

Doctoral Degree Regulations of the Faculty of Law and Economics

Doctor of Economics

English version for reference only!

Disclaimer: **This translation** of the “Promotionsordnung der Rechts- und Staatswissenschaftlichen Fakultät zur Erlangung des Grades eines Doktors der Wirtschaftswissenschaften der Rheinischen Friedrich-Wilhelms-Universität Bonn vom 25. April 2005” published in “Amtliche Bekanntmachungen 35. Jahrgang, Nr. 10” **is not legally binding.**

Doctoral degree regulations
to obtain the degree of Doctor of Economics
at the Faculty of Law and Economics
at the University of Bonn
of April 25, 2005

Due to sections 2 para. 4 and 97 of the Higher Education Act in the state of North Rhine-Westphalia of March 14, 2000, (GV. NRW. clause 190), last amended by article 1 of the law on the further development of the university reforms of November 30, 2004, (GV. NRW clause 752 ff.) and sections 33 and 51 of the university constitution of February 4, 1991, last amended by the Second Order to Amend the Constitution of April 11, 2002, (Official Notices of the University of Bonn, 32nd year, No. 7 of April 17, 2002), the Faculty of Law and Economics at the University of Bonn has approved the following doctoral degree regulations:

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I. General information

Section 1 Doctorate

- (1) The doctorate demonstrates an ability to undertake independent academic work beyond the general study goal of professional qualification. This ability is determined based on an academically noteworthy written paper (doctoral thesis) and an oral examination (doctoral defense).
- (2) The Faculty awards the degree of Doctor of Economics (Dr. rer. pol.) based on the passed doctoral examination.

Section 2 Doctoral board

- (1) To organize the doctoral examination procedure and the tasks assigned by these doctoral degree regulations, the Faculty forms a doctoral board. The doctoral board consists of the professors from the Economics department in the Faculty. The doctoral board elects a chairperson and a deputy chairperson from among its members for a term of two years. Re-election is permitted.
- (2) The doctoral board manages the doctoral studies. In particular, it decides on the existence of the admission requirements for the doctoral studies, determines the curriculum for the doctoral studies, and decides on the recognition of study achievements. It is responsible for appeals and complaints against decisions made in the doctoral studies. The doctoral board can transfer decisions to the chairperson in normal cases. Decisions concerning objections are always to be made by the doctoral board.
- (3) The doctoral board has a quorum if, besides the chairperson or deputy chairperson, at least four further members are present. It decides with a simple majority. In the event of a tied vote, the chairperson has the deciding vote.
- (4) The meetings of the doctoral board are not public. The members of the doctoral board are subject to official secrecy. Insofar as they are not in the public service, they are to be sworn to secrecy by the chairperson.

Section 3 Structure of the doctoral examination procedure

The doctoral examination procedure consists of the doctoral studies and the doctoral examination. The doctoral board decides on admission to the doctoral studies, the Dean decides on admission to the doctoral examination.

II. Doctoral studies

Section 4 Objective and purpose of the doctoral studies

The doctoral studies accompany the doctoral thesis and prepare for the doctoral examination. They impart in-depth academic expert knowledge and the ability to plan and conduct research independently, present and defend the acquired knowledge in front of an expert audience, and arrange it in a form ready for publication.

Section 5

Enrollment conditions

(1) Access to the doctoral studies is granted to those who provide evidence of a qualification assessed with the highest grade of the relevant examination regulations

1. Following an economics university program with a standard period of study of at least eight semesters, for which a degree other than 'Bachelor' is awarded, or
2. Following an economics higher education program with a standard period of study of at least six semesters and, following on from this, predoctoral studies, or
3. From an economics master's program as defined by section 85 para. 3 clause 2 of the law governing the universities of the federal state of North Rhine-Westphalia.

(2) Qualifications acquired in related disciplines or at higher education institutions outside of the scope of validity of the German Basic Law and that are equivalent to the qualifications stated in para. 1 are recognized on request. The doctoral board decides on equivalence and recognition.

(3) The doctoral board can recognize a qualification as an enrollment condition in accordance with para. 1 No. 1 or, if the qualification was acquired following a university program, in accordance with para. 1 No. 3 if the qualification was at least assessed with the second-best grade in the relevant examination regulations, and course or examination achievements are demonstrated that indicate that the candidate has particular suitability for an economics doctorate.

(4) In the predoctoral studies in accordance with para. 1 No. 2, course assessments assessed with at least the average grade "good" are to be provided in the courses

- Advanced Microeconomics
- Advanced Macroeconomics
- Advanced Econometrics.

Equivalent course assessments from master's programs can be recognized by the doctoral board on request.

Section 6

Admission to the doctoral studies

(1) The admission to the doctoral studies is to be requested in writing from the chairperson of the doctoral board. The doctoral board determines the form of the application.

(2) The doctoral board decides on admission to the doctoral studies. Those who have submitted an admission application and demonstrate the enrollment conditions of section 5 are admitted. If the evidence required to verify the enrollment conditions is not submitted in full at the time of submitting the application, the doctoral board can admit the candidate to the doctoral studies on the condition that the required evidence is submitted within a suitable period; the admission in this case enters into force once the enrollment conditions are demonstrated within the set period.

(3) If the knowledge required for an economics doctorate in one or more of the disciplines Microeconomics, Macroeconomics and Econometrics was not acquired during previous studies, the doctoral board can associate admission to the doctoral studies with the requirement that the corresponding course assessments stated in section 5 para. 4 are to be undertaken as part of the in-depth studies of the doctoral studies; the duration of the in-depth studies can be extended by one semester in this case.

(4) Those who have already undertaken a doctoral examination ultimately without success or for whom the conditions exist under which an academic degree can be revoked are not admitted to the doctoral studies.

Section 7

Structure and content of the doctoral studies

(1) The doctoral studies consist of in-depth studies and research studies. The events in the doctoral studies are conducted in German or English; the necessary knowledge of English is a requirement.

(2) The in-depth studies generally take one year. The curriculum for the in-depth studies is determined by the doctoral board. It comprises lectures, seminars, and workshops. As part of the in-depth studies, the student is to provide four course assessments from lectures and seminars, and a certificate of attendance and presentation achievements from a workshop. Equivalent study achievements from economic doctoral programs or master's programs at other universities can be credited to the in-depth studies by the doctoral board on request.

(3) The research studies generally take two years. They accompany the production of the doctoral thesis and involve participation in research colloquia and workshops. During the research studies, each student must present his/her doctoral dissertation project in a research colloquium or workshop in the doctoral program. The presentation achievement is to be certified.

(4) The chairperson of the doctoral board issues a study completion certificate for the proper participation in the doctoral studies.

Section 8

Doctoral thesis

(1) The doctoral thesis forms a significant component of the doctorate. The topic of the doctoral thesis is to be selected from a field within economics represented at the Faculty.

(2) The doctoral thesis must be an independent achievement by the doctoral student and make a significant contribution to the advancement of economics.

(3) The doctoral thesis should be written in German or English. The work should be submitted in a condition that is ready for printing.

(4) The doctoral thesis may not be published as such before the conclusion of the doctoral examination procedure. Ideas that are developed as part of the doctoral thesis may nevertheless be published before submitting the work.

(5) A doctoral thesis that was already submitted to another faculty may not be the basis of the doctoral examination.

(6) The production of the doctoral thesis should be supervised. Supervisors can be the professors (professors, lecturers (Privatdozent), honorary professors and adjunct professors) of the Economics department at the Faculty. If a supervisor leaves the Faculty, he or she can continue to supervise the doctoral thesis for a further three years.

III. Doctoral examination

Section 9 Requirements for admission to the examination

- (1) Successful participation in the doctoral studies in accordance with section 7 is to be demonstrated via the study completion certificate when applying for admission. The doctoral board decides on exceptions in justified cases.
- (2) Section 6 para. 4 applies accordingly.

Section 10 Admission to the examination

- (1) The application for admission to the doctoral examination is to be addressed in writing to the Dean.
- (2) The following are to be enclosed with the admission application:
1. The doctoral thesis in two copies, naming the professor who supervised the creation of the work;
 2. An affidavit that the candidate wrote the work independently, did not use any resources other than those stated in the work, and has indicated statements taken either word-for-word or in spirit from the texts of other authors;
 3. An affidavit that the candidate has not already undergone a doctoral examination procedure without success and the doctoral thesis has not already been submitted to another faculty;
 4. A police clearance certificate or an affidavit that the candidate has not been legally sentenced to a custodial sentence of at least one year due to an intentional criminal offense;
 5. The study completion certificate as evidence of successful participation in the doctoral studies in accordance with section 7;
 6. Any academic texts by the candidate that have already appeared in print;
 7. A curriculum vitae that particularly provides information about the studies and, if applicable, professional activities of the candidate.
- (3) The Dean inspects the application and decides on admission.
- (4) Following admission to the doctoral examination, the application can only be withdrawn if no rejecting dissertation reviews for the doctoral thesis exist or the oral examination has not begun.

Section 11 Reviewers

- (1) Upon admission, the Dean appoints two reviewers for the doctoral thesis. The supervisor of the doctoral thesis should be appointed as the primary reviewer. The second reviewer is usually to be appointed from among the professors (professors, lecturers (Privatdozent), honorary professors and adjunct professors) of the Economics department. In justified exceptional cases, a foreign Professor of Economics can be appointed as the second reviewer with the consent of the doctoral board. If the

primary reviewer is not a full-time professor in the Economics department, the second reviewer must be.

(2) The candidate can submit a nomination for the appointment of the second reviewer with the application for admission to the doctoral examination. This nomination is to be followed where possible.

(3) If it appears necessary due to the thematic nature of the work, the Dean can appoint a further reviewer from another discipline or another faculty.

Section 12

Assessment of the doctoral thesis

(1) The reviewers should submit justified dissertation reviews that recommend the acceptance or rejection of the doctoral thesis within a total of four months following the submission of the doctoral thesis. Every reviewer who supports acceptance suggests a grade for the assessment of the doctoral thesis. The grade can be:

Summa cum laude (0.0)

Magna cum laude (1.0)

Cum laude (2.0)

Rite (3.0)

The grades 0.5, 1.5 and 2.5 can be awarded as intermediary grades.

(2) If the doctoral thesis suffers from deficiencies that prevent acceptance, and if these deficiencies can be corrected by revising or supplementing, each reviewer can suspend the assessment until the candidate has brought the doctoral thesis into a state that is eligible for acceptance. The doctoral examination procedure is suspended during this time.

(3) If the reviewers have provided their dissertation reviews and at least one of the reviewers has recommended the acceptance of the document, the Dean informs the professors in the Faculty and any reviewers not belonging to the Faculty of the author and title of the work and the assessments proposed by the reviewers, and displays the doctoral thesis and dissertation reviews in the Dean's office for two weeks. All of the professors from the Faculty are entitled to view the work and submit a justified dissertation review, which recommends the acceptance or rejection of the doctoral thesis and, in the event of a recommendation to accept, suggests one of the grades stated in para. 1 for the assessment of the doctoral thesis. Dissertation reviews are to be submitted in writing within the presentation period.

(4) The doctoral thesis is accepted if the dissertation reviews unanimously recommend acceptance. If the grades suggested for the assessment of the work do not deviate from each other by more than the value 1.0, the assessment of the doctoral thesis results from the arithmetic average of the suggested grades. Only the first decimal place is taken into account; all further places are omitted without rounding.

(5) In the case of different recommendations with regard to acceptance, the doctoral board decides on the acceptance or rejection of the work and, in the event of acceptance, determines the assessment of the doctoral thesis with one of the grades stated in para. 1. Furthermore, the doctoral board decides on the assessment of the doctoral thesis if grade suggestions exist that deviate from each other by more than the value 1.0. The doctoral board can obtain further dissertation reviews to prepare its decision.

(6) If all of the reviewers reject or the doctoral board rejects the doctoral thesis, the examination is not passed.

(7) The candidate is to be informed of the decision regarding the acceptance or rejection of the document.

Section 13 **Examination board and oral examination**

(1) If the doctoral thesis is accepted and assessed, the Dean appoints an examination board with three members and sets a date for the oral examination, which should be within a period of two months after submission of the dissertation reviews.

(2) The first reviewer and, in general, also the second reviewer should belong to the examination board. At least two of the members of the examination board should be professors in the Economics department. The Dean holds the chair as a member of the committee or a certain member of the committee appointed by him.

(3) The oral examination is assessed in the form of a doctoral defense. It covers the topic of the doctoral thesis and neighboring fields.

(4) The oral examination is led by the chairperson of the examination board. The examination can be written in German or English. Minutes are to be taken of the examination by the chairperson of the examination board.

(5) The oral examination is open to the Faculty. It takes around 45 minutes. The doctoral defense is introduced by a presentation by the candidate on the underlying theses of the doctoral thesis. The presentation should not exceed 20 minutes; an academic debate immediately follows the presentation. Professors in the Faculty can take part in the debate.

Section 14 **Assessment of the doctoral examination**

(1) Immediately after the oral examination, the examination board decides in a private session whether the candidate has passed the doctoral defense.

(2) If the doctoral defense has been passed, the examination board decides on the assessment of the oral examination with one of the grades stated in section 12 para. 1 and determines the overall assessment of the examination. The overall assessment results from the weighted arithmetic mean of the assessments of the doctoral thesis and the oral examination; the doctoral thesis is counted twice in this. When forming the overall assessment, only the first decimal place is taken into account; all further places are omitted without rounding. The overall grade is:

Summa cum laude with an average from 0.0 to 0.3;

Magna cum laude with an average from 0.4 to 1.5;

Cum laude with an average from 1.6 to 2.5;

Rite with an average from 2.6 to 3.0.

(3) The chairperson of the examination board immediately informs the candidate of the result. The passed doctoral examination does not yet entitle the candidate to use the title of doctor.

- (4) If the candidate misses the oral examination without sufficient excuse, it is considered failed.
- (5) If the oral examination is not passed, the candidate can repeat the oral examination once.

Section 15

Publication of the doctoral thesis

(1) The doctoral thesis is to be published within one year following the passed examination. In particularly justified cases, especially in the case of maternity leave and parental leave, the Dean can extend the period in accordance with clause 1. If the candidate ultimately misses the deadline, he loses all of the rights acquired through the examination.

(2) The obligation to publish is considered fulfilled if the author submits six bound copies of the doctoral thesis printed on aging-resistant paper free of charge and otherwise ensures the dissemination of the content of the doctoral thesis as follows:

- (a) By submitting a further 60 printed copies of the doctoral thesis or
- (b) By providing evidence of publication of the doctoral thesis in an academic publication series or as an independent work with a minimum print run of 150 copies or
- (c) By publishing the doctoral thesis on a university publication server at Bonn University and State Library (ULB).

In cases (b) and (c), publication as a doctoral thesis at the Faculty of Law and Economics is to be indicated.

(3) The copies to be submitted to the Faculty in accordance with para. 2 clause 1 are to be indicated on the title page as "Dissertation to obtain the degree of Doctor of Economics at the Faculty of Law and Economics at the University of Bonn". The name of the Dean, of the reviewers, and the date of the oral examination are to be stated on the back of the title page. A brief curriculum vitae of the author is to be enclosed with the doctoral thesis.

Section 16

Completion of the doctorate

(1) If the candidate has fulfilled all doctoral achievements, the doctorate is implemented by the Dean on behalf of the Faculty by issuing the doctoral certificate.

(2) The certificate shows the title of the work, the day of the oral examination as the time of the doctorate, the overall grade, and the name of the Dean. It is issued by the Dean and bears the seal of the Faculty; a second copy of the certificate is to be included in the Faculty files. The Dean enters the name of the doctoral graduate and a factual report concerning the doctorate in the doctoral album.

(3) The doctoral graduate is only entitled to use the title of Doctor once the certificate is issued.

Section 17

Invalidity of the doctoral achievements and revocation of a doctoral degree

- (1) If, before the doctoral certificate is issued, it is discovered that the candidate is guilty of fraud in his doctoral achievements or in the evidence in accordance with section 6 para. 4 and section 10 para. 2, the doctoral achievements are to be declared invalid and the doctoral examination procedure not passed in a decision by the doctoral board.
- (2) If the doctoral student is guilty of deception, threats or bribery during a doctoral achievement or acquires admission to the doctorate in this way, the Faculty can retrospectively declare the doctoral achievement as invalid, declare the doctoral examination procedure as not passed, and revoke the doctorate, even after issuing the doctoral certificate. The doctoral certificate is to be revoked.
- (3) The doctorate – including the Honorary Doctor of Economics – can also be revoked by the Faculty if the doctoral graduate is legally sentenced to a custodial sentence of at least one year due to an intentional criminal offense or if he is legally convicted of an intentional crime, during the preparation or committing of which the doctorate was used.
- (4) The affected person is to be given the opportunity to comment before a decision is made.

IV. Joint doctorate

Section 18

Joint doctorate with a foreign higher education institution

- (1) The Faculty of Law and Economics at the University of Bonn can award the degree of Doctor of Economics (Dr. rer. pol.) together with a foreign higher education institution in a jointly conducted doctoral examination procedure. By way of derogation, this procedure requires joint supervision by one supervisor from each higher education institution and doctoral studies of at least one semester at each institution.
- (2) For the purposes of a joint procedure, an agreement is to be made between the University of Bonn and the Faculty of Law and Economics and the foreign higher education institution, which must be approved by the doctoral board. The agreement governs a doctoral examination procedure led jointly by the responsible bodies at the foreign higher education institution and the doctoral board, in particular, joint examination, assessment, and grading of the examination achievements by a joint examination board. It can allow for exceptions to the composition of the examination board, the creation of dissertation reviews, the form, duration, and language of the oral examination, the language of the doctoral thesis, and the language of the certificate.
- (3) The duty to publish the doctoral thesis and the rights to it are based on the regulations of both higher education institutions.

V. Honorary doctorate and golden anniversary of the conferral of a doctorate

Section 19

Honorary doctorate

- (1) The Faculty awards the academic degree and the title of Honorary Doctor of Economics (Dr. rer. pol. h.c.) for outstanding academic services or other special achievements of a non-material nature in the sciences entrusted into the care of the Faculty.

(2) Such a decision requires a majority of two-thirds of the members of the Faculty council and also the consent of two-thirds of the members of the group of professors belonging to the Faculty. Before the honorary doctorate is bestowed, the senate must be given an opportunity to make a statement.

(3) The honorary doctorate is awarded with the presentation of a certificate issued by the Dean, honoring the achievements of the doctoral graduate.

Section 20

Golden anniversary of the conferral of a doctorate

At the decision of the Faculty, the Dean can formally renew the doctoral certificate on the 50th anniversary of the doctorate if this appears appropriate in view of outstanding achievements relating to science, or public life, or the particularly close links between the person celebrating the anniversary and the University.

VI. Final provisions

Section 21

Transitional provisions

(1) These doctoral degree regulations apply to all doctoral students who submit the application for admission to the doctoral studies for the first time after the time when these doctoral degree regulations enter into force.

(2) Doctoral students who, at the time that these doctoral degree regulations enter into force, have already commenced the doctoral studies in accordance with the previously applicable doctoral degree regulations, complete the examination procedure in accordance with the previously applicable doctoral degree regulations, insofar as they submit the application for admission to the examination procedure within five years of these doctoral degree regulations entering into force. On request, they can complete the examination procedure in accordance with these doctoral degree regulations.

(3) Doctoral students who, at the time that these doctoral degree regulations enter into force, have already commenced the doctoral studies in accordance with the previously applicable doctoral degree regulations, complete the examination procedure in accordance with these doctoral degree regulations, insofar as they submit the application for admission to the examination procedure more than five years after these doctoral degree regulations enter into force. Any examination achievements provided before these doctoral degree regulations enter into force are credited to the doctoral studies.

(4) Examination procedures that have already begun by submitting the doctoral thesis at the time that these doctoral degree regulations enter into force are completed in accordance with the previously applicable doctoral degree regulations.

Section 22

Entry into force and publication

(1) These doctoral degree regulations enter into force on the day following their publication. At the same time, the Economics and Social Science doctoral degree regulations of the Faculty of Law and Economics at the University of Bonn of December 8, 1967, cease to be in force.

(2) These doctoral degree regulations are published in the Official Notices of the University of Bonn – Announcements.

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The Dean
of the Faculty of Law and Economics
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Bonn, April 25, 2005

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The Rector
at the University of Bonn
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