

## **Information on the doctoral degree procedure at the Faculty 2 in accordance with the Doctoral Degree Regulations (PromO) of February 22<sup>nd</sup>, 2016**

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Last revised: September 10<sup>th</sup>, 2019

Comment September 2019: Please note that a new PromO is valid since April 2019. As a new doctoral candidate please go to the Website of the Faculty 2 for information on the doctoral degree procedures under the new regulations. Furthermore, GRADUS has taken over the administration of the processes for which formerly the Examination Office was responsible.

### **1. General information**

For detailed information regarding the [Doctoral Degree Regulations](#), forms, and the Graduate Academy of the University of Stuttgart (GRADUS), please refer to the following [websites](#) of the University.

All sections (§) quoted hereinafter refer to the Doctoral Degree Regulations of the University of Stuttgart in the version dated February 2016.

The doctoral degree procedure involves the following “parties”:

1. Persons: “Doctoral researcher“ (called “candidate” until being admitted as doctoral researcher), “supervisor” (called “main examiner” in the doctoral examination), as well as “co-examiner” in the doctoral examination.
2. Administration: Examination Office, Faculty Office, and University Library
3. Committee: Doctoral Committee of the faculty (see § 7).

### **2. Admission as a doctoral researcher**

Before the Application for Admission as a Doctoral researcher (=doctoral degree student) can be submitted, the candidate and the supervisor have to conclude a **supervision agreement**. GRADUS provides a [sample agreement](#), which can also be used for individual doctorates.

The supervision agreement includes i.a.:

- the topic of the dissertation

- work and time schedules including regular supervision meetings and progress reports, to be updated from time to time
- the mutual obligation to comply with the principles of good scientific practice, and
- details regarding an individual qualification program.

To establish an individual qualification program, each faculty has developed a [Qualification Catalogue](#) describing the potential qualification measures. As the exact details of this individual qualification program may not be finally established at the start of the doctoral project, the qualification program may be updated throughout the course of the dissertation. Updating the qualification program is within the responsibility of the supervisor and the doctoral researcher. The updated version(s) of the document have to be filed with the Chairs / Institutes. When the application for admission to the doctoral examination is submitted towards the end of the doctoral project, the final version of the supervision agreement including the qualification program has to be included with the submission (see also Chapter 4).

As soon as the initial version of the supervision agreement is completed, the candidate can submit the Application for Admission to the Examination Office, including the documents listed in § 4 (3) of the Doctoral Degree Regulations.

In this application form, the candidate also gets to decide whether he/she wants to participate in the Graduate Academy of the University of Stuttgart (GRADUS). It is also possible to become a member of GRADUS at a later date (in the Faculty Office) after the candidate has been admitted. Doctoral researchers participating in structured doctoral programs automatically become members of GRADUS.

The Examination Office then creates a dissertation file and forwards it to the Faculty Office. The decision on the candidate's admission as a doctoral researcher will be made by the faculty's Doctoral Committee. The Doctoral Committee usually meets three times during the summer and four times during the winter term, on Wednesdays afternoon (prior to the meeting of the Great Faculty Council). In urgent cases during semester breaks, the Doctoral Committee decides on applications by circulation procedure. The Chair of the Doctoral Committee then notifies the candidate in writing of the decision. Copies of this notification are issued to the Examination Office, the supervisor and, if applicable, to the head of the respective doctoral program.

In the following cases, the admission may be **subject to conditions**:

- a) Candidates holding a foreign university degree: In this case, the candidate also has to include a request for recognition of the *formal* equivalence of the foreign degree to a German one with the Application for Admission as a Doctoral Researcher to the Examination Office. The Examination Office then assesses the formal equivalence which requires additional time (about one to two weeks). As soon as the formal equivalence has been confirmed, the Examination Office forwards the application documents to the Faculty Office. The Application for Admission as a Doctoral Researcher may be granted with the proviso that certain *material* equivalence requirements are met. In this case, the supervisor has to submit a request for recognition of the (material) equivalence to the Doctoral Committee, possibly including a suggestion on the measures which might need to be taken (e.g. passing a certain course). The candidate is then notified of the decision and possibly of the measures she/he has to fulfill.
- b) Candidates holding a degree in a field other than those offered at the Faculty 2: Admission may be granted with the provision that proof of in-depth knowledge is demonstrated. In this case, the supervisor has to submit a request for recognition of in-depth knowledge to the Doctoral Committee including a suggestion on the measures which might need to be taken (e.g. passing a certain course). The

Committee decides on the request. The candidate is then notified of the decision and possibly of the measures ("Assessment Test") she/he has to fulfill.

Copies of these notifications are issued to the Examination Office, the supervisor and, if applicable, to the head of the respective doctoral program.

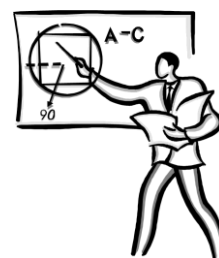
Candidates holding a diploma awarded by a university of applied sciences or a three-year bachelor's degree from a university usually have to complete an additional three-semester qualification (§ 3 (2) 5). The Doctoral Committee decides on the contents of this additional qualification upon written recommendation by the supervisor. The candidate is then notified in writing of the contents of the additional qualification ("Aptitude Assessment").

The date of admission as a doctoral researcher also marks the start of the period for submitting the dissertation (6 years for full-time doctorates, 8 years for part-time doctorates, see § 4 (11)).

Admitted doctoral researchers can enroll as such for the whole duration of the dissertation (§ 4 (9)).

### 3. Participation in GRADUS

Once they are admitted as doctoral researchers, the candidates get to decide whether they want to become members of GRADUS, the Graduate Academy of the University of Stuttgart. It is also possible to become a member of GRADUS at a later date (in the Faculty Office). Doctoral researchers of ENWAT, SimTech and other doctoral programs automatically become members of GRADUS. The following section describes the procedure for GRADUS, which may differ from the one employed by structured doctoral programs. For further information on doctoral programs such as ENWAT or SimTech, please contact the respective program.



For the qualification program at GRADUS please go to § 5 (4).

Doctoral researchers participating in GRADUS have to submit a progress report about 18 months after the date of admission. On this occasion, the supervisor has to submit a proposal to appoint the (co-)examiner(s) to the Chair of the Doctoral Committee. The Doctoral Committee then appoints one (or more) co-examiner(s) and notifies all involved parties.

At the time the application for admission to the doctoral examination is submitted, the supervisor has to confirm that the qualification program has been completed and that the progress report has been approved.

### 4. Admission to the doctoral examination

The doctoral researcher has to submit a pdf file of the dissertation and x (bound) hard copies of the dissertation to the Faculty Office (x=number of co-examiners +1). These copies should be printed double-sided and bound. Both the pdf and the copies should contain a CV. In the hard copy also the doctoral researcher's signed statement that he/she has completed the dissertation independently needs to be enclosed.

The title page of the dissertation has to correspond to the following [template](#) leaving the date open.

Submitting the dissertation also serves as the application for admission to the doctoral examination. In agreement with the supervisor, the application for admission may also be submitted as soon as the dissertation is mostly completed.

Please note the following resolutions by the Doctoral Committee of the Faculty 2:

- The dissertation should not exceed 150 pages.

- Supplemental to the Doctoral Degree Regulations (§ 2), each dissertation has to include a summary in German and English of two to four pages each. Should the dissertation be written in a language other than German or English, the Doctoral Committee decides on each case individually.

The supervisor has to confirm in writing that the dissertation is ready for submission and submit a proposal to appoint the (co-)examiner(s). If applicable, he/she also has to confirm that all requirements have been met (see Chapter 2). Regardless of the researcher's participation in a doctoral program, the final version of the supervision agreement including the individual qualification program has to be enclosed in this letter. To be included in the next session of the Doctoral Committee, the letter should be submitted to the Faculty Office at least one week before the date of the meeting.

The supervisor then presents the dissertation project in the meeting of the Doctoral Committee. The Doctoral Committee admits the doctoral researcher to the doctoral examination and appoints an Examination Board for this dissertation project (Head of the Examination Board, main examiner (=supervisor) and one or several co-examiners). The Head of the Doctoral Committee then notifies the doctoral researcher of the admission to the examination and the members of the Examination Board of their appointment. The dissertation is sent to the co-examiners by the Faculty Office. The doctoral researcher receives a copy of the letter to the members of the Examination Board.

## 5. Steps after being admitted to the doctoral examination

As soon as the Faculty Office has received all expert opinions by the main and the co-examiners, the circulation of the dissertation and the expert opinions is started within (a part of) the Doctoral Committee. The circulation period is about two weeks during the semester and about three to four weeks during the semester breaks.

As soon as the members of the Examination Board (with the exception of the Head of the Examination Board) and the members of the Doctoral Committee propose the dissertation for acceptance, the doctoral researcher can schedule a date for the doctoral examination with the members of the Examination Board. Furthermore, the doctoral researcher has to reserve a room or an auditorium for the public defense presentation and (a smaller room, if required) for the oral examination. The doctoral researcher has to submit information on the date and place of the presentation as well as the dates of travel of the co-examiner(s) to the Faculty Office in writing.

The Faculty Office distributes the invitations to the doctoral examination about one week before the scheduled date.

Before the oral doctoral examination, all changes to the dissertation requested by the Examination Board or as a result of the circulation at the faculty have to be incorporated in the dissertation.

The public defense presentation immediately before the oral doctoral examination should take about 30 to 45 minutes. After that the doctoral oral examination is carried out.

## 6. After the doctoral examination

The Chair/Institute completes the travel expense reports of the co-examiners and forwards them to the Faculty Office including all travel documents.

The Faculty Office forwards the amended dissertation file to the Central Administration and requests the issuance of a Doctoral Degree Certificate.



Within one year after the doctoral examination, the doctoral researcher has to submit one copy of the dissertation, including any requested changes, to the supervisor.

The supervisor verifies the accuracy of the dissertation and gives her/his approval for printing. The doctoral researcher submits the required number of copies, [depending on the chosen publication type](#), to the [Dissertation Office of the University Library](#). The Dissertation Office confirms the receipt of the copies to the supervisor and sends her/him four copies for verification. The supervisor compares the four copies to the original and confirms to the Head of the Doctoral Committee that the copies of the dissertation submitted to the University Library correspond to the verified version.

As soon as the Faculty Office receives this confirmation, it requests the release of the Doctoral Degree Certificate at the Rectorate.

The issuance of the Doctoral Degree Certificate to the doctoral researcher by the Faculty Office marks the end of the doctoral degree procedure; only now is the doctoral researcher entitled to use the title of “Doctor” (§ 14).

To gain access to the dissertation file including the expert opinions, the doctoral researcher has to submit a written request to the Doctoral Committee within one year. The Doctoral Committee will designate the place and date for access to the records (§ 20).

## **7. Contact**

If you have any questions, please contact:

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