

These doctoral regulations have been worded carefully to be up to date; however, errors cannot be completely excluded. The official German text available at the Office of Doctoral Affairs is the version that is legally binding.

**Faculty Doctoral Regulations of Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU) for the degree Dr. phil.
– FPromO Phil –
Dated 21 January 2013**

amended by statutes of
05 December 2017
05 February 2019

Table of contents

I. General Provisions.....	2
Section 1 Scope	2
Section 2 Doctoral Degrees.....	2
Section 3 Doctoral Titles.....	2
Section 4 Bodies Responsible and Procedural Regulations	2
Section 5 Reviewers and Supervisors	3
II. Admission to a Doctoral Degree	3
Section 6 Admission Requirements	3
Section 7 Qualifying Examination	4
Section 8 Admission to a Doctoral Degree	5
III. The Doctoral Procedure.....	5
Section 9 Initiation of the Doctoral Procedure.....	5
Section 10 Requirements for the Thesis	6
Section 11 Evaluation, Acceptance and Refusal of the Thesis	6
Section 12 Oral Examination	7
Section 13 Resitting the Oral Examination.....	7
Section 14 Results of the Doctoral Procedure, Notification	7
Section 15 Publication of the Thesis and Submission of the Mandatory Copies	8
Section 16 Completion of the Doctoral Degree	8
IV. Honorary Doctoral Degrees	8
Section 17 Honorary Doctoral Degree Certificates	8
V. Cooperative Doctoral Degrees	9
Section 18 Cooperative Doctoral Degrees.....	9
VI. Doctoral Degrees in Cooperation with Foreign Universities.....	9
Section 19 General.....	9
Section 20 Examination Procedure at FAU.....	9
Section 21 Examination Procedure at the Partner Institution	9
Section 22 Joint Doctoral Degree Certificate	9
VII. Invalidation and Revocation of Doctoral Degrees.....	9
Section 23 Invalidation of Doctoral Examinations	9
Section 24 Revocation of Doctoral Degrees	9
VIII. Concluding Provisions	9
Section 25 Legal Validity and Transitory Provisions	9
Appendix.....	11

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 thus structured in a similar manner. ²The Faculty Doctoral Regulations are stipulated in the relevant sections, insofar as they shall apply.

Section 2 Doctoral Degrees

Section 3 Doctoral Titles

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 programme. ²The Doctoral Affairs Committee shall consist of six individuals who sufficiently represent the breadth of subjects at the Faculty.

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

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

(5) ¹Only university professors from the Faculty of Humanities, Social Sciences, and Theology excluding the School of Theology may be elected as members or substitute members of the Doctoral Affairs Committee. ²Secondary members cannot be elected as members or substitute members.

(6) ¹Each member is elected for a term of three years. ²Re-appointment shall be permitted.

(7) 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 shall be permitted.

(8) 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 its actions and recommends any changes to the doctoral regulations to the bodies responsible.

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

(10) ¹The chairperson of the Doctoral Affairs Committee shall appoint an examining committee for every doctoral procedure. ²The Dean shall be informed of every doctoral procedure and have the right to participate in the oral examination. ³The examining committee shall consist of the reviewers appointed for assessing the thesis and an additional representative 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 **RPromO**. ⁶The chairperson of the Doctoral Affairs Committee shall appoint a chairperson from the members of the examining committee.

Section 5 Reviewers and Supervisors

(1) ¹The supervisor of a doctoral procedure is generally also a reviewer and must represent a subject at FAU for which the doctoral title Dr. phil can be awarded. ²Other full-time university lecturers at FAU may be appointed supervisors on an individual or general basis by the Doctoral Affairs Committee upon justified request. ²Part-time lecturers and outstanding 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)(3) **RPromO** on an individual basis. ⁴Outstanding 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 Programme run by the German Research Foundation or comparable programmes.

(2) At least one of the reviewers must be a university professor of the Faculty of Humanities, Social Sciences, and Theology (excluding the School of Theology).

II. Admission to a Doctoral Degree

Section 6 Admission Requirements

(1) The requirements for admission to a 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. 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 Programmes 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. ⁴If a candidate chooses subject-specific teaching methodology (Fachdidaktik) as a doctoral degree subject, they must have studied this at least at a basic level as part of a teaching degree programme. ⁵Alternatively, evidence may be submitted of further relevant subject-related knowledge. ⁶In consultation with the pertinent subject representatives, the Doctoral Affairs Committee shall decide whether the degree programme 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 supervision agreement between the supervisor and the doctoral candidate in accordance with the template in the **Appendix**, amended as necessary.

(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, Medieval History, Modern and Contemporary History, Bavarian and Franconian Regional History, Eastern European History, Area Studies and Social Anthropology, Classical Archaeology, Greek, Latin, Medieval Latin and Neo-Latin, Indo-European Studies, Germanic and German Philology. ²Documents accepted as proof of proficiency are detailed in the valid version of the degree programme and examination regulations for proving proficiency in Latin at FAU – **StPOLatein** –.

(4) The following courses require proficiency in Ancient Greek: Ancient History, Classical Archaeology, Indo-European Studies, Latin.

(5) ¹Language proficiency pursuant to paragraphs 2 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 according 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. ⁴Proficiency in German as a foreign language shall be demonstrated by the examination conducted by the FAU Language Centre aimed at testing proficiency of German for admission to a German university ('Prüfung zum Nachweis deutscher Sprachkenntnisse für den Hochschulzugang'). The level shall be determined in advance by the Doctoral Affairs Committee in consultation with the supervisor. ⁵The chairperson of the Doctoral Affairs Committee shall decide on the extent to which other qualifications can be accredited.

Section 7 Qualifying Examination

(1) Candidates who have obtained a different Diplom or Master's degree than specified in Section 6 (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 consists of:

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

²The aim of the qualifying examination is to determine the candidate's ability to work academically in the subject of the pursued 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 authorised examiner 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 the formulation of the task must be such that it can be completed within four months. ⁴In individual cases with justifiable cause, the deadline may be extended by a maximum of two months. 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 (3) **RPromO** who may grade the assignment as 'angenommen' (accepted) or 'abgelehnt' (refused). ⁶The assignment is either accepted or refused if both reviewers reach a consensus. ⁷If one of the reviewers rejects the written assignment, the Doctoral Affairs Committee shall decide on whether to accept or refuse the assignment and may request a further evaluation if necessary. ⁸The written assignment shall count as refused if the candidate does not submit it before the deadline. ⁹If the written assignment is refused or counts as refused, the qualifying examination shall be failed.

(4) ¹If the written assignment is accepted, the candidate has six months to sit the oral examination. ²The candidate shall be admitted to the oral examination one week in advance. 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 (3) **RPromO** and appoint one of the examiners as a chairperson. ⁵The examining committee shall determine whether the achievements of the candidate are sufficient. ⁶If the achievements of the candidate are not considered sufficient, the qualifying examination shall be failed and may be repeated according to Section 7 (5) **RPromO**. ⁷A written assignment accepted in the qualifying examination may also be accepted in the resit examination.

Section 8 Admission to a Doctoral Degree

(1) Proof of any required proficiency in foreign languages according to Section 6 paragraph 1 (2) must be submitted together with the application for admission to a doctoral degree.

(2) The candidate's CV according to Section 8 (2)(1) **RPromO** may also be submitted in English.

(3) Admission may be made subject to conditions if the admission requirements according to Section 6 are not entirely fulfilled but can be fulfilled during the doctoral research.

III. The Doctoral Procedure

Section 9 Initiation of the Doctoral Procedure

Where applicable, the candidate shall submit a suggestion of suitable reviewers with the application for initiation of the doctoral procedure.

Section 10 Requirements for the Thesis

(1) ¹The doctoral thesis must represent an independent achievement worthy of academic recognition. 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)
 - 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 (excluding spaces) 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 11 Evaluation, Acceptance and Refusal of the Thesis

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

- 1 = magna cum laude (sehr gut),
- 2 = cum laude (gut),
- 3 = rite (genügend),
- 4 = insuffizienter (ungenügend).

³Outstanding achievements may be recognised with the assessment

1* = summa cum laude (ausgezeichnet). ⁴If a cumulative doctoral thesis consists of publications which the candidate has written as a co-author the exposition according to Section 10 (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 11 (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 review 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 11 (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 15 (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 11 (8) **RPromO**.

Section 12 Oral Examination

(1) The oral examination demonstrates that the candidate is capable of scientific presentation, 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.

(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. ²The oral examination shall last between 90 and 120 minutes and take place within two months after the thesis has been accepted. ³As a rule, the examination will be held before a specialist audience. If so requested by the candidate, the listeners may be restricted to those individuals who are eligible to be an examiner pursuant to Section 5 (2) **RPromO**. ⁵Listeners shall not be permitted to attend the deliberation process and the announcement of the examination result.

(3) ¹The chairperson of the Doctoral Affairs Committee shall invite the 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).

(4) The examination shall consist of three parts:

1. a presentation lasting approximately 15 minutes in which the candidate explains the most important results of their doctoral thesis, followed by a discussion (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 determine a grade according to Section 11 (1). ³The oral examination is failed if the grade is '4 = insuffizienter (ungenügend)'.

Section 13 Resitting the Oral Examination

Section 14 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 result is calculated from the arithmetic average of the double-weighted individual grade of the thesis and the single-weighted grade from the oral examination. ³For this, one decimal place shall be considered. Further decimal places shall be omitted without rounding. ⁴The overall grade shall be 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 achievement shall be assessed as 'summa cum laude' (ausgezeichnet) if both the thesis and the oral examination are graded with 'summa cum laude'.

Section 15 Publication of the Thesis and Submission of the 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 10 (2)(5) must be accessible to the public in an appropriate form.

Section 16 Completion of the Doctoral Degree

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

(2) In addition to the information stated in Section 16 (2) (1) **RPromO**, the subject of the doctoral degree shall also be included on the doctoral degree certificate.

IV. Honorary Doctoral Degrees

Section 17 Honorary Doctoral Degree Certificates

(1) The honorary doctoral degree for a doctor of philosophy (Dr. phil. h. c.) may be awarded according to Section 3 (1)(3) **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 shall support the Dean in preliminary consultations.

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

(2) The doctoral regulations of the University for the doctoral degree of Dr. phil from 8 October 1991, last amended on 27 April 2011, shall no longer apply subject to the regulations according to (3).

(3) ¹All existing doctoral procedures initiated prior to the **RPromO** and **FPromO** shall be governed according to the Doctoral Regulations of the University for the doctoral degree of Dr. phil from 8 October 1991, last amended on 27 April 2011. ²Candidates 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 2013 at the latest.

(4) The first amendment statute shall come into effect on the day after its publication.

(5) ¹The second amendment statute shall come into effect on the day after its publication. ²It shall apply to all doctoral procedures for which approval is sought after the second amendment statute comes into effect. ³Candidates whose doctoral procedure was already approved but not yet initiated at the date the second amendment statute

comes into effect shall have the option of completing their doctoral procedure in accordance with doctoral regulations in the version of the second amendment statute by submitting a written declaration to this effect to the Office of Doctoral Affairs by 30 September 2020.

Appendix

BETREUUNGSVEREINBARUNG



FRIEDRICH-ALEXANDER
UNIVERSITÄT
ERLANGEN-NÜRNBERG

PHILOSOPHISCHE FAKULTÄT
UND FACHBEREICH THEOLOGIE

Für das Promotionsvorhaben (Dr. phil.) an der Philosophischen Fakultät und Fachbereich Theologie der Friedrich-Alexander-Universität Erlangen-Nürnberg vereinbaren nachfolgende Personen ein Betreuungsverhältnis:

Promovend/in:	
Betreuer/in:	
Promotionsfach:	
Form der Dissertation:	<input type="checkbox"/> Monographie <input type="checkbox"/> kumulative Dissertation
Arbeitstitel der Dissertation:	
Für die Arbeit an der Dissertation wird ein Arbeitsplatz zur Verfügung gestellt:	<input type="checkbox"/> ja <input type="checkbox"/> nein
Die Promotion ist eingebunden in folgendes Promotionsprogramm:	

Die Grundlage für das Betreuungsverhältnis ist der gemeinsam erarbeitete strukturierte Zeit- und Arbeitsplan (Anlage A), sowie dessen Weiterentwicklung.

Aufgaben und Pflichten der/des Promovend/in:

- regelmäßige Berichtspflicht
- regelmäßige Vorlage der inhaltlichen Teilergebnisse;

Aufgaben und Pflichten der/des Betreuer/in:

- regelmäßige fachliche Beratung,
- Unterstützung der wissenschaftlichen Selbständigkeit,
- Karriereförderung/Mentoring,
- Qualitätssicherung (regelmäßige Fortschrittskontrollen etc.).

Die Gültigkeit der Betreuungsvereinbarung ist unabhängig von der Finanzierung der Promotion.

Beide Seiten verpflichten sich auf die Einhaltung der Grundsätze guter wissenschaftlicher Praxis der DFG (http://www.dfg.de/download/pdf/dfg_im_profil/reden_stellungnahmen/download/empfehlung_wiss_praxis_1310.pdf)

Promovend/in	
Datum:	Unterschrift:
Betreuer/in	
Datum:	Unterschrift: