

These doctoral regulations have been worded carefully to be up to date; however, errors cannot be completely excluded. The official German text available from L 1 – Office of Legal Affairs and Academic Quality Management is the version that is legally binding.

**Faculty Doctoral Regulations of the Faculty of Medicine at  
Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU)  
for the degree Dr. rer. biol. hum.  
– FPromO rer. biol. hum. –  
Dated 22 August 2019**

With reference to Section 13 (1) in conjunction with Section 64 of the Bavarian Higher Education Act (**BayHSchG**), FAU passes the following Doctoral Regulations:

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## I. General Provisions

### Section 1 Scope

<sup>1</sup>The valid version of these Doctoral Regulations (FPromO rer. biol. hum.) supplements the General Doctoral Regulations of FAU (**RPromO**) for the Faculty of Medicine; these Doctoral Regulations are thus structured in a similar manner. <sup>2</sup>The Faculty Doctoral Regulations are stipulated in the relevant sections, insofar as they shall apply.

### Section 2 Doctoral Degree

### Section 3 Doctoral Titles

### Section 4 Bodies Responsible and Procedural Regulations

(1) <sup>1</sup>A Doctoral Affairs Committee shall be established for the doctoral degree in human biology. <sup>2</sup>The members of the Doctoral Affairs Committee are:

1. The Dean (chairperson),
2. Three further members appointed by the Faculty Council from the authorised examiners for the examination of doctoral degrees at the Faculty of Medicine.

<sup>3</sup>The Dean may transfer their position as chair or any other of their tasks to the Vice Dean or another professor of the Faculty of Medicine.

(2) <sup>1</sup>For each doctoral procedure, the doctoral affairs committee shall appoint an examining committee consisting of at least one member of the Doctoral Affairs Committee and at least three more authorised examiners for doctoral degrees. <sup>2</sup>A member of the Doctoral Affairs Committee shall be appointed chairperson of the examining committee. <sup>3</sup>The majority of the members must be professors. <sup>4</sup>The reviewers pursuant to Section 5 shall be included in the examining committee. <sup>5</sup>A maximum of two members of the examining committee may be appointed from a faculty other than the Faculty of Medicine at FAU or from another university.

### Section 5 Reviewers and Supervisors

(1) <sup>1</sup>According to Section 5 (2)(2) **RPromO**, only primary and secondary members of the Faculty of Medicine as defined by Section 5 (2)(1)(1) **RPromO** are entitled to supervise doctoral degrees. <sup>2</sup>Part-time lecturers and individuals with doctoral degrees (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)(3) **RPromO** on an individual basis upon the request of the Doctoral Affairs Committee.

(2) <sup>1</sup>Depending on the subject of the doctoral research, one of the reviewers must come from the Faculty of Humanities, Social Sciences, and Theology, the Faculty of Business, Economics, and Law, the Faculty of Sciences or the Faculty of Engineering at FAU, or, in justified exceptional cases, from another non-medical faculty at another university. <sup>2</sup>Members of the Faculty of Medicine at FAU who are secondary members of another faculty at FAU do not qualify to act as a reviewer pursuant to sentence 1.

(3) <sup>1</sup>Upon commencement of the doctoral procedure, the candidate shall be entitled to suggest names of reviewers for the doctoral thesis, taking paragraph 2 into account. <sup>2</sup>The candidate can also suggest their supervisor as a reviewer. <sup>3</sup>The Doctoral Affairs Committee must approve the suggestion. If approval is not granted, the candidate may

make one more suggestion, otherwise the Doctoral Affairs Committee shall appoint the reviewers.

## **II. Admission to a Doctoral Degree**

### **Section 6 Admission Requirements**

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

1. A degree pursuant to (2)(1),
2. Evidence of the qualifications specified in (5),
3. A pass in the qualifying examination pursuant to Section 7 in accordance with (3),
4. In the case of candidates who have already completed a doctoral degree, evidence that the requirements stipulated in (6)(2) have been met.

(2) <sup>1</sup>In order to be admitted to the doctoral procedure, candidates must have completed a university degree defined in the following:

1. Master's degree, Diplom, Magister, Staatsexamen or an equivalent university degree obtained in a relevant degree programme at a German university as defined in sentences 2 and 3 or an equivalent degree from another country

in conjunction with:

2. An overall grade of 2.5 (gut) or better.

<sup>2</sup>Subject to the provisions stipulated in sentence 3, a relevant degree as defined by sentence 1 is a degree in mathematics, natural sciences, biomedicine, veterinary medicine, pharmacy, engineering, health sciences or psychology. <sup>3</sup>Whether a degree is relevant or not shall be decided by the Doctoral Affairs Committee after a statement has been made by the supervisor on the relationship between the completed degree and the subject matter of the candidate's proposed doctoral research.

(3) If a candidate's overall grade is worse than 2.50, the candidate may request exemption from the requirement specified in (2)(1)(2) provided that the overall grade is 3.0 or better and that they pass the qualifying examination described in Section 7.

(4) <sup>1</sup>If a candidate with a relevant degree from a non-German university or equivalent higher education institution as defined in (2)(1) and (2) applies for admission to the doctoral procedure, the Central Office for Foreign Education (ZAB) shall generally be consulted in order to determine whether the foreign qualification can be recognised. <sup>2</sup>If the foreign degree can be recognised as equivalent, the modified Bavarian formula shall be used to convert the overall grade of the foreign degree, and the result shall be used to determine whether the candidate can be admitted to the doctoral procedure, possibly after completing a qualifying examination pursuant to Section 7. <sup>3</sup>If the result of the conversion of the overall grade of the foreign degree using the modified Bavarian formula is 2.5 or better, but the Central Office for Foreign Education (ZAB) cannot clearly determine whether the foreign degree should be recognised as equivalent, or if the degree can only be recognised as equivalent if certain requirements are met, the Doctoral Affairs Committee must be provided additional evidence of the candidate's suitability for successfully completing a doctoral degree, on the basis of which the Doctoral Affairs Committee shall decide whether or not the candidate should be admitted to the doctoral degree. <sup>4</sup>Evidence as defined in (3) shall include: successful participation in subject-specific lectures and seminars to an extent defined by the Doctoral Af-

fairs Committee and/or scientific publications in recognised scientific journals as defined in Section 10 (2)(4) of which the candidate is the lead or final author and/or presentations or posters presented by the candidate at national scientific conferences. <sup>5</sup>If the Doctoral Affairs Committee does not believe that there is enough evidence, it can stipulate further requirements which must be met before the candidate can be admitted to the doctoral procedure.

(5) <sup>1</sup>Before candidates can be admitted to the doctoral procedure, they generally are required to submit proof of at least two years employment at an institution within the Faculty of Medicine at FAU. <sup>2</sup>If they are unable to provide this proof upon admission to the doctoral procedure, they may submit it at a later date before the initiation of the doctoral procedure according to Section 9. <sup>3</sup>In the case of sentence 2, an explanation of the candidate's employment situation during their work on the doctoral research must be provided by the supervisor at the time of admission instead. <sup>4</sup>At the candidate's request, the Doctoral Affairs Committee may recognise periods of primary employment of up to one year at another faculty at FAU, another university, an equivalent higher education institution, or non-university research institution belonging to the Max Planck Society, Fraunhofer-Gesellschaft, the Helmholtz Association or the Leibniz Association. <sup>5</sup>Furthermore, at the supervisor's request, if valid reasons are provided, the Doctoral Affairs Committee may recognise periods of part-time employment at an institution of FAU's Faculty of Medicine with weekly working hours of less than half of the average weekly working hours. <sup>6</sup>Apart from the cases stipulated above, candidates who are not employed at the Faculty of Medicine can only be admitted to the doctoral procedure if they apply for a place in the Graduate School for Life Sciences at FAU (Life@FAU) or a similar structured doctoral programme; the candidate shall then be admitted to the doctoral procedure subject to acceptance in the structured doctoral programme. <sup>7</sup>If the candidate's application is rejected, the admission to the doctoral procedure shall be invalid.

(6) <sup>1</sup>The entitlement to use a doctoral title for human biology or an academic title that is equivalent to one of these doctoral titles precludes the right to graduate in a doctoral degree programme leading to the same title. <sup>2</sup>Candidates who have obtained a degree according to (2)(1)(1) and have subsequently successfully completed a doctoral degree may only apply for the doctoral procedure for the degree Dr. rer. biol. hum. if they have completed an additional degree according to (2)(1) or been admitted to a structured doctoral degree programme at the Faculty of Medicine.

## **Section 7 Qualifying Examination**

(1) <sup>1</sup>A qualifying examination shall be held pursuant to Section 6 (3). <sup>2</sup>This shall be used to determine the candidate's ability to successfully work on and complete corresponding doctoral research.

(2) <sup>1</sup>The Doctoral Affairs Committee shall determine the members of the examining committee for the qualifying examination, taking the candidate's suggestion into consideration. <sup>2</sup>The examining committee shall consist of four members, one of whom must always be a member of the Doctoral Affairs Committee. <sup>3</sup>The three other members shall be authorised examiners for doctoral degrees. <sup>4</sup>At least one member must be from the institution in which the candidate hopes to complete their doctoral research. <sup>5</sup>Depending on the subject area of the doctoral degree, a further member must come

from the Faculty of Humanities, Social Sciences, and Theology, the Faculty of Business, Economics, and Law, the Faculty of Sciences or the Faculty of Engineering at FAU, or, in justified exceptional cases, from another non-medical faculty at another university. <sup>6</sup>The supervisor may not be a member of the examining committee.

(3) <sup>1</sup>The qualifying examination shall be held in the form of an oral examination not open to the public; it shall be conducted within three months of receipt of the application for admission to the doctoral procedure. <sup>2</sup>The oral examination, which shall be opened with a presentation by the candidate on the planned doctoral research lasting approximately 20 minutes, shall cover the fundamental aspects of the intended topic of the doctoral research. <sup>3</sup>The candidate must show that they possess the fundamental research skills required in their discipline and it is therefore to be expected that they will be able to deal with the topic of the thesis successfully. <sup>4</sup>After the candidate's introductory presentation, each member of the examining committee shall be given sufficient opportunity to make an assessment according to sentence 3. <sup>5</sup>The length of the qualifying examination shall not exceed 60 minutes.

(4) <sup>1</sup>The examiners shall announce the result directly after the examination as 'bestanden' (pass) or 'nicht bestanden' (fail). <sup>2</sup>The candidate is considered to have passed the qualifying examination if the majority of the members of the examining committee vote for 'pass'.

(5) If the candidate fails the qualifying examination, it can be repeated once within a one year period.

### **Section 8 Admission to a doctoral degree**

In addition to the documents stipulated in Section 8 (2) **RPromO**, candidates shall include the following with their application for admission:

1. A one-page summary of the intended doctoral research,
2. A supervision agreement signed by the supervisor and the doctoral candidate,
3. Depending on the subject of the doctoral research, informal confirmation from a member of the Faculty of Humanities, Social Sciences, and Theology, the Faculty of Business, Economics, and Law, the Faculty of Sciences or the Faculty of Engineering at FAU, or, in justified exceptional cases, from another non-medical faculty at another university, that they intend to be involved in the doctoral procedure,
4. In cases covered by Section 7, a list of proposed members of the examining committee for the qualifying examination who meet the requirements stipulated in Section 7 (2),
5. A declaration from the head of the academic or clinical institution where the candidate intends to carry out their doctoral research granting consent for using the facilities and, if applicable, patient data and
6. A declaration stating whether the candidate is or intends to become a member of the Graduate School for Life Sciences at FAU (Life@FAU) or a comparable structured doctoral programme.

### III. The Doctoral Procedure

#### Section 9 Initiation of the Doctoral Procedure

In addition to the documents stipulated in Section 9 (2) **RPromO**, the following documents must also be included with the application for initiation of the doctoral procedure:

1. A list of proposed reviewers meeting the requirements of Section 5 (3) **RPromO** in conjunction with Section 5 (2) who are able to provide an expert evaluation of the doctoral thesis,
2. A declaration of whether the candidate is a member of the Graduate School for Life Sciences at FAU (Life@FAU) or a comparable structured doctoral programme,
3. For candidates not employed at the Faculty of Medicine whilst completing their doctoral degree, additional proof that the structured doctoral training is completed correctly and
4. In the event of a cumulative thesis pursuant to Section 10 (2), a declaration that the publications submitted in the thesis are marked as part of a doctoral procedure (see Section 10 (2)(3)) and have not already been used or will not be used by the candidate to obtain other academic qualifications.

#### Section 10 Requirements for the Thesis

(1) <sup>1</sup>All theses written in German must be accompanied by an abstract in English. <sup>2</sup>This shall apply to cases according to (2) and (3) accordingly if the articles that have already been published are in German.

(2) <sup>1</sup>If the supervisor agrees, the candidate may submit a collection of articles which have already been published in recognised scientific journals or articles which have been accepted for publication (cumulative dissertation) instead of a thesis. <sup>2</sup>The versions of the articles that form part of the cumulative dissertation that are published in the scientific journal must include a note indicating that they are part of a thesis. <sup>3</sup>Only research articles published in recognised scientific journals in the relevant subject may be included in a cumulative dissertation. <sup>4</sup>Scientific journals shall be considered recognised in accordance with **FPromO** rer. biol. hum. if they are listed in a relevant citation database of the relevant subject, in particular SCI, SSCI, A&HCI or PubMed, or in lists of recognised scientific journals published by academic societies. <sup>5</sup>The candidate must be the lead author or final author of at least two of the publications. <sup>6</sup>If publications are used in several cumulative dissertations by different people, they are generally only recognised as counting towards the minimum publication requirements for the person who first makes the submission. However, the same publication can still be included in the cumulative theses of different people if this makes sense from the point of view of the subject matter.

(3) <sup>1</sup>The publications that are submitted in place of a thesis must be supplemented by 10 to 25 pages of German text which make the relevance of the articles to the field clear and illustrate the contextual links between the published articles. <sup>2</sup>Section 10 (5) **RPromO** shall remain unaffected. <sup>3</sup>In exceptional cases, instead of confirmation according to Section 10 (3)(3) **RPromO**, the supervisor may submit confirmation of the candidate's contributions in relationship to those of other co-authors.

#### Section 11 Evaluation, Acceptance and Refusal of the Thesis

(1) <sup>1</sup>The evaluations should be drawn up within two months. <sup>2</sup>They shall include a grade. <sup>3</sup>The following grades shall apply:

'summa cum laude'	= ausgezeichnet	= an outstanding achievement;
'magna cum laude'	= sehr gut	= an excellent achievement;
'cum laude'	= gut	= an above-average achievement;
'rite'	= befriedigend/ ausreichend	= an achievement that fulfils average requirements;
'insufficenter'	= unzulänglich	= an unsatisfactory achievement with significant omissions.

<sup>4</sup>If both evaluations grade the thesis 'summa cum laude', an additional evaluation must be obtained from a reviewer who is a member of another university. <sup>5</sup>The grades 'summa cum laude' and 'magna cum laude' can only be awarded if all three or at least two reviewers agree. <sup>6</sup>If evaluations differ by one grade, the arithmetic average of both individual grades is taken, with the grades described in sentence 3 above being allocated a number of 1 to 5 for this purpose. <sup>7</sup>If grades differ by more than one grade, a third evaluation shall be obtained pursuant to Section 11 (3)(1) **RPromO** and the arithmetic average of the three individual grades calculated. The average shall be calculated to two decimal places.

(2) If the thesis is accepted, the Doctoral Affairs Committee shall decide on the grade as specified in (1) based on the evaluations and the rules stipulated in (1) sentences 5 to 7.

## Section 12 Oral examination

(1) The oral examination covers the topic of the thesis and the contextual relationships between the topic of the thesis and research questions in other related disciplines in theory and practice.

(2) <sup>1</sup>The oral examination is held as a public 'Disputation' in German or English. The public is excluded from discussions concerning the results of the examination and when the results are announced to the candidate. <sup>2</sup>The 'Disputation' consists of a 20-minute presentation of the thesis results by the candidate. <sup>3</sup>An academic discussion lasting up to 40 minutes led by the chairperson of the examining committee shall be conducted after the presentation. <sup>4</sup>All those present who are authorised examiners of doctoral degrees are entitled to take part in this academic discussion. <sup>5</sup>The 'Disputation' shall be held at the latest four months after the thesis has been accepted by the Doctoral Affairs Committee.

(3) <sup>1</sup>Each member of the examining committee shall assess the performance of the candidate in the oral examination with a grade specified in Section 11 (1)(3). <sup>2</sup>The grade for the oral examination is the arithmetic average of the candidate's individual grades, with the grades described in Section 11 (1)(3) being allocated a number for this purpose. The average is given to two decimal places.

(4) If the oral examination is graded as 'insufficenter' by at least two members of the examining committee, the oral examination shall be considered as failed.

(5) The oral examination may be conducted with the help of audiovisual telecommunication technologies; Section 12a **RPromO** applies.

## **Section 13 Resitting the Oral Examination**

### **Section 14 Results of the Doctoral Procedure, Notification**

<sup>1</sup>The overall grade for the degree is calculated from the average of the thesis grade and the oral examination. <sup>2</sup>The thesis grade is weighted twice. <sup>3</sup>The overall grades according to the average are:

- up to 1.08 'summa cum laude' (= ausgezeichnet),
- between 1.09 and 2.50 'magna cum laude' (= sehr gut),
- between 2.51 and 3.50 'cum laude' (= gut),
- higher than 3.5 'rite' (=befriedigend/ausreichend).

## **Section 15 Publication of the Thesis and Submission of the Mandatory Copies**

### **Section 16 Completion of the Doctoral Degree**

<sup>1</sup>The doctoral degree certificate is issued in German; an authorised translation of the doctoral degree certificate may be issued in English on request. <sup>2</sup>A traditional certificate may be issued in Latin on request. <sup>3</sup>The Dean of the Faculty of Medicine shall sign the doctoral degree certificate.

## **IV. Honorary Doctoral Degrees**

### **Section 17 Honorary Doctoral Degree Certificates**

<sup>1</sup>A candidate may be proposed for an honorary doctoral degree at the request of at least two thirds of the authorised doctoral degree examiners on the Faculty Council. <sup>2</sup>The Faculty Council shall decide whether to grant the request.

## **V. Cooperative Doctoral Degrees**

### **Section 18 Cooperative Doctoral Degrees**

## **VI. Doctoral Degrees in Cooperation with Foreign Universities**

### **Section 19 General**

### **Section 20 Examination Procedure at FAU**

### **Section 21 Examination Procedure at the Partner Institution**

### **Section 22 Joint Doctoral Degree Certificate**

## **VII. Invalidity and Revocation of Doctoral Degrees**

### **Section 23 Invalidity of Doctoral Examinations**

### **Section 24 Revocation of Doctoral Degrees**



## VIII. Concluding Provisions

### Section 25 Legal Validity and Transitory Provisions

(1) <sup>1</sup>These regulations come into effect on the day after their publication. <sup>2</sup>They shall apply to all doctoral procedures initiated after these doctoral regulations have come into effect.

(2) The FAU Doctoral Regulations of the Faculty of Medicine from 21 January 2013, last revised on 30 November 2016, shall no longer apply to doctoral procedures for obtaining the degree Dr. rer. biol. hum. except when otherwise stipulated in (3).

(3) <sup>1</sup>All existing doctoral procedures initiated prior to these FPromO rer. biol. hum. shall be governed by the Doctoral Regulations of the Faculty of Medicine of FAU from 21 January 2013, last amended on 30 November 2016. <sup>2</sup>Candidates whose doctoral procedures have already been approved but have not yet been initiated may choose whether these doctoral regulations or the regulations according to (2) shall apply. The candidate shall inform the Office of Doctoral Affairs by 31 March 2020 at the latest.

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Erlangen, 22 August 2019

Prof. Dr. Friedrich Paulsen  
Vice President

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