

## Guidelines on doctoral degrees at the Faculty of Sciences

FAU's general doctoral regulations have been in effect in conjunction with the doctoral regulations of the faculty of sciences (FPrmO Nat.) since 21. January 2013. The doctorate procedure has several stages. These guidelines contain instructions for supervisors and doctoral candidates. Further details as well as the regulations are available at the following website: <http://www.nat.uni-erlangen.de/fakultaet/gremien/promotionsausschuss.shtml>

*A) Steps to be taken in the beginning of the doctorate procedure (about three years before submission of the thesis)*

### 1. Registration

Doctoral candidates must register at [www.docdaten.fau.de](http://www.docdaten.fau.de), where they will be prompted to provide all the necessary details for admission to a doctorate. Earlier attempts to obtain a doctorate must also be listed. Successful registration automatically generates a FAU membership that allows the candidate to use university facilities and services. At this stage, the candidate and the supervisor should also discuss requirements for the thesis (e.g. planned publications, patents, time schedule, etc.).

### 2. Application for admission to a doctorate

After registration, the application for admission to a doctorate ('Antrag auf Zulassung zur Promotion') must be printed, signed, and sent by mail to the office of doctoral affairs with all required documents (including confirmation from the supervisor) listed therein<sup>1</sup>. At this stage, it is not necessary for candidates to appear in person.

### 3. Admission to a Doctorate

**Your application will only be considered if all necessary documents are included.** After the documents have been considered and accepted by the doctoral affairs committee, admission is granted. Please note that the admission to a doctorate, including the check of the relevant prerequisites, is independent from other similar checks, such as those that are performed during the hiring as a scientific employee after TV-L.

*B) Steps to be taken at the end of the doctorate procedure*

### 4. Application for initiation of the doctorate procedure

Approximately **four weeks** before submission of the thesis, the application for initiation of the doctorate procedure must be submitted. This application is available at [www.docdaten.fau.de](http://www.docdaten.fau.de) and must be sent to the Promotionsbüro with all required documents and signatures. The resulting form 'decision on initiation of procedure' (Entscheidung Eröffnung des Verfahrens; previously called the Departmentbescheid), contains suggestions for reviewers and members of the examination board (usually three professors)<sup>2</sup>. The final decision on the composition of the examination board lies with the doctoral affairs committee.

Cumulative theses require an agreement between doctoral candidate and supervisor(s), under consideration of department-specific requirements. It is important that individual contributions to each publication are clearly explained.

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1 This application is activated via e-mail link. The address of the Office of Doctoral Affairs of the Faculty of Sciences is Halbmondstr. 6, 91054 Erlangen.

2 If the thesis is to be graded '1 = ausgezeichnet', the supervisor of the thesis shall list three potential external reviewers.

## 5. Writing and submission of the thesis

**Doctoral candidates are responsible for ensuring that all copyright laws are observed for their theses.** The thesis must be submitted to the Promotionsbüro as a printed and bound version in quadruplicate (quintuplicate for the Department Chemistry and Pharmacy and the Department of Physics), and as an unencrypted PDF file on a CD or DVD. If there are more than two reviewers, the number of submitted copies must be adjusted accordingly.

In the case of cumulative theses, the first review must specify the candidates' contributions to the publications based on the authorship declarations by all co-authors and publishers provided by the candidate. These must be provided in writing and can be requested via e-mail at the candidate's own risk.

## 6. Review of the thesis

After consideration and acceptance of the documents, the doctoral affairs committee initiates the review procedure and requests at least two reviews. The reviews are usually submitted after four to eight weeks.

## 7. Circulation/display

To ensure adherence to high quality standards, the office of doctoral affairs immediately initiates the circulation/display of the thesis in the relevant department after receiving positive reviews. This step may take further four to six weeks. In case of objections by eligible examiners, further reviews may be requested.

## 8. Determination and publication of oral examination date

After having been notified of the end of the circulation period, supervisor and candidate must determine a date for the oral examination. The candidates themselves usually ensure that examiners are available on the chosen date. **The Promotionsbüro *must* be notified of the date and place of the examination at least 10 days in advance ([promotion-nat@fau.de](mailto:promotion-nat@fau.de)).** **We recommend to communicate a preliminary date about 4 weeks before the examination.**

The Promotionsbüro publishes the date of the examination via the respective departments at least 8 days in advance and officially invites the candidate to the examination. **The legitimacy of the examination depends on this important formality.**

## 9. Oral Examination

The oral examination consists of two parts (approx. 45 minutes public and usually 45 minutes non-public) and is conducted by the chairperson of the examining committee.

## 10. Publication of the thesis

After passing the oral examination and receiving the supervisor's confirmation regarding the version of the thesis to be published, the candidate must submit the thesis to the FAU Library according to the publication guidelines in RPromO. More information is available at the university library and at <http://www.ub.uni-erlangen.de/unsere-service/dissertationen/>

**If this step is not completed within one year, the candidate's rights to the doctorate may expire.** Only after this publication of the thesis and confirmation by the library the doctoral degree certificate is conferred and allows the holder to the doctoral title. Should publication via the library be delayed but all examination achievements have been obtained, an extension of the period may be requested.

*Please note:*

You can monitor the progress of the administrative process at [www.docdaten.fau.de](http://www.docdaten.fau.de). We therefore ask you to refrain from asking questions about facts obtainable via this link.

We wish doctoral candidates and supervisors the best of success!