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§ 1 Scope

1 These Faculty Doctoral Regulations (FPromO Phil) supplement the General Doctoral Regulations of Friedrich-Alexander-Universität Erlangen-Nürnberg (RPromO) for the Faculty of Humanities, Social Sciences, and Theology excluding the School of Theology and are thus structured in a similar manner. 2 The Faculty Doctoral Regulations are stipulated in the relevant sections, insofar as they shall apply.

§ 2 Doctoral Degrees

§ 3 Doctoral Titles

§ 4 Bodies Responsible and Procedural Regulations

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

(2) 1 A Doctoral Affairs Committee shall be established for administering the Dr. phil. doctoral degree programme. 2 The Doctoral Affairs Committee shall consist of six individuals who sufficiently represent the breadth of subjects at the Faculty.

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

(4) 1 An alternate member shall be elected for every member of the Doctoral Affairs Committee. 2 Section 2 shall apply accordingly.

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

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

(7) 1 The Examining Committee elects a chairperson and a deputy chairperson from the members of the committee, who shall both be appointed for a term of one year. 2 Re-appointment shall be permitted.
(8) The Doctoral Affairs Committee is responsible for administering the doctorate procedure and ensures that the doctoral regulations are followed. It reports its actions and recommends any changes to the doctoral regulations to the bodies responsible.

(9) The chairperson may transfer tasks within his or her responsibility to a member of the Doctoral Affairs Committee. Furthermore, unless the doctoral regulations state otherwise, the Doctoral Affairs Committee shall have the right to revocably charge the chairperson with carrying out individual tasks.

(10) The chairperson of the Doctoral Affairs Committee shall appoint an Examining Committee for every doctorate procedure. The Dean shall be informed of every doctorate procedure and have the right to participate in the oral examination. The Examining Committee shall consist of the reviewers appointed for assessing the thesis and an additional representative from a non-related subject for the oral examination. If an external reviewer appointed in the doctorate procedure cannot attend the oral examination, they may be replaced with a person eligible to be an examiner at FAU according to Section 5, RPromO. The chairperson of the Doctoral Affairs Committee shall appoint a chairperson from the members of the Examining Committee.

§ 5 Reviewers and Supervisors

(1) The supervisors of a doctorate procedure are generally also reviewers and must represent a subject at FAU for which the doctoral title Dr. phil can be awarded.

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

If a junior professor is appointed as a reviewer before the intermediary evaluation, a further reviewer shall be appointed according to (2).

II. Admission to a Doctorate

§ 6 Admission Requirements

(1) The admission requirements for the doctorate procedure are as follows:

1. A completed Magister, Master's, or Diplom degree from a German University or an equivalent German higher education institution, or the first State Examination for teaching, or a degree completed with a Master's examination from a German University of Applied Sciences. The Magister, Master's, Diplom or admissions thesis for the State Examination must have received at least the grade 'gut'. The Doctoral Affairs Committee may permit exceptions in justified cases. The subject of the doctoral degree must be included in the final examination, (partial) degree programme or have been studied in an additional academic degree programme of at least six semesters. If a teaching methodology (Fachdidaktik) is chosen as a doctoral degree subject, the candidate must provide evidence of completed studies in a teaching subject of the associated subject knowledge (Fachwissenschaft) at the 'nicht vertieft' level of a teaching degree programme (Lehramtsstudium). Additional proof of subject knowledge may be acceptable as an alternative admission requirement. The acceptance and relevance of further study shall be decided upon by the Doctoral Affairs Committee in consultation with the appropriate subject representatives.
2. Proof of language proficiency according to (2) through (5).

(2) If proficiency is required in a foreign language for the successful academic treatment of the subject of the thesis, the candidate must provide proof of proficiency in this language.

(3) The following courses require proficiency in Latin: Ancient History, Medieval History, Modern and Contemporary History, Bavarian and Franconian Regional History, Eastern European History, Area Studies and Social Anthropology, Classical Archaeology, Greek, Latin, Medieval and Modern Latin, Indo-European Studies, Germanic and German Philology.

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

(5) Language proficiency can be certified by at least five consecutive years of schooling in a foreign language if at least the grade ‘ausreichend’ was achieved in the final report. Proficiency according to (5)(1) or the Graecum (Ancient Greek Qualification Examination), or an equivalent FAU examination shall be considered as sufficient proof of Latin and Ancient Greek proficiency. The ‘Elementare Fremdsprachenprüfung (UNICERT II)’ of the FAU Language Centre or an equivalent qualification shall be accepted as proof of proficiency in other foreign languages. Proficiency in German as a foreign language shall be demonstrated by the examination conducted by FAU’s Language Centre. The chairperson of the Doctoral Affairs Committee shall decide on the equivalence of other qualifications.

§ 7 Doctoral Qualification Examination

(1) Candidates who have obtained a different Diplom or Master’s degree than specified in 6 (1)(1) may request to be admitted to the doctoral qualification examination.

(2) The doctoral qualification examination consists of:

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

The aim of the doctoral qualification examination is to determine the candidate’s ability to work academically in the subject of the pursued doctoral degree. In the written assignment, the candidate should particularly demonstrate their ability to solve an academic problem in the subject of the pursued doctoral degree within a specific deadline according to academic methodology. The written assignment must be accepted for the candidate to be admitted to the oral examination.

(3) The topic of the written assignment shall be determined in consultation with the candidate by an authorised examiner from the subject of the pursued doctoral degree according to Section 5 (2), RPromO. The chairperson of the Doctoral Affairs Committee shall assign the candidate the topic of the written assignment and determine the deadline. The topic and the formulation of the task must have a scope that allows the candidate to complete the assignment within four months. In individual cases with justifiable cause, the deadline may be extended by a maximum of two months. The written assignment shall be assessed by two reviewers appointed by the chairperson of the Doctoral Affairs Committee from the persons named in Section 5 (3), RPromO, who may grade the assignment as ‘angenommen’ (accepted) or ‘abgelehnt’ (refused). The assignment is accepted or refused if both reviewers reach a consensus. If one of the re-
viewers rejects the written assignment, the Doctoral Affairs Committee decides on whether to accept or refuse the assignment and may request a further evaluation if necessary. 6The written assignment shall count as refused if it is not submitted by the candidate before the deadline. 7If the written assignment is refused or counts as refused, the doctoral qualification examination shall be failed.

(4) 1If the written assignment is accepted, the candidate has six months to sit the oral examination. 2The candidate shall be admitted to the oral examination one week in advance. 3The oral examination shall be conducted by two examiners and last for approximately 30 minutes. 4The chairperson of the Doctoral Affairs Committee shall determine the date for the oral examination and appoint the examiners from the group of persons specified in Section 5 (3), RPromO, and appoint one of the examiners as a chairperson. 5The Examining Committee shall determine whether the achievements of the candidate are sufficient. 6If the achievements of the candidate are not considered sufficient, the doctoral qualification examination shall be failed and may be repeated according to Section 7 (5), RPromO. 7A written assignment accepted in the doctoral qualification examination may be accepted in the resit examination.

§ 8 Admission to a Doctorate

(1) Proof of any required foreign language proficiency according to 6 (1)(2) must be submitted with the application for admission to a doctorate.

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

(3) The admission may be associated with conditions if the admission requirements according to 0 are not entirely fulfilled but can be fulfilled during the doctoral proposal.

III. The Doctorate Procedure

§ 9 Initiation of the Doctorate Procedure

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

§ 10 Thesis Requirements

1In the doctoral degree subjects Psychology, Psychogerontology and Sport Sciences, the candidate may submit several (at least three) articles published or accepted for publication in reputable academic journals instead of a thesis (cumulative thesis). 2The candidate must be the leading author for at least one of the publications. 3Cumulative theses shall include a 30-page exposition which illustrates the contextual links between the published articles and relates their content to broader knowledge of the subject. 4Collectively, the submitted publications must represent an independent achievement worthy of academic recognition. 5In addition to the quality of the content submitted being the main criterion, the number of essays and, according to (1), the significance of the publisher and the number of co-authors shall be considered as important criteria in determining the grade.
§ 11 Evaluation, Acceptance and Refusal of the Thesis

(1) The evaluation shall include a grade. The following grade scales shall apply:
   1 = magna cum laude (sehr gut),
   2 = cum laude (gut),
   3 = rite (genügend),
   4 = insufficienter (ungenügend).
   Outstanding achievements may be recognised with the assessment
   1* = summa cum laude (ausgezeichnet)

(2) If the assessment ‘summa cum laude’ is awarded in the first two evaluations, an additional (usually external) evaluation shall be requested.

(3) The accepted thesis and dissertation shall be displayed for a minimum of 14 days or four weeks during the semester break according to Section 11 (4), RPromO.

(4) If the right of publication is restricted according to certain conditions according to Section 15 (3)(2), these conditions shall be listed by the reviewers and provided to the candidate after they have passed the oral examination.

(5) In justifiable cases, the bodies responsible can make exceptions to the deadline in Section 11 (8), RPromO.

§ 12 Oral examinations

(1) The oral examination shall be conducted in the form of a Disputation. The oral examination demonstrates that the candidate is capable of academic presentation, has in-depth knowledge of the subject of their thesis, is aware of all related areas of the subject and can support their research with links to related disciplines.

(2) The oral examination shall be conducted by the Examining Committee under the supervision of the Dean or a member of the Examining Committee appointed by the Dean. The oral examination shall last between 90 and 120 minutes and take place within two months after the thesis has been accepted. Listeners who are authorised examiners according to Section 5 (2), RPromO, may be admitted to the oral examination. Other students, postgraduates or postdoctoral graduates may attend the oral examination as listeners following registration with the chairperson of the Examining Committee and with the candidate's agreement. Listeners shall not be permitted to attend the determination and notification of the results of the oral examination.

(3) The chairperson of the Doctoral Affairs Committee shall admit the candidate to the oral examination with a deadline of two weeks. The candidate must hand in their Disputation argument within a week of admission to the oral examination.

(4) The candidate must submit at least three arguments for the Disputation in writing (with a short written explanation if necessary). The arguments must be related to the pursued subject and include interdisciplinary aspects. One of the Disputation arguments must be related to the thesis; the other arguments must be clearly different in content. The disputation shall be opened with a 15-minute presentation, in which the candidate reports the most important results of the thesis. This is followed by a scientific debate based on the candidate's theses which shall include interdisciplinary aspects.
(5) Following the oral examination, the Examining Committee shall decide on the result based on a simple majority; in the event of a tie the chairperson’s vote is the deciding vote. The Examining Committee shall determine a grade according to 11 (1). The oral examination is failed if the grade is '4 = insufficienter (ungenügend)'.

§ 13 Resitting the Oral Examination

§ 14 Results of the Doctorate Procedure, Notification

(1) A preliminary overall grade is proposed by the chairperson of the Examining Committee and finally determined by the chairperson of the Doctoral Affairs Committee. The overall result is calculated from the arithmetic average of the double-weighted individual grade of the thesis and the single-weighted grade from the oral examination. For this, one decimal place shall be considered. Further decimal places shall be omitted without rounding. The overall grade shall be assessed as follows:

1.0* = summa cum laude
1.0 - 1.5 = magna cum laude
1.6 - 2.5 = cum laude
2.6 - 3.0 = Rite

(2) The overall achievement will be assessed as 'summa cum laude' (ausgezeichnet) if both the thesis and the oral examination are graded with 'summa cum laude'.

§ 15 Publication of the thesis and submission of the mandatory copies

(1) The deadline for submitting the mandatory copies specified in the RPromO can be extended by an additional two years.

(2) In the case of a cumulative thesis, in addition to the articles accepted for publication, the additional exposition according to Section 10 (3) must be accessible to the public in an appropriate form.

§ 16 Completion of the Doctoral Degree

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

IV. Honorary Doctoral Degrees

§ 17 Honorary Doctoral Degrees

(1) The honorary doctoral degree for a doctor of philosophy (Dr. phil. h. c.) may be awarded according to 3 (1)(3), RPromO, for outstanding contributions to culture.

(2) The Faculty Council of the Faculty of Humanities, Social Sciences, and Theology (excluding the School of Theology) takes the decision on awarding an honorary doctoral
degree at the request of the Dean. The request must be passed with a majority of two thirds. 

2 The Dean has the sole right to suggest candidates for honorary doctoral degrees.  

3 The Doctoral Affairs Committee shall support the Dean in preliminary consultation.

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. Invalidity and Revocation of Doctoral Degrees

§ 23 Invalidity of Doctoral Examinations

§ 24 Revocation of Doctoral Degrees

VIII. Concluding Provisions

§ 25 Legal Validity and Transitory Provisions

1 These regulations come into effect on the day after their publication. 2 These regulations shall apply to all doctorate procedures which are initiated after these regulations were passed.

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

(3) 1 All existing doctorate procedures initiated prior to the RPromO and FPromO shall be governed according to the Doctoral Regulations of the University for the doctoral degree of Dr. Phil from 8 October 1991, last amended on 27 April 2011. 2 Candidates whose doctorate procedures have already been admitted but are not yet initiated may choose whether these doctoral regulations or the regulations according to (2) shall apply. The candidate shall inform the Office of Doctoral Affairs by 31/03/2013 at the latest.

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Erlangen, 21 January 2013

Prof. Dr. Karl-Dieter Grüske
Please note that this translation is for information only. The most current German version of the document is legally binding.

President

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