



## Publication Regulations of the Faculty of Humanities and Social Sciences <sup>1</sup> (in accordance with the Doctoral Study Regulations of 2 March 2017, §§ 13, 17, 19)

Approved by the Faculty Assembly on 01.06.2017

The PhD award shall have the force of law only after the issuing of the degree certificate. The official degree certificate will be presented upon the submission of the three deposit copies of the dissertation within a period of three years after the doctoral examination. The form of the deposit copies of the dissertation must comply with the publication regulations set forth hereinafter. An announcement of the awarding of the PhD will be published in the Kantonsblatt of the Canton of Basel-Stadt. Until the PhD award has become legally valid, successful doctoral candidates may only bear the title of “Dr. phil. des.” (Doctor philosophiae designatus). Any infringement of this regulation may result in prosecution.

### 1. Design of the Title Page of the Deposit Copies

The title page of the deposit copies must identify the work (or the articles and the synopsis in the case of a cumulative dissertation) as a doctoral dissertation presented to the Faculty of Humanities and Social Sciences at the University of Basel in partial fulfillment of the requirements for the degree of a doctor of philosophy. The title page must include the first name and last name of the author without any abbreviations (doctoral candidates should indicate only their first name; no middle names should be given), his or her place of citizenship (do not use abbreviations), the place and year of publication, and the name of the printing house, publisher or digital repository.

Sample title page for the PhD Dissertation:

[Title of the Dissertation]

Dissertation  
zur Erlangung der Würde einer Doktorin/eines Doktors der  
Philosophie

vorgelegt der Philosophisch-Historischen Fakultät  
der Universität Basel

von  
.....  
aus  
.....

[Place and year of publication]  
[Name of printing house or publisher]

The reverse side of the title page must include the following endorsement in German or English:

<sup>1</sup> Translation – only the German Version is legally binding.

This is to certify that this doctoral dissertation has been approved by the Faculty of Humanities and Social Sciences, University of Basel, upon the formal request of [Name and title of the first dissertation supervisor and co-supervisor(s)].

Basel, [Date of the oral doctoral examination]

The Dean, Prof. Dr. [Name of the Dean in whose term of office the oral doctoral examination was sat.]

Genehmigt von der Philosophisch-Historischen Fakultät der Universität Basel, auf Antrag von [Name and title of the first dissertation supervisor and co-supervisor(s)].

Basel, [Date of the oral doctoral examination]

Die Dekanin / Der Dekan Prof. Dr. [Name of the Dean in whose term of office the doctoral examination was sat.]

Prior to publication, doctoral candidates are required to submit for formal approval the title page and the reverse side of the title page of their dissertation to the Office of the Dean of Research.

Candidates must further observe the dissertation submission guidelines of the University Library.<sup>2</sup>

## 2. Publishing the Dissertation

Any publication requirements must be fulfilled prior to publication. The fulfillment of any such requirements must be confirmed by the dissertation supervisor(s).

### 2.1 Monograph

A monograph can either be published in a book trade edition (book / e-book published by a publisher) or as an electronic publication on edoc (e-Dissertation).<sup>3</sup>

#### ***Book / e-book published by a publisher***

If a dissertation is to be published commercially, then corresponding reference should be made in the preface to any such trade edition that the work in question is a doctoral dissertation submitted to the University of Basel; mention should also be made of the names of the dissertation supervisor(s) and examiner(s). Each deposit copy of the trade edition should separately include the officially required title page (for design requirements, see 1.). The format of the separate sheets must correspond to the format of the book. The title of the deposit copies must coincide with the title of the dissertation manuscript. Any changes made to the title of the trade edition must be approved by the Office of the Dean of Research prior to publication.

#### ***Electronic publication on edoc (e-Dissertation)***

To expedite publication of their dissertation, candidates are given the opportunity to publish their dissertation digitally on the authorized repository of the University of Basel ([edoc](#)). In case of publication as an electronic publication on edoc, the dissertation is only considered published when the dissertation is published on edoc without an embargo and is publicly accessible.<sup>4</sup> Please note the

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<sup>2</sup> <http://www.ub.unibas.ch/ub-hauptbibliothek/dienstleistungen/publizieren/dissertationen/>

<sup>3</sup> In accordance with the decision of the faculty assembly on November 16, 2023, in force with immediate effect.

<sup>4</sup> In accordance with the decision of the faculty assembly on November 16, 2023, in force with immediate effect.

requirements and guidelines of the University Library for the publication of dissertations on the repository.<sup>5</sup>

Following a formal request, the Doctoral Board (Promotionsausschuss) may grant permission for the publication of the dissertation on an authorized repository other than that of the University of Basel. Doctoral candidates should submit a copy of the contractual agreement entered into with the repository provider as proof.

In addition to the electronic version of their dissertation prepared for digital publication, candidates are required to submit three firmly bound deposit copies of their dissertation to the University Library, in the version required and verified by their dissertation supervisor(s). Each deposit copy must include the officially required title page (for design requirements, see 1.). Additionally, the title page must bear the annotation „original document stored on the institutional repository edoc.unibas.ch of the University of Basel“ as well as further notes regarding creative commons licences (CC licences are optional). The electronic version and the bound deposit copies of the dissertation must be identical, with the following exception: images can be replaced with placeholders, if the rights for digital publishing can't be assured.

## **2.2 Cumulative Dissertation**

In the case of a cumulative dissertation, the three deposit copies of a cumulative dissertation should consist of the individual contributions (reprints, comparable copies or printouts of the published articles without any changes of page numbering) and a synopsis; copies must be firmly bound and fitted with a cover. Each deposit copy should contain the officially required title page (for design requirements, see 1). On the reverse side of the title page, reference should be made beneath the approval formula that the work submitted is a cumulative dissertation consisting of individual contributions. Precise bibliographical references should be provided for each of the constituent elements.

In addition to the three firmly bound deposit copies, the cumulative dissertation may also be published in digital form on the institutional repository of the University of Basel ([edoc.unibas.ch](http://edoc.unibas.ch)); specific copyright regulations must then be followed.<sup>6</sup>

## **2.3 Exceptional Provision for Partial Printing**

Should the calculated publication costs for the entire dissertation be exceptionally high, then the Faculty of Humanities and Social Sciences may grant permission for a partial printing of the dissertation subject to a well-founded request lodged with the Doctoral Board. Any partial printing, whose scope and design must be approved by the first dissertation supervisor, should constitute a self-contained and comprehensible text, in which clear reference to the omitted passages should be made. The following additional comment should be made on the reverse side of the title page: "Following the approval of the Faculty of the Humanities and Social Sciences, only a part of the dissertation approved by the Faculty is published hereinafter." Three firmly bound copies of the omitted passages should be added to the required deposit copies of the partially printed dissertation.

## **2.4 Printing Subsidies**

Printing subsidies may be granted by the dissertation fund of the Office of the Rector (Dissertationenfonds), by the Basler Studienstiftung, by the Faculty of Humanities and Social Sciences

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<sup>5</sup> <http://www.ub.unibas.ch/ub-hauptbibliothek/dienstleistungen/publizieren/dissertationen/e-dissertationen/>

<sup>6</sup> <http://www.ub.unibas.ch/ub-hauptbibliothek/dienstleistungen/publizieren/dissertationen/e-dissertationen/>

(Max Geldner Fonds), and by other funding bodies. Doctoral candidates are expected to apply for printing subsidies only if incurring the costs of publication would place a heavy burden on them. Subject to their financial means, doctoral candidates are expected to bear an appropriate share of the printing costs.

### **3. Submission of Deposit Copies**

Three copies of the dissertation must be delivered to the Universitätsbibliothek, Schönbeinstrasse 18, 4056 Basel. Upon delivery, confirmation of receipt will be sent directly by the University Library to the Office of the Dean. At the same time, doctoral candidates are required to send one copy each to their dissertation supervisors.

Deposit copies delivered by a foreign publisher will be subject to customs duties. Doctoral candidates should therefore ensure that the deposit copies of their dissertation be delivered to the University Library without incurring any costs (i.e., arrangements should be made for such copies not to be sent directly to the University Library).

From the day of the oral doctoral examination, the period for the delivery of the deposit copies shall be three years. Doctoral candidates who are unable to observe this deadline should submit a request for a deadline extension to the Doctoral Board, giving reasons for their request. The Doctoral Board may grant an extension of two years.

Candidates failing to fulfill the publication requirements issued by the Faculty of Humanities and Social Sciences without justifiable reasons will have the provisional awarding of their PhD degree revoked. Subject to a corresponding resolution of the Faculty of Humanities and Social Sciences, revocation shall result in the annulment of the academic title (Dr. phil. des.).

Basel, May 2017

The Dean  
sig. Prof. Dr. Thomas Grob

The Dean of Research  
sig. Prof. Dr. Walter Leimgruber