

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

**Doctoral Degree Regulations
of the Faculty of Arts and Humanities
of Heinrich Heine University Düsseldorf
of 04.07.2000 ¹**

Pursuant to § 2 Paragraph 4 and § 97 Paragraph 4 of the Law on the Universities in the Federal State of North Rhine-Westphalia (NRW University Act) of 14.03.2000 (NRW Gazette of Laws and Ordinances, P. 190), Heinrich Heine University Düsseldorf has issued the following Doctoral Degree Regulations:

Incorporated into this version are the amendments of 29.03.2004, 02.07.2006, 10.01.2008, 08.03.2011, 25.07.14 and 10.10.14 adopted by Heinrich Heine University Düsseldorf pursuant to § 2 Paragraph 4 and § 97 Paragraph 4 of the Law on the Universities in the Federal State of North Rhine-Westphalia (NRW University Act) of 14.03.2000 (NRW Gazette of Laws and Ordinances, P. 190).

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¹ *Text passages in italics are editorial additions which are not contained in the official wording.*

§1 Principles

(1) The Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf confers the academic grade of “Doctor of Philosophy (Dr. phil.)” on the basis of a scientifically noteworthy paper on a topic within the scope of the Faculty of Arts and Humanities (dissertation) and an oral doctoral achievement (oral defence or viva voce). Alternatively, the title of “Doctor of Philosophy (Ph.D.)” may be conferred at the request of the doctoral researcher. The examination subjects are listed in Appendices 1 and 2.

(2) By virtue of excellent scientific achievement or special services to science, the title of “Honorary Doctor of Philosophy (Dr. phil. h.c.)” may be conferred.

§2 Scientific supervision of the doctoral researcher

(1) The supervision of doctoral studies is the responsibility of a university lecturer from the Faculty of Arts and Humanities. The doctoral researcher receives written confirmation of the supervisory relationship from the supervisor. The supervisory relationship should be reviewed by the supervisor after a commensurate period of time.

(2) University teachers at the Faculty of Arts and Humanities are the full-time professors at the Faculty (also after their dispensation or retirement), professorial candidates at the Faculty as well as junior professors engaged at the Faculty.

(3) Upon justified application and in exceptional cases, persons other than those named in Paragraphs 1 and 2 may be assigned as doctoral supervisors. Only such persons may be assigned as a doctoral supervisor who themselves hold a doctorate or are professorial candidates in the doctoral subject or who represent the doctoral subject in teaching. The decision on the application lies with the Doctoral Commission.

§3 Conditions for acceptance as doctoral researcher

(1) Eligible for acceptance as a doctoral researcher is a person who provides evidence of:

- a) a qualification following completion of a relevant university study programme in one of the doctoral subjects listed in Appendix 1 or 2, generally with the overall grade of at least “Good” (2.5) and with a regular study duration of at least eight semesters and for which a grade other than

“Bachelor” was conferred or

- b) a qualification following completion of a relevant university study programme in one of the doctoral subjects listed in Appendix 1 or 2, generally with the overall grade of at least “Good” (2.5) and with a regular study duration of at least six semesters and subsequent and appropriate studies in the doctoral subjects in preparation of the doctorate or
- c) a completed *Magister* study programme in accordance with § 85 Paragraph 3 Sentence 2 of the University Act in a discipline in accordance with one of the doctoral subjects listed in Appendix 1 and 2, generally with the overall grade of at least “Good” (2.5) or a supplementary study programme completed at a scientific higher education institution in the Federal Republic of Germany in accordance with § 88 Paragraph 2 of the University Act, generally with the overall grade of at least “Good” (2.5) or

who holds

- d) an academic qualification attained outside Germany in a subject relevant to one of the doctoral subjects listed in Appendix 1 or 2, generally with the overall grade of at least “Good” (2.5) and which is equivalent to one of the exceptional conditions under a) and has applied for its recognition. Whether the qualification is equivalent is decided by the Doctoral Commission, generally in consultation with the Central Office for Foreign Education,

and has sufficient knowledge of the German or English language.

(2) If the doctoral subject is not identical to the main subject previously studied and in which the qualification entitling admission in accordance with Paragraph 1, a) or b) was attained, can evidence in accordance with Paragraph 1, a) to d) of only a qualification other than a qualification corresponding to the doctoral subjects listed in Appendix 1 or 2 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 Commission if his or her previous education is found to be of sufficient relevance, quality and breadth in the intended doctoral subject. This assessment is undertaken by the Doctoral Commission on the basis of a thorough evaluation of the applicant’s academic achievements by the supervisor of the dissertation (§ 2 Paragraph 1 and 2).

§4 Doctoral Commission

(1) For decisions regarding acceptance of applicants as doctoral researchers in accordance with § 5 and 6 and for implementation of the doctoral examination procedure, the Faculty Council of the Faculty of Arts and Humanities appoints a Doctoral Commission.

(2) The Doctoral Commission comprises the Dean or Vice-Dean as chairperson, three members from the group of professors, two members from amongst the scientific staff and one member from the student body. Deputies are elected for all members of the Doctoral Commission with the exception of the chairperson. The term of office of the members of the Doctoral Commission is three years. Re-election is possible.

(3) The chairperson manages the Commission's everyday business and chairs its meetings. It is the chairperson's responsibility to ensure that minutes of Doctoral Commission meetings are kept and that these clearly indicate consultation topics and results.

(4) The Doctoral Commission is quorate if, in addition to the chairperson, two representatives from the group of professors and at least one representative from amongst the scientific staff are present. The Doctoral Commission reaches its decisions by simple majority vote by the members present. In the event of a tie, the chairperson casts the deciding vote.

(5) Meetings of the Doctoral Commission are closed sessions. Members of the Doctoral Commission and their deputies are obliged to respect official secrecy.

(6) The Doctoral Commission's tasks are as follows:

1. Decisions on studies in preparation of the doctorate in the case of § 3 Paragraph 1 b),
2. Decisions on applications for acceptance as doctoral researcher in accordance with § 5 and 6,
3. Decisions on admission to the doctoral examination procedure in accordance with § 10,
4. Nomination of reviewers for the dissertation in accordance with § 11 Paragraph 2,
5. Appointment of members of the examination panel in accordance with § 15 Paragraph 1 and assignment of the examiners in accordance with § 16 Paragraph 1,
6. Grading of the dissertation in accordance with § 13 Paragraph 6.

(7) The doctoral researcher must be notified in writing by the chairperson of decisions by the Doctoral Commission. In the case of a negative decision, such notification must be accompanied by instructions on legal recourse.

§ 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 Commission of the Faculty of Arts and Humanities.

(2) The application must be accompanied by the following documents:

1. Curriculum vitae in German or English which contains details of school and university education.
2. Certified copies of certificates of previous school education and studies, in particular school-leaving certificate and certificates of academic examinations or state examinations.
3. Evidence of the language skills required in accordance with Appendix 3.
4. A declaration on whether or where and when the applicant has already been involved in an unsuccessful doctoral examination procedure.
5. A written declaration by the supervisor in accordance with § 2 Paragraph 1 on whether he or she is willing to support the doctoral researcher in the development of his or her dissertation project.

(3) The chairperson of the Doctoral Commission issues a certificate which states whether the application for provisional acceptance has been approved or rejected.

(4) An application for final acceptance as doctoral researcher must be submitted at the latest after one year. If no application is submitted or the application is not submitted by due date, the provisional doctoral relationship expires as well as (through de-registration) any student relationship on which it is based.

(5) If, together with the application for provisional acceptance as doctoral researcher, an application is submitted at the same time for admission to a special doctoral study programme, then the Study Regulations of such a special doctoral study programme may foresee particular provisions regarding admission conditions, closing dates and procedures concerning the evaluation of the doctoral project. These study regulations may in particular foresee rules regarding under which conditions and in accordance with which evaluation procedures doctoral researchers without previous project development semester(s) can finally be accepted for doctoral studies.

(6) With respect to doctoral studies, the following personal data is gathered, automatically stored and processed by the Dean's Office of Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf in order to fulfil statutory duties as well as for the purpose of planning at the University with regard to doctoral examination procedures in accordance with § 3 Paragraph 1 Sentence 1 and 2 of the University Statistics Act of 02.11.1990:

- a) Personal data (title, name, birth name, place of birth, nationality, ID card, enrolment number, email address, telephone number)
- b) Details of education to date (study subject, type and place of final examinations, duration of studies)
- c) Information about the dissertation (doctoral subject, topic, supervisor, mentor)

Data is transmitted at regular intervals to the Federal State Office for Data Administration and Statistics in

relation to the data collection characteristics of the University Statistics Act of 02.11.1990 as well as to the Statistics Department of Heinrich Heine University Düsseldorf's Central Administration Department for the purpose of producing university statistics.

§ 6

Application for final acceptance as doctoral researcher

(1) The application for final acceptance as doctoral researcher must be submitted in writing to the chairperson of the Doctoral Commission of the Faculty of Arts and Humanities.

(2) The application must be accompanied by the following documents:

1. Certificate of provisional acceptance.
2. A 3-5 page exposé in German or English which has been discussed with the supervisor and signed by the supervisor.
3. In the case that the dissertation will not be written in German or English, the doctoral researcher must furnish special justification for this, on the basis of which the Doctoral Commission may make an exception in agreement with the supervisor.

(3) If, together with the application for final acceptance as doctoral researcher, an application is submitted at the same time for admission to a special doctoral study programme, then the Study Regulations of such a special doctoral study programme may foresee particular provisions regarding admission conditions, closing dates and procedures for admission. The study regulations of these special doctoral study programmes should include rules regarding under which conditions and with which procedure admission to these study programmes takes place and a justified recommendation from the Admission Commission of the respective study programme for final acceptance as doctoral researcher is issued.

(4) If the study regulations of special doctoral programmes foresee their own admission and evaluation procedure for final admission to the study programme and in particular the issue of a justified recommendation for final acceptance as doctoral researcher, then the Doctoral Commission should generally comply with the recommendation issued by the commission responsible for the special study programme, insofar as all other formal conditions are fulfilled.

(5) The chairperson of the Doctoral Commission issues a certificate of final acceptance. A rejection must be justified in writing and accompanied by instructions on legal recourse.

§ 7

Doctoral studies

(1) Doctoral studies centre on the supervisory relationship between the university teacher and the doctoral researcher. In addition, the doctoral researcher must

comply with the rules described in § 7 Paragraph 2 to 4, which take the doctoral studies beyond the actual supervision as far as the topic is concerned. These rules are binding. Any exceptions (e.g. due to obstacles related to a researcher's employment situation) are decided by the Doctoral Commission.

2) Doctoral studies should give the doctoral researcher the opportunity to discuss theoretical and methodical issues in his or her scientific field at an advanced level, facilitate scientific exchange between the doctoral researchers in a specific discipline and neighbouring subjects as well as serve as a forum for doctoral researchers and the teaching staff for a mutual exchange of information on current research topics and results. In addition, doctoral studies should train researchers' ability to communicate specialized material, to provide assistance should any difficulties arise and stimulate the formation of short or longer term partnerships between doctoral researchers in one or several subjects within the same subject group. In special doctoral study programmes (insofar as these are offered), doctoral researchers consolidate their scientific knowledge and abilities in focused and specialized thematic areas and participate in joint research projects and discussions.

(3) Participation in doctoral studies is open to all doctoral researchers from their provisional acceptance as doctoral researchers onwards. For participation in special doctoral study programmes, special admission conditions and procedures may apply. These are governed in detail by the study regulations of these study programmes.

(4) Doctoral studies comprise two doctoral seminars in the area of theory and methods and the doctoral colloquium, in which the doctoral projects are presented and discussed. The doctoral seminars and doctoral colloquia are made available to the doctoral researchers by representatives of the specific subject or subject groups in which several neighbouring subjects are pooled. In addition to the subject groups, interdisciplinary thematic groups may be established, e.g. to form Research Training Groups or other structured cross-faculty research groups. Doctoral studies may be undertaken either within a subject group or within a thematic group. If doctoral studies are undertaken in a special doctoral study programme, the scale and type of the study achievements to be attained must comply with the study regulations of the particular doctoral study programme.

(5) Participation in a doctoral seminar can be substituted by participation in a scientific conference or special course, the topics of which are within the horizon of the dissertation project, but without this option having to be identical to the theme of the dissertation.

(6) Evidence of participation in accordance with § 7 Paragraph 4 and 5 must be submitted together with the dissertation.

§ 8

Doctoral study programmes

By resolution of the Faculty Council, special doctoral study programmes may be established in individual subjects, subject groups or thematic groups. The introduction of these study programmes takes place in accordance with the general rules applicable for all study programmes. The study rules of these study programmes may foresee special regulations concerning scope of studies and admission procedures, which complement or substitute the rules in these Doctoral Degree Regulations.

§ 9

Dissertation

(1) The topic of the dissertation must stem 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 research status in the subject concerned. With the dissertation, the author or authoress proves his or her ability for independent research and commensurate presentation of the results.

(3) If the dissertation is wholly or partially based on collaborative work, the individual achievement of the doctoral researcher must be clearly recognizable. His or her contribution must comply in terms of content and scale with the requirements in accordance with Paragraph 2.

(4) The doctoral researcher may choose whether the dissertation is composed in German or English.

§ 10

Application for admission to the doctoral examination procedure

(1) Eligible for admission to the doctoral examination procedure is a person who has been accepted as a doctoral researcher in accordance with § 6, has been enrolled for a minimum of two semesters at Heinrich Heine University Düsseldorf, provides evidence of participation in doctoral studies or completion of a doctoral study programme and submits a dissertation. In justified cases, a certificate of exemption regarding the requirements of enrolment and participation in doctoral studies may be issued, if evidence is provided that the abilities to be acquired in the framework of doctoral studies have been acquired in another way.

(2) If a dissertation is submitted without prior acceptance as doctoral researcher in accordance with § 6, admission to the doctoral examination procedure may only occur if the subject area of the dissertation is sufficiently represented within the Faculty and the conditions in accordance with § 3 are fulfilled.

(3) The application for admission to the doctoral examination procedure must be submitted in writing to the chairperson of the Doctoral Commission.

The application must be accompanied by the following

documents:

1. 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.

2. The following affidavit by the doctoral researcher in German or English:

“I herewith declare that I have composed the manuscript submitted here by myself and without using any means other than those stated and that I have clearly indicated as such all ideas from third-party sources adopted either directly or indirectly and that the manuscript has not previously been presented in the same or a similar form to any examining authority nor has it yet been published. Previously published parts are marked as such in the manuscript.”

(Place, date) (Signature).

3. A one-page summary of the content of the dissertation; the chairperson of the Doctoral Commission specifies the number of copies of the summary.

4. A Police Clearance Certificate which is not older than six months.

5. Certified copies of the General Higher Education Entrance Qualification or an equivalent certificate and records of academic examinations or state examinations.

6. Detailed curriculum vitae.

7. Proof of enrolment in accordance with Paragraph 1.

8. Certificate of participation in a doctoral colloquium as well as two doctoral seminars in the area of theory and methods.

9. A declaration regarding which form of oral examination the doctoral researcher has chosen; if viva voce is chosen as the form of oral examination, nomination of preferred examiner in the second main subject or examiners in the two minor subjects.

10. Evidence of any additional study achievements to be attained in accordance with § 3 Paragraph 2.

11. Evidence of special requirements in accordance with Appendix 3.

12. If applicable, a justified application for excluding the public from the oral defence or the viva voce. The oral defence and the viva voce are generally open to the university community. The chairperson of the Doctoral Commission may exclude the public.

§ 11

Admission procedure

(1) Admission must be rejected if the conditions in § 10 Paragraph 1 are not met or documents in accordance with § 10 Paragraph 3 are not submitted.

(2) At the time of admission, the chairperson of the Doctoral Commission assigns two reviewers for the dissertation in accordance with § 2 Paragraph 2. Upon justified application, one reviewer from another faculty or higher education institution may be assigned.

(3) The university teacher who has supervised the doc-

toral researcher (in accordance with § 2 Paragraph 1) should be assigned as the first reviewer. This also applies if he or she has become a member of another faculty or higher education institution after acceptance.

(4) In the framework of a partnership with a university of applied sciences in accordance with § 67 Paragraph 6 of the University Act, professors from the university of applied sciences may be assigned as reviewers upon evidence of the relevant qualification (equivalent to professorial candidate) as defined in § 36 Paragraph 1 No. 4 of the University Act. In such cases of joint supervision, the member of the teaching body of the Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf assigned as supervisor and the professor at the university of applied sciences specify in an agreement the commensurate studies (in accordance with § 67 Paragraph 4 Sentence 1 b of the University Act) which must be undertaken in preparation of the doctorate.

(5) Where possible, the reviews should be presented within three months after assignment of the reviewers. The chairperson of the Doctoral Commission oversees that the deadline is observed.

§12

Withdrawal from the doctoral examination procedure

Provided that no written review of the dissertation has been presented to the Doctoral Commission, the doctoral researcher may withdraw from the doctoral examination procedure by submitting a written declaration to the chairperson of the Doctoral Commission. The dissertation submitted remains on file at the Faculty of Arts and Humanities.

§13

Review of the dissertation

(1) Both reviewers each deliver a written review of the dissertation. In this review:

1. They propose whether the dissertation be accepted or rejected.
2. 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.
3. Grading levels are:
"summa cum laude" (Excellent)
"magna cum laude" (Very Good)
"cum laude" (Good)
"rite" (Sufficient)

(2) The dissertation and the two reviews are made available for inspection in the Dean's office of the Faculty of Arts and Humanities for the duration of two weeks during the lecture period. During this period, the university teachers have the right to inspect the manu-

script 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 from the circle of university teachers is forthcoming.

(4) If there is a difference of opinion between the reviewers regarding the acceptance of the dissertation or should an objection be forthcoming from the group of university teachers within one week after the end of the inspection period, then the chairperson of the Doctoral Commission must extend the inspection period by a further two weeks. In addition, the university teachers must – upon application – be given the opportunity to comment before the Doctoral Commission. The Doctoral Commission then decides whether a third reviewer should be consulted. After submission of the third review, the Doctoral Commission decides on the basis of all the reviews whether the dissertation is accepted and, in the case that it is accepted, on its grading. The main reasons for the decision must be recorded.

(5) The dissertation is rejected if the votes of all the reviews are negative and no objection to this is raised from amongst the circle of university teachers. The chairperson of the Doctoral Commission notifies the doctoral researcher 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 recourse.

(6) The Doctoral Commission sets the grade for the dissertation on the basis of the reviewers' proposals. If the reviewers' grades differ, then the Doctoral Commission may assign a third reviewer. Following submission of the third review, the Doctoral Commission decides on the basis of all the reviews on the grade for the dissertation. The main reasons for the decision must be recorded. For the awarding of the grade "*summa cum laude*", both the first and the second reviewer must award the grade "*summa cum laude*".

§14

Oral examinations

(1) The doctoral researcher may choose whether he or she takes the oral examination in the form of an oral defence or a viva voce. The oral defence takes place in the chosen doctoral subject in accordance with Appendix 1, the oral examinations of the viva voce take place in the chosen doctoral subjects in accordance with Appendix 2.

(2) If the dissertation is accepted, the chairperson of the Doctoral Commission sets the time and date in consultation with the examination panel and/or the examiners and the doctoral researcher for the oral defence or the viva voce.

(3) The doctoral researcher may choose whether he or she completes his or her oral examination in German or English. Parts of the examination may be held in an-

other foreign language relevant to the topic.

(4) The oral examination must be completed by the latest six months after notification that the dissertation has been accepted.

§15 Oral defence

(1) For the conducting of the oral defence, the Doctoral Commission assigns an examination panel. The examination panel comprises five university teachers: Apart from the chairperson generally the reviewers of the dissertation and two members from the circle of university teachers in accordance with § 2 Paragraph 1 to 3, whom the doctoral researcher may propose. Other persons may also be assigned by the Doctoral Commission as members of the examination panel.

(2) Apart from the members of the examination panel, the professors, professorial candidates and post-doctoral scientific staff of the Faculty of Arts and Humanities are eligible to participate. Doctoral researchers are allowed to listen. Admission does not extend to the grading of the oral defence.

(3) The examination panel and the doctoral researcher are notified 14 days beforehand and in writing of the time and date for the oral defence. This is announced at the same time on the notice board of the Dean's office.

(4) Where possible, the oral defence should take place during the lecture period.

(5) 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 theses. 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 examination panel are eligible to ask questions.

(6) Immediately after the end of the oral defence, the examination panel decides in closed session on the grading of the oral defence. It sets a grade in accordance with § 13 Paragraph 1. An oral defence which has not been passed is graded as "*insufficenter*" (not sufficient).

(7) A member of the examination panel must record a transcript of the oral defence. It contains:

1. The name of the doctoral researcher.
2. The names of the oral examiners.
3. The main contents of the discussion.
4. The grading of the oral defence.
5. The date of the oral defence.
6. The signature of the person who recorded the transcript and of the chairperson of the examination panel.

(8) An oral defence graded as "*insufficenter*" may be repeated once within the following 6 months.

(9) The oral defence is deemed not to have been passed if the doctoral researcher fails to appear for the examination without an excuse.

§16 Viva voce

(1) For the conducting of the viva voce, the Doctoral Commission assigns the examiners in accordance with § 10 Paragraph 3 No. 9.

(2) The viva voce is either taken in two main subjects or in one main subject with two minor subjects. It is deemed to have been passed if the examinations in the individual subjects are graded at least as "*rite*". The oral examinations in the main subjects each last one hour; in the minor subjects they each last half an hour.

(3) The times and dates for the individual oral examinations should generally lie within a period of 14 days.

(4) An examination is deemed not to have been passed if the doctoral researcher fails to appear for the examination without an excuse.

(5) Should any delay or interruption occur during the conducting of the viva voce without any fault on the part of the doctoral researcher (e.g. in the case of illness), then upon application by the doctoral researcher the chairperson of the Doctoral Commission extends the time period.

(6) Apart from the members of the examination panel, the professors, professorial candidates and post-doctoral scientific staff of the Faculty of Arts and Humanities are eligible to participate. Doctoral researchers are allowed to listen. Admission does not extend to the consultation on the grading of the examination and its announcement.

(7) The examiners and the doctoral researcher are notified 14 days beforehand and in writing of the time and date for the viva voce. This is announced at the same time on the notice board of the Dean's office.

(8) A transcript of each examination is recorded which contains the most important topics of the examination, the date of the examination, examination time and the grade. The transcript is recorded by a post-doctoral observer in the relevant subject. It must be signed by the examiner and the observer.

(9) Grading of an oral examination which has been passed is in accordance with the grades stated in § 13 Paragraph 1. An examination which has not been passed is graded as "*insufficenter*" (not sufficient). The doctoral researcher is informed of the result by the examiner after the examination.

(10) If the doctoral researcher has not passed the oral examination in one of his or her subjects, he or she may repeat the examination in the respective subject.

The resit must take place by the latest 6 months after the first examination and with the same examiner.

If the examiner is no longer available, then the chairperson of the Doctoral Commission assigns a new examiner under consideration of any nominees proposed by the doctoral researcher.

(11) A second repetition is only possible in specially justified cases.

§17

Assessment of doctoral achievements

(1) The doctorate must be awarded a final grade in accordance with the grading levels in § 13 Paragraph 1. The final grade is made up of the grades for the dissertation and the oral examination in accordance with § 17 Paragraph 2 and 3.

When calculating the final grade, the following numerals apply for the grading levels:

summa cum laude = 0

magna cum laude = 1

cum laude = 2

rite = 3

The final grade is then:

In the case of a value of 0.0 – 0.5: *summa cum laude*

In the case of a value of 0.6 – 1.5: *magna cum laude*

In the case of a value of 1.6 – 2.5: *cum laude*

In the case of a value of 2.6 – 3.0: *rite*

(2) If the oral examination is composed of an oral defence, the examination panel decides in closed session on the grade for the oral defence immediately after the end of the oral defence. It sets a grade in accordance with § 13 Paragraph 1. The chairperson of the examination panel then sets the final grade for the doctorate. The final grade is calculated as the weighted arithmetic average of the grade of the dissertation and the grade of the oral defence, whereby the grade for the dissertation counts double. The final grade "*summa cum laude*" can only be awarded if the grade "*summa cum laude*" was awarded for both the dissertation and the oral defence. The doctoral researcher is informed of the result after the oral defence by the chairperson of the examination panel.

(3) If the oral examination is composed of a viva voce in two main subjects, the final grade of the doctorate is calculated as a weighted arithmetic average of the grade of the dissertation and the simple arithmetic grades of the oral examinations, whereby the grade for the dissertation counts double. If the oral examination

is composed of a viva voce in one main subject and two minor subjects, the final grade is calculated as follows: First the arithmetic average of the oral examinations is calculated, whereby the grade for the main subject counts double. The arithmetic average of the result of the oral examinations and the grade of the dissertation is then calculated, whereby the grade for the dissertation counts double. The final grade "*summa cum laude*" can only be awarded if the grade "*summa cum laude*" was awarded for both the dissertation and the viva voce.

(4) The chairperson of the Doctoral Commission notifies the doctoral researcher in writing of the grades for the dissertation and the oral examination and of the final grade.

(5) After the end of the doctoral examination procedure, the doctoral researcher is allowed to inspect the files, including the reviews. The rules of North Rhine-Westphalia's Administrative Procedure Act must be observed.

§18

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 Commission. If no agreement can be reached between the first reviewer and the doctoral researcher, the Doctoral Commission decides.

(3) Publication costs must be borne by the doctoral researcher.

(4) As part of his or her doctoral achievement, the doctoral researcher is obliged to make the version of his or her dissertation approved by the Doctoral Commission accessible in a commensurate manner to the scientific community. The dissertation is considered to have been made accessible to the scientific community in a commensurate manner when the doctoral researcher makes available to the University Library, in addition to the copy or copies required for the Faculty's examination file, the deposit copies/specimen copies as specified under a) or b) free of charge. These must be printed on wood-free, acid-free and age-resistant paper and with permanent binding:

(a) Evidence of distribution via the book trade by a commercial publisher with a minimum print run of 40 copies (and labelling of the publication as a dissertation, stating the place of the dissertation on the reverse side of the title page), of which three specimen copies must be submitted to the University Library, or

(b) Distribution via the book trade as an online publication, together with two print copies for the University

Library on age-resistant paper and in the same shape and form as for the copy for the examination file, or

(c) Delivery of an electronic version (including an abstract in German and English; max. 1500 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 on age-resistant paper and in the shape and form as for the copy for the examination file.

In the case of Alternative c), the doctoral researcher transfers to the University Library the right to produce and process copies of the dissertation and to make these available in data networks (e.g. Internet). This includes conversion to other data formats. The German National Library in Frankfurt /Leipzig as well as all other libraries at home and abroad which are accessible to the public are permitted to store the dissertation on their servers and make it available for use.

In the case of c), the doctoral researcher 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 print version has been changed, the title under which the manuscript was submitted to the Faculty must appear on the reverse of the title page in the deposit copies.

(6) Regardless of whether the dissertation is published in electronic form or in book form, the reference "D61" must appear on the reverse of its title page. This denotes the dissertation as a Düsseldorf dissertation.

(7) The copies must be delivered within five years after completion of the oral examination. Any extension beyond this must be approved by the chairperson of the Doctoral Commission upon application.

§19

Doctoral degree certificate

Following delivery of the deposit copies, the doctoral degree certificate is issued on the date of the oral defence or the last day of the viva voce. Only after the doctoral degree certificate has been handed or sent to the doctoral researcher is he or she entitled to bear the grade of Doctor.

§20

Invalidity of doctoral achievements

Should it emerge before or after issue of the doctoral degree certificate that the doctoral researcher is culpable in the framework of his or her admission to the doctoral examination procedure of deception, threat or bribery or that important requirements have erroneously

been regarded as given, then the doctoral achievements can be declared invalid. This decision lies with the Faculty Council of the Faculty of Arts and Humanities once the doctoral researcher concerned has been heard by the Dean.

§21

Revocation or divestment of the Doctor grade

The decision on the revocation or divestment of the Doctor grade 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 the grade of Honorary Doctor of Philosophy (§ 22).

§22

Honorary doctorate

By virtue of excellent scientific achievement or special services to science, the Faculty of Arts and Humanities may confer the title of "Honorary Doctor of Philosophy (Dr. phil. h.c.)" in accordance with § 1 Paragraph 2. A corresponding proposal must be put forward by two university teachers 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 teachers and post-doctoral representatives of the scientific staff in the Faculty Council are eligible to vote. The honorary doctor's achievements must be emphasized when issuing the certificate.

§23

Transitional provisions

These Doctoral Degree Regulations apply for all candidates who are accepted as doctoral researchers or who enrol after their entry into force. The Doctoral Degree Regulations of 03.06.1983 continue to apply for those candidates who were accepted or who enrolled prior to this point in time, if they submitted an application for admission to the doctoral examination procedure up until 30.09.2004, unless they apply in writing for application of these Doctoral Degree Regulations for their admission to the doctoral examination procedure.

§24

Entry into force

These Doctoral Degree Regulations enter into force on the day following their publication in the Official Bulletin of Heinrich Heine University Düsseldorf. At the same time, the Doctoral Degree Regulations in the

version of 03.06.1983 are abrogated; § 20 remains unaffected.²

² *The Doctoral Degree Regulations in the original version (without the amendments) appeared on 11. 07. 2000 in the Official Bulletin and has thus been in force since 12. 07. 2000.*

**Appendices to the Doctoral Degree Regulations
of the Faculty of Arts and Humanities
of Heinrich Heine University Düsseldorf
of 04.07.2000**

Appendix 1
Subjects for dissertation and oral defence

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

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

Achievements with a didactic focus are attributed to the respective subject with corresponding content.

Appendix 2
Subject combinations for viva voce

(1) The following subjects can be chosen as main and minor subjects for the viva voce, provided they are represented at the Faculty of Arts and Humanities by a full-time university teacher:

1. Ancient English Studies
2. Ancient German Philology
3. General Philology
4. Ancient History
5. Educational Science
6. Germanic Philology
7. Greek Philology
8. Yiddish Culture, Language and Literature/Yiddish Studies
9. Information Science
10. Art History
11. Latin Philology
12. Media and Culture Studies
13. Communication and Media Studies

14. History of the Middle Ages
15. Japanese Studies
16. Modern German Philology
17. Modern English Studies/American Studies
18. Modern and Contemporary History including Regional History
19. East European History
20. Philosophy
21. Political Science
22. Psychology
23. Romance Philology
24. Romance Literary Studies
25. Sociology
26. Jewish Studies

(2) In the case of a viva voce with two main subjects, the following subjects may - in line with Paragraph 3 – be combined as a main subject together with another main subject:

1. General Philology
2. Ancient History
3. Educational Science
4. Greek Philology
5. Yiddish Culture, Language and Literature /Yiddish Studies
6. Art History
7. Latin Philology
8. History of the Middle Ages
9. Modern and Contemporary History including Regional History
10. East European History
11. Philosophy
12. Psychology
13. Sociology
14. Jewish Studies

(3) In the case of a viva voce with two main subjects, only one subject may be chosen from the following subject group:

- Ancient History
- History of the Middle Ages
- Modern and Contemporary History including Regional History
- East European History

(4) In the case of a viva voce with a main subject and two minor subjects, all the subjects listed in Paragraph 1 as well as the minor subjects of Economic History and Musicology (at Robert Schumann School of Music and Media) may be chosen. However, the restrictions in the following paragraphs 5 and 6 must be taken into account:

(5) Choice of certain main subjects additionally requires the choice of specific minor subjects:

1. Germanic Philology as main subject requires Ancient German Philology or Modern German Philology as minor subject.

2. Ancient German Philology as main subject requires Germanic Philology or Modern German Philology as minor subject.
 3. Modern German Philology as main subject requires Germanic Philology or Ancient German Philology as minor subject.
 4. Ancient English Studies as main subject requires Modern English Studies/American Studies as minor subject.
 5. Modern English Studies/American Studies as main subject requires Ancient English Studies as minor subject.
 6. Romance Philology as main subject requires Romance Literary Studies as minor subject.
 7. Romance Literary Studies as main subject requires Romance Philology as minor subject.
- (6) In the case of a viva voce with a main subject and two minor subjects, only two subjects may be chosen from each of the following groups:
1. General Philology
Germanic Philology
Romance Philology
 2. Germanic Philology
Ancient German Philology
Modern German Philology
 3. Ancient History
History of the Middle Ages
Modern and Contemporary History including Regional History
East European History
Economic History
- (7) Minor subjects which are not represented at the Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf, but which are recognized as doctoral subjects for the grade of Dr. phil. at another scientific higher education institution, may only be chosen provided they are not too close to the other examination subjects by way of application *mutatis mutandis* of Paragraph 6. Approval of the Doctoral Commission is required.
- (8) A subject which was already an examination subject in another doctoral examination procedure cannot be chosen as an examination subject again.

Appendix 3 *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. Basic knowledge of Latin
 2. Sufficient knowledge of English
 3. Sufficient knowledge of French
- (d) History (doctoral subject: East European History):
 1. Sufficient knowledge of Latin (*Latinum*), alternatively sufficient knowledge of Ancient Russian/Old Church Slavonic
 2. Sufficient knowledge of an East European language and basic knowledge of a further East European language
 3. Knowledge of Latin or Ancient Russian and Old Church Slavonic can be substituted by solid command of two modern foreign languages
- (e) Greek Philology as doctoral subject:
 1. Sufficient knowledge of Greek (*Graecum*)
 2. Sufficient knowledge of Latin (*Latinum*)
- (f) Greek Philology as minor subject:
 - Sufficient knowledge of Greek (*Graecum*)
- (g) Latin Philology as doctoral subject:
 1. Sufficient knowledge of Latin (*Latinum*)
 2. Sufficient knowledge of Greek (*Graecum*)
- (h) Latin Philology as minor subject:
 - Sufficient knowledge of Latin (*Latinum*)
- (i) 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)
- (j) Art History and Jewish Studies as doctoral subject:
 - Sufficient knowledge of three foreign languages (preferably including knowledge of Latin)
- (k) Romance Languages and Literatures as doctoral subject:
 - Sufficient knowledge of at least two Romance languages as well as basic knowledge of Latin