

# **Doctoral Degree Regulations of the Faculty of Humanities at Saarland University**

**08 August 2018**

---

**Note:** This translation is provided for information purposes only. In the event of any discrepancy between the translation and the original German version published in the Official Bulletin (*Dienstblatt der Hochschulen des Saarlandes*), the provisions of the latter shall take precedence.

---

Pursuant to Section 69 of the Saarland Higher Education Institutions Act of 30 November 2016 (Official Gazette of Saarland, p. 1080) and with the consent of the University Senate at Saarland University and the University Board, the Faculty of Humanities hereby issues the following Doctoral Degree Regulations.

## **Section 1 General information**

The Faculty of Humanities at Saarland University shall confer the degree of Doctor of Philosophy (doctor/doctrix philosophiae, Dr. phil.) on the basis of doctoral degree studies completed under the standard regulations in one of the subjects offered by the faculty (cf. Section 7(2) of the Faculty of Humanities and the honorary Doctor of Philosophy (doctor/doctrix philosophiae honoris causa, Dr. phil. h.c.) in recognition of outstanding contributions to an academic field or discipline (honorary doctorate).

### **I. Doctoral degree studies (standard regulations)**

#### **Section 2 Administration of the doctoral degree assessment and examination phase**

(1) Doctoral degree assessment and examination phases are conducted by the Doctoral Committee on behalf of the Faculty of Humanities.

(2) The doctoral degree assessment and examination phase may be conducted jointly with another higher education institution if

- a) the applicant fulfils the requirements for admission to the doctoral degree assessment and examination phase
- b) the other higher education institution has the right to award doctoral degrees pursuant to its specific legal regulations and the degree it would confer is recognized in the Federal Republic of Germany. The administration of the joint doctoral degree assessment and examination phase should be defined on an individual case basis or generally between the faculties involved. The contractual provisions shall apply in addition to the provisions of these doctoral degree regulations. When agreeing the contractual provisions, the regulations of these doctoral degree regulations shall be taken into account in the requirements and procedures to ensure equivalence.

(3) The doctoral candidate must either be enrolled or registered in the doctoral subject for admission to the doctoral degree assessment and examination phase. The doctoral degree assessment and examination phase should be completed no later than six months after

submission of the application to initiate the assessment and examination phase as set out in Section 5.

### **Section 3 The Doctoral Committee**

(1) The Doctoral Committee consists of the following regular members:

1. a member of the Dean's Office of the Faculty of Humanities as Chair
2. six professorial staff members from the faculty
3. two academic members of the faculty with doctoral degrees

The deputy of the member specified in sentence 1, item 1 shall be another member of the Dean's office. Each member pursuant to sentence 1, item 2 and item 3 shall have a personal deputy. The regular members pursuant to sentence 1, item 2 and item 3 as well as their deputies shall be elected by the Faculty Council of the Faculty of Humanities for two years after being nominated by the elected representatives of the respective member groups. The regular members may be re-elected at the end of their term. If a member or deputy member of the Doctoral Committee withdraws before the end of their term, a replacement shall be selected for the remainder of the term. Deputy members and replacement regular members may be re-elected at the end of their term.

(2) Examiners who are directly involved in the procedure shall advise on matters concerning them as extraordinary voting members of the Doctoral Committee, providing they are members of Saarland University. Examiners who are not members of Saarland University shall be invited to the meetings of the Doctoral Committee as guests without voting rights.

(3) The tasks of the Doctoral Committee encompass the performance of the doctoral degree assessment and examination phase and shall be performed on its behalf by the Chair of the Doctoral Committee. If a decision made by the Chair is contested either by a doctoral candidate or by a member of the Doctoral Committee, the decision shall be taken by the Doctoral committee.

(4) The Doctoral Committee shall be quorate if the majority of the voting members are in attendance. Decisions of the Doctoral Committee shall be made by a simple majority of the voting members in attendance. In the event of a tie, the Chair of the Doctoral Committee shall have the casting vote. Abstentions are excluded in decisions made by the Doctoral Committee concerning the doctoral degree assessment and examination phase.

### **Section 4 Admission requirements**

(1) The requirements for admission to the doctoral degree assessment and examination phase are as follows:

1. a) the completion of a relevant Master's degree programme at a higher education institution or a relevant postgraduate degree programme within the meaning of Section 61(2) of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*) or  
b) the completion of a relevant university study programme with a standard period of study of at least eight semesters or  
c) the completion of a Bachelor's degree programme with distinction followed by appropriate academic study in the doctoral research subject in preparation for the doctoral degree studies in accordance with Section 69(2), item 3 of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*) with a minimum of 41 ECTS credits or

d) the completion of a relevant Diplom degree programme with distinction at a university of applied sciences (*Fachhochschule*) followed by appropriate academic study in the doctoral research subject in preparation for the doctoral degree studies in accordance with Section 69(2), item 4 of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*) with a minimum of 41 ECTS credits.

A candidate will be deemed to have graduated with distinction if he or she attained a final grade of 1.5 or better.

2. The submission of a dissertation in accordance with Section 9.
3. The application submitted by the doctoral candidate in accordance with Section 5.
4. a) a supervision agreement between the doctoral candidate and the supervisor concluded at the beginning of the doctoral research project in accordance with Section 69(6) of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*).  
b) in the case of doctoral studies jointly supervised with a German university of applied sciences (joint supervision scheme) pursuant to Section 70 of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*), a supervision agreement concluded at the beginning of the doctoral research project between the doctoral candidate and the supervisor at the university, who must be from the professorial staff of the faculty, and the supervisor at the university of applied sciences, who must be a professor at a German university of applied sciences who holds a doctorate.
5. Enrolment or registration as a doctoral candidate for the entire duration of the doctoral research project.

(2) A completed programme of study in the doctoral subject is considered to be relevant within the meaning of Section 4(1), item 1. In other cases, admission may be made dependent on evidence of additional subject-specific academic study in accordance with Section 69(2), item 3 and 4 of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*). The above academic studies should amount to at least 41 ECTS credits and a maximum of 60 ECTS credits. Regular enrolment in accordance with Section 2(3) is mandatory for the duration of these academic studies.

## **Section 5 Application for admission**

(1) Admission to the doctoral degree assessment and examination phase must be applied for in writing to the Chair of the Doctoral Committee. The application shall be submitted together with

1. either typed or printed bound copies of the paginated dissertation corresponding to the number of examiners plus one archive copy and one copy in electronic form (pdf format), in the case of Section 9(1) sentence 3 additionally one copy of the co-authored work;
2. a curriculum vitae detailing the doctoral candidate's educational background;
3. documentary proof that the requirements specified in Section 4(1), item 1 have been fulfilled;
4. a declaration by the doctoral candidate stating
  - a) whether, when, on which topic and with what success he/she has previously undergone a doctoral degree assessment and examination phase, or whether he/she is currently undergoing a doctoral degree assessment and examination phase.
  - b) that he/she has written the thesis independently, has not used any sources or aids other than those listed by him/her and has indicated the passages taken verbatim or in terms of content from the works used,
  - c) a written declaration about his or her individual work in the research process for the doctoral research project (research question, conceptual design of the study/studies, performance and evaluation of the study/studies, writing of the dissertation text).
  - d) that he/she has only received assistance with selecting and evaluating material and with the content or physical production of the dissertation from the persons named in the

respective manner indicated and in particular that he/she has not paid for assistance from agency or consultancy services,

e) if applicable, whether he/she objects to the oral defence being open to the public in accordance with Section 11(2), sentence 4.

5. In the case of a cumulative dissertation, the doctoral candidate's individual work must be indicated in any co-authored publications.
6. Documentary proof of registration or enrolment as a doctoral candidate for the entire duration of the doctoral research project;
7. A copy of the supervision agreement between the doctoral candidate and the supervisor.

(2) Upon request by the doctoral candidate, expensive image, map or sheet music may be attached to one copy of the dissertation with the agreement of the Chair of the Doctoral Committee. The same applies to handwritten texts in foreign script. At the request of the doctoral candidate, illustrations, documentation and material supporting the dissertation may be attached on write-protected electronic data storage media and included in the assessment if they cannot be adequately presented otherwise.

(3) If the doctoral candidate has been accepted by a member of the Faculty of Humanities who is entitled to conduct examinations in accordance with Section 8(2), sentences 1 and 2, he/she must conclude a supervision agreement with the supervisor at the beginning of the doctoral research project. The supervision agreement serves as the basis for the appointment of the first examiner. In addition, the doctoral candidate has the right to propose a second examiner. If the doctoral candidate does not submit any proposals, the Doctoral Committee shall select the examiners.

(4) The Doctoral Committee is not bound by the doctoral candidate's proposals regarding the appointment of the examiners in pursuant to paragraph 3, sentence 3.

5) The application to initiate the assessment and examination phase may be withdrawn as long as the doctoral candidate has not received a letter of admission. The date of the postmark will be deemed as the date of receipt.

(6) If the co-authored work submitted pursuant to Section 5(1), item 1 has already been submitted in a previous assessment or examination at another higher education institution and if the applicant pursuant to Section 5(1), item 4a has already undergone a doctoral assessment and examination phase with the same dissertation in the past without success or is currently undergoing one, the application shall be rejected.

## **Section 6**

### **Admission to the doctoral degree assessment and examination phase**

(1) The Doctoral Committee shall decide on admission.

(2) Admission shall be refused if

1. the requirements stipulated in Section 4 in conjunction with Section 5 have not been fulfilled or
2. if circumstances arise such that a doctoral degree, if awarded, could be revoked on the basis of statutory provisions.
3. the doctoral candidate submits a dissertation, cumulative work or co-authored work which he/she has already submitted in a university examination, state examination or church examination to obtain an academic title.
4. the doctoral candidate already holds the degree of Doctor of Philosophy awarded for the subject for which admission has been applied.

(3) The decision of the Doctoral Committee shall be communicated to the doctoral candidate by means of a letter of notification which, in the case of rejection, shall include information on the applicant's right of appeal.

## **Section 7**

### **Assessment and examination of the doctoral research project**

(1) The doctoral research project is examined on the basis of the dissertation itself (Section 9) and the oral defence (Section 11).

(2) The examination subjects that can be chosen as the doctoral subject are published in the Official Bulletin of the Institutions of Higher Education in Saarland (*Dienstblatt der Hochschulen des Saarlandes*) in accordance with the decision of the responsible committees.

## **Section 8**

### **Examiners and Examining Board**

(1) Immediately after admission, the Doctoral Committee shall appoint two examiners for the assessment of the dissertation as well as the Examining Board for the doctoral assessment and examination phase.

(2) The examiners shall be appointed from the members of professorial staff, junior professors, emeritus or retired professors, honorary professors, professors on special contracts (*außerplanmäßige Professorinnen/Professoren*), and senior academics qualified to professorial level from the Faculty of Humanities. The Doctoral Committee may also assign the right to supervise doctoral candidates to a member of the non-professorial academic staff (who holds a doctorate) at the faculty if the Dean of the faculty has assigned such member with the task of independently carrying out research and teaching duties and if he or she has been adjudged by an internal or external evaluation procedure to have academic qualifications comparable to those required of a junior professor. One of the examiners must be from the professorial staff of the Faculty of Humanities, as based on their membership of the faculty at the time of admission. No more than one co-author of publications that are parts of the dissertation may be appointed as an examiner.

Only a member or former member of the Faculty of Humanities may be appointed as the first examiner. Honorary professors, professors on special contracts and senior academics qualified to professorial level who no longer have teaching duties as well as former members of the Faculty of Humanities who have left Saarland University, may be appointed as (primary) examiners during a period of three years after leaving the faculty. The provisions of Section 5(3) shall remain unaffected.

(3) In justified cases, the Doctoral Committee may, at the request of the doctoral candidate or an examiner, appoint the second or a third examiner from another faculty of Saarland University or from another university; in the case of a degree from a university of applied sciences (*Fachhochschule*) as an admission requirement pursuant to Section 4(1), item 1 d), the Doctoral Committee may also appoint a professor at a university of applied sciences who holds a doctorate.

(4) The Examining Board shall be appointed by the Doctoral Committee and consist of

1. a member or deputy member of the Doctoral Committee from the professorial staff of the Faculty of Humanities as the Chair
2. the examiners
3. one further member from the professorial staff of the Faculty of Humanities

4. a member of non-professorial academic staff at the Faculty of Humanities who holds a doctorate.
- (5) The members and deputy members of the Doctoral Committee may participate in the meetings of the Doctoral Committee as extraordinary members with an advisory vote.
- (6) The provisions of Section 3(4) shall apply analogously to the Doctoral Committee.
- (7) The Examining Board shall perform the following tasks:
  1. assess the dissertation based on the available examiners' reports and taking into account the statements pursuant to Section 10(4)
  2. conduct the oral defence examination
  3. assess the oral defence and the overall performance of the candidate.
- (8) In the case of joint doctoral studies with another university, the Examining Board shall be appointed with equal representation; in this case, a deviation is permitted from the conditions specified in (3) and (4).

## **Section 9 Dissertation**

- (1) The dissertation shall demonstrate the doctoral candidate's ability to undertake independent scientific research and to present the results of such work in an appropriate manner. The scientific content of the dissertation must justify its publication. An independent named section of a co-authored academic work that meets these requirements may be accepted as a dissertation or as part of a dissertation.
- (2) The dissertation should be written in German or in a language of publication that is usual for the doctoral subject. The usual language of publication shall be determined by the Doctoral Committee. Upon request by the doctoral candidate, the Doctoral Committee may allow another language for the dissertation; if the dissertation is written in a language other than German, a detailed summary in German of at least 5-10 pages must be attached.
- (3) A dissertation, cumulative work or co-authored work that the doctoral candidate has submitted in a university examination, state examination or church examination cannot be recognized as a dissertation.
- (4) A dissertation, cumulative work or co-authored work that has already been published in print may be recognized by the Doctoral Committee as a dissertation or as part of a dissertation. Several but at a minimum three published works (two first authorships, one co-authorship) that are independently attributed to the author and are together equivalent to a dissertation may take the place of a dissertation.

## **Section 10 Assessment of the dissertation**

- (1) Each examiner shall submit a reasoned assessment of the dissertation (examiner's report) or shall send it in advance by e-mail as a scanned file with his/her signature and shall recommend whether the dissertation be accepted, returned for revision pursuant to item 2, or rejected. The recommendation as to whether the dissertation should be accepted is to be combined with a proposed grade as set out in Section 12(1). The examiner's reports must be submitted within a period of three months.

(2) The dissertation shall be returned to the doctoral candidate for revision if substantial amendments are required to make the dissertation acceptable. If the revised version of the dissertation is not submitted within two years, the dissertation shall be considered rejected. On request, the Examination Board shall take account of statutory periods of maternal leave, periods of parental leave and family care obligations (particularly caring for one or more children or adolescents or supporting family members with care needs) as well as the special needs of doctoral candidates with disabilities. Any illness evidenced by an official medical certificate will also be taken into account.

(3) If the examiner's reports do not provide a clear assessment of the dissertation or if the proposed grades differ, after consultation with the Examining Board, the Chair shall decide whether a consistent grade can be determined or whether a third examiner should be appointed. Board members who are unable to attend this meeting may participate via video conference. The Chair of the Examining Board and the majority of the Board members must attend in person. If at least one of the examiners assesses the dissertation with the grade *opus eximium*, a further examiner shall be appointed who is proposed by the Examining Board and appointed by the Chair of the Doctoral Committee. The Chair of the Doctoral Committee shall decide on the appointment of a third reviewer upon request. The reports of the third examiner must be submitted within a period of three months.

(4) The members from the professorial staff and the members (who hold a doctorate) of the Doctoral Committee and the Examining Board shall be informed by the Chair of the Examining Board regarding the receipt of the examiner's reports and granted access to the examiner's reports and the dissertation on which the assessment is based for two weeks during the main teaching period, four weeks during the non-teaching period and three weeks during the period in which the main teaching period and the non-teaching period overlap. They shall also have the opportunity to submit a written statement. These written statements regarding the dissertation and examiner's reports must be delivered to the Chair of the Examining Board twenty-four hours before the deadline by which the decision regarding acceptance of the dissertation is to be made. Written statements and examiner's reports may also be delivered in advance by e-mail as a scanned file with a handwritten signature.

(5) The Examining Board shall decide on the acceptance and assessment of the dissertation pursuant to Section 12(1), its return for revision, or its rejection. The decision of the Examining Board shall be communicated to the doctoral candidate by means of a letter of notification which, in the case of rejection, shall include information on the applicant's right of appeal.

## **Section 11**

### **Oral defence**

(1) The Examining Board shall determine the date of the oral defence in consultation with the doctoral candidate, usually within two months of the acceptance and assessment of the dissertation. In accordance with Section 69(7) of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz, SHSG*), the entire doctoral assessment and examination phase should be completed within six months after submission of the dissertation. The invitation to the oral defence is issued in writing by the Chair of the Doctoral Committee. The notice period and the display period when the thesis is available for consultation is two weeks during the main teaching period and four weeks during the non-teaching period. If the main teaching period and the non-teaching period overlap, the notice period and the display period when the thesis is available for consultation shall be three weeks. During the notice period, the doctoral candidate may inspect the examiner's reports. The notice period may be shortened with the consent of the doctoral candidate. Section 10 (2), sentence 3 shall apply analogously.

(2) The members of the Doctoral Committee and the Examining Board shall participate in the oral defence. In addition, members from the professorial staff and members of mid-level academic or research staff qualified to doctoral level of the Faculty of Humanities are entitled to participate. If a doctoral candidate has submitted a section of a co-authored work as set out in Section 9(1), sentence 3 as a dissertation, if possible the oral defence should be conducted in the presence of all those involved in this work. If requested by the doctoral candidate, the Chair of the Doctoral Committee may exclude the public from the oral defence. However, this exclusion does not apply to the professorial staff and members of the Faculty of Humanities qualified to doctoral level.

(3) The purpose of the oral defence is to demonstrate the doctoral candidate's ability to defend the dissertation and to orally present and discuss research problems relating to the doctoral subject in connection with the dissertation. The oral defence shall usually be conducted in German but exceptions may be considered. The Doctoral Committee shall decide on exceptions at the request of the doctoral candidate.

(4) The oral defence should last a minimum of 60 minutes and at most 90 minutes. As an introduction, the doctoral candidate shall explain the main content of the dissertation, usually for no longer than thirty minutes. The right to ask questions is first granted to the members of the Examining Board, then to the members of the Doctoral Committee, then to professorial staff and members of mid-level academic or research staff qualified to doctoral level of the Faculty of Humanities.

## **Section 12**

### **Grading of the dissertation and the oral defence**

(1) The dissertation shall be assessed before the oral defence with one of the following numbered grades (0 to 3) in the order shown below:

- 0 = opus eximium (distinction)
- 1 = opus valde laudabile (very good)
- 2 = opus laudabile (good)
- 3 = opus idoneum (satisfactory).

(2) If different grades are proposed by the examiners, the Chair of the Examining Board, after consultation with the Examining Board, shall decide on the basis of the examiner's reports whether a consensus may be reached or whether a third examiner should be appointed and the grade will be determined according to the following calculation:

- 0 = with a mean value up to  $0.\bar{3}$ : opus eximium (distinction)
- 1 = with a mean value up to  $1.\bar{3}$ : opus valde laudabile (very good)
- 2 = with a mean value of  $1.\bar{6}$  to  $2.\bar{3}$ : opus laudabile (good)
- 3 = with a mean value from  $2.\bar{6}$ : opus idoneum (satisfactory).

(3) If one of the two examiners proposes the grade opus eximium (distinction), a third examiner shall be appointed and the grade will be determined according to the following calculation:

- 0 = with a mean value up to  $0.\bar{3}$ : opus eximium (distinction)
- 1 = with a mean value up to  $1.\bar{3}$ : opus valde laudabile (very good)
- 2 = with a mean value of  $1.\bar{6}$  to  $2.\bar{3}$ : opus laudabile (good)
- 3 = with a mean value from  $2.\bar{6}$ : opus idoneum (satisfactory).



(4) The oral defence shall receive one of the following numbered grades (1 to 3) in the order shown below or a fail grade:

- 1 = very good
- 2 = good
- 3 = satisfactory
- Failed

(5) Members of the Board who cannot be present in person at the oral defence may participate in the oral defence and its assessment as well as in the assessment of the candidate's overall performance via video conference. The Chair of the Examining Board and the majority of the Board members must attend in person.

### **Section 13**

#### **Overall assessment of the candidate's performance**

(1) After the candidate has passed the oral defence and its assessment in accordance with Section 12(4), the Examining Board shall decide on the overall assessment of the candidate's performance. The score for the dissertation is counted twice and the score for the oral defence is counted once in the overall assessment. The final grade shall be calculated as a weighted mean by dividing the resulting total by three.

(2) The final grade shall then be  
for a mean value up to 0. $\bar{3}$ : summa cum laude (distinction)  
for a mean value up to 1. $\bar{3}$ : magna cum laude (very good)  
for a mean value of 1. $\bar{6}$ : to 2. $\bar{3}$ : cum laude (good)  
for a mean value from 2. $\bar{6}$ : rite (satisfactory).

(3) If the doctoral candidate has completed the doctoral assessment and examination and is to be awarded a doctorate, he/she shall receive a certificate to this effect stating the title of the dissertation, its evaluation and the final grade of the candidate's performance. The provisions of Sections 16 and 17 shall remain unaffected.

### **Section 14**

#### **Repeat attempts**

(1) If the oral defence is not passed, it may be repeated once after three months at the earliest and at the latest after six months. If the oral defence is not passed even when it is repeated, the doctoral degree assessment and examination phase is considered as failed in its entirety and may be repeated.

(2) The doctoral degree assessment and examination phase may be repeated as a whole once.

(3) On request, the Examination Board shall take account of statutory periods of maternal leave, periods of parental leave and family care obligations (particularly caring for one or more children or adolescents or supporting family members with care needs) as well as the special needs of doctoral candidates with disabilities. Any illness evidenced by an official medical certificate will also be taken into account.

**Section 15**  
**Withdrawal; Failure to attend;**  
**Deception; Contravention of regulations**

(1) If the doctoral candidate withdraws from the doctoral degree assessment and examination phase or from individual parts of the doctoral degree assessment and examination phase without good cause after admission to the doctoral degree assessment and examination phase, the entire doctoral degree assessment and examination phase shall be deemed to have been failed. Repeat attempts shall be subject to the provisions of Section 14.

(2) If there are credible reasons why a candidate withdrew from or failed to attend an assessment or examination, these reasons shall be submitted in writing and without unreasonable delay to the Chair of the Examining Board. If the doctoral candidate was ill, they are required to present a medical certificate issued by a physician. The medical certificate must be submitted to the Chair of the Doctoral Committee no later than fourteen days after the onset of the illness. If a doctoral candidate withdraws from or fails to attend an academic assessment or examination because a child, family member with care needs or family member cared for by the doctoral candidate was ill, their illness shall be treated as if the doctoral candidate was ill. The doctoral candidate shall demonstrate that it was necessary for him or her to care for the ill child/family member with care needs by providing a medical certificate issued by a physician in accordance with Article 45 of Book V of the German Social Welfare Code (SGB V). The medical certificate must be submitted within fourteen days. If the reasons given for the withdrawal or non-attendance are accepted, the doctoral candidate may apply again for admission to the respective doctoral assessment or examination. If the reasons for non-attendance are accepted, the Chair of the Examining Board shall arrange for the doctoral candidate to be invited again to the relevant part of the assessment or examination. Section 10(2), sentence 3 shall apply analogously.

(3) If a doctoral candidate attempts to gain admission to the doctoral degree assessment and examination phase by deception, or if it was erroneously assumed that essential requirements for admission had been satisfied, the Doctoral Committee may decide to nullify the results of previous doctoral assessments or stop the doctoral degree assessment and examination phase. It is then not possible to repeat the doctoral degree assessment and examination phase. The doctoral candidate shall be consulted before any such decision is taken. The letter of notification regarding the decision shall include information on the right of appeal.

(4) If a doctoral candidate attempts to influence the grading of doctoral assessments or examinations by deception, the assessment or examination in question shall be deemed as not completed. The same shall apply if a doctoral candidate disturbs the orderly conduct of the oral defence and, as a result, the orderly conduct of the oral defence can no longer be guaranteed. In this case, the doctoral candidate may ask the Doctoral Committee to reappraise the decision. If the decision is confirmed, the assessment or examination in question shall be deemed as not completed. Repeat attempts shall be subject to the provisions of Section 14.

(5) In very serious cases of deception (particularly when substantial plagiarism is involved), the Doctoral Committee may, after consultation with the doctoral candidate, decide to revoke the candidate's right to study for a doctorate at the Faculty of Humanities of Saarland University.

## **Section 16**

### **Reproduction of the dissertation**

(1) The dissertation must usually be published in the form declared ready for publication. Any amendments shall require the agreement of the Chair of the Doctoral Committee. If any amendments significantly affect the content of the dissertation, the Chair of the Doctoral Committee shall obtain the consent of the examiners. Section 10(2) shall apply analogously.

(2) Within two years after recognition of readiness for publication, presentation copies of the dissertation are to be delivered to the Doctoral Committee free of charge. The number of presentation copies varies depending on the chosen method of reproduction as follows:

1. four copies plus one copy per examiner of the dissertation published by the publishing company if the dissertation is published with a minimum print run of 150 copies as a monograph, in a scientific publication series or journal, or if a previously published essay has been accepted as a dissertation;
2. two copies in copyable typescript as well as delivery of an electronic version, the data format and electronic data storage media of which are to be agreed with the Saarland University and State Library if the work is published electronically there. The Doctoral Committee may approve the use of equivalent new publication methods and shall decide on any necessary embargos. Imposed restrictions are valid for up to two years and may be extended up to two times, each time for an additional year, upon request to the Chair of the Doctoral Committee.
3. In the case of a cumulative dissertation, the synopsis must be published. A reference to the published articles with a DOI must be included.
4. If the dissertation is published via a university-owned publisher, the number of copies shall correspond to the number of examiners.
5. The presentation copies pursuant to items 1, 2, 3 and 4 must be printed on wood-free and acid-free paper that is resistant to ageing and must be bound in a durable manner. In exceptional cases involving expensive image, map or sheet music, the Doctoral Committee may reduce the number of presentation copies in consultation with the examiners.
6. Reproduction methods other than those described in items 1-4 shall require the approval of the Doctoral Committee.

(3) In the publication, reference must be made to the doctoral degree assessment and examination phase. It must be stated that the dissertation has been written in order to obtain the degree of Doctor of Philosophy awarded by the Faculty of Humanities at Saarland University. The date of the last doctoral assessment or examination as well as the names of the Dean in office at that time and the examiners must also be stated.

(4) If the presentation copies are not delivered within two years of the date on which readiness for publication was recognized, the candidate shall lose all rights acquired from the assessment and examination phase of his or her doctoral studies. The Chair of the Doctoral Committee may extend the deadline at the request of the doctoral candidate. The request must be made before expiry of the deadline. If the publication of the dissertation is delayed by more than three years from the granting of permission to publish, the Doctoral Committee may allow a further extension of one year as an exception in particularly justified cases.

(5) A doctoral degree in accordance with Section 17 may be awarded only after the presentation copies of the dissertation have been delivered. In the case of paragraph 2, item 2, exemption from this requirement may be granted by resolution of the Doctoral Committee if the doctoral candidate proves that the dissertation has been accepted for publication and that he/she has done what is necessary to prepare for publication but that publication will take more than two years for reasons beyond his/her control. In addition to the publishing contract, a declaration from the publisher confirming that the manuscript is ready for

publication must be submitted as proof. With regard to the delivery deadline, paragraph 4 shall apply analogously.

### **Section 17 Conferral of the doctoral degree**

(1) The doctoral degree shall be conferred by the Dean of the responsible faculty by presenting the doctoral degree certificate as soon as the requirements of Section 16 have been satisfied. The official date of conferral shall be the date of the oral defence.

(2) The doctoral degree certificate shall be issued in German. It shall contain the title of the dissertation, its evaluation and the final grade for the candidate's performance. The certificate of graduation shall be signed by the University President and the Dean of the Faculty of Humanities and shall bear the faculty's seal.

(3) Once they have taken receipt of their doctoral degree certificate, graduates have the right to use the degree of Doctor of Philosophy (Dr. phil.).

(4) Women may request to use the female form of the doctoral degree awarded to them in accordance with these regulations.

(5) Use of the suffix "Dr. des." is not permitted.

### **Section 18 Revocation of the doctoral degree**

(1) At the request of the Doctoral Committee, the doctoral degree may be revoked by resolution of the Faculty Board if it is established that the degree was acquired by deception or that essential requirements for the conferral of the degree were erroneously assumed to have been satisfied.

(2) Before any such resolution is made, the holder shall be given the opportunity to make representations on this matter within four weeks. The letter of notification shall include the reasons for the decision and information on the candidate's right of appeal.

(3) No later than two weeks after announcement of the decision in writing to the doctoral candidate concerned, he/she shall hand over the withdrawn doctoral degree certificate to the faculty.

### **Section 19 Inspection of examination records**

Up to one year after taking the last examination, upon request the doctoral candidate shall be granted access to the copies of the dissertation on which the assessment is based and examination records, usually up to two times. The inspection may be carried out in person at the Doctoral Studies Office or by a legal representative on request. The Chair of the Doctoral Committee shall determine the place and time of the inspection. It is not possible to hand over the original examiners' reports or copies.

## II. Honorary Doctorate

### Section 20

(1) Professors who intend to submit an application for an honorary doctorate must notify the Faculty Council of the Faculty. The applicant shall report to the Faculty Council on the contributions to an academic field or discipline of the person who is to receive the honorary doctorate. Following this report, the Faculty Council shall decide by a simple majority on the appointment of a Board to confer the honorary doctorate.

(2) The Board shall be appointed by the Faculty Council and comprised as follows:

1. five professorial staff members of the Faculty of Humanities
2. a member of staff at the faculty who holds a doctorate and
3. further members of other faculties or higher education institutions as required.

(3) The decision on the honorary doctorate shall be made by the Faculty Council with a majority of three quarters of the votes and shall require the approval of the Doctoral Committee of the Faculty of Humanities.

(4) In order to protect general university interests, the university management shall be given the opportunity to make a statement on the honorary doctorate.

(5) The honorary doctorate shall be conferred by the presentation of a certificate in which the outstanding academic achievements or distinguished service are highlighted. The certificate shall be signed by the University President and the Dean of the Faculty of Humanities and shall bear the faculty's seal.

(6) Section 17(3) to (5) and Section 18 shall apply analogously.

## III. Final and interim provisions

### Section 21

(1) This regulation shall come into force on the day after it is announced in the Official Bulletin of the Institutions of Higher Education in Saarland (*Dienstblatt der Hochschulen des Saarlandes*).

(2) Doctoral degree assessment and examination phases that have already been initiated by the granting of admission at the time these regulations come into force shall generally be conducted in accordance with the Doctoral Regulations of 17 March 2011 as amended on 16 January 2013. If the requirements pursuant to Section 4 are satisfied, the doctoral candidate may apply for the application of the new doctoral regulations.

Saarbrücken, 28 August 2018

President of Saarland University  
Univ.-Prof. Dr. Manfred Schmitt  
p.p.



Vice-President for Planning and Strategy  
Univ.-Prof. Dr. Christian Wagner