

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.

## General Doctoral Regulations of Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU) – RPromO – Dated 21 January 2013

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

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## I. General Provisions

### Section 1 Scope

<sup>1</sup>These General Doctoral Regulations (**RPromO**) regulate the procedure for awarding doctoral degrees at FAU. <sup>2</sup>The regulations are valid in conjunction with the Faculty Doctoral Regulations (**FPromO**). <sup>3</sup>The relevant **FPromO** is specified by the subject of the doctoral degree.

### Section 2 Doctoral Degree

<sup>1</sup>A doctoral degree involves independent research which is significantly more detailed than the requirements of a Master's examination or any other equivalent final examination. The doctoral degree is assessed by a written thesis (Section 10) as well as a formal examination procedure which determines the academic qualification of the candidate by evaluating the quality of the written doctoral thesis and the candidate's knowledge. <sup>2</sup>The examination procedure consists of the assessment of the written thesis (Section 11) and the final oral examination (Section 12). <sup>3</sup>Following successful completion of the doctoral procedure and the publication of the doctoral thesis (Section 15), the candidate shall be awarded a doctoral degree. <sup>4</sup>The current version of the FAU regulations for safeguarding good scientific practice and dealing with scientific misconduct (hereinafter: **GSP regulations**) shall apply to the doctoral procedure.

### Section 3 Doctoral Titles

<sup>1</sup>The faculties and schools entitled to award doctoral qualifications (hereinafter 'Faculties') can award the following doctoral degrees to FAU candidates:

1. Doktor der Philosophie (Dr. phil.) from the Faculty of Humanities, Social Sciences, and Theology – excluding the School of Theology
2. Doktor der Theologie (Dr. theol.) from the School of Theology of the Faculty of Humanities, Social Sciences, and Theology
3. Doktor der Rechte (Dr. jur) from the School of Law of the Faculty of Business, Economics, and Law
4. Doktor der Wirtschafts- und Sozialwissenschaften (Dr. rer. pol.) from the School of Business and Economics at the Faculty of Business, Economics, and Law
5. Doktor der Medizin (Dr. med.), Doktor der Zahnheilkunde (Dr. med. dent.) and Doktor der Humanbiologie (Dr. rer. biol. hum) from the Faculty of Medicine
6. Doktor der Naturwissenschaften (Dr. rer. nat.) from the Faculty of Sciences
7. Doktor der Ingenieurwissenschaften (Dr.-Ing.) from the Faculty of Engineering.

<sup>2</sup>The title can be awarded as Doktor or Doktorin. <sup>3</sup>The abbreviated form remains the same. <sup>4</sup>A doctoral degree may also be awarded as an honorary degree (Section 17); in this case it will be awarded with the abbreviation h.c. or another abbreviation specified in the **FPromO**.

#### **Section 4 Bodies Responsible and Procedural Regulations**

(1) <sup>1</sup>The appointment of the examining committee as well as other bodies responsible and their jurisdiction are specified in the **FPromO**. <sup>2</sup>Notwithstanding the provision stipulated in sentence 1, the decision according to Section 23 (1) shall be taken by the Faculty Council.

(2) <sup>1</sup>Section 30 of the University Constitution of Friedrich-Alexander-Universität dated 20 June 2007 (hereinafter: **Constitution**) shall apply to the affairs of the bodies responsible. <sup>2</sup>The chairperson shall be entitled to take decisions that cannot be delayed in place of the bodies responsible. <sup>3</sup>He or she must inform the other members of the bodies responsible immediately. <sup>4</sup>The **FPromO** can stipulate that the bodies responsible can transfer individual tasks to the chairperson or individual members as well as revoke these.

(3) Abstentions, ballot votes and delegation of votes shall not be permitted for examination decisions relating to the doctoral procedure, (2) shall therefore not apply in this respect.

(4) <sup>1</sup>The bodies responsible shall ensure that the doctoral procedure is conducted in an appropriate manner and is not subject to delays. <sup>2</sup>All decisions taken by the bodies responsible must be communicated to the candidate in writing. <sup>3</sup>Decisions which result in disadvantages for the candidate must be justified and accompanied by information on legal remedy.

(5) <sup>1</sup>The bodies responsible are supported by an Office of Doctoral Affairs which maintains records throughout the doctoral procedure. <sup>2</sup>Procedural records include:

- Submitted documents,
- Formal decisions and notifications,
- Evaluation and examination report,
- One copy of the thesis according to Section 9 (2)(2)(3),
- A machine-readable copy of the thesis.

<sup>3</sup>All documents must be stored for at least five years by the records office responsible; permanent records must be stored in consultation with the University Archive.

#### **Section 5 Reviewers and Supervisors**

(1) <sup>1</sup>A supervisor shall be appointed for each doctoral proposal. The supervisor shall agree upon the topic of the thesis with the candidate and supervise the doctoral research. <sup>2</sup>Two or more reviewers shall be appointed to assess the submitted thesis. <sup>3</sup>The **FPromO** determines whether the supervisor of the doctoral research can also act as a reviewer.

(2) <sup>1</sup>The following persons may be appointed as supervisors:

1. Full-time university lecturers employed at FAU
2. Professors on leave or retired professors who were primary or secondary members of the faculty administering the doctoral degree.

<sup>2</sup>The **FPromO** may restrict the appointment of supervisors of the doctoral research as specified in (1)(1) to primary and secondary members of the faculty. <sup>3</sup>The **FPromO** may permit part-time lecturers and individuals with doctoral degrees (in particular heads of junior research groups at FAU) who are able to continually supervise the doctoral research due to their employment at FAU or an institution associated with FAU to be appointed as supervisors on an individual or general basis. <sup>4</sup>If the supervisor's membership at FAU is terminated or the supervisor no longer meets the requirements stipulated in

sentence 3, the supervisor reserves the right to continue supervising any doctoral research admitted according to Section 8 (4) until completion. <sup>5</sup>Section 18 shall remain unaffected.

(3) <sup>1</sup>The following persons may be appointed as reviewers:

1. Full-time university lecturers at FAU,
2. Professors on leave or retired professors who were primary or secondary members of the faculty administering the doctoral degree,
3. Full-time university lecturers at another university permitted to award doctoral degrees,
4. Other university lecturers,
5. In exceptional cases, other persons with a doctoral degree entitled to act as an examiner according to Section 4 **HSchPrüferV**.

<sup>2</sup>The **FPromO** may stipulate that the appointment of persons according to sentence 1 (4) and (5) are subject to additional provisions and specify restrictions on the combination of reviewers.

## II. Admission to a Doctoral Degree

### Section 6 Admission Requirements

(1) <sup>1</sup>The candidate must present proof of a degree specified in the **FPromO**. <sup>2</sup>Additional subject-specific qualifications may be specified in the **FPromO**. <sup>3</sup>The **FPromO** also regulates if and to what extent the bodies responsible can make exceptions to the prerequisites specified in sentences 1 and 2. <sup>4</sup>If all other requirements stipulated in these doctoral regulations and the applicable **FPromO** are met, the respective bodies responsible may provisionally admit candidates with an outstanding undergraduate degree to a doctoral degree for a trial period provided the candidate can be proven to have considerable academic potential, for example from being involved in international doctoral degree programmes with an emphasis on excellence, or in collaborations focusing on research or training and personal development. <sup>5</sup>The **FPromO** may either stipulate further requirements for provisional admission or rule out the possibility of provisional admission entirely. <sup>6</sup>Before the doctoral procedure is commenced, the respective bodies responsible shall come to a binding decision concerning the admission of the candidate, taking sentences 1 to 3, the requirements stipulated in these doctoral regulations and the applicable **FPromO** into consideration.

(2) <sup>1</sup>To determine the equivalence of degrees awarded by foreign universities, the equivalence agreements passed by the Standing Conference of the Ministers of Education and Cultural Affairs and the German Rectors' Conference shall apply. <sup>2</sup>The Central Office for Foreign Education shall be consulted in matters of uncertainty. <sup>3</sup>In cases to which sentence 2 applies and other cases in which equivalence has not yet been finally determined but in which a positive response from the Central Office for Foreign Education or the respective bodies responsible is to be expected, admission may be granted before the final decision regarding equivalence is passed, subject to the proviso that the degree is recognised as equivalent. <sup>4</sup>If the degree is not recognised as equivalent, the provisional notice of admission shall be withdrawn and shall cease to apply.

## Section 7 Qualifying Examination

(1) <sup>1</sup>The **FPromO** stipulates under which circumstances candidates who have not obtained a required degree according to Section 6 (1) in conjunction with the **FPromO** or whose degree is not considered as equivalent according to Section 6 (1)(3) in conjunction with the **FPromO** may be admitted to a doctoral degree if they have passed a qualifying examination. <sup>2</sup>The **FPromO** may also stipulate that candidates with a degree in a different subject have to take a qualifying examination. <sup>3</sup>The **FPromO** shall specify the type and scope of the qualifying examination.

(2) <sup>1</sup>The application for admission to the qualifying examination shall be made in writing to the bodies responsible. <sup>2</sup>The documents listed in Section 8 (2) shall be submitted with the application. <sup>3</sup>The doctoral candidate shall declare in writing whether they have previously completed a qualifying examination in the same subject and the examination result. <sup>4</sup>The **FPromO** may specify that additional documents or declarations must be submitted.

(3) <sup>1</sup>The bodies responsible decide whether the candidate shall be admitted to the qualifying examination. <sup>2</sup>Admission shall not be permitted if the candidate does not meet the admission requirements according to paragraph 1 or the candidate has not submitted the documents and declarations in their entirety as required by paragraph 2.

(4) If the candidate withdraws from the qualifying examination after admission, the qualifying examination shall be considered as failed, unless the bodies responsible accept valid and credible reasons submitted immediately in writing by the candidate for extenuating circumstances.

(5) If the candidate fails the qualifying examination, the candidate may resit the examination once.

## Section 8 Admission to a doctoral degree

(1) <sup>1</sup>A written application for admission to a doctoral degree must be submitted to the bodies responsible after registering online. <sup>2</sup>Doctoral candidates can enrol at FAU following admission to a doctoral degree pursuant to Section 49 (3)(1) **BayHSchG**. <sup>3</sup>De-registration pursuant to Section 49(3)(2) **BayHSchG** shall not affect the decision to accept the doctoral candidate nor the doctoral procedure.

(2) <sup>1</sup>The application must include the following documents and declarations:

1. A CV in German with details of the candidate's educational background. The **FPromO** may permit submission of CVs in other languages;
2. Certificates of all previous university degrees and university entrance qualification
3. Academic records such as diploma supplements, transcripts of records and certificates as proof of successfully completed studies;
4. Confirmation from the supervisor including details of the subject area and the proposed thesis title;
5. Declaration that the candidate has not previously failed the doctoral examination for the pursued doctoral degree at the final attempt;
6. Declaration whether the candidate has already passed a doctoral examination for the pursued doctoral degree;
7. Declaration that the current versions of the guidelines for safeguarding good scientific practice from the German Research Foundation (DFG) and the FAU regulations for

safeguarding good scientific practice (**GSP regulations**) have been read and understood and that the respective provisions will be complied with during the procedure;

8. Declaration of whether the doctoral research has been commissioned for a fee and by whom. Commissioned doctoral research must be accompanied by confirmation from the supervisor that supervision was agreed in awareness of the commission and that no payments or non-cash benefits were offered or accepted for the commission.

<sup>2</sup>The submission of additional documents may be stipulated by the **FPromO**. <sup>3</sup>In the event that admission has already been granted provisionally, it is sufficient to submit the provisional offer of a place together with the missing or – in the case of any differences to the application for provisional admission – updated documents.

(3) If the candidate cannot submit the required documents according to paragraph 2, the bodies responsible may permit certification to be submitted in another form.

(4) <sup>1</sup>The bodies responsible shall admit the candidate to the doctoral degree if the admission requirements are fulfilled according to Section 6 or the candidate has passed the qualifying examination and there are no grounds for refusal. <sup>2</sup>Admission shall be refused if:

1. The subject area of the doctoral proposal is not represented at the faculty applied to,
2. The documents submitted according to paragraph 2 are incomplete and alternative certification according to paragraph 3 cannot be provided,
3. The candidate has failed a doctoral examination for the pursued doctoral degree at the final attempt,
4. The criteria for revoking a doctoral degree according to Section 69 (1) **BayHSchG** are met.

<sup>3</sup>Admission may be associated with conditions which shall be specified in the **FPromO**.

(5) Admission to a doctoral degree obtained for passing the qualifying examination is restricted to a specific subject.

(6) <sup>1</sup>If the doctoral proposal is withdrawn before initiation of the doctoral procedure according to Section 9, it will be considered as failed. <sup>2</sup>All those involved in this specific doctoral proposal shall be informed accordingly in the event of a withdrawal.

### III. The Doctoral Procedure

#### Section 9 Initiation of the Doctoral Procedure

(1) Initiation of the doctoral procedure is subject to prior admission according to Section 8 (4).

(2) <sup>1</sup>The application for initiation of the doctoral procedure must be submitted in person to the Office of Doctoral Affairs. <sup>2</sup>The following documents must be submitted with the application for initiation of the doctoral procedure:

1. Current CV according to Section 8 (2)(1)(1);
2. Agreement of the supervisor for initiation of the doctoral procedure;
3. Thesis pursuant to Section 10 in the number of hard copies stipulated by the bodies responsible, but at least one hard copy and one machine readable copy in the format prescribed by the bodies responsible;
4. Certificate of good conduct, no older than three months;

5. In the case of admission subject to conditions (according to Section 8 (4)(3)), proof of fulfilment of the conditions;
6. Complete and current list of all academic publications;
7. Declaration of whether the doctoral title should be awarded in the German masculine or feminine form.

<sup>3</sup>The candidate must confirm on submission of the application that the thesis and the academic achievements documented in it were produced independently and without unauthorised assistance and that the hard copy corresponds to the machine-readable version. <sup>4</sup>The following declarations shall also be submitted in writing:

1. The thesis has not been presented to another examining body, neither in full nor partially.
2. The doctoral examination for the pursued doctoral degree has not been failed before at the final attempt.
3. All sources and materials as well as portions of text that were cited from other works verbatim or in paraphrased form are designated as such.
4. The thesis may be stored electronically and used in order to verify citations. Digital aids, in particular plagiarism-detection software, may be used to check for plagiarism.
5. The candidate is aware that the doctoral title may only be used after the certificate is received and that the rights gained shall be revoked if the required copies are not submitted on time.

<sup>5</sup>The **FPromO** may specify that additional documents or declarations must be submitted.

(3) <sup>1</sup>The bodies responsible shall ensure that the doctoral procedure is conducted appropriately. <sup>2</sup>A decision must be reached on the candidate's application within one month. <sup>3</sup>The initiation of the doctoral procedure shall be refused if the required documents according to paragraph 2 are incomplete or if grounds for refusing admission according to Section 8 (4)(2) have become apparent.

(4) <sup>1</sup>The application for admission to initiation of the doctoral procedure may be withdrawn with due cause and with the permission of the bodies responsible, provided not all evaluations have been submitted. <sup>2</sup>In such cases, the thesis shall be considered as not submitted.

### **Section 10 Requirements for the Thesis**

(1) The written component of the doctoral degree generally comprises one independently written, academic monograph demonstrating the ability of the candidate to examine questions in scientific research in a methodologically sound manner, solve problems independently and present research in an appropriate form (thesis).

(2) <sup>1</sup>The thesis must not be identical to an earlier final paper or any published essay but may expand upon existing research. <sup>2</sup>Parts of the thesis may be pre-published, insofar as this is declared at the initiation of the doctoral procedure and noted in the thesis. <sup>3</sup>Section 6 (3)(2) **GSP regulations** shall apply accordingly. <sup>4</sup>In the event of a breach, the decision as to the consequences under examination law will lie with the appropriate bodies responsible. In particular, the thesis can be returned for revision. <sup>5</sup>Repeated or serious breaches may be classed as equivalent to plagiarism and the thesis rejected as a result, irrespective of the evaluations submitted. <sup>6</sup>Candidates shall be responsible for confirming that contractual agreements involving copyright do not prohibit publication during the doctoral procedure; the bodies responsible are entitled to request evidence that the candidate has performed this duty.

(3) <sup>1</sup>The **FPromO** shall regulate whether and under which conditions a series of essays which have previously been published in reputable scientific journals or accepted for publication (cumulative thesis) can be accepted in the place of a thesis or whether another form of written doctoral research can be submitted. <sup>2</sup>If co-authored contributions are included in a written thesis within the meaning of sentence 1, the candidate must clearly indicate which parts of the thesis constitute their own work. <sup>3</sup>The candidate shall provide written confirmation of their authorship as well as the authorship of co-authors.

(4) The form of the thesis title page is specified in the **Appendix**.

(5) <sup>1</sup>The thesis must be written in German unless agreed otherwise. <sup>2</sup>The thesis must include a table of contents, a German title and a comprehensive abstract in German. <sup>3</sup>Written confirmation is required from the supervisor for the thesis to be written in English. The thesis may be written in other languages with prior agreement from the bodies responsible, provided that the evaluation can also be conducted in this language. <sup>4</sup>A thesis written in a foreign language shall be provided with a table of contents, a title and an abstract written in the language admitted pursuant to sentence 3. In addition, the thesis must include a comprehensive abstract in German as well as a German translation of the title in the foreign language. <sup>5</sup>The thesis shall be bound and submitted in a form ready for publication with page numbers. <sup>6</sup>A complete bibliography and list of other resources must be submitted with the thesis.

### **Section 11 Evaluation, Acceptance and Rejection of the Thesis**

(1) <sup>1</sup>The bodies responsible shall appoint two reviewers according to Section 5 (3). <sup>2</sup>The bodies responsible shall dismiss reviewers if the requirements for appointment are not met or subsequently fail to be met. <sup>3</sup>The bodies responsible can also dismiss reviewers for cause. <sup>4</sup>The decision to dismiss a reviewer from the doctoral procedure shall be stated in writing, giving reasons for the decision and including information on legal remedies available. <sup>5</sup>The affected reviewer shall be given the opportunity to make a statement before the decision is finalised. <sup>6</sup>In the event that the reviewer is dismissed after submitting the evaluation, the bodies responsible shall decide whether the reason justifying dismissal renders the evaluation unusable and means that a replacement evaluation must be submitted by a newly appointed reviewer.

(2) <sup>1</sup>The reviewers shall each draft an independent written evaluation, grade it in accordance with the grade scale stipulated in the **FPromO** and recommend whether the thesis should, in their opinion, be accepted or rejected. If the evaluation is not worded clearly or does not come to a clear conclusion, the bodies responsible may ask the reviewer to re-write it. <sup>2</sup>The evaluations must be written independently; the bodies responsible may take action as stipulated in paragraph (1)(3) against any reviewers who fail to observe this requirement. <sup>3</sup>The evaluations should be presented within three months. <sup>4</sup>The **FPromO** can shorten the review deadline specified in sentence 3 and stipulate further conditions for the evaluations.

(3) <sup>1</sup>The bodies responsible can appoint an additional reviewer from the persons named in Section 5 (3), if the grades awarded in the first and second evaluation differ by more than one grade level. <sup>2</sup>The **FPromO** may include further provisions stipulating when further evaluation shall be deemed necessary.

(4) <sup>1</sup>If all reviewers suggest that the thesis should be accepted, the thesis shall be displayed publicly within the faculty with all evaluations and documents according to Section 9 (2). <sup>2</sup>All University lecturers who are full-time members of the faculty, all professors on leave and all retired professors who have been members of the faculty (eligible parties) are entitled to view the thesis on display; the **FPromO** may name other eligible parties. <sup>3</sup>The eligible parties must be notified that the thesis has been displayed and for how long it will be available, the minimum display period being two weeks. <sup>4</sup>The thesis may also be displayed electronically. In this instance, suitable measures shall be taken to protect the thesis and the other documents pursuant to sentence 1 from unauthorised access and transfer. <sup>5</sup>Within the display period, the eligible parties are entitled to submit a statement evaluating the thesis to the bodies responsible. The reasons for this statement must be given in writing within two weeks. <sup>6</sup>If a statement recommends rejection of a thesis according to sentence 5, the bodies responsible shall decide if the thesis is to be accepted, rejected, or handed back to the author for revision. <sup>7</sup>The bodies responsible can request an additional evaluation before making this decision. <sup>8</sup>If a statement of rejection is not received within the period specified in sentence 3, the thesis shall be considered as accepted and the procedure shall continue. <sup>9</sup>The bodies responsible may accept the thesis subject to conditions.

(5) <sup>1</sup>If all reviewers suggest that the thesis should be rejected, the bodies responsible shall decide whether the thesis is rejected or handed back to the author for revision. <sup>2</sup>If the bodies responsible decide to reject the thesis, the examination shall be considered as failed and the procedure is ended.

(6) <sup>1</sup>In any circumstances other than those described in paragraph 4(1) or paragraph 5(1), the bodies responsible decide based on the reviews whether the thesis is handed back to the author for revision, rejected, or whether the procedure of displaying the thesis according to paragraph 4(2) et seq. should continue; paragraph 4(8) shall not apply in this case. <sup>2</sup>The bodies responsible can request an additional evaluation before making this decision. <sup>3</sup>If the bodies responsible decide to reject the thesis, the examination shall be considered as failed and the procedure is ended.

(7) <sup>1</sup>If the thesis is returned to the author for revision, the candidate can submit their revised thesis within a period of one year. The revised thesis is generally evaluated by the same reviewers. <sup>2</sup>Further revisions of the thesis shall not be permitted. <sup>3</sup>If the thesis is not resubmitted by the deadline, the examination shall be considered as having been failed at the final attempt.

(8) The candidate can reapply for admission to the doctoral procedure with a thesis on a new subject once only within one year of the rejection of their thesis.

## **Section 12 Oral Examination**

(1) <sup>1</sup>If the thesis is accepted, the candidate is admitted to the oral examination. <sup>2</sup>The candidate must be admitted to the oral examination at least one week before the examination date. <sup>3</sup>The bodies responsible must appoint the members of the examining committee if not already specified in the **FPromO** and inform the candidate. <sup>4</sup>If an oral examination covers several subjects, an examiner shall be appointed for each subject.

(2) <sup>1</sup>The **FPromO** shall specify the type and scope of the oral examination. <sup>2</sup>The **FPromO** shall also regulate which part of the oral examination entitled parties of the Faculty

(Section 11(4)(2)) may attend as listeners, and may permit a wider audience.

(3) <sup>1</sup>A transcript of the examination must be produced containing the topic and the results of the oral examination, listed by subject if necessary. <sup>2</sup>If an oral examination is held using audiovisual telecommunication technology pursuant to Section 12a, this shall be referred to in the transcript.

(4) <sup>1</sup>The oral examination is passed when the candidate has achieved the grade 'rite' or 'sufficient' in every part of the oral examination. <sup>2</sup>The examination is failed if the candidate does not attend the examination on the examination date without due reason; the bodies responsible shall take this decision. <sup>3</sup>The reasons according to sentence 2 shall be explained in writing and shown credibly to the bodies responsible without delay. <sup>4</sup>If the reasons are accepted, a new date shall be set. <sup>5</sup>In case of an inability to sit the examination occurring before or during the examination, the examining committee shall be notified immediately. <sup>6</sup>In cases where the student is unable to sit an examination due to illness, the student shall be required to submit a doctor's certificate; a certificate from an official medical examiner may be requested.

(5) <sup>1</sup>After the oral examination, the chairperson of the examining committee informs the candidate of the grade achieved in the oral examination. <sup>2</sup>If the candidate fails the examination or the examination is considered as failed, the bodies responsible shall inform the candidate in writing to this effect and provide details of the further procedure and deadline for resitting the examination if this is permitted.

(6) <sup>1</sup>If a student has a physical disability which does not affect the performance being tested, the oral examination shall be adjusted to take into account the nature and extent of this physical disability provided a doctor's certificate or other suitable means of proof is provided. <sup>2</sup>The oral examination cannot be dispensed with, nor may the form of the examination be altered in such a way as to avoid the oral examination. <sup>3</sup>The decision concerning any suitable compensation for disadvantages shall be taken by the chairperson of the examining committee. <sup>4</sup>The decision shall be communicated to the candidate in good time before the oral examination.

### **Section 12a Use of Audiovisual Telecommunication Technology**

(1) <sup>1</sup>The **FPromO** may stipulate that the oral examination is to be conducted using audiovisual telecommunication technology in accordance with the following paragraphs if agreed beforehand with the candidate. <sup>2</sup>Agreement shall be obtained in good time before the oral examination and shall be granted in writing; this shall be included in the examination records.

(2) <sup>1</sup>No more than one member of the examining committee, with the exception of the chairperson may participate in the oral examination using audiovisual telecommunication technology; the candidate must attend in person. <sup>2</sup>The reasons for being unable to attend in person must be substantial and evidence must be provided to the chairperson of the examining committee if they are not self-evident. <sup>3</sup>The chairperson of the examining committee shall decide whether the submitted reasons are to be accepted or not, the essence of the decision shall be included in the examination records. <sup>4</sup>Before the oral examination commences, suitable measures shall be taken to confirm the identity of the member of the examining committee who cannot attend in person.

(3) <sup>1</sup>Suitable technical measures shall be implemented to ensure that the chosen transmission method will guarantee audiovisual communication between everyone involved in the oral examination without interruption. In particular, it must be ensured that the member who is present at another location can immediately and directly see and hear the candidate and all other participants and be able to follow how the examination is progressing at all times. <sup>2</sup>Transmission methods allowing a broadcast to a wider audience than that permitted in accordance with these **RPromO** or the **FPromO** are not allowed. <sup>3</sup>The transmission shall be protected against unauthorised access using suitable technical procedures.

(4) <sup>1</sup>Oral examinations in accordance with these regulations shall generally be held in the premises of FAU allocated for such purposes in order to ensure suitable infrastructure. <sup>2</sup>The member of the examining committee attending from another location shall attend the premises of another university or other academic institute offering infrastructure which is at least equivalent to that available at FAU for the duration of the oral examination. <sup>3</sup>The chairperson of the examining committee shall immediately raise an objection if the location which is chosen is not suitable for the occasion. If the situation can be remedied at short notice, the oral examination shall be interrupted, if not, the oral examination shall be continued with the substitute member pursuant to paragraph 5.

(5) <sup>1</sup>An additional member shall be appointed to the examining committee for oral examinations pursuant to this clause (substitute member). <sup>2</sup>This member shall attend the examination from the beginning, but is not entitled to participate actively in the oral examination unless and until the case stipulated in sentence 3 arises. <sup>3</sup>In the event that a connection cannot be made, the connection is terminated or interrupted for a considerable amount of time or the transmission is seriously interrupted for any other reason, the substitute member shall take the place of the originally intended member, assuming all rights and obligations, until the end of the examination after a decision to this effect is taken by the chairperson of the examining committee. <sup>4</sup>If the connection is reinstated, the original member is not authorised to resume participation in the oral examination.

(6) The oral examination may not be recorded, saved or reproduced using audio or video recordings or in any other manner.

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

(1) <sup>1</sup>If the candidate has failed the oral examination or the examination is considered as failed, the candidate can apply to resit the examination once only and one month after the examination at the earliest. <sup>2</sup>The resit examination must be taken within one year. <sup>3</sup>If the candidate has not achieved the grade 'rite' (sufficient) in only one subject in an examination with several subjects, only the failed subject shall be repeated in the resit. <sup>4</sup>The candidate can apply for the bodies responsible to reduce the resit period or extend the resit period if the candidate must resit the examination due to extenuating circumstances.

(2) <sup>1</sup>If the candidate fails the resit of the oral examination or the examination is considered as failed, the doctoral procedure is considered failed. <sup>2</sup>The oral examination shall not be repeated a second time.

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

(1) <sup>1</sup>The doctoral examinations are passed when the thesis has been accepted and the oral examination has been passed. <sup>2</sup>The overall grade of the doctoral degree is defined

by the bodies responsible from the grade scale in the **FPromO** taking the weighted individual grades and statements from entitled parties according to Section 11 (4)(5) into account.

(2) The bodies responsible may declare the doctoral examination failed if the candidate is involved in an act of deception or engages in significant misconduct during the oral examination.

(3) <sup>1</sup>The candidate shall be notified of the results of the doctoral procedure including all individual grades. <sup>2</sup>This notification does not entitle the candidate to assume a doctoral title.

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

(1) After passing the oral examination the candidate shall be obligated to have the version of the thesis as accepted by the bodies responsible printed or photocopied and distributed at their own expense and under observation of all conditions.

(2) The thesis must be marked as coming from FAU. The original title of the thesis shall be included at a suitable position if the thesis is published under a different title.

(3) <sup>1</sup>Before publication, the candidate must submit the final version of the thesis in machine-readable form and the manuscript to the supervisor. <sup>2</sup>The supervisor shall release the final version of the thesis for publication if all conditions in Section 11 (4)(9) are fulfilled.

(4) <sup>1</sup>The final, approved version of the thesis shall be submitted to the University Library in one of the following publication forms:

1. Six copies if the thesis is published as a complete book by a commercial publisher as a book with an ISBN number and the publisher confirms a minimum circulation of 150 copies if demand is sufficient, or
2. Six copies if the complete thesis is published by FAU University Press, in print or electronically, or
3. A machine-readable copy of the thesis in an electronic format specified by the University Library; if the thesis is submitted electronically, the candidate grants the University the right to copy, electronically transmit and convert the thesis into other formats within the scope of its official business.

<sup>2</sup>In the case of a cumulative thesis pursuant to Section 10 (3) in conjunction with the respective **FPromO**, the obligation to publish pursuant to sentence one does not apply to individual articles which have been accepted for publication and are currently in print and those which have already been published in electronic journals. <sup>3</sup>The **FPromO** may stipulate that texts have to be provided as a framework to the individual articles in a cumulative thesis, providing an introduction, outlining the connection between the publications and / or explaining how the results should be seen in the context of the subject. If this is the case, it is sufficient for such texts to be published with a reference to the individual articles which have been published. <sup>4</sup>**FPromO WW** may stipulate provisions deviating from sentences 1 to 3 for essay-based dissertations pursuant to Section 10 **FPromO WW**.

(5) <sup>1</sup>The version of the thesis accepted by the bodies responsible shall be published under observation of all conditions pursuant to paragraph 1 within one year of the oral examination being passed. <sup>2</sup>The deadline of one year may be extended once only to a maximum of one additional year in extenuating circumstances if the candidate submits a written request to the bodies responsible before the deadline is reached. The **FPromO** may permit further extensions of the deadline. <sup>3</sup>If the candidate fails to meet the deadline, all rights and privileges granted by passing the examination shall be withdrawn.

(6) <sup>1</sup>In the case of paragraph 4(3), the body responsible pursuant to the **FPromO** may also deem the requirements pursuant to paragraph 1 to have been met if there is a delay in the thesis being made available to the public due to a pending patent application or to publication in a scientific journal by the doctoral candidate. <sup>2</sup>The prerequisite is that the submission requirements stated in paragraph 4 are met entirely, the latest date of publication is clearly stated in the non-disclosure notice pursuant to paragraph 7 and the thesis can be published independently by the University Library.

(7) <sup>1</sup>Using a form issued by the University Library, the applicant and supervisor can apply to the body responsible pursuant to the **FPromO** for a non-disclosure period of up to one year and have it extended for a further year at a time in the same way. <sup>2</sup>The embargo can be extended for a longer period of time in exceptional cases if permitted under the relevant **FPromO**. Further information on which circumstances qualify and applicable deadlines are stipulated in the **FPromO**. <sup>3</sup>The notice of approval shall be submitted to the University Library together with the contract of publication.

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

(1) <sup>1</sup>The doctoral procedure is completed when all of the requirements are fulfilled and the candidate has been awarded a doctoral degree certificate. <sup>2</sup>The graduate may only assume the doctoral title after receiving the doctoral degree certificate.

(2) <sup>1</sup>The doctoral degree certificate confirms completion of the doctoral degree and includes the title of the thesis, the date of the oral examination and the overall grade. <sup>2</sup>The doctoral degree certificate shall be signed by the President of FAU and a member of the faculty of study specified in the **FPromO**. <sup>3</sup>The form and content of the certificate are specified in the **FPromO**.

(3) <sup>1</sup>The doctoral degree certificate may be issued provisionally with the agreement of the bodies responsible before meeting publication obligations pursuant to Section 15 (1) if Section 15 (4)(1) and (4)(2) apply and it is proven that the thesis will be published by a recognised academic publisher, the University Press or as part of a scientific collection or series. <sup>2</sup>The obligation to publish in accordance with the deadline according to Section 15 (5) shall remain unaffected.

## **IV. Honorary Doctoral Degrees**

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

(1) <sup>1</sup>The bodies responsible can award an honorary doctoral degree for worthy and extraordinary academic achievements. <sup>2</sup>The **FPromO** governs this topic in more detail.

(2) <sup>1</sup>The President of FAU, the dean of the faculty or the speaker of the school award honorary doctoral degrees to the recipients at an awards ceremony. <sup>2</sup>The honorary doctoral degree certificate shall bear the extraordinary academic achievements of the individual.

## **V. Cooperation with Universities of Applied Sciences and Art Schools**

### **Section 18 Cooperative Doctoral Degrees/Joint Doctoral Degrees**

(1) <sup>1</sup>Section 64 (1)(4) **BayHSchG** permits the bodies responsible to appoint professors from a university of applied sciences ('Fachhochschule') or art schools ('Kunsthochschule') as a reviewer or supervisor within the context of a cooperative doctoral degree. <sup>2</sup>Supervisors of doctoral research must be able to guarantee continuous academic supervision throughout.

(2) <sup>1</sup>Paragraph 1 shall apply accordingly for joint doctoral degrees. <sup>2</sup>Further details are stipulated in a cooperation agreement.

(3) All decisions and measures to be taken within the framework of the above-mentioned procedure must reflect the importance of FAU as the institution entitled to award the doctoral degree.

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

### **Section 19 General**

(1) <sup>1</sup>The doctoral degree can be jointly supervised in cooperation with an international university entitled to award a doctoral degree (partner institution). <sup>2</sup>This requires that:

1. An agreement has been concluded concerning joint international supervision of the doctoral research, including a stay of at least six months in the partner institution and
2. The candidate is admitted to a doctoral degree according to Section 8 and is qualified under the relevant regulations of the partner institution for admission to a doctoral degree.

(2) <sup>1</sup>The thesis can be submitted to FAU or the partner institution. <sup>2</sup>The thesis shall be graded according to the regulations of the institution which the thesis has been submitted to. <sup>3</sup>The partner institution shall award an equivalent grade as specified in their doctoral regulations.

(3) <sup>1</sup>In the event of a cooperation project involving several international institutions, several partner institutions may share responsibility for supervising and conducting the doctoral procedure, provided the prerequisites stipulated in paragraph 1 are met by all partner institutions. <sup>2</sup>Paragraph 2 and Sections 20 to 22 shall apply accordingly; in particular, the exact extent to which the individual institutions are involved in the procedure and the applicable provisions must be stipulated explicitly in the agreement pursuant to paragraph 1 (2). <sup>3</sup>All involved institutions shall be included in the examination procedure.

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

(1) <sup>1</sup>If the thesis is submitted to FAU, it shall be examined by a supervisor according to Section 5 (2) and a qualified member of the partner institution. <sup>2</sup>The full details of joint

supervision are specified in the agreement according to Section 19 (1)(2)(1). <sup>3</sup>The agreement pursuant to Section 19 (1)(2) can also stipulate provisions contrary to individual provisions in these general doctoral regulations in conjunction with the relevant **FPromO**. <sup>4</sup>The provisions of these general doctoral regulations may only be deviated from in this way if the bodies responsible have expressly agreed to the deviation.

(2) <sup>1</sup>If the thesis is accepted according to Section 11, the thesis shall be submitted to the partner institution for agreement on continuing the doctoral procedure. <sup>2</sup>If the partner institution accepts the thesis, the oral examination shall take place according to Section 12. <sup>3</sup>To this end the bodies responsible shall appoint to the examining committee at least one examiner qualified according to the regulations of the partner institution.

(3) If the thesis is accepted at FAU but rejected by the partner institution, the cooperation shall end and the doctoral procedure shall continue according to these regulations.

(4) Publication of the thesis and submission of the mandatory copies of the thesis are governed by Section 15 and specific agreements made according to Section 19 (1)(2)(1).

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

(1) <sup>1</sup>If the thesis is submitted to the partner institution, it shall be supervised by a qualified member of the partner institution and a supervisor according to Section 5 (2). <sup>2</sup>The doctoral regulations of the partner institution shall apply to this procedure. <sup>3</sup>The full details of joint supervision are specified in the agreement according to Section 19 (1)(2)(1).

(2) <sup>1</sup>If the thesis is accepted by the partner institution, it shall be submitted to the bodies responsible at the FAU faculty in order to agree on the continuation of the procedure. <sup>2</sup>If the bodies responsible agree to continue, the oral examination shall take place at the partner institution according to their doctoral regulations. <sup>3</sup>The agreement according to Section 19 (1)(2)(1) must stipulate that the supervisor from FAU must belong to the examining committee for the oral examination. <sup>4</sup>In certain exceptional cases, the provision in sentence 3 can be waived by stating that another person eligible to be an examiner pursuant to the provisions of the respective **FPromO** can be appointed an examiner instead of the supervisor.

(3) <sup>1</sup>If the thesis is accepted by the partner institution but rejected by the bodies responsible at FAU, the cooperation shall end. <sup>2</sup>The doctoral procedure may continue according to the doctoral regulations of the partner institution.

(4) <sup>1</sup>Publication of the thesis and submission of the mandatory copies are subject to the doctoral regulations of the partner institution. <sup>2</sup>The agreement according to Section 19 (1)(2)(1) specifies how many mandatory copies shall be submitted to FAU. <sup>3</sup>At least one copy of the thesis must be included with the examination records. <sup>4</sup>The faculty reserves the right to only issue the doctoral degree certificate according to Section 22 once this copy has been presented.

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

(1) <sup>1</sup>After the joint doctoral procedure, the awarding faculty at FAU and the partner institution will issue a joint doctoral degree certificate certifying that the doctoral degree was awarded under joint supervision. <sup>2</sup>The joint doctoral degree certificate shall bear the sig-

natures and seals as specified in these doctoral regulations and the equivalent regulations of the partner institution.

(2) Individual certificates may be awarded by the awarding faculty at FAU and the partner institution instead of a joint certificate, providing that the individual certificates state that they are part of a joint doctoral degree certificate.

(3) The joint doctoral degree certificate shall state that the graduate is entitled to assume the doctoral title according to Section 3 (1) in Germany and assume the equivalent doctoral title in the foreign country.

(4) <sup>1</sup>Further details on the format of the certificate are regulated by the agreement according to Section 19 (1)(2)(1). <sup>2</sup>Equivalent grades are also defined in this agreement. <sup>3</sup>The equivalent foreign grade shall be noted and indicated clearly on the joint doctoral degree certificate.

## VII. Invalidity and Revocation of Doctoral Degrees

### Section 23 Invalidity of Doctoral Examinations

(1) If it becomes apparent that the candidate gave incorrect or incomplete information and therefore did not fulfil the admission requirements for a doctoral degree or that the candidate had unauthorised assistance, was involved in an act of deception or committed significant misconduct with respect to academic standards, the Faculty Council (Section 4(1)(2)) can declare the examination as having been failed and the doctoral degree invalid.

(2) <sup>1</sup>If after the doctoral procedure is completed there is due reason to suspect scientific misconduct pursuant to (1) or Section 8 of the **GSP regulations**, the bodies responsible pursuant to Section 4 (1)(1) will immediately call for an investigation as set forth in Section 14 **GSP regulations** (ombudsman proceedings). <sup>2</sup>The bodies responsible pursuant to Section 4 (1)(1) and the Executive Board of the University shall be informed of the status of the proceedings (ombudsman proceedings, initial analysis, formal investigation pursuant to Sections 14, 15, 16 **GSP regulations**) and of the final outcome.

(3) <sup>1</sup>If the Committee for the Investigation of Scientific Misconduct considers that scientific misconduct has been proven, the President shall forward the report including all recommendations (Section 16 (5)(1) and (2) **GSP regulations**) to the bodies responsible pursuant to Section 4 (1)(1). The date the report is received shall be recorded. <sup>2</sup>The bodies responsible pursuant to Section 4 (1)(1) shall give the Faculty Council a recommendation for which decision to take. <sup>3</sup>They are entitled to take suitable measures, in particular obtaining further evaluations from university lecturers experienced in supervising doctoral research in a relevant subject. <sup>4</sup>These evaluations must include a recommendation for which decision should be taken. <sup>5</sup>The reviewer is entitled to inspect examination records. <sup>6</sup>Before starting their evaluation, reviewers shall declare that they will act with all due professional care and diligence, unless they have already submitted a declaration to this effect as an office holder or public servant.

(4) <sup>1</sup>After being requested to do so or after the bodies responsible pursuant to Section 4 (1)(1) have completed investigations and are ready for a final decision to be made, the

Faculty Council shall generally make a decision pursuant to paragraph 1 within a period of three months. <sup>2</sup>The Faculty Council is not bound to previous recommendations; paragraph 3 sentences 3 to 6 shall apply accordingly. <sup>3</sup>The Committee for the Investigation of Scientific Misconduct shall be informed of the result.

(5) <sup>1</sup>In exceptional cases, for example in the event of obvious breaches of recognised principles of good scientific practice or in cases in which the person concerned admits to the allegations, at the suggestion of the bodies responsible pursuant to Section 4 (1)(1) and with the approval of the President, the Faculty Council can make a decision pursuant to paragraph 1 without waiting for the results from other people or committees involved in the investigation. <sup>2</sup>In this instance, the Faculty Council shall obtain at least one evaluation from a University lecturer who is not a member of FAU. This requirement can only be waived if approved by the President. <sup>3</sup>The Committee for the Investigation of Scientific Misconduct shall be informed of the choice of procedure according to this paragraph and the results of the investigation.

(6) <sup>1</sup>The person concerned shall be notified in good time and given the opportunity to make a statement before a decision is taken pursuant to paragraph 1. <sup>2</sup>Before making the statement, he or she shall be given appropriate access to any evaluations which have been submitted. <sup>3</sup>Before a decision is taken, the chairperson of the bodies responsible pursuant to Section 4 (1)(1) shall be given the opportunity to make a statement before the Faculty Council and on the evaluations. <sup>4</sup>The chairperson of the Committee for the Investigation of Scientific Misconduct or individual members appointed by the Committee shall attend the meetings of the Faculty Council required under this provision in an advisory capacity.

(7) The President shall be responsible for informing the public about the investigation and the result and for answering any queries, in consultation with the respective Faculty, whilst complying with valid data protection provisions.

(8) If the decision pursuant to paragraph 1 means that the examination has not been passed and the awarded doctoral degree is declared invalid, any doctoral degree certificate which has been awarded shall be returned immediately.

(9) <sup>1</sup>The decision to revoke the doctoral degree shall be made within one year of the report from the Committee for the Investigation of Scientific Misconduct being submitted to the bodies responsible pursuant to Section 4 (1)(1) as set forth in paragraph 3(1). <sup>2</sup>This shall not apply if new facts or evidence arise at a later date which would justify a significantly different decision being taken if considered alone or in combination with the evidence collected earlier or if so required by the gravity of the breach or the complexity of the procedure, whilst taking the legitimate interests of the person concerned into consideration. <sup>3</sup>The Faculty Council in consultation with the Executive Board of the University shall be responsible for deciding the legal consequences or making a decision to re-open the procedure or return the procedure to a previous status pursuant to these provisions.

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

The revocation of doctoral degrees shall be governed by Section 69 **BayHSchG**.

## VIII. Concluding Provisions

### Section 25 Legal Validity and Transitory Provisions

(1) <sup>1</sup>These General Doctoral Regulations shall come into effect the day after their publication. <sup>2</sup>The regulations shall be applied according to paragraph 2 as soon as the relevant Faculty Doctoral Regulations come into effect.

(2) <sup>1</sup>These doctoral regulations shall be valid according to paragraph 1 in conjunction with the relevant **FPromO** for all doctoral proposals submitted according to Section 8 (1) after these **RPromO** have come into effect. <sup>2</sup>The **FPromO** regulates under which conditions the existing doctoral regulations shall be applied to doctoral proposals which have already been submitted or if these proposals shall be subject to the new doctoral regulations. <sup>3</sup>If the new General Doctoral Regulations and Faculty Doctoral Regulations cause unintended hardship, the bodies responsible can apply the existing doctoral regulations on request.

(3) Any changes to these General Doctoral Regulations require agreement from the Faculty Council of all Faculties.

(4) The General Doctoral Regulations and the Faculty Doctoral Regulations should be reviewed at appropriate intervals in light of actual experiences, subject-specific developments and academic standards and be revised according to any changes in legislation.

(5) <sup>1</sup>The third amendment statute shall come into effect on the day after its publication. <sup>2</sup>It shall apply to all doctoral proposals for which an application for admission is submitted pursuant to Section 8 (1) after the third amendment comes into effect. <sup>3</sup>Candidates whose doctoral procedures have already been admitted but have not yet been initiated by the date the third amendment comes into effect may complete the doctoral procedure according to the previously valid version of the **RPromO** from 10 October 2017 if they inform the respective Office of Doctoral Affairs in writing by 30 June 2019 at the latest. <sup>4</sup>Sentences 2 and 3 notwithstanding, the possibility to publish stipulated in the previous Section 15 (4) no. 1 (20 complete copies, printed or photocopied) for essay-based theses pursuant to Section 10 (3) in conjunction with Section 10 **FPromO WW** shall continue to apply until **FPromO WW** is amended within the meaning of Section 15 (4) sentence 4 (new), subject to the proviso that 10 copies have to be submitted. <sup>5</sup>The continued validity pursuant to sentence 4 shall apply until 31 December 2021 at the latest.

(6) <sup>1</sup>The fourth amendment statute shall come into effect on the day after its publication. <sup>2</sup>It shall apply to all doctoral proposals for which an application for admission is submitted pursuant to Section 8 after the fourth amendment comes into effect. <sup>3</sup>Candidates whose doctoral procedures have already been admitted but have not yet been initiated by the date the fourth amendment comes into effect may complete the doctoral procedure according to the previously valid version of the **RPromO** from 20 February 2019 if they inform the respective Office of Doctoral Affairs in writing by 30 September 2020 at the latest.

## Appendix

### Template for Thesis Title Page

1st page

Thesis topic  
X Faculty / X School  
at Friedrich-Alexander-Universität Erlangen-Nürnberg  
for  
the doctoral degree Dr. ...  
submitted by  
(candidate's full name)  
born in (place of birth)

2nd page

Thesis topic accepted by ...  
(Faculty)/(School)  
at Friedrich-Alexander-Universität Erlangen-Nürnberg  
Oral examination date:

Chair of examining committee: Prof. Dr.

Reviewer: Prof. Dr. \*  
Prof. Dr. \*

\*Only for the published version