

These doctoral regulations have been worded carefully to be up to date; however, errors cannot be completely excluded. The official German text available from L1 – Office of Legal Affairs and Academic Quality Management is the version that is legally binding.

Faculty Doctoral Regulations
for the School of Business, Economics and Society at the
Faculty of Business, Economics, and Law at
Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU)
– FPromO WiSo –
Dated 21 January 2013

amended by statutes of
21 February 2017
26 May 2021

Table of contents:

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

I. General Provisions

Section 1 Scope

¹These doctoral regulations (FPromO WiSo) supplement the FAU General Doctoral Regulations (**RPromO**) and are structured in a similar manner. ²Therefore some sections do not contain further provisions.

Section 2 Doctoral Degree

Section 3 Doctoral Titles

Section 4 Bodies Responsible and Procedural Regulations

(1) ¹The body responsible for administering doctoral degrees is the Doctoral Affairs Committee. ²All university lecturers in principal employment at the School of Business, Economics and Society belong to the Doctoral Affairs Committee. ³Professors on leave or retired professors from the School of Business, Economics, and Society according to Section 17 (1)(2) **BayHSchG** are entitled to participate in the meetings of the committee but without a right to vote. ⁴The chairperson of the Doctoral Affairs Committee is the Dean of Research, the deputy is the school speaker. ⁵The bodies responsible can delegate individual tasks to the chairperson.

(2) ¹The examining committee (Section 4 (1)(1) **RPromO**) consists of three examiners appointed by the bodies responsible, who shall be either members of the Doctoral Affairs Committee or entitled to sit on the Doctoral Affairs Committee. ²Both reviewers of the thesis shall be appointed as examiners. ³The chairperson of the Doctoral Affairs Committee is entitled to attend the defence of the thesis, known as the 'Disputation', as an additional fourth examiner. ⁴The examiners shall elect one of their members as a chairperson who shall also take records of the examination.

Section 5 Supervisors and Reviewers

(1) ¹University lecturers (Section 2 (3)(1) Bavarian Higher Education Personnel Act, **BayHSchPG**) in principal employment at FAU who are primary or secondary members of the School of Business, Economics and Society are entitled to supervise doctoral degrees. ²The same shall apply to professors on leave or retired professors who were members or secondary members of the School of Business, Economics and Society (Section 5 (2)(1)(2) **RPromO**). ³Part-time university lecturers who are members or secondary members of the School of Business, Economics and Society 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 may be appointed as supervisors on request (Section 5 (2) sentences 2 and 3 **RPromO**). ⁴Section 18 **RPromO** shall remain unaffected.

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

(3) At least one reviewer must be a university lecturer in principal employment at the School of Business, Economics and Society.

II. Admission to a Doctoral Degree

Section 6 Admission Requirements

¹To be admitted to a doctoral degree, the candidate must provide evidence of one of the following degrees in a business or social science-related subject in Germany:

1. Master's degree, state examination, Diploma or Magister degree from a university or
2. Master's degree from a university of applied science.

²The candidate must have obtained at least 50 ECTS credits in economics and social sciences, but up to 20 ECTS credits can also be accredited from other disciplines of relevance for the topic of the doctoral degree. ³If the candidate does not have the required number of ECTS credits, they may be admitted subject to the condition that they still attain the required ECTS credits at a later date. ⁴The average grade of the final examination stated in sentence 1 must be at least 'gut' (2.5 or better). ⁵Grade averages which were not assessed 'gut' may still be considered by the Doctoral Affairs Committee on application from the candidate if they were at least given an average grade of 3.0, there are justified reasons and at least one authorised supervisor from the Doctoral Affairs Committee approves the request.

Section 7 Qualifying Examination

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

1. candidates who have completed a Diploma degree in business or social sciences with at least 'sehr gut' at a university of applied science or
2. candidates who have demonstrated excellent performance in a Bachelor's degree in business or social sciences at a university

and who have independently completed an academic assignment lasting at least three months set by a professor of the School of Business, Economics and Society with at least the grade 'gut'.

(2) ¹In order to pass the qualifying examination, candidates shall pass examinations worth 30 ECTS credits from the regular Master's modules in business administration, economics or social sciences at the FAU School of Business, Economics and Society.

²The qualifying examination must be completed at the latest four semesters after the candidate is admitted to the qualifying examination.

(3) The Doctoral Affairs Committee shall determine which modules count towards the qualifying examination; the candidate has the right to suggest modules.

(4) The qualifying examination shall be considered passed if the candidate passes the required module examinations worth 30 ECTS credits with an average grade for the 30 ECTS credits of at least 2.5.

Section 8 Admission to a Doctoral Degree

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

(2) ¹Admission may be associated with conditions. ²In the letter granting the candidate admission to a doctoral degree, the Doctoral Affairs Committee shall specify which achievements the candidate ought to attain as proof that their studies have been sufficiently focused on business, economics or social sciences.

III. The Doctoral Procedure

Section 9 Initiation of the Doctoral Procedure

¹In addition, evidence is required of participation in a doctoral degree programme worth 30 ECTS credits; achievements including participation in national and international conferences or professional training courses may be submitted by the supervisor for approval by the Doctoral Affairs Committee. ²Achievements which counted towards an earlier examination achievement (for example as part of the Bachelor's or Master's degree programme) cannot be submitted for consideration a second time. ³If the candidate can provide evidence of sufficient preparation in the subject at another university, the Doctoral Affairs Committee may recognise this achievement.

Section 10 Requirements for the Thesis

(1) The candidate shall conclude an individual written supervision agreement with their supervisor, which shall state the research area the dissertation will focus on and may also include provisions relating to open science.

(2) ¹In the case of an essay-based thesis consisting of a number of essays (at least three), the candidate must be the sole author of at least one of these papers. ²At least two of the individual articles should have the potential to be published in a prestigious scientific journal, preferably at an international level. ³If co-authored contributions are included in a thesis as defined in sentence 1, the candidate must clearly indicate which parts of the thesis constitute their own work (see Section 10 (3)(2) **RPromO**).

(3) ¹A cumulative thesis as defined in Section 10 (3) **RPromO** is possible provided the requirements in (2) sentences 1 and 2 are met and it has been proved to have potential for publication according to (2)(3) on the grounds of at least two of the individual articles having already been published or accepted for publication in a high-quality specialist journal, preferably at an international level. ²The cumulative thesis may also include other unpublished articles.

(4) In the case of a cumulative thesis pursuant to (2) and (3), the supervisor may request the candidate to not only provide a summary as stipulated in Section 10 (5) **RPromO** (2-5 pages in length), but also a detailed text outlining the connection between the individual articles and explaining how the results should be seen in the wider context of the subject as a whole.

Section 11 Evaluation, Acceptance and Rejection of the Thesis

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

summa cum laude (1.0)	=	an outstanding achievement
magna cum laude (2.0)	=	a commendable achievement
cum laude (3.0)	=	a good achievement
rite (4.0)	=	a satisfactory achievement.

³The grade of rejected work is:

non rite (5.0)	=	an insufficient achievement.
----------------	---	------------------------------

⁴Intermediary grades are permitted at intervals of 0.25; the grades 0.75 and 4.25 cannot be awarded.

(2) Regardless of whether the individual articles have been published according to

Section 10 or accepted for publication, the reviewers must assess whether the required quality level is met.

(3) The evaluations should be submitted at least five weeks before the next meeting of the Doctoral Affairs Committee.

(4) The display period according to Section 11 (4)(1) **RPromO** is two weeks.

(5) If the reviewers suggest additional requirements pursuant to Section 11 (4) **RPromO** which have to be met before the thesis is published, these requirements shall be set down in writing in a form that can be verified by third parties and submitted at the same time as the evaluations.

Section 12 Oral Examination

(1) ¹After initiation of the procedure, the oral examination shall take place before the next meeting of the Doctoral Affairs Committee, or before one of the two following meetings on request. ²The Doctoral Affairs Committee sets the dates for the meetings of the Doctoral Affairs Committee and the times of the individual oral examinations and publishes them in a suitable form. ³The oral examination shall be conducted in German unless the examiners have agreed to conduct parts of the examination or the entire examination in English.

(2) ¹The oral examination in the form of a Disputation covers the subject of the thesis and related disciplines. ²The 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. ³The Disputation shall be opened with a public presentation lasting between 15 and 30 minutes, in which the candidate presents the most important results of their thesis. ⁴This is followed by a scientific discussion open to members of the university lasting at least 30 minutes which derives from the presentation and covers interdisciplinary aspects; the Disputation should last between 45 and 90 minutes in total. ⁵When submitting the application for the initiation of the doctoral procedure to the Office of Doctoral Affairs, the candidate may apply for the scientific discussion to be held in front of a closed audience only. ⁶In order to conform with data protection provisions, candidates shall be informed upon commencement of proceedings which data shall be published with respect to the Disputation (name of examination candidate, time, room, examiner).

Section 12a Use of Audiovisual Telecommunication Technology, Remote Examinations

Section 12a **RPromO** shall apply.

Section 13 Resitting the Oral Examination

Section 14 Results of the Doctoral Procedure, Notification

(1) In the Disputation according to Section 12 (2), the examining committee shall award the grade for the oral examination according to Section 11 (1).

(2) ¹Two thirds of the overall result of the doctoral procedure is based on the average grade of the thesis and one third on the average grade of the Disputation pursuant to (1). ²The overall grade is calculated from the arithmetic average and rounded to the

nearest whole number. ³If this calculation results in an intermediary grade between two grades (1.5, 2.5, 3.5), the higher grade shall count.

Section 15 Publication of the Thesis and Submission of Mandatory Copies

(1) ¹Pursuant to Section 15 (4)(4) **RPromO**, in the case of an essay-based or cumulative thesis in which not all included articles have already been published or accepted for publication, the following rules for publication shall apply in deviation from the provisions stipulated in Section 15 (4) sentences 2 and 3 **RPromO**:

1. For articles which have already been published, it is sufficient to include a reference to the existing publication (see Section 15 (4)(3) **RPromO**).
2. Articles which have not yet been published should be included in full.

²It is recommended applying for an embargo notice pursuant to (2) in conjunction with Section 15 (7) **RPromO** if one or more of the articles has not yet been published and this makes sense in view of ongoing or pending reviews of the as yet unpublished articles. ³This shall not affect the candidates' duty to retain all applicable exploitation rights.

(2) ¹An embargo notice can be extended by one year pursuant to Section 15 (7)(1) **RPromO**. ²In exceptional justified circumstances, it can be extended again for one year at a time pursuant to Section 15 (7)(2) **RPromO**; the candidate shall provide a written explanation of the reasons and submit the application to the Doctoral Affairs Committee.

Section 16 Completion of the Doctoral Degree

¹The doctoral degree certificate shall be issued in German and English and confirms completion of the doctoral degree, stating the title of the thesis and the overall grade of the doctoral degree. ²The certificate shall be signed by the chairperson of the Doctoral Affairs Committee.

IV. Honorary Doctoral Degrees

Section 17 Honorary Doctoral Degree Certificates

(1) At least two members of the Doctoral Affairs Committee must submit an evaluation for an honorary doctoral degree to be awarded.

(2) The chairperson of the School of Business, Economics and Society shall present the certificate to the individual receiving the honorary doctoral degree at a ceremony during which the awardee shall give a talk.

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 School of Business and Economics of Friedrich-Alexander-Universität Erlangen-Nürnberg (PromO FBWiWi) from 24 February 2010 shall no longer apply except when otherwise stipulated in paragraph 3.

(3) ¹All existing doctoral procedures initiated prior to the **RPromO** and FPromO shall be governed according to the Doctoral Regulations of the School of Business and Economics Friedrich-Alexander-Universität Erlangen-Nürnberg (PromO FBWiWi) from 24 February 2010. ²Candidates whose doctoral procedures have already been admitted but have not yet been initiated may choose whether these doctoral regulations or the regulations according to paragraph 2 shall apply; the candidate shall inform the Office of Doctoral Affairs by 31 March 2013 at the latest.

(4) ¹The second amendment statute shall come into effect on the day after its publication. ²It shall apply to all doctoral proposals for which an application for admission is submitted pursuant to Section 8 in conjunction with Section 8 **RPromO** after the second amendment comes into effect. ³Candidates whose doctoral procedures have already been admitted but have not yet been initiated by the date the second amendment comes into effect may complete the doctoral procedure according to the previously valid version of the **FPromO** from 21 February 2017 if they inform the respective Office of Doctoral Affairs in writing by 30 September 2021 at the latest.