

NEW VERSION

Faculty Doctoral Regulations of Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU) for the degree Dr. phil (FPromO Phil) dated May 22, 2025

Based on Section 9 in conjunction with Section 96 (3)(1) and Section 97 (1)(6) Bavarian Higher Education Innovation Act (**BayHIG**), FAU enacts the following Faculty Doctoral Regulations:

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I. General Provisions

Section 1 Scope

¹These Faculty Doctoral Regulations (FPromO Phil) supplement the General Doctoral Regulations of FAU (**RPromO**) for the Faculty of Humanities, Social Sciences, and Theology excluding the School of Theology and are therefore structured in a similar manner. ²Regulations pursuant to these Faculty Doctoral Regulations are stipulated in the relevant sections.

Section 2 Doctoral Degree (see **RPromO**)

Section 3 Doctoral Titles (see **RPromO**)

Section 4 Bodies Responsible and Procedural Regulations

(1) The bodies responsible are

1. The Doctoral Affairs Committee
2. The Examining Committee.

(2) ¹A Doctoral Affairs Committee shall be established for administering the Dr. phil. doctoral degree. ²The committee shall consist of five representatives pursuant to paragraph 5, who should adequately represent the spectrum of subjects offered at the Faculty.

(3) The members of the Doctoral Affairs Committee shall be appointed by the Faculty Council.

(4) ¹A substitute member shall be appointed for each member of the Doctoral Affairs Committee. ²Paragraph 2 (2) shall apply accordingly.

(5) ¹All members of the Faculty of Humanities, Social Sciences, and Theology – excluding the School of Theology – who are a university lecturer as their principal profession pursuant to Section 19 (1) **BayHIG**, a Privatdozent or Privatdozentin, or an adjunct professor and who are employed at FAU as their main occupation pursuant to Section 53 (4) **BayHIG** are eligible to be elected as a member or substitute member of the Doctoral Affairs Committee. ²The elected doctoral candidates' representative also participates in meetings and is entitled to vote, other than in the cases stipulated in paragraph 6. ³Secondary members are not eligible for election as a member or substitute member.

(6) If the Doctoral Affairs Committee takes a decision pursuant to Section 16 in conjunction with Sections 12, 13 and 16 of the **RPromO** on the assessment of doctoral examinations, only the members of the Doctoral Affairs Committee who are authorized examiners for doctoral research according to Section 5 (4) of the **RPromO** shall be eligible to vote.

(7) ¹The term of office of the members of the Doctoral Affairs Committee shall be three years. ² Re-appointment is permitted.

(8) ¹The Doctoral Affairs Committee elects a chairperson and a deputy chairperson from the members of the committee, who shall both be appointed for a term of one year. ²Re-appointment is permitted.

(9) ¹The Doctoral Affairs Committee is responsible for administering the doctoral procedure. ²Its duties include ensuring that the provisions of the doctoral regulations are observed. ³It reports to the Faculty Council and gives the Faculty Council recommendations on changes to the doctoral regulations.

(10) ¹The chairperson may transfer tasks within his or her responsibility to members of the Doctoral Affairs Committee. ²Furthermore, unless these doctoral regulations and the **RPromO** state otherwise, the Doctoral Affairs Committee shall have the right to transfer individual tasks to the chairperson as well as revoke these.

(11) ¹The chairperson of the Doctoral Affairs Committee shall appoint an examining committee for each doctoral procedure. ²The Dean shall be informed of each doctoral procedure and have the right to participate in the oral examination. The examining committee shall consist of the reviewers appointed for assessing the doctoral thesis and an additional person eligible to administer examinations at FAU pursuant to Section 5 (4)(1) **RPromO** from a non-related or partially non-related subject for the oral examination. ⁴In exceptional cases, the Doctoral Affairs Committee may allow exceptions from the provision set forth in sentence 3. ⁵If an external reviewer appointed in the doctoral procedure cannot attend the oral examination, they may be replaced with a person eligible to be an examiner at FAU according to Section 5 in conjunction with Section 5 (4)(1)**RPromO**. ⁶The chairperson of the Doctoral Affairs Committee shall appoint a chairperson from the members of the examining committee.

Section 5 Supervisors, reviewers

(1) ¹The supervisor (see Section 5 (2) **RPromO**) of a doctoral procedure is generally also a reviewer and must represent the subject of the doctoral degree at FAU for which the candidate is pursuing the doctoral title Dr. phil. ²Part-time lecturers pursuant to Section 19 (1) **BayHIG** and outstanding early-career researchers who are able to continually supervise the doctoral research due to their employment at FAU or an institution associated with FAU can be appointed as supervisors according to Section 5 (2)(4) **RPromO** on an individual basis. ³Outstanding early-career researchers within the meaning of sentence 2 are individuals with doctoral degrees with a strong background in practical research, in particular heads of junior research groups within the Emmy Noether Program run by the German Research Foundation or comparable programs.

(2) ¹At least one of the reviewers (see Section 5 (4) **RPromO**) must be a primary member of the Faculty and a university lecturer as their principal profession pursuant to Section 19 (1) **BayHIG**, a Privatdozent or Privatdozentin, or an adjunct professor and be employed at FAU as their main occupation pursuant to Section 53 (4) **BayHIG**. ²The requirements pursuant to sentence 1 shall also be considered to have been met if one of the reviewers is a university professor or a retired university professor from the Faculty of Humanities, Social Sciences, and Theology.

Section 6 Compensation for Disadvantages (see RPromO)

II. Admission to a Doctoral Degree

Section 7 Requirements for Admission, Provisional Admission

(1) The requirements for admission to the doctoral procedure are:

1. ¹A completed Magister, Master's, or Diplom degree or the first State Examination in teaching from a German university or an equivalent institute of higher education in Germany, or a degree completed with a Master's examination from a German University of Applied Sciences or equivalent international university. ²The thesis completed as part of the Magister, Master's or Diplom degree or to gain admission to the State Examination must have received at least the grade "gut" within the meaning of Section 22 (4) of the General Examination Regulations for the Bachelor's and Master's Degree Programs at the Faculty of Humanities, Social Sciences, and Theology at FAU – **ABMStPO/Phil**; the Doctoral Affairs Committee may permit exceptions in justified cases. ³The subject studied for the degree must be relevant to the subject to be studied for the doctoral degree. ⁴Graduates with a teaching degree in secondary school (Realschule) or primary and middle school (Grund- und Mittelschule) education may only choose either subject-specific teaching methods for their chosen subject or teaching methods specific to the school type as the subject for their doctoral degree. ⁵Deviations from the restriction stated in sentence 4 are possible provided the candidate has relevant subject knowledge (gained for instance during a stay abroad or a previous degree) and the supervisor considers the knowledge sufficient for the candidate to complete a doctoral degree in the subject. ⁶In consultation with the pertinent subject representatives, the Doctoral Affairs Committee shall decide whether the degree program studied is relevant and can be accepted and shall stipulate any alternative conditions to be met if applicable.
2. Proof of language proficiency according to paragraphs (2) to (5).
3. A signed supervision agreement between the supervisor and the doctoral candidate in accordance with the template decided by the Doctoral Affairs Committee.

(2) ¹If the supervisor determines that proficiency in a (foreign) language is required at a certain level in order for the topic to be explored sufficiently and to complete the thesis adequately, the candidate must provide evidence of this knowledge as detailed in paragraph 5 when applying for admission. ²If evidence is not submitted by this time, the doctoral candidate shall be admitted subject to the proviso that they submit the evidence before the procedure is commenced; admission shall be granted provisionally.

(3) ¹The following subjects require proficiency in Latin: Ancient History, Bavarian and Franconian Regional History, German Medieval Studies, Greek Studies, Indo-European Studies, Classical Archeology, Latin Philology, Medieval and Neo-Latin, Medieval History, Modern and Contemporary History, Eastern European History. ²Documents accepted as proof of proficiency are detailed in the valid version of the degree program and examination regulations for proving proficiency in Latin at FAU – **StPO-Latein**.

(4) The following subjects require a knowledge of Ancient Greek: Indo-European Studies, Classical Archeology, Latin Philology

(5) ¹Language proficiency pursuant to paragraphs 2, 3 and 4 can be certified by at least five consecutive years of schooling in a foreign language if at least the grade “ausreichend/satisfactory” was achieved in the final report. ²Proficiency in Ancient Greek pursuant to paragraph 4 may be demonstrated by the Graecum or an equivalent examination at FAU. ³Elementary level examinations (UNICERT II) offered by the FAU Language Centre or an equivalent qualification shall be accepted as proof of proficiency in other foreign languages. ⁴The chairperson of the Doctoral Affairs Committee shall decide on the extent to which other qualifications can be accredited.

Section 8 Qualifying Examination

(1) Candidates who have obtained a different Diplom or Master’s degree than specified in § 7 paragraph 1 (1) may request to be admitted to the doctoral procedure if they pass the qualifying examination pursuant to the following paragraphs.

(2) ¹The qualifying examination shall consist of

1. A written assignment in the subject of the doctoral degree which should be completed according to paragraph (3) in four months.
2. An oral examination in the subject of the doctoral degree.

²The aim of the qualifying examination is to determine whether the candidate is suited to carrying out academic research in the subject of the doctoral degree. ³In the written assignment, the candidate should particularly demonstrate their ability to independently solve an academic problem in the subject of the pursued doctoral degree within a specific deadline according to academic methods. ⁴The written assignment must be accepted pursuant to paragraph 3 (6) for the candidate to be admitted to the oral examination.

(3) ¹The topic of the written assignment shall be determined in consultation with the candidate by an authorized supervisor from the subject of the pursued doctoral degree according to Section 5 in conjunction with Section 5 (2) **RPromO**. ²The chairperson of the Doctoral Affairs Committee shall assign the candidate the topic of the written assignment and determine the deadline. ³The topic and scope of the assignment must be such that it can be completed within a four month period. ⁴In individual cases, the time for working on the assignment may be extended by up to two months upon justified request. ⁵The written assignment shall be assessed by two reviewers appointed by the chairperson of the Doctoral Affairs Committee from the persons named in Section 5 (4) **RPromO** who may grade the assignment as “angenommen” (accepted) or “abgelehnt” (rejected). ⁶The assignment is either accepted or rejected if both reviewers reach a consensus. ⁷If one of the reviewers rejects the written assignment, the Doctoral Affairs Committee shall take the decision as to whether or not to accept the candidate, possibly after obtaining a further review. ⁸The written assignment shall count as rejected if the candidate does not submit it before the deadline. ⁹If the written assignment is rejected or considered to have been rejected, the candidate shall fail the qualifying examination.

(4) ¹If the written assignment is accepted, the candidate has six months to sit the oral examination. ²Candidates shall be invited to attend this examination with one week's notice. ³The oral examination shall be conducted by two examiners and last for approximately half an hour. ⁴The chairperson of the Doctoral Affairs Committee shall determine the date for the oral examination, appoint the examiners from the group of individuals specified in Section 5 (4) **RPromO** and appoint one of the examiners as a chairperson. ⁵The examiners pursuant to sentence 3 shall determine whether the candidate meets the requirements. ⁶If their achievements fail to meet requirements, the candidate shall be considered to have failed the qualifying examination; the examination may be repeated pursuant to Section 8 (5) **RPromO**. ⁷A written assignment that was accepted for the qualifying examination may be recognized in the event of a resit examination.

Section 9 Admission to a Doctoral Degree

(1) Proof of any required proficiency in foreign languages according to Section 7 paragraph 1 (2) must be submitted together with the application for admission to a doctoral degree.

(2) The CV according to Section 9 (2)(1)(1) **RPromO** may also be submitted in English.

(3) Admission can be granted subject to conditions if the requirements for admission pursuant to Section 7 are not fully met but can be met at a later date during the course of the doctoral research.

III. The Doctoral Procedure

Section 10 Initiation of the Doctoral Procedure

As a rule, the candidate shall submit a suggestion of suitable reviewers together with the application for initiation of the doctoral procedure.

Section 11 Requirements for the Doctoral Thesis

(1) ¹The written component of the doctoral degree generally comprises one independently written, academic monograph demonstrating the ability of the doctoral candidate to examine questions in scientific research in a methodologically sound manner, solve problems independently and present research in an appropriate form. ²Depending on the subject of the doctoral degree allocated according to sentence 3, the doctoral thesis may either be submitted as a monograph or as several individual publications on a connected topic linked by a framework text (cumulative doctoral thesis). ³The subjects of doctoral degrees at the Faculty are divided into two groups and announced according to local practice:

- A) Subjects in which the doctoral degree is based on a monograph
- B) Subjects in which the doctoral degree can be based on either a monograph or a cumulative doctoral thesis.

(2) The following requirements apply to a cumulative doctoral thesis:

1. At least three articles must be used.

2. At least two articles must already have been published or accepted for publication in renowned scientific journals (peer review procedure, preferably at an international level).
3. The third article may either
 - a) already have been published or accepted for publication in a renowned scientific journal (peer review procedure, preferably at an international level)
 - b) have been accepted for review in a renowned scientific journal (peer review procedure, preferably at an international level)
 - c) have already been published following an editor review procedure.
4. The candidate must be the lead author for at least two (or in cases considered by the Doctoral Affairs Committee to be exceptional and of a particularly high quality, at least one) of the publications.
5. A framework text of at least 45,000 characters must also be submitted, illustrating the contextual links between the various papers and demonstrating that their contents are indicative of a broader knowledge of the subject.

Section 12 Evaluation, Acceptance and Rejection of the Thesis

(1) ¹The evaluations must include a grade. ²The following grades shall apply:

- 1 = magna cum laude (excellent),
- 2 = cum laude (good),
- 3 = rite (satisfactory),
- 4 = insuffizienter (insufficient).

³For outstanding achievements, reviewers may suggest the grade 1* = summa cum laude (distinction).

⁴If a cumulative doctoral thesis consists of publications which the candidate has written as a co-author the exposition according to Section 11 (2)(5) shall be given particular weighting.

(2) ¹If the assessment “summa cum laude” is awarded in the first two evaluations, an additional (usually external) evaluation shall be requested. ²The same shall apply if one or more publications included in the cumulative doctoral thesis are written by the candidate as a co-author together with the reviewer. ³Pursuant to Section 12 (3)(2) **RPromO**, the bodies responsible can request more than two evaluations if the first evaluations do not cover the required breadth of the subject, or if a further evaluation of the doctoral thesis is deemed necessary due to the interdisciplinary nature of the research.

(3) The accepted doctoral thesis and evaluations shall be displayed according to Section 12 (4) **RPromO** for a minimum of 14 days or four weeks outside the lecture period.

(4) If permission for publication is subject to certain conditions being met as set forth in Section 17 (3)(2) **RPromO**, these conditions shall be listed by the reviewers and provided to the candidate after the oral examination is passed.

(5) In justifiable exceptional circumstances, the bodies responsible can grant exceptions to the deadline in Section 12 (8) **RPromO**.

Section 13 Oral Examination

(1) ¹The oral examination demonstrates that the doctoral candidate is capable of participating in scientific discussion, has in-depth knowledge of the subject of their thesis, is aware of all related areas of the subject and can support their research with links to related disciplines. ³Scientific discussion also includes engaging with criticism of the candidate's own academic work in accordance with the submitted evaluations.

(2) ¹The oral examination shall be conducted by the examining committee under the supervision of the Dean or a member of the examining committee appointed by the Dean. ²It shall have a minimum duration of 90 and a maximum duration of 120 minutes and take place at the latest two months after the doctoral thesis is accepted. ³As a rule, the examination will be open for members of the University to attend as listeners. ⁴If so requested by the candidate, listeners may be restricted to a specialist audience or to those individuals who are eligible to be an examiner pursuant to Section 5 (2) and (4) **RPromO**. ⁵Listeners shall be excluded from the discussion and announcement of the result of the oral examination.

(3) ¹The chairperson of the Doctoral Affairs Committee shall invite the doctoral candidate to the oral examination with two weeks notice. ²At the same time, the chairperson of the Doctoral Affairs Committee shall request that the candidate submits notice of the topics to be covered in the examination (if necessary with a brief written explanation pursuant to Section 13 (4)). ³When deciding on the compulsory topics for the examination, the examining committee may deviate from the wishes expressed by the doctoral candidate.

(4) The examination shall consist of three parts that may be allocated varying amounts of time in keeping with the three submitted topics:

1. A presentation lasting approximately 20 minutes in which the doctoral candidate explains the main findings of their doctoral thesis and responds to the criticisms included in the evaluations, followed by a debate (topic 1);
2. a scientific discussion on another topic from the subject of the doctoral degree (topic 2)
3. a scientific discussion on a topic from a related discipline (topic 3).

(5) ¹Following the oral examination, the examining committee shall decide on the result based on a simple majority; in the event of a tie the chairperson's vote is the deciding vote. ²The examining committee shall decide on one of the grades pursuant to Section 12 (1). ³The oral examination is failed if the grade is "4 = insufficenter (insufficient)".

Section 14 Use of Audiovisual Telecommunication Technology; Remote Examinations

(see **RPromO**)

Section 15 Resitting the Oral Examination

(see **RPromO**)

Section 16 Results of the Doctoral Procedure, Notification

(1) ¹A preliminary overall grade is proposed by the chairperson of the examining committee and finally determined by the chairperson of the Doctoral Affairs Committee.

²The overall grade for the degree is calculated from the arithmetic average of the grades for the thesis grade and the oral examination before they are rounded. ³The grades for the doctoral thesis given in the evaluations account for two thirds of the total results and the grade for the oral examination one third. ⁴Only one decimal place shall count towards the result; further decimal places shall be omitted without being rounded.

⁵The overall grade is assessed as follows:

1.0*	=	summa cum laude
1.0 - 1.5	=	magna cum laude,
1.6 - 2.5	=	cum laude
2.6 –3.0	=	rite.

(2) The overall grade summa cum laude (distinction) is awarded if both the doctoral thesis and the oral examination are awarded the grade summa cum laude.

Section 17 Publication of the Doctoral Thesis and Submission of Mandatory Copies

(1) The deadline for submitting the mandatory copies specified in the **RPromO** can be extended by an additional two years.

(2) In the case of a cumulative thesis, in addition to the articles accepted for publication, the exposition according to Section 11 (2)(5) must be accessible to the public in an appropriate form.

Section 18 Fraud/Plagiarism

(see **RPromO**)

Section 19 Completion of the Doctoral Degree

(1) ¹The doctoral degree certificate shall be issued in German and signed by the Dean of the Faculty of Humanities, Social Sciences, and Theology. ²A copy shall also be issued in English.

(2) In addition to the information stated in Section 19 (2)(1) **RPromO**, the subject of the doctoral degree shall also be included on the doctoral degree certificate.

IV. Honorary Awards

Section 20 Honorary Doctoral Degrees

(1) The honorary doctoral degree for a doctor of philosophy (Dr. phil. h. c.) may be awarded according to Section 3 (4) **RPromO** for outstanding contributions to culture.

(2) ¹The Faculty Council of the Faculty of Humanities, Social Sciences, and Theology (excluding the School of Theology) takes the decision on awarding an honorary doctoral degree at the request of the Dean; the request must be passed with a majority of

two thirds. ²The Dean has the sole right to suggest candidates for honorary doctoral degrees. ³The Doctoral Affairs Committee has an advisory role in preparing decisions.

(3) Each of the following criteria have to be met in order for an honorary doctoral degree to be awarded:

1. ¹The person awarded the degree should be a renowned scientist who has made a name for him or herself outside the boundaries of their own scientific community. ²In justified exceptional cases, an honorary doctoral degree may also be awarded to a public figure, but the emphasis is on honoring academic work.
2. The award is granted in recognition of lifetime achievements.
3. The person should have some connection to FAU or the Faculty and continue to be committed to the University in the future.

V. Cooperative Doctoral Degrees

Section 21 Cooperative Doctoral Degrees (see RPromO)

VI. Doctoral Degrees in Cooperation with Foreign Universities

Section 22 General (see RPromO)

Section 23 Examinations Procedure at FAU (see RPromO)

Section 24 Examinations Procedure at the Partner Institution (see RPromO)

Section 25 Joint Doctoral Degree Certificate (see RPromO)

VII. Invalidity and Revocation of Doctoral Degrees

Section 26 Invalidity of Doctoral Degrees (see RPromO)

Section 27 Revocation of Doctoral Degrees (see RPromO)

VIII. Final Provisions

Section 28 Legal Validity, Transitory Provisions

¹These regulations shall come into effect on June 1, 2025. ²They shall apply to all doctoral proposals for which an application for admission is submitted pursuant to Section 9 after these regulations come into effect. ³Doctoral candidates whose doctoral procedures have already been admitted but have not yet been initiated by the date these regulations come into effect may complete their doctoral procedure according to the previously valid version of the doctoral regulations from January 21, 2013 in the

version dated October 19, 2020. ⁴Notwithstanding sentence 3, doctoral candidates whose doctoral procedures have already been admitted but have not yet been initiated may complete the doctoral procedure according to these Faculty doctoral regulations if they provide the Office of Doctoral Affairs with a declaration to this effect by September 30, 2025, either in writing or by email. ⁵In the event of a declaration pursuant to sentence 4, the General doctoral regulations dated July 27, 2024 shall apply to these doctoral candidates; a declaration pursuant to sentence 4 revokes the doctoral candidate's right to object to the validity of the General doctoral regulations dated July 27, 2024.