

NEW VERSION

Faculty doctoral regulations of the Faculty of Engineering at Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU) – FPromO Tech – dated February 27, 2025

Based on Section 9 in conjunction with Section 96 (3)(1) and Section 97 (1)(6) Bavarian Higher Education Innovation Act dated August 5, 2022 (**BayHIG**), FAU enacts the following faculty doctoral regulations:

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I. Part I: General Provisions

Section 1 Scope

¹These faculty doctoral regulations (**FPromO Tech**) supplement the currently valid version of the general doctoral regulations of FAU (**RPromO**) for the Faculty of Engineering and are therefore structured in the same way. ²Regulations pursuant to these faculty doctoral regulations are stipulated in the relevant sections; in all other instances, the provisions stipulated in the **RPromO** shall apply.

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

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

Section 4 Bodies Responsible and Procedural Regulations

(1) ¹The body responsible for doctoral degrees at the Faculty of Engineering is the Doctoral Affairs Committee. ²The committee consists of the following members:

1. The Dean of Studies for doctoral degrees as the chairperson
2. Two full-time university lecturers pursuant to Section 19 (1) **BayHIG** from each department employed at the Faculty of Engineering as their main occupation pursuant to Section 53 (4) **BayHIG**
3. One women's representative authorized to evaluate doctoral degrees
4. One part-time university lecturer pursuant to Section 19 (1) **BayHIG** authorized to evaluate doctoral degrees who is working at the Faculty of Engineering as their main occupation pursuant to Section 53 (4) **BayHIG**.

⁴A representative from the Office of Doctoral Affairs shall attend meetings in an advisory role. ⁵Each member has one vote in the meetings. ⁶Votes may not be delegated. ⁷The term of office of the elected members shall be four years. ⁸The Doctoral Affairs Committee may transfer responsibility for certain tasks to the chairperson or another member as well as revoke these.

(2) 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 of the **RPromO** shall be eligible to vote.

(3) ¹All consultations of the Doctoral Affairs Committee and the examining committee pursuant to paragraph 4 related to procedures regulated by these regulations shall be held in non-public sessions. ²The reviewers must be heard during consultations pursuant to Section 12 (5) **RPromO** (recommended rejection of doctoral thesis).

(4) ¹As a rule, the examining committee shall consist of four members if two evaluations are required, and of five members if three evaluations are required. ²The Doctoral Affairs Committee shall decide on any exceptions. ³The examining committee shall be appointed by the Doctoral Affairs Committee. ⁴The examining committee includes the following members:

1. A chairperson who is a full-time or part-time university lecturer at the Faculty of Engineering at FAU pursuant to Section 19 (1) **BayHIG** and who is employed at the Faculty of Engineering as their main occupation pursuant to Section 53 (4)

BayHIG; as a rule, the chairperson shall be from the same subject or department as the doctoral candidate.

2. The reviewers.
3. One further member from another department at the Faculty of Engineering at FAU or another faculty from FAU who is authorized to administer examinations.

³The chairperson may not simultaneously be a reviewer in the same procedure. ⁴If a member of the examining committee cannot participate in the oral examination, thereby leading to a reduction in the number of members in the examining committee stipulated in sentence 1, the Doctoral Affairs Committee shall appoint a replacement member who is a full-time university lecturer at the Faculty of Engineering pursuant to Section 19 (1) **BayHIG** and who is employed at FAU as their main occupation pursuant to Section 53 (4) **BayHIG**.

Section 5 Supervisors and Reviewers

(1) ¹Part-time and full-time university lecturers from FAU pursuant to Section 19 (1) **BayHIG** who are primary or secondary members of the Faculty of Engineering at FAU are entitled to supervise doctoral degrees (Section 5 (2) sentences 2 and 3 **RPromo**).

²As a rule, professors on extended leave or retired professors who were primary or secondary members of the Faculty of Engineering at FAU may only supervise doctoral procedures commenced before they went on leave or retired until completion, but may not supervise doctoral procedures starting after they go on extended leave or retire. ³The Doctoral Affairs Committee shall decide on any exceptions to sentence 2. ⁴Outstanding young 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. ⁵Outstanding young researchers within the meaning of sentence 4 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. ⁶The Doctoral Affairs Committee shall decide on any other options available pursuant to sentence 4. ⁷ Section 21 **RPromo** shall remain unaffected.

(2) As a rule, the supervisor of the doctoral research shall be appointed as a reviewer.

(3) ¹At least one of the reviewers must be a full-time university lecturer pursuant to Section 19 (1) **BayHIG** and employed at the Faculty of Engineering at FAU as their main occupation pursuant to Section 53 (4) **BayHIG**. ²Retired professors from the Faculty of Engineering at FAU shall retain the same rights as full-time lecturers pursuant to Section 19 (1) **BayHIG** who are employed at FAU as their main occupation pursuant to Section 53 (4) **BayHIG**. ³Only one reviewer to whom sentence 2 applies may be appointed. ⁴At least one reviewer must belong to another chair or another organizational unit than the supervisor. ⁵The Doctoral Affairs Committee shall decide on any exceptions.

(4) ¹If a person is proposed as a reviewer pursuant to Section 5 (4)(1) no. 5 or no. 6 **RPromo**, a further reviewer pursuant to paragraph (3)(1) shall be required; paragraph (3)(2) shall apply accordingly. ²In cases covered by sentence 1, a third evaluation shall not be required if the person pursuant to Section 5 (4)(1) item 5 or item 6 **RPromo** is employed at a university as their main occupation pursuant to Section 53 (4) **BayHIG** and is entitled to administer doctoral examinations there. ³The Doctoral Affairs Committee shall decide on any exceptions.

Section 6 Compensation for Disadvantages

(see RPromO)

II. Admission to a Doctoral Degree

Section 7 Requirements for Admission, Provisional Admission

(1) ¹ To be admitted to a doctoral procedure, the candidate must present proof of one of the following degrees:

1. A pass in a Diplom or Master's examination including a Diplom or Master's thesis after completing as a rule five years of study in a university degree program at a German university or an equivalent degree program at a university in Germany or abroad in an engineering, science or mathematical subject or a related subject.
2. A pass in a Master's examination after completing as a rule five years of study in a degree program at a university of applied sciences in a subject pursuant to no. 1. As a rule, students are required to obtain a total of at least 300 ECTS credits in their Bachelor's and Master's degree programs and have written a Master's thesis.
3. A pass in the first State Examination for teaching secondary education (Gymnasium) in computer science or another engineering, science or maths-related subject.

²The decision as to whether the qualifications required pursuant to numbers 1 to 3 are sufficiently relevant shall be taken by the Doctoral Affairs Committee.

(2) According to Section 7 (1)(3) of the **RPromO**, in exceptional cases, the Doctoral Affairs Committee can also consider equivalent university degrees for admission, in particular those which were not obtained in the subjects in paragraph (1)(1) if the candidate passes the qualifying examination according to Section 8.

(3) In individual cases, candidates who have obtained an undergraduate degree may be admitted on the condition that proof of the degree according to paragraph (1)(1) is provided within one year after submission of the application form and that no more than 30 outstanding ECTS credits are required in order to complete this degree.

Section 8 Qualifying Examination

(1) The following candidates shall be admitted to the qualifying examination upon request:

1. Candidates who have not clearly met the admission requirements pursuant to Section 7
2. Candidates who have completed a Diplom at a university of applied sciences or
3. Candidates seeking admission to a doctoral degree pursuant to Section 7 (2).

(2) ¹During the qualifying examination, candidates must prove that they have the necessary knowledge and skills in the subject area in which they intend to complete their doctoral degree. ²Passing the qualifying examination confirms the candidate has the relevant subject-related expertise and gives them the opportunity to gain academic qualifications in the subject area in which they completed the qualifying examination.

(3) ¹The qualifying examination consists of an oral examination lasting approximately 45 minutes. ²The examining committee is appointed by the Doctoral Affairs Committee following the supervisor's recommendation and consists of two full-time or part-time university lecturers pursuant to Section 19 (1) **BayHIG** employed at FAU as their main occupation pursuant to Section 53 (4) **BayHIG** from the pursued subject and one other part-time or full-time university lecturer pursuant to Section 19 (1) **BayHIG** from another subject.

(4) ¹Passing the qualifying examination pursuant to paragraph (3) may be made subject to meeting certain conditions stipulated beforehand by the examining committee or the Doctoral Affairs Committee. ²These conditions shall entail at the most:

1. Examinations in two subjects from the discipline in which the candidate intends to complete their doctoral degree
2. A thesis lasting at most four months.

³Further details are stipulated in paragraphs (5) and (6).

(5) ¹The examinations candidates are required to pass before admission are subject to the General Degree Program and Examination Regulations for Bachelor's and Master's examinations at the Faculty of Engineering – **ABMPO/TechFak** – in conjunction with the currently valid **degree program and examination regulations** and must be completed during the examination periods stipulated in the relevant **degree program and examination regulations**. ²Oral examinations shall be conducted in the presence of an additional full-time or part-time university lecturer from the relevant discipline. ³The oral examination shall last approximately half an hour. ⁴The examinations must be completed at the latest one year after admission to the qualifying examination. ⁵If the candidate fails to meet the deadline for reasons within their control, the qualifying examination shall be considered failed. ⁶If the candidate fails to achieve at least the grade 2.3 in all examinations, the qualifying examination shall be considered failed.

(6) ¹If a candidate is required to complete a thesis, this thesis must demonstrate that the candidate is capable of solving a problem relating to the subject in which they are pursuing the doctoral degree independently and according to academic methods. ²The supervisor and the candidate shall agree upon a topic. ³The thesis is graded by the supervisor. ⁴The supervisor shall recommend whether the examining committee pursuant to paragraph (3) should accept or reject the thesis. ⁵The examining committee shall decide whether to accept or reject the thesis. ⁶The thesis shall be considered rejected if the candidate does not submit it before the deadline. ⁷If the thesis is rejected or considered to have been rejected, the candidate shall fail the qualifying examination.

Section 9 Admission to a Doctoral Degree, Admission Subject to Fixed Term

(1) ¹Candidates shall be admitted to the doctoral degree subject to a fixed term pursuant to Section 9 (5) **RPromO**. ²The fixed term shall be five years.

(2) The CV according to Section 10 (2)(1) **RPromO** may also be submitted in English.

III. Section: The Doctoral Procedure

Section 10 Initiation of the Doctoral Procedure

One printed copy of the doctoral thesis must be submitted when the doctoral procedure is initiated.

Section 11 Requirements for the Doctoral Thesis

(1) ¹The thesis must be a standalone monograph written independently by the doctoral candidate that provides evidence of scientific findings which can be accredited to the author. ²The doctoral candidates shall use scientific methods to investigate, document and provide sound reasons for their scientific findings. The findings are required to generate added value for the specific subject area.

(2) ¹The doctoral thesis shall be written in a uniform format and shall include an introduction describing the general topic of the research and the relationship between the various chapters. ²The doctoral thesis must include a detailed summary in German and English.

(3) ¹Doctoral candidates are encouraged to actively publish partial results while the thesis is being written, and this will not jeopardize the thesis in any way (Section 11 (2) **RPromO**). ²The doctoral thesis may include articles that have been published or submitted for publication. ³A thesis must not consist of a compilation of already published articles printed in the original publishers' layout. ⁴If publications with several authors are included in the doctoral thesis, the thesis shall include a separate section stating these publications, the candidate's personal contribution to these theses and how they contribute to the doctoral thesis as a whole.

(4) In the case of co-authored publications, the Doctoral Affairs Committee may require the doctoral candidate and the co-authors to submit written confirmation of the contribution made by the doctoral candidate.

Section 12 Evaluation, Acceptance and Rejection of the Thesis

(1) The evaluations shall be written in German or English.

(2) The Doctoral Affairs Committee may request more than two evaluations if it considers this necessary, for example if the supervisor is not (or is no longer) employed at the Faculty of Engineering as their main occupation pursuant to Section 53 (4) **BayHIG** at the initiation of the doctoral procedure, if the first evaluations do not cover the required breadth of the subject, or if a further review of the thesis is deemed necessary due to the interdisciplinary nature of the research.

(3) ¹At least one of the reviewers is not permitted to have published with the candidate in the last five years. ²The Doctoral Affairs Committee shall decide on any exceptions.

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

sehr gut (very good)	= 1 for an outstanding achievement
gut (good)	= 2 for an excellent achievement
befriedigend (satisfactory)	= 3 for an acceptable achievement
ausreichend (sufficient)	= 4 for an achievement that fulfills requirements
ungenügend (insufficient)	= 5 for an insufficient achievement

³The grades may be reduced or increased by increments of 0.3 to differentiate achievements. ⁴The grades 0.7 and 5.3 may not be given; the grade 4.3 is already classified as an insufficient achievement.

Section 13 Oral Examination

(1) The oral examination shall be held in front of the examining committee (Section 4 (4)) and shall consist of:

1. A public academic presentation lasting half an hour in which the doctoral candidate speaks freely about their research followed by a public discussion on the aim, approaches and results of the doctoral thesis.
2. A thesis defense lasting approximately 45 minutes.

(2) ¹The public shall be invited to attend the examination. ²At the request of the doctoral candidate, listeners may also use audiovisual telecommunication technology to participate in the public part of an on-campus oral examination if all those involved in the oral examination agree (examining committee and doctoral candidate). ³If this is the case, measures must be introduced to ensure that no images are shown of the listeners attending the examination in person. ⁴In such cases, Section 14 (2) to (6) **RPromO** shall apply accordingly. ⁵All members of the Faculty of Engineering and other faculties at FAU who are authorized to evaluate doctoral degrees may participate in the restricted part of the examination.

(3) ¹The chairperson of the examination committee shall lead the discussion and thesis defense. ²During the discussion and the thesis defense, all those present are entitled to ask questions. ³During the thesis defense, the questions ought to be connected to the topic of the doctoral thesis or be related to the fundamentals and state of the art in the discipline. ⁴If the requirements stipulated in sentence 3 are breached, the chairperson can declare questions as inadmissible.

(4) ¹The discussion and presentation shall be awarded a grade according to Section 12 (4) by each member of the examining committee; the same shall apply to the defense. ²The grade for each of the two parts of the examination shall be the arithmetic average of the two grades, with two decimal places being shown. ³Grades shall not be rounded up or down.

Section 14 Use of Audiovisual Telecommunication Technology; Remote Examinations

In accordance with Section 14 RPromO, if the doctoral candidate agrees, the oral examination may be conducted using audiovisual telecommunications technology pursuant to Section 14 paragraphs 2 to 6 RPromO or as a remote electronic examination pursuant to Section 14 (7) RPromO.

Section 15 Resitting the Oral Examination (see RPromO)

Section 16 Results of the Doctoral Procedure, Notification

¹When calculating the total grade, the arithmetic average of the grades from the reviewers' written evaluations of the doctoral thesis is weighted a total of six times, the grade for the presentation and the discussion is weighted twice and the grade for the defense is weighted twice. ²When calculating the total grade, two decimal places are shown. ³The overall grades for the doctoral degree are as follows:

1.00 to 1.50 "Sehr gut bestanden"

1.51 to 2.50 "Gut bestanden"

2.51 to 3.50 "Befriedigend bestanden"

3.51 to 4.00 "Ausreichend bestanden"

⁴The assessment "mit Auszeichnung bestanden" shall be awarded if all reviewers have assessed the thesis with the grade 1.0 and the overall grade is better than 1.05.

Section 17 Publication of the Thesis and Submission of Mandatory Copies

In exceptional cases, the Doctoral Affairs Committee may extend the deadline for publishing the thesis by up to three years, calculated from the date of the oral examination.

Section 18 Fraud/Plagiarism

¹Tools for generating or improving texts (e.g. artificial intelligence (AI) and AI-assisted technologies) may only be used to improve readability and language. ²Doctoral candidates shall submit a declaration naming the tools they have used and stating what they were used for. ³The doctoral candidate shall declare that they are responsible for the content of the doctoral thesis. ⁴The declaration shall be included at the beginning of the dissertation.

Section 19 Completion of the Doctoral Degree

(1) The Dean shall sign the doctoral degree certificate on behalf of the Faculty of Engineering at FAU.

(2) The doctoral degree certificate shall be issued in German.

(3) Upon the request of the doctoral candidate, an additional certificate may also be issued in English.

IV. Honorary Degrees

Section 20 Honorary Doctoral Degrees

The members of the Faculty Council who would qualify as supervisors or reviewers pursuant to Section 5 **RPromO** are involved in the decision concerning the conferral of an honorary doctoral degree.

V. Cooperative Doctoral Degrees

Section 21 Cooperative Doctoral Degrees (see **RPromO**)

VI. Doctoral Degrees in Cooperation with Foreign Universities

Section 22 General Provisions (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 March 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 the doctoral procedure according to the previously valid version of the **FPromO** from January 21, 2013 in the version dated December 23, 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 written declaration to this effect by April 30, 2025. ⁵In the event of a declaration pursuant to sentence 4, the **RPromO** 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 **RPromO** dated July 27, 2024.