

University Gazette



Faculty of Arts and Humanities I

Doctoral Degree Regulations of the Faculty of Arts and Humanities I

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reading version

Doctoral Degree Regulations of the Faculty of Arts and Humanities I

Pursuant to §§ 25(4) and 35 of the Berlin Higher Education Act (BerlHG) in the version of the amending law dated 21 April 2005 in conjunction with § 17 para. 1 of the Statutes of Humboldt-Universität zu Berlin (University Gazette AMB No. 28 dated 19 June 2006), the extended Faculty Board of the Faculty of Arts and Humanities I of Humboldt-Universität zu Berlin approved the following Doctoral Degree Regulations on 8 July 2009:¹

§ 1 The doctoral degree

- (1) The Faculty of Arts and Humanities I 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 a special academic qualification, demonstrated through independent research, that goes beyond the level of a degree from an institute of higher education.
- (3) The doctoral subjects are as follows: Library and Information Science; European Ethnology; Historical Sciences and Philosophy.

§ 2 Doctoral degree procedure

- (1) The doctoral examination provides evidence of the ability to complete in-depth scientific work.
- (2) The Faculty, represented by the Dean, is responsible for carrying out the doctoral examination. The Dean is supported by the existing subject-specific Examination Boards.
- (3) The Examination Boards may delegate parts of their competencies to their chairperson.
- (4) Decisions regarding objections to resolutions of the Examination Boards or their chairpersons are made by the Faculty Board.

§ 3 Admission to the programme and initiation of the procedure

- (1) Decisions regarding admission to the doctoral degree programme are made by the Dean. 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. The Dean determines whether the applicant fulfils the necessary requirements. Once the applicant has been admitted to the programme, the Dean appoints one or more academic supervisors

for the programme, the second of which may belong to another Faculty or university.

- (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 (master's degree with a total BA/MA workload of 300 credit points, Magister's examination, state examination, diploma or equivalent qualifications).

The Faculty Board makes decisions regarding any exceptions. For this purpose, the Examination Board responsible for the subject in question must submit a substantiated application to the Dean. Graduates of foreign universities must provide evidence of the equivalence of their academic university degree.

- b) 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 on admission. It is entitled to impose conditions.

- c) Proof of the language skills required to work on the doctoral topic. In justified exceptional cases, the responsible Examination Board may deviate from this requirement.

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

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

§ 4 Enrolling as a doctoral candidate

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

1. 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.
2. Signed CV
3. Evidence that the requirements mentioned in § 3 para. 2 have been met

¹ The present Doctoral Degree Regulations were confirmed by the Berlin State Department of Education, Science and Research on 26 January 2010.

4. Four copies of the thesis

5. 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.

6. 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 decides whether to initiate the assessment procedure.

§ 5 The doctoral thesis

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

(2) It must be written in German. 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) In exceptional cases, the Faculty Board may accept a work that has already been published as a thesis or as part of a thesis, in which case the relevant Examination Board shall determine how the provisions pursuant to § 10 paras. 3 to 6 are to be taken into account.

§ 6 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 I of Humboldt-Universität zu Berlin. The second reviewer can belong to another Faculty or university.

(3) By taking on this role, the reviewers agree to submit their reports within three months following receipt of the thesis.

The reviewers evaluate the thesis and recommend either acceptance or rejection and propose a grade to be awarded pursuant to para. 6. If both reviewers do not accept the thesis, it must be rejected. The reviewer reports are made available to the candidate immediately.

(4) 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 people named in sentence 1 can exercise their right to a written statement. The thesis defence can only be held after this period has elapsed.

(5) The Dean 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, the Dean shall consult the relevant Examination Board. In consultation with the Examination Board, the Dean may appoint a third reviewer.

(6) When assessing the thesis, the following grades shall apply:
 summa cum laude (excellent);
 magna cum laude (very good);
 cum laude (good);
 rite (sufficient).

The grade "summa cum laude" may only be awarded if both reviewers agree on their assessment of the written thesis, and a third reviewer, who must be consulted in this case, confirms the grade.

§ 7 The thesis defence

(1) The Dean shall appoint a chairperson of the Doctoral Degree Committee in consultation with the chairperson of the relevant Examination Board. The appointed chairperson must belong to the group of university professors, including assistant professors (APL), honorary professors, and associate professors (PD). The reviewers shall also be members of the Doctoral Degree Committee. In addition, a minute-taker must be appointed who holds a doctoral degree.

(2) 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. The thesis defence is held in German. The relevant Examination Board may allow exceptions at the request of the doctoral candidate.

(3) 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.

(4) 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.

(5) 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.

(6) The grades specified in § 6, para. (6) apply to the oral examination. A grade of at least "rite" must be achieved.

(7) 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.

§ 8 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 following grades apply:
summa cum laude (excellent); magna cum laude (very good);
cum laude (good);
rite (sufficient).

The overall grade "summa cum laude" can only be awarded if the thesis defence was also awarded "summa cum laude".

(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 § 12 para. 1 shall remain unaffected.

(4) Disputing the decided grade is permitted pursuant to the General Study and Examination Regulations (ASSP) of Humboldt-Universität zu Berlin.

§ 9 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.

§ 10 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 Examination Board. They may make the permission dependent on amendments.

(2) The thesis may be translated into another language for publication with the approval of the Examination Board.

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

Either

a) four complete copies, which are printed on non-ageing, wood- and acid-free paper and durably bound, as well as an electronic version, the file format and data carrier of which must be agreed upon with the University Library. The publication must contain a summary in German and English. The doctoral candidate grants the University Library of the Humboldt-Universität, the German National Library (DNB) and, if applicable, the German Research Foundation (DFG) Special Subject Collection library the right to publish the electronic version in data networks and assures that the electronic version matches the accepted thesis. The University Library shall check the version provided for legibility and compliance with the required specifications. If files are submitted that do not meet the required specification in terms of file format and data carrier, the obligation to publish shall be deemed unfulfilled; or

b) at least 40 copies each as hard-bound copies or as microforms for the purpose of distribution, or

c) 3 to 6 copies if the work is to be published in a magazine, or

d) 3 to 6 copies, if a commercial publisher takes over the distribution via bookstores, and a minimum print run of 150 copies can be proven, or

e) 3 copies, typed and copyable, along with the master copy and 40 further copies in the form of microfiches.

In cases a), b) and e), the doctoral candidate shall grant the University the right to make further copies of his/her thesis and to distribute them as part of the usual exchange between universities. 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 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 § 10 para. 3 must state that the doctoral degree procedure was carried out at the Faculty of Arts and Humanities I 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 § 10 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. 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.

§ 11 The doctoral certificate

The doctoral certificate shall contain:

1. the names of the University and the Faculty;
2. forename(s) and surname(s), as well as birth name, if applicable; place of birth, and date of birth of the doctoral candidate;
3. the name of the doctoral degree, the doctoral subject;
4. the topic of the doctoral thesis;
5. the grade awarded for the doctoral thesis and the overall grade awarded for the doctoral examination;
6. the date of the thesis defence;
7. the signature of the President and the Dean;
8. the seal of the University.

§ 12 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 § 10. 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 can be revoked pursuant to existing legal provisions.

§ 13 Inspection of doctoral records

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

§ 14 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:

1. a comprehensive, biographical appraisal of the proposed candidate;
2. a bibliography of his/her major works;
3. a detailed justification;
4. 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.

§ 15 Commencement, transitional provisions

(1) The present Doctoral Degree Regulations shall become effective the day after they are published 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 I on 18 May 2005 (University Gazette of Humboldt-Universität zu Berlin AMB No. 32/2005) shall cease to be effective in accordance with the exemption clause mentioned in para. (2).

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

(3) The President is authorised to publish the latest version of the Doctoral Degree Regulations in the *University Gazette of Humboldt-Universität zu Berlin*.

Annex 1: Example of the title page of a doctoral thesis

[THESIS TITLE]

Doctoral thesis
submitted for the academic degree of

**Doctor philosophiae
(Dr. phil.)**

to the Faculty of Arts and
Humanities I 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]

The President of Humboldt-Universität zu Berlin

The Dean of the Faculty of Arts and Humanities I

Reviewers

1.

2.

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

Mr/Ms

Berlin, (date)

CONFIRMATION

This is to certify that Mr/Ms successfully completed the doctoral degree procedure at the Faculty of Arts and Humanities I of Humboldt-Universität zu Berlin on

The topic of the doctoral thesis is:

.....

The doctoral thesis and thesis defence were awarded the grade ".....".

Overall, Mr/Ms..... achieved the 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".

The Dean

Annex 3: Example of a doctoral certificate (after publication of the doctoral thesis)

HUMBOLDT-UNIVERSITÄT ZU BERLIN
Faculty of Arts and Humanities I

following a doctoral degree procedure pursuant to the Doctoral
Degree Regulations, awards

Mr/Ms
born on in

the academic degree of
DOCTOR PHILOSOPHIAE
(Dr. phil.)

Doctoral subject:
Topic of doctoral thesis:
Grade awarded for doctoral thesis:
Date of thesis defence:
Grade awarded for thesis defence:

Overall grade:

Berlin, (date)

(Seal)

The President

The Dean