

**PhD Regulations of the University of Music Lübeck (Rules) of 13 May
2009 as amended 11 February 2016**

Date of publication in University Bulletin (ed. MWV Schl.-H.) 2009, p. 25
Publication of amendment in University Bulletin (ed. MSGWG Schl.-H.) 2016, p. 21
Date of publication on University of Music Lübeck homepage: 13 May 2009

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Pursuant to Article 1 Section 52 (1) in combination with Sections 54 (3), 29 (1), 18 (2) sentence 3 of the Schleswig-Holstein Higher Education Act (HSG) of 28 February 2007 (GVOBl. Schl.-H. 2007 p. 184), last amended by Article 8 of the Law Amending the Civil Service Law of Schleswig-Holstein of 26 March 2009 (GVOBl. Schl.-H. p.93), in accordance with the resolution of the Senate of the University of Music Lübeck and approval of the Ministry of Science, Economic Affairs and Transport of the State of Schleswig-Holstein dated 13 May 2009, the following Rules are duly enacted:

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Part one: General provisions

Section 1 Doctoral degree

- (1) The doctorate serves as evidence of the ability to carry out independent, in-depth scientific analysis and is based on a doctoral thesis and oral examination.
- (2) ¹The University of Music Lübeck awards the degree of Doctor of Philosophy (PhD).
²The doctoral thesis is submitted on the subject of musicology, music theory or music education.
- (3) Doctoral students are required to take part in the graduate colloquium.

Section 2 Honorary doctorate

- (1) ¹At the proposal of the doctoral committee, the senate of the University of Music Lübeck can bestow the honour of an honorary doctorate (PhD h.c.) to persons outside the university for outstanding academic services to music. ²The proposal is to be supported by two appraisals to be obtained by the senate from university lecturers teaching the subjects specified in S. 1 (2) who are on the teaching staff of the University of Music Lübeck or another university entitled to grant doctorates. ³The decision requires a majority of the senate members as well as a three-quarter majority of professors sitting in the senate and is determined in a non-public session. ⁴The honorary doctorate is awarded through the presentation of a certificate elucidating the services of the honorary doctor signed by the president of the University of Music Lübeck and the chair of the doctoral committee.
- (2) ¹ A decision can be made to withdraw the honorary doctorate in the event of grossly dishonourable behaviour on the part of the recipient. ²(1) sentence 3 and S. 18 (4) apply accordingly.

Section 3 Doctoral committee

- (1) ¹The doctoral committee is responsible for independent implementation of the doctoral procedure. ²The doctoral committee is comprised of at least three University of Music Lübeck postdoc professors appointed by the senate and a member of the university board in an advisory capacity. ³The subjects of musicology, music theory or music education must be represented.
- (2) At the suggestion of the doctoral committee, external professors may be selected by the senate to sit on the committee in an advisory capacity.
- (3) ¹From amongst its members the doctoral committee will elect a chair of the committee and a deputy. ²The chair manages the affairs and decides all matters of the doctoral committee, insofar as the issue in question is not subject to resolution.
- (4) Sections 15 and 16 HSG apply accordingly with regard to resolutions and meetings of the doctoral committee.
- (5) Members of the doctoral committee are elected for a two year term at the inaugural meeting of the senate.

Section 4 Examination boards

- (1) ¹To carry out oral examinations, the doctoral committee will appoint a respective examination board made up of postdoc lecturers who represent one of the subjects specified in S. 1 (2) above. ²An examination board will comprise the following members; namely, a chairperson to be nominated as such upon appointment, the examiners (S. 10 (2) and S. 11 (3)) recommending acceptance of the doctoral thesis, a lecturer representing the doctoral thesis subject from another artistic or scientific university and, in respect of doctorates being

undertaken by college (FH) graduates, also a college (FH) professor representing the doctoral thesis subject.

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3At least one member of the examination board should be female.

(2) 1The examination board will decide by simple majority. 2A parity of votes will be deemed a fail.

3Abstentions are counted as 'no' votes.

Section 5 Mentoring

(1) 1PhD graduate representatives in the subjects of musicology, music theory or music education who hold lecturing positions at the University of Music Lübeck as

1. full-time or adjunct professors,
2. honorary professors,
3. retired teaching professors,

are entitled to mentor doctoral students. 2By means of resolution, the doctoral committee may also grant the right of mentoring to other commensurately qualified members of the University of Music Lübeck or other equivalent universities, or to college (FH) professors in respect of doctorates being undertaken by college (FH) graduates.

(2) The doctoral committee will nominate the mentor in consultation with the doctoral student.

(3) Should the mentor be unable to complete their mentoring of the doctoral thesis following acceptance of a doctoral student, the doctoral committee will promptly appoint a new mentor in consultation with the doctoral student in question.

Section 6 Doctoral thesis

(1) The doctoral thesis must be a significant academic work that, through independent research findings, represents an advancement in the subject in question.

(2) 1The doctoral thesis is to be written in German and submitted in bound, print-ready form. 2The extent of the thesis should be commensurate with its academic performance.

Part two: Doctoral procedure

One: Acceptance procedure

Section 7 Requirements for admission to the doctoral procedure

(1) 1Admission to the doctoral procedure is extended to persons who:

1. Have obtained one of the following degrees or a degree that is equivalent to such with the minimum overall grade of 'good':
 - a) Diploma or master degree from an artistic or scientific university, with substantiation of a major in musicology, music theory or music education.
 - b) First state examination for the teaching profession with a major in music.

2. Have in-depth knowledge of the intended doctoral subject.
3. Have sufficient command of the German language.
4. Have not passed or ultimately failed to pass a doctoral procedure for the award of the intended or an equivalent doctorate at another university.
5. Are able to substantiate details of a willing and authorised person to act as mentor for the planned doctorate.

By way of resolution, the doctoral committee may admit applicants with a lower overall grade where other substantiated academic qualifications give rise to an expectation of success in the intended doctorate; admission may be made subject to conditions.

(2) Graduates holding commensurate college (FH) degrees will be admitted if they have demonstrably obtained an excellent qualification supported by the overall grade of their degree and are proposed as a doctoral candidate by the faculty committee of their college (FH).

Section 8 Acceptance as a doctoral student

(1) Doctoral candidates accepted by the doctoral committee will be admitted to the doctoral programme.

(2) The application for acceptance is to be submitted in writing to the chair of the doctoral committee. The following are to be included with the application:

1. Description of personal, academic and vocational career, including photo.
2. Certified copies of testimonies confirming fulfilment of the requisite admission conditions as per S. 7 (1) Nos. 1 and 2 above; assurance that the requirements as per S. 7 (1) Nos. 3 and 4 are met, and if requested by the doctoral committee, proof of command of the German language in accordance with the University of Music Lübeck enrolment regulations.
3. A synopsis containing the subject, working title, study and time schedule as well as a detailed presentation of the contextual and methodical basis of the planned doctoral thesis.
4. Details of the person of choice to act as a willing and authorised mentor, together with their written opinion on mentoring the planned doctoral thesis.

(3) Prior to a decision on the application, the doctoral committee may invite the applicant to an explanatory interview on the doctoral schedule.

(4) The doctoral committee will decide regarding acceptance of the applicant once the admission requirements have been demonstrably fulfilled and a specific assessment can be obtained from representatives of the subject of the planned doctoral thesis at the University of Music Lübeck.

(5) Together with acceptance, the doctoral committee will decide on the content and extent of any additional performance to be rendered, taking into account the substantiated qualification of the doctoral student in question.

Section 9 Withdrawal and cancellation of acceptance

(1) The doctoral committee may withdraw acceptance by means of resolution following consultation with the doctoral student if the latter:

1. Fails to submit a short written report, respectively agreed with the mentor, within two years of the acceptance decision date demonstrating adequate progress with the doctoral thesis and adherence to the planned schedule or;

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2. Fails to submit the doctoral thesis by the binding date communicated by the doctoral student and accepted by the doctoral committee, which is to be no later than three years from the acceptance decision date, insofar as the doctoral committee has not established any sufficient reason for delay.

(2) Prior to submission of the doctoral thesis, at the request of the doctoral student the doctoral committee may cancel acceptance as per S. 8 (2) with retrospective effect to the date of application.

Two: Examination procedure

Section 10 Admission to the examination procedure

(1) 1The application for admission to the examination procedure is to be submitted to the chair of the doctoral committee. 2The following are to be included with the application:

1. Four copies of the doctoral thesis.
2. Written assurance by the doctoral student confirming that they have independently produced the doctoral thesis, have not used any resources other than such stated in the doctoral thesis and have referenced the source of all verbatim and contextual quotations.
3. Written assurance by the doctoral student confirming that the doctoral thesis has not previously - partially or in its entirety - formed the subject of a doctoral thesis or been published.
4. Any performance required in accordance with S. 8 (5) above.
5. Proposals regarding the desired focus of the oral examination and, if relevant, a proposal for inclusion in the oral examination of an artistic presentation (e.g. composition, interpretation), with the commensurate content and extent to be designated by the doctoral student.
6. Declaration of whether objection to the admission of listeners as per S. 51 (5) HSG is exercised.

3The application may include the proposal of a second examiner for the doctoral thesis.

(2) 1In the event of successful admission, the doctoral committee will then appoint two examiners for the doctoral thesis, with the doctoral thesis mentor as the first examiner. 2One examiner must be a full-time professor of the University of Music Lübeck.

(3) A former member of the University of Music Lübeck can be nominated as an examiner provided the person in question was appointed as a mentor prior to their departure from the university.

(4) 1The doctoral committee requires examiners to independently draw up their reports within three months. 2At the same time, the doctoral student is to be notified of the nomination.

Section 11 Acceptance, rejection or revision of the doctoral thesis

(1) 1The report is to include a recommendation to the doctoral committee for acceptance or rejection of the thesis. 2A thesis recommended for acceptance is to be graded:

- very good = 1
- good = 2
- satisfactory = 3
- sufficient = 4

with a thesis recommended
for rejection graded:

insufficient = 5

(2) 1The doctoral thesis will be displayed at the University of Music Lübeck for a period of four weeks. 2The place and period of display will be posted on the bulletin board. 3During the display period, University of Music Lübeck staff who are authorised to independently carry out teaching and research tasks may lodge a justified written objection against acceptance of the doctoral thesis as recommended by the two examiners.

(3) 1In commensurate application of S. 10 (4) above, the doctoral committee will appoint a third examiner who is not engaged at the University of Music Lübeck where:

1. The opinions contained in the reports differ regarding acceptance of the doctoral thesis.
2. The grades expressed in the reports differ by two or more grade levels.
3. The doctoral committee determines the merit of permissible objections as per (2) sentence 3 above.
4. The doctoral thesis is graded 'very good' in both reports.

2Should the doctoral committee establish serious flaws that in the absence of potential correction would result in rejection of the doctoral thesis, by means of resolution the doctoral committee may set the doctoral student a deadline for revision and re-submission of the thesis, whereby S. 10 (2) to (4) apply accordingly with regard to re-submission. 3Failure to observe this deadline will result in rejection of the doctoral thesis.

(4) The doctoral committee will reject the doctoral thesis if:

1. Rejection is recommended in both examiner reports.
2. In the case of (3) 1 above, the third examiner recommends rejection.
3. The deadline for re-submission of the doctoral thesis is not met and a doctoral student application for extension of the deadline is denied.

(5) Where the doctoral thesis is accepted by the doctoral committee, the thesis will be graded with the arithmetic mean of the grades awarded by all the examiners involved.

Section 12 Oral examination subject and procedure

(1) 1Upon acceptance of the doctoral thesis, the doctoral committee will appoint the examination board and schedule the date for the oral examination, to which the doctoral student is to be invited in writing with notice of at least four weeks. 2In adequate consideration of the proposals as per S.10 (1) No. 5, the subjects and focus of the oral examination as well as the examination board members are to be specified in the invitation to be sent to the doctoral student.

(2) The oral examination is comprised of:

1. An oral defence in the form of a twenty-minute presentation on the subject of the doctoral thesis followed by subsequent discussion (maximum total of 60 minutes) and
2. A viva voce lasting a maximum of 60 minutes.

(3) 1Members of the examination board must be permanently present throughout the oral examination. 2The minutes of the oral examination are to be signed by all members of the examination board.

Section 13 Oral examination assessment

(1) ¹Following conclusion of the oral examination, in appraisal of the overall performance of the doctoral student, the doctoral committee will award a respective grade for the defence and viva voce in accordance with the grade scale as set out under S. 11 (1). ²The overall grade is obtained from the arithmetic mean of the individual assessments, whereby the viva voce is afforded double weighting. ³The grade is calculated without rounding to one decimal point.

(2) ¹The oral examination is passed where the grades of both part-examinations (defence and viva voce) are awarded a grade of 'sufficient' or higher. ²Where the oral examination is not passed, the doctoral committee will promptly notify the doctoral student accordingly in writing.

Section 14 Repeating the oral examination

¹At the request of the doctoral student, a failed oral examination can be repeated within six months on one occasion. ²The respective application is to be submitted to the chair of the doctoral committee within four weeks of the original oral examination. ³Ss. 12 and 13 apply accordingly for the repeat examination.

Section 15 Failure to pass and passing of examination procedure

(1) ¹The examination procedure will be deemed definitively failed if:

1. The doctoral thesis is rejected.
2. In the absence of good reason, the doctoral student fails to attend the oral examination or repeat examination, withdraws from such or declines to sit the examination as a whole or in part.
3. Application to repeat the oral examination is not submitted or is not submitted by the applicable date.
4. The oral examination is ultimately failed, taking into account the repeat examination result.

²The doctoral committee will notify the doctoral student in writing of ultimate failure to pass the examination procedure. ³The doctoral procedure is thereby ended; the submitted copies of the doctoral thesis remain on file with the examination reports at the University of Music Lübeck.

(2) ¹Where the examination procedure has been passed, the doctoral committee will calculate the overall grade for the doctorate from the arithmetic mean of the grades for the doctoral thesis and the oral examination; whereby the thesis grade will carry double weighting and the overall oral examination grade single weighting.

²The final grade of the doctorate is as follows:

1.0 to 1.50	very good
1.51 to 2.50	good
2.51 to 3.50	satisfactory
3.51 to 4.0	sufficient

³Upon application by one of its members, the doctoral committee will decide whether to award a grade 'with distinction' if the doctoral thesis and all individual elements of the oral examination achieved a grade of 'very good'.

Three: Conclusion of the doctoral procedure

Section 16 Publication of the doctoral thesis

- (1) Following successful completion of the examination and within one year of passing such, the doctoral student is obliged to publish the doctoral thesis for the academic community in an appropriate manner in the form approved by the doctoral committee.
- (2) Publication is generally to occur in an academic publication series or as an independent publication within the publishing trade.
- (3) 1Within the period set out under (1) above, four copies of the printed doctoral thesis are to be delivered without charge to the University library. 2Following commensurate application by the doctoral student, the doctoral committee will determine whether the delivery obligation may be met in a suitable, alternative form of data storage. 3In any such case, the doctoral committee will also specify the requisite form and number of deposit copies.
- (4) Should the doctoral student fail to comply with the period stated under (1) above, following commensurate notification from the doctoral committee and where the doctoral student has failed to meet their obligations within a one-month period of grace of that notification, the doctoral student's respective rights under the examination procedure will expire.

Section 17 Award of the doctoral degree

- (1) 1The doctorate will be awarded through presentation of the doctoral degree certificate. 2The doctorate may only first be used following presentation of the doctoral degree certificate. 3The doctoral procedure is concluded upon presentation of the certificate.
- (2) 1The doctoral degree certificate is signed by the president of the University of Music Lübeck and the chair of the doctoral committee, and is marked with the University seal. 2The certificate is dated with the date of completion of the oral examination, but is only first presented following fulfilment of the requirements of S. 16. 3The certificate can, however, be presented prior to delivery of the deposit copies if the doctoral student furnishes a publishing contract with a binding publication date. 4The certificate is to include details of the doctoral thesis subject, the final grade of the doctorate and the names of the respective mentors and examiners.
- (3) Notification of the doctorate will be posted on the bulletin board of the University of Music Lübeck.

Four: Deception

Section 18 Invalidity and revocation of the doctorate

- (1) The doctoral committee is obliged to declare the doctorate invalid where, prior to presentation of the certificate, it transpires that the doctoral student is culpable of deception or that material conditions for admission to the doctoral procedure have been erroneously accepted for reasons occasioned by the doctoral student.
- (2) The University of Music Lübeck will revoke the award of doctorate where, following presentation of the commensurate certificate, it transpires that the doctorate has been obtained through deception.
- (3) The doctoral student in question is to be heard prior to any decision taken in accordance with (1) or (2) above.

(4) Where the award of a doctorate is withdrawn, all associated certificates are to be returned.

Part three: Concluding provisions

Section 19 Entry into force

These regulations enter into force on the day following their date of publication (S. 95 (2) HSG).

Issued: Lübeck, 13 May 2009

Professor Inge-Susann Römhild
President of the University of Music Lübeck

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