

Leipzig University  
Faculty of History, Art and Area Studies

# **Doctoral Degree Regulations of the Faculty of History, Art and Area Studies of Leipzig University**

Dated 4 September 2015  
in the version of the 1st Amendment statute dated 07.09.2022

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## **Preamble**

On the basis of paragraphs 40 and 88 of the Act on the Freedom of Universities in the Free State of Saxony (Saxon Freedom of Higher Education Act (SächsHSFG)) dated 15 January 2013 (SächsGVBl. P. 3), last amended by Article 2 of the Act dated 30 September 2021 (SächsGVBl. P. 1122), the council of the Faculty of History, Art and Area Studies has adopted the following doctoral regulations:

### **§ 1**

#### **Awarding of the doctoral degree**

- (1) The Faculty of History, Art and Area Studies of Leipzig University awards the academic degree of doctor **philosophiae (Dr. phil.)** in subject areas represented by research and teaching at the faculty, on the basis of a written academic thesis which develops the academic field and which has been defended (thesis), and an oral examination in accordance with the provisions of these doctoral regulations.
- (2) The award of a binational doctoral degree is possible and must be contractually regulated (see Addendum 1 to the doctoral regulations).
- (3) The faculty may also award the academic degree of **doctor philosophiae honoris causa (Dr. phil. h. c.)** on the basis of excellent academic achievements or because of special services to science in the subjects represented by the faculty.

## **§ 2**

### **Doctoral committees**

- (1) The committee for doctoral procedures is the extended faculty council. It is responsible for the final decision in the doctoral procedure. The doctoral committee acts on its behalf.
- (2) The doctoral committee, which consists of at least four members, is responsible for carrying out the doctoral procedure. Its permanent members are: the Vice-Dean, who chairs the committee, and one of the three deputies to be appointed by the faculty council, as well as the examiners according to § 10, provided they are members of Leipzig University, and the examiners in the viva voce. Should it be necessary for formal and subject-related reasons, additional members may be appointed by the Vice-Dean upon proposal of the supervisor. In the cooperative procedure according to § 40 para. 4 of the Saxon Freedom of Higher Education Act (SächsHSFG), one member of the doctoral committee may be a university lecturer of the university of applied sciences concerned.
- (3) In cases of doubt, the final decision lies with the extended faculty council, in all other cases the doctoral committee acts. The doctoral committee shall constitute a quorum if it has been duly convened and more than half of its members, including the chairperson or one of his:her deputies in accordance with paragraph 2, are present. It shall decide by a majority of the votes of those present. In the event of a tie, a request shall be deemed rejected.
- (4) The deliberations of the doctoral committees shall not be public. The members shall be sworn to secrecy by the chairperson. This obligation also includes the secrecy of the deliberation documents.
- (5) Decisions of the doctoral committees shall be communicated to the doctoral candidate in writing. Unfavourable decisions shall be justified to the applicant and shall be accompanied by instructions on how to appeal.

## **§ 3**

### **Requirements for admission as a doctoral candidate**

- (1) Requirements for admission as a doctoral candidate are:
  1. Documentary proof of completion of a degree programme at a higher education institution in the Federal Republic of Germany. As a rule, proof of this degree is provided by a Master's degree, Diplom degree, Magister degree or teaching degree from a higher education institution completed with an overall grade of at least "good". If the overall grade is not at least 2.0, then admission as a doctoral candidate can take place if the Vice-Dean has a favourable report

from a university teacher who is not the same person as the supervisor. Applicants who provide evidence of completed academic studies at a foreign university may be admitted as doctoral candidates if the educational qualifications are equivalent. If the required certificates are not available in German, they must be replaced by officially certified German or English translations of the corresponding documents. The equivalence agreements approved by the Kultusministerkonferenz and the German Rectors' Conference shall be decisive for the equivalence and transfer of credit of periods of study and academic achievements at foreign universities. At the suggestion of the supervisor, the Vice-Dean may impose additional requirements on the applicant to establish equivalence within the framework of admission on the basis of a foreign educational qualification.

2. If the doctoral subject differs from the subject of the previous final examination, the supervisor shall check the doctoral requirements and decide on any academic achievements to be made. He/she shall inform the dean's office of these on the request for entry in the doctoral candidate list (Annex 1, page 2).
  3. A supervision agreement according to Annex 2.
- (2) The applicant may not have already definitively failed a corresponding doctoral examination at another higher education institution with the same thesis.
  - (3) Graduates of universities of applied sciences are jointly supervised by a professor of Leipzig University and a professor of the university of applied sciences in a cooperative doctoral procedure.
  - (4) Those who have obtained a Bachelor's degree at a university with a final grade of 1.0 can be admitted to the doctoral procedure by way of an aptitude test according to § 5.
  - (5) All documents must be authorised by the applicant and, if submitted as copies, either certified or accompanied by the originals.

## **§ 4**

### **Admission as a doctoral candidate**

- (1) The faculty keeps a list of doctoral candidates. If the admission requirements according to § 3 are met, admission as a doctoral candidate is granted upon request (Annex 1) with entry in the doctoral candidate list of the faculty by the dean's office.
- (2) Admission as a doctoral candidate is confirmed to the doctoral candidate by the dean's office.
- (3) Registration in the list of doctoral candidates is for 4 years; an extension for one year at a time is possible upon request and with the consent of the supervisor.

## **§ 5**

### **Suitability assessment procedure**

Upon admission as a doctoral candidate in accordance with § 3, para. 4, the Vice-Dean, upon proposal of the supervisor, shall determine which further achievements must be made before the doctoral procedure is opened. These will be communicated to the dean's office on the request for entry in the doctoral candidate list (Annex 1, page 2).

## **§ 6**

### **Supervisor**

As a rule, the supervisor is a university lecturer or post-doctoral staff member of the faculty. Exceptions in questions of supervision are decided by the Vice-Dean after consultation with his three deputies according to § 2 paragraph 2 or by the faculty council in the case of co-supervision by post-doctoral fellows with an excellent record (see Addendum 2 to the doctoral regulations).

## **§ 7**

### **Request for the opening of the doctoral procedure**

- (1) The written formal request (Annex 3) for the opening of a doctoral procedure is to be addressed to the Vice-Dean. Proposals for assessors confirmed by the supervisor can be submitted with the request, but these do not constitute a claim to consideration.
- (2) The following documents must be enclosed with the request:
  1. three bound copies of the thesis. If more than two assessors are appointed in the course of the doctoral procedure, the corresponding number of copies of the thesis must be submitted,
  2. a single pdf file of the entire thesis,
  3. propositions on the thesis in German with a maximum length of 5 pages in 6 copies and as a pdf file,
  4. a curriculum vitae in tabular form,
  5. proposals for the examiners in the viva voce,
  6. a proposal for the topic of the presentation at the viva voce, confirmed by the supervisor,  
Alternative: submission of the graded certificate as a substitute for the viva voce

7. a declaration that the applicant has not used any outside help in the thesis and has not used any aids other than those stated in the thesis, and in particular has identified verbatim statements as such in the thesis (Annex 4),
  8. a statement as to whether, when, where and with what success the applicant has already taken a doctoral examination and whether the submitted thesis has already been submitted to another faculty or one of its university lecturers (Annex 4),
  9. proof of any additional work to be performed in accordance with § 3 para. 1.2 or § 5.
- (3) All documents must be authorised by the applicant and, if submitted as copies, either certified or accompanied by the originals.
  - (4) The date of submission and the start of the processing of the application shall be the date on which the required documents are submitted in full to the dean's office.
  - (5) The Vice-Dean decides on the opening of the doctoral procedure. The opening may only be refused if the requirements stated in § 3 are not fulfilled or the evidence and declarations required in § 7 are not complete.

## **§ 8**

### **Requirements for the thesis**

- (1) The thesis is an independently prepared, written scientific work that advances the scientific field.
- (2) The thesis shall be written in German or English; the doctoral committee shall decide on exceptions upon request by the doctoral candidate.
- (3) The thesis shall be in a firmly bound form with a cover sheet in accordance with Annex 5 and a declaration in accordance with Annex 4.

## **§ 9**

### **Opening of the procedure**

- (1) If, after examination of the doctoral application and the submitted complete documents in accordance with § 7, it is established that the requirements for opening the doctoral procedure are fulfilled, the Vice-Dean shall open the doctoral procedure.
- (2) When the procedure is opened, the Vice-Dean, in agreement with the supervisor, determines the assessors and appoints the examiners as well as the members of the doctoral committee.

- (3) If a doctoral procedure is not opened, the applicant's request and a copy of the thesis remain in the dean's office. All other documents submitted shall be returned to the applicant.
- (4) The faculty council is informed promptly by the Vice-Dean about whether the doctoral procedure has been opened or not.

## **§ 10**

### **Assessor**

- (1) A thesis must be evaluated by at least two assessors. One of the assessors must be a professor of the Faculty of History, Art and Area Studies appointed according to §§ 60 or 62 of the Saxon Freedom of Higher Education Act (SächsHSFG). The supervisor of the thesis is usually one of the assessors.
- (2) The following may be appointed as additional assessors:
  - appointed professors from universities, colleges and universities of applied sciences
  - junior professors and associate professors
  - holders of the academic degree Doctor habilitatus and persons who can provide evidence of habilitation-equivalent achievements or who have been granted a right of supervision pursuant to § 6.
- (3) In the case of doctorates in the international SEPT programme whose field does not fall within the denomination of an appointed professor of the Faculty of History, Arts and Oriental Studies, an appointed professor from another faculty of Leipzig University with a proven track record shall be appointed as an assessor.
- (4) The assessors are appointed by the Vice-Dean.

## **§ 11**

### **Reports and acceptance of the thesis**

- (1) The reports are obtained by the Vice-Dean.
- (2) The reports must contain a statement of reasons and a recommendation as to whether the thesis ought to be accepted or not, applying the grading system according to § 14, para. 1.
- (3) Reports shall be prepared within three months after the request has been issued.
- (4) As soon as all reports have been submitted, the university teachers shall be allowed two weeks to inspect the assessments and the thesis. During this period, comments

may also be submitted. In the case of negative comments, the extended faculty council shall decide on the subsequent procedure. If no negative comments are made, the grade for the thesis is to be determined in accordance with § 14 para. 2 after the end of the display period in the case of a recommendation for acceptance by all assessors.

- (5) If the performance is assessed as "non sufficit" - "unsatisfactory" by one assessor or if a negative opinion is received, the extended faculty council shall decide, on the proposal of the doctoral committee, whether further reports are to be obtained, the thesis is to be returned for revision in accordance with para. 8, or acceptance as a thesis is to be rejected. If at least two assessors deem the performance to be unsatisfactory, acceptance as a thesis is rejected and the thesis is terminated unsuccessfully.
- (6) Acceptance of the thesis is a prerequisite for admission to the viva voce and the defence.
- (7) The doctoral candidate shall be notified of the acceptance of the thesis by the Vice-Dean. At the same time, information shall be provided on the possibility of inspecting the reports or receiving copies of the assessments as well as on the admission to the viva voce.
- (8) The doctoral committee may return the thesis to rectify deficiencies within a period to be determined by it, which may not exceed one year, if a majority of the assessors agree. In cases of doubt, the extended faculty council shall decide. The doctoral committee may extend the deadline for resubmission of the thesis for good cause. If the deadline is exceeded for a reason for which the doctoral candidate is responsible, the thesis shall be deemed to have been rejected.
- (9) In the event of a rejection of the thesis, the Vice-Dean shall inform the doctoral candidate immediately in writing, stating the reasons. The thesis shall remain on file with the faculty together with the reports.

## **§ 12**

### **Viva voce**

- (1) If the thesis has been accepted, the Vice-Dean shall set the date for the viva voce in consultation with the examiners. The doctoral candidate shall be invited to this in writing at least 7 working days before the date.
- (2) The viva voce shall demonstrate that the candidate has a scientific education in his:her doctoral field that goes beyond the university degree examination. The examination consists of a scientific lecture followed by a discussion in front of at least two examiners. The topic of the lecture must not have been the subject of the thesis. The discussion may cover the entire doctoral field. The lecture lasts 30 to

45 minutes, the event as a whole at least 90, at most 120 minutes. The viva voce is usually conducted in German.

- (3) The performance of the doctoral candidate shall be evaluated in accordance with § 14 para. 1. If the examination is not passed, it may be repeated at the earliest after six months, at the latest within one year. It is not possible to repeat the examination more than once.
- (4) In the event of a final failure of the viva voce, the thesis shall remain on file in the faculty together with all reports. If a doctoral candidate does not appear for the viva voce or interrupts the examination without a valid reason, the examination is deemed to have been failed.
- (5) Special certified performances accompanying the doctorate, which have been performed within the framework of a structured graduate study programme and do not correspond in content to the topic of the doctoral thesis, shall be recognised by the doctoral committee as a substitute for the viva voce if they are equivalent.
- (6) Certified performances equivalent to those mentioned in paragraph 5 may be recognised by the doctoral committee as a substitute for the viva voce.

### **§ 13 Examiners**

The examiners must be members of the doctoral committee.

### **§ 14 Grading criteria**

- (1) The thesis and the viva voce are graded as follows:

summa cum laude	(excellent, 0),
magna cum laude	(very good, 1),
cum laude	(good, 2),
rite	(satisfactory, 3),
non sufficit	(unsatisfactory, 5).

- (2) The grade for the thesis is calculated from the average of the assessors' evaluations. The second decimal place is deleted without rounding. The "summa cum laude" grade can only be awarded if all assessors give this evaluation. The grading scale of the thesis is as follows:

summa cum laude	(for a grade point average of 0.0)
magna cum laude	(for a grade point average from 0.1 up to and including 1.5)

cum laude	(for a grade point average from 1.6 up to and including 2.5)
rite	(for a grade point average from 2.6 up to and including 3.0)

- (3) If an assessor has deemed the thesis to be "non sufficit" and returned the work for revision, the thesis cannot receive a grade higher than "rite" following a subsequent successful assessment. In the case of a successful repetition of the failed viva voce, the performance will likewise also receive the "rite" grade.

## **§ 15 Defence**

- (1) The doctoral candidate must publicly present the results achieved with the thesis in an approx. 30-minute lecture, usually in German or English, and answer questions from the auditorium. The discussion covers the thesis and related scientific fields.
- (2) The date of the defence is to be coordinated by the Vice-Dean with the members of the doctoral committee after acceptance of the thesis and successful completion of the viva voce and published in the faculty. The date, which is to be set during the lecture period, is to be communicated to the doctoral candidate at least two weeks before the defence. The doctoral committee shall decide on justified exceptions.
- (3) The defence may take place on the set date if the majority of the doctoral committee is present and the candidate does not claim any impairment of his:her constitution.
- (4) The Vice-Dean or a member of the doctoral committee commissioned by him:her shall conduct the defence. It is to be noted that:
- the composition of the doctoral committee is announced
  - the doctoral candidate is introduced
  - only in essential parts of the reports are presented concisely
  - questions not related to the scientific subject matter are rejected
- (5) In non-public deliberation, the doctoral committee decides on whether the candidate has successfully defended their thesis immediately after the session. There is no grading. External assessors who are present may participate in this decision-making process in an advisory capacity. Furthermore, the doctoral committee submits a proposal for the two grades of the thesis and viva voce to the extended faculty council. This proposal is then publicly announced - if the candidate is in agreement. The extended faculty council makes the final decision on the whether the doctoral degree is to be awarded or not as well as on the predicates of the thesis and viva voce.

- (6) A failed defence may be repeated at the request of the doctoral candidate within one year, but at the earliest after six months.
- (7) A defence is definitively failed and the doctoral procedure terminated unsuccessfully if:
  - the request to repeat the defence has not been received in writing by the Vice-Dean within four weeks after the failed defence
  - the defence is not repeated in due time through the fault of the doctoral candidate
  - the repeated defence is not passed.

## **§ 16**

### **Notification of the examination result**

The doctoral candidate shall be issued a certificate on the result of the doctoral examinations in accordance with Annex 7.

## **§ 17**

### **Doctor designatus**

Following the decision of the faculty council in accordance with § 15, para. 5, sentence 6, the candidate may use the title 'Doctor designatus' (Dr. des.) until the certificate is issued. The right expires upon expiry of the deadline for submission of the statutory copies.

## **§ 18**

### **Printing of the thesis and delivery of the statutory copies**

- (1) The doctoral candidate must either print or reproduce his:her thesis as an independent paper or have it published in a scientific journal or series and deliver four copies printed on wood-free and acid-free paper to the university library. Alternatively, an online publication can be made on the document server of the Leipzig University library.
- (2) The work must be submitted to the supervisor before it is printed or reproduced. The supervisor ensures that the publication is in an appropriate form and takes into account any change requests made by the assessors when accepting the work, and issues the imprimatur upon submission of the revised copy of the printed version. A revision slip signed by the supervisor is to be handed over to the dean's office.
- (3) The statutory copies must have a cover sheet in the form of Annex 6 and contain the curriculum vitae of the author on the last page of the thesis. In the case of theses that are available to buy, it is sufficient to state in the preface or in a note the name of the assessors and the date of the defence as well as the note that it is a thesis

accepted by the Faculty of History, Art and Regional Studies of Leipzig University.

- (4) The statutory copies must have been delivered to the university library (Albertina) three years after passing the examination. Upon justified request, the Vice-Dean may extend the delivery period by one year. Otherwise, the doctoral committee may allow the rights acquired through the examination to lapse.

## **§ 19**

### **Completion of the doctorate**

- (1) If the doctoral candidate has delivered the statutory copies of the thesis, the Dean shall issue the doctoral certificate in German and English according to the sample in Annex 8a and 8b. The certificate shall bear the date of the defence.
- (2) The right to use the doctoral title shall arise upon delivery of the doctoral certificate.

## **§ 20**

### **Non-completion of the doctorate, withdrawal of the doctoral degree**

- (1) Doctoral achievements may be declared invalid and the doctorate may not be completed or the doctoral degree may be withdrawn if
  - the statutory copies of the thesis are not delivered in accordance with § 18,
  - essential requirements for admission to doctoral studies were not met and the candidate obtained admission by deception,
  - the doctoral performance was obtained by deception,
  - facts become known which preclude or would have precluded the awarding of the doctoral degree.
- (2) In the case of suspected cheating, statements of the supervisor, the assessors and at least two external subject representatives shall be obtained. The person concerned shall be given the opportunity to inspect these statements and to make his:her own statement. On the basis of these statements, the extended faculty council decides on whether to abandon or withdraw the doctoral degree.
- (3) The decision shall be communicated to the candidate in writing and shall be accompanied by instructions on how to appeal.

## **§ 21**

### **Doctoral file**

- (1) The summarised doctoral documents form the doctoral file. It is kept by the doctoral committee during the procedure.
- (2) The doctoral committees involved shall prepare minutes of the deliberations and decisions in a doctoral procedure, which shall be attached to the doctoral procedure file after being signed by the chairperson of the doctoral committee or his:her deputy.
- (3) After completion of the doctorate in accordance with § 19, the doctoral candidate shall be granted access to the doctoral file upon request. The request shall be submitted to the Vice-Dean within one year after completion of the doctoral procedure.
- (4) After completion of the dissertation, the file shall be archived.

## **§ 22**

### **Right to appeal**

The candidate has the right to appeal against unfavourable decisions. The appeal must be submitted to the Vice-Dean in writing or on record within one month after receipt of the respective decision. The extended faculty council shall decide on the appeal within three months after hearing the doctoral committee.

## **§ 23**

### **Honorary doctorate**

- (1) The request for the award of an honorary doctorate must be submitted and justified by at least three professors of the faculty. The extended faculty council decides on the award by secret ballot with a simple majority of those present. The decision must be taken in consultation with the Senate.
- (2) The conferral of an honorary doctorate shall be effected by the award of a certificate signed by the Rector and the Dean (in accordance with Annex 10). The certificate shall state the reason for the conferment and the merits. The Rector or the Dean shall confer the title.
- (3) The 'Doctor honoris causa' title can be withdrawn in accordance with § 39 para. 4 of the Saxon Freedom of Higher Education Act (SächsHSFG).

## **§ 24**

### **Doctoral anniversary**

The faculty may recognise the 50th anniversary of the award of the doctoral degree by awarding an honorary certificate (in accordance with Annex 11). The decision on this is

made by the faculty council with a simple majority of the voting members present at the request of the subject representatives.

## **§ 25**

### **Transitional regulations**

Doctoral procedures which were opened before these doctoral regulations came into force may be completed in accordance with the previously applicable regulations.

## **§ 26**

### **Entry into force**

- (1) These doctoral regulations come into force on the day after they are announced in the official announcements of Leipzig University.
- (2) At the same time, the doctoral regulations of the Faculty of History, Art and Regional Studies dated 12.9.2003 (Official Announcements of Leipzig University No. 17/2003 dated 12.9.2003) shall cease to be applicable.
- (3) These doctoral regulations were adopted by the extended council of the Faculty of History, Art and Regional Studies on 21 April 2015 and approved by the Rectorate on 16 July 2015.

Leipzig, 04/09/2015

Professor Dr. Manfred Rudersdorf  
Dean of the Faculty of History, Art and Area Studies

Professor Dr. med. Beate Schücking  
Rector

## **Addendum 1 - Binational doctoral procedure**

- (1) Binational doctoral procedures are carried out on the basis of an agreement to be concluded between Leipzig University and a foreign partner university. In such procedures, the supervisors have the additional task of ensuring that the procedure is carried out correctly.
- (2) In a binational doctoral procedure, a binational doctoral degree can be awarded on the basis of joint supervision.
- (3) A contract must be concluded with the partner university which regulates the joint supervision and the basic principles of the dissertation. The contract shall be drawn up by the doctoral candidate and his:her supervisors and shall in particular contain regulations on:
  - the implementation of the supervision
  - the appointment of the doctoral committee
  - the appointment of the assessors, taking into account § 10, paragraph 1, sentence 1 of these regulations
  - the review process, whereby reports on the basis of which the Faculty of History, Art and Area Studies decides on the acceptance of the thesis must comply with § 11 paragraph 2 of these regulations
  - the language in which the thesis is to be written
  - the doctoral examinations (viva voce and defence)
  - the completion of the doctorate
  - the costs incurred in the process

The dean's office provides a checklist for contract contents and a sample contract. The dean's office can provide advice on drawing up the contract. The contract will be checked by the responsible offices of Leipzig University.

- (4) Admission to the doctoral procedure must take place both at the partner university in accordance with their respective regulations and in accordance with § 3.
- (5) The doctoral procedure takes place at the university where the defence is conducted. The thesis must be submitted there.
  - (a) If the procedure takes place at the partner university, the following documents must be submitted to the Faculty of History, Art and Regional Studies in accordance with § 7, paragraph 2, no. 4 of these regulations:
    - Tabular curriculum vitae with list of publications
    - Declaration of independence (Annex 4 of the doctoral regulations)
    - Declaration on previous doctoral attempts
    - Certified copy of the degree certificate

- Thesis in the language agreed upon according to para. 3 and theses in both languages as pdf files
- A proposal for the presentation topic at the viva voce confirmed by the supervisor, alternatively: submission of the graded certificate as a substitute for the viva voce.

The partner university provides the Faculty of History, Art and Area Studies with the reports for the decision on acceptance by the faculty.

- (b) If the procedure takes place at the Faculty of History, Art and Area Studies, the reports are made available to the partner university for the decision on the acceptance of the thesis there.
- (6) In case of non-acceptance of the thesis by the foreign partner university, the binational doctoral procedure is terminated. The doctoral procedure shall be continued in accordance with the provisions of these doctoral regulations. If the thesis is not accepted by the Faculty of History, Art and Area Studies, the binational doctoral procedure is terminated.
- (7) Two certificates shall be issued in accordance with the samples in Annex 9a and Annex 9b of these doctoral regulations, both of which refer to the joint doctoral procedure.
- (8) Unless otherwise agreed in the contract pursuant to paragraph 3, the regulations of the doctoral regulations shall apply to binational doctoral procedures.

## **Addendum 2 - Supervision by post-doctoral fellows**

Under certain conditions (see below), the Faculty of History, Art and Area Studies grants excellent post-doctoral fellows the right of joint supervision and joint assessment according to § 6 and § 10 of the doctoral regulations. This is intended in particular to enable those post-doctoral fellows who have personnel responsibility for employees who have acquired external funding themselves to gain experience in supervising and assessing postgraduate students.

For this purpose, the post-doctoral fellow must submit a request to the Vice-Dean and give detailed reasons for the wish to be supervised or assessed. After consultation with his three deputies, the Vice-Dean submits this to the extended faculty council (§ 88 para. 2 of the Saxon Freedom of Higher Education Act (SächsHSFG)) for a decision. Supervision by a professor of the Faculty of History, Art and Regional Studies must be guaranteed as well as continuity in the supervision of the doctoral candidate. Their intensive supervision should be the primary criterion for such an exception, which should not replace the regular path to acquiring the doctoral qualification - the habilitation.

The following are defined as necessary prerequisites in this sense:

- A preferably longer-term connection of the supervisor to the Faculty of History, Art and Regional Studies as part of continuous supervision.
- Excellent professional qualifications of the supervisor, especially in the field of the doctoral projects to be supervised. This can be demonstrated in particular by successful external assessments, for example in application or proposal procedures.
- Experience in the area of supervising and reviewing qualification theses below the doctorate and/or corresponding additional qualifications in higher education didactics.
- An excellent prognosis with regard to further academic qualification steps.

# Annex 1

## Request for entry in the doctoral list of the Faculty of History, Art and Area Studies

Page 1 of 2

Surname, first name: ..... Born on: .....

E-mail address<sup>1)</sup>: ..... Nationality: .....

Academic degree: ..... on: .....

at university/college: .....

Is the doctorate to be taken externally<sup>2)</sup>?

Subject of the thesis (working title):

.....  
.....  
.....

Supervisor: .....

Start of work on the thesis: .....

Funding during the doctoral studies<sup>3)</sup>: .....

The doctoral candidate confirms that he:she is familiar with the doctoral regulations.

.....

Doctoral candidate

Supervisor

Inclusion in the list of doctoral candidates<sup>4)</sup> on: .....

Annexes: Copy of the university degree certificate

For certificates from outside the EU: Proof of the equivalence of the degree

Declaration of supervisor in accordance with § 3 para. 1, 6. of the doctoral regulations

- 
- 1) Changes must be reported to the dean's office
  - 2) External means without enrolment at Leipzig University
  - 3) Voluntary information
  - 4) According to § 4 of these regulations for 4 years

**Request for entry in the doctoral list of the Faculty of History, Art and Area Studies**

Mr/Mrs .....

has attained the academic degree .....

in the subject .....

with a standard study period on the degree programme of..... semesters

at the university/college .....

Until the opening of the doctoral procedure, the following academic achievements are to be attained:

.....  
.....  
.....  
.....

Leipzig, [date] .....  
Supervisor

Acknowledged on .....  
Vice-Dean

## **Annex 2**

### **Supervision agreement**

Page 1 of 2

#### **Participants and doctoral project**

The supervision agreement is concluded between

\_\_\_\_\_ (surname, first name of doctoral candidate), and

\_\_\_\_\_ (surname, first name of supervisor of the thesis)

The working title of the thesis is:

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#### **Rights and duties of the doctoral candidate and the supervisor**

- All parties undertake to comply with the rules of good scientific practice, in particular in accordance with the Statutes on Safeguarding Good Academic Practice of Leipzig University dated 17 April 2015. The ombudsperson of Leipzig University acts as the direct contact for academics wishing to bring forward allegations of academic misconduct.

#### **Rights and duties of the doctoral candidate**

- The doctoral candidate assures to submit a request immediately and within no more than six months for admission to the doctoral list of the Faculty of History, Art and Area Studies.
- The doctoral candidate develops a work plan and time schedule for the thesis together with the supervisor.
- The doctoral candidate undertakes to report to the supervisor at least once a year and precisely on the status of the work. A reporting cycle of \_\_\_\_\_ has been agreed.

**Rights and duties of the supervisor**

- The supervisor is responsible for advising the doctoral candidate on the doctoral project and the time and work plan.
- The supervisor undertakes to work out a time and work plan together with the doctoral candidate and to receive regular and detailed reports on the progress of the work.
- He:she discusses career perspectives with the doctoral candidate.
- He:she supports the doctoral candidate in creating a balance between family life and academic career advancement, if necessary.

**Supplementary agreements**

**Arbitration of conflicts**

According to § 22 para. 2 of the Basic Regulations of Leipzig University, the university appoints two persons to arbitrate conflicts in matters concerning young academics. They take action if these cannot be settled at the level of the faculties, central institutions or other functional units.

\_\_\_\_\_ [date] \_\_\_\_\_  
Place Date

\_\_\_\_\_  
Doctoral candidate

\_\_\_\_\_  
Supervisor

### **Annex 3**

#### **Sample application for the opening of the doctoral procedure**

Name  
Address  
E-mail  
Tel. no.

To the Vice-Dean  
of the Faculty of History, Art and Area Studies  
Schillerstraße 6  
04109 Leipzig

Dear Mrs/Mr .....,

I hereby apply for the opening of a doctoral procedure on the basis of the doctoral regulations of the Faculty of History, Art and Area Studies dated 4 September 2015 in the version of the 1st amendment statute dated 7 September 2022.

In agreement with my supervisor, I propose as assessors for the thesis (in case of external assessors, please state address):

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I have given my consent. \_\_\_\_\_  
Signature of the supervisor

I would like to take the viva voce in the subject ..... with the examiners

.....  
.....  
.

In agreement with my supervisor, I propose the following topic:

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I have given my consent.

\_\_\_\_\_  
Signature of the supervisor

\_\_\_\_\_  
Alternatively:

I would like to replace the viva voce with a graded certificate of a structured graduate study program (.....) in accordance with § 12 para. 5 of the doctoral regulations.

I certify that I have prepared this thesis without the unauthorised assistance of any third parties and without the use of aids other than those indicated; thoughts taken directly or indirectly from external sources are identified as such. In selecting and evaluating the material, producing the manuscript as well as in linguistically editing it, I have received the support of the following persons:

No other persons were involved in the intellectual production of this thesis. In particular, I have not made use of the assistance of a doctoral advisor. Third parties have neither directly nor indirectly received monetary benefits from me for work related to the content of the submitted thesis. The thesis has not yet been submitted to another examination authority in the same or a similar form, either in Germany or abroad, nor has it been published.

I have not yet submitted a request for the opening of a doctoral procedure.

Leipzig,

Signature

**I enclose the following documents with the request:**

- 3 bound copies of the thesis with the cover page according to Annex 5 of the doctoral regulations,
- 6 copies of the propositions on the thesis (max. 5 pages)
- CV
- List of publications
- certified certificates of the university degree
- if applicable, proof of additional work to be performed according to the admission to the doctoral procedure

## **Annex 4**

### **Explanation**

I hereby certify that I have prepared this thesis without the unauthorised assistance of any third parties and without the use of any aids other than those stated; the ideas taken directly or indirectly from external sources are identified as such.

In selecting and evaluating the material, producing the manuscript as well as in linguistically editing it, I have received the support of the following persons:

No other persons were involved in the intellectual production of this thesis. In particular, I have not made use of the assistance of a doctoral advisor. Third parties have neither directly nor indirectly received monetary benefits from me for work related to the content of the submitted thesis.

The thesis has not yet been submitted to another examination authority in the same or a similar form, either in Germany or abroad, nor has it been published.

Date

Signature

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## Anlage 5

### Titelseite der einzureichenden Arbeit

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(Titel)

Der Fakultät für Geschichte, Kunst- und Regionalwissenschaften

der Universität Leipzig

eingereichte

DISSERTATION

zur Erlangung des akademischen Grades

DOCTOR PHILOSOPHIAE

(Dr. phil.)

vorgelegt

von \_\_\_\_\_  
(Vorname Name)

geboren am \_\_\_\_\_ in \_\_\_\_\_

Leipzig, den .....  
(Einreichungsdatum)

## Anlage 6

### Titelseite der einzureichenden Pflichtexemplare

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(Titel)

Von der Fakultät für Geschichte, Kunst- und Regionalwissenschaften

der Universität Leipzig

angenommene

DISSERTATION

zur Erlangung des akademischen Grades

DOCTOR PHILOSOPHIAE

(Dr. phil.)

vorgelegt

von

\_\_\_\_\_  
(Vorname Name)

geboren am

\_\_\_\_\_ in \_\_\_\_\_

Gutachter/innen:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Tag der Verteidigung: \_\_\_\_\_

## **Annex 7**

### **Certification pursuant to § 16 of the doctoral regulations**

#### **Certificate**

The Faculty of History, Art and Area Studies has decided on \_\_\_\_\_ to award

Mr/Mrs

\_\_\_\_\_  
the academic degree

#### **DOCTOR PHILOSOPHIAE (Dr. phil.)**

after he:she has demonstrated his:her academic competence in a proper doctoral procedure and with the thesis on the subject of

\_\_\_\_\_

The thesis was assessed with the grade \_\_\_\_\_ and the viva voce was assessed with the grade \_\_\_\_\_.

The doctoral procedure was carried out on the basis of the doctoral regulations of the Faculty of History, Art and Regional Studies dated 4 September 2015.

The completion of the doctorate takes place with the handing over of the certificate after the obligatory copies of the thesis have been submitted. Until then, the candidate is entitled to use the title Doctor designatus (Dr. des.) in accordance with § 17.

Leipzig, \_\_\_\_\_

\_\_\_\_\_  
Vice-Dean  
Chair of the Doctoral Committee

**Anlage 8a**  
Urkunde (deutsch)

**UNIVERSITÄT LEIPZIG**  
Traditionssiegel der Universität

Unter dem Rektorat des Professors/der Professorin für [Berufungsgebiet]

Dr. [Vorname Name des Rektors/der Rektorin]

und dem Dekanat des Professors/der Professorin für [Berufungsgebiet]

Dr. [Vorname Name des Dekans/der Dekanin]

verleiht

die Fakultät für Geschichte, Kunst- und Regionalwissenschaften

Herrn/Frau

[Vorname Name]

geboren am [Geburtsdatum] in [Geburtsort]

den akademischen Grad

DOCTOR PHILOSOPHIAE

(Dr. phil.)

nachdem er/sie in einem ordnungsgemäßen Promotionsverfahren durch die mit [Note der Dissertation] bewertete und erfolgreich verteidigte Dissertation

[Titel der Dissertation]

sowie durch die mit [Note des Rigorosums] bewertete mündliche Prüfung

seine/ihre wissenschaftliche Befähigung nachgewiesen hat.

Leipzig, den [Datum der Verteidigung]

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Der Rektor/Die Rektorin

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Der Dekan/Die Dekanin

## **Anlage 8b**

Urkunde (englisch)

**UNIVERSITÄT LEIPZIG**  
Traditionssiegel der Universität

During the terms of office of Dr. [Vorname Name des Rektors/der Rektorin]

professor of [Berufungsgebiet] as Rector and

Dr. [Vorname Name des Dekans/der Dekanin]

professor of [Berufungsgebiet] as Dean

the Faculty of History, Arts and Regional Studies hereby confers upon

Mr./Ms.

[Vorname Name des/der Promovenden/in]

born on [Geburtsdatum] in [Geburtsort]

the academic degree of

**DOCTOR PHILOSOPHIAE**

(Dr. phil.),

he/she having in accordance with the regulations presented and defended a dissertation  
entitled

[Titel der Dissertation]

which received the grade [Note der Dissertation]  
and having also demonstrated his/her academic competency in an oral examination  
that received the grade [Note des Rigorosums]

Leipzig, [Datum der Verteidigung]

---

The Rector

---

The Dean

## Anlage 9a

### Urkunde in binationalen Promotionsverfahren (deutsch)

#### Universität Leipzig

Traditionssiegel der Universität Leipzig

Unter dem Rektorat des Professors/der Professorin für [Berufungsgebiet]

Dr. [Vorname Name des Rektors/der Rektorin]

und dem Dekanat des Professors/der Professorin für [Berufungsgebiet]

Dr. [Vorname Name des Dekans/der Dekanin]

verleiht

die Fakultät für Geschichte, Kunst und Regionalwissenschaften

Herrn/Frau

[Vorname Name]

geboren am [Geburtsdatum] in [Geburtsort]

den akademischen Grad

DOCTOR PHILOSOPHIAE

(Dr. phil.)

nachdem er/sie in einem ordnungsgemäßen, binationalen Promotionsverfahren  
mit der [Name der Partnerhochschule]  
durch die mit „[Note der Dissertation]“ bewertete und erfolgreich verteidigte Disserta-  
tion

„[Titel der Dissertation]“

sowie durch die mit „[Note des Rigorosums]“ bewertete mündliche Prüfung  
seine/ihre wissenschaftliche Befähigung nachgewiesen hat.

Leipzig, den [Datum der Verteidigung]

Der Rektor/Die Rektorin

Der Dekan/Die Dekanin

Herr/Frau [Vorname Name des/der Promovenden/in] hat das Recht, den Dokortitel entweder  
in deutscher oder [partnerländischer] Form zu führen.

Dieser Doktorgrad bedarf zur Führung in der Bundesrepublik Deutschland keiner weiteren  
staatlichen Genehmigung.

## Anlage 9b

### Urkunde in binationalen Promotionsverfahren (englisch)

#### Universität Leipzig

Traditionssiegel der Universität Leipzig

During the terms of office of Dr. [Vorname Name des Rektors/der Rektorin]

Professor of [Berufungsgebiet] as Rector and

Dr. [Vorname Name des Dekans/der Dekanin]

Professor of [Berufungsgebiet] as Dean

the Faculty of History, Arts and Regional Studies  
hereby confers upon

Mr./Ms.

[Vorname Name des/der Promovenden/in]

born on [Geburtsdatum] in [Geburtsort]

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

he/she having in accordance with the regulations presented and defended in a Bi-  
national Doctoral Program with the [Name der Partnerhochschule] a dissertation en-  
titled

‘[Titel der Dissertation]’

which received the grade ‘[Note der Dissertation]’  
and having also demonstrated his/her academic competency  
in an oral examination that received the grade ‘[Note des Rigorosums]’

Leipzig, [Datum der Verteidigung]

The Rector

The Dean

The holder of this doctoral degree is entitled to make use of the degree in public either in the German or in the ..... form of its designation.

In the Federal Republic of Germany, the public use of the degree is authorized without further official authorization.

## Anlage 10

### Urkunde zur Verleihung der Ehrendoktorwürde

**UNIVERSITÄT LEIPZIG**  
Traditionssiegel der Universität

Unter dem Rektorat des Professors/der Professorin für [Berufungsgebiet]

Dr. [Vorname Name des Rektors/der Rektorin]

und dem Dekanat des Professors/der Professorin für [Berufungsgebiet]

Dr. [Vorname Name des Dekans/der Dekanin]

Verleiht

die Fakultät für Geschichte, Kunst- und Regionalwissenschaften

Herrn/Frau

[Vorname Name]

geboren am [Geburtsdatum] in [Geburtsort]

den akademischen Grad

in Anerkennung seiner/ihrer Verdienste

um [Grund der Verleihung und Nennung der Verdienste]

die Würde eines Doktors der Philosophie ehrenhalber (Doctor philosophiae honoris  
causa – Dr. phil. h.c.).

Leipzig, [Datum des Verleihungsbeschlusses des Fakultätsrates]

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Der Rektor/Die Rektorin

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Der Dekan/Die Dekanin

# Anlage 11

## Urkunde zum Doktorjubiläum

**UNIVERSITÄT LEIPZIG**  
Traditionssiegel der Universität

die Fakultät für Geschichte, Kunst- und Regionalwissenschaften der Universität  
Leipzig

erneuert

die am [Datum der Verleihung des Dokortitels] verliehene Würde eines

Doktors der Philosophie

für

[akad. Titel Vorname Name]

und spricht ihm/ihr aus Anlass der 50. Wiederkehr dieses Tages die herzlichsten  
Glückwünsche aus.

Leipzig, im [Monat Jahr]

Der Dekan/Die Dekanin

Dr.[Vorname Name]

Professor/in für [Berufungsgebiet]