

# Guidelines for the implementation of doctoral projects 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). 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 will immediately receive a link by e-mail with which they can open and print out the 'Application for admission to doctoral studies'. This application must be submitted together with the required documents and a confirmation of supervision from an approved university lecturer to the Office of Doctoral Affairs of the Faculty of Sciences, Promotionsbüro der Naturwissenschaftlichen Fakultät, Schlossplatz 4, 91054 Erlangen (it is not necessary to appear in person at the Office of Doctoral Affairs at this time). Planned cumulative dissertations require the approval of the supervisor. **Only completely submitted documents can be processed.**

### 3. Admission to a doctoral degree

Once the documents have been checked and approved, the Office of Doctoral Affairs will issue a written confirmation of admission. Please note that admission to doctoral studies, including the review of admission requirements, is independent of any examinations for employment as a research assistant.

## B) Steps to be taken to complete the doctoral project

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

It is advisable to submit the application for 'Opening of the doctoral procedure' approx. 4 weeks before submitting the dissertation. This application is available at [www.docdaten.fau.de](http://www.docdaten.fau.de) and must be sent to the Office of Doctoral Affairs together with all the documents listed therein. The 4 weeks are only an approximate guideline and recommendation. The dissertation can just as well be submitted together with all documents.

In a so-called departmental notification, which is drawn up by the doctoral office, the written reviewers are proposed by the supervisor. If a grade of '1 = ausgezeichnet' is to be awarded, the supervisor must specify three potential external reviewers. The Doctoral Affairs Committee has the final say.

The cover page of the dissertation must follow the templates of the FAU Corporate Design Manual on the FAU website: <https://www.intern.fau.de/kommunikation-und-marke/vorlagen/abschlussarbeiten/#nat>

The template for the first pages can be found in the appendix of the RPromO.

## 5. Submission of the dissertation

The dissertation must be submitted to the Office of Doctoral Affairs as a printed version in four copies and as a PDF file on a CD/DVD/USB stick. Five printed copies must be submitted in the event of a dissertation graded 'summa cum laude'. In the case of a cumulative dissertation, the declarations of the co-authors must also be submitted. 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 digital circulation, the following data must also be uploaded in Docdaten:: Dissertation, 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 dissertation, the first review must explicitly specify which of the articles in the submitted publications are from the candidate.

## 6. Review of the dissertation

Once the application documents have been checked and approved, the Doctoral Affairs Committee will grant 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 dissertation 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), further reviews may 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. For organizational reasons, this date must be chosen at the earliest 10 days after the end of the circulation procedure. 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 give 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 dissertation

After the candidate passes the oral examination and the supervisor confirms which version of the doctoral dissertation is to be published, the dissertation must be published within one year 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>.

If you have any questions regarding publication, please contact our contact persons at the University Library directly at:

- Telefon: [+49 9131 85 29377](tel:+4991318529377)
- Faxnummer: [+49 9131 85 29309](tel:+4991318529309)
- E-Mail: [ub-disspflicht@fau.de](mailto:ub-disspflicht@fau.de)

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

It takes approx. 3-4 weeks to issue the certificate. The completed certificate can be collected from the doctoral office. Please contact the doctoral office for this purpose.

*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). We therefore ask you to refrain from phoning to ask about information available in the database.

We wish doctoral candidates and supervisors all the best!

Last updated: 29 July 2024