

**Publication Regulations of the Faculty of Humanities<sup>1</sup>**  
**(in accordance with the PhD Regulations of 25 November 2010, §§ 14, 18, 20)**

Approved by the Faculty Assembly on 20 December 2012

The PhD award shall have the force of law only after the issuing of the degree certificate and the announcement of same in the Kantonsblatt of the Canton of Basel-Stadt. The official degree certificate will be presented upon the submission of the statutory copies of the dissertation within a period of three years after the doctoral examination. The form of the statutory copies of the dissertation must comply with the publication regulations set forth hereinafter. Until the PhD award has become legally valid, successful 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 Statutory Copies**

The title page of the statutory copies must identify the work as a doctoral dissertation presented to the Faculty of Humanities 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 (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 or publisher.

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:

This is to certify that this doctoral dissertation has been approved by the Faculty of Humanities, 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 examination]

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

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

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 examination]

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

Prior to publication, 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. For further information, see the homepage of the University Library.

## 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

#### *Book publication*

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 statutory 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 statutory 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 (e-Diss)<sup>2</sup>*

To expedite publication of their dissertation, candidates are given the opportunity to publish their dissertation digitally on the authorized document server of the University of Basel (edoc). Please note the requirements and guidelines of the University Library for the publication of dissertations on the document server. If a commercial edition of the dissertation is to be published in addition to electronic publication, that is, at a later date, then electronic publication on the document server of the University of Basel may be deferred. In this case, candidates may indicate a later publication date (embargo) on their consent form when uploading the e-Diss to edoc. Candidates must under all circumstances observe the legal provisions contained in their publication agreement and any provisions stipulated in their application for printing subsidies. According to §20 of the PhD Regulations of the Faculty of Humanities (as of 25 November 2010), the publication date must lie within the period for delivering the statutory copies. Should no commercial edition of the dissertation have been published after the lapse of the statutory publishing obligation, then the electronic version on the document server of the University of Basel (edoc) will automatically be activated. Doctoral dissertations published on edoc may not be retracted.

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<sup>2</sup> Revision approved by the Faculty Assembly on 16 October 2014

For digital publishing, an abstract in the language of the document is mandatory (an additional abstract in German or English can be added). This abstract is activated immediately, even if an embargo has been indicated.

Following a formal request, the PhD Awards Committee (Promotionsausschuss) may grant permission for the publication of the dissertation on an authorized document server other than that of the University of Basel. Candidates should submit a copy of the contractual agreement entered into with the respective document server provider as proof.

In addition to the electronic version of their dissertation prepared for digital publication, candidates are required to submit three firmly bound statutory copies of their dissertation to the University Library, in the version required and verified by their dissertation supervisor(s). Each statutory 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 document server 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 statutory 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 submission of offprints of the published articles shall be considered a valid fulfillment of the formal publication requirement. Statutory copies of a cumulative dissertation should consist of the individual contributions (without any changes of page numbering) and a synopsis; copies must be firmly bound and fitted with a cover. Each statutory copy should contain the officially required title pages (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.

Where one or several articles constituting a cumulative dissertation are published for the first time in a quality-assured open-access journal, candidates are required to submit a copy of the agreement entered into with the journal as proof of publication. In addition to digital publication, candidates are required to submit three firmly bound statutory copies of their cumulative dissertation in the aforementioned form to the University Library.

## 2.3 Exceptional Provision for Partial Printing

Should the calculated publication costs for the entire dissertation be exceptionally high, then the Faculty of Humanities may grant permission for a partial printing of the dissertation subject to a well-founded request lodged with the PhD Awards Committee. 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, 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 statutory 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 (Max Geldner Fonds), and by other funding bodies. Candidates are expected to apply for printing subsidies only if incurring the costs of publi-

cation would place a heavy burden on them. Subject to their financial means, candidates are expected to bear an appropriate share of the printing costs.

### 3. Submission of Statutory 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, candidates are required to send one copy each to their dissertation supervisors.

Statutory copies delivered by a foreign publisher will be subject to customs duties. Candidates should therefore ensure that the statutory 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 examination, the period for the delivery of the statutory copies shall be three years. Candidates who are unable to observe this deadline should submit a request for a deadline extension to the PhD Awards Committee, giving reasons for their request. The PhD Awards Committee may grant an extension of two years. Thereafter, a final extension of max. two years may be granted.

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

Basel, December 2012

The Dean  
sig. Prof. Dr. Claudia Opitz-Belakhhal

The Dean of Research  
sig. Alexander Honold