

as amended

**by the First Regulation amending the Doctoral Regulations of the Faculty of Arts and Humanities of
Heinrich Heine University Düsseldorf of 10 March 2022**

Pursuant to Section 2 (4) of the Law on the Higher Education Institutions in the Federal State of North Rhine-Westphalia (*Hochschulgesetz; HG*) of 16 September 2014 (NRW Gazette of Laws and Ordinances, page 543), last amended by Article 2 of the Law of 25 March 2021 (NRW Gazette of Laws and Ordinances, page 331), Heinrich Heine University Düsseldorf has published the following consolidated version of the Doctoral Regulations of 16 October 2017:

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Article I

Section 1

Bases of doctoral studies

(1) The Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf awards the academic degree of “Doctor of Philosophy (Dr. phil.)” on the basis of a regular doctoral examination procedure, a scientifically noteworthy work on a subject in a field taught at the Faculty of Arts and Humanities (dissertation) and an oral doctoral presentation (oral defence). The doctoral subjects are listed in Annex 1.

(2) The “Honorary Doctor of Philosophy (Dr. phil. h.c.)” degree may be awarded on the basis of outstanding scientific achievements or special services to science.

Section 2

Standing doctoral committee

(1) The Faculty appoints a standing doctoral committee from among its members. The term of office of the committee members is two years. The doctoral committee is also responsible for any proceedings pending at the time of its new appointment or a subsequent appointment of individual members.

(2) The doctoral committee shall represent the professional and methodological diversity of the disciplines represented at the Faculty of Arts and Humanities. It is composed of seven members, including the chairperson, who has the right to vote. Four members including the chairperson with the right to vote must belong to the group of full-time professors at the Faculty, two members must be from the academic staff and one member must be from the ranks of students.

(3) The chairperson with the right to vote is the Vice-Dean of the Faculty. He/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 committee and their deputies on the basis of recommendations from the status groups represented in the committee. The election takes place at the first meeting of a newly elected Faculty Council.

(5) The chairperson conducts the day-to-day business and chairs the meetings of the doctoral committee. He/she ensures that minutes are taken of the meetings of the doctoral committee, describing the topics and results of the deliberations. The chairperson may appoint a minute taker to perform this task. This person need not be a member of the doctoral committee.

(6) The doctoral committee may invite rapporteurs for the matters it deals with.

(7) The doctoral committee has a quorum if, in addition to the chairperson, two representatives from the group of full-time professors at the Faculty and at least one representative of the academic staff are present. Insofar as these Regulations do not specify otherwise, the doctoral committee adopts its resolutions by a simple majority of its members present, using a roll-call vote. If a simple majority is not reached, the draft resolution is deemed rejected.

(8) Meetings of the doctoral committee are not open to public. The members of the doctoral committee and their deputies are required to maintain official secrecy. The same applies to the rapporteur and minute taker.

(9) Insofar as these Regulations do not specify otherwise, decisions of the doctoral committee shall be communicated to the persons concerned by the chairperson within a reasonable period of time and in an appropriate form, usually in writing. An advice on appeal shall be attached if required.

Section 3

Requirements for admission as doctoral researcher

(1) A person may be admitted as doctoral researcher if he/she has sufficient German or English language skills in accordance with the currently valid regulations on proof of language skills in accordance with Section 49 (10) HG and proves

a) a degree following relevant university studies in one of the doctoral subjects listed in Annex 1, as a rule with at least the overall grade of good (2.5) and with a standard period of study of at least eight semesters, for which a degree other than "Bachelor" is awarded; or

b) a degree following relevant studies at an institute of higher education in one of the doctoral subjects listed in Annex 1, as a rule with at least the overall grade of good (2.5) and with a standard period of study of at least six semesters, followed by appropriate studies in the doctoral subject preparing for the doctorate; or

c) education completed outside Germany with a corresponding professional degree in one of the doctoral subjects listed in Annex 1, as a rule with at least the overall grade of good (2.5), which is equivalent to one of the admission requirements in subparagraph a) and with regard to which he/she has applied for recognition. The doctoral committee decides on the equivalence of the educational qualification, usually in co-operation with the Central Office for Foreign Education.

(2) Doctoral researchers whose native language is not German or English must provide proof of the required language skills in accordance with the currently valid regulations on proof of language skills in accordance with Section 49 (10) HG when commencing study at Heinrich Heine University Düsseldorf.

(3) If the doctoral subject is not identical to the major subject studied in which the degree entitling the holder to admission was obtained in accordance with paragraph 1 (a) or (b) of this Section, if only a degree other than one corresponding to the doctoral subjects listed in Annex 1 can be proven in accordance with

paragraph 1 (a) or (b) of this Section, or if no degree with a grade of at least good (2.5) can be proven, the applicant will be admitted by the doctoral committee if sufficient relevance, quality and breadth of previous education in the intended doctoral subject has been established. The doctoral committee determines this on the basis of a detailed assessment of the applicant's academic performance. A statement must be obtained to this end from the person who has made him/herself available as the first supervisor for the doctoral studies in accordance with Section 4 of these Regulations. The admission may be subject to conditions.

Section 4

Supervision of doctoral researcher

(1) The doctoral studies are supervised by a first supervisor and a second supervisor until the doctoral examination procedure is initiated in accordance with Section 9 of these Regulations.

(2) The doctoral researcher shall carry out his/her work in constant consultation with the first supervisor who supervises the doctoral studies. At the latter's request, exhaustive information shall be provided at any time on the status of the work. The first supervisor must teach the doctoral subject and be a lecturer at the Faculty of Arts and Humanities. These are full-time professors at the Faculty, also after their dismissal or retirement, habilitated members of the Faculty as well as junior professors working at the Faculty. If the first supervisor is a junior professor, the second supervisor must be a full-time and tenured lecturer at the Faculty.

(3) In addition to the first supervisor, a second supervisor shall also supervise the doctoral researcher's doctoral studies. Her/his task is to provide additional specialised and/or interdisciplinary advice to the doctoral researcher. The second supervisor must hold a doctorate and shall, in principle, be a member of the Faculty of Arts and Humanities. If the second supervisor holds a doctorate and is not tenured, the first supervisor must be a full-time and tenured lecturer at the Faculty. In addition, upon admission to the doctoral examination procedure (cf. Section 9 of these Regulations), another person who meets the requirements in accordance with Section 4 (2) of these Regulations must be named as a second reviewer.

(4) In cases of conflict among the doctoral researcher, the first supervisor and the second supervisor, the acting Vice-Dean shall step in to mediate. The Ombudsperson for good scientific practice at the Faculty shall also serve as a contact person.

(5) Based on justified application, external lecturers may also be appointed as first supervisors in doctoral studies. Based on justified application, an external second supervisor may also be appointed for doctoral studies. The provisions of Section 4 (3) of these Regulations shall apply to external second supervisors. At least one supervisor must be a member of the Faculty of Arts and Humanities. However, only persons who have habilitated in the doctoral subject or who teach the doctoral subject can be admitted as first supervisors in doctoral studies. The doctoral committee decides on such applications.

(6) As part of a co-operation with a higher-education school of applied sciences in accordance with Section 67a (1) HG, professors of the school of applied sciences may be appointed as first or second supervisors, and later, in accordance with Section 10 (2) of these Regulations, as reviewers of the dissertation, provided that they can prove that they have qualifications equivalent to those of a habilitation in accordance with Section 36 (1)(4) HG. In such cases of joint supervision, the member of the teaching staff at the Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf appointed to supervise the doctoral studies and the professor at the higher-education school of applied sciences shall determine in an agreement what kind of study is appropriate as preparation for doctoral studies in accordance with Section 67 (4) HG.

(7) The doctoral committee decides on the appointment of the first supervisor or the second supervisor of the doctoral studies in the course of decision-making on the final admission as doctoral researcher in accordance with Section 6 of these Regulations.

(8) Doctoral researchers may change their first supervisor or second supervisor in exceptional cases based on justified application. A declaration of consent issued by the person who is to assume the position of first supervisor or second supervisor shall be enclosed with the application. This is without prejudice to the requirements set out in paragraphs 1 to 6 of this Section. The doctoral committee shall decide on the application without delay. The decision shall be communicated to the doctoral researcher immediately by the chairperson in writing or by e-mail and, if the application is rejected, with advice on appeal. The other persons affected by the decision shall be informed of the latter by the chairperson of the doctoral committee in an appropriate form.

(9) To apply for provisional admission as doctoral researcher in accordance with Section 5 of these Regulations, applicants must obtain a written declaration from the designated first supervisor stating that the latter is prepared, in principle, to take on the supervision and that the latter is prepared to support the applicant in the development of the dissertation project.

(10) Before submitting the application for final admission as doctoral researcher in accordance with Section 6 of these Regulations, the doctoral researcher shall hold a consultation meeting with the first supervisor and the designated second supervisor. Other persons may also take part in this meeting. The meeting shall be based on presentation of the dissertation project prepared by the doctoral researcher and agreed with the first supervisor and the designated second supervisor. As a result of the consultation, the doctoral researcher shall conclude a written supervision agreement with the first supervisor and the designated second supervisor. The supervision agreement shall include the following points, in particular:

- a) approval by the first supervisor of the dissertation concept described in the presentation;

- b) a list of qualification measures to be completed as part of the doctoral studies in accordance with Section 7 of these Regulations;
- c) a timetable for the preparation of the dissertation and participation in professional qualification measures in accordance with Section 7 of these Regulations;
- d) a list of the work objectives to be achieved in the first twelve months after the final admission as doctoral researcher.

The supervision agreement shall be signed by all persons who participated in the consultation meeting. Each of these persons shall receive a copy of the signed supervision agreement. Another copy must be made for the doctoral file and submitted to the PhD Office. The Faculty of Arts and Humanities shall provide a model supervision agreement for this purpose.

(11) Following the final admission as doctoral researcher, the doctoral researcher, the first supervisor and the second supervisor shall meet at least once a year to discuss the progress of the doctoral studies. Other persons may also take part in this meeting. The doctoral researcher shall prepare a progress report on the topics and results of the meeting, and the report shall be signed by the doctoral researcher, the first supervisor and the second supervisor. The Faculty of Arts and Humanities shall provide a model progress report for this purpose. The progress report is a mandatory part of the doctoral studies in accordance with Section 7 (2)(b) of these Regulations. Proof that a progress meeting has taken place must be submitted to the PhD Office once a year. If such proof is not submitted or is not submitted in due time, the doctoral relationship may be terminated. The student or guest student status ends in such a case in accordance with the enrolment regulations.

(12) Doctoral researchers are obliged to check, on request at least once a year, the correctness of the personal data collected upon admission, report any changes and confirm the continuation or cancellation of the doctoral project. If any such information should not be provided by the set deadline despite a reminder, this can be considered a termination of the doctoral project.

(13) Based on justified application, the supervision relationship may, in exceptional cases, also be regulated in deviation from the provisions of paragraphs 10 to 12 of this Section. The doctoral committee decides on such applications.

Section 5

Application for provisional admission as doctoral researcher

(1) The application for provisional admission as doctoral researcher has to be submitted, in writing or by electronic means, to the chairperson of the doctoral committee at the Faculty of Arts and Humanities, stating the subject in which the doctorate is to be awarded.

(2) The following shall be enclosed with the application:

- a) a curriculum vitae written in German or English, including information on school and higher education;
- b) certificates of previous school education and studies, in particular the school leaving certificate and certificates of academic examinations or State examinations as certified photocopies;
- c) proof of the language skills required in accordance with Annex 2;
- d) a declaration as to whether or not, and if so, when and where the applicant has already undergone unsuccessful doctoral studies;
- e) a declaration that the "Regulations on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf" have been duly noted and that the principles laid down therein will be followed;
- f) a declaration made by the designated first supervisor in writing or transmitted by electronic means, stating that the latter is prepared, in principle, to take on the supervision and that the latter is prepared to support the applicant in the development of the dissertation project;
- g) Doctoral researchers whose native language is not German or English must provide proof of the required language skills in accordance with the currently valid regulations on proof of language skills in accordance with Section 49 (10) HG when commencing study at Heinrich Heine University Düsseldorf.

(3) The chairperson of the doctoral committee shall forward the application to the doctoral committee for examination and decision, and after the consultation, shall issue a notice of provisional admission or rejection of the application. Reasons for rejection shall be given in writing and shall be accompanied by an advice on appeal.

(4) A provisional admission as doctoral researcher entitles the given person to enrol as a doctoral student or guest doctoral student at Heinrich Heine University Düsseldorf.

(5) Upon provisional admission of a person as doctoral researcher, the Faculty of Arts and Humanities reserves the right to collect, automatically store, process and transfer to the university management personal data of the doctoral researcher, insofar as this is necessary for the fulfilment of its tasks in doctoral matters and based on legal requirements (Higher Education Statistics Act).

(6) From the time of their provisional admission as doctoral researcher, doctoral researchers may use all event and advisory services offered by the philGRAD Graduate Academy, which is a central academic institution of the Faculty of Arts and Humanities. In addition, philGRAD manages the process of doctoral

studies together with the PhD Office and is responsible at the interdisciplinary level for supervision services for doctoral students as well as for quality assurance regarding these services.

Section 6

Application for final admission as doctoral researcher

(1) No later than one year after his/her provisional admission, a doctoral researcher must submit an application for his/her final admission as doctoral researcher, in writing or by electronic means, to the chairperson of the doctoral committee at the Faculty of Arts and Humanities, stating the subject in which the doctorate is to be awarded. If an application is not submitted or is not submitted in due time, the provisional doctoral relationship terminates and, in addition, any student relationship based on it terminates through exmatriculation.

If the given person has been validly provisionally admitted as doctoral researcher in accordance with Section 5 of these Regulations, the documents required under paragraph 2 (c) to (g) of this Section need not be submitted. The notice of provisional admission as doctoral researcher must be submitted instead, in accordance with Section 5 (2) of these Regulations.

(2) The following shall be enclosed with the application:

- a) the supervision agreement in accordance with Section 4 (10) of these Regulations;
- b) the presentation of the dissertation, signed off by the first supervisor.

Unless the relevant proof has already been provided in accordance with Section 5 of these Regulations, the following documents must also be submitted:

- c) a curriculum vitae written in German or English, including information on school and higher education;
- d) certificates of previous school education and studies, in particular the school leaving certificate and certificates of academic examinations or State examinations as certified photocopies;
- e) proof of the language skills required in accordance with Annex 2;
- f) a declaration as to whether or not, and if so, when and where the applicant has already undergone unsuccessful doctoral studies;
- g) a declaration that the "Regulations on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf" have been duly noted and that the principles laid down therein will be followed.

(3) The chairperson of the doctoral committee shall forward the application to the doctoral committee for examination and decision, and after the consultation, shall issue a notice of final admission or rejection of the application. Reasons for rejection shall be given in writing and shall be accompanied by an advice on appeal.

(4) The final admission as doctoral researcher requires the given person to enrol as a doctoral student at Heinrich Heine University. This duty continues to exist until the end of the doctoral studies.

Section 7

Doctoral studies

(1) The core of the doctoral studies is the supervisory relationship between the doctoral researcher and the first supervisor. It should enable the doctoral researcher to produce scientifically noteworthy work within the meaning of Section 8 (2) of these Regulations. This requires a continuous and regular exchange between the doctoral researcher and the first supervisor. In terms of such personal and professional support, it is the responsibility of the first supervisor to provide appropriate supervision services. It is the responsibility of the doctoral researcher to take actively advantage of these services.

(2) The following components of the doctoral studies are obligatory for all doctoral researchers and these must be proven when applying for admission to the doctoral examination procedure in accordance with Section 9 (1) and (4)(d) of these Regulations:

a) participation in a specialist colloquium;

b) progress meetings among the doctoral researcher, the first supervisor and the second supervisor at least once a year. Proof shall be provided by means of progress reports prepared on the basis of progress meetings (cf. Section 4 (11) of these Regulations). Proof that an annual progress meeting has taken place must be submitted to the PhD Office once a year;

c) participation in a course in good scientific practice offered by the Faculty of Arts and Humanities, unless the doctoral researcher can prove successful participation in a comparable course elsewhere. Participation in this course must not precede the final admission as doctoral researcher in accordance with Section 6 of these Regulations by more than two years;

d) participation in at least one workshop chosen from the focus areas of "Project and Self-Management", "Presentation/Communication/Writing" and "Professional Orientation/Career", offered by philGRAD, or from a comparable offer of courses.

(3) Beyond the direct supervision relationship, the participation of the doctoral researcher in professional qualification measures that are conducive to the preparation of the dissertation or further academic qualification shall be agreed in the supervision agreement or in the progress reports. This does not give rise to an entitlement to payment of the costs incurred as a result of the agreed participation in the qualification measures by the Faculty of Arts and Humanities. Participation in these qualification measures need not be proven if the doctoral research is not interested in having the measures included in the Doctorate Transcript.

(4) The doctoral studies must be documented by a Doctorate Transcript in which all evidentiary documents in accordance with Section 7 (2) of these Regulations are presented in summary form. The doctoral researcher must apply for the Doctorate Transcript at the Dean's Office of the Faculty of Arts and Humanities in good time before applying for admission to the doctoral examination procedure, and will only be issued on presentation of all the required evidentiary documents. The doctoral researcher will be provided with the final version of the Doctorate Transcript after completion of the doctoral examination

procedure.

(5) Based on justified application, the doctoral studies may, in exceptional cases, also be regulated in deviation from the specifications given in paragraphs 1 to 3 of this Section. The doctoral committee decides on such applications.

Section 8

Dissertation

(1) The subject of the dissertation must be chosen from the subjects listed in Annex 1.

(2) Dissertation is a written presentation of independent scientific work. It must contribute to the expansion of the state of research in the subject concerned. By its virtue, the doctoral researcher demonstrates the ability to conduct independent research and to present the results appropriately.

(3) Where the dissertation is based in whole or in part on collaborative work, the doctoral researcher's contributions must meet the requirements set out in paragraph 2 of this Section in terms of content and scope. The specific contributions of the doctoral researcher must also be clearly marked. A mere indication of percentage shares will not suffice.

(4) Unpublished or already published manuscripts where the doctoral researcher is the author and to which he/she has made a significant contribution may be included unchanged or adapted in the dissertation, even if the manuscripts also have other authors. Any such included or adapted parts must be clearly marked in the manuscript. Each manuscript used in this way must be listed as a complete reference with all the co-authors in a separate annex to the doctoral thesis, and the doctoral researcher's contribution to the content of the manuscript must be explicitly explained. The specific contributions of the doctoral researcher to the manuscript must be clearly marked.

(5) Cumulative dissertations are permissible if the basic subject-related requirements for cumulative dissertations are given in Annex 3. They also require express approval from the first supervisor in accordance with Section 9 (4)(i) of these Regulations. In this case, the dissertation thesis consists of the individual publications and unpublished individual manuscripts as well as a summarising overview of the scientific interrelationships of the individual papers and their focus areas. At the same time, it should be completely clear from the overview how the research work as a whole fits into the state of research in the doctoral subject. The statements on co-authorship described in paragraph 4 of this Section apply analogously.

Section 9

Application for admission to doctoral examination procedure

(1) A person who has been finally admitted as doctoral researcher in accordance with Section 6 of these Regulations, who provides a proof of participation in the doctoral studies and who submits a dissertation shall be admitted to the doctoral examination procedure.

(2) Based on justified application, an exemption may be granted in exceptional cases from the requirement of participation in doctoral studies provided that it is proven in accordance with Section 7 (5) that the skills to be acquired through doctoral studies have been acquired in some other way.

(3) If a dissertation is submitted without prior final admission as doctoral researcher in accordance with Section 6 of these Regulations, admission to the doctoral examination procedure can only be granted if the subject area of the dissertation is sufficiently represented within the Faculty and the requirements are met in accordance with Section 3 of these Regulations.

(4) The application for admission to the doctoral examination procedure must be submitted in writing to the chairperson of the doctoral committee. The following shall be enclosed with the application:

- a) the dissertation, in three electronic copies on a current storage medium, and a bound or stapled copy for the Dean's Office of the Faculty of Arts and Humanities. A brief curriculum vitae and a signed affirmation in accordance with paragraph 4 (b) of this Section shall be attached at the end. Based on written request of the reviewers, a printed version of the dissertation may be required in addition to the electronic version. This written request must be submitted to the PhD Office with the application to initiate the doctoral examination procedure;
- b) a signed affirmation with the following text: "I declare on my honour that the dissertation has been written by me independently and without inadmissible outside help, in compliance with the 'Regulations on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf'.";
- c) a summary of the dissertation's content within the scope of one DIN A4 page in German or English;
- d) proof of doctoral studies in the form of the provisional Doctorate Transcript in accordance with Section 7 (4) of these Regulations and paragraph 1 of this Section;
- e) proof of enrolment in accordance with Section 6 (4) of these Regulations;
- f) a declaration as to whether the oral defence shall be held in German or in English;
- g) if applicable, a justified request to exclude the faculty public or audience from the oral defence;

- h) if required, proof that conditions in accordance with Section 3 (3) of these Regulations have been fulfilled;
- i) if required, written declaration of the first supervisor in accordance with Section 8 (5) of these Regulations.

If admission to the doctoral examination procedure is to be granted in accordance with paragraph 3 of this Section, the following must also be enclosed:

- j) a curriculum vitae written in German or English, including information on school and higher education;
- k) certificates of previous school education and studies, in particular the school leaving certificate and certificates of academic examinations or State examinations as certified photocopies;
- l) proof of the language skills required in accordance with Annex 2;
- m) a declaration as to whether, and if so, when the applicant has already undergone unsuccessful doctoral studies;
- n) taking note of the "Regulations on the Principles for Safeguarding Good Scientific Practice at Heinrich Heine University Düsseldorf".

Section 10

Admission procedure

(1) The chairperson of the doctoral committee shall forward the application for admission to the doctoral examination procedure submitted in accordance with Section 9 of these Regulations to the doctoral committee for examination and decision. Admission shall be refused if the requirements of Section 9 (1) or Section 9 (2) and (3) of these Regulations are not met or if documents pursuant to Section 9 (4) of these Regulations are not submitted or are not submitted in full. After the consultation, the chairperson of the doctoral committee shall issue a notice of admission or rejection. Reasons for rejection shall be given in writing and shall be accompanied by an advice on appeal.

(2) Upon admission, the chairperson of the doctoral committee shall appoint a first reviewer and a second reviewer for the dissertation. The first supervisor of the doctoral researcher shall, in principle, be appointed as the first reviewer. The second supervisor of the doctoral researcher may be appointed as the second reviewer. Where this is not possible or if there are significant reasons against this option, the provisions of Section 4 (1) to (5) of these Regulations shall apply analogously. The doctoral researcher has a right of nomination in this regard.

(3) If possible, the reviews shall be submitted within three months of the reviewers' appointment. The chairperson of the doctoral committee shall monitor compliance with this deadline. If the deadline is not met, he/she has the right to postpone the deadline or to appoint substitute reviewers after having examined the reasons and with due regard to proportionality.

Section 11

Withdrawal from doctoral examination procedure

The doctoral researcher may withdraw from the doctoral examination procedure by a written declaration addressed to the chairperson of the doctoral committee so long as the doctoral committee has not yet received written reviews of the dissertation. The attempt at passing doctoral examination is then deemed not to have been made. The submitted dissertation remains on file at the Faculty of Arts and Humanities.

Section 12

Evaluation of dissertation

(1) Each of the reviewers shall submit a written review of the dissertation. In their review

- a) they shall propose that the work be accepted or rejected;
- b) they shall declare whether the dissertation in the present version is ready for printing or whether it still requires editorial or content-related changes, and provide the evaluation.
- c) The evaluation levels are as follows:

0.0 – “summa cum laude” (excellent);

1.0 – “magna cum laude” (very good);

2.0 – “cum laude” (good);

3.0 – “rite” (sufficient).

(2) The dissertation and the two expert reviews shall be available in electronic form. The lecturers at the Faculty of Arts and Humanities shall be informed of this by e-mail and shall receive an access link valid for at least two weeks from the beginning of the display. The display period shall be at least two weeks. During this time, the lecturers at the Faculty of Arts and Humanities have the right to inspect the work and the reviews, and to submit their own comments.

(3) The dissertation is deemed accepted if both reviewers are in favour of acceptance and no objection has been raised from the group of lecturers of the Faculty of Arts and Humanities.

(4) The dissertation is deemed rejected if the votes of all the reviewers are negative and there is no objection to this from the group of lecturers. The doctoral examination procedure then ends in failure. The doctoral researcher shall be informed of this without delay in writing by the chairperson of the doctoral committee, with statement of the reasons. The decision shall be accompanied by an advice on appeal.

(5) If differences of opinion should arise between the reviewers regarding the acceptance of the dissertation, the chairperson of the doctoral committee shall extend the period for display by a further two weeks. In addition, the doctoral committee must appoint a third reviewer. After the third review has been submitted, the doctoral committee shall decide on the acceptance of the thesis and, if accepted, on its evaluation. The reasons relevant for the decision must be included in the file. If the dissertation is not accepted, the doctoral examination procedure has failed. The doctoral researcher shall be informed of this without delay by the chairperson of the doctoral committee, with statement of the reasons. The decision shall be accompanied by an advice on appeal.

(6) If the evaluations of the reviewers differ, the doctoral committee must appoint a third reviewer. After the third review has been submitted, the doctoral committee shall decide on evaluation of the thesis based on all these reviews. The reasons relevant for the decision must be included in the file.

(7) If an objection is raised by a person from the group of lecturers at the Faculty of Arts and Humanities within one week after the end of the display period, the chairperson of the doctoral committee shall extend the display period by a further two weeks. In addition, the lecturers raising the objection shall, upon request, be given the opportunity to comment on the issue in the doctoral committee. Subsequently, the doctoral committee shall decide whether a third reviewer should be appointed. If third review is not requested, the doctoral committee shall decide immediately on the acceptance of the dissertation and, if accepted, on its evaluation. The reasons relevant for the decision must be included in the file. If third review is requested, the doctoral committee shall decide, after the receipt of this review, on the acceptance of the thesis and, if accepted, on its evaluation, on the basis of all the reviews. The reasons relevant for the decision must be included in the file. If the dissertation is not accepted, the doctoral examination procedure has failed. The doctoral researcher shall be informed of this without delay by the chairperson of the doctoral committee, with statement of the reasons. The decision shall be accompanied by an advice on appeal.

(8) If the dissertation is accepted, the grade of the dissertation is determined on the basis of suggestions made in the reviews. For the grade “summa cum laude” to be awarded, all available reviews must award this grade.

Section 13

Oral defence

(1) If the dissertation is accepted, the doctoral committee shall appoint a doctoral examination board to conduct the oral defence. The doctoral examination board usually consists of five lecturers: in addition to the chairperson of the board, its members usually comprise the reviewers of the dissertation and up to two persons from the group of lecturers of the Faculty of Arts and Humanities in accordance with Section 4 (2) and (3) of these Regulations. The doctoral researcher has the right to nominate members of the board. If possible, the chairperson of the doctoral committee shall be appointed as the chairperson of the board. At least one board member must represent a subject in teaching other than the one in which the doctorate is to be awarded.

(2) The oral defence shall be held in German or English in accordance with the doctoral researcher's declaration in accordance with Section 9 (4)(f) of these Regulations. Parts of the oral defence may also be held in another language as far as this is relevant to the topic.

(3) The oral defence must take place no later than six months after the notice of acceptance of the dissertation. If possible, it should take place during the lecture period. The chairperson of the doctoral committee shall set a date for the oral defence in agreement with the doctoral examination board and the doctoral researcher. If justified by serious reasons, the chairperson of the doctoral committee may postpone the deadline by which the oral defence must take place.

(4) The date of the oral defence shall be communicated to the doctoral examination board and the doctoral researcher 14 days in advance in writing or by electronic means, and at the same time, it shall be announced by posting at the Dean's office.

(5) Along with the members of the doctoral examination board, professors, habilitated members and the academic staff of the Faculty of Arts and Humanities with a doctoral degree may also participate in the oral defence as members of faculty public. Doctoral researchers are admitted as guests. The right to participate as a member of faculty public and the admission as a guest do not extend to the deliberation and evaluation of the oral defence by the doctoral examination board. The faculty public and guests may be excluded from the oral defence fully or in part by the chairperson of the doctoral committee if their behaviour impairs the course of the oral defence. Furthermore, they shall be excluded if the doctoral researcher has submitted a corresponding request in accordance with Section 9 (4)(g) of these Regulations, and the request has been granted by the doctoral committee.

(6) The oral defence shall last a minimum of 60 minutes and a maximum of 90 minutes. It shall take the form of a colloquium during which the dissertation is defended. The doctoral researcher opens the oral defence with a presentation of no more than 20 minutes in which he/she introduces the content of his/her dissertation in the form of theses. The subsequent debate must also refer to other selected problems of the subject beyond the actual topic of the dissertation. All the members of the doctoral examination board may ask questions.

(7) Immediately after the end of the oral defence, the doctoral examination board decides on the evaluation of the oral defence in a closed session. It shall determine the grade in accordance with Section 12 (1)(c) of these Regulations. A simple majority shall be sufficient for this purpose. A failed oral defence is graded as "insufficient". The doctoral researcher must be informed orally by the chairperson of the doctoral examination board immediately if he/she fails the oral defence.

(8) Minutes of the course of the oral defence shall be prepared by a member of the doctoral examination board. They shall include:

- a) the name of the doctoral researcher;
- b) the names of the members of the doctoral examination board;

- c) the essential contents of the debate;
- d) evaluation of the oral defence and – insofar as the oral defence was graded “rite” or better – the overall grade of the doctorate;
- e) the date of the oral defence; and
- f) signature of the minute taker and of the chairperson of the doctoral examination board.

(9) A oral defence graded “insufficienter” may be repeated once within a period of six months. If the doctoral researcher does not take advantage of this opportunity or if this oral defence is also graded as “insufficienter”, the doctoral examination procedure has failed. The doctoral researcher shall be informed of this without delay in writing by the chairperson of the doctoral committee, with statement of the reasons. The decision shall be accompanied by an advice on appeal.

(10) The oral defence is deemed failed if the doctoral researcher misses the date of the oral defence without an excuse.

Section 14

Evaluation of doctoral presentation

(1) The final grade for the doctorate shall be awarded in accordance with the evaluation levels given in Section 12 (1)(c) of these Regulations. The final grade is formed from the grades of the dissertation in accordance with Section 12 (1)(c) and the grade for the oral defence in accordance with Section 13 (7) of these Regulations. The grade “summa cum laude” can only be awarded as the final grade if all the reviews of the dissertation have awarded the grade “summa cum laude” and the oral defence has also received the grade “summa cum laude”.

When determining the final grade, the following values apply to the evaluation levels:

summa cum laude = 0.0;

magna cum laude = 1.0;

cum laude = 2.0;

rite = 3.0.

The final grade is:

summa cum laude for the value of 0.0;

magna cum laude for a value in the range of 0.0-1.5;

cum laude for a value in the range of 1.5-2.5;

rite for a value in the range of 2.5-3.0.

(2) The chairperson of the doctoral examination board shall determine the final grade of the doctorate immediately following the determination of the grade for the oral defence. The final grade is determined as the weighted arithmetic mean of the grade for the dissertation and the grade for the oral defence. The dissertation grade is assigned double weight. The doctoral researcher shall be informed of the grade for the dissertation, the grade for the oral defence and the overall grade orally by the chairperson of the doctoral examination board without delay following the deliberations of the doctoral examination board concerning the oral defence.

(3) The chairperson of the doctoral committee shall inform the doctoral researcher in writing of the grade for the dissertation, the grade for the oral defence and the final grade.

(4) After completion of the doctoral examination procedure, the doctoral graduate shall be granted access to the doctoral file including the reviews.

Section 15

Publication of dissertation

(1) The dissertation must be printed or reproduced as an independent paper, published in a scientific journal or series of publications or in an electronic version.

(2) If possible, the dissertation shall be published in its entirety. The subject-specific regulations in Annex 3 must be observed in the case of a cumulative dissertation. The version intended for publication must be approved by the first reviewer. Changes in content and abridgements that go beyond corrections of details require the written consent of the first reviewer and must be reported to the chairperson of the doctoral committee. If agreement cannot be reached between the first reviewer and the doctoral graduate, the doctoral committee shall decide.

(3) The costs of publication shall be borne by the doctoral graduate.

(4) As part of his/her doctoral presentation, the doctoral graduate shall make the version of the dissertation approved for publication by the first reviewer or the doctoral committee available to the scientific public in an appropriate manner. The dissertation is made available to the scientific public in an appropriate manner if the doctoral graduate submits to the Faculty of Arts and Humanities, for the doctoral file, a specimen copy printed on ageing-resistant wood-free and acid-free paper as well as an affirmation signed by the doctoral graduate and the first reviewer for print approval and, in addition, if it meets one of the conditions of distribution specified in subparagraphs a) to c) below:

- a) proven distribution in the form of sale of a book by a commercial publisher with a minimum number of 40 copies, of which three specimen copies must be handed over to the university library;
- b) proven distribution in the form of sale of a book as an online publication, plus one printed copy for the university library in a form corresponding to a specimen copy for the doctoral file;
- c) delivery of an electronic version including an abstract in German and English with a maximum of 1,500 characters, with the data format and data carrier being agreed with the university library, plus one printed copy for the university library in a form corresponding to a specimen copy for the doctoral file.

If the distribution option pursuant to subparagraph c) of this paragraph is chosen, the doctoral graduate transfers to the university library the right to produce copies of the dissertation, to process them and to make them available in data networks (e.g. the internet) (also by converting them into another data format). The German National Library in Frankfurt a.M. / Leipzig and all other publicly accessible libraries in Germany and abroad are permitted to store the dissertation on their servers and to make it available for use. If the distribution option pursuant to subparagraph c) of this paragraph is chosen, the doctoral graduate also transfers to Heinrich Heine University Düsseldorf the right to produce and distribute further copies of his/her dissertation or to make them available in data networks within the framework of the statutory duties of university libraries.

(5) If the title of the work has been changed in the publication version, the title under which the work was submitted to the Faculty must be stated on the back of the title page in the specimen copies.

(6) The dissertation must be marked "D61" on the back of the title page if published in the form of a book. If published in electronic form, the dissertation must be marked "D61" on the first page following the title page. This marks the dissertation as a Düsseldorf dissertation.

(7) The required specimen copies must be submitted within three years of the oral defence. In exceptional cases, the chairperson of the doctoral committee may postpone this deadline twice by one year, upon justified application by the doctoral graduate. The application must be submitted at least three months before the deadline. If the doctoral graduate misses the deadline through his/her own fault, all the rights acquired through the examination expire. The doctoral graduate must be notified of this in writing by the chairperson of the doctoral committee no later than upon expiry of the deadline for the submission of the specimen copies. At the same time, he/she shall be granted an extension of six months in this letter to provide the required specimen copies.

Section 16

Doctoral certificate

After delivery of the specimen copies, the doctoral certificate is issued as of the date of the oral defence. The doctoral graduate is only entitled to use the doctoral degree once the certificate has been handed over or sent to him/her.

Section 17

Honorary doctorate

The "Honorary Doctor of Philosophy (Dr. phil. h.c.*)" degree may be awarded by the Faculty of Arts and Humanities in accordance with Section 1 (2) of these Regulations on the basis of outstanding scientific achievements or special services to science. The proposal must come from two professors of the Faculty of Arts and Humanities. It must be approved in writing by at least four fifths of persons with the right to vote at the Faculty of Arts and Humanities; the right to vote is vested in all full-time lecturers at the Faculty and in representatives of the academic staff on the Faculty Council with a doctoral degree.

Section 18

Invalidity of doctoral presentation

(1) The dissertation or oral defence may be declared invalid in part or in whole if it is discovered before or after the doctoral certificate has been issued or sent

1. that the doctoral researcher was guilty of deception, threat or bribery during the admission to the doctoral examination procedure or during the doctoral examination procedure;
2. that essential requirements for the doctoral studies were erroneously assumed to be met;
3. that the doctoral researcher failed to submit the required specimen copies in accordance with Section 15 (7) of these Regulations.

(2) The decision on the invalidity of doctoral presentation shall be made by the Faculty Council of the Faculty of Arts and Humanities based on referral from the doctoral committee. Prior to the decision, the Dean shall give the person concerned the opportunity to provide a written statement.

Section 19

Withdrawal or revocation of doctoral degree

The decision on the withdrawal or revocation of the doctoral degree in compliance with the Administrative Procedure Act of the State of North Rhine-Westphalia is within the responsibility of the Faculty Council of the Faculty of Arts and Humanities. The same applies to an honorary doctorate in philosophy (cf. Section 17 of these Regulations).

Section 20

Binational doctoral studies

The requirements for the procedure and the content of the doctorate resulting from these Regulations shall also apply to binational doctorates. Exceptions may be made in individual cases in the co-operation agreement on a joint doctoral examination procedure between Heinrich Heine University Düsseldorf and a foreign higher education institution, which is to be concluded individually for each doctoral researcher. Any such exceptions require the approval of the doctoral committee of the Faculty of Arts and Humanities.

Section 21

Transitional provisions

(1) These Doctoral Regulations shall not apply to persons who, by the date preceding their entry into force

a) have submitted an application for provisional admission as doctoral researcher in accordance with Section 5 of the Doctoral Regulations of the Faculty of Arts and Humanities dated 4 July 2000, as amended on 10 October 2014, and submit an application for admission to the doctoral examination procedure by 1 April 2022 in accordance with Section 10 of the Regulations;

b) have submitted an application for final admission as doctoral researcher in accordance with Section 6 of the Doctoral Regulations of the Faculty of Arts and Humanities dated 4 July 2000, as amended on 10 October 2014, and submit an application for admission to the doctoral examination procedure by 1 April 2022 in accordance with Section 10 of the Regulations;

c) have already applied for admission to the doctoral examination procedure in accordance with Section 10 of the Doctoral Regulations of the Faculty of Arts and Humanities dated 4 July 2000, as amended on 10 October 2014.

(2) The persons listed in paragraph 1 (c) of this Section can only become subject to these Doctoral Regulations newly in force by declaring their withdrawal from the doctoral examination procedure in accordance with Section 12 of the Doctoral Regulations of the Faculty of Arts and Humanities dated 4 July 2000, as amended on 10 October 2014.

Article II

Section 22

Entry into force and scope of application

These Regulations shall enter into force on the day following publication in the Official Bulletin of Heinrich Heine University Düsseldorf. They apply to all applicants who apply for provisional or final admission as doctoral researcher from the first day after their entry into force.

Issued on the basis of a resolution of the Faculty Council of the Faculty of Arts and Humanities of Heinrich Heine University Düsseldorf of 11 May 2021 and an urgent decision of the Dean of the Faculty of Arts and Humanities of 2 February 2022.

In Düsseldorf, on 10 March 2022

President
of Heinrich Heine University
Düsseldorf

Anja Steinbeck
(Univ.-Prof. Dr. iur.)

Annex 1

Subjects for dissertation and oral defence

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

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

Annex 2

Special requirements

- (a) History (sub-topic: Ancient History):
 - 1. sufficient knowledge of Latin (Latinum)
 - 2. sufficient knowledge of Greek (Graecum)

- (b) History (sub-topic: Medieval History):
 - sufficient knowledge of Latin (Latinum)

- (c) History (sub-discipline: Modern and Contemporary History including Regional History):
 - 1. sufficient knowledge of English
 - 2. sufficient knowledge of another foreign language

- (d) History (sub-topic: Eastern European History):
 - 1. sufficient knowledge of English
 - 2. sufficient knowledge of at least one Eastern European language

- (e) Greek Philology as a doctoral subject:
 - 1. sufficient knowledge of Greek (Graecum)
 - 2. sufficient knowledge of Latin (Latinum)

- (f) Latin Philology as a doctoral subject:
 - 1. sufficient knowledge of Latin (Latinum)
 - 2. sufficient knowledge of Greek (Graecum)

- (g) Yiddish Culture, Language and Literature / Yiddish Studies as a doctoral subject:
 - 1. sufficient knowledge of Yiddish
 - 2. sufficient knowledge of Hebrew (the Hebraicum is not sufficient, as it only covers Biblical Hebrew).

- (h) Jewish Studies as a doctoral subject:
 - sufficient knowledge of three foreign languages (including preferably knowledge of Latin)

- (i) Art History as a doctoral subject:
 - sufficient knowledge of three foreign languages (including preferably knowledge of Latin)

- (j) Romance Languages and Literatures as a doctoral subject:
 - sufficient knowledge of at least two Romance languages and basic knowledge of Latin

Annex 3

Basic requirements on doctoral subjects for cumulative doctoral studies

(1) General Linguistics:

a) A cumulative dissertation consists of an introduction, subsequent publications, a concluding discussion and a list of the literature cited in the introduction and discussion. The introduction shall summarise the current state of research and theory-building in the field in which the given research is carried out, and thus make clear the thematic integration of the given work in the respective research field. The discussion must bring together the individual results of the publications and comprehensively discuss them with reference to the current state of research.

b) A cumulative dissertation must contain a sufficient number of individual scientific papers that have been published or are ready to be published.

c) At least two of the individual papers must already have been published or accepted for publication by a journal, the proceedings of a scientific conference or an anthology (always with a peer-review process).

d) At least two of the individual papers must name the candidate as first author or sole author.

(2) English and American Studies (sub-topic: English Linguistics)

a) A cumulative or publication-oriented dissertation consists of an introduction, subsequent publications, a concluding discussion and a scientific apparatus (cited literature, annex, etc.).

b) The basis of a cumulative dissertation consists of at least three publications that have been or will be published in journals and/or conference proceedings relevant to the respective subject. Of these, at least one publication must already have been accepted by the respective publication body (status "accepted"), and two further publications must have been submitted for publication (status "submitted").

c) Only original works or meta-analyses are taken into account. Pure reviews are not possible or can only be submitted as additional publications.

d) The publications may be co-authored. In this case, the doctoral researcher must submit a declaration describing in more detail the doctoral researcher's contribution to the concept, content or methods of the work.

(3) Information Science:

a) The candidate must submit a sufficient number of individual scientific papers that have been published or are ready to be published.

b) At least two of the individual papers must already have been published or accepted for publication by a journal, the proceedings of a scientific conference or an anthology (always with a peer-review process).

c) At least two of the individual papers must name the candidate as first author or sole author.

(4) Communication and Media Studies:

a) The candidate must submit at least four individual scientific papers that have been published or are ready to be published.

b) At least two of the individual papers must have been published or accepted for publication, and at least one of them must have been published in a peer-reviewed journal.

c) The remaining individual papers must have been submitted to a journal or an anthology.

d) At least one of the individual publications must have been written by a sole author. At least two other individual publications must have been written by the doctoral researcher as the first author. At least three of the individual publications must have been authored by a person other than a reviewer.

e) At least one of the reviewers must not be a co-author of the individual papers.

(5) Philosophy:

a) A summary overview of the work as regards the scientific circumstances of the individual papers and their respective focus areas, which shows exhaustively how the research work as a whole fits into the state of research in the doctoral subject (see Section 8 (5) of these Regulations), constitutes a common basis for the individual chapters; innovations and conclusions of the work as a whole are elaborated and reflected on. The work must consist of at least 45,000 words in total. The summary overview shall account for at least 5,000 words, but no more than 20% of the total length of the work.

b) The candidate must submit a sufficient number (at least four) of individual scientific papers that have been published or are ready to be published, of which at least two must already have been published or accepted for publication by the time of the oral defence in a relevant publication body/publishing house on the basis of a verifiable review process. At least one of the individual papers accepted for publication must name the candidate as sole author. A written declaration concerning the partial work performed by the candidate must be available in all cases of multiple authorship. The individual papers must represent genuine research achievements (book reviews, mere overview articles or the like do not count) and, including the summary overview, must be published no later than three years after the oral defence. Further details are governed by Section 15 of these Regulations.

(6) Political Science:

- a) The candidate may submit a publication-based dissertation built on at least three thematically related articles, usually already published with a peer review process or submitted for publication.
- b) The majority of the articles on which the dissertation is based must have been written by sole authors.
- c) The reviewers of the dissertation may not be co-authors of the articles on which the dissertation is based.
- d) A dissertation based on several articles already published or submitted for publication must contain a substantial summary overview (cf. Section 8 (8) of these Regulations). This overview shall contain a description of the overarching question and its classification in the state of research, overarching methodological considerations, the classification of the individual essays in the overarching question, and a summarising and concluding chapter with evaluation.

(7) Sociology:

- a) The candidate must submit a sufficient number of individual scientific papers that have been published or are ready to be published.
- b) At least two of the individual papers must have been published or submitted to a peer-reviewed journal or anthology.
- c) At least one of the individual papers must already have been published or accepted for publication.
- d) At least two of the individual publications must have been written by a sole author.
- e) The reviewers of the dissertation shall, in principle, not be co-authors of the individual papers.

Procedural note

It is pointed out that variance of these Regulations with the procedural and formal requirements of this Act or of university's regulatory or other autonomous law can no longer be asserted after expiry of one year since their publication unless

1. the Regulations were not properly made public;
2. the Rectorate has previously objected to the decision of the body adopting the Regulations;
3. the formal or procedural defect has been notified to the higher education institution in advance and the violated legal provision and the fact giving rise to the defect have been specified; or
4. the legal consequence of this exclusion of objections was not pointed out in the public announcement of the Regulations. The supervisory powers in accordance with Section 76 HG remain unaffected.