

**General Doctoral Regulations**  
**Friedrich-Alexander-Universität Erlangen-Nürnberg**  
**(RPromO)**

21 January 2013

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 Conditions**

### **Section 1 Scope**

<sup>1</sup>These General Doctoral Regulations (RPromO) regulate the procedure for awarding doctoral degrees at Friedrich-Alexander-Universität Erlangen-Nürnberg (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 academic 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 assesses the academic quality of the written doctoral thesis and the scientific qualifications of the candidate. <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 doctorate 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 FAU guidelines for safeguarding good academic practice shall apply to the doctorate procedure.

### **Section 3 Doctoral Titles**

<sup>1</sup>The faculties and schools entitled to award doctoral qualifications (hereinafter 'Faculties') can award the following doctoral titles 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) The appointment of the examining committee as well as other bodies responsible and their jurisdiction are specified in the FPromO.

(2) <sup>1</sup>Section 30 of the University 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 responsibilities.

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

(4)<sup>1</sup>The bodies responsible shall ensure that the doctorate procedure is conducted in an appropriate manner and 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 for Doctoral Affairs which maintains records throughout the doctorate 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 Supervisors and Reviewers**

(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 proposal. <sup>2</sup>To assess the submitted thesis, two or more reviewers shall be appointed. <sup>3</sup>The FPromO determines whether the supervisor of a doctoral proposal can also act as a reviewer.

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

1. university lecturers [Section 2 (3)(1) Bavarian Law on Academic Personnel of Higher Education, BayHSchPG] employed on a full-time basis at FAU,
2. professors on leave or retired professors or who were primary or secondary members of the faculty administering the doctorate.

<sup>2</sup>The FPromO may restrict the appointment of supervisors of the doctoral proposal as specified in (1)(a) to primary and secondary members of the faculty. <sup>3</sup>The FPromO may permit part-time lecturers and individuals with doctoral degrees (who are able to continually supervise the doctoral proposal 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 Clause 3, the supervisor reserves the right according to Section 8 (4) to continue supervising any admitted doctoral proposals until their completion. <sup>5</sup>Section 18 shall remain unaffected.

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

1. University lecturers at FAU
2. Professors on leave or retired professors who were primary or secondary members of the faculty administering the doctorate
3. Full-time university lecturers at another university permitted to award doctorates
4. Other university lecturers
5. Other persons with a doctoral degree appointed as an examiner according to Section 4, HSchPrüferV.

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

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

## **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 Clause 1 and 2.

(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.

## **Section 7 Doctoral Qualification 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 doctorate if they have passed a doctoral qualification examination. <sup>2</sup>The FPromO may also require a doctoral qualification examination for degrees obtained outside the subject area. <sup>3</sup>The FPromO shall specify the type and scope of the doctoral qualification examination.

(2) <sup>1</sup>The application for admission to the doctoral qualification 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 doctoral qualification 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 doctoral qualification examination. <sup>2</sup>Admission shall not be permitted if the candidate does not meet the admission requirements according to Clause 1 or the candidate has not submitted the documents and declarations in their entirety as required by Clause 2.

(4) If the candidate withdraws from the doctoral qualification examination after admission, the doctoral qualification 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 doctoral qualification examination, the candidate may resit the examination once.

## **Section 8 Admission to a Doctorate**

(1) At the start of the doctoral proposal after online registration, a written application for admission to a doctorate must be submitted to the bodies responsible.

(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
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 ultimately failed the doctoral examination for the pursued doctoral degree before
6. Declaration of whether the doctoral proposal has been commissioned for a fee and by whom. Commissioned doctoral proposals 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.

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

(4) <sup>1</sup>The bodies responsible shall admit the candidate to the doctorate if the admission requirements are fulfilled according to Section 6 or the candidate has passed the doctoral qualification 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 (2) are incomplete and alternative certification according to (3) cannot be provided
3. The candidate has ultimately failed a doctoral examination for the pursued doctoral degree
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 doctorate obtained for passing the doctoral qualification examination is restricted to a specific subject.

(6) If the doctoral proposal is withdrawn before initiation of the doctorate procedure according to Section 9, it will be considered as failed.

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

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

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

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

1. Current CV according to Section 8 (2)(1)(1)
2. Agreement of the supervisor for initiation of the doctorate procedure
3. Four printed copies of the thesis according to Section 10, a machine-readable version of the thesis (the format of which is specified by the bodies responsible). If there are more than two evaluations, the number of printed copies increases accordingly.
4. Certificate of good conduct, no older than three months
5. In case of admission with 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. <sup>4</sup>The following declarations shall also be submitted in writing:

1. The thesis was not presented to another examining body, neither in full nor partially.

2. The doctoral examination for the pursued doctoral degree has not been failed ultimately before.
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.
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>4</sup>The FPromO may specify that additional documents or declarations must be submitted.

(3) <sup>1</sup>The bodies responsible shall ensure that the doctorate 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 doctorate procedure shall be refused if the required documents according to (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 doctorate procedure may be withdrawn with due cause and with the permission of the bodies responsible only as long as all evaluations have not 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 doctorate procedure and noted in the thesis. <sup>3</sup>Candidates shall be responsible for confirming that contractual agreements involving copyright do not prohibit publication during the doctorate 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 Clause 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>Written confirmation is required from the supervisor for writing the thesis in English. The thesis may be written in other languages with prior agreement from the bodies responsible, provided that the review can also be conducted in this language. <sup>3</sup>The thesis must include a table of contents, a German title and a comprehensive abstract in German. <sup>4</sup>A thesis written in a foreign language must also include a comprehensive abstract in the same language. <sup>5</sup>The thesis shall be bound and submitted in a form ready for publication with a table of contents and page numbers. <sup>6</sup>A complete biography and list of other resources must be submitted with the thesis.

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

(1) The bodies responsible shall appoint two reviewers according to Section 5 (3).

(2) <sup>1</sup>The reviewers each produce a written evaluation of the thesis, award a grade according to the scale specified in the FPromO and recommend the acceptance or refusal of the thesis. <sup>2</sup>The evaluations should be presented within three months. <sup>3</sup>The FPromO can shorten the review deadline specified in Clause 2 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 eligible parties are entitled to submit a statement within the display period to the bodies responsible evaluating the thesis. The reasons for this statement must be given in writing within two weeks. <sup>5</sup>If a statement recommends refusal of a thesis according to Clause 4, the bodies responsible shall decide if the thesis shall be accepted, refused, or handed back to the author for revision. <sup>6</sup>The bodies responsible can request an additional evaluation before making this decision. <sup>7</sup>If a statement of rejection is not received within the period specified in Clause 3, the thesis shall be considered as accepted and the procedure shall continue. <sup>8</sup>The bodies responsible may accept the thesis with conditions.

(5) <sup>1</sup>If all reviewers suggest that the thesis should be rejected, the bodies responsible shall decide whether the thesis is refused 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 other circumstances than those described in Section 4 (1) or Section 5 (1), the bodies responsible decide based on the evaluations whether the thesis is handed back to the author for revision, refused, or whether the procedure of displaying the thesis according to Section 4 (2) ff. should continue; Section 4 (7) 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 for revaluation within a period of one year. The revaluation is generally carried out 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 ultimately failed.

(8) The candidate can reapply for admission to the doctorate procedure with a thesis on a new subject once only within one year following 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) A transcript of the examination must be produced containing the topic and the results of the oral examination, listed by subject if necessary.

(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.

(5) <sup>1</sup>After the oral examination, the Chair of the examining committee informs the candidate of the grade achieved in the oral examination. <sup>2</sup>If the candidate has failed 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.

### **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 doctorate procedure is ultimately failed. <sup>2</sup>The oral examination shall not be repeated a second time.

### **Section 14 Results of the Doctorate 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)(4) into account.

(2) The bodies responsible may fail the doctoral examination 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 doctorate procedure including all individual grades. <sup>2</sup>This notification does not entitle the candidate to assume a doctoral title.

(4) If the candidate fails the doctoral examination ultimately, all universities entitled to award doctoral degrees in Germany shall be notified.

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



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 cost and under observation of all conditions.

(2) Details on the title page of the published or photocopied thesis must be completed according to the example in the Appendix.

(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)(8) are fulfilled.

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

1. 20 complete copies (printed or photocopied)
2. 6 copies of the thesis which was either published completely or in part in a reputable scientific journal and marked as a thesis submission
3. 6 copies if the thesis is published as a complete book by a commercial publisher and proof is provided of a minimum circulation of 150 copies
4. 6 copies if the complete thesis is published by FAU University Press
5. 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.

(5)<sup>1</sup>The candidate must submit the mandatory copies within a year of passing the oral examination. <sup>2</sup>The deadline of one year may be extended once only to a maximum of one additional year in extenuating circumstances by the candidate's 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.

## **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 submission of the mandatory copies if Section 15 (4)(3),(4) apply and it is proven that the thesis will be published by an academic publisher, the University Press or as part of a scientific collection or series. <sup>2</sup>The deadline for submitting mandatory copies of the thesis according to Section 15 (5) shall remain unaffected.

## **IV. Honorary Doctoral Degrees**

### **Section 17 Honorary Doctoral Degrees**

(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. Interuniversity Co-operation**

### **Section 18 Interuniversity Co-operation**

<sup>1</sup>Section 64 (1)(4), BayHschG permits the bodies responsible to appoint professors from a University of Applied Sciences (*Fachhochschule*) or University of Arts (*Kunsthochschule*) as a reviewer. <sup>2</sup>Supervisors of a doctoral proposal must be able to guarantee continuous academic supervision throughout the doctoral proposal.

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

### **Section 19 General Information**

(1)<sup>1</sup>The doctoral degree can be jointly supervised in co-operation with an international university entitled to award a doctoral degree (Partner Institution). <sup>2</sup>This requires that:

1. An agreement for international co-supervision of the doctoral proposal is concluded with the Partner Institution
2. The candidate is admitted to a doctorate according to Section 8 and is qualified under the relevant regulations of the Partner Institution for admission to a doctorate.

(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.

### **Section 20 Examinations 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 partner institution. <sup>2</sup>The full details of co-supervision are specified in the agreement according to Section 19 (1)(2)(1).

(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 doctorate 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 co-operation shall end and the doctorate 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 co-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.

(3)<sup>1</sup>If the thesis is accepted by the Partner Institution but refused by the bodies responsible at FAU, the co-operation shall end. <sup>2</sup>The doctorate 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 after these copies have been presented.

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

(1)<sup>1</sup>After the joint doctorate 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 signatures 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 shall also be obtained from 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**

<sup>1</sup>If it becomes apparent that the candidate did not fulfil the admission requirements after admission to a doctorate or that the candidate had unauthorised assistance, was involved in an act of deception or significant misconduct with respect to academic standards, the bodies responsible can fail the examination and declare the doctoral degree invalid. <sup>2</sup>In this case, the candidate must return the issued doctoral degree certificate. <sup>3</sup>The decision to revoke a doctoral degree must be made within one year after the enquiry is opened.

## **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 (2) as soon as the relevant Faculty Doctoral Regulations come into effect.

(2) <sup>1</sup>These doctoral regulations shall be valid according to (1) in conjunction with the relevant FPromO for all doctoral proposals according to Section 8 (1) submitted after this RPromO has 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.

## **Appendix**

### **Template for Thesis Title Page**

First page

Thesis topic  
Faculty/School

Friedrich-Alexander-Universität Erlangen-Nürnberg  
for  
the doctoral degree Dr.

(Candidate's full name)  
born in (Place of birth)

Second page

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

Chair of the bodies responsible: Prof. Dr.

Reviewers: Prof. Dr. \*  
Prof. Dr. \*

\*Only for the published version

Published according to the resolution of the University Senate on 19 December 2012 and the President's authorisation on 21 January 2013.

Erlangen, 21 January 2013

Prof. Dr. Karl-Dieter Gröske  
President

These regulations were established on 21 January 2013 at the University of Erlangen-Nürnberg and displayed for public inspection at the University of Erlangen-Nürnberg on 21 January 2013. The date of publication is 21 January 2013.