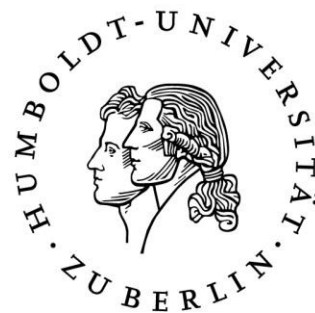


University Gazette



Faculty of Arts and Humanities

Doctoral Degree Regulations of the Faculty of Arts and Humanities

Reading version. The German text version is legally binding.

Edited by: The President of Humboldt-Universität zu Berlin
Unter den Linden 6, 10099 Berlin

No. 15/2018

Typesetting and
distribution by: Press and Public Relations Office

27th edition/28 February 2018

reading version

Doctoral Degree Regulations of the Faculty of Arts and Humanities

On 7 June 2017, the Faculty Board of the Faculty of Arts and Humanities approved the following Doctoral Degree Regulations.

§ 1 Principles

(1) The Faculty of Arts and Humanities awards the degree of Doctor philosophiae (Dr. phil.) pursuant to the regular doctoral degree procedure outlined in the following.

(2) The doctoral examination provides evidence of the candidate's ability to complete in-depth independent academic work based on their own research, beyond the level of a degree from an institute of higher education. The doctoral degree assignments consist of an academic work (doctoral thesis) and an examination colloquium (thesis defence).

(3) The doctoral subjects are as follows: Library and Information Science; European Ethnology; Historical Sciences and Philosophy.

(4) The academic degree pursuant to para. 1 may only be awarded once to an individual for a doctoral subject.

§ 2 Doctoral degree procedure

(1) The procedure is divided into:

- Admission to the doctoral degree programme and enrolment/registration (initiation of the doctoral degree procedure)
- Submission of the thesis and registration to the assessment/examination procedure
- Assessment of the doctoral thesis
- Thesis defence
- Publication of the doctoral thesis
- Conferral of the doctoral certificate

(2) The Faculty shall be responsible for carrying out the doctoral degree procedure.

(3) The thesis deadline shall be determined in the supervision agreement according to subject- and project-specific criteria. It shall be between three and five years.

§ 3 Responsibilities / Doctoral degree bodies

(1) The Dean

The Dean represents the Faculty in all doctoral degree matters. He or she is supported in this by the Doctoral Degree Board of the Faculty as well as by the existing departmental Examination Boards.

On the basis of an opinion from the relevant Examination Board, he or she shall make decisions regarding the admission of the relevant applicant, the initiation of the doctoral degree procedure, the appointment of the supervisors and

– following submission of the thesis - regarding registration for the assessment/examination procedure.

He or she may seek advice from the Doctoral Degree Board of the Faculty.

(2) Doctoral Degree Board of the Faculty
The Doctoral Degree Board of the Faculty consists of:

- a) The Vice-Dean for research, who shall also act as chairperson
- b) one full-time university professor from each of the departments belonging to the Faculty
- c) usually one academic staff member with a doctoral degree from each of the departments belonging to the Faculty
- d) one representative of the doctoral candidates from the Faculty (without voting rights)

The members of the Doctoral Degree Board under b) to d) are appointed by the Faculty Board. The term of office lasts two years.

The duties of the Doctoral Degree Board are:

- Advising the Dean on fundamental doctoral matters, especially in the preparation or interpretation of the Doctoral Degree Regulations of the Faculty as well as in the planning and establishment of graduate schools or structured doctoral degree programmes at the Faculty
- Decisions regarding admission to the fast track doctoral degree procedure
- Decisions regarding the approval of Cotutelle doctoral degree procedures at the Faculty, including examination of the related binational contracts between the faculties involved
- Examining allegations of academic misconduct in relation to doctoral degree procedures within the Faculty
- Implementing appeals processes in relation to doctoral degree procedures
- Decisions regarding exceptions pursuant to § 4 para. 2

(3) Departmental Examination Boards

The verification of the subject-specific requirements for the doctoral degree procedure is subject to the relevant Examination Board of the responsible department. The Board can impose conditions in connection with admission to the doctoral degree procedure.

This does not apply to the fast track doctoral degree procedure regulated under § 4 para. 4. In addition, the Examination Board of the Faculty recommends the initiation of the assessment/examination procedure as well as the composition of the Doctoral Degree Committee responsible for the relevant individual procedure. In this context, it also verifies that any conditions issued are fulfilled.

(4) Doctoral Degree Committees

Following submission of a thesis and the associated registration for the assessment/examination procedure, the Dean appoints the Doctoral Degree Committee responsible for the implementation of the relevant individual procedure at the suggestion of the responsible Examination Board.

The Doctoral Degree Committee consists of the chairperson, the reviewers and a minute-taker who must have a doctoral degree.

The chairperson must be a university professor within the Faculty.

The duties of the Doctoral Degree Committee are:

- making decisions regarding acceptance of the doctoral thesis based on the reviewer reports
- scheduling, executing, and assessing the thesis defence
- evaluating the doctoral candidate's performance and determining the overall grade
-

The Doctoral Degree Committee does not meet publicly. Its members are obliged to maintain confidentiality.

The Doctoral Degree Committee passes all decisions by the majority of its members. In case of a tied vote, the chairperson's vote shall prevail.

§4 Admission to the programme and initiation of the procedure

(1) The Dean shall make decisions regarding admissions to the doctoral degree programme and the initiation of the doctoral degree procedure, whereby he/she shall consult the Doctoral Degree Board in the case of decisions regarding exceptions pursuant to para. 2. The decision is made at the request of the doctoral candidate and requires the naming of a doctoral subject offered at the Faculty and a thesis topic. Once the applicant has been admitted to the programme, the Dean shall appoint the supervisors for the procedure pursuant to §5 para. 1. The second supervisor is determined upon admission or within the first 12 months thereafter.

(2) Only those who meet the following requirements can be admitted to the doctoral degree programme:

- a) Proof of a university degree that, as a general rule, has been completed with at least a "good" grade in the subject in question (master's degree with a total BA/MA workload of 300 credit points, Magister's examination, state examination, diploma or equivalent qualification).

- b) The Doctoral Degree Board makes decisions regarding any exceptions. For this purpose, the responsible Examination Board of the subject in question must submit a substantiated application.
- c) Graduates of foreign universities must provide evidence of the equivalence of their academic university degree.
- d) In exceptional cases, doctoral candidates may also be admitted to the doctoral degree programmes in any of the subjects despite having qualifications in different fields. The Examination Board responsible for the subject decides whether the requirements necessary for admission have been met. It may impose conditions.
- e) Proof of the language skills required to work on the doctoral topic. In justified exceptional cases, the Dean may, at the request of the responsible Examination Board, deviate from this requirement.
- f) Conclusion of a supervision agreement

(3) As a general rule, admission is granted when the candidate begins working on the doctoral thesis and lasts until the thesis deadline pursuant to § 2 para. 3. The Doctoral Degree Board may grant extensions on request. In such cases, extensions until the re-enrolment period for the semester following the one in which the agreed deadline falls shall be the standard.

(4) In justified exceptional cases, the Doctoral Degree Board can admit an applicant to the degree programme directly after completing a bachelor's degree (so-called fast-track doctoral degree procedure) at the request of the relevant Examination Board. For this purpose, applicants must submit the following documents/evidence:

- Proof of a BA degree awarded a "very good" grade
- a BA thesis graded "very good" (1.0)
- CV
- exposé (approx. 15 pages) on the planned thesis project
- report from the two supervisors on the exposé and the general aptitude of the candidate
- proof of supervisor confirmation for fast-track doctoral degree programmes

In the event of a positive decision from the Doctoral Degree Board, the applicant will be provisionally admitted to the programme.

The Doctoral Degree Board shall decide on the final admission 12 months after the provisional admission. With regard to the achievements and evidence to be provided for the final admission, subject-specific regulations shall apply, which are to be recorded in the supervision agreement.

If no final admission is granted after the provisional admission has expired, the applicant is free to pursue a master's degree.

(5) Upon receipt of a positive decision from the Dean regarding the admission of the doctoral candidate, the doctoral degree procedure is initiated.

(6) Successful applicants are enrolled as doctoral candidates for the duration of the doctoral degree programme on the date they are admitted to the programme.

§ 5 Supervision in doctoral degree procedures

(1) Doctoral degree procedures are supervised by at least two university professors, of which the primary supervisor must be actively employed at the Faculty of Arts and Humanities for the expected duration of the doctoral thesis, unless the supervision agreement stipulates a "successor" chosen from the actively employed university professors.

(2) At the suggestion of the departments, the Faculty Board may transfer the right to supervise doctoral candidates to junior research group leaders. The prerequisites for this are that the junior research group leaders have experience in supervising young scientists, demonstrate their own academic quality and the ability to teach independently. They can only be named as first supervisors if they are actively employed at the Humboldt-Universität for the expected duration of a doctoral degree procedure or if a successor has been confirmed.

(3) The supervisors and the doctoral candidate shall agree on the most important key points of the doctoral thesis in the form of a supervision agreement as per the annex to these Doctoral Degree Regulations.

(4) Any changes to the supervisory relationship must be reported to the Dean. Taking into account the statement of the relevant Examination Board, the Dean makes a recommendation to the Doctoral Degree Board regarding the continuation of the procedure.

(5) If a supervisor ceases to be a member of Humboldt-Universität, he/she shall be given the opportunity, for a period of no more than two years, to complete the supervision and to be a member of the Doctoral Degree Committee with voting rights. The Examination Board may extend the duration of this right at the request of the relevant Examination Board. In justified individual cases, the Doctoral Degree Board may also revoke this right.

§ 6 Enrolling as a doctoral candidate

(1) When enrolling, the applicant must submit the following documents to the Faculty of Arts and Humanities:

- Request to the Dean. This must include name, address, citizenship, the doctoral subject and the topic of the thesis. Potential reviewers should also be put forward in this request.
- Signed CV

- Evidence that the requirements mentioned in § 4 para. 2 have been met
- The thesis in four printed and bound copies as well as an electronic version of the thesis in a common file format on a common data carrier
- A written declaration stating that the work was written independently and that no aids were used other than those specified; and that the work has not yet been submitted or published as a thesis elsewhere. Any previously acquired or attempted doctoral degrees are to be reported stating the time, the relevant research and teaching institution, and the topic of the submitted thesis.
- If applicable, a list of existing academic publications.

(2) After the submitted documents have been examined by the Examination Board responsible for the subject, the Dean shall make decisions about initiating the assessment procedure and appointing the Doctoral Degree Committee.

§ 7 The doctoral thesis

(1) The thesis must generate new knowledge and meet scientific requirements in terms of content and form.

(2) It must be submitted in German. Writing in English is also permitted, provided the supervisor agrees. As a general rule, this should be regulated in the supervision agreement. In this case, a summary in German must be added to the thesis. The Examination Board of the subject in question may also permit the use of another language provided expert assessment can be secured within the Faculty. For this purpose, the doctoral candidate submits an application to the chairperson of the Examination Board before preparing the thesis, stating the reasons. The Dean is to be informed of the Examination Board's decision.

(3) The thesis usually consists of a monograph. In exceptional cases, it may be cumulative based on peer-reviewed publications. This must be regulated in the supervision agreement at the time of admission to the programme. The Doctoral Degree Board shall decide on these subject-specific exceptions at the request of the relevant Examination Board.

(4) Cumulative theses require at least three original works in peer-reviewed publications. The doctoral candidate must be the main author of at least two of the works. The Doctoral Degree Board shall decide on the recognition of publications with shared main authorship at the request of the relevant Examination Board. The doctoral candidate and the supervising university professor are to be invited to the

corresponding meeting. In cumulative doctoral theses, it must be clearly indicated which work was completed independently. The co-authors must confirm this in writing. In addition to the publications, the research questions must be presented uniformly in a larger context in cumulative theses, and the publications must be classified accordingly.

§ 8 Assessment of the doctoral thesis

(1) The Dean, in consultation with the chairperson of the relevant Examination Board, shall appoint a first and second reviewer to assess the thesis. In exceptional cases, an additional reviewer may be appointed at the request of the doctoral candidate or based on a decision by the relevant Examination Board.

(2) The reviewers must belong to the group of university professors, including assistant professors (APL), honorary professors, and associate professors (PD). The first reviewer must also be a member of the Faculty of Arts and Humanities of Humboldt-Universität zu Berlin or have been one within the last 2 years at the most. The second reviewer can belong to another Faculty or university.

(3) By taking on this role, the reviewers agree to submit their reports to the Dean within three months following receipt of the thesis. If this deadline is exceeded, the Examination Board responsible will request a statement from the reviewer and, if necessary, suggest an alternative reviewer to the Dean.

(4) The reviewers evaluate the thesis and recommend either acceptance or rejection and propose a grade to be awarded pursuant to para. 8. If both reviewers do not accept the thesis, it must be rejected. The reviewer reports are made available to the candidate immediately.

(5) These reports must be compiled independently of one another.

(6) Once all the reports on the thesis are available, the university professors of the Faculty including the assistant professors (APL), honorary professors and associate professors (PD) shall be informed in writing. The reviewer reports and the thesis are usually made available for inspection for two weeks during the lecture period. During this period, the persons mentioned in sentence 1 can comment in writing on the thesis and the reviewer reports. The thesis defence can only be held after this period has elapsed.

(7) The Doctoral Degree Committee shall decide whether the thesis is accepted or rejected on the basis of the available reviewer reports and shall determine the grade of the thesis if it is accepted. In the event that the reviewers propose differing grades, which cannot be decided by the Doctoral Degree Committee, the Dean shall consult a third reviewer at the request of the chairperson of the Doctoral Degree Committee.

(8) The assessment of the doctoral thesis is conducted as follows:

- summa cum laude (excellent)
- magna cum laude (very good)
- cum laude (good)
- rite (sufficient)
- non sufficit (insufficient)

The grade "summa cum laude" may only be awarded if both reviewers agree on their assessment of the written thesis, and an external third reviewer (not from Humboldt-Universität), who must be consulted in this case, confirms the grade.

(9) If at least one reviewer report awards a negative grade (non sufficit, insufficient) or if at least one reviewer requests changes to the thesis, the Doctoral Degree Committee shall decide on this and notify the doctoral candidate of the necessary changes with the request for implementation. The revised doctoral thesis must be submitted within a year and reassessed by the reviewers. If the doctoral thesis is once again awarded the grade "non sufficit" (insufficient) by two reviewers following revision, the Doctoral Degree Committee shall recommend to the Doctoral Degree Board that the doctoral thesis be rejected and the procedure be terminated. A rejected doctoral thesis and all the reviewer reports shall remain in the files of the Doctoral Degree Board.

§ 9 The thesis defence

(1) The oral examination generally takes the form of a thesis defence carried out during the lecture period. The purpose of the thesis defence is to demonstrate the doctoral candidate's ability to verbally present and discuss scientific problems in the doctoral subject and related areas, and to defend their thesis.

(2) The thesis defence is open to members of the University. The chairperson of the Doctoral Degree Committee may exclude the public if there are serious grounds.

(3) The thesis defence is held in German. English is also permitted, provided the Doctoral Degree Committee agrees. Exceptions to sentence 1 may be made by the relevant Examination Board at the request of the doctoral candidate.

(4) The date and location of the thesis defence must be made public (via notice boards) in the Faculty 14 days in advance, including the thesis topic.

(5) The thesis defence should last at least 60 and no more than 90 minutes. As an introduction, the doctoral candidate explains the hypotheses he/she submitted in writing for the defence eight days prior. The reviewers, the members of the Examination Board, the present university professors and academic staff of the Faculty have the right to ask questions. The Examination Board responsible for the subject regulates the form and content of the thesis defence.

(6) After the thesis defence, the Doctoral Degree Committee evaluates the performance in a closed meeting. The chairperson of the Doctoral Degree Committee then announces the candidate's grade.

(7) The grades specified in § 8 para. 8 apply to the oral examination.

(8) The progression and results of the thesis defence are to be recorded by the Doctoral Degree Committee and handed over to the relevant Examination Board.

(9) If the doctoral candidate fails to attend the thesis defence without providing a satisfactory explanation for his/her absence, the defence shall be deemed as failed. The doctoral student must be informed of this in writing. This letter must be accompanied by the information on legal appeal.

§ 10 Assessment of doctoral degree performance

(1) The overall grade is determined by the Doctoral Degree Committee and is made up of the of the grades awarded for the thesis and the thesis defence, with the thesis being weighted twice as heavily.

(2) The grades specified in § 8 para. 8 shall apply. The overall grade "summa cum laude" can only be awarded if the thesis defence was also awarded "summa cum laude". The overall grade "non sufficit" (failed) is awarded if at least half of the grades were given a grade lower than "rite".

(3) After successfully completing the thesis defence, the doctoral candidate shall receive a certificate stating the results of his/her doctoral degree procedure. The regulations listed in § 16 para.1 shall remain unaffected.

§ 11 Repeating examinations

(1) If the doctoral thesis is rejected, it can be submitted once again in a revised form, after a period of six months at the earliest and two years at the latest.

(2) If the thesis defence is not passed, it can be repeated after a period of three months at the earliest and six months at the latest.

§ 12 Suspension and termination of the procedure

(1) The doctoral degree procedure may be terminated at the request of the doctoral candidate, provided no reviewer reports have already been submitted. In this case, submission of the doctoral thesis and enrolment as a doctoral candidate shall be deemed not to have taken place, and all submitted documents shall be returned. The request is to be submitted to the Dean in writing.

(2) The Dean may, with the prior written consent and a statement from the supervisors, and after consulting with the doctoral candidate, terminate the procedure, if

- more than six months have passed since the expiration of admission
- due to reasons within his/her control the doctoral candidate fails or refuses to comply with a written request to continue the doctoral degree procedure in due course
- the doctoral candidate announces that he/she does not wish to continue with the doctoral degree procedure after a written reviewer report has been submitted
- a violation of the rules of good scientific practice or scientific misconduct has been proven.

§ 13 Publishing of the doctoral thesis

(1) The doctoral thesis must be made adequately available to the academic community. Permission to print must be obtained prior to publishing. Permission to print is granted by the first reviewer and the chairperson of the subject-specific Examination Board. They may make the permission dependent on amendments.

(2) After the defence, the thesis can be translated into another language for publication with the approval of the relevant Examination Board.

(3) For the purposes of publication, the author has to submit the following deposit copies free of charge to the University Library according to its specifications:

- a) three to six publisher's copies, if the doctoral thesis is published by a commercial publisher (incl. book on demand) and if it is declared on the reverse of the title page that Humboldt-Universität zu Berlin was the place where the doctoral thesis was written; or
- b) one complete copy of the doctoral thesis if it is published in a journal (this also applies to cumulative doctoral theses for which all of the contributions are published); or

- c) a complete printed copy and an electronic version, the format and data carrier of which must be agreed upon with the University Library.

In this case, the provisions of the Humboldt-Universität edoc server are to be observed. The doctoral candidate grants the University Library of the Humboldt-Universität, the German National Library (DNB) the right to publish the electronic version in data networks and assures that the electronic version matches the accepted thesis.

The doctoral candidate must grant the University Library the rights of distribution and reproduction as may be deemed necessary by the latter. If a thesis is distributed by a commercial publisher and if a printing cost subsidy is granted from public funding, an appropriate number of copies (at least ten) must be made available to the University Library for exchange purposes.

- (4) The submission of partial publications is not permitted.

(5) The deposit copies to be submitted pursuant to § 13 para. 3 must state that the doctoral degree procedure was carried out at the Faculty of Arts and Humanities of Humboldt-Universität zu Berlin. Furthermore, the names of the reviewers and the Dean must be included, and the date of the thesis defence given as the date the doctoral degree was awarded.

(6) The copies to be submitted pursuant to § 13 para. 3 must be submitted to the University Library within two years after the thesis defence is passed. In justified cases, the chairperson of the Examination Board may extend the deadline for submitting the deposit copies by up to two years. The doctoral candidate must provide the Faculty with proof that the deposit copies have been submitted.

(7) If the candidate fails to obtain permission to print from the chairperson of the Examination Board and the first reviewer, or if he/she fails to meet the deadline set for submission, all rights acquired through the examination shall expire. The Dean shall, upon request, make decisions regarding any exceptions.

§ 14 The doctoral certificate

The doctoral certificate shall contain:

- the names of the University and the Faculty
- forename(s) and surname(s), as well as birth name, if applicable; place of birth, and date of birth of the doctoral candidate;
- the name of the doctoral degree
- the doctoral subject
- the topic of the doctoral thesis;
- the grade of the thesis and the thesis defence as well as the overall grade of the doctoral examination;

- the date of the thesis defence;
- in the case of international doctoral degree procedures (Cotutelle), a reference to the doctoral candidate's performance at the other university
- the signature of the President and the Dean
- the seal of the University.

§ 15 Escape clause

For cross-faculty doctoral degree procedures as part of structured doctoral degree programmes as well as for international doctoral degree procedures (Cotutelle), individual points may deviate from the present Doctoral Degree Regulations. This requires that the doctoral candidate be admitted pursuant to § 4 of these Doctoral Degree Regulations and that a written agreement regarding the specific doctoral degree procedure be concluded between the Faculty of Arts and Humanities and the participating partners.

§ 16 Conferral and revocation of the doctoral degree

(1) The doctoral certificate must be issued within four weeks after the delivery obligations have been fulfilled pursuant to § 13. The doctoral candidate may only bear the doctoral degree once the doctoral certificate has been issued.

(2) If, prior to the delivery of the doctoral certificate, the doctoral candidate is found guilty of deception in providing evidence of doctoral achievements, or that essential requirements for admission to the doctoral degree programme have been falsely assumed, the doctoral degree procedure must be declared invalid.

- (3) The doctoral degree may be revoked
- a) if it subsequently comes to light that deceptive means were used to acquire it, or that essential documents for its conferral have not been submitted
 - b) if it has been used improperly in the event of an intentional criminal offence

(4) The Presidential Committee of Humboldt-Universität zu Berlin shall make decisions regarding the revocation of an academic degree after an investigation by the Committee to review allegations of academic misconduct of Humboldt-Universität.

The decision must be justified in writing and be accompanied by information for legal appeals.

§ 17 Inspection of doctoral records and appeals

(1) The candidate may view the doctoral records upon completion of the doctoral degree procedure.

(2) The doctoral candidate may raise objections (appeals) against all decisions within the context of the doctoral degree procedure to the Doctoral Degree Board. The objections must be received no later than three months after completion of the

doctoral degree procedure.

The Doctoral Degree Board shall forward any objections to assessments to the reviewers concerned. They must then reconsider their decision taking into account the arguments of the doctoral candidate and submit their results to the Doctoral Degree Board with a justification within four weeks. The doctoral candidate will be informed of the results by the Doctoral Degree Board.

§ 18 Conferral of the title Doctor philosophiae honoris causa (honorary doctorate)

The Faculty Board confers the title of Doctor philosophiae honoris causa (Dr. phil. h.c.) for outstanding academic achievements. The following procedure applies to the conferral of an honorary doctorate:

(1) The application must be submitted in writing to the Dean by one or more professors from the Faculty. It must contain:

- a comprehensive, biographical appraisal of the proposed candidate;
- a bibliography of his/her major works;
- a detailed justification
- a draft of the wording of the doctoral certificate

(2) After checking it for completeness, the Dean forwards the application to the Faculty Board.

(3) The Faculty Board appoints a committee that examines the requirements for the honorary doctorate and prepares a report for the decision-making process in the Faculty Board. The committee shall consist of: The applicant, three other university professors, one academic staff member with a doctoral degree, and one student in an advisory capacity.

(4) On the basis of the committee's report, the Faculty Board shall come to a decision by a majority of the valid votes cast. Approval must be obtained from the University Senate.

(5) Once the procedure is complete, the Dean shall inform the proposed candidate of the Faculty's intentions. Once the proposed candidate has given his/her consent, the honorary doctorate can be conferred.

§ 19 Commencement, transitional provisions

(1) These Doctoral Degree Regulations become effective on the day after publication in the University Gazette of Humboldt-Universität zu Berlin. At the same time, the Doctoral Degree Regulations issued by the Faculty Board of the Faculty of Arts and Humanities on 8 July 2009 (University Gazette of Humboldt-Universität zu Berlin AMB No. 08/2010) shall cease to be effective.

(2) The present Doctoral Degree Regulations shall apply to all procedures initiated after their commencement.

Example supervision agreement¹

Between

_____ (Doctoral candidate)

_____ (First supervisor)

_____ (Second supervisor).

For the purposes of a constructive and productive collaboration within the framework of the doctoral thesis project, [doctoral candidate], [first supervisor] and [second supervisor] hereby conclude the following supervision agreement.

[Mr/Ms] has been a [doctoral candidate] of the Faculty of Arts and Humanities in the field of [subject] since

Doctoral thesis project

1. [Doctoral candidate] is compiling a doctoral thesis with the working title "[.....]". The thesis is being written in [German/English]. The project is described in more detail in an exposé dated [date] and was accepted by [supervisors] and the Doctoral Degree Board of the Faculty of Arts and Humanities on [respective dates].²
2. The following period has been agreed upon for the completion of the doctoral thesis project: [semester] to [semester]. If valid reasons are provided (e.g. family obligations, health restrictions), the time allotted to complete the doctoral thesis project may be extended.
3. For the doctoral thesis project, the work schedule / time frame (dated [date]) agreed upon by [doctoral candidate] and [supervisor/supervisors] and listed in the annex shall apply.
4. The agreement and its annexes shall be reviewed and, if necessary, modified [frequency, e.g. yearly] by all parties.
5. [Both supervisors] agree to ensure that the period between the submission of the doctoral thesis and the thesis defence does not exceed [xx] months.

Supervision of the doctoral thesis project

6. [Doctoral candidate] and [both supervisors] shall discuss the progress of the thesis on the basis of exposés, interim reports and individual chapters [frequency, first supervisor at least once per semester; second supervisor at least once per year]. [Doctoral candidate] shall compile a short report on the meetings which shall be signed by the [supervisor].
7. [Supervisor] agrees to regularly check on the completion of these interim results and the scheduled progress of the thesis, and to provide comprehensive oral and/or written comments on the contributions provided at the scheduled meetings.
8. In addition to the supervisory meetings, once a year [doctoral candidate] shall give a colloquium on the status of the thesis and receive feedback on the status of the project and possible improvements that can be made.
9. [Both supervisors] shall support [doctoral candidate] with his/her publications. In particular, [supervisors] shall work to an appropriate extent to ensure that publications by [doctoral candidate] can be placed in reputable specialist journals taking into account discipline-specific and justified authorship requirements.

¹ Changes or adjustments to this example agreement must not conflict with the "spirit" of the Doctoral Degree Regulations.

² If a cumulative thesis is planned pursuant to § 7 para. 3 of the Doctoral Degree Regulations, this should be recorded here.

Accompanying training programme

- 10. All parties shall come to a binding agreement regarding the specialist events and interdisciplinary qualification events to be attended by [doctoral candidate]. The scope and content shall be specified in the work schedule.
- 11. Over the course of the doctoral degree programme, [doctoral candidate] shall perform independent academic work [e.g. attending a conference, submitting a journal article, organising a conference, internship or course, stays abroad, etc.]. This shall be promptly recorded in the work schedule.

Procedure in the event of a conflict

- 12. If a conflict arises, the parties shall first contact the relevant Examination Board or the Doctoral Degree Board of the Faculty. In the event that the supervisory relationship is terminated, the relevant Examination Board shall endeavour to find an alternative supervisor with a suitable level a specialism.
- 13. [Doctoral candidate] and [both supervisors] agree to adhere to the rules of good scientific practice, as set out in the University's "Regulations governing the principles for ensuring good scientific practice and handling allegations of scientific misconduct" dated 17 February 2014. For [doctoral candidate], this includes consulting with [supervisors] or other trusted individuals in case of any doubt. For [supervisors], this expressly means that they are required to comply with and specify the copyright provisions for texts or findings of the [doctoral candidate].

Additional agreements

Date and signature:

(Date, doctoral candidate)

(Date, first supervisor)

(Date, second supervisor)

Annex 1: Sample thesis title page

[THESIS TITLE]

Doctoral thesis

submitted for the academic degree of

Doctor philosophiae
(Dr. phil.)

to the Faculty of Arts and Humanities of Humboldt-Universität zu Berlin

by [ACADEMIC DEGREE, FORENAME, SURNAME; IF APPLICABLE,
BIRTH NAME] born on [DATE OF BIRTH] in [PLACE OF BIRTH /
IF APPLICABLE, COUNTRY]

[Academic degree, forename, surname]
President of Humboldt-Universität zu Berlin

[Academic degree, forename, surname]
Dean of the Faculty of Arts and Humanities

Reviewers

1st reviewer: [Academic degree, forename, surname]

2nd reviewer: [Academic degree, forename, surname]

Berlin, [date]

Annex 2: Example confirmation of completion of the doctoral degree procedure

To be submitted

Confirmation

This is to certify that [title, forename, surname] on [date]

successfully completed the doctoral degree procedure at the Faculty of Arts and Humanities at Humboldt-Universität zu Berlin.

The title of the doctoral thesis is: "[Title]"

Grade awarded for doctoral thesis: [Grade]

Grade awarded for thesis defence: [Grade]

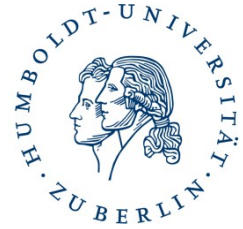
Overall grade: [Grade]

Pursuant to § 12 para. 1 of the Doctoral Degree Regulations, this confirmation does **not** entitle the doctoral candidate to bear the title of "Doctor".

[Academic degree, forename, surname]
Dean of the Faculty of Arts and Humanities

Annex 3: Sample doctoral certificate

HUMBOLDT-UNIVERSITÄT ZU BERLIN



CERTIFICATE

Following a doctoral degree procedure and pursuant to the Doctoral Degree Regulations of [d a t e], the Faculty of Arts and Humanities awards

[T i t l e, f o r e n a m e, s u r n a m e]

born on [d a t e] in [p l a c e]

the academic degree of

DOCTOR PHILOSOPHIAE (DR. PHIL.).

Doctoral subject: [S u b j e c t]

Topic of doctoral thesis: [T o p i c]

Grade awarded for doctoral thesis: [G r a d e]

Date of thesis defence: [D a t e]

Grade awarded for thesis defence: [G r a d e]

O v e r a l l g r a d e: [O v e r a l l g r a d e]

[Seal of the University]

Berlin, [date]

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President of Humboldt-
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