

These doctoral regulations have been worded carefully to be up to date; however, errors cannot be completely excluded. The official German text available at the Office of Doctoral Affairs is the version that is legally binding.

**Faculty Doctoral Regulations for the Faculty of Engineering
at Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU)
- FPromO Tech -
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I. General Conditions

Section 1 Scope

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

Section 2 Doctoral Degrees

Section 3 Doctoral Titles

The title of the honorary doctoral degree awarded by the Faculty of Engineering is Doktorin or Doktor der Ingenieurwissenschaften ehrenhalber (Dr.-Ing. e.h.).

Section 4 Bodies Responsible and Procedural Regulations

(1) ¹The body responsible for doctoral degrees at the Faculty of Engineering is the Faculty Council. ²The Faculty Council can delegate tasks to its chairperson or another of its members.

(2) If the Faculty Council takes a decision on the assessment of doctoral examinations, only the members of the Faculty Council who are authorised examiners for doctoral research according to Section 5 of the **RPromO** shall be eligible to vote.

(3) ¹All consultations of the Faculty Council or examining committee related to procedures regulated by this agreement shall be held in non-public sessions. ²The reviewers shall be invited to all consultations governed by Section 11 (5)(1) of the **RPromO** (recommending refusal of the thesis).

(4) ¹The examining committee shall consist of at least four members appointed by the Dean. ²The examining committee shall consist of:

1. A chairperson from the full-time professors at the Faculty of Engineering or professors according to Section 5 (2)(1)(2) of the **RPromO**, usually with the same discipline as the doctoral candidate; an adjunct professor may be appointed chairperson if they are employed on a full-time basis at the Faculty of Engineering;
2. The reviewers and
3. An authorised examiner from another department of the Faculty of Engineering or another FAU faculty in exceptional cases

³The chairperson shall not be permitted to act as a reviewer in the same procedure. ⁴If a member of the examining committee cannot take part in the oral examination and less than four members of the examining committee remain, the Dean can appoint another university lecturer to replace them at the request of the candidate.

Section 5 Reviewers and Supervisors

(1) ¹Full-time and part-time university lecturers who are primary or secondary members of the Faculty of Engineering are entitled to supervise doctoral degrees (Section 5 (2) (2) and (3) **RPromO**). ²Outstanding young researchers who are able to continually supervise the doctoral research due to their employment at FAU or an institution associated with FAU can be appointed as supervisors according to Section 5 (2)(3) **RPromO** on an individual basis. ³Outstanding young researchers within the meaning of sentence 2 are persons with a doctoral degree and particularly relevant research experience, in particular heads of junior research groups as part of the Emmy Noether programme run by the German Research Foundation or comparable programmes. ⁴Section 18 **RPromO** shall not be affected.

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

(3) ¹At least one reviewer must be a full-time university lecturer at the Faculty of Engineering. ²Junior professors must submit proof of a positive intermediary evaluation in order to be appointed as reviewers. ³Retired professors maintain the same rights in this matter as full-time university lecturers at the Faculty of Engineering for three years after their retirement, on the condition that no more than one retired professor is appointed as a reviewer for the same thesis.

(4) If a junior professor who has not been given a positive intermediary evaluation, a university lecturer from a foreign university who holds an equivalent position or a person according to Section 5 (3)(1)(5) of the **RPromO** is proposed as a reviewer, an additional reviewer according to Section 3 (1) shall be required; Section 3 (2) must be applied accordingly.

(5) Cooperative doctoral degrees with other institutions shall require that at least two reviewers are university lecturers.

II. Admission to a Doctorate

Section 6 Admission Requirements

(1) To be admitted to a doctorate, the candidate must present proof of one of the following degrees:

1. A pass in a Diplom examination (Diplomhauptprüfung) or Master's examination, including a Diplom thesis or Master's thesis, after a usually five-year long degree programme at a German university or an equivalent degree programme at a foreign university in an engineering, science or maths-related subject.
2. A pass in a Master's examination after a usually five-year long degree programme at a University of Applied Sciences in a subject stated in (1). Generally, applicants must have achieved 300 ECTS credits over the course of their Bachelor's and Master's degree programmes and must have written a Master's thesis.
3. A pass in the first State Examination for teaching secondary education (Gymnasium) in computer science and another engineering, science or maths-related subject.

(2) According to Section 6 (1)(3) of the **RPromO**, in exceptional cases, the bodies responsible can also consider equivalent university degrees for admission, in particular those which were not obtained in the subjects in (1)(1) if the candidate passes the qualifying examination according to § 7.

(3) In individual cases, candidates who have obtained an undergraduate degree may be admitted on the condition that proof of the degree according to (1)(1) is provided within one year after submission of the application form and that no more than 30 outstanding ECTS credits are required in order to complete this degree.

Section 7 Qualifying Examination

(1) Individuals shall be admitted to the qualifying examination on request if:

1. The general admission requirements in § 6 are not completely satisfied; or
2. The grade 2.0 or better was achieved in a Diplom examination (Diplomprüfung) at a University of Applied Sciences; or
3. The candidate is to be admitted to the doctorate according to § 6 (2).

(2) ¹In the qualifying examination, the candidate must prove that they have sufficient skills and knowledge in the subject of the pursued doctoral degree. ²A pass in the qualifying examination confirms the subject qualification of the candidate and qualifies the candidate for studying a doctoral degree in the subject of the examination.

(3) ¹The qualifying examination consists of an oral examination which lasts approximately 45 minutes. ²The examining committee is appointed by the Dean following the supervisor's recommendation and consists of two university lecturers from the pursued subject and a university lecturer from another subject.

(4) ¹The examining committee may stipulate further conditions which must be fulfilled for awarding a pass in the qualifying examination according to (3). ²These conditions are limited to:

1. Examinations in two subjects in the discipline of the pursued doctoral degree
2. An admissions essay with a maximum duration of four months.

(5) ¹The examinations imposed are subject to the General Examination Regulations for Bachelor's and Master's examinations at the Faculty of Engineering in conjunction with the currently valid degree programme examination regulations and must be completed by the deadlines outlined in the degree programme examination regulations. ²Oral examinations shall be conducted in the presence of a second university lecturer from the discipline. ³The oral examination shall last approximately half an hour. ⁴The examinations must be completed by one year after the admission to the qualifying examination at the latest. ⁵If this deadline is exceeded due to circumstances within the candidate's influence the qualifying examination shall count as failed. ⁶If the candidate does not achieve a minimum grade of 2.3 in all examinations, the qualifying examination shall count as failed.

(6) ¹The admissions essay must demonstrate that the candidate is capable of solving a problem relating to the subject in which they are pursuing the doctoral degree independently and according to academic methodology (Section 8 (2)(4) **RPromO**). ²The Dean shall appoint a supervisor from the examiners according to (3). ³A topic and deadline shall be agreed upon with the candidate. ⁴The admissions essay shall be as-

sessed by the supervisor. ⁵The supervisor shall recommend acceptance or refusal of the admissions essay to the examining committee according to (3). ⁶The examining committee shall accept or refuse the admissions essay and request a further evaluation if deemed necessary. ⁷The admissions essay shall count as refused if the candidate does not submit it before the deadline. ⁸If the admissions essay is refused or counts as refused, the qualifying examination shall be failed.

Section 8 Admission to a Doctorate

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

III. The Doctorate Procedure

Section 9 Initiation of the Doctorate Procedure

In addition to the copies of the thesis required in Section 9 (2)(3) **RPromO**, a further copy of the thesis is required for the application for initiation of the doctorate procedure.

Section 10 Requirements for the Thesis

(1) ¹The thesis must be a standalone monograph that provides evidence of scientific findings which can be accredited to the author. ²A cumulative thesis shall not be permitted.

(2) The thesis must include a detailed summary in English.

(3) ¹Publishing partial results while the thesis is being written is encouraged and therefore not damaging for publication of the thesis (Section 10 (2) **RPromO**). ²Any inclusion of publications with several authors must clearly credit the authorship of the individual authors in the thesis.

Section 11 Evaluation, Acceptance and Refusal of the Thesis

(1) The evaluations shall be written in German or English.

(2) The bodies responsible can request more than two evaluations if the supervisor is not (or is no longer) a full-time member of the Faculty of Engineering at the initiation of the doctorate procedure, if the first evaluations do not cover the required breadth of the subject, or if a further review of the thesis is deemed necessary due to the interdisciplinary nature of the research.

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

Sehr gut = 1 for an outstanding achievement

Gut = 2 for a commendable achievement

Befriedigend = 3 for an acceptable achievement

Ausreichend = 4 for a sufficient achievement

Ungenügend = 5 for an unsatisfactory achievement

³ The grade may be increased or decreased by 0.3 to reflect the level of the achievement. ⁴The grades 0.7 and 5.3 shall not be awarded; a grade of 4.3 and higher shall be considered as unsatisfactory.

Section 12 Oral Examination

(1) The oral examination shall be conducted by the examining committee (§ 4 (4) and shall comprise:

1. A public, academic presentation by the candidate lasting 30 minutes and expressed freely, followed by a 15-minute public discussion on the objectives, methodology and results of the thesis
2. A non-public defence lasting approximately 45 minutes.

(2) ¹The oral examination shall be open to the public. ²The non-public part of the examination shall be open to members of the Faculty of Engineering and of other faculties at the University who are authorised examiners for doctoral degrees.

(3) The examining committee may allow the oral examination to be conducted in English at the candidate's request.

(4) ¹The discussion and the defence shall be led by the chairperson of the examining committee. ²All participants may ask questions at the discussion and the defence. ³The chairperson can declare questions as inadmissible. ⁴During the defence, questions should focus on the topic of the thesis or be related to the basic concepts and development of the subject area.

(5) ¹The discussion and presentation shall be awarded a grade according to § 11 (3) by each member of the examining committee; the same shall apply to the defence. ²The grade for both parts of the examination shall be calculated from the arithmetic average of the grades calculated to two decimal places.

(6) The oral examination may be conducted with the help of audiovisual telecommunication technologies; Section 12a **RPromO** applies.

Section 13 Resitting the Oral Examination

Section 14 Results of the Doctorate Procedure, Notification

¹The final grade is calculated from the arithmetic average of the thesis grades produced by the reviewers multiplied by six, the grade for the presentation and discussion multiplied by two, and the grade for the defence multiplied by two. ²The average shall be calculated from the individual grades up to two decimal places. ³The overall assessment of the doctoral degree is as follows (based on the overall grade):

- 1.00 to 1.50 'Sehr gut bestanden' (passed with distinction)
- 1.51 to 2.50 'Gut bestanden' (passed with merit)
- 2.51 to 3.50 'Befriedigend bestanden' (passed satisfactorily)
- 3.51 to 4.00 'Ausreichend bestanden' (passed sufficiently)

⁴The assessment 'mit Auszeichnung bestanden' shall be awarded if all reviewers have assessed the thesis with the grade 1.0 and the overall grade is better than 1.05.

Section 15 Publication of the Thesis and Submission of Mandatory Copies

In exceptional cases, the bodies responsible can extend the deadline for publishing the thesis up to three years calculated from the date of the oral examination.

Section 16 Completion of the Doctoral Degree

(1) The Dean of the Faculty of Engineering shall sign the doctoral degree certificate.

(2) ¹The doctoral degree certificate shall be issued in German. ²The reviewers' names shall be included on the certificate.

(3) The candidate can apply for an additional certificate to be issued in English.

IV. Honorary Doctoral Degrees

Section 17 Honorary Doctoral Degree Certificates

The decision to award an honorary doctoral degree certificate shall be taken by authorised examiners from the Faculty Council according to Section 5 of the **RPromO**.

V. Inter-university Cooperation

Section 18 Inter-university Cooperation

VI. Doctoral Degrees in Cooperation with Foreign Universities

Section 19 General

Section 20 Examination Procedure at FAU

Section 21 Examination Procedure at the Partner Institution

Section 22 Joint Doctoral Degree Certificate

VII. Invalidity and Revocation of Doctoral Degrees

Section 23 Invalidity of Doctoral Examinations

Section 24 Revocation of Doctoral Degrees

VIII. Concluding Provisions

Section 25 Legal Validity and Transitory Provisions

¹These regulations shall come into effect on the day after their publication. ²After 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 30 July 1975 in the version of 13 January 2011. All doctoral procedures which have been admitted but not initiated will be governed by the new doctoral regulations.