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## **Doctoral degree regulations of the Faculty of Humanities at the University of Tübingen**

On 22 March 2018 the University of Tübingen Senate passed the following doctoral degree regulations in accordance with § 38 (4) sentence 1 of the state law governing institutions of higher education (Landeshochschulgesetz, LHG).

Approved by the President on 29 March 2018.

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### **§ 1 Types of doctorate**

(1) The University of Tübingen Humanities Faculty confers the academic title of Doctor of Philosophy (Dr. phil.) in one of the subjects it represents on the basis of a scholarly work (doctoral thesis) and an oral defense.

(2) The Faculty of the Humanities may confer an honorary title of Doctor of Philosophy for special services to knowledge and culture with respect to the Humanities. An application may be lodged by any full professor at the faculty; it is then forwarded via the head of the department to the head of the doctoral examination committee. The application must be considered by the doctoral examination committee at three different meetings: A first meeting is for registration and a report; the second is held for discussion and the appointment of a committee; at the third, there is a discussion of the committee's report and a resolution. The honorary doctorate

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takes effect upon presentation of the doctoral certificate, in which the recipient's special achievements are to be set out.

(3) The decision for an honorary doctorate requires a two-thirds majority of the members of the special committee formed under paragraph (2) above.

## **§ 2 Doctoral examination committee**

(1) All decisions not expressly covered by these doctoral degree regulations are to be made by the doctoral examination committee. The head of the doctoral examination committee is the Dean, who may delegate doctoral examination duties to the responsible Vice-Dean. Insofar as no decision on the assessment of doctoral work is being made, the doctoral examination committee can authorize the committee head to make decisions. The doctoral examination committee may provide specification for decisions which the head of the committee is thus authorized to make alone. The doctoral examination committee also decides on the launching of a procedure for an honorary doctorate; in this case, further consultation is carried out and decisions made by the special committee formed under § 2 (3).

(2) Apart from the head of the committee, the doctoral examination committee is composed of 12 full-time professors of the faculty, specifically:

3 members from the Department of Ancient Studies and Art History

2 members from the Department of Asian and Oriental Studies

1 member from the Department of History

4 members from the Department of Modern Languages

2 members from the Department of Philosophy - Rhetoric - Media.

The members of the doctoral examination committee are appointed by the faculty council at the suggestion of the departments; for each member, two deputies from the same department are chosen. Their term of office is six years. If a member leaves the board in that time, the faculty council shall designate a successor at the suggestion of the departing member's department.

(3) In the case of honorary doctorates, the doctoral examination committee is composed as follows: If the honorary doctorate is being conferred for special services to a particular subject, up to 6 full-time professors of the department to which that subject belongs are to attend the third meeting as voting members. If it is being conferred for special services which cannot be allocated to one single subject or department, the doctoral examination committee in its composition under § 2 (2) is responsible.

(4) The doctoral examination committee has a quorum if at least nine members (including the head of the committee) or alternatively their representatives are present. In the case of honorary doctorates, any special committee formed under § 1 (3) has a quorum if at least two-thirds of voting members are present.

(5) Doctoral examination committee meetings are not open to the public.

(6) Decisions are passed with a majority of the votes, unless otherwise agreed. In the event of a tie, the committee head's vote decides the matter. The decision is reached by open ballot. Abstention from voting is not permitted. If the committee is deciding on the assessment of doctoral theses, the minutes must record not only the result of the vote and where appropriate the processes of opinion formation and voting, but also how many members decided upon the basis of which examiner's report or objections or parts thereof.

(7) Those involved are obliged to maintain confidentiality. This obligation also extends to confidentiality regarding all associated documents.

(8) The tasks of a ombudsperson under § 38(4) LHG are usually undertaken by the committee head; upon application by the doctoral candidate or one of his/her supervisors or a member of the doctoral examination committee, the committee may also entrust another full-time professor at the faculty with this role.

### **§ 3 Prerequisites for doctoral studies**

(1) The prerequisite for acceptance as a doctoral candidate and for admission to the doctoral qualification process is usually, without prejudice to the further requirements under § 5, studies successfully completed with an examination in the respective subject at an academic institution of higher education in Germany in

- a Master's Degree program or other postgraduate degree program or
- a degree course of at least four years regular duration of study at a University, a college of Art or Music or Education or another institution of higher education with the right to confer doctorates.

(2) Degrees in other disciplines from institutions of higher education outside Germany may be recognized if they are equivalent. Regarding the equivalency of international degrees, the committee will draw upon the Equivalency Agreements approved by the Standing Conference of the Ministers of Education and the German Rectors' Conference as a basis for decision. If there are doubts about equivalency, the relevant authority (Zentralstelle für ausländisches Bildungswesen) may be consulted. If subsequently there are still doubts about equivalency, an oral exam may be held to establish whether the candidate is qualified to carry out doctoral studies in the relevant subject. In this examination, the candidate must demonstrate that he/she has knowledge of a standard equivalent to that of final examinations in Germany. Such an exam is conducted by two professors or other members of academic teaching staff appointed by the head of the doctoral examination committee. This exam takes approximately 45 minutes and may be conducted in a language other than German, upon application by the candidate and if the designated examiners approve. The applicant has passed if his/her performance is given a "pass" grade by both examiners. If the applicant's performance is given a "fail" grade by at least one examiner, the exam may be attempted one more time.

(3) Degrees from study programs which are not equivalent may be recognized if there is significant overlap of the contents and it is ensured that the applicant has the methodological and language skills which are required for a degree in the desired doctoral subject. In some cases, the committee may require the applicant to carry out up to four modules of additional coursework; documentation of these is to be presented before admission to the doctoral qualification process.

(4) Highly qualified holders of a diploma from a university of applied science or cooperative education will be admitted to doctoral studies if screening shows that they are qualified to carry out academic work in the doctoral subject at the same level as university graduates. The same goes for highly-qualified holders of a Bachelor's degree not covered under § 3(1). For admission to the aptitude test the applicant must usually have been among the top 30 percent of his/her graduating year at the institution of higher education or university of cooperative education he/she was enrolled in at the time of his/her final examination; the applicant must provide documentation of this from the relevant institution. A requirement for admission to the aptitude test is that the applicant shows in an oral examination that he/she is qualified to do academic work or that such a qualification is likely to be obtained in the course of the aptitude test.

The aptitude test process usually takes place over two or a maximum of three semesters. The doctoral examination committee shall decide on the coursework, of up to 20 semester credit

hours, to be completed; the committee shall be guided by the doctoral supervisor where applicable; up to four pieces of assessment may be required. The aptitude test is concluded with a 45-minute oral examination in the desired doctoral subject; the test shall be conducted according to para. (2) sentences 6 – 9.

(5) The applicant must demonstrate sufficient knowledge of the German or the English language. The doctoral examination committee will decide in what form this language proficiency must be proven, either generally or on a case-by-case basis. Subject-specific language requirements are set out in the appendix to these regulations.

#### **§ 4 Acceptance as a doctoral candidate and maximum duration of doctoral studies**

(1) A student who meets the requirements under § 3 and intends to complete a doctoral thesis may apply to the Faculty for acceptance as a doctoral student, giving details of his/her planned thesis topic.

(2) The application should contain:

1. details of the subject in which the doctorate is to be obtained,
2. the preliminary title of the planned thesis and
3. usually, the name of the desired supervisors and the written supervision agreement under para. (4) sentence 3.

The application must also include proof that the requirements under § 3 have been met. A candidate may be granted qualified admittance until all necessary documentation has been submitted in accordance with § 2(1).

(3) An application for admittance as a doctoral candidate will be rejected if the requirements under § 3 and § 4(2) are not met or if the planned topic is clearly inappropriate for a doctoral thesis, or if no faculty member with an obligation to supervise is able to supervise the candidate. Approval will also be denied if there is a reason to do so under § 7(2) nos. 5 - 10. The reason for the rejection of the application must be given in writing, along with information on the right to appeal.

(4) The head of the examination committee will assign at least two academic supervisors to the doctoral student; usually the supervisors foreseen under paragraph 2(3). One of the supervisors is the main supervisor. The doctoral student and the supervisors are to sign a written supervision agreement under § 38(5) LHG. If the head of the examination committee does not wish to comply with the doctoral student's wish, the doctoral examination committee will make the decision. If more than two supervisors are appointed, at this point it must be determined which supervisor is to be the thesis examiner in this doctoral examination process. A later change of supervisor or supervisors is possible if progress of the work requires it. Such a change usually requires the approval of the doctoral examination committee.

(5) The primary supervisor must be a member of teaching staff, a Privatdozent or extraordinary professor at the Faculty of the Humanities or an academic staff member under para. (6). Teaching staff and Privatdozenten at the Faculty of Humanities may be appointed as primary supervisors in doctoral subjects for which they have no *venia legendi* or which do not correspond to the denomination of their position, insofar as representatives of the respective doctoral subject give their approval generally or in individual cases and the doctoral examination committee also gives its approval. In such cases at least one supervisor from the respective doctoral subject must be appointed. At least one supervisor must be a member of the Faculty of Humanities, usually a member of the subject or a member of teaching staff under para. (6) with a *venia legendi* in the doctoral subject. Furthermore, university teaching staff, emeriti and retired professors and Privatdozenten of the University of Tübingen, as well as a

maximum of one appropriately qualified member of another university or other academic institution of higher education including Universities of Applied Science or the Baden-Württemberg Cooperative State University, may be appointed as supervisors. The doctoral examination committee may in individual cases give the task of supervising theses to other members of the faculty or generally confer upon them the right to supervise theses, if they meet the relevant requirements, in particular that of the habilitation or equivalent. Furthermore, academic staff members with doctorates, to whom under certain conditions the doctoral examination committee has granted the authority to supervise and examine doctoral candidates, may be appointed as supervisors in individual cases.

(6) The doctoral examination committee may, upon application in individual cases or following a corresponding resolution by the doctoral examination committee, admit full-time professors from other faculties of the University of Tübingen as primary supervisors if they represent a subject which exists or is directly related to a subject at the Faculty of Humanities. If, at the doctoral candidate's request, two university teachers under sentence 1, one of whom does not have a *venia legendi* in the doctoral subject, or one university teacher under sentence 1 with a *venia legendi* in the doctoral subject and another university teacher from outside the faculty are to be appointed as supervisors, a further university teacher from the University of Tübingen with a *venia legendi* in the doctoral subject shall, if possible, be appointed to supervise the thesis. Academic staff who have been admitted by the doctoral examination committee as primary supervisors will be informed about doctoral examination processes as if they were members of the Faculty of Humanities and have the right to comment on and appeal against the process in accordance with § 11 paragraph (3).

(7) The duration of doctoral studies, within the framework of which doctoral candidates may be enrolled under the University of Tübingen's admissions and enrollment regulations, is eight semesters. In special cases a further, time-limited enrollment may be possible on the basis of the University's admissions and enrollment regulations. Even following termination of enrollment, the doctoral candidate is granted the right to use University facilities to a necessary extent.

(8) Acceptance as a doctoral candidate is confirmed by written notice.

(9) In accordance with the written supervision agreement and at least once a year, the doctoral candidate must report to the supervisors on the status and progress of the thesis. Acceptance as a doctoral candidate may be revoked if the duty to report on progress is not met. Acceptance as a doctoral student may be retracted if the application for admission to the doctoral qualification process under § 5 is not submitted within a reasonable time, usually within five years, and there are no external reasons for extending the period of doctoral studies. The candidate and the supervisors must first be allowed to make a statement on the matter. The reason for the revocation must be given in writing, along with information on the right to appeal.

## **§ 5 Application for admission to the doctoral qualification process**

(1) Applications for admission to the doctoral qualification process must be made to the head of the doctoral examination committee. The application must contain:

1. the title of the doctoral thesis,
2. the applicant's home address and address in/near Tübingen,
3. where applicable, the names of the supervisors of the thesis,
4. where applicable, the names of the desired thesis examiners,
5. where applicable, the names of the desired examiners in the oral defense,
6. the name of the desired doctoral subject.

(2) The application must be accompanied by:

1. the thesis (§ 6) as three complete printed copies and in electronic form, in the format required by the doctoral examination committee,
2. proof that the requirements under § 3 have been met, where applicable confirmation of acceptance as a doctoral candidate by the Faculty of the Humanities,
3. a curriculum vitae showing the student's professional and academic development as well as a complete list of academic publications,
4. a declaration on any previous abandoned or completed doctoral qualification processes or relevant examination processes in which the applicant has taken part,
5. a declaration on whether the doctoral thesis submitted has already been published in part or in its entirety and whether it has ever been submitted in part or in its entirety as a doctoral thesis or any other piece of assessed work, and if so, when and where, in which subject and with what result,
6. a declaration containing the following:  
*"I hereby declare that the thesis I submit for my doctorate with the title: ..... is my own independent work, that I used only the sources and resources cited and have clearly indicated all content adopted either word-for-word or in substance. I solemnly swear that this information is true and that I have not concealed any relevant information. I am aware that making a false declaration is punishable by a fine or by a prison term of up to three years."*  
In the case of § 6(2) the declaration must be adapted accordingly and a declaration in line with § 6(2) sentence 3 included.
7. a declaration by the applicant that his/her admission to the current doctoral qualification process was not the result of a commercial transaction. The applicant must specifically declare that he/she has not engaged any organization which accepts payment to seek supervisors to produce doctoral theses or which carries out in part or in its entirety the assessed work which it is incumbent upon the applicant to carry out. Furthermore, the applicant confirms that he/she is aware of the legal consequences of using a commercial thesis writing agency and the legal consequences of making untrue or misleading statements in this declaration (under § 21, exclusion from acceptance as a doctoral candidate and exclusion from admission to the doctoral qualification process, an end to the doctoral qualification process and annulment due to fraud of the degree if already held).
8. a declaration on academically-related criminal convictions, disciplinary measures and pending disciplinary proceedings, insofar as the duty to disclose is not barred by § 53 of the applicable law (Bundeszentralregistergesetz), and
9. if there are academically-related criminal convictions, a police clearance certificate issued no more than 6 months previously.

(3) Until the decision on the doctoral thesis has been made under § 11 (5) or (6), the application for admission to doctoral examination may be withdrawn by written declaration to the head of the doctoral examination committee without specifying reasons. As a result, the thesis would count as not submitted.

## **§ 6 Doctoral thesis**

(1) The doctoral candidate must demonstrate with his/her doctoral thesis that he/she is capable of independent academic work; the thesis must present the candidate's own research results - providing new academic insights - in an appropriate form and scope. Results are new in this sense even if other academics have arrived at the same results via underlying findings of a different nature than those used by the applicant, or if those findings were not made available to the applicant or were not made available to the applicant until a very late stage of his/her work. Academic publications and manuscripts accepted for publication may be incorporated.

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In addition to publications and manuscripts accepted for publication, manuscripts not yet accepted may be included. A coherent overall concept in line with the topic must be shown, and its connection with the sections included must be explained in writing. Details are set out in the implementation provisions.

(2) If the doctoral thesis or parts of it are the result of collaboration, the applicant must have composed his/her contributions independently and on his/her own authority. His/her individual work must be clearly recognizable, and his/her contributions must be in accordance with the requirements of content and scope set out in paragraph (1). The applicant must outline the framework of collaborative work, giving the names of any co-contributors and their share of the overall project as well as the significance of their contributions for the collaborative work, and include a corresponding declaration by the contributors insofar as they can be contacted.

(3) The doctoral thesis must be written in German or English. The doctoral examination committee will decide on the permissibility of any other languages; in doing so, it shall ensure that there is sufficient language proficiency among the supervisors and the examination committee to evaluate doctoral assessment. In such cases a summary in German or English must be included.

## **§ 7 Decision on admission to the doctoral qualification process**

(1) The committee head usually makes a decision on admission within two weeks of the application being submitted. In case of doubt, he/she will call upon the committee to make a decision.

(2) Admission will be denied if:

1. the application is incomplete and the missing documents were not submitted on time even following a request for them,
2. the doctoral thesis submitted clearly does not meet the requirements set out in § 6,
3. the requirements set out in §§ 3, 4 have not been met,
4. the applicant meets conditions which would justify the withdrawal of his/her doctorate,
5. (a) the applicant has already obtained or unsuccessfully sought the academic degree of Doctor of Philosophy (Dr. phil.) or an equivalent degree in the doctoral subject from this faculty or from another faculty in German or abroad;  
(b) the applicant is seeking a doctoral degree with a different classification or the same classification from another faculty of this University and cannot document any degree in a further study program under § 3;
6. the doctoral thesis submitted has already been rejected as insufficient in a doctoral qualification process or comparable procedure in a comparable subject or discipline,
7. a second attempt under § 17 was concluded unsuccessfully
8. the applicant has already unsuccessfully completed more than one doctoral qualification process in the doctoral subject or in a comparable subject at this or another university or
9. it is established under § 17 that the applicant is not capable of independent academic work.
10. the applicant has successfully completed a habilitation in the subjects in which he/she seeks to complete a doctorate.
11. the police clearance certificate shows that the applicant has been convicted of academically-related crimes according to § 5 (2)(8 and 9) and/or he/she was subject to disciplinary measures as a result.

(3) Admission may be deemed to be admission to repeat the process under § 17, if a doctoral qualification process or comparable procedure in the doctoral subject has been completed unsuccessfully.

(4) The decision on the application will be communicated in writing to the applicant without delay - in cases of rejection, including reasons and information on the right to appeal.

## **§ 8 Appointment of thesis examiners**

(1) Once the applicant has been admitted to the doctoral qualification process, the head of the doctoral examination committee appoints up to four - usually two - examiners without delay. § 4 (4) sentence 5 applies. If the head of the committee does not wish to comply with the applicant's suggestion, the doctoral examination committee will make the decision; the supervisors must be allowed to make a statement on the matter.

(2) The thesis examiners are usually chosen from among the supervisors. Deviations from this may be permitted at the candidate's request; the decision rests with the doctoral examination committee. In all cases, the provisions of § 4 (5) and (6) shall apply to the appointment of examiners.

## **§ 9 Assessment of doctoral thesis**

(1) The thesis examiners are to present a written report within three months. If this deadline is not met, the head of the doctoral examination committee may appoint another thesis examiner without prejudice to other measures.

(2) The thesis examiners recommend whether to accept or reject a doctoral thesis or to send it back for revision (§ 10). The examiner's reports must contain:

1. a critical appraisal of the content,
2. a well-reasoned recommendation for acceptance or rejection of the doctoral thesis,
3. if the thesis is recommended for acceptance, a suggested grade from the following:

excellent (summa cum laude)	=	0
very good (magna cum laude)	=	1
good (cum laude)	=	2
sufficient (rite)	=	3.

The grade of "very good" = 1 may be rounded down with a minus sign by 0.3 of a grade. The grade of "good" = 2 may be rounded up or down by 0.3 of a grade with a plus or minus sign. The grade of "sufficient" = 3 may be rounded up with a plus sign by 0.3 of a grade.

(3) If the examiners' reports have been submitted and differ by more than one grade or on whether to accept or reject the doctoral thesis, the head of the doctoral examination committee gives each thesis examiner the other thesis examiner's report to read, indicating that they may change their own reports within a period of two weeks. If the differences remain, the doctoral examination committee will appoint a further thesis examiner.

(4) If a grade of "excellent" (summa cum laude) is proposed, at least three examiners' reports must be obtained; in such case, the head of the committee will increase the number of examiners from two to at least three. Before the appointment of further examiners, where applicable the supervisor is to be given the opportunity to make a statement on the matter. He/she may lodge an objection to the planned appointment. In such case the doctoral examination committee shall decide on the appointment of the thesis examiner(s).



## **§ 10 Revision of doctoral thesis**

The head of the doctoral examination committee may send the thesis back for revision within a reasonable period of time, at the suggestion of a thesis examiner and with the consent of the applicant. If the doctoral thesis is submitted once more, the later version becomes the object of a new process under § 9. The appointment of thesis examiners under § 8 remains in place if no other decision is made. If the applicant does not comply with the time limit, the process will be continued with the doctoral thesis in the form which has been submitted, unless the applicant is not responsible for the time limit being exceeded. The thesis may be sent back for revision once only.

## **§ 11 Inspection period and grading of the doctoral thesis**

(1) If the final examiners' reports have been submitted, the head of the committee without delay informs all the faculty's professors and assistant professors, emeritus professors and Privatdozenten as well as members of the University to whom the doctoral examination committee has conferred the permanent right to be the main supervisor of a thesis, in accordance with § 4 (5) and (6). This communication must include the title of the doctoral thesis and the name of the author, the name of the thesis examiners and the grades they propose in accordance with § 9 (2) no. 3, as well as the start and end dates of the period in which the thesis will be made available for inspection (Auslagefrist).

(2) The doctoral thesis, along with the examiners' reports, will be made available in the Dean's Office for inspection by members of the doctoral examination committee and by all persons notified in accordance with (1) above, as well as all supervisors of the thesis under § 4 (4). If it is during semester, the material must be made available for at least two weeks; if it is in the lecture-free break, the time must be at least four weeks. If it is partly during semester and partly in the lecture-free break, the material must be made available correspondingly (1:2).

(3) The persons notified under (1) and the supervisors of the thesis are entitled to make an objection within the inspection period, in writing, to the examiners' appraisals or to request a formal discussion. Furthermore, they are entitled to propose that the thesis be sent back for revision; in such case, the matter proceeds in accordance with § 10. Objections or pronouncements may be made only on the basis of in-depth knowledge of the subject matter and its methods.

(4) The applicant is entitled to inspect the examiners' reports and objections; he/she is also entitled to make a statement of his/her own. He/she may request that his/her statement is communicated to members of the doctoral examination committee prior to their deliberations.

(5) If the thesis examiners arrive at the same result and no objection is made, no formal discussion is requested, and there is no statement by the applicant (para. (4) sentence 2) to be considered, the examiners' proposals become the result of the thesis appraisal. If all thesis examiners propose acceptance of the doctoral thesis and the proposed grades are not more than one grade apart, and if no objection is raised, no discussion is called for, and there is no statement by the applicant to be considered, an arithmetic mean of the proposed grades is calculated. This average includes whole numbers and the first decimal place only; all further decimal places are deleted with no rounding. For the calculation of the grade, §16 (1) sentence 4 applies accordingly.

(6) If no decision is reached under paragraph (5), the doctoral examination committee decides on the grading of the thesis; it may resolve to obtain a report by a further examiner before reaching a decision. If an examiner's report or a written objection proposes rejecting the thesis,

the decision will initially be made with regard to whether to accept the thesis or not; if so, a decision will then be made on the grade. The decision on the grade is brought about by each member of the doctoral examination committee submitting a grade in accordance with § 9 (2) no. 3, or for a rejection (insufficient, 4.0). The arithmetic mean is calculated from the grades submitted; this calculation takes into account whole numbers and the first decimal place only; all further decimal places are deleted with no rounding. For the calculation of the grade, §16 (1) sentence 4 applies accordingly.

(7) If the thesis is rejected, the doctoral qualification process ends. The head of the committee gives the applicant written notification, giving reasons and including information on the right to appeal.

(8) The digital version of the thesis goes on file at the faculty along with all examiners' reports and any written objections and a statement by the applicant.

## **§ 12 Nature of the oral defense**

The oral defense (doctoral colloquium) is in two parts, the Defensio and the Disputatio. In the first part (Defensio), the applicant must address the examiners' criticisms in oral debate and, if an objection has been raised, also respond to that criticism in accordance with § 11(3) and answer questions about the method, the results of his/her work and the significance of the subject. In the second part (Disputatio), the applicant must demonstrate that he/she is able to answer questions on related and general questions in the doctoral subject in an academically sound manner. The starting point for the discussion may be a focus topic which the applicant has previously nominated to the head of the colloquium and which must be clearly different from the content of the thesis. Each part must be of at least 30 minutes' duration; together they must run for at least one hour and not more than 90 minutes. The applicant must be given the opportunity to inspect the examiners' reports and objections at least two weeks before the oral defense.

## **§ 13 Procedure for the doctoral colloquium**

(1) Once the thesis has been accepted, the head of the doctoral examination committee appoints at least five examiners to form an examination board, and appoints one of them to be its head. The examiners are appointed from the group of persons named in § 4 (4); one member of the board should be an appointed member of the doctoral examination committee. Usually the thesis examiners are appointed as examiners. At least three examiners should be members of the faculty.

(2) The head of the examination board sets the date for the doctoral colloquium in consultation with the other examiners and the candidate. This should happen within six weeks of submission of the thesis. If the applicant fails to appear at the appointed time, the exam is recorded as a fail. If he/she fails to appear due to circumstances beyond his/her control, a new date will be set.

(3) The doctoral colloquium is chaired by the head of the examination board. An official record is to be kept of the oral examination proceedings and the determining of the grade.

(4) All members of the respective department who have been informed that the thesis is available for inspection in accordance with § 11 (1) will also be informed about the colloquium and may attend as observers. Furthermore, other doctoral students may apply to the head of the committee to attend the oral defense as observers, subject to the space limitations of the

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examination venue. Observers are to be excluded if there is good reason or the candidate has applied for an *in camera* oral defense.

(5) In the doctoral colloquium, the candidate must speak German or English; furthermore the provisions of § 6 (3) apply accordingly.

#### **§ 14 Grading of the oral defense**

(1) Following the colloquium, the examiners meet in closed session and decide on a grade for the assessed work.

(2) After this consultation, each examiner awards one of the grades listed under § 9 (2) or the grade 4 (insufficient). If the grades differ, the arithmetic mean is calculated from the grades submitted. As in § 11 (6), this calculation takes into account whole numbers and the first decimal place only. The examination is a pass if it results in an arithmetic mean of at least 3.5. For the calculation of the grade, §16 (1) sentence 4 applies accordingly.

(3) The applicant will then be informed of the final grade. If the examination is not passed, the head of the doctoral examination committee gives the applicant written notification, giving reasons and including information on the right to appeal - including the option of repeating the oral defense.

#### **§ 15 Repetition of the doctoral colloquium**

(1) If the candidate fails the oral defense, he/she may repeat it once. The applicant may register for a repeat examination at the earliest after six months, and within twelve months at the latest. The head of the committee may extend this time limit in justified, exceptional cases. The repeat exam is conducted according to §§ 12 to 14.

(2) If the candidate fails the repeat exam, the doctoral qualification process ends. The head of the doctoral examination committee gives the applicant written notification, giving reasons and including information on the right to appeal.

#### **§ 16 Overall grade**

(1) Following the successful completion of the oral defense, the head of the committee determines the overall grade. It is calculated using the double-weighted grade for the doctoral thesis according to § 11 (5) sentence 3, § 11 (6) sentence 4 and the single-weighted grade for the oral defense according to 14 (2) sentence 3. The overall grade incorporates whole numbers and the first decimal place only; all further decimal places are deleted with no rounding. The overall grade is defined as follows:

for an arithmetic mean of 0.3 or less:	excellent ( <i>summa cum laude</i> ),
for an arithmetic mean of 0.3 to 1.5:	very good ( <i>magna cum laude</i> ),
for an arithmetic mean of 1.5 to 2.5:	good ( <i>cum laude</i> ),
for an arithmetic mean of 2.5 to 3.5:	sufficient ( <i>rite</i> ),

The applicant is notified of the overall grade by the head of the committee.

(2) The applicant receives written notification that upon passing the oral defense, he/she successfully completed the examination process, and of the grades. This notification must also indicate that it does not confer the right to hold the title of doctor.

## **§ 17 Repetition of the doctoral qualification process**

If an applicant's doctoral qualification process has been completed unsuccessfully, the applicant may apply to be re-admitted to the process if the doctoral examination committee does not decide, on the basis of the applicant's previous performance, that he/she is not capable of independent academic work. A new doctoral thesis must be submitted.

## **§ 18 Publication of the doctoral thesis**

(1) The applicant is obliged to publish his/her doctoral thesis within two years of the day on which he/she defended the thesis. The head of the committee may extend the deadline for one year at a time to a maximum of five years, upon justified application.

(2) Prior to publication, the applicant must submit a written declaration to the head of the committee, stating whether the version to be published differs from the version submitted along with the application for admission, and if so, to what extent. If the two versions differ, the changes require approval from the first examiners or, in his/her absence, from the other examiner or the head of the committee; the changes must be approved if the differences are not substantial or are in line with the criticisms of the examiners. The applicant may appeal to the doctoral examination committee if changes are rejected.

(3) In special cases, the partial publication of a doctoral thesis may be permitted. This is to be decided by the doctoral examination committee.

(4) The obligation to publish and distribute the doctoral thesis is met

1. either by proof of publication in a journal or in a publication series or as an individual publication via the book trade by a commercial publisher with a minimum print run of 150 copies and designation as a thesis and prominently stating the location of the thesis work, as well as by submitting four archive copies to the University Library of Tübingen and one copy each to the thesis examiners. The copies must contain a title page in accordance with a template set by the doctoral examination committee;  
or
2. by the delivery of an electronic version in line with Tübingen University Library specifications to the University Library, together with four archive copies printed on aging-resistant, wood-free, acid-free paper and with permanent binding, to the University Library as well as one copy to each of the thesis examiners. The title page must be in accordance with a template determined by the doctoral examination committee. The doctoral candidate must ensure that the electronic version corresponds to the printed copies. In the case of electronic publication, the University of Tübingen receives the non-exclusive right within the framework of the University Library's statutory duties to produce and distribute further copies of the doctoral thesis and to make it available in data networks. The doctoral candidate must be informed in writing beforehand that conceding this right may prohibit or impede publication of the thesis elsewhere at a later date.

(5) In special cases, a different form of publication may be permitted. This is to be decided by the doctoral examination committee.

(6) If the applicant evades his/her duty to publish or if he/she fails to deliver the required number of archive copies within the time limit set, the doctoral examination committee may strip the doctoral candidate of all rights obtained via the examination.

## **§ 19 Issuing and presentation of the doctoral degree certificate**

(1) Once the applicant has delivered the archive copies, the head of the committee has a doctoral degree certificate issued. It is written in German and contains the title and the grade of the thesis, the date and grade of the oral defense, and the overall grade for the doctorate. If the grade of the doctoral thesis or the oral defense or the overall grade has a place after decimal point, the grade shall be rounded to a full grade in accordance with § 16(1). The degree certificate is dated to the day on which the archive copies were delivered, and is signed by the University President and by the Dean of the Faculty of Humanities.

(2) The head of the committee may authorize the issuing of the degree certificate prior to the delivery of archive copies if publication is guaranteed within two years according to 18 (5) no. 2. For this purpose, the declarations required under § 18 (2) must have been submitted, as well as a declaration from the publishing institution that it has the manuscript ready for publication, and a declaration from the doctoral candidate that he or she guarantees the financing of the publication. If publication does not take place within two years, electronic publication under § 18 (4) no. 2 is to be carried out without further extension of the deadline. The head of the doctoral examination committee may require a data storage medium to be submitted in accordance with § 18 (4) prior to issue of the doctoral certificate.

(3) An English translation of the degree certificate may be included upon application.

(4) Upon presentation of the degree certificate, the doctorate is completed and the doctor is thereby entitled to hold the title of Doctor.

(5) The degree certificate may be renewed if at least 50 years have passed since it was issued; the wording will be changed accordingly.

## **§ 20 Special provisions for doctoral studies jointly supervised with a university outside Germany**

(1) The doctoral qualification process may be carried out with supervision performed jointly with a university outside Germany, if an agreement has been made with that university and approved by the doctoral examination committee. The doctoral examination committee may also approve the text of template contracts. These doctoral degree regulations apply unless otherwise stated below.

(2) The applicant is to be supervised by one academic teacher from each university involved. The supervisor from the university outside Germany is appointed second thesis examiner in the Tübingen doctoral qualification process; in his/her absence, the university abroad suggests another of its members to be appointed. Under the agreement to be made according to (1) it must be ensured that the Tübingen supervisor or, alternatively, another member of the Faculty of Humanities participates in the doctoral qualification process at the university outside Germany.

(3) If an equivalent oral defense takes place at the non-German university with the collaboration of the Tübingen supervisor or an alternatively-appointed member of the University of Tübingen, that oral defense may replace the oral examination otherwise required by these doctoral degree regulations. In this case, an overall grade shall only be formed if the assessment of the oral examination at the university abroad clearly corresponds to the grades under § 9 (2). Details are to be regulated in an agreement with the relevant university outside Germany.

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(4) If an oral defense is carried out under these doctoral degree regulations, academic staff from the non-German university may be appointed as examiners. Details are to be regulated in the abovementioned agreement.

(5) The doctoral degree and the relevant degree from the non-German university may be conferred by both universities. If two separate degree certificates are issued conferring the degrees, they must include a note to the effect that the doctorate was obtained under the joint supervision of two universities. In all cases it must be noted that the successful completer of the doctoral qualification process has the right to hold the title of doctor either in the German form or in the form of the other country in which the degree was issued, and that the names of both supervising universities may be added in parentheses.

Each of the universities issues a separate certificate detailing its assessment of the doctoral work.

### **§ 21 Deception, withdrawal of a doctoral degree**

(1) If the applicant used deception in the doctoral acceptance or admission procedures, acceptance or admission to the doctorate may be denied. If the applicant attempts to influence the result of his/her assessed work using deception or resources which are not permitted, the relevant work will be rejected with a grade of "insufficient" (4.0). This is to be decided by the doctoral examination committee. In extreme cases of attempted deception, any repetition of the exam may be ruled out.

(2) If it becomes clear after notification of the assessment of doctoral work that the applicant has used deception to produce this work, that significant requirements for the doctorate were erroneously believed to have been met, or that other statutory violations exist, the relevant decisions may be canceled according to the provisions of the applicable state law, § 48 Landesverwaltungsverfahrensgesetz. If the doctoral degree certificate has already been issued, it will in this case be recalled. The doctoral degree may also be withdrawn on the basis of relevant legal provisions.

### **§ 22 Inspection of doctoral files**

(1) The applicant has the right to read the files on his/her doctoral qualification process within one year of its completion. § 11 (4) remains unaffected.

(2) This is granted upon written application. Applications must be made to the head of the committee. The place and time of inspection are decided by the head of the committee; the inspection is supervised.

### **§ 23 Effective date and transitional arrangements**

(1) These doctoral regulations come into effect the day after their publication in the University of Tübingen's official bulletin, the Amtliche Bekanntmachungen. The doctoral regulations of the Faculty of Philosophy of the University of Tübingen of 22.02.2011 (Amtliche Bekanntmachungen der Universität Tübingen 2011, no. 1, p. 36), as last amended by the statutes of 30.7.2015 (Amtliche Bekanntmachungen der Universität Tübingen 2015, no. 12, p. 430), simultaneously become invalid.

(2) Candidates who submitted an application for admission to the admission to the doctoral qualification process prior to the effective date of these doctoral regulations may apply to carry out the doctoral examination process in accordance with these regulations.

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Tübingen, 29 March 2018

Professor Dr. Bernd Engler  
President

## **Implementation provisions for § 3 of the doctoral degree regulations**

The following minimum language requirements apply to the doctoral subjects of study below. Compliance with these requirements must be proven at the latest upon admission to the doctoral qualification process by submitting appropriate documentation. In justified cases, the doctoral examination committee may waive the language requirements in whole or in part, or modify them.

### **1. Allgemeine Sprachwissenschaft**

#### 1.1. Subject: Allgemeine Sprachwissenschaft/Theoretische Linguistik

Two languages other than German, one classical language or proof of participation in a course on the structure of that language

#### 1.2. Subject: Allgemeine Sprachwissenschaft/Computerlinguistik:

Two languages other than German

### **2. Allgemeine Rhetorik**

Latinum and a modern language other than German

### **3. Internationale Literaturen (Komparatistik)**

Three languages other than German, one of which may be Latin, and one of which must be English or French

### **4. Literatur- und Kulturtheorie**

Good knowledge of two languages other than German, one of which must be English or French

### **5. Deutsche Philologie**

#### 5.1. Subject: Linguistik des Deutschen:

An earlier form of German or Latinum; English; another language other than German

#### 5.2. Subject: Ältere deutsche Sprache und Literatur:

Latinum; Middle High German; another language other than German

#### 5.3. Subject: Neuere deutsche Literatur:

Latinum or an earlier form of German; two languages other than German, one of which must be English or French

#### 5.4. Subject: German as a second language:

Two languages other than German, one of which must be English, and basic knowledge of a migrant language

### **6. Skandinavistik**

Two modern Scandinavian languages; one further modern language other than German

### **7. Englische Philologie**

#### 7.1. Subject: Linguistik des Englischen:

English and another language other than German

#### 7.2. Subject: Anglistik

English and another language other than German

### **8. Amerikanistik**

English; another language other than German

### **9. Romanische Philologie**

Latinum; two Romance languages, of which one must be French, Spanish or Italian; English



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**10. Slavische Philologie:**

One of the Slavic standard languages Russian, Polish, Czech, Serbo-Croat-Bosnian or Slovenian; one further Slavic standard language; an earlier version of one or both of the two languages

**11. Medienwissenschaft**

English and another language other than German

**12. Philosophie:**

Latinum; two modern languages other than German; in the case of a topic drawn from ancient philosophy also Graecum

**13. Geschichtswissenschaft:**

13.1 Alte Geschichte:

Latinum, Graecum, English

13.2 Mittelalterliche Geschichte: Latinum, English and another language other than German

13.3 Neuere und Neueste Geschichte:

Latinum if the topic requires it; English and another modern language other than German

**14. Klassische Philologie**

14.1 Greek

Latinum, two modern languages other than German

14.2 Lateinische Philologie

Graecum, two modern languages other than German

**Implementation provisions § 6 (1) sentences 3 to 5 of the doctoral degree regulations**

- 1) The sum of the individual parts already published/accepted for publication/submitted for publication together with the parts not published/accepted for publication/submitted for publication must result in a thematically consistent work that can be published as a unit. Individual articles can be included without additional editing. However, it is necessary to write an introduction and a further long chapter setting out the context of the work and the overall conclusion.
- 2) The author(s) must ensure that the thesis is an independent piece of academic work (under § 38 LHG). If the thesis includes parts in which several authors were involved, a detailed declaration must be enclosed, signed by all authors, describing precisely each author's part of the work. The academic work for which the doctoral degree is awarded is measured only by the parts for which the doctoral candidate him- or herself is responsible.
- 3) At least two thirds of the work must consist of chapters / articles / manuscripts in which the key academic work was performed by the doctoral student him- or herself (first authorship). Evaluation must not take into account the quantitative work alone; specifically, it must also focus on the parts by which the candidate's own intellectual contribution is measured (e.g. idea, methods, data analysis, etc.).
- 4) Publications/manuscripts prepared for publication in which the doctoral candidate is the first author and the supervisor of another of the authors may be part of the work. In such cases, the supervisor must explain in his report, in addition to the explanation required under 2), the nature of the cooperation and the supervision of the work. For example, PLOS-ONE classifications can serve as orientation for the formal layout. Furthermore, it must be ensured that in these cases the second reviewer has no close working relationship with either the doctoral candidate or the supervisor (i.e. usually: no joint academic publications in the previous 5 years).
- 5) All parts of the work as submitted must be published. As a minimum requirement, publication on the internet by the Tübingen University Library (TOBIAS-lib) is sufficient. Articles that have already been published must be included within the scope of secondary publication law. If, in individual cases, there is no verifiable second publication right for individual articles that have already been published, it is sufficient to refer to the original publication at the appropriate point in an internet publication.
- 6) These procedural rules shall apply for an initial period of three years after coming into force. They must then be reviewed and, if necessary, adjusted in the light of the recommendations of the German Science Council and the DFG and with regard to changes in other faculties' doctoral regulations.