctoral studies and decisions in case of objections.

(4) The doctoral committee ensures that the provisions of the doctoral regulations, including their appendices, are complied with, ensures that the doctoral programme is properly executed, and in particular ensures that the assessment of the doctoral components is concluded at the latest six months after presenting the dissertation (see Sect. 67 par. 3 sent. 5 *HG* [Higher Education Act]). It is in particular responsible for deciding about objections to decisions taken in the scope of the doctoral programme and the doctoral procedure. The decisions it has made are to be communicated immediately, and in case of an adverse decision are to include instructions about available legal remedies.

(5) The meetings of the doctoral committee are not public. The members of the doctoral committee, its representatives and the persons consulted are subject to official secrecy. If they are not in public service, they are to be sworn to secrecy by the chairperson of the doctoral committee.

(6) The chairperson of the doctoral committee, or his or her representative if he or she is unable to attend, represents the doctoral committee both in and out of court. He or she convenes the meetings of the doctoral committee, leads them and implements the resolutions made there. He or she handles the tasks delegated to him or her by the doctoral committee. He or she decides on urgent cases if the doctoral committee cannot be convened on time and reports on them at the next meeting of the doctoral committee. Decisions on objections to decisions by the chairman remain reserved to the doctoral committee.

(7) The chairperson of the doctoral committee communicates instructions, setting of dates and deadlines and other notifications of the doctoral committee that do not affect only individual persons by posting a notice and/or on the Internet with a legally binding effect.

Section 4

Conditions for Admission to the Doctoral Programme

(1) Admission to the doctoral programme is carried out by the doctoral committee upon a formal application to the AGSHC. Additional supervision agreements signed by professors in accordance with Sect. 2 par. 2 and par. 3 are to be presented before the first documented discussion with the primary supervisor.

In the integrated model (Integrated Track), admission is effected by the doctoral committee after a successful application responding to a public announcement from the AGSHC or an equivalent doctoral programme under Sect. 2 par. 5. Further details are set forth in the regulations on admission to the integrated model in the currently valid version.

(2) The prerequisites for admission to the doctoral programme in both the standard model and the integrated model are:

1. One of the following degrees:

- a) a degree after pertinent university studies with a general standard period of study of at least eight semesters for which a degree other than a “Bachelor” or “Master” is conferred (like state examination, Magister, diploma, etc.) with a minimum grade of 2.4 for the standard model and a minimum grade of 2.0 for the integrated model or
- b) a degree in a relevant master’s program in terms of Sect. 61 par. 2 sent. 2 *HG* with a minimum grade of 2.4 for the standard model and a minimum grade of 2.0 for the integrated model or
- c) a qualified degree after pertinent university studies with a general standard period of study of at least six semesters with a minimum grade of 2.0 and subsequent studies that are suitable to prepare for a doctoral programme in the discipline. The doctoral committee decides on the scope and duration of the doctoral preparation. It can set time periods, which, if exceeded, can lead to deregistration. The duration of registration for providing the preparatory studies for the doctorate is not offset against the length of enrolment in the doctoral programme.

The doctoral committee decides on exceptions upon receiving a written substantiated proposal. The reasons need to be plausible. If such an exception is granted, the doctoral committee determines how to proceed.

2. A synopsis on the dissertation proposal of at least three pages in German or English.
3. If applicable, an application that the *defensio* under Sect. 13 par. 4 sent. 2 or the *disputatio* under Sect. 14 par. 3 sent. 2 may be taken in English. The proposal is to be presented at the latest when registering for the examination in accordance with Sect. 7.
4. Proof of a consultation session on the dissertation proposal that was conducted by a faculty member entitled to supervise doctoral dissertations in the intended subject or a member of the Faculty of Arts and Humanities entitled to supervise doctoral dissertations, as well as in the Regular Track usually the indication of a faculty member entitled to supervise doctoral dissertations in the intended subject or a member of the Faculty of Arts and Humanities entitled to supervise doctoral dissertations who is willing to accompany the dissertation project academically and professionally; see Sect. 2 par. 2.

5. The presentation of officially authenticated university diplomas, as well as, for graduates of a university outside Germany, submission of the final thesis in digital form on CD-ROM (untranslated) and a two-page synopsis of the final thesis in German or English.

Section 5

Grounds for Refusal

Admission to the doctoral programme can be refused if

1. the applicant does not fulfil the prerequisites of Sect. 4,
2. a doctorate was revoked from the applicant or components of the doctoral degree were declared invalid,
3. the applicant has already unsuccessfully completed a doctoral procedure at a university in one of the doctoral subjects of the Faculty of Arts and Humanities,
4. in the cases of Sect. 1 par. 5.

Section 6

Disciplines, Contents of Doctoral Studies

(1) The Faculty of Arts and Humanities offers research-based studies and enables obtaining key academic qualifications in accordance with Sect. 67 par. 2 sent. 1 *HG*.

(2) The doctoral discipline is determined by the subject to which the dissertation is primarily allocated (see Appendix 1). Within a doctoral programme, usually the equivalent of at least 12 Credit Points must be completed in the discipline and participation in an introductory course of the Faculty of Arts and Humanities must be proven.

Section 7

Request for Admission to the Doctoral Examination

(1) The applicant submits to the chairperson of the doctoral committee via the AGSHC a request for admission to the doctoral examination in which the discipline and the proposed examiners are to be indicated.

The application is to be accompanied by:

1. three copies of the dissertation in printed and bound form (in case of the *disputatio*) or four copies thereof (in case of the *defensio*), as well as a digital version on CD-ROM;
2. a CV in German or English which in particular provides information about the course of studies and, if applicable, professional activities, and bears the applicant's signature (in addition, a CV is to be bound into each copy of the dissertation submitted);

3. proof of university entrance qualification;
4. if applicable, the proof of knowledge of languages in accordance with Appendix 2;
5. proof of the degree in accordance with Sect. 4 par. 2 no. 1;
6. upon submitting the dissertation, proof of knowledge of German at the C1 level CEF, and in case of a dissertation written in a foreign language, proof of knowledge of German at the B2 level CEF;
7. proof of participation in an introductory course;
8. admission to the doctoral programme in accordance with Sect. 4;
9. proof of enrolment as a doctoral student during this doctoral programme in accordance with the regulations on enrolment of the University of Cologne in the currently valid version;
10. if applicable, the proof of credits in the discipline in accordance with Sect. 6 par. 2 sent. 2;
11. if applicable, copies of one's own academic publications;
12. a declaration by the applicant on whether he or she has already undertaken a successful or unsuccessful attempt to acquire a doctorate at the Faculty of Arts and Humanities or another faculty or university or whether he or she is in a pending process (in this case, a copy of the relevant dissertation is to be presented);
13. a personally signed declaration with the following wording: "I solemnly declare that I prepared the dissertation I am presenting independently and without undue assistance, that I have completely stated the sources and aids used, and that in each individual case I have identified the passages in the dissertation, including tables, maps and images, that are quoted from other works literally or in spirit as a borrowing; that this dissertation has not been presented to any other faculty or university for examination; that it has not yet been published, apart possibly from partial publication approved by the chairperson of the doctoral committee after consultation with the supervising professor, as well as that I will not undertake any such publication before completing the doctorate. I am aware of the provisions in Sect. 20 and 21 of the doctoral regulations. The dissertation I am presenting has been supervised by";
14. an explanation about which form of the oral examination is being selected; upon selecting the disputatio, three weeks before the disputatio takes place the applicant will be requested to submit the hypotheses in writing to the Central Doctoral Office together with a short explanation within one week (see Sect. 14 par. 1). If the applicant does not want the defensio or disputatio to be open to members of the faculty, he or she must submit a declaration to this effect in writing (see Sect. 12 par. 3). If the defensio in accordance with Sect. 13 par. 4 sent. 2 or the disputatio in accordance with Sect. 14 par. 3 sent. 2 is to be taken in English, the applicant is to present a corresponding application (see Sect. 4 par. 2 no. 3) and to submit the hypotheses in English;
15. a declaration by the applicant on whether he or she wishes that the invitation to the oral examination be stated subject to acceptance of the dissertation, in accordance with Sect. 12 par. 3 sent. 1;
16. proof of the consultations with the primary supervisor in the standard model (Regular Track).

(2) The chairperson of the doctoral committee decides on the request for examination with a written notification that, in case of refusal, is to be substantiated and provide instructions about available legal remedies. The request can be refused if one of the prerequisites named in par. 1 or Sect. 4 is not met. The request can be withdrawn before the written notification about acceptance or rejection of the dissertation in accordance with Sect. 10 par. 8 has reached the doctoral candidate, or unless the doctoral procedure was ended on the basis of a decision in favour of rejection of the dissertation in accordance with Sect. 10 par. 7. After rescinding the application, the applicant cannot apply again at the Faculty of Arts and Humanities for admission to the doctoral procedure with the same or a similar theme.

Section 8

Right to Confer Doctorates, Examiners

(1) Those faculty members are entitled to supervise doctoral dissertations to whom the Faculty of Arts and Humanities conferred *venia legendi* (authority to teach) through a habilitation procedure for one of its disciplines, or who has been appointed to a professorship at the Faculty of Arts and Humanities, or who has been appointed honorary professor or junior professor in one of its disciplines. If no clear classification of discipline is possible, the doctoral committee will decide. In addition, the right to confer doctorates can upon request in special exceptional cases be conferred to members of another faculty or another university if they meet the prerequisites of Sect. 65 par. 1 *HG*; the doctoral committee will decide on this. The right to confer doctorates can, notwithstanding the provisions of Sect. 10 par. 1 sent. 2, be exercised at most two years after appointment at another faculty or another university. Upon request the doctoral committee can approve exceptions.

(2) In reasonable exceptional cases upon request, the right to confer doctorates can also be conferred to young researchers with doctorates of the Faculty of Arts and Humanities, if they are equivalent to junior professors by participating in teaching and research within existing funding programmes; faculty members entitled to supervise doctoral dissertations from the extended faculty proper make the decision on that.

Section 9

Dissertation

(1) The dissertation must deal with a topic that falls within the areas of the doctoral disciplines under Sect. 6 in conjunction with Appendix 1 of these regulations. It must contain academically substantial results and must show the applicant's skill in independent research and clear presentation of his or her findings. It may not have been published yet; upon request, the Chairperson of the doctoral committee can approve partial publication after consultation with the supervising professor.

(2) The dissertation should be written in German, English, French, Spanish, Italian or Latin, and must be published after concluding the doctoral examination procedure. Writing the dissertation in a different foreign language can occur upon request if adequate assessment by the faculty members entitled to supervise doctoral dissertations of the Faculty of Arts and Humanities is ensured upon admittance to the doctoral programme, in accordance with Sect. 4. The doctoral committee decides on the application; Sect. 19 remains unaffected.

Section 10

Review of the Dissertation

(1) The chairperson of the doctoral committee appoints two¹ or three² consultants for the review of the dissertation, who must have the right to confer doctorates in accordance with Sect. 8. The consultants are usually the supervisors of the dissertation. At least one of the consultants must represent the discipline to which the dissertation is primarily allocated. This usually affects the primary consultant; the chairperson of the doctoral committee decides on exceptions. In the discipline of geography, the primary consultant should be the supervisor of the dissertation; the second consultant is usually a representative of a discipline of the Faculty of Arts and Humanities. For interdisciplinary dissertations, the chairperson of the doctoral committee can, depending on the complexity of the dissertation, consult up to two additional consultants. The second consultant or an additional consultant can also be a member of another faculty, possibly from outside.

(2) The consultants appraise the dissertation within eight weeks and propose its acceptance or refusal. Upon substantiated request from a consultant, the chairperson of the doctoral committee can grant a one-off extension of the appraisal period of a maximum of four weeks. If the appraisal has not been received after an additional four weeks, the chairperson of the doctoral committee can appoint a new consultant. If accepted, the consultants propose the grades at the same time. The possible grades are:

rite (satisfactory): 3.0;

cum laude (good): 2.0;

magna cum laude (very good): 1.0;

and – for extraordinary academic performance –

summa cum laude (with distinction): 0.0.

The intermediate grades 0.7; 1.3; 1.7; 2.3 und 2.7 may be given. If the dissertation is accepted, the grade results from the arithmetic mean of the grades of the consultants; this reads:

for a numerical value of 0.0: summa cum laude

for a numerical value above 0.0 to 1.5: magna cum laude

for a numerical value above 1.5 to 2.5: cum laude

for a numerical value above 2.5 to 3.0: rite.

Only the first decimal place after the decimal point is taken into account; all other decimal places are dropped without rounding. The ranking “summa cum laude” can only be given if all consultants have awarded the dissertation “summa cum laude”. If all consultants have awarded the dissertation “summa cum laude”, the chairperson of the doctoral committee should obtain an opinion from a professor from outside in consultation with the primary consultant. An objection to the opinion is not possible. If the ranking “summa cum laude” is not confirmed, the board of examiners and the dean determine the final grade.

¹ Two consultants for the disputatio.

² Three consultants for the defensio.

(3) If objections to the research approach, execution of research or research results are an obstacle to acceptance of the dissertation, a consultant can make acceptance of the dissertation dependent on a prior revision. This is to be carried out by a deadline determined by the chairperson of the doctoral committee in consultation with the consultants. The original version with the consultants' comments, if applicable, is to be submitted again together with the new version.

(4) If objections to the presentation and style are an obstacle to publication of the dissertation in the form presented, a consultant can connect acceptance of the dissertation to requirements to make changes that are to be completed before publication. Complying with these requirements to make changes is confirmed with the certificate of revision (Sect. 17 par. 3).

(5) The assessments are on display together at the Dean's office with the dissertation for the faculty members of the Faculty of Arts and Humanities entitled to supervise doctoral dissertations for their inspection for two weeks; notification of this is posted on the notice board and on the website of the Dean's office of the Faculty of Arts and Humanities. The chairperson of the doctoral committee also invites faculty members entitled to supervise doctoral dissertations who are not members of the Faculty of Arts and Humanities but belong to other faculties or universities to inspect if they are involved as consultants in the specific doctoral procedure.

(6) The dissertation is accepted if all consultants declare themselves in favour of acceptance and no objection professionally substantiated by an expert opinion is raised by those authorised to inspection.

Such an objection can be raised against the acceptance of the dissertation and also against the proposed marks. In case of an objection, the chairperson of the doctoral committee in consultation with the consultants and the objector will charge an additional consultant with drafting another expert opinion. An appeal against the additional expert opinion is not permitted.

If the additional consultant declares him- or herself in favour of accepting the dissertation, the grade results from the arithmetic mean of the proposed grades of the additional consultant and the arithmetic mean of the proposed grades of the other consultants. If the additional consultant declares him- or herself against accepting the dissertation, the doctoral committee decides on acceptance or refusal of the thesis and determines the grade.

(7) The dissertation is refused if at least one of the consultants has recommended refusing the dissertation and if no objection professionally substantiated by an expert opinion has been raised against the refusal within four weeks after notification in accordance with par. 5, or by an individual authorised to inspection in accordance with par. 5. If such an objection is raised, the chairperson of the doctoral committee charges an additional consultant with drafting an additional expert opinion. An appeal in accordance with par. 6 sent. 1 against the additional expert opinion is not permitted. Instead, in this case the doctoral committee makes the final decision on whether the dissertation is accepted or refused after hearing the parties involved in the assessment procedure. In case of acceptance, the committee also determines the grade (see par. 2).

(8) The decision on acceptance or refusal of the dissertation is communicated to the applicant by a written notice from the chairperson of the doctoral committee; in case of refusal, it is to include instructions about available legal remedies. One copy of the refused dissertation remains together with all expert opinions in the files of the Faculty of Arts and Humanities.

Section 11

Board of Examiners

(1) Once the dissertation has been accepted, the chairman of the doctoral committee in consultation with the faculty representatives deploys a board of examiners to conduct the oral examination. The applicant can make proposals about the composition of the board of examiners. There is no entitlement that these proposals be taken into account.

(2) The chairman of the doctoral committee chairs the board of examiners. In accordance with Sect. 8 par. 1 sent. 1, he or she can transfer chairing the board to a member of the board of examiners or to another faculty member entitled to supervise doctoral dissertations or to a member of the Faculty of Arts and Humanities.

(3) The chairperson of the doctoral committee determines the examiners and sets the date for the defensio or disputatio (see par. 4).

(4) For the oral examination in the form of the defensio, the board of examiners consists of the chairperson of the doctoral committee and the consultants (see Sect. 8). The board of examiners of the disputatio has at least six members: the chairperson of the doctoral committee, the consultants for the dissertation, as well as three members from the group of examiners entitled to supervise doctoral dissertations in accordance with Sect. 8. At least one member of the board of examiners must belong to a different discipline than the doctoral discipline. The chairperson of the doctoral committee decides on exceptions.

Section 12

Oral Examination

(1) An oral examination takes place only once the dissertation has been accepted. The oral examination takes place during the lecture period after the dissertation was accepted in accordance with Sect. 10. The doctoral committee decides on exceptions. The oral examination can be conducted in the form of a defensio or a disputatio.

(2) The oral examination takes place in the German language. This does not apply if the chairperson of the doctoral committee has approved the defensio in English in accordance with Sect. 13 par. 4 sent. 3 or the disputatio in English in accordance with Sect. 14 par. 3 sent. 3.

(3) At least three weeks before the date of the oral examination, the applicant is to be invited in writing and notified of the composition of the board of examiners; if the applicant requests, the invitation to the oral examination can also be declared subject to acceptance of the dissertation. After acceptance of the dissertation (see Sect. 10 par. 8), the applicant will be informed of the grade of the dissertation. The defensio and the disputatio are open to the faculty and will be announced on the AGSHC website at least eight days beforehand. The chairperson of the board of examiners ensures that participation is enabled for an appropriate number of listeners. The applicant can veto the participation of listeners (Sect. 7 par.1 no. 14 sent. 2). Listeners have no rights of participation whatsoever. Participation does not extend to the consultations and announcement of the grade. The chairperson can exclude listeners if an orderly examination procedure appears to be jeopardised. The reasons for this are to be noted in the record.

(4) If the applicant fails to appear at the oral examination without an adequate excuse, it shall be deemed failed. The chairperson of the doctoral committee is to decide whether an excuse is to be considered adequate; in case of an adequate excuse the chairperson will set

a new examination date. In the event of illness, the applicant is to present a medical certificate that attests to the inability to take the examination. If the applicant discontinues the examination without verifiable cause, the examination is considered not passed.

Section 13

Defense of the Dissertation (Defensio)

(1) The defensio serves to demonstrate the applicant's ability to support or further explain the results developed in the dissertation in the face of questions and objections, and on that basis to discuss scientifically.

(2) The defensio is conducted by the board of examiners led by its chairman. The subject of the defensio is the dissertation presented.

(3) The defensio generally lasts 90 minutes. The presentation by the applicant may comprise at most 15 minutes. The members of the board of examiners are entitled to ask questions.

(4) The defensio takes place in the German language. If the applicant so requests, in well-founded exceptional cases the defensio can take place in English if

1. all supervisors are in favour of this and
2. an adequate assessment of the examination in consultation with the discipline and the agreement of the members of the board of examiners are ensured.

The chairperson of the doctoral committee decides on the approval of an application. The application must be submitted before or together with the registration for examination (Sect. 7).

(5) A member of the board of examiners records the minutes.

Section 14

Defense of the Dissertation (Disputatio)

(1) The disputatio is conducted by the board of examiners led by its chairman. It is conducted in the form of a colloquium on three scientific hypotheses. A hypothesis must refer to the subject of the dissertation, whereby the theme developed by the applicant should be ordered in the overall context of his or her discipline; the two other hypotheses refer to various areas within the discipline. The applicant submits the independently written topics of the hypotheses to the chairperson of the doctoral committee (see Sect. 7 par. 1 no. 14). A short written explanation of each hypothesis is to be presented.

(2) The defensio generally lasts 90 minutes. The presentation of the hypotheses may comprise at most 30 minutes. The members of the board of examiners are entitled to ask questions.

(3) The disputatio takes place in the German language. If the applicant so requests, in well-founded exceptional cases the defensio can take place in English if

1. all supervisors are in favour of this and

2. an adequate assessment of the examination in consultation with the discipline and the agreement of the members of the board of examiners are ensured.

The chairperson of the doctoral committee decides on the approval of an application. The application must be submitted before or together with the registration for examination (Sect. 7).

- (4) A member of the board of examiners records the minutes.

Section 15

Evaluation of the Oral Examination

- (1) The grades according to Sect. 10 par. 2 apply for the evaluation.

(2) Before determining the grade, it is to be decided by a majority vote of the members of the committee whether the oral examination is evaluated as passed or not passed. Abstention is not permitted. In the event of a tie, the chairman's vote decides.

(3) If the oral examination is passed in accordance with par. 2, the members of the committee who have voted "passed" each give a grade. The grade of the oral examination is an arithmetic mean of the grades according to sent. 1. Only the first decimal place after the decimal point is taken into account; all other decimal places are dropped without rounding.

(4) The defensio or disputatio can, if not passed, be repeated once. If the repeat examination is also not passed, the doctoral procedure has been failed definitively.

(5) In case of an oral examination was not passed or was definitively failed, the doctoral committee issues the applicant a notification letter with instructions about available legal remedies. One copy of the refused dissertation remains together with all expert opinions in the files of the Faculty of Arts and Humanities.

(6) The grade of the oral examination will be announced to the doctoral student immediately after the examination is concluded.

Section 16

Final Grade

The overall grade for the doctorate is calculated as a weighted average from the grade for the dissertation and the grade for the oral examination, whereby the grade for the dissertation counts double and the grade of the oral examination counts once. Of this average, only the first decimal place after the decimal point is taken into account; all other decimal places are dropped without rounding. The grade for the doctorate is for an average up to and including 1.4: very good / magna cum laude; for an average above 1.4 up to and including 2.4: good / cum laude; for an average above 2.4 up to and including 3.0: satisfactory / rite. If both the oral examination and the dissertation were evaluated "with distinction", the overall grade is "with distinction / summa cum laude".

Section 17

Publication of the Dissertation

(1) The doctoral student is obligated to publish the dissertation. Publication in a different language than the one used in the dissertation is permitted if, together with the certificate of revision, the *Imprimatur* ("ready for press") is issued for the version translated into the different language. The forms of publication that come into consideration are:

1. Publication by a publishing house as a monograph (with an ISBN or ISSN number) in a scholarly series or in an academic journal;
2. Publication by private printing or reproduction in bound form;
3. Publication in digital form on CD-Rom or DVD;
4. Publication in electronic form on the publication server (KUPS) of the University and City Library of Cologne.

(2) The published version must contain a note that it is a dissertation accepted by the Faculty of Arts and Humanities of the University of Cologne.

(3) The dissertation must be presented immediately before publication to the first consultant. If a consultant imposes requirements to make changes in accordance with Sect. 10 par. 4, the dissertation must be presented to all consultants. They ensure that publication takes place in an appropriate form and takes into account any requirements to make changes that may have been made upon acceptance of the dissertation, approve possible changes compared to the version submitted in the course of the doctoral procedure, and issue the *Imprimatur* by signing the certificate of revision (Appendix 4 of these regulations). The latter is to be forwarded by the applicant to the chairperson of the doctoral committee. If the consultants come to differing results as relates to the appropriateness of the form and the changes, the chairperson of the doctoral committee shall decide.

(4) Obligatory copies of the published version are to be handed over to the Faculty of Arts and Humanities, namely

- 7 copies in the case of par. 1 no. 1 if a minimum number of 150 copies is proven or
- 45 copies in the case of par. 1 no. 2 or
- 45 copies in digital form on CD-ROM or DVD as well as 6 printed copies in the case of par. 1 no. 3 or
- 5 printed copies in the case of par. 1 Nr. 4.

(5) The obligatory copies are to be handed in to the chairperson of the doctoral committee within two years after the *defensio* or *disputatio*. Upon substantiated request, the chairperson of the doctoral committee can extend the delivery time period by a year. An extension of the time period beyond three years can only be approved for exceptional reasons. After expiry of the time period set, the doctoral committee can, after two written reminders, declare the doctoral performance inadequate.

Section 18

Interim Response and Doctoral Certificate

(1) Immediately after successful conclusion of the defensio or disputatio, the doctoral student will receive an interim response. This provides information about the doctoral discipline, about the topic of the dissertation, in case of the disputatio also about the hypotheses submitted, as well as about the overall grade.

(2) After satisfying all components of the doctorate as well as the obligations in accordance with Sect. 17, the doctoral student will receive a certificate in Latin on the awarding of the doctoral degree signed by the dean and bearing the seal of the Faculty of Arts and Humanities. The certificate bears the date on which the obligatory copies were submitted in accordance with Sect. 17 paragraphs 4 and 5, as well as an indication of a partner university if Sect. 19 applies. The overall grade is on the certificate. Together with the certificate, the doctoral student will also be handed over a certificate on which the individual components of the doctoral degree are listed.

(3) Upon substantiated request that is supported by the first consultant, the dean can, as soon as publication of the dissertation is ensured, hand over the certificate in accordance with par. 2; the provisions of Sect. 17 par. 5 remain unaffected by this.

(4) The doctoral certificate can be renewed after fifty years by the Faculty of Arts and Humanities.

Section 19

Joint Doctoral Studies with Partner Universities Abroad

(1) The execution of the doctoral degree in accordance with Sect. 1 par. 3 sent. 1 and cooperation in accordance with Sect. 1 par. 3 sent. 2 depends on an agreement with a partner university abroad in which both faculties commit to enabling a joint doctoral degree and that governs details of the cooperation.

(2) For the doctoral degree in accordance with Sect. 1 par. 3 sent. 1, the doctoral regulations in the version applicable when concluding the agreement according to par. 1 apply, unless otherwise stipulated in this agreement. For cooperation in accordance with Sect. 1 par. 3 sent. 2, the rules contained in the agreement according to par. 1 apply.

(3) The agreement according to par. 1 should govern in particular the following points

- supervisors at the Faculty of Arts and Humanities and the partner university;
- minimum stays at the partner university and possibly the doctoral components to be rendered there;
- language of the dissertation and possibly the language and scope of a summary to be submitted together with the dissertation;
- language(s) of the expert opinions and language(s) of the defence;
- guidelines on the composition of the board of examiners (for disputatio and defensio).

(4) When registering for the doctoral examination procedure, the proofs according to the agreement as described in par. 1 are to be presented.

(5) For concluding the doctoral examination procedure, Sect. 18 applies, provided that one certificate each is handed over in German and in the respective foreign language signed by the rectors and the deans of the participating faculties of the two universities and sealed.

Section 20

Declaration of Invalidity of Doctoral Degree Components, Scientific Misconduct

(1) If the doctoral committee determines before handing over the doctoral certificate that the applicant has made incorrect statements on essential prerequisites for admittance to the doctoral programme or to the doctoral examination procedure, it can declare the doctoral components invalid. The applicant is to be given an opportunity to make his or her views known before the decision. The doctoral committee communicates the declaration of invalidity to the applicant in writing with an explanation and instructions about available legal remedies.

(2) If in the course of the doctoral examination procedure an initial suspicion arises about the existence of scientific misconduct (particularly of plagiarism), the doctoral committee investigates the matter and makes the decision on whether scientific misconduct is to be assumed. The doctoral committee can obtain expert opinions to prepare its decision. If after investigating the matter the doctoral committee comes to the result that there has been scientific misconduct, the doctoral component affected can be declared invalid. The doctoral component is considered definitively refused. The individual affected is to be given an opportunity to express his or her view before the decision. The doctoral committee notifies the individual affected in writing of the respective decision, together with an explanation and instructions about available legal remedies.

Section 21

Revocation of the Doctoral Degree

(1) The doctoral degree can be revoked

1. if it transpires subsequently that the recipient of the doctoral degree has deliberately deceived about the existence of essential prerequisites for admittance to the doctoral programme or to the doctoral examination procedure;
2. if it transpires subsequently that the recipient of the doctoral degree is guilty of a misrepresentation when carrying out the doctoral components, particularly in the dissertation;
3. if the recipient of the doctoral degree, upon request in accordance with Sect. 18 par. 3, has received the doctoral certificate but does not deliver the obligatory copies within the time period required in accordance with Sect. 17 par. 5, unless he or she is not responsible for failing to comply with the time limit.

(2) The faculty proper takes the decision on revocation after an expert opinion from the doctoral committee in a closed session with the majority of the members present entitled to vote. The doctoral Committee is authorised to seek expert opinions to prepare its opinion. The decision should be made by the faculty proper within one year after discovery of the facts that justify revocation. The individual affected is to be given an opportunity to express his or her view before the decision. If the doctoral degree has been completed in cooperation with a partner university abroad, the decision on revocation will be made with their cooperation.

(3) After the decision about the revocation of the doctoral degree, the doctoral certificate is to be declared invalid and retracted.

Section 22

Access to Files

After the conclusion of the doctoral examination procedure, access to files is granted within one year upon request. The request is to be submitted in writing to the chairperson of the doctoral committee.

Section 23

Transitional Provisions

(1) These regulations apply to all doctoral students who are admitted to the doctoral studies program at the Faculty of Arts and Humanities of the University of Cologne starting on the date these doctoral regulations go into effect.

(2) Doctoral students who have already received their acceptance to the doctoral studies programme from the doctoral Committee before these doctoral regulations go into effect, but still have not submitted any registration for examination or decision on this has not yet been made, can apply in writing to the doctoral committee that these doctoral regulations apply to them. Switching to these doctoral regulations is irrevocable.

(3) Doctoral examination procedures for which the registration for examination was submitted before these regulations went into effect and about which were already decided before the date these doctoral regulations go into effect, will be completed based on the doctoral regulations in effect when the decision was taken.

(4) Doctoral studies which were begun according to the doctoral regulations dated 3 June 2003 (Official Bulletin 30/2003), last changed by the regulations of 31 March 2006 (Official Bulletin 16/2006), can be completed according to the 2003 doctoral regulations until 30 Sept. 2015.

Doctoral studies which were begun according to the doctoral regulations dated 24 January 2008 (Official Bulletin 12/2008), last changed by the regulations of 2 February 2009 (Official Bulletin 08/2009), can be completed according to the 2008 doctoral regulations until 30 September 2017. Doctoral studies which were begun according to the doctoral regulations dated 12 March 2013 (Official Bulletin 08/2013), last changed by the regulations of 8 November 2013 (Official Bulletin 85/2013), can be completed according to the 2013 doctoral regulations until three years after these regulations go into effect.

Once these doctoral regulations go into effect, the provision of Sect. 20 applies for all doctoral examination procedures, independently of the doctoral regulations on the basis of which the doctoral examination procedure is conducted.

Irrespective of this, the following applies: the right to examination in one doctoral discipline or in one focus area of a doctoral discipline lapses 10 semesters after discontinuation of the doctoral discipline involved or of the focus area of the doctoral discipline involved; on request, the chairperson of the doctoral committee decides on exceptions.

(5) If a doctoral student was not able to complete the doctoral examination procedure

according to the respective doctoral regulations for reasons for which he or she was not responsible, or if unreasonable hardship arises as a consequence of the provision on tapering off under par. 4, the doctoral committee decides on exceptions. Lost time during statutory maternity protection periods, in child rearing absences and parental leaves according to the *Bundeselterneldgesetz* [Parental Benefit Act], as well as nursing one's spouse, a registered partner, someone directly related or an in-law of the first degree are, among others, reasons not to be held responsible.

Section 24

Coming Into Effect and Publication

These doctoral regulations go into effect on the day after they are published in the official bulletin of the University of Cologne. At the same time the doctoral regulations dated 24 January 2008 (Official Bulletin 12/2008), last changed by the regulations of 2 February 2009 (Official Bulletin 08/2009) and of 12 March 2013 (Official Bulletin 08/2013), last changed by the regulations of 8 November 2013 (Official Bulletin 85/2013), cease to be in force. Sect. 23 remains unaffected. For doctoral degrees in the disciplines Protestant and Catholic Theology, these doctoral regulations go into effect after concluding the procedure provided for with the churches.

Issued on the basis of the resolution of the faculty proper of the Faculty of Arts and Humanities of the University of Cologne from 22 Apr. 2015 as well as after review of legality by the rectorship of the University of Cologne from 2 June 2015.

Cologne, 11 June 2015

The Dean
of the Faculty of Arts and Humanities of the University of Cologne

University Professor Dr. Stefan Grohé

Appendix 1: Disciplines³

(1) The following disciplines can be selected:

African Studies

Ancient History

Anglo-American History

Art History

Byzantine Studies⁴

Catholic Theology

Chinese Studies

Classical Archaeology or Archaeology of the Roman Provinces

Didactics of History

Digital Humanities

Dutch Studies

Eastern European History

Educational Science subject to paragraph (2)

Egyptology

English Philology

Finnish Studies

General Linguistics

Geography subject to paragraph (2)

German Philology

Greek Philology

Historical and Comparative Linguistics

Iberian and Latin American History

Indology and Tamil Studies

Information Processing

Japanese Studies

³ In teaching profession subjects, the focus areas of doctoral disciplines also includes pedagogical content knowledge.

⁴ The focus study Modern Greek Philology was discontinued starting in the summer term 2006; the former subject Byzantine Studies and Modern Greek Philology was renamed Byzantine Studies.

Jewish Studies
Latin Philology
Medieval Latin Philology
Medieval History
Modern and Recent History
Musicology
North American Studies
Oriental Philology with the study focus areas Islamic Studies or Indonesian Philology⁵
Philosophy
Phonetics
Pre- and Early History
Protestant Theology
Regional Studies China
Regional Studies Eastern and Central Europe (study focus Russia or Poland)
Regional Studies Latin America
Romance Philology
Scandinavian Studies
Slavic Studies
Social and Cultural Anthropology
Theatre and Media Studies

(2) The subjects Educational Science and Geography can only be selected for doctoral studies if a consultant is available to whom the Faculty of Arts and Humanities has conferred the right to confer doctorates in accordance with Sect. 8 par. 1 sent. 3.

⁵ The focus study Ancient Eastern Philology was discontinued starting in the summer term 2004.

Appendix 2: Language Requirements

(1) Admission to the doctoral examination procedure (in accordance with Sect. 7 par. 1, sent. 2 no. 4) also requires proof of sufficient knowledge of other languages in accordance with the individually applicable relevant examination regulations for the respective specialist Master. A corresponding entry in the general or specialized higher education entrance qualification certificate or a certificate of an equivalent supplementary examination or a proficiency certificate in accordance with the relevant examination and study regulations serves as proof. On request, the Chairperson of the doctoral committee decides on exceptions in consultation with the faculty representative.⁶

(2) Admission to the doctoral examination procedure when selecting one of the subjects below requires proof of language skills:

Ancient History: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required.

Art History: Knowledge of Latin in the scope of the kleines Latinum is required. When completing a dissertation with a contemporary subject, proof of knowledge of Latin can be waived upon request and with the support of the supervising professor; the Chairperson of the doctoral committee decides on applications in consultation with the supervising professor.

Byzantine Studies⁷: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required.

Catholic Theology: Knowledge of Latin in the scope of the Latinum is required.

Classical Archaeology or Archaeology of the Roman Provinces: Knowledge of Latin in the scope of the Latinum is required. For the focus study Classical Archaeology, knowledge of Greek at the level of two successfully attended semester courses is required in addition. For applicants who did not obtain their degree at the University of Cologne, upon request the Chairperson of the doctoral committee can approve exceptions to this rule in justified cases.

Eastern European History: Upon selecting the focus study Medieval History, knowledge of Latin in the scope of the Latinum is required.

Egyptology: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required. The proof of sufficient knowledge of a Semitic or ancient Near Eastern or ancient African language can be substituted for the proof of knowledge of Latin and Greek; the Chairperson of the doctoral committee decides on applications, in consultation with the supervising professor.

English Philology: Upon selecting the focus study diachronic linguistics or literature and culture up to and including the Renaissance, knowledge of Latin in the scope of the kleines Latinum is required.

German Philology: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required. When completing a dissertation that is not historically oriented, in exceptional cases justified by the subject, the

⁶ The requirement of the Latinum and the Graecum is aligned with the Resolution of the Standing Conference of the Ministers of Education and Cultural Affairs from 22 Sept. 2005.

⁷ The focus study Modern Greek Philology was discontinued starting in the summer term 2006; the former subject Byzantine Studies and Modern Greek Philology was renamed Byzantine Studies.

proof of knowledge of two modern foreign languages (level of knowledge: B2 in accordance with the Common European Framework of Reference CEF) can be substituted for proof of knowledge of Latin; the Chairperson of the doctoral committee decides on applications in consultation with the supervising professor.

Greek Philology: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required.

Historical and Comparative Linguistics: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required.

Iberian and Latin American History: Upon selecting the focus study Medieval History, knowledge of Latin in the scope of the Latinum is required.

Information Processing: Knowledge of Latin in the scope of the kleines Latinum is required.

Jewish Studies: Knowledge of Latin in the scope of the Latinum is required.

Latin Philology: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum are required.

Medieval Latin Philology: Knowledge of Latin in the scope of the Latinum is required.

Medieval History: Knowledge of Latin in the scope of the Latinum is required.

Philosophy: The prerequisite for doctoral studies in Philosophy is the knowledge of two modern foreign languages in accordance with the level (B2-C2) of the Common European Framework of Reference. For doctoral students for whom German is not their native language, one of the foreign languages should be German, in accordance with the level of the DSD (Level I or II) of the Standing Conference of the Ministers of Education and Cultural Affairs. Proof of the corresponding knowledge is to be presented when registering for the examination. For doctoral students whose thematic focus is in the sector of ancient or medieval philosophy, at least one of the foreign languages should be covered by proving the Latinum or the Graecum. In case of a focus on ancient or medieval philosophy, if appropriate for research-related reasons, the proof of knowledge of another ancient language, for instance Arabic or Hebrew, can upon request be substituted for proof of the Latinum or Graecum. The Chairperson of the doctoral committee makes the decision.

Protestant Theology: Knowledge of Latin in the scope of the Latinum and knowledge of Greek in the scope of the Graecum or knowledge of Hebrew in the scope of the Hebraicum are required.

Romance Philology: Knowledge of Latin in the scope of the kleines Latinum is required. When completing a dissertation with a contemporary subject, proof of knowledge of Latin can be waived upon request and with the support of the supervising professor; the Chairperson of the doctoral committee decides on applications in consultation with the supervising professor.

Slavonic Studies: Knowledge of Latin in the scope of the kleines Latinum is required.

Proof of knowledge of Latin in the scope of the kleines Latinum can also be provided by proving Latin classes in one's school years.

For applicants with an ancient or medieval dissertation subject, except in the fields of Greek Philology, Latin Philology, Medieval Latin Philology, Historical and Comparative Linguistics, Ancient History, Medieval History, Archaeology, Art History or

Philosophy, proof of knowledge of another classical language (such as Sanskrit, Chinese or Arabic) can be substituted for proof of knowledge of Latin; the Chairperson of the doctoral committee decides on applications in consultation with the supervising professor.

Appendix 3: Title Page

(title of dissertation)

Inaugural dissertation
to complete the doctorate from the Faculty of Arts and Humanities
of the University of Cologne
in the subject _____

presented by

(first name, last name)

born on _____

in _____

(place of birth)

(place and date)

Appendix 4: Review Certificate

Review Certificate

Name of the doctoral student _____

Title of the dissertation:

I was presented with the version of the dissertation named above which it is intended to publish. If requirements to make changes were imposed upon acceptance of the dissertation, these have been satisfied. If changes were made compared to the version submitted in the doctoral examination procedure, I consider them appropriate. If the dissertation was composed in a language other than German, I confirm its linguistic correctness. I hereby issue my *Imprimatur* ("ready for press") for publication in the planned form.

first consultant

Date

Signature

second consultant
(if changes are required)

Date

Signature

poss. third consultant
(if changes are required)

Date

Signature

Sect. 4 The doctoral student's tasks and obligations

The doctoral student commits to regular reporting on interim results of the dissertation as regards content and compliance with the timeline and work plan.

Sect. 5 Integrated Track/Regular Track

The doctoral dissertation project will be carried out within the AGSHC as

- () Integrated Track
- () Regular Track

in accordance with the provisions of the doctoral regulations in the version currently in effect.

Sect. 6 Complying with good scientific practice

The doctoral student and the supervisors commit to complying with the guidelines on good scientific practice, as formulated, among other places, in the regulations of the University of Cologne on ensuring good scientific practice und dealing with academic misconduct in the currently valid version.⁹

Sect. 7 Reconciling family and academic activity

The reconciliation of family and academic activity will be especially supported.

Sect. 8 Mediating and terminating the Supervision Contract

- (1) In case of substantial or personal differences that have a lasting negative impact on trusting, constructive and efficient cooperation, discussions will first be held between the parties. Both parties can appeal to the coordinator of the Graduate School for the purpose of mediation.
- (2) The Supervision Contract can only be terminated in writing for cause by the parties unilaterally – for instance, in case of a serious breach of the duties named. If the contract is terminated in writing by the doctoral student or a supervisor, the coordinator of the Graduate School is to be informed immediately.
- (3) The admission as a doctoral student remains unaffected by termination of the Supervision Contract.
- (4) If termination of the Supervision Contract is pursued unilaterally by a supervisor, the doctoral student can call upon the Doctoral Board to mediate.
- (5) If the Supervision Contract is effectively terminated for a cause for which the doctoral student is not responsible, the Graduate School will endeavour to find a new supervisor.

⁹ http://www.hf.uni-koeln.de/data/main/File/Dekanat/promotion/Amtliche%20MitteilungGuteWissPrax24_2011.pdf

Cologne, date

doctoral student

primary supervisor

second supervisor**

possibly third supervisor**
(** later notification possible)

The coordinator of the Graduate School

Appendix:
Timeline and work plan