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Doctoral Regulations of the Faculty of Arts and Humanities
of Heinrich Heine University Düsseldorf
of 16.10.2017

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PUBLISHER

The President of Heinrich Heine University Düsseldorf
Universitätsstraße 1 • 40225 Düsseldorf • www.hhu.de

EDITOR

Legal Department • Building 16.11
Tel. +49(0)211- 81-11518 • justitiariat@hhu.de

DISCLAIMER

This English translation is intended solely to allow English-speaking doctoral researchers a better understanding of the Doctoral Regulations. Only the German version is legally binding.

**DOCTORAL REGULATIONS
OF THE
FACULTY OF ARTS AND HUMANITIES
OF
HEINRICH HEINE UNIVERSITY DÜSSELDORF
OF 16.10.2017**

Pursuant to § 2 (4) and § 67 (3) of the Law on the Universities in the Federal State of North Rhine-Westphalia (NRW University Act) of 16.09.2014 (NRW Gazette of Laws and Ordinances 2014, p. 547), last amended on 07.04.2017 (NRW Gazette of Laws and Ordinances 2017, p. 414), Heinrich Heine University Düsseldorf has issued the following Doctoral Regulations:

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§ 1
Principles

- (1) The Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf confers the degree of “Doctor of Philosophy (Dr. phil.)” by virtue of a proper doctoral examination procedure, a scientifically noteworthy paper on a topic within the scope of the Faculty of Arts and Humanities (dissertation) and an oral examination (oral defence). The doctoral subjects are listed in Appendix 1.
- (2) By virtue of outstanding scientific achievements or special services to science, honorary doctoral degrees may be conferred (Dr. phil. h.c.).

§ 2
Doctoral Studies Committee

- (1) The Faculty appoints a Doctoral Studies Committee from amongst its members. The term of office of the members is two years. The Doctoral Studies Committee additionally remains responsible after its re-election or the by-election of individual members for pending procedures.
- (2) The Doctoral Studies Committee should reflect the diversity of disciplines and methods represented at the Faculty of Arts and Humanities. Including the chairperson with voting rights, the Doctoral Studies Committee comprises seven members. Four members including the chairperson with voting rights must belong to the group of full-time professors at the Faculty, two members must belong to the group of academic staff and one member must belong to the student body.
- (3) The chairperson with voting rights is the Vice-Dean. He or she may be represented by the Dean.
- (4) The Faculty Council of the Faculty of Arts and Humanities elects the other members of the Doctoral Studies Committee and their deputies on the basis of recommendations by the groups represented in it. Elections are held at the first meeting of a newly elected Faculty Council.
- (5) The chairperson manages the everyday business of the Doctoral Studies Committee and chairs its meetings. It is his or her responsibility to ensure that minutes of meetings of the Doctoral Studies Committee are kept and that these clearly indicate the topics and results of the discussions. The chairperson may assign a minute keeper for this purpose. The minute keeper need not be a member of the Doctoral Studies Committee.
- (6) The Doctoral Studies Committee may invite rapporteurs for subjects under debate.
- (7) The Doctoral Studies Committee is quorate if, in addition to the chairperson, two representatives from the group of full-time professors at the Faculty and at least one representative from amongst the academic staff are present. Insofar as no other provisions are foreseen in these Doctoral Regulations, the Doctoral Studies Committee reaches its decisions by simple majority vote by roll call of the members present. If no simple majority vote is achieved, the proposed resolution is deemed rejected. This rule also applies for resolutions by an Examining Board.
- (8) The meetings of the Doctoral Studies Committee are closed sessions. The members of the Doctoral Studies Committee and their deputies are obliged to respect official secrecy. The same applies for rapporteurs and minute keepers.
- (9) Insofar as these Regulations do not provide for otherwise, the chairperson must notify the parties concerned within a reasonable period of time and in a suitable form, as a rule in writing, of decisions by the Doctoral Studies Committee. Where necessary, instructions on legal remedies are to be included.

§3
Conditions for acceptance as doctoral researcher

- (1) Eligible for acceptance as a doctoral researcher is an applicant who has sufficient knowledge of the German or the English language and

- a) holds a qualification following completion of a pertinent university study programme in one of the doctoral subjects listed in Appendix 1, as a rule with the overall grade of at least “Good” (2.5), and with a standard period of study of at least eight semesters and for which a degree other than “Bachelor” was conferred or
 - b) holds a qualification following completion of a pertinent university study programme in one of the doctoral subjects listed in Appendix 1, as a rule with the overall grade of at least “Good” (2.5), and with a standard period of study of at least six semesters and subsequent and appropriate studies in the doctoral subject in preparation of the doctoral degree or
 - c) holds an academic qualification attained outside Germany in a subject that corresponds to one of the doctoral subjects listed in Appendix 1, as a rule with the overall grade of at least “Good” (2.5), and which is equivalent to one of the conditions under a) and has applied for its recognition. Whether the qualification is equivalent is decided by the Doctoral Studies Committee, as a rule in consultation with the Central Office for Foreign Education.
- (2) If the doctoral subject is not identical to the main subject previously studied and in which the qualification entitling admission in accordance with (1) a) or b) of this section was attained, can evidence in accordance with (1) a) or b) of only a qualification other than a qualification corresponding to the doctoral subjects listed in Appendix 1 be provided or no qualification be held with a grade of at least “Good” (2.5), the applicant may be admitted to doctoral studies by the Doctoral Studies Committee if his or her previous education is found to be of sufficient relevance, quality and breadth in the intended doctoral subject. This decision is made by the Doctoral Studies Committee on the basis of a thorough evaluation of the applicant’s previous academic achievements. For this purpose, the Doctoral Studies Committee must obtain the views of those persons who in accordance with § 4 of these Regulations are available as supervisor or mentor. Admission may be subject to certain conditions.

§4

Supervision of the doctoral researcher

- (1) The doctoral researcher is supported in the doctoral procedure by a supervisor. The doctoral researcher’s work should be performed in ongoing consultation with the supervisor, at whose request the doctoral researcher must provide exhaustive information at any time about the status of his or her work. The supervisor must represent the doctoral subject in teaching and be a university lecturer at the Faculty of Arts and Humanities. These are the full-time professors at the Faculty, also after their dispensation or retirement, university lecturers at the Faculty with a post-doctoral degree (habilitation) and assistant professors at the Faculty. If the supervisor is an assistant professor, then the mentor must be a full-time university lecturer at the Faculty with a permanent contract.
- (2) Apart from the supervisor, the doctoral researcher is supported in the doctoral procedure by a mentor. The mentor must be independent of the supervisor. His or her task is to give the doctoral researcher additional advice and to act as mediator in conflicts between the supervisor and the doctoral researcher. The mentor must be a university lecturer and ought to be a member of the Faculty of Arts and Humanities. These are the full-time professors at the Faculty, also after their dispensation or retirement, university lecturers at the Faculty with a post-doctoral degree (habilitation) and assistant professors at the Faculty. If the mentor is an assistant professor, then the supervisor must be a full-time university lecturer at the Faculty with a permanent contract.
- (3) Upon justified request, external university lecturers may also be assigned as supervisor or mentor of a doctoral procedure. Only such persons may be assigned as doctoral supervisor who are university lecturers with a post-doctoral degree (habilitation) in the doctoral subject or who represent the doctoral subject in teaching. The decision on such a request lies with the Doctoral Studies Committee.

- (4) In the framework of a partnership with a university of applied sciences in accordance with § 67 a (1) of the University Act, professors of the university of applied sciences who produce evidence of a qualification equivalent to a post-doctoral degree (habilitation) in line with § 36 (1) 4 of the University Act may be assigned as supervisor or mentor and later in accordance with § 10 (2) of these Regulations as reviewer of the dissertation. In such cases of joint supervision, the member of the teaching body from the Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf assigned as supervisor and the professor from the university of applied sciences set down in an agreement appropriate studies to be undertaken in preparation for the doctoral procedure in accordance with § 67 (4) of the University Act.
- (5) The decision on the assignment of a supervisor or a mentor for a doctoral procedure lies with the Doctoral Studies Committee in the course of its decision on the applicant's final acceptance as doctoral researcher in accordance with § 6 of these Regulations.
- (6) Upon justified request and in exceptional cases, doctoral researchers may change their supervisor or mentor. Such a request must be accompanied by a declaration of consent from the person who is to take over the supervisor or mentor's function. The provisions in accordance with (1) to (4) of this section remain unaffected. The Doctoral Studies Committee decides without delay on the request. The chairperson of the Doctoral Studies Committee notifies the doctoral researcher immediately and in writing of the decision; in the case that the request is refused, such notification is accompanied by instructions on legal remedies. The chairperson notifies the other persons affected by the decision in a suitable form.
- (7) For his or her application for provisional acceptance as doctoral researcher in accordance with § 5 of these Regulations, the applicant must obtain a written declaration from the designated supervisor confirming that he or she is fundamentally willing to function as supervisor and that he or she is prepared to support the applicant in the development of his or her doctoral research project.
- (8) Prior to applying for final acceptance as doctoral researcher, the applicant consults with the designated supervisor and the designated mentor. Further persons may participate in this meeting. It is based on an exposé of the doctoral research project to be compiled by the applicant and agreed with the designated supervisor and the designated mentor. As a result of this consultation, the doctoral researcher concludes a written Supervision Agreement with the supervisor. The Supervision Agreement contains in particular the following points:
 - a) The supervisor's approval of the concept for the doctoral research project presented in the exposé
 - b) A list of the training measures to be completed in the framework of doctoral studies in accordance with § 7 of these Regulations
 - c) A time schedule for writing the dissertation and participation in the training measures
 - d) A list of the work objectives to be achieved in the first twelve months after final acceptance as doctoral researcher

The Supervision Agreement is signed by all persons who participated in the meeting. Each of these persons receives a copy of the signed Supervision Agreement. A further copy is to be produced for the examination file. The Faculty of Arts and Humanities provides a template for the Supervision Agreement.

- (9) After final acceptance as doctoral researcher, the doctoral researcher, the supervisor and the mentor meet at least once a year to discuss work progress. Further persons may participate in this meeting. The doctoral researcher must compile a Progress Report on the topics and results of the meeting. The Progress Report describes in particular which objectives have been achieved since the Supervision Agreement or the last Progress Report was compiled and which objectives are to be pursued in the coming year. The Progress Report also documents any changes to the dissertation concept, the plan for writing the dissertation, the plan for participation in training measures or to the

time plan since the previous meeting. The Progress Report is signed by all persons who participated in the meeting. Each of these persons receives a copy of the Progress Report. The Faculty of Arts and Humanities provides a template for the Progress Report. If requested, the Progress Report must be presented at any time to the Doctoral Studies Committee.

- (10) If requested, the doctoral researcher is obliged to verify at least once a year that the data collected in the framework of his or her acceptance is correct and to advise of any changes as well as confirm the continuation or termination of the doctoral research project. Should the doctoral researcher fail to re-register within the set deadline despite a reminder, this can be considered as abandonment of the doctoral research project.
- (11) Upon justified request and in exceptional cases, the supervisory relationship can be governed differently from the provisions in (8) to (10) of this section. The decision on such a request lies with the Doctoral Studies Committee.

§ 5

Application for provisional acceptance as doctoral researcher

- (1) The application for provisional acceptance as doctoral researcher must be submitted in writing to the chairperson of the Doctoral Studies Committee of the Faculty of Arts and Humanities, stating the subject in which the doctoral degree is to be undertaken.
- (2) The application must be accompanied by the following documents:
 - a) Curriculum vitae in German or English which contains details of school and university education
 - b) Certified copies of certificates of previous school education and studies, in particular school-leaving certificate and certificates of academic examinations or state examinations
 - c) Evidence of the language skills required in accordance with Appendix 2
 - d) A declaration on whether or where and when the applicant has already been engaged in an unsuccessful attempt to earn a doctoral degree
 - e) A declaration that the applicant has acknowledged the "Rules on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University" and respects the principles set down therein
 - f) A written declaration by the designated supervisor that he or she is fundamentally willing to function as supervisor and to support the applicant in the development of his or her doctoral research project
- (3) The chairperson of the Doctoral Studies Committee refers the application to the Doctoral Studies Committee for assessment and decision and issues a certificate following referral which states whether the application for provisional acceptance has been approved or rejected. A rejection must be justified in writing and accompanied by instructions on legal remedies.
- (4) Provisional acceptance as doctoral researcher entitles the applicant to enrol as a doctoral researcher or an auditing doctoral researcher at Heinrich Heine University Düsseldorf.
- (5) With its provisional acceptance of an applicant as doctoral researcher, the Faculty of Arts and Humanities reserves the right to gather, store automatically, process and disclose to university management the doctoral researcher's personal data insofar as this is necessary in order to fulfil its tasks with regard to doctoral procedures and for statutory requirements (University Statistics Act).

§ 6

Application for final acceptance as doctoral researcher

- (1) At the latest after one year, the doctoral researcher must submit his or her application for final acceptance as doctoral researcher in writing to the chairperson of the Examining Board of the Faculty

of Arts and Humanities, stating the subject in which the doctoral degree is to be undertaken. If no application is submitted or the application is not submitted by due date, the provisional doctoral relationship expires and additionally, through de-registration, any student or auditing student relationship on which it is based. If, in accordance with § 5 of these Regulations, valid provisional acceptance as doctoral researcher exists, the documents required under c) to g) of this section need not be submitted. Instead, the certificate of provisional acceptance as doctoral researcher in accordance with § 5 (2) of these Regulations is to be submitted.

- (2) The application must be accompanied by the following documents:
 - a) The Supervision Agreement
 - b) An exposé of the doctoral research project signed by the supervisor
 - c) Curriculum vitae in German or English which contains details of school and university education
 - d) Certified copies of certificates of previous school education and studies, in particular school-leaving certificate and certificates of academic examinations or state examinations
 - e) Evidence of the language skills required in accordance with Appendix 2
 - f) A declaration on whether or where and when the applicant has already been engaged in an unsuccessful attempt to earn a doctoral degree
 - g) A declaration that the applicant has acknowledged the “Rules on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University” and respects the principles set down therein
- (3) The chairperson of the Doctoral Studies Committee refers the application to the Doctoral Studies Committee for assessment and decision and issues a certificate following referral which states whether the application for provisional acceptance has been approved or rejected. A rejection must be justified in writing and accompanied by instructions on legal remedies.
- (4) Final acceptance as doctoral researcher obligates the applicant to enrol as doctoral researcher or auditing doctoral researcher at Heinrich Heine University Düsseldorf. This obligation is upheld until the end of the doctoral procedure.
- (5) With its final acceptance of an applicant as doctoral researcher, the Faculty of Arts and Humanities reserves the right to gather, store automatically, process and disclose to university management the doctoral researcher’s personal data insofar as this is necessary in order to fulfil its tasks with regard to doctoral procedures and for statutory requirements.

§ 7

Doctoral studies

- (1) Doctoral studies centre on the supervisory relationship between the doctoral researcher and the supervisor. Its purpose is to enable the doctoral researcher to compose a scientifically noteworthy paper within the meaning of § 8 (2) of these Regulations. This presupposes a continuous and close exchange between the doctoral researcher and the supervisor, for example in supervision meetings or doctoral colloquia. It is the supervisor’s duty to arrange such opportunities. It is the doctoral researcher’s duty to avail him or herself actively of these opportunities.
- (2) Above and beyond the direct supervisory relationship, the participation by the doctoral researcher in training measures conducive to writing the dissertation or to his or her later academic qualification must be agreed in the Supervision Agreement or in the progress meetings. These can be, for example, doctoral seminars in pertinent theories or methods, academic summer or winter schools, pertinent scientific conferences, courses in project management as well as didactic and vocational training. Participation in the training measures agreed does not justify a claim for acceptance of the costs by the Faculty of Arts and Humanities.

- (3) In addition, each doctoral researcher must complete during his or her doctoral studies a course offered by the Faculty of Arts and Humanities in good scientific practice, insofar as he or she cannot produce evidence that he or she has successfully completed a comparable course elsewhere. Participation in this course must have taken place no longer than two years before the time of final acceptance as a doctoral researcher in accordance with § 6 of these Regulations. A certificate is issued for successful participation in the course on good scientific practice offered by the Faculty of Arts and Humanities. Participation in this course is open to all doctoral researchers from the point in time onwards of their provisional acceptance as doctoral researcher.
- (4) Upon justified request by the doctoral researcher and in exceptional cases, doctoral studies can be governed differently from the provisions specified in (1) to (3) of this section. The decision on such a request lies with the Doctoral Studies Committee.

§ 8 Dissertation

- (1) The theme of the dissertation must originate from one of the subjects listed in Appendix 1.
- (2) The dissertation is the written presentation of independent scientific work. It must make a contribution to advancing the state of research in the subject concerned. With the dissertation, the doctoral researcher proves his or her ability for independent research and suitable presentation of the results.
- (3) If the dissertation is wholly or partially based on collaborative work, the contribution of the doctoral researcher must comply in terms of content and scale with the requirements in accordance with (2) of this section. In addition, the doctoral researcher's specific contribution must be clearly indicated. It is not sufficient to state simple percentages.
- (4) Unpublished or already published manuscripts of which the doctoral researcher is the author or authoress and to which he or she has made a significant contribution may be reproduced in the dissertation in unchanged or adapted form, even if the manuscripts have further authors or authoresses. The reproduced or adapted parts of a manuscript must be clearly indicated in the dissertation. Each manuscript used in this way must be listed in a separate appendix to the dissertation as a full reference with all co-authors and co-authoresses and the doctoral researcher's contribution to the manuscript in terms of content must be explained in detail. The doctoral researcher's specific contribution to the manuscript must be clearly indicated.
- (5) Theses by publication are permitted, provided that the subject-specific requirements for such theses are governed in Appendix 3. They additionally require the express agreement of the supervisor. In this case, the dissertation comprises the underlying monographs and unpublished individual manuscripts as well as a comprehensive overview of the scientific correlation between the individual monographs and their thematic foci. The overview should at the same time provide an exhaustive picture of how the research work fits in the overall context of the state of research in the doctoral subject. Details of co-authorship in accordance with (4) of this section apply *mutatis mutandis*.
- (6) The dissertation must be written in German or English. Upon request, in justified exceptions and with the approval of the Doctoral Studies Committee and the persons foreseen as reviewers, it may also be submitted in Italian, French or Spanish. The decision on such a request lies with the Doctoral Studies Committee. If the dissertation is not written in German or English, an abstract in German or English on the scale of at least 20,000 characters must be included.

§ 9

Application for admission to the doctoral examination procedure

- (1) Eligible for admission to the doctoral examination procedure is an applicant who has been finally accepted as a doctoral researcher in accordance with § 6 of these Regulations, provides evidence of

participation in doctoral studies and submits a dissertation.

- (2) Upon justified request and in exceptional cases, the requirement to participate in doctoral studies can be waived if evidence is produced that the skills to be acquired in the framework of doctoral studies have been acquired in another way.
- (3) If a dissertation is submitted without prior final acceptance as doctoral researcher in accordance with § 6 of these Regulations, admission to the doctoral examination procedure can only occur if the subject area of the dissertation is sufficiently represented within the Faculty and the conditions in accordance with § 3 of these Regulations are fulfilled.
- (4) The application for admission to the doctoral examination procedure must be submitted in writing to the chairperson of the Doctoral Studies Committee. The application must be accompanied by the following documents:
 - a) Three bound or stapled copies of the dissertation. A short curriculum vitae should be appended and a copy of the dissertation in electronic form included for the purpose of screening it for plagiarism.
 - b) A signed affidavit with the following text: "I herewith declare on my honour that I have written this dissertation by myself and without inadmissible third-party assistance under consideration of the "Rules on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf."
 - c) A one-page summary (A4) of the content of the dissertation in German or English
 - d) Proof of doctoral studies and enrolment in accordance with §9 (1)
 - e) A declaration on whether printed or electronic form is preferred for the inspection of the dissertation and its reviews in accordance with § 13 (2) of these Regulations
 - f) A declaration on whether the oral defence should be held in German or English
 - g) If applicable, a justified request for excluding Faculty members or listeners from the oral defence.
 - h) If applicable, evidence that the conditions specified in § 3 (2) of these Regulations have been fulfilled
 - i) If applicable, the written declarations by the supervisor in accordance with § 8 (3), (4) or (5) of these Regulations.

If admission to the doctoral procedure is intended to take place in accordance with (3) of this section, the following documents must additionally be included:

- j) Curriculum vitae in German or English which contains details of school and university education
- k) Certified copies of certificates of previous school education and studies, in particular school-leaving certificate and certificates of academic examinations or state examinations
- l) Evidence of the language skills required in accordance with Appendix 2
- m) A declaration on whether or where and when the applicant has already been engaged in an unsuccessful attempt to earn a doctoral degree

§ 10

Admission procedure

- (1) The chairperson of the Doctoral Studies Committee refers the application submitted for admission to the doctoral examination procedure in accordance with § 9 of these Regulations to the Doctoral Studies Committee for assessment and decision. Admission must be rejected if the conditions in § 9 (1) or § 9 (2) and (3) of these Regulations are not met or documents in accordance with § 9 (4) are

not submitted or not submitted in full. After consultation, the chairperson of the Doctoral Studies Committee issues a certificate of admission or rejection. A rejection must be justified in writing and accompanied by instructions on legal remedies.

- (2) Once admission has been approved, the chairperson of the Doctoral Studies Committee assigns a first reviewer and a second reviewer for the dissertation. The doctoral researcher's supervisor ought to be assigned as first reviewer. The doctoral researcher's mentor can be assigned as second reviewer. If this is not possible or should important reasons speak against it, the provisions in § 4 (1) to (4) apply *mutatis mutandis*. The doctoral researcher has the right to propose reviewers.
- (3) As far as possible, the reviews are to be submitted within three months after the assignment of the reviewers. The chairperson of the Doctoral Studies Committee oversees that the deadline is observed. If the deadline is exceeded, he or she has the right, having examined the reasons and in a proportionate manner, to allow extensions of the deadline or assign replacement reviewers.

§ 11

Withdrawal from the doctoral examination procedure

Provided that no written review of the dissertation has been submitted to the Doctoral Studies Committee, the doctoral researcher may withdraw from the doctoral examination procedure by submitting a written declaration to the chairperson of the Doctoral Studies Committee. The attempt to earn a doctoral degree is then deemed not to have been undertaken. The dissertation submitted remains on file at the Faculty of Arts and Humanities.

§ 12

Review of the dissertation

- (1) The reviewers each deliver a written review of the dissertation. In this review:
 - a) They propose whether the dissertation is to be accepted or rejected
 - b) They declare whether the dissertation in the form presented is ready for printing or still requires editing or content changes and they grade the dissertation.
 - c) The possible grading levels are:
 - 0.0 "*summa cum laude*" (With Distinction)
 - 1.0 "*magna cum laude*" (Very Good)
 - 2.0 "*cum laude*" (Good)
 - 3.0 "*rite*" (Satisfactory)
- (2) The dissertation and the two reviews are made available for inspection in the Dean's Office of the Faculty of Arts and Humanities or in electronic form. The inspection period is at least two weeks, of which at least seven days must lie in the lecture period. During this period, the university lecturers at the Faculty of Arts and Humanities have the right to inspect the dissertation and the reviews and to deliver their own opinion.
- (3) The dissertation is accepted when both reviewers declare themselves in favour of its acceptance and no objection is forthcoming from the circle of university lecturers at the Faculty of Arts and Humanities.
- (4) The dissertation is rejected if the votes of all the reviews are negative and no objection to this is forthcoming from the circle of university lecturers. The doctoral procedure is deemed unsuccessful. The chairperson of the Doctoral Studies Committee notifies the doctoral researcher immediately and in writing that his or her dissertation has been rejected and the reasons for its rejection. Notification of the dissertation's rejection must be accompanied by instructions on legal remedies.
- (5) If there is a difference of opinion between the reviewers regarding the acceptance of the dissertation, the chairperson of the Doctoral Studies Committee must extend the inspection period by a further two weeks. In addition, the Doctoral Studies Committee must assign a third reviewer. After submission of

the third review, the Doctoral Studies Committee decides whether the dissertation is accepted and, in the case that it is accepted, on its grade. The main reasons for the decision must be recorded. If the dissertation is rejected, the doctoral procedure is deemed unsuccessful. The chairperson of the Doctoral Studies Committee notifies the doctoral researcher immediately and in writing that his or her dissertation has been rejected and the reasons for its rejection. Notification of the dissertation's rejection must be accompanied by instructions on legal remedies.

- (6) If the grades awarded by the reviewers differ, the Doctoral Studies Committee must assign a third reviewer. After submission of the third review, the Doctoral Studies Committee decides on the basis of all the reviews on the grade for the dissertation. The main reasons for the decision must be recorded.
- (7) If an objection is forthcoming from the circle of university lecturers at the Faculty of Arts and Humanities within one week after the end of the inspection period, the chairperson of the Doctoral Studies Committee must, upon request, extend the inspection period by a further two weeks. In addition, the university lecturers who have raised the objection must be given the opportunity to comment before the Doctoral Studies Committee. The Doctoral Studies Committee then decides whether to assign a third reviewer. If no third review is requested, the Doctoral Studies Committee decides immediately on the acceptance of the dissertation and, in the case that it is accepted, on its grade. The main reasons for the decision must be recorded. If a third review is requested and after this review has been submitted, the Doctoral Studies Committee decides on the basis of all the reviews on the acceptance of the dissertation and, in the case that it is accepted, on its grade. The main reasons for the decision must be recorded. If the dissertation is rejected, the doctoral procedure is deemed unsuccessful. The chairperson of the Doctoral Studies Committee notifies the doctoral researcher immediately and in writing that his or her dissertation has been rejected and the reasons for its rejection. Notification of the dissertation's rejection must be accompanied by instructions on legal remedies.
- (8) If the dissertation is accepted, the grade for the dissertation is set on the basis of the reviewers' recommendations. For the awarding of the grade of "*summa cum laude*", all reviewers must award the grade of "*summa cum laude*".

§ 13

Oral defence

- (1) If the dissertation is accepted, the Doctoral Studies Committee appoints an Examining Board to conduct the oral defence. The Examining Board comprises five university lecturers: in addition to the chairperson of the Examining Board as a rule the reviewers of the dissertation and up to two persons from the circle of university lecturers at the Faculty of Arts and Humanities in accordance with § 4 (1) and (2) of these Regulations. The doctoral researcher has the right to propose Examining Board members. Where possible, the chairperson of the Doctoral Studies Committee should chair the Examining Board. At least one member of the Examining Board should represent a subject in teaching other than the one of the doctoral degree in question.
- (2) In accordance with the declaration by the doctoral researcher in accordance with § 9 (4) f) of these Regulations, the oral defence is held in German or English. Parts of the oral defence may also be held in another language insofar as this is relevant for the theme.
- (3) The oral defence must be conducted at the latest six months following notification that the dissertation has been accepted. Where possible, it should take place during the lecture period. The chairperson of the Doctoral Studies Committee sets the time and date for the oral defence in agreement with the Examining Board and the doctoral researcher. Insofar as there are substantial reasons, the chairperson of the Doctoral Studies Committee may extend the deadline by which the oral defence

must have been conducted.

- (4) The Examining Board and the doctoral researcher are notified 14 days beforehand and in writing of the time and date for the oral defence; it is announced at the same time on the notice board of the Dean's Office.
- (5) Apart from the members of the Examining Board, the professors, university lecturers with a post-doctoral degree (habilitation) and post-doctoral academic staff of the Faculty of Arts and Humanities are eligible to participate. Doctoral researchers are allowed to listen. The right to attend as Faculty member or listener does not extend to the consultation on and grading of the oral defence by the Examining Board. The chairperson of the Examining Board may exclude Faculty members and listeners in part or in whole from the oral defence if their conduct disturbs the course of the oral defence. They are also excluded if the doctoral researcher has submitted a corresponding request in accordance with § 9 (4) g) of these Regulations and the Doctoral Studies Committee has approved this request.
- (6) The oral defence lasts a minimum of 60 minutes and a maximum of 90 minutes. It takes the form of a colloquium, during which the dissertation is defended. The doctoral researcher opens the oral defence with a lecture lasting a maximum of 20 minutes, in which he or she presents the contents of his or her dissertation in the form of hypotheses. The ensuing debate must also make reference to further selected problems in the subject area which go beyond the actual topic of the dissertation. All members of the Examining Board are entitled to ask questions.
- (7) Immediately after the end of the oral defence, the Examining Board decides in closed session on the grade for the oral defence. It sets a grade in accordance with § 12 (1) c). An oral defence which has not been passed is graded as "*insufficenter*" (Insufficient). The chairperson of the Examining Board must inform the doctoral researcher immediately and orally that he or she has failed the oral defence.
- (8) A member of the Examining Board must record a transcript of the oral defence. It contains:
 - a) The name of the doctoral researcher
 - b) The names of the Examining Board members
 - c) The main contents of the discussion
 - d) The grade for the oral defence and – provided the oral defence has been awarded the grade of "*rite*" or higher – the overall grade for the doctoral degree
 - e) The date of the oral defence
 - f) The signature of the person who recorded the transcript and of the chairperson of the Examining Board
- (9) An oral defence graded as "*insufficenter*" may be repeated once within 6 months. If the doctoral researcher does not avail him or herself of this possibility or if this oral defence is also graded as "*insufficenter*", the doctoral procedure is deemed unsuccessful. The chairperson of the Doctoral Studies Committee notifies the doctoral researcher immediately and in writing of this decision and of the reasons. This notification must be accompanied by instructions on legal remedies.
- (10) The oral defence is deemed not to have been passed if the doctoral researcher fails to appear for the examination without being excused.

§ 14

Assessment of doctoral examination achievements

- (1) The doctoral examination achievements must be awarded a final grade in accordance with the grading levels in § 12 (1) c) of these Regulations. The final grade is made up of the grade for the dissertation in accordance with § 12 (1) c) and the grade for the oral defence in accordance with § 13 (7) of these Regulations. The grade of "*summa cum laude*" can only be awarded as the final grade if all reviewers awarded the grade of "*summa cum laude*" for the dissertation and the oral defence was also awarded

the grade of “*summa cum laude*”. When calculating the final grade, the following numerical values apply for the grading levels:

<i>summa cum laude</i>	= 0.0
<i>magna cum laude</i>	= 1.0
<i>cum laude</i>	= 2.0
<i>rite</i>	= 3.0

The final grade is then:

For a numerical value of 0.0: *summa cum laude*

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

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

For a numerical value above 2.5 and up to 3.0: *rite*

- (2) Immediately after deciding the grade for the oral defence, the chairperson of the Examining Board sets the final grade for the doctoral degree. The final grade is calculated as the weighted arithmetic average of the grade for the dissertation and the grade for the oral defence. The grade for the dissertation counts double. Immediately after the Examining Board’s consultation on the oral defence, the chairperson of the Examining Board informs the doctoral researcher orally of the grade for the dissertation, the grade for the oral defence and the overall grade.
- (3) The chairperson of the Doctoral Studies Committee notifies the doctoral researcher in writing of the grade for the dissertation, the grade for the oral defence and the overall grade.
- (4) After the end of the doctoral examination procedure, the doctoral researcher is allowed to inspect the files, including the reviews.

§ 15

Publication of the dissertation

- (1) The dissertation must be printed or reproduced as an independent treatise in a scientific journal or periodical or as an electronic version.
- (2) Where possible, the dissertation should be published in full. The version intended for publication must be approved by the first reviewer. Changes to content and abridgements which exceed the correction of minor details require the written consent of the first reviewer and must be reported to the chairperson of the Doctoral Studies Committee. If no agreement can be reached between the first reviewer and the doctoral researcher, the Doctoral Studies Committee decides.
- (3) Publication costs must be borne by the doctoral researcher.
- (4) As part of his or her doctoral examination achievements, the doctoral researcher is obliged to make the version of his or her dissertation approved by the first reviewer or the Doctoral Studies Committee accessible in a suitable manner to the scientific community. The dissertation is deemed to have been made accessible to the scientific community in a suitable manner if the doctoral researcher makes available to the Faculty of Arts and Humanities a deposit copy for the examination file that is printed on wood-free, acid-free and age-resistant paper and also fulfils one of the conditions for circulation listed below under a) to c):
 - a) Evidence of distribution via the book trade by a commercial publisher with a minimum print run of 40 copies, of which three deposit copies must be submitted to the University Library
 - b) Distribution via the book trade as an online publication, together with two print copies for the University Library in the same shape and form as the deposit copy for the examination file
 - c) Delivery of an electronic version including an abstract in German and English with a maximum of 1,500 characters, the data format and data medium of which are to be agreed with the University Library, together with two printed copies for the University Library in the same shape and form as the deposit copy for the examination file.

In the case that c) of this section is chosen, the doctoral researcher transfers to the University

Library the right to produce and process copies of the dissertation and to make these available in the internet or other data networks (including conversion to other data formats). The German National Library in Frankfurt /Leipzig and all other libraries at home and abroad that are accessible to the public are permitted to store the dissertation on their servers and make it available for use. In the case that c) of this section is chosen, the doctoral researcher also grants the University the right, in the framework of the statutory duties of higher education libraries, to produce and disseminate further copies of his or her dissertation and/or make these available in data networks.

- (5) Insofar as the title of the dissertation in the publication version has been changed, the title under which the dissertation was submitted to the Faculty must appear on the reverse of the title page in the deposit copies.
- (6) If the dissertation is published in book form, the reference "D61" must appear on the reverse of its title page. If it is published in electronic form, the dissertation must include the reference "D61" on the first page after the title page. This denotes that the dissertation originates from Heinrich Heine University Düsseldorf.
- (7) The required deposit copies must be delivered within three years after the oral defence. The chairperson of the Doctoral Studies Committee may extend this deadline twice for a period of one year each in exceptional cases and upon justified request from the doctoral researcher. The request must be submitted at least three months prior to the deadline. If the doctoral researcher fails to respect the deadline due to his or her own fault, all rights acquired through the examination expire. The chairperson of the Doctoral Studies Committee must notify the doctoral researcher of this in writing at the latest when the deadline for the submission of the deposit copies expires. At the same time and together with this notification, he or she is to be granted an extension of six months within which to produce the required deposit copies.

§ 16

Doctoral degree certificate

After delivery of the deposit copies, the doctoral degree certificate is issued with the date of the oral defence. Only after the doctoral degree certificate has been handed or sent to the doctoral researcher is he or she entitled to bear the Doctor title.

§ 17

Honorary doctoral degrees

By virtue of outstanding scientific achievements or special services to science, the Faculty of Arts and Humanities may confer honorary doctoral degrees (Dr. phil. h.c.) in accordance with § 1 (2) of these Regulations. A corresponding proposal must be put forward by two university lecturers at the Faculty of Arts and Humanities. It must be approved by at least four fifths of all persons with voting rights; all full-time university lecturers and post-doctoral representatives of the academic staff in the Faculty Council are eligible to vote.

§ 18

Invalidity of doctoral examination achievements

- (1) The dissertation or the oral defence can be declared partly or wholly invalid should it emerge before or after the doctoral degree certificate has been handed or sent to the doctoral researcher that:
 1. The doctoral researcher is culpable in the framework of his or her admission to the doctoral

procedure of deception, threat or bribery.

2. Important requirements for the doctoral degree have erroneously been regarded as given.
 3. The doctoral researcher has not produced the required deposit copies of the dissertation in accordance with § 15 (7) of these Regulations.
- (2) The decision on the invalidity of doctoral examination achievements lies with the Faculty Council of the Faculty of Arts and Humanities following consultation by the Doctoral Studies Committee. The Dean must give the doctoral researcher concerned the opportunity to comment in writing before the decision is made.

§ 19

Withdrawal or revocation of the doctoral degree

The decision on the withdrawal or revocation of the doctoral degree under consideration of North Rhine-Westphalia's Administrative Procedure Act is the responsibility of the Faculty Council of the Faculty of Arts and Humanities. The same applies for honorary doctoral degrees (§ 17).

§ 20

Binational doctoral degrees

The requirements concerning the doctoral procedure and its contents as a consequence of these Regulations also apply for binational doctoral degrees. In the cooperation agreement to be concluded separately for each doctoral researcher on a joint doctoral examination procedure between Heinrich Heine University Düsseldorf and a foreign university, exceptions can be made in isolated cases, insofar as this is necessary for the special procedure in a binational doctoral degree. All exceptions require the approval of the Doctoral Studies Committee of the Faculty of Arts and Humanities.

§ 21

Transitional provisions

- (1) These Doctoral Regulations do not apply for persons who until the day prior to their entry into force
 - a) have applied for provisional acceptance as a doctoral researcher in accordance with § 5 of the Doctoral Regulations of the Faculty of Arts and Humanities of 04.07.2000 as last amended on 10.10.2014 and apply for admission to the doctoral examination procedure up until 01.04.2022 in accordance with § 10 of those Regulations;
 - b) have applied for final acceptance as a doctoral researcher in accordance with § 6 of the Doctoral Regulations of the Faculty of Arts and Humanities of 04.07.2000 as last amended on 10.10.2014 and apply for admission to the doctoral examination procedure up until 01.04.2022 in accordance with § 10 of those Regulations;
 - c) have already applied for admission to the doctoral examination procedure in accordance with § 10 of the Doctoral Regulations of the Faculty of Arts and Humanities of 04.07.2000 as last amended on 10.10.2014.
- (2) Upon request and before applying for admission to the doctoral examination procedure, the persons listed in (1) a) and b) of this section may change to these new Doctoral Regulations now entering into force.
- (3) The persons listed in (1) a) and b) of this section may only change to these new Doctoral Regulations now entering into force by declaring their withdrawal from the doctoral examination procedure in accordance with § 12 of the Doctoral Regulations of the Faculty of Arts and Humanities of 04.07.2000 as last amended on 10.10.2014.

§ 22
Entry into force and scope

These Doctoral Regulations enter into force on the day following their publication in the Official Bulletin of Heinrich Heine University Düsseldorf. They are valid for all applicants who apply for provisional or final acceptance as doctoral researcher from the first day onwards of their entry into force.

Issued on the basis of the resolutions of the Faculty Council of the Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf of 23.05.2017 and 04.10.2017.

Düsseldorf, 16.10.2017

The President of Heinrich Heine University Düsseldorf

Professor Anja Steinbeck

Appendix 1

Dissertation and oral defence subjects

The following subjects can be chosen as the doctoral subject for the dissertation and the oral defence:

1. General Philology
2. English Studies
3. Educational Science – as long as this is still offered at Heinrich Heine University
4. German Studies
5. History
6. Greek Philology
7. Information Science - as long as this is still offered at Heinrich Heine University
8. Yiddish Culture, Language and Literature/Yiddish Studies
9. Jewish Studies
10. Art History
11. Latin Philology
12. Media and Culture Studies
13. Communication and Media Studies
14. Japanese Studies
15. Philosophy
16. Political Science
17. Romance Languages and Literatures
18. Sociology

Appendix 2

Special requirements

(a) History (doctoral subject: Ancient History):

1. Sufficient knowledge of Latin (*Latinum*)
2. Sufficient knowledge of Greek (*Graecum*)

(b) History (doctoral subject: History of the Middle Ages):

Sufficient knowledge of Latin (*Latinum*)

(c) History (doctoral subject: Modern and Contemporary History including Regional History):

1. Sufficient knowledge of English
2. Sufficient knowledge of a further foreign language

(d) History (doctoral subject: Eastern European History):

1. Sufficient knowledge of English
2. Sufficient knowledge of at least one Eastern European language

(e) Greek Philology as doctoral subject:

1. Sufficient knowledge of Greek (*Graecum*)
2. Sufficient knowledge of Latin (*Latinum*)

(f) Latin Philology as doctoral subject:

1. Sufficient knowledge of Latin (*Latinum*)
2. Sufficient knowledge of Greek (*Graecum*)

(g) Yiddish Culture, Language and Literature/Yiddish Studies as doctoral subject:

1. Sufficient knowledge of the Yiddish language
2. Sufficient knowledge of the Hebrew language (the *Hebraicum* is not sufficient, as it only covers biblical Hebrew)

(h) Jewish Studies as doctoral subject:

Sufficient knowledge of three foreign languages (preferably including knowledge of Latin)

(i) Art History as doctoral subject:

Sufficient knowledge of three foreign languages (preferably including knowledge of Latin)

(j) Romance Languages and Literatures as doctoral subject: Sufficient knowledge of at least two Romance languages as well as basic knowledge of Latin

Appendix 3

Subject-specific requirements for theses by publication

(1) General Philology:

- a) The thesis by publication comprises an introduction, the respective publications, a concluding discussion and a bibliography of the literature cited in the introduction and the discussion. The introduction should include a condensed description of the current state of research and theory formation in the field in which the doctoral researcher's own research work is located and show clearly how his or her own work is thematically integrated in the respective field of research. The discussion must bring together the individual results of the publications and explain them in relation to the state of research to date.
- b) The thesis by publication must contain a sufficient number of published or publication-ready scientific monographs.
- c) At least two of the monographs must already have been published or accepted for publication by a journal or anthology or in conference proceedings (in each case peer-reviewed).
- d) At least two of the monographs must name the candidate as first author/first authoress or single author/single authoress.

(2) English Studies (doctoral subject: English Philology)

- a) The thesis by publication comprises an introduction, the respective publications, a concluding discussion and references (literature cited, appendices etc.).
- b) A thesis by publication is based on at least three publications, which have been or will be published in journals and/or conference proceedings pertinent to the respective subject. At least one of these publications must already have been accepted by the respective medium, two further publications must at least have been submitted for publication.
- c) Taken into account in this context are only original publications or meta-analyses. Reviews are not possible or can at most be included as additional publications.
- d) Publications can have been produced in co-authorship. In this case, the candidate must submit a statement in which he or she describes in detail his or her own contribution to the publications' concepts, contents or methods.

(3) Information Science:

- a) The candidate must present a sufficient number of published or publication-ready scientific monographs.
- b) At least two of the monographs must already have been published or accepted for publication by a journal or anthology or in conference proceedings (in each case peer-reviewed).
- c) At least two of the monographs must name the candidate as first author/first authoress or single author/single authoress.

(4) Communication and Media Studies

- a) The candidate must present at least four published or publication-ready scientific monographs.
- b) At least two of the monographs must have been published or accepted for publication, of which at least one in a peer-reviewed journal.
- c) The other monographs must have been submitted to a journal or anthology.
- d) At least one of the monographs must be a single-author monograph. At least two further monographs must be first-author monographs. At least three of the monographs must have been produced without a reviewer's authorship.
- e) At least one of the reviewers may not be a co-author or co-authoress of the monographs.

(5) Sociology:

- a) The candidate must present a sufficient number of published or publication-ready scientific monographs.
- b) At least two of the monographs must have been published in or submitted to a peer-reviewed journal or anthology.
- c) At least one of the monographs must already have been published or accepted for publication.
- d) At least two of the monographs must be single-author monographs.
- e) The reviewers of the dissertation should not be co-authors or co-authoresses of the monographs.