

Please note that this document is a non-binding convenience translation. Only the German version of the document entitled "Promotionsordnung der Universität Heidelberg für die Philosophische Fakultät und die Neuphilologische Fakultät" [published in the Rector's Bulletin (Mitteilungsblatt des Rektors) dated 25 September 2006, p. 749] has legal validity.

Doctoral Regulations of Heidelberg University for the Faculty of Philosophy and the Faculty of Modern Languages

of 22 September 2006

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Section 1 Doctorate

The Faculty of Philosophy and the Faculty of Modern Languages of Heidelberg University award the academic degree of Doktor/Doktorin der Philosophie (Dr. phil. - Doctor of Philosophy) on the basis of work completed during the doctoral programmes in the subjects offered in their academic institutions, or the honorary degree of Doktorin/Doktor der Philosophie ehrenhalber (Dr. phil. h.c. - Honorary Doctor of Philosophy) on the basis of outstanding academic achievements in the field of the disciplines represented in the two faculties, including related areas. If the statutory requirements are met, the English title of Doctor of Philosophy (Ph.D.) may also be conferred.

Section 2 Purpose and components of the doctorate, doctoral degree procedure

- (1) The conferral of a doctorate is proof of the candidate's aptitude for independent academic work.
- (2) This proof is based on
 - the submission of an academic treatise (dissertation) in the subject of the doctoral programme, and
 - an oral examination (defence) in the same subject.
- (3) The bodies in the respective faculty responsible for doctoral degree procedures are the doctoral committee (Promotionsausschuss) and an examination committee appointed by the doctoral committee for each doctoral degree procedure.

Section 3 Doctoral committee

- (1) The doctoral committee ensures that the doctoral programme proceeds properly. In particular, it decides on the admission to doctoral programmes, on the admission of applicants as doctoral candidates, on the appointment of evaluators, and on the composition of the examination committee. It can assign responsibility for performing these duties to its chair.
- (2) The members of the doctoral committee and a deputy for each of these members are elected by the faculty council for a two-year term of office. If a member or deputy leaves, his or her successor is immediately elected for the remaining term of office. Members may be re-elected.
- (3) The members of the doctoral committee are the dean or a vice dean as chair and four more professors or associate professors from the faculty whose primary occupation is at Heidelberg University.
- (4) The doctoral committee takes decisions on the basis of a majority vote of its members. If there are an equal number of votes, the chair has the casting vote. In a duly scheduled meeting, the doctoral committee can in individual cases approve exemptions from the provisions of these doctoral regulations with a two-thirds majority of its members, insofar as the Landeshochschulgesetz (LHG - Act on Higher Education of the Land of Baden-Württemberg) does not preclude this.
- (5) The doctoral committee does not convene publicly. This does not affect the right of the candidate concerned to be heard.
- (6) The doctoral committee informs the candidate or doctoral student of its decisions in writing.

Section 4 Admission to doctoral degree programmes

- (1) As a rule, the requirement for admission to a doctoral programme is the completion of a Staatsexamen, Diplom, Magister or master's programme or a comparable course of study at a university, university of education (Pädagogische Hochschule), or college of arts or music with a minimum standard study period of four years, generally in the subject of the doctoral programme, and with a mark of "good" or better awarded for the final examination.
- (2) If the overall mark is lower than "good", admission to the doctoral programme can be granted if two professors or associate professors belonging to the faculty submit supporting statements that testify to the candidate's academic aptitude. This also applies if no overall mark exists.
- (3) The doctoral committee decides on the equal standing or otherwise of exams, on the admission of applicants whose overall mark is lower than "good", and on how to proceed if no overall mark exists.
- (4) Applicants who completed a four-year bachelor's programme at a university may be admitted to the doctoral programme if they received a "very good" final mark and, by passing a colloquium, demonstrate their ability to undertake the same level of academic research in their intended doctoral subject as eligible candidates with a Staatsexamen, Diplom, Magister, master's or equivalent degree. Through the colloquium, the applicant must demonstrate that he or she has the same level of knowledge in the doctoral subject as is required to pass a master's degree examination in accordance with the applicable examination rules and regulations of Heidelberg University.
- (5) Particularly qualified applicants who completed a three-year bachelor's programme at a university may be admitted to the doctoral programme if they received a "very good" final mark, and, by passing an aptitude assessment procedure (Eignungsfeststellungsverfahren), demonstrate their ability to undertake the same level of academic research in their intended doctoral subject as a candidate with a master's degree from a university. As a rule, the aptitude assessment procedure will last four semesters and the doctoral committee determines the required level of achievement. Upon request by the candidate, the doctoral committee decides whether he or she has passed the aptitude assessment procedure. If the candidate does not complete the aptitude assessment procedure successfully, his or her admission to the doctoral programme expires.
- (6) Particularly qualified candidates with a Diplom degree from a university of applied science, vocational university (Berufsakademie), or colleges of art or music that are not covered by subsection 1, may be admitted to the doctoral programme if they received a "very good" overall mark, and passed a colloquium in accordance with subsection 11, demonstrating their ability to undertake the same level of academic research as eligible candidates with a university degree.

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- (7) Holders of equivalent international degrees will be admitted in accordance with the same criteria as applicants who completed a course of study as set forth under subsection 1 to 5.
- (8) Proof of meeting the language requirements as set down by the examination regulations of Heidelberg University for the corresponding consecutive bachelor's/master's, Magister, Diplom or teacher training programmes in the respective applicable version must be provided or measures must be taken to comply with these. In the subject of German as a foreign modern language, proof must also be provided of having passed the Latinum, or proof of Latin proficiency on a par with the Latinum or of having equivalent knowledge of a similar classical language. In the subject of classical philology: Latin, proof must be provided of having obtained credits in Greek by completing one lecture course and two preparatory seminars or one lecture course, one preparatory seminar and one reading course. In the subject of classical philology: Greek, proof must be provided of having obtained credits in Latin by completing one lecture course and two preparatory seminars or one lecture course, one preparatory seminar and one reading course.
- (9) If the subject of the doctoral programme was not the main examination subject in the preceding final examination, the candidate must prove his or her technical knowledge to the doctoral committee in a colloquium. In addition, publications and other written pieces of work by the candidate can be taken into account.
- (10) If the subject of the doctoral studies was not an examination subject in the preceding final examination, the candidate must demonstrate his or her technical knowledge to the doctoral committee by submitting publications or other similar written pieces of work and by taking a colloquium.
- (11) The colloquium is an oral exam which lasts approximately one hour. It is conducted by two examiners who are professors or associate professors from the faculty concerned, and who have been appointed by the doctoral committee. Through the colloquium, the applicant must demonstrate that he or she has the same level of knowledge in the doctoral subject as is required to pass a master's degree examination in accordance with the applicable examination rules and regulations of Heidelberg University. This is the case if the overall mark awarded for the colloquium is "good" or higher. The overall mark is the arithmetical average of the individual marks awarded by the examiners; only the marks "excellent" (1), "good" (2), "satisfactory" (3), "adequate" (4) or "inadequate" (5) can be given.
- (12) Where necessary, the doctoral committee stipulates subject-specific procedures for admission to doctoral programmes.

Section 5 Acceptance of doctoral candidates

- (1) Any applicant who meets the requirements for acceptance set out in section 4 can apply to the respective deanship for admission as a doctoral candidate, specifying the subject of his or her dissertation. The doctoral committee decides whether a candidate is to be admitted. The following must be

- enclosed with the application:
- a) Proof of compliance with admission requirements as defined in section 4;
 - b) Specification of the intended topic for the dissertation together with a brief outline of the dissertation;
 - c) A written undertaking from a professor or associate professor in the faculty to supervise the proposed dissertation project;
 - d) A curriculum vitae of the applicant setting out his or her personal and professional background;
 - e) A declaration of any previous or current attempts to obtain a doctorate.
- (2) The respective doctoral committee decides whether a candidate is to be admitted as a doctoral candidate. Admission must be denied if:
 - a) requirements for admission to doctoral programmes are not met
 - b) the documents are incomplete.
 - (3) Admission can be denied if:
 - a) the applicant has already undertaken more than one unsuccessful attempt to obtain a doctorate;
 - b) there are grounds which would justify the revocation of an academic degree or if an academic degree has already been revoked.
 - (4) A decision on the application should generally be taken within six weeks during term time. The candidate must be notified in writing if his or her application is turned down with the reasons for this decision. This also applies to the application for admission to the examination (section 8).
 - (5) Upon admitting a doctoral candidate, the faculty concerned undertakes to examine a final academic dissertation with the theme already provided, and to support the doctoral candidate in his or her dissertation work.
 - (6) The candidate may enrol at the university unless he or she is already a member of the university by virtue of an employment contract or if enrolment would conflict with another employment position. Enrolled doctoral candidates have the same rights and obligations as students.
 - (7) The doctoral programme should generally be completed within three years. The maximum enrolment period for doctoral candidates is five years.

Section 6 Academic guidance for doctoral candidates

- (1) The faculties' professors are obligated to supervise doctoral candidates within the limits imposed by their tasks related to research, teaching, and academic self-government.
- (2) Doctoral candidates nominate a professor or associate professor as their supervisor vis-à-vis the faculty concerned. The doctoral committee appoints the designated supervisor if he or she is prepared to take on this role, and confirms that the outline submitted by the doctoral student gives reason to expect that the dissertation will meet the purpose of the doctorate (see

section 2 subsection1).

- (3) The candidate and his or her supervisor conclude an agreement stating the dissertation topic, the duration of the doctorate, and in particular a dissertation schedule generally spanning three years. The progress of the dissertation project shall be evaluated regularly.
- (4) The faculty board can set down guidelines for doctorates, stipulating inter alia the involvement of candidates in interdisciplinary research training groups or in other special programmes.
- (5) Upon the request of the doctoral candidate, the doctoral committee will endeavour to find a professor or associate professor from the faculties involved to supervise the doctoral candidate.

Section 7 Doctoral dissertation

- (1) The dissertation must be of an adequate scientific standard and demonstrate the candidate's ability to undertake independent academic work in the doctoral subject.
- (2) Contributions to group papers, which can be unequivocally attributed to the candidate and evaluated separately, may be submitted as a dissertation if they meet the dissertation requirements.
- (3) The dissertation is generally to be written in German, Latin, English or French. Upon written request by the candidate, the doctoral committee may allow him or her to submit his or her dissertation in another language if language skills among the professors and associate professors of the faculty concerned allow for the dissertation to be evaluated in this language.

Section 8 Acceptance for examination

- (1) On completion of the dissertation, the doctoral student can submit a written application to the deanship for acceptance for the examination. The following must be enclosed with the application:
 - a) Three hard copies of the dissertation and a digital copy in a common file format;
 - b) An affidavit pursuant to Appendix 1 to these doctoral regulations, which generally is to be submitted in writing;
 - c) A signed copy of the affidavit instructions provided by the university on the meaning of the affidavit and the potential legal ramifications in case of untrue or incomplete statements.
 - d) A curriculum vitae;
 - e) Where applicable, evidence of having taken measures to comply with the language requirements as set down by the examination rules and regulations of Heidelberg University for the corresponding consecutive bachelor's, master's, Magister, Diplom or teacher training programme in the respective valid version.

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- (2) In exceptional cases, an academic treatise that has already been printed can be accepted as a dissertation, subject to the consent of the doctoral committee.
 - (3) Acceptance must be denied if:
 - a) the requirements for acceptance are not met;
 - b) the documents are incomplete;
 - c) the candidate submits a dissertation that has already been rejected by another examining body or used as an examination paper in another examination procedure.
 - (4) Acceptance can be denied if there are grounds that would justify the revocation of an academic degree or if an academic degree has already been revoked.

Section 9 Dissertation evaluation

- (1) Once the dissertation has been submitted, the doctoral committee appoints at least two evaluators. The supervisor is one of the evaluators. The evaluators should be appointed within four weeks during term time.
- (2) The evaluators must be professors or associate professors. They should generally belong to the respective faculty. Leaders of independent junior research groups who meet the criteria defined in the recommended guiding principles on the promotion of junior researchers issued by the Senate of Heidelberg University (clause 5) may be appointed as evaluators for dissertations submitted by members of their junior research groups. In special cases, junior research group leaders may upon their own request also be appointed as evaluators for other dissertations. Professors who are fully or semi-retired (i.e. who have been released from their teaching duties) can be appointed as evaluators, subject to their consent. Professors or associate professors from other faculties of Heidelberg University can be appointed as evaluators, subject to their consent, if the dissertation covers areas that are related to their subjects.
- (3) The doctoral committee will decide on the appointment of professors from other universities or comparable academic institutions of higher education who hold an appropriate position comparable to that of a professor. At least half of all evaluators must be professors, fully or semi-retired professors or associate professors from the faculty.
- (4) Professors from the faculties involved who are technically capable and can reasonably be expected to take on the workload may not refuse an appointment as evaluator.
- (5) The evaluators provide the reasons for their assessment of the dissertation in writing and suggest whether the dissertation should be accepted or rejected and, if they are suggesting that it should be accepted, propose one of the following grades:
 - summa cum laude (0-very good)

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magna cum laude	(1-good)	
cum laude	(2-satisfactory)	
rite	(3-adequate)	

- (6) The doctoral committee determines the mark for the dissertation on the basis of the written evaluations. If the referees differ in the marks they suggest, the doctoral committee will decide on the mark to be awarded in consultation with them. If no agreement can be reached, the doctoral committee will take a decision after choosing and appointing a further evaluator.
- (7) The evaluators can issue conditions for publication of the dissertation in their written evaluations.
- (8) The written evaluations should be submitted to the doctoral committee no later than three months after the appointment of the evaluators.

Section 10 Inspection of the dissertation and written evaluations

- (1) The four-week inspection period in the deanship of the faculty starts when the doctoral committee receives the reports. Inspection during the month of August is precluded. If there are any written requests asking to reduce the inspection period, the doctoral committee decides whether the request will be acceded to.
- (2) All professors and associate professors in the faculty, and the evaluators have the right to inspect dissertations and written evaluations.
- (3) The commencement date of the inspection period, the name of the candidate, the title of the dissertation, and the names of the evaluators are to be communicated to the faculty's professors and associate professors in writing.

Section 11 Appointment of further evaluators

- (1) During the inspection period, the professors and associate professors of the faculty concerned have the right to file a request with the doctoral committee to appoint a further evaluator. The request must be substantiated in writing. The request must be acceded to. The appointment of a further evaluator should take place swiftly within three weeks of receipt of the request during term time; the person submitting the request can be appointed as a further evaluator.
- (2) If an evaluator rejects the dissertation, the doctoral committee will decide how to proceed further, and on the possible appointment of further evaluators.
- (3) If further evaluators are appointed, section 9 subsection 4 applies mutatis mutandis.

Section 12 Termination of the doctoral degree procedure in the case of negative evaluations

- (1) If both evaluators suggest that the dissertation be rejected, the chair of the doctoral committee terminates the doctoral degree procedure following the end of the inspection period.
- (2) If the chair of the doctoral committee establishes that the majority of written evaluations recommend a rejection, the doctoral project is rejected.
- (3) If a dissertation is turned down on the first submission, the doctoral candidate has the right to submit a revised version of the dissertation within one year of the date on which the dissertation was rejected. If the doctoral student does not exercise his or her right to revise the dissertation or if the revised version is not submitted in due time, the doctoral project is rejected.
- (4) A copy of the rejected dissertation, and all written evaluations are kept on record in the faculty.

Section 13 Examination committee

- (1) On expiry of the inspection period and once all written evaluations have been received, and provided that section 12 does not apply, the doctoral committee appoints an examination committee, and from this a university lecturer or associate professor as chair. The examination committee must be appointed within three weeks during term time. The doctoral committee informs the doctoral candidate of the composition of the examination committee in writing.
- (2) The evaluators plus at least one other professor or associate professor from the faculty belong to the examination committee.
- (3) The chair of the examination committee sets the date for the oral defence, convenes the examination committee and summons the candidate to the oral defence.
- (4) The examination committee takes decisions by majority vote. If there are an equal number of votes, the chair has the casting vote.
- (5) The examination committee immediately notifies the doctoral committee of its decisions in writing.

Section 14 Oral defence

- (1) Once the dissertation has been accepted, the candidate takes an oral defence, which lasts about 75 minutes. The oral defence starts with a report by the doctoral student on his or her dissertation. The report should not last more

than 15 minutes. The topics of the oral defence are made up in equal part of the research fields of the dissertation, and the doctoral subject in general.

- (2) As a rule, the oral defence should be held during term time and within six weeks, but no later than six months after the end of the inspection period. The chair of the examination committee must communicate the time and place of the oral defence, and the designated subject areas in writing to the other members of the examination committee and to the doctoral student.
- (3) So far as space limitations allow, the chair of the examination committee may allow other doctoral candidates to attend the oral defence as spectators. However, spectators will not be allowed to attend the discussion and announcement of the examination results. The examination must be made non-public upon the candidate's request if good reasons exist.
- (4) The oral defence is conducted by the chair of the examination committee.
- (5) A concise written record of the oral defence must be prepared.

Section 15 Decision on oral defence performance

- (1) Immediately after the oral defence, the examination committee decides in closed session whether the candidate's performance in the oral defence should be accepted or rejected, and agrees on a mark in accordance with section 9 subsection 4.
- (2) If the oral defence performance is rejected pursuant to subsection 1, the doctoral candidate can retake the oral defence after submitting a written request to the examination committee. The request must be submitted to the examination committee no later than six months after the first oral defence. Retakes are granted only once.
- (3) If the oral defence is rejected and the candidate chooses not to retake it, or if his or her performance at the retake is rejected, the doctorate is rejected.
- (4) The chair of the examination committee communicates the result of the oral defence to the doctoral committee.

Section 16 Doctoral result

- (1) Provided that the doctorate is not rejected pursuant to section 12 or section 15, the doctoral committee determines the overall mark on the basis of the marks awarded for the dissertation and the oral defence.
- (2) The overall mark is calculated as the arithmetical average of the marks of the dissertation and the oral defence performance. If the result is between two grades, the mark of the dissertation is the decisive element. Section 9 subsection 4 applies mutatis mutandis to the calculation of the overall mark. Half marks must not be awarded.

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- (3) The candidate must be notified of the doctoral result immediately.

Section 17 Resubmission

If the doctorate is rejected in accordance with section 12, the doctoral candidate can submit a new dissertation. Approval for resubmission is granted only once.

Section 18 Publication of dissertations

- (1) The dissertation must be published no later than two years after completion of the doctorate.
- (2) If the dissertation is not published in due time, all rights acquired with the doctorate are forfeited. In special cases, the time limit may be extended upon timely and substantiated request from the candidate. The chair of the doctoral committee decides on extensions of up to 12 months; for extensions exceeding this period, the decision is made by the doctoral committee.
- (3) Dissertations can be published:
1. in a series of publications or as a self-contained book distributed by the publishing trade
 2. in an academic journal
 3. by providing a digital copy whose data format and carrier are to be approved by the university library.
- (4) The following rules apply to publication:
1. If the dissertation is published in a series, as a self-contained book or in an academic journal, 3 copies must be submitted if proof of a minimum print-run of 150 copies can be provided.
 2. If the dissertation is published digitally, 4 copies must be submitted.

The doctoral committee reserves the right to decide which series, publishing houses, academic journals or compilations are suitable for publication if specific reasons exist.

If conditions were imposed, the candidate must seek his or her evaluators' written permission for publication prior to the dissertation being published. The candidate must present any amendments and additions to the evaluators. The dissertation may only be printed once the final amendments have received the imprimatur of the evaluators.

Any copies published after completion of the doctorate must carry a publisher's imprint or a reference identifying the publication as a Heidelberg University dissertation. If the dissertation title is modified for publication, the original title must be indicated.

Section 19 Conferral of the degree of Dr. phil.

- (1) If the candidate submits the deposit copies in due time pursuant to section 20 subsection 5, he or she will be conferred the degree of Doktor/Doktorin der Philosophie (Dr. phil. - Doctor of Philosophy). The final sentence of section 1 subsection 1 applies mutatis mutandis.
- (2) The doctoral degree certificate contains the title of the dissertation, the overall mark, and the date of the oral defence as the date on which the doctorate was awarded.
- (3) The right to use the title of "Doctor" is acquired only upon receipt of the doctoral certificate. It is not permitted to use titles such as "Dr. des."

Section 20 Conferral of the degree of Dr. phil. h.c., renewal of doctorate

- (1) Acting with the approval of the Senate, the faculties may award the degree of Doktor der Philosophie ehrenhalber (Dr. phil. h.c. - Honorary Doctor of Philosophy) in recognition of outstanding academic achievements in the disciplines represented at the respective faculty.
- (2) This requires a proposal by at least three professors or associate professors of the faculty. In preparation of its decision, the faculty board appoints from its membership two professors or associate professors as rapporteurs. Once the rapporteurs submit their opinions, the faculty council takes a decision on the basis of a three-quarter majority of its members holding a doctorate.
- (3) The degree of Dr. phil. h.c. is conferred through the handing over of an honorary doctoral certificate in which the faculty honours the academic merits of the conferee.
- (4) In special cases, the faculty can renew the doctorate to mark the 50th anniversary of the date on which the doctorate was awarded. In a laudation the faculty acknowledges the honouree's academic and other public merits of which it is aware, and which the honouree achieved after receiving his or her doctorate.

Section 21 Revocation of admission; nullification of doctoral results

- (1) If, prior to the handing over of the doctoral certificate, it emerges that the candidate met a condition of admission through deception, or essential conditions of admission were mistakenly taken to have been satisfied, the doctoral committee may revoke the admission of a candidate to the doctoral programme. The same applies if facts become known that would justify revocation of a doctoral degree under state law.
- (2) If, prior to the handing over of the doctoral certificate, it emerges that the candidate used deception in order to meet one of the requirements for the

doctorate, the doctoral committee may nullify either this particular result or all prior results. In severe cases the committee may revoke admission to the doctoral programme.

- (3) The candidate concerned must be heard before a decision is taken. The decision must be substantiated and served to him or her with instructions for appeal.

Section 22 Revocation of doctoral degree

- (1) Revocation of doctoral degrees is governed by state law. If state law does not specify otherwise, the doctoral committee is the competent body to administer revocation of doctoral degrees.
- (2) The candidate concerned must be heard before a decision is taken. The decision must be substantiated and served to him or her with instructions for appeal.

Section 23 Viewing the records

Candidates must be allowed to inspect the evaluations once the doctoral degree procedure is completed. Upon the candidate's request and once the doctoral degree procedure is completed, the candidate must be allowed to view the doctoral records if knowledge of these records is required to enforce or defend his or her legal interests.

A request to this effect must be submitted to the dean within one year after the doctoral degree procedure has been completed.

Section 24 Exemptions

In a duly scheduled meeting, the doctoral committee can in individual cases approve exemptions from the above provisions with a two-thirds majority of all members present, insofar as the Act on Higher Education of the Land of Baden-Württemberg does not preclude this. This applies in particular to interdisciplinary and international doctoral degree procedures.

Section 25 Entry into force

These doctoral regulations come into force on the first day of the month following their publication in the Rector's Bulletin (Mitteilungsblatt des Rektors). They simultaneously supersede the Doctoral Regulations of Heidelberg University for the Faculty of Philosophy and History, the Faculty for Oriental Studies and the Faculty of Modern Languages at the University of Heidelberg of 28 August 1989 (Wissenschaft und Kunst - Science and Art 1989, page 437), last amended on 30 May 2005 (Rector's Bulletin dated 30 May 2005, page 195). Doctoral candidates who had already been admitted by the faculty when these regulations came into force may upon request continue the doctorate according to the formerly applicable provisions. For doctoral candidates with no previous degree (basic doctoral studies) who have

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already been accepted by the faculty, the regulations of the previous doctoral regulations regarding the oral examination (rigorosum) apply in the version dated 3 July 2003 for the entire duration of the doctoral degree procedure.

Appendix 1 to section 8 of the doctoral regulations of Heidelberg University for the Faculty of Philosophy and the Faculty of Modern Languages

As a rule, the affidavit must be submitted in writing. The possibility of filing the affidavit by declaration for record remains unaffected. The written affidavit reads as follows:

Declaration in lieu of oath pursuant to section 8 of the doctoral regulations of Heidelberg University for the Faculty of Philosophy and the Faculty of Modern Languages

1. The submitted doctoral dissertation on the subject of:
.....
is my own work.
2. I did not seek unauthorised assistance of a third party and I have employed no other sources or means except the ones listed. I clearly marked any direct and indirect quotations derived from the works of others.
3. I did not present this doctoral dissertation or parts of it at another higher education institution in Germany or abroad.

Title of the dissertation:
University and year:
Type of examination or qualification:
4. I hereby confirm the accuracy of the above affirmation.
5. I am aware of the meaning of this affirmation and the legal ramifications in case of untrue or incomplete statements.

I affirm in lieu of oath that the above statements are to the best of my knowledge true and complete.

Place and date

Signature

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