

# Guidelines for doctoral procedures at the Faculty of Sciences at FAU

FAU's General Doctoral Regulations (RPromO) have been in effect in conjunction with the Doctoral Regulations of the Faculty of Sciences (FProMO Nat) since 21 January 2013. The doctoral procedure has several stages. These guidelines contain brief instructions for supervisors and doctoral candidates. Further details are available at:

<https://www.nat.fau.de/forschung/forschende/promotion/>

<https://www.nat.fau.de/forschung/forschende/promotion/haeufig-gestellte-fragen-zur-promotion/>

<http://www.nat.uni-erlangen.de/fakultaet/gremien/promotionsausschuss.shtml>.

## A) Steps to be taken when starting a doctoral degree (approx. 3 years before submission)

### 1. Registration

When starting out on your doctoral degree, please register in the database of doctoral candidates [www.docdaten.fau.de](http://www.docdaten.fau.de). This step is obligatory, as it ensures that all the necessary data for being admitted as a doctoral candidate is provided.

### 2. Application for admission to a doctoral degree

After registering, doctoral candidates immediately receive an e-mail with a link which they can use to open and print the 'Application for admission to a doctoral degree'. This application must be submitted together with the required documents and a note of acceptance from a qualified university lecturer (your supervisor) to the Office of Doctoral Affairs of the Faculty of Sciences, Promotionsbüro der Naturwissenschaftlichen Fakultät, Schlossplatz 4, 91054 Erlangen (it is not necessary to visit the Office of Doctoral Affairs in person at this point). Planned cumulative theses must be approved by the supervisor. **Your application will only be considered if all necessary documents are included.**

### 3. Admission to a doctoral degree

Once the documents have been checked and approved, the Office of Doctoral Affairs issues written confirmation of admission. Please note that admission to a doctoral degree including the checking of admission requirements is independent of any checks which may have been done before being employed as a research associate.

## B) Steps to be taken at the end of the doctoral degree

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

The 'Application for 'initiation of the doctoral procedure' must be submitted approximately **four weeks** before submission of the thesis. This application is available at [www.docdaten.fau.de](http://www.docdaten.fau.de) and must be sent to the Office of Doctoral Affairs with all the documents listed therein.

The department issues an official document proposing the reviewers and members of the examining committee. If the thesis is to be graded '1 = ausgezeichnet', the supervisor of the thesis shall list three potential external reviewers. The Doctoral Affairs Committee has the final say.

## 5. Submitting the doctoral thesis

The doctoral thesis must be submitted to the Office of Doctoral Affairs as a printed version in quadruplicate, and as a PDF file on a CD/DVD/USB stick. Five printed copies must be submitted in the event of a doctoral thesis graded 'summa cum laude'. In the case of a cumulative thesis, declarations must also be submitted from all co-authors. This applies to all departments.

The dissertation must be printed in DIN A4 format and bound with an adhesive binding. Dissertations with a spiral binding will not be accepted.

For the purposes of digital circulation, the following data must be uploaded in docdaten: doctoral thesis, CV, list of publications and if applicable declarations from co-authors.

The candidates are responsible for complying with all copyright requirements.

In the case of cumulative theses, the first review must explicitly specify which of the articles in the submitted publications are from the candidate.

## 6. Review of the doctoral thesis

Once the application documents have been checked and approved, the Doctoral Affairs Committee grants its approval for initiation of the procedure. At the same time, at least two reviews are requested via the Office of Doctoral Affairs. The requested 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 digital circulation of the thesis in the relevant department after receiving positive reviews. Depending on the department, digital circulation can take two to three weeks.

In the event of an objection (filed by a university lecturer who is an authorised examiner), a further .... reviews can be requested, leading to a possible delay to the next steps in the procedure.

## 8. Determination and publication of oral examination date

A date can be set for the oral examination once the circulation procedure has been completed, provided no objections are raised. The examination can take place at the earliest 10 days after the circulation. The candidate is responsible for ensuring that the designated examiners can attend on the proposed date.

**The Office of Doctoral Affairs must be notified by e-mail of the date of the examination at least 14 days before the examination. Please send the following information to [promotion-nat@fau.de](mailto:promotion-nat@fau.de): date of examination, time, place, address and room number.**

**The Office of Doctoral Affairs announces the date of the examination via the relevant departments at the latest seven days before the examination and officially notifies candidates accordingly. This is an important formality on which the legitimacy of the examination depends.**

## 9. Oral examination

During the oral examination, the doctoral candidate is expected to hold an academic presentation lasting approximately half an hour. The presentation is followed by a discussion lasting 15 minutes. The presentation and the discussion are public. These parts of the procedure are followed by a closed 'Rigorosum' lasting 45 minutes.

The oral examination is led by the chairperson of the examining committee, which has three members.

## 10. Publication of the thesis

After the candidate passes the oral examination and the supervisor confirms which version of the doctoral thesis is to be published, the thesis must be published via the University Library according to the publication guidelines set forth in RPromO.

Information on publication is available at

<http://www.ub.uni-erlangen.de/schreiben-publizieren/dissertationenstellen>.

Only after publication of the thesis and confirmation by the University Library is the doctoral degree certificate conferred, entitling the holder to the doctoral title. If publication is delayed but all examination achievements successfully completed, confirmation of this can be downloaded from [www.docdaten.fau.de](http://www.docdaten.fau.de).

*Please note:*

After registering, you can keep track of the progress of your doctoral procedure at [www.docdaten.fau.de](http://www.docdaten.fau.de). Please refrain from phoning to ask about information available in the database.

We wish doctoral candidates and supervisors all the best!

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