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## **Faculty Doctoral Regulations for the Faculty of Sciences of Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU) (FPromO Nat)**

21 January 2013

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## **I. General Conditions**

### **§ 1 Scope**

<sup>1</sup>These doctoral regulations (FPromO Nat) supplement the General Doctoral Regulations of Friedrich-Alexander-Universität Erlangen-Nürnberg (RPromO) and are thus structured in a similar manner. <sup>2</sup>Therefore some sections do not contain further provisions.

### **§ 2 Doctoral Degrees**

### **§ 3 Doctoral Titles**

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

(1) The bodies responsible are the Doctoral Affairs Committee and the Examining Committee.

(2) <sup>1</sup>The members of the Doctoral Affairs Committee of the Faculty of Sciences are appointed by the Faculty Council for a duration of four years. <sup>2</sup>The Doctoral Affairs Committee consists of five professors from the Faculty of Sciences who each represent one of the existing departments and a professor appointed by the Faculty of Medicine for supervising theses in molecular medicine. <sup>3</sup>A representative is appointed for each member of the committee.

(3) The Doctoral Affairs Committee shall appoint a chairperson and a representative from its members of the Faculty of Sciences for a duration of two years.

(4) <sup>1</sup>The Examining Committee are appointed by the chairperson of the Doctoral Affairs Committee. <sup>2</sup>The Examining Committee consists of a professor from the Faculty of Sciences as a chairperson (chair of examinations), one or both reviewers and a further authorised examiner from the Faculty of Sciences or in exceptional cases another FAU faculty who agrees to be appointed according to the suggestion of the supervisor from the Faculty Council. <sup>3</sup>In individual cases, a professor may be appointed to the Examining Committee from another university, if they specialise in the subject. In these cases, the committee member shall be appointed as an examiner by the chairperson of the Examining Committee. <sup>4</sup>The thesis and the evaluations shall be submitted to the additional member of the Examining Committee for their information. <sup>5</sup>The chairperson shall not be permitted to act as a reviewer in the same procedure. <sup>6</sup>If the committee is not complete due to the absence of the authorised examiners in Clause 2, the Dean can appoint another examiner under exceptional circumstances at the request of the candidate. The Dean may also appoint an external examiner. <sup>7</sup>The candidate has the right to propose members for the Examining Committee.

(5) Further provisions govern how these rules are carried out.

<sup>2</sup>These further provisions shall be established by the departments of the Faculty of Sciences by mutual agreement.

## **§ 5 Reviewers and Supervisors**

(1) <sup>1</sup>The thesis shall generally be supervised by a member of FAU's Faculty of Sciences. <sup>2</sup>Professors and university lecturers from the Faculty of Sciences are entitled to become supervisors. <sup>3</sup>The Doctoral Affairs Committee can also appoint professors who regularly hold courses in a science-related subdiscipline of the molecular medicine degree programme.

(2) <sup>1</sup>In exceptional cases which must be approved by the Doctoral Affairs Committee, a university lecturer from another FAU faculty can be appointed as a supervisor if they were involved in planning the doctoral thesis. <sup>2</sup>The supervisor shall have the same rights throughout the doctorate procedure as the group of individuals specified in (1).

(3) In general, the supervisor of the doctoral proposal is also appointed as a reviewer.

(4) At least one reviewer must be a professor and another reviewer must be a full-time member of the Faculty of Science of the University of Erlangen-Nürnberg.

## **II. Admission to a Doctorate**

### **§ 6 Admission Requirements**

To be admitted to a doctorate, the candidate must present proof of one of the following examinations:

1. Diplom examination or Master's examination in a degree programme related to natural sciences
2. Second part of the Pharmaceutical Examination (Zweiter Prüfungsabschnitt der Pharmazeutischen Prüfung)
3. First State Examination for state-certified food chemists (Erste Staatsprüfung für staatlich geprüfte Lebensmittelchemiker)
4. First State Examination for teaching secondary education with natural sciences (erste Staatsprüfung für das Lehramt an Gymnasien mit einem naturwissenschaftlichen Fach)
5. Master's examination in natural sciences at a university of applied sciences
6. Diplom examination or Master's examination in molecular medicine according to the examination regulations for molecular medicine at FAU in its most current version.

### **§ 7 Doctoral Qualification Examination**

(1) The following candidates shall be admitted to the doctoral qualification examination on application:

1. Candidates with a pass in the first State Examination for teaching primary and secondary education (in Grundschule, Hauptschule and Realschule) with a total of 95 ECTS credits in the relevant subject knowledge (*Fachwissenschaft*) including the transfer of existing subject knowledge modules.
2. Candidates with a university Bachelor's degree or a Diplom examination at a university of applied sciences in a relevant degree programme with the overall assessment of 'mit Auszeichnung bestanden' or 'sehr gut bestanden' and at least two semesters of postgraduate study (Diplom Hauptstudium) or a Master's degree in a relevant subject at FAU and
  - a) if candidates have studied courses from the Master's degree programme they must have obtained 60 ECTS credits from the core areas (core mod-

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- ules, compulsory modules, elective compulsive modules, elective modules) in a relevant degree programme.
- b) If candidates have studied courses from the Diplom *Hauptstudium* degree programme the candidate must have passed courses equivalent to the relevant Master's degree programmes.

(2) <sup>1</sup>The Dean shall take the decisions regarding the doctoral qualification examination if there are no other relevant provisions. <sup>2</sup>In consultation with the relevant department, the Dean shall appoint the examiners and the chairperson of the Examining Committee from the authorised persons according to 0. <sup>3</sup>The Examining Committee shall be selected to represent a broad range of subject expertise according to (3). <sup>4</sup>The candidate shall be notified of the oral examination at least one week in advance.

(3) <sup>1</sup>The doctoral qualification examination consists of an oral examination lasting 60 minutes in front of a committee of three examiners. <sup>2</sup>The candidate must demonstrate in the oral examination that they have sufficient knowledge and skills in the subject of the pursued doctoral degree. <sup>3</sup>The examination is based on the contents of the core modules, elective modules, elective compulsive modules and compulsory modules of the Master's degree programme.

(4) <sup>1</sup>The candidate's performance in the doctoral qualification examination shall be graded as 'bestanden' or 'nicht bestanden'. <sup>2</sup>The doctoral qualification examination is failed if the examiner grades the candidate's performance with 'nicht bestanden'.

## **§ 8 Admission to a Doctorate**

### **III. The Doctorate Procedure**

## **§ 9 Initiation of the Doctorate Procedure**

## **§ 10 Thesis Requirements**

(1) The thesis must contain new scientific research.

(2) <sup>1</sup>The Doctoral Affairs Committee can admit complete or partially published research as a thesis if it has particular scientific significance. <sup>2</sup>If a thesis which has already been published is accepted, the candidate can provide the appropriate number of published copies instead of the copies ready for publication. <sup>3</sup>Section 10 (3)(3) shall apply accordingly.

(3) <sup>1</sup>If the supervisor agrees, the candidate may submit a collection of articles which have already been published in recognised scientific journals or articles which have been accepted for publication (cumulative dissertation). <sup>2</sup>The candidate must be the sole or leading author of at least one of the publications. <sup>3</sup>If publications are co-authored, the candidate must clearly indicate which parts of the thesis constitute their own work. The candidate and co-authors shall provide written confirmation of the authorship of individual contributions. <sup>5</sup>Cumulative theses shall include a summary of approximately 25 pages which illustrates the contextual links between the published articles and relates their content to broader knowledge of the subject.

## **§ 11 Evaluation, Acceptance and Refusal of the Thesis**

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(1) <sup>1</sup>Each of the reviewers makes a recommendation to the Doctoral Affairs Committee of whether the thesis should be accepted or refused. <sup>2</sup>If the thesis is accepted, the reviewers shall propose one of the following grades:

- 1 = 'sehr gut' for an outstanding achievement
- 2 = 'gut' for a commendable achievement
- 3 = 'genügend' for an acceptable achievement.

<sup>3</sup>Grade '1' may be awarded with the assessment 'ausgezeichnet' for exceptional achievements;

in this case, a third evaluation is required and at least one of the three reviewers must be an external reviewer. The relevant department has the right to propose external reviewers. <sup>4</sup>Evaluations shall usually be presented within four weeks. <sup>5</sup>The overall thesis grade is based on the arithmetic average of the evaluations. <sup>6</sup>The average will be calculated from the individual grades up to two decimal places. <sup>7</sup>If the thesis is graded with grade 1 'ausgezeichnet' by all reviewers, the overall grade for the thesis shall be grade 1 'ausgezeichnet'.

(2) As soon as the evaluations have been submitted, the thesis and all documents shall be inspected by the authorised examiners of the subject by way of circulation or displayed in the relevant department with the notification of the display period of four weeks.

## **§ 12 Oral Examinations**

(1) <sup>1</sup>If the thesis is accepted, an approximately 90-minute oral examination shall be held of which the chairperson of the Doctoral Affairs Committee shall notify the candidate and name the members of the Examining Committee at least eight days beforehand. <sup>2</sup>The notification deadline for the oral examination may be shortened with the candidate's agreement. <sup>3</sup>The oral examination is open to the public.

(2) <sup>1</sup>The oral examination includes a public presentation and a discussion of the subject of the thesis as well as a generally non-public Rigorosum as academic proof that the candidate is proficient in the subject matter of the thesis, subjects closely related to the thesis and modern developments in the subject. <sup>2</sup>The presentation shall last for no longer than 30 minutes, followed by approximately 15 minutes of discussion. The Rigorosum lasts for 45 minutes. <sup>3</sup>The candidate can apply to the chairperson of the Examining Committee for the oral examination to be conducted in English. <sup>4</sup>Members of the Faculty of Sciences who are authorised to examine doctoral degrees may take part in the non-public part of the examination. <sup>5</sup>If the candidate and the Examining Committee are in agreement, the Rigorosum may also be held in public.

(3) <sup>1</sup>The oral examination is led by the chairperson of the Examining Committee. <sup>2</sup>During the presentation, all present may ask questions; only the members of the Examining Committee may ask questions during the Rigorosum. <sup>3</sup>The chairperson can declare questions as inadmissible.

(4) <sup>1</sup>A member of the Examining Committee shall be appointed by the chair of examinations to submit a report on the proceedings of the oral examination. <sup>2</sup>The report shall contain details of the following:

1. The date and duration of the oral examination
2. The name of the chair and the examiners
3. The name of the candidate
4. The subject of the examination
5. The individual grades and the overall grade of the oral examination

<sup>3</sup>The report must be signed by the chairperson and the examiners.

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(5) <sup>1</sup>The oral examination shall be graded 1 (sehr gut), 2 (gut), 3 (genügend) or 4 (ungenügend) individually by each member of the Examining Committee. <sup>2</sup>The overall grade of the oral examination is calculated from the arithmetic average of the individual grades to one decimal place. <sup>3</sup>The examiners may award Grade 1 with the assessment 'ausgezeichnet' for truly outstanding achievements. <sup>4</sup>The public shall not be permitted to attend the determination of the examination result or the announcement of the examination result to the candidate.

(6) The oral examination is not passed if:

1. The arithmetic average is less than 3.0 according to (5)(2)
2. At least two examiners from the Examining Committee have graded the candidates performance as 'ungenügend'.

### **§ 13 Resitting the Oral Examination**

### **§ 14 Results of the Doctorate Procedure, Notification**

<sup>1</sup>The grade of the thesis shall be specified by the Doctoral Affairs Committee according to 0. The grade for the oral examination will be determined after the examination by the Examining Committee according to Section 12. <sup>2</sup>The overall grade of the doctoral degree shall be determined by the Examining Committee. <sup>3</sup>The overall grade is calculated from the arithmetic average based on the grades of the thesis (multiplied by six) and the arithmetic average of the individual grades of the oral examination (multiplied by four). <sup>4</sup>Section 11 (2)(6) shall apply accordingly. <sup>5</sup>The assessment of the doctoral degree is as follows:

'magna cum laude' (sehr gut) from 1.00 to 1.50

'cum laude' (gut) from 1.51 to 2.50

'rite' (genügend) from 2.51 to 3.00.

<sup>6</sup>If all of the individual grades from the thesis and the oral examination are 1 = 'ausgezeichnet', the assessment of the doctoral degree is 'summa cum laude' (ausgezeichnet).

### **§ 15**

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

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

<sup>1</sup>The doctoral degree certificate shall be issued in German and confirms successful completion of a doctoral degree with the thesis title and the grades for both the thesis and the oral examination. <sup>2</sup>The assessment shall also be displayed on the certificate according to 0. <sup>3</sup>The doctoral degree certificate shall be signed by the chairperson of the Examining Committee of the Faculty of Sciences.

## **IV. Honorary Doctoral Degrees**

### **§ 17 Honorary Doctoral Degrees**

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(1) Honorary doctoral degrees may only be awarded based on a justified application from at least three professors of the Faculty of Sciences.

(2) <sup>1</sup>The Doctoral Affairs Committee appoints an individual on the suggestion of the Faculty Council from the persons named in Section 5 (2) RPromo for assessing the academic achievements of the nominee. (3) The Doctoral Affairs Committee shall also commission an independent assessment of the nominee's academic achievements from an external advisor. <sup>3</sup>The authorised examiners of the Faculty of Sciences shall be notified of the nomination and the assessment by way of circulation. <sup>4</sup>The authorised examiners may make a written statement within one month.

(3) <sup>1</sup>The Doctoral Affairs Committee takes the final decision on the nomination in consideration of any objections. <sup>2</sup>The nomination will be accepted if a majority is reached.

## **V. Interuniversity Co-operation**

### **§ 18 Interuniversity Co-operation**

## **VI. Doctoral Degrees in Co-operation with Foreign Universities**

### **§ 19 General Information**

### **§ 20 Examinations Procedure at FAU**

### **§ 21 Examinations Procedure at the Partner Institution**

### **§ 22 Joint Doctoral Degree Certificate**

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

### **§ 23 Invalidation of Doctoral Examinations**

### **§ 24 Revocation of Doctoral Degrees**

## **VIII. Concluding Provisions**

### **§ 25 Legal Validity and Transitory Provisions**

<sup>1</sup>These regulations shall come into effect on the day after their publication. <sup>2</sup>After the RPromO and FPromO come into effect, all of the doctorate procedures which have already been initiated shall be governed by the existing doctoral regulations from 15 August 2009. All doctorate procedures which have been admitted but not initiated shall be governed by the new doctoral regulations.

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Erlangen, 21 January 2013

Prof. Dr. Karl-Dieter Gröske  
President

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