

**Doctoral Regulations
of the Faculty
for Cultural Reflection - Studium
fundamentale
Doctorate in Philosophy
(Dr. phil.)**

Witten/Herdecke University has issued the following doctoral regulations on the basis of § 73a Para. 3 in conjunction with § 67 of the currently valid Higher Education Act of the State of North Rhine-Westphalia.

**This document is a translation of the official regulation in German language and is intended solely as a convenience to the non-German-reading public. Any discrepancies or differences that may arise in translations of the official German versions of these materials are not binding and have no legal effect for compliance or enforcement purposes.*

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§ 1

General

- (1) The Faculty of Cultural Reflection - Studium fundamentale of Witten/Herdecke University awards the academic degree Doctor philosophiae (Dr. phil.) on the basis of a scientific paper (dissertation) and an oral examination (disputation). For special scientific merit, it awards the academic degree of Doctor of Philosophy honoris causa (Dr. phil. h. c.).
- (2) In the following, the term university lecturer refers to permanently employed professors of the faculty, co-opted professors, university lecturers as members of the faculty, private lecturers and university lecturers who are granted the right to confer doctoral degrees by resolution of the faculty.

§2

Purpose of the Promotion

The doctorate is proof of special academic qualification in the field of a subject represented in the faculty. Doctoral subjects are those subjects represented in the Studium fundamentale by university teachers who are members of the faculty.

§3

Doctoral Committee

- (1) The doctoral committee is responsible for the doctoral procedure. It consists of three university lecturers and one doctoral research assistant. The members of the doctoral committee are elected by the Faculty Council for two years. Re-election is possible.
- (2) The doctoral committee elects a university teacher from among its members to chair the committee.
- (3) The tasks of the doctoral committee are:
 - Decision-making on the recognition as doctoral candidates;
 - Decision-making on admission to the doctoral procedure;
 - after hearing the doctoral candidates and the intended reviewers, appointing them for the dissertation and, if necessary, requesting further reviews;
 - Appointment of the other members of the examination board;

- Determination of supplementary credits in accordance with the study regulations of the faculty for the Studium fundamentale of 1 April 1990;
 - Matters relating to the supervision of doctoral students;
 - Decisions concerning compliance with the provisions of the doctoral regulations;
 - Examination and decision of objections. In the event of a tie, the chairperson shall have the casting vote.
- (4) Minutes shall be kept of the decisions of the doctoral examination board. All parties involved in a doctoral procedure shall have the right to inspect the minutes. Candidates or a member of the doctoral committee may appeal against the decision of the doctoral committee to the dean. The dean decides on this appeal or, in the case of fundamental importance, submits it to the faculty council.
- (5) Decisions shall be communicated in writing to the parties concerned.

§4 Admission requirements

- (1) Persons can be admitted as doctoral candidates who:
- a) have a degree from a relevant higher education institution with a general standard period of study of at least eight semesters, for which a degree other than "Bachelor" is awarded, or
 - b) have a degree from a relevant higher education institution with a standard period of study of at least six semesters and subsequent appropriate studies in the doctoral subjects preparing for the doctorate or
 - c) provide evidence of completion of a Master's degree programme within the meaning of Section 61 (2) sentence 2 HG.

The respective degree should have been assessed with at least the overall grade "good".

- (2) Degrees in other disciplines that meet the other requirements of Paragraph 1 may, in exceptional cases, be recognised as admission requirements by the doctoral committee upon application, if the subject matter and methodology are related to one of the doctoral subjects in the faculty, supervision by a university lecturer of the faculty is guaranteed and the candidates have the corresponding subject-specific qualifications. After hearing the supervisors and candidates, the doctoral committee may make additional subject-specific performance and knowledge certificates a requirement.

- (3) Degrees from relevant courses of study obtained at scientific universities outside the area of application of the Basic Law shall be recognised if the doctoral examination board determines equivalence. If this requirement is only partially fulfilled, the doctoral examination board may make additional subject-specific proof of performance and knowledge a condition. Proof of the subject-specific qualification must be presented to the doctoral committee. In the case of foreign applicants, proof of command of the German language may be required.

§5

Recognition as doctoral candidate

- (1) The application for recognition as a doctoral candidate must be submitted in writing to the faculty, stating the provisional working title of the dissertation.
- (2) The following documents must be attached to the application:
- a curriculum vitae with educational background;
 - the school leaving certificate or a certificate recognised as equivalent by the state authority;
 - proof of completed university studies or examinations taken;
 - a synopsis of the doctoral project;
 - a statement by the university teacher who will be responsible for the supervision.
- (3) Acceptance and enrolment as a doctoral candidate is a prerequisite for doctoral studies. All doctoral candidates of the faculty must be enrolled at Witten/Herdecke University for the entire duration of the doctorate.
- (4) In the case of acceptance of doctoral candidates, the review of the dissertation must be ensured.
- (5) If candidates are accepted as doctoral candidates, they are registered on the list of doctoral candidates.

§6

Support

- (1) As a rule, the university teacher who has set the dissertation topic is responsible for individual supervision. The topic should be formulated in such a way that it can usually be completed within a reasonable period of time.
- (2) The doctoral candidate must notify the doctoral committee of any termination or change of supervisor. In the event of termination, the doctoral committee shall, after hearing the persons concerned, endeavour to find a new supervisor. It shall inform the new supervisor of the topic and the name of the previous supervisor.

§7

Application for the opening of the doctoral procedure

- (1) The application for admission to the doctoral procedure is to be addressed to the doctoral committee, stating the dissertation topic, the doctoral subject and the desired reviewers. If the thesis has been submitted under supervision, the supervisors must be named.
- (2) Acceptance of the application requires, in addition to the prerequisites according to §§ 4 and 5, the following proofs and documents, which must be enclosed with the application:
 - a dissertation on a topic from a doctoral subject represented in the faculty in four typewritten and bound or stapled copies. More extensive pictorial parts may be submitted in only one copy;
 - a declaration by the doctoral candidate that he/she has written the dissertation or his/her part of the dissertation independently and has not used any aids other than those stated in the thesis;
 - a statement as to whether or not the doctoral candidates agree to the admission of audience members to the disputation;
- (3) The rejection of the application shall be communicated to applicants in writing, stating the reasons and the right of appeal.
- (4) The submitted copies of the thesis and the doctoral files remain with the faculty in any case.

§8

Doctoral Committee

- (1) For each doctoral procedure, the doctoral committee shall appoint a doctoral committee which is responsible for the assessment of the doctoral performance.
- (2) Under the chairmanship of the dean or his/her deputy, the doctoral committee consists of the reviewers in accordance with § 9 Para. 3, one further university teacher and one further member of the faculty with a doctorate, who should be a member of the academic staff responsible for the subject.
- (3) The doctoral committee must consist of a majority of faculty members.
- (4) If such reviewers are not able to take part in the disputation, university teachers of the faculty shall be appointed as examiners in their place.
- (5) Minutes shall be kept of the decisions of the doctoral examination board.

§9

Dissertation and appraisal

- (1) The dissertation must be an independent research achievement of the doctoral candidate, where the results extend the state of scientific knowledge. It shall be written in German. Permission to submit the dissertation in another language in exceptional cases shall be granted by the doctoral committee on application with the agreement of the examiners.
- (2) As a rule, the dissertation should not have been published before its acceptance. The doctoral committee decides on exceptions.
- (3) The doctoral committee appoints three university professors who are responsible for the assessment of the dissertation. The first examiner is the supervisor. This person must be one of the university teachers of the faculty according to § 6. When appointing the second examiner, the doctoral committee is not bound by the doctoral candidate's proposal. The time limit for resignation according to § 6 Paragraph 2 applies accordingly. An external university lecturer from another university shall be selected as the third reviewer.
- (4) The reviews should be submitted to the chairperson or the doctoral committee at the latest three months after receipt of the thesis. In the case of justified prevention of reviewers, the doctoral committee may extend the review period at their request, but by a maximum of three months. If a reviewer declares that he/she is unable to submit a proposal within this period, he/she may to submit his/her review, a new reviewer can be appointed at the doctoral candidate's request.

The doctoral candidate shall submit his or her expert opinion within three months from the date of appointment. The chairperson of the doctoral examination board shall make the reports available to the members of the doctoral examination board without delay.

- (5) The reviewers propose acceptance or rejection of the thesis to the doctoral committee. If they recommend acceptance, they shall propose one of the grades according to § 11 Para. 1 v o r. They may make proposals for amendments to the doctoral committee.
- (6) The doctoral committee may return the dissertation once for revision. A deadline is to be set for the resubmission which, as a rule, should not exceed six months. The deadline may be extended once at the doctoral candidate's request, but by no more than a further six months. The doctoral committee decides on the application and the duration of the extension. If the dissertation has not been resubmitted by then, it is deemed to have failed. The doctoral candidate must be informed of the rejection in writing.
- (7) If reviewers reject the dissertation, the doctoral committee shall declare the doctoral examination procedure terminated. The doctoral candidate shall be notified in writing of the rejection of the thesis.
- (8) If three examiners do not agree on the acceptance or rejection of the dissertation, or if the grades differ by more than one grade level, the doctoral committee shall appoint another university teacher; this person shall become a member of the doctoral committee upon appointment. He/she determines a grade within the margin between the divergent grades of the other reviewers.
- (9) If the reviewers recommend acceptance, the dissertation shall be displayed for six weeks in the deanary. The start of the display period shall be announced on a notice board. The professors of the faculty shall be notified in writing of the display of the dissertation. Each of them may submit a written statement up to one week after the end of the display period.
- (10) The doctoral committee then decides on the acceptance or rejection of the dissertation on the basis of the reviews and taking into account the comments received. It determines the grade of the thesis in accordance with § 11 Para. 1, taking into account the written comments received, and determines the scope of the amendment requirements proposed by the reviewers for publication. If the thesis is rejected, the procedure is terminated. The doctoral candidates shall be informed of this in writing.
- (11) Doctoral candidates may withdraw from the procedure without disadvantages until the first expert opinion is available. If they withdraw their thesis at a later point in time for reasons for which they themselves are responsible, the doctoral procedure is terminated without success. Another thesis may be submitted after one year at the earliest.

§ 10

Disputation

- (1) Immediately after acceptance of the dissertation, the doctoral candidates shall be invited in writing to the oral examination. The period between the two dates should not exceed four weeks, but should not be less than 14 days.
- (2) The oral examination takes place as a disputation with the doctoral committee. It is chaired by the dean or his/her deputy; only the members of the doctoral committee have the right to ask questions.
- (3) The disputation usually lasts one hour. The purpose of the disputation is to evaluate if the doctoral candidate, on the basis of scientific knowledge and skills, is in a position to justify or further develop the results they have worked out in the dissertation and the topics they have presented in the face of questions and objections, and to discuss them scientifically on this basis. It therefore extends to the theoretical and methodological foundations of the dissertation and to selected problems of related disciplines, taking into account the state of research in them.
- (4) The disputation begins with a thesis-like report by the doctoral candidate of no more than 15 minutes on the methodological basis and the results of the dissertation as well as on related disputation topics. The theses of the disputation are to be submitted by the doctoral candidate to the chairperson of the doctoral committee at least one week in advance on approximately one page. The first thesis relates to the research topic of the thesis, the second thesis should open up a broader scientific horizon.
- (5) The members of the doctoral committee, other university lecturers and, with the consent of the doctoral candidates, doctoral graduates, members and doctoral candidates of the faculty may participate in the disputation as listeners. The chairperson of the doctoral committee may admit members of other faculties as well as other individuals to the disputation in justified cases.
- (6) The doctoral committee and all university lecturers at the faculty do not count as members of the public.
- (7) The doctoral committee evaluates the result of the disputation. If it decides by majority vote not to award a grade according to § 11, section 1, the doctoral candidates may repeat the disputation after one semester at the earliest. If the disputation again ends unsuccessfully, the doctoral procedure as a whole is ended unsuccessfully. The doctoral candidates shall be informed of the result by the chairperson of the doctoral committee.

§ 11

Assessment of the doctoral performance: Dissertation and Disputation

- (1) The doctoral examination board shall, on the basis of the expert opinions and the result of the disputation determines an overall grade. The assessment shall be made in the ratio of three (written work: arithmetic mean of the grades included in the assessment) to one (written work: arithmetic mean of the grades included in the assessment). The first part of the examination shall take place in the form of an expert opinion (see § 9, Para. 5 and Para. 8) and the second part in the form of a disputation (see § 10, Para. 7). The following predicates can be considered:

summa cum laude (0)
magna cum laude (1)
cum laude (2)
rite (3)

- (2) The total predicate is given by the following breakdown:
- 0 = summa cum laude
 - >up to 1.5 = magna cum laude
 - > 1.5 to 2.5 = cum laude
 - >2.5 to 3.0 = rite
- (3) Subsequently, the doctoral candidates are notified of the overall grade as well as the grades of the individual doctoral performances. A provisional certificate is issued on the result. The doctoral candidates or a person appointed by them have the right to inspect the doctoral documents after the end of the procedure.

§ 12

Publication of the dissertation

- (1) Doctoral students are obliged to prepare a scientific paper (dissertation) in writing and to make the result available to the scientific public in an appropriate manner by copying and distributing it.

These obligations constitute a unit in the sense of a scientific achievement.

The dissertation must be published by the doctoral candidates within one year.

- (2) Before publication, doctoral candidates must fulfil the requirements of the doctoral committee according to § 9 Para. 10. The ready-to-print manuscript must be submitted to the doctoral committee for approval. The committee commissions one of its members - usually the supervisor of the thesis - to check the changes in the printed manuscript. After completion of the review, the committee decides on the permission to print. The permission must be granted in writing. In disputed cases, the doctoral committee decides.
- (3) The thesis is deemed to have been made accessible to the academic public in an appropriate manner if, in addition to the copy required for the faculty's examination files, the author delivers three copies for archiving, which must be printed on non-ageing, wood- and acid-free paper and bound in a permanently durable manner, to the university library free of charge and also ensures distribution by either:

- (a) the delivery of a further 15 copies, each in book or photo print, or
- (b) proof of distribution via the book trade by a commercial publisher with a minimum print run of 150 copies; the publication must be identified as a dissertation on the reverse of the title page, stating the place of the dissertation, or
- (c) the delivery of one microfiche and a further 15 copies, or
- (d) the delivery of an electronic version, the data format and data carrier of which are to be agreed with the university library; the corresponding cost and usage regulations apply.

In the case of a), the university libraries are obliged to retain an appropriate number of the surplus exchange specimens for four years.

In cases a), c) and d), the doctoral candidates transfer to the university the right to produce and distribute further copies of their dissertation or to make them available in data networks within the framework of the statutory duties of the university library.

If a publication is distributed by a commercial publisher and a printing subsidy is granted for it from public funds, an appropriate number of copies shall be made available to the university library for exchange purposes.

§ 13

Doctoral certificate

Upon completion of all doctoral examinations, the doctoral certificate is issued to the doctoral candidate by the dean. It is issued on the day of the last examination and contains the assessment determined by the doctoral committee. The award of the certificate entitles the doctoral candidate to use the doctoral degree.

In the case of publication as a book or journal article, the doctoral certificate may be handed over if a publishing agreement ensures the publication of the manuscript approved in accordance with § 9 Para!0 within one year.

§ 14

Maintenance and withdrawal of the doctoral degree

- (1) If, prior to the award of the doctoral certificate, it becomes apparent that the doctoral candidate has been guilty of deception in the doctoral procedure, the doctoral committee may declare the procedure invalid.
- (2) The legal provisions apply to the withdrawal of the doctoral degree. The decision on the withdrawal of the doctoral degree is made by the Faculty Council.

§ 15
Honorary doctorate

- (1) The Faculty of Cultural Reflection - Studium fundamentale may award the honorary doctorate (Dr. phil. h. c.) in accordance with § 1 Para. 1 for special scientific merit in the subject areas of the Faculty.
- (2) The honorary doctorate can only be awarded upon application by a university teacher of the faculty. The Faculty Council of the Faculty shall elect a committee to consider the application and recommend acceptance or rejection to the faculty. The committee shall consist of four university teachers/occupational school teachers and up to up to two scientific staff members of the faculty as well as students. If acceptance is recommended, the proposal must be accompanied by a detailed written description of the scientific merits of the honorary doctoral candidate and a draft of a laudation.
- (3) The committee's proposal is submitted to the university teachers and the faculty. At least three quarters of these must approve the honorary doctorate. The approval can be given in writing. After approval, the Faculty Council decides on the honorary doctorate.
- (4) The award of an honorary doctorate requires a decision by the Faculty Council and a resolution by the Senate in each individual case.
- (5) A laudation shall be included in the certificate of honorary doctorate.

§ 16
Entry into force and transition

- (1) The new version of the Promotion Regulations shall enter into force on 1 July 2018.
- (2) The previous doctoral regulations continue to apply to doctoral projects that have already been initiated; upon application to the doctoral examination board, doctoral candidates may also conduct the examination in accordance with the regulations of the revised doctoral regulations.
- (3) These doctoral regulations were issued on the basis of the resolution of the Senate of 20.11.2017 and the determination of the equivalence of these doctoral regulations with the regulations of the state universities by the Ministry of Culture and Science on 07.06.2018 - ref.: 221-7.04.02.01.01/146.



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