

**The following version of the Doctoral Degree Regulations is an English translation of the Doctoral Degree Regulations in the version dated March 1, 2019.**

**Only the version of the Doctoral Degree Regulations published in the Official Announcements of the University of Stuttgart is legally binding.**

# Doctoral Degree Regulations of the University of Stuttgart

**Dated March 1, 2019**

On the basis of § 38 Para. 4 of the State Higher Education Law dated January 1, 2005 (GBl. S. 1), last amended by the law dated March 13, 2018 (GBl. S. 85), the Senate of the University of Stuttgart approved the following new version of the Doctoral Degree Regulations on February 13, 2019.

The Rector granted his approval according to § 38 Para. 4 of the State Higher Education Law on March 1, 2019, Reference Number: 7841.170.

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## § 1 General

- (1) Based on the resolution of the doctoral committees of the faculties of
- Architecture and City-Planning,
  - Construction- and Environmental Sciences,
  - Energy-, Process- and Biotechnology,
  - Computer Science, Electrical Engineering and Information Technology,
  - Construction, Production and Vehicle Technology,
  - Aerospace Engineering and Geodesy
- and the doctoral committees of the
- Graduate School of Excellence Advanced Manufacturing Engineering and the
  - Stuttgart Centre for Simulation Sciences
- the University of Stuttgart awards the academic degree of a PhD Engineer (Dr.-Ing.);

based on the resolution of the doctoral committees of the faculties of

- Chemistry,
- Energy-, Process- and Biotechnology,
- Computer Science, Electrical Engineering and Information Technology,
- Aerospace Engineering and Geodesy,
- Mathematics and Physics,

and the doctoral committee of the

- Stuttgart Centre for Simulation Sciences

the University of Stuttgart awards the academic degree of PhD in Natural Sciences (Dr. rer. nat.);

based on the resolution of the doctoral committees of the  
Philosophy and History Faculty  
and the faculties of

- Architecture and City-Planning
- Computer Science, Electrical Engineering and Information Technology
- Economics and Social Sciences

and the doctoral committee of the

- Stuttgart Centre for Simulation Sciences

the University of Stuttgart awards the academic degree of a PhD in Philosophy (dr. phil.) and

based on the resolution of the doctoral committees of

- the Faculty of Economics and Social Sciences,
- the Graduate School of Excellence advanced Manufacturing Engineering and the
- Stuttgart Centre for Simulation Sciences

the University of Stuttgart awards the academic degree of PhD in Economics and Social Sciences (Dr. rer. pol.).

- (2) The doctoral degree is awarded on the basis of a dissertation composed by the doctoral student and an oral examination.

## § 2 Dissertation

- (1) The dissertation must satisfy scientific requirements, provide scientific progress and be independent work by the candidate.
- (2) The dissertation must be taken from subject areas that are sufficiently represented at the University of Stuttgart in research and teaching<sup>1</sup>). The responsible doctoral committee will make the decision about this.
- (3) The dissertation should be composed in German language. A brief summary (abstract) in German and usually in English must be included. The dissertation can be composed in English language. The dissertation can be prepared in another foreign language, if the doctoral committee approves this at the recommendation of the examination board. For foreign-language dissertations, a summary must be added in German. The extent of the foreign-language and German summary is determined by the individual faculties and/or institutions of the University of Stuttgart by means of directives.
- (4) Student research projects, seminar assignments and term papers, the bachelor's thesis, Diplom thesis, the master's or Magister thesis, the scientific research paper for the teacher's degree or papers that are submitted for other examinations, as well as papers that have already been published, cannot be used as a dissertation, except for publications within the context of Paragraph 6. It is possible to publish parts of the dissertation prior to the completion of the doctoral degree procedure.
- (5) As a rule, the dissertation should originate at an institution of the University of Stuttgart. Scientific research papers, which are prepared outside of the University of Stuttgart can only be recognized as a dissertation, if the subject matter and the implementation of the paper have been discussed with a responsible professor or tenure track professor, junior professor, private lecturer, higher education institution lecturer or university lecturer, who is entitled to the right of the reporter, honorary professor, to whom the responsible faculty council has granted the right of a reporter or an associate professor of a university of applied sciences.
- (6) The dissertation can be prepared publication-based in a cumulative form, if this is permitted by the directive of the doctoral committee in agreement with the faculty council and the supervisor approves the preparation of a publication-based dissertation. The directive must specifically contain regulations regarding the type, minimum number and publication status of the scientific publications used, regarding the permitted and/or recognized publication bodies, the admissibility and the permitted scope of co-authorships. The cumulative dissertation must represent equivalent performance to a dissertation according to Para. 1. The cumulative dissertation shall be preceded by a detailed introduction, in which the theoretical frame of reference is described, as well as the classification of the individual publications in an overall scientific context.

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<sup>1</sup> The doctoral subjects are shown in the institution list.

### § 3 Preconditions for the doctoral degree studies

(1) As a rule, someone who fulfills the following preconditions can be accepted for doctoral degree studies:

1. the successful completion of

- a) master's degree studies at a university in the Federal Republic of Germany or
- b) degree studies with a standard period of study of at least four study years at a university; teacher training college or art academy in the Federal Republic of Germany (bachelor's, Diplom, Magister or scientific state examination) or
- c) post-graduate degree studies at a university, teacher training college or another university with the right to award doctoral degrees in the Federal Republic of Germany;

the examination result must indicate that the candidate is able to perform additional scientific research activities;

2. the primary correspondence of the discipline that forms the basis of the planned dissertation, with the field of study; for candidates with a degree in a dual degree program, particularly with a master's, Magister or state examination with a major degree subject;
3. a subject provided or approved by a professor, tenure track professor, junior professor, private lecturer, higher education institution lecturer or university lecturer, who is entitled to the right of the reporter, honorary professor, to whom the responsible faculty council has granted the right of a reporter or an associate professor of a university of applied sciences, for the planned dissertation and his or her willingness to accept the supervision of the related research activities. In justified, exceptional cases, the doctoral committee can assign the independent supervision of doctoral degree studies to excellently qualified, scientists of the faculty, who hold a doctorate, who participate in externally assessed university instructor development programs (e.g. heads of an Emmy-Noether junior research group), even without evidence of a habilitation.

(2) The following deviations from the rule are admissible; the following requirements replace the preconditions referred to in Para. 1. Deviating decisions over and above this shall be submitted to the Senate.

1. From candidates, who have completed their university studies at a foreign university,

- a) the approval of the acceptance as a doctoral student by the Rector is required,
- b) the equivalence of the degree with an examination according to Para. 1 Point 1 must be proven (cf. Para. 3). The recommendations of the Central Office for Foreign Education, relevant equivalence agreements and university cooperations shall be observed.

2. Candidates, whose field of study does not include the disciplines related to the topic of the dissertation, or not in sufficient breadth and depth or have only studied these disciplines as part of a minor, must prove that they have in-depth knowledge in these areas, which they have otherwise acquired (cf. Para. 3).

3. For candidates, who intend to investigate a topic that they have chosen themselves, the doctoral committee of the respective faculty and/or institution is required to investigate,
    - a) whether the respective faculty and/or institution is technically responsible for the prospective topic,
    - b) whether the topic allows dissertation that is sufficient for scientific requirements within the meaning of § 2 Para. 1,
    - c) whether the disciplines related to the topic are sufficiently represented at the University of Stuttgart; these include professionally competent professors, tenure track professors, junior professors, private lecturers, higher education institution lecturers or university lecturers, who are entitled to the right of the reporter, honorary professors, to whom the responsible faculty council has granted the right of a reporter, as well as sufficient resources being available (premises, apparatus, libraries, research material etc.), which are required to perform the necessary research activities,
    - d) whether a professor, tenure track professor, junior professor, private lecturer, higher education institution lecturer or university lecturer, who is entitled to the right of the reporter, or an honorary professor, to whom the responsible faculty council has granted the right of a reporter, is prepared and able to accept the supervision of the candidate.
  4. For specially qualified graduates with a bachelor's degree from a university in the Federal Republic of Germany, who do not fall under Para. 1 No. 1, and which specifically qualified graduates with a Diplom degree from a university of applied sciences, a university of cooperative education and/or dual universities, provided that their degrees are equivalent to university degrees, instead of the preconditions referred to in Para. 1 Point 1, an eligibility assessment procedure will be required with a three-semester additional qualification, as a rule. The precondition is that the degree has been acquired with an excellent result and the doctoral committee of the faculty and/or institution of the University of Stuttgart, in which the doctoral degree studies are intended to be completed, certifies that the graduate is basically capable of conducting scientific research to the same extent as required by a graduate in accordance with Para. 1 No. 1 on the basis of the Doctoral Degree Regulations. The same applies to graduates of the Wuerttemberg Notary Academy. The responsible doctoral committee decides on the achievements required in the eligibility assessment procedure, particularly in the basic subjects, at the suggestion of the designated main reporter, who must belong to the corresponding faculty and/or institution.
- (3) As a rule, the evidence required in Para. 2 Point 1b or 2 (recognition assessment) shall be provided in the following manner:
- a) the preparation of a scientific research paper, which is equivalent to a master's thesis,
  - b) passing two oral examinations in various subject areas with a duration of approximately 30 minutes each.

The examination result must indicate that the candidate is able to perform additional scientific research activities.

At the suggestion of the supervisor, the Chairperson of the doctoral committee shall specify the further details (examiner, dates, examination subjects and subject matter). The doctoral committee can specify other forms of examinations (e.g. in written form) and different types of evidence (e.g. eligibility assessment procedures in accordance with Para. 2 No. 5), as well as entirely or partially waiving the achievements referred to in specific cases.

- (4) If the examinations to be taken according to Para. 2 No. 4 and Para. 3 were not passed, the parts that were not passed can be repeated once, no earlier than after three months and no later than within one year. If the one-year time limit is not met, the authorization to participate in the eligibility assessment procedure and/or the recognition assessments shall lapse, unless the candidate is not at fault for missing the deadline. The doctoral committee shall decide on this, at the request of the candidate.

#### **§ 4 Acceptance as a doctoral student**

- (1) Candidates must apply for the acceptance as a doctoral student. As a rule, the application must be made prior to starting work on the dissertation. The acceptance as a doctoral student requires that the candidate fulfills the preconditions for doctoral degree studies according to § 3. If the candidate is required to successfully pass an eligibility assessment procedure in accordance with § 3 Para. 2 No. 4 or a recognition assessment according to § 3 Para. 3, the acceptance as a doctoral student must occur with the condition that the eligibility assessment procedure and/or the recognition assessment must be passed within a time limit set by the doctoral committee, or if no such time limit has been set, no later than by admission to the examination in accordance with § 6.
- (2) The doctoral committee of the responsible faculty and/or institution shall decide on the acceptance as a doctoral student.
- (3) The request for acceptance as a doctoral student shall be addressed to the responsible department of the university, in the form which it has prescribed. Unless it is already available in the files, it must include:
  1. a presentation of the résumé in German or English language, which particularly provides information about the candidate's educational background,
  2. transcripts regarding the university studies,
  3. the original certificate for the passed Diplom, bachelor's, master's or Magister examination or scientific state examination or a certified copy, for candidates with a final examination from a foreign university, the corresponding diploma and for candidates according to § 3 Para. 2 Clause. 4, the certificate regarding the bachelors, Diplom and/or final examination and the certificate from the responsible doctoral committee in accordance with § 3 Para. 2 Point 4,
  4. the identification of the faculty or institution of the University of Stuttgart, with which the doctoral degree procedure is intended to be carried out,
  5. the identification of the topic or field of work for the planned dissertation,

6. a written agreement on doctoral studies between a supervisor, who can be appointed as a reporter according to § 7 Para. 3 and the candidate in accordance with § 38 Para. 5 of the state law governing higher education, as amended, with the minimum contents regulated in this law. The agreement on doctoral studies must specifically contain regulations regarding an individual qualification program comprised of at least 9 credit points. The regulations are based on the requirements, which the respective doctoral committees prepare in consultation with the representatives of the doctoral students. The effectiveness of the agreement on doctoral studies is subject to the reservation that the preconditions for the doctoral degree studies exist in accordance with § 3 and the doctoral committee approves the acceptance as a doctoral student. With the conclusion of the agreement on doctoral studies, the candidate undertakes to register using the doctoral student software of the University of Stuttgart. With the registration, the candidates are regarded as being active at the University of Stuttgart within the meaning of § 9 Paragraph 4 Sentence 1 of the state law governing higher education and are entitled to use the university facilities to the same extent as accepted doctoral students.
  7. a declaration regarding possible previous attempts and doctoral degree studies, still-existing, ongoing doctoral degree procedures and successfully completed doctoral degree studies, any applicable further details about the time, higher education institution, faculty and dissertation topic,
  8. the obligation to immediately provide notification about possible other doctoral degree procedures, which were initiated following a request for acceptance as a doctoral student; *ceteris paribus*, Point 7 applies.
- (4) The responsible department at the university will examine the existence of the evidence according to Para. 3 and will forward the request for acceptance as a doctoral student to the doctoral committee of the responsible faculty and/or institution, if the Rector has granted the required approval in accordance with § 3 Para. 2 Point 1. In cases of doubt, the Senate decides which faculty and/or institution the request should be allocated to. The Rector's approval can also be obtained after the ascertainment of equivalence of the foreign degree by the doctoral committee.
- (5) The acceptance as a doctoral student shall be denied,
1. if the preconditions according to § 3 Para. 1 and/or 2 are not fulfilled and can also not be fulfilled as part of requirements according to Para. 1,
  2. if the planned dissertation cannot be expected to provide a scientific discourse which satisfies any of the requirements referred to in § 2,
  3. if the candidate has already made more than one unsuccessful attempt at doctoral degree studies,
  4. if the time of the oral examination for a previous doctoral degree procedure, which was not decided on negatively, is not more than at least two years ago; the Senate shall decide on justified exceptional cases upon application by the faculty.



- (6) The acceptance as a doctoral student can be denied,
  1. if the subject area is the same as, or similar to the dissertation of a doctoral degree procedure, which has already been successfully completed or is still pending, by the same candidate,
  2. if the applicant has been awarded the same doctoral degree a second time with the intended doctoral degree studies,
  3. if the applicant has incompletely or incorrectly issued the required declarations according to § 4 Paragraph 3 No. 7 and 8;
  4. if reasons exist, which justify withdrawal of the academic degree according to the legal regulations.
- (7) The acceptance as a doctoral student can be denied or deferred, if the subject areas related to the topic of the dissertation are not represented or equipped to a sufficient extent at the University of Stuttgart (cf. § 3 Para. 2 Point 3 c).
- (8) The candidate will be notified in writing about whether the preconditions for doctoral degree studies are fulfilled and whether she or he will be accepted as a doctoral student. A copy of the letter shall be sent by the Chairperson of the doctoral committee to the responsible department at the university. If an acceptance occurs with requirements according to Para. 1, the requirements shall be specified.
- (9) Applicants, who have been accepted as doctoral students, must enroll for the duration of the doctoral degree studies in accordance with the provisions of the state law governing higher education, as amended. Exceptions from this are doctoral students, who are employed full-time at the University of Stuttgart and have declared to the Rectorate in writing that they do not intend to enroll.
- (10) If the supervisor is not able to continue, e.g. due to extended illness or similar, the doctoral committee, in agreement with the doctoral student, will appoint a new supervisor, who can be appointed as a reporter in accordance with § 7 Para. 3.
- (11) The acceptance as a doctoral student shall be revoked by the doctoral committee, if
  1. the doctoral students,
    - a) who mainly dedicate themselves to the dissertation, cannot submit the dissertation within six years and/or,
    - b) who are mainly employed otherwise, and cannot submit the dissertation within eight years,  
  
unless the doctoral student is not responsible for the duration. The doctoral committee shall decide on the non-responsibility upon application by the doctoral student in agreement with the supervisor.
  2. the doctoral student has been accepted with requirements according to Para. 1 and the examinations to be taken are ultimately not passed or have not been passed successfully within a set time limit. In the latter case, this does not apply, if the doctoral student is not responsible for the missed deadline. The doctoral committee shall decide on this upon application by the doctoral student in agreement with the supervisor.

- (12) The acceptance as a doctoral student can be revoked by a resolution of the doctoral committee, if
- a) the doctoral student is not making efforts to continue the dissertation or is not up to the topic,
  - b) missing or incorrect details emerge in the acceptance request or the obligation of § 4 Paragraph 3 No. 8 is not fulfilled.
  - c) scientific misconduct exists, according to the principles approved by the Senate of the University of Stuttgart to safeguard good scientific practice, as amended.

The doctoral student has previously been given the opportunity to make a statement.

## **§ 5 Ombudsperson**

- (1) If conflicts and disputes arise between doctoral students and supervisors during the course of the doctoral degree procedure, both sides can contact the responsible ombudsperson.
- (2) The details, particularly the appointment of the ombudsperson, as well as the procedure, shall be determined according to the statutes of the University of Stuttgart regarding ombudsperson proceedings, as amended.

## **§ 6 Admission to the examination**

- (1) The doctoral student shall submit their dissertation in paper form and in machine-readable printed form to the faculty and/or institution of the University of Stuttgart, by which they have been accepted as a doctoral student. Therefore, the application for admission to the examination is simultaneously associated with this. The doctoral committee can request an opinion from the supervisor regarding whether the paper is ready for submission. The applicant shall be admitted to the examination procedure by the Chairperson of the doctoral committee, if they have been accepted as a doctoral student and have fulfilled the requirements imposed according to § 4 Para. 1, if applicable.
- (2) The dissertation shall include a declaration by the doctoral student that she or he has composed the dissertation independently, apart from the explicitly identified resources. A sworn affidavit can be requested regarding the independence of the scientific achievement.
- (3) If the dissertation was produced outside of the university, a written opinion by the supervisor from the University of Stuttgart shall be included, with whom the paper was discussed in accordance with § 2 Para. 5.
- (4) The application for admission to the examination can be withdrawn once by means of a written declaration to the Chairperson of the examining board (§ 7 Para. 2), with the consequence that the admission to the examination is deemed to have not occurred, as long as the doctoral degree procedure is not terminated due to a rejection decision regarding the dissertation (§ 10 Para. 4 Sentence 3 No. 3) or the oral examination has not started. The right to withdraw according to Sentence 1 shall lapse as soon as the Chairperson of the examining board becomes aware of attempted or committed fraud in the dissertation.

## § 7 Examining bodies

### (1) Doctoral committee

The professors, tenure track professors, junior professors, as well as private lecturers, university lecturers and higher education institution lecturers of the respective faculty, belonging to the Enlarged Faculty Council, form the doctoral committee or appoint the members of the doctoral committee from among their group. By way of derogation from Sentence 1, the faculties can regulate the involvement of the emeritus or retired professors, as well as the honorary professors, in the doctoral committee, by means of guidelines.

If a faculty awards more than one doctoral degree, additional doctoral committees can be established.

The Chairperson is the Dean or an appointed deputy of the Dean, who must be a full-time professor belonging to the faculty, and/or the Chairman of the committee, which has been assigned the exercising of the right to award doctoral degrees (e.g. SC SimTech and GSAME) by the Senate.

All decisions in accordance with this regulation, for which no specific responsibility is substantiated, will be made by the doctoral committee.

### (2) Examination board

The examination board is appointed by the doctoral committee in each individual case. The examination board is comprised of the Dean or a deputy appointed by the Dean, who must be a full-time professor belonging to the faculty and/or the Chairperson of a committee established by the Senate, which has been assigned with the exercising of the right to award doctoral degrees, as the Chairperson, as well as a main reporter and one or two co-reporters. Over and above this, on a case-by-case basis, additional professors, tenure track professors, junior professors, private lecturers, higher education institution lecturers of the responsible faculty or institution, who are entitled to the right of the reporter, or honorary professors, to whom the responsible faculty council has assigned the right of a reporter, as members of the examination board.

- (3) As a rule, reporters are professors, tenure track professors and junior professors of the responsible faculty. Professors, tenure track professors, junior professors and private lecturers of another faculty or another university can also be appointed as reporters by a resolution of the doctoral committee, if they are entitled to the right of the reporter there, private lecturers, university lecturers or higher education institution lecturers of the University of Stuttgart or honorary professors, to whom the right of the reporter has been assigned by the responsible faculty council, as well as professors of the universities of applied sciences or Baden-Wuerttemberg dual university. In justified cases, the doctoral committee can appoint excellently qualified, scientists of the faculty, who have earned their doctorate, without evidence of habilitation, who participate in an externally assessed university instructor development program (e.g. heads of an Emmy-Noether junior research group) as a reporter (cf. § 3 Para. 1 No. 4).

- (4) At least one of the reporters must be a professor, tenure track professor, junior professor or an extraordinary professor of the responsible faculty or institution, who works full-time at the University of Stuttgart, to whom the exercising of the right to award doctoral degrees has been assigned (GSAME and SC SimTech). In an individual case, the doctoral committee can decide that the preconditions of Sentence 1 are also deemed to be fulfilled, if the main reporter, who has supervised the doctoral degree procedure, is no longer a member of the faculty at the time of appointing the examination board, but has fulfilled the preconditions of Sentence 1 at the time of acceptance of the doctoral student. The leaving of the faculty must not have been longer than 3 years in the past, exceptions from this are professors who are relieved of duty and are in retirement in accordance with § 9 Para. 1 Sentence 2 of the state law governing higher education.
- (5) When the reporters are appointed, the doctoral committee must pay attention to their independence.

In case of doubt, the doctoral committee will appoint additional reporters.

## **§ 8 Doctoral degree studies in the GSAME Graduate School**

- (1) These Doctoral Degree Regulations apply to the doctoral degree studies in the “GSAME Graduate School of Excellence Advanced Manufacturing Engineering in Stuttgart”, unless specified otherwise in this paragraph. The GSAME Graduate School is responsible for the implementation of the individual doctoral degree procedures. The duties of the doctoral committee under these Doctoral Degree Regulations are incumbent upon the doctoral committee of the GSAME Graduate School. The members of the doctoral committee of the GSAME Graduate School are professors, tenure track professors, junior professors and the private lecturers, university lecturers and higher education institution lecturers of the GSAME Graduate School.
- (2) The Chairperson of the doctoral committee of the GSAME Graduate School is the Chairperson of the Graduate School or a deputy appointed by them, who must be electable for the office of the Chairperson of the Executive Board. The Chairperson of the Executive Board of the GSAME Graduate School is also responsible for the duties and responsibilities of the Dean in accordance with these Doctoral Degree Regulations.
- (3) As a rule, reporters are professors, tenure track professors and junior professors of the GSAME Graduate School. Over and above this, private lecturers, university lecturers or high education institution lecturers of the GSAME Graduate School, as well as professors, tenure track professors and junior professors of a faculty of the University of Stuttgart or another university, if they are entitled to the right of the reporter there, and honorary professors, to whom the right of the reporter has been assigned by a faculty council, private lecturers, university lecturers or higher education institution lecturers of the University of Stuttgart and in an individual case, professors of universities of applied sciences or Baden-Wuerttemberg dual university, can be appointed as a reporter. At least one of the reporters must be a professor or junior professor of the GSAME Graduate School.

## **§ 8a Doctoral degree studies in the IMPRS-CMS Graduate School**

(1) These Doctoral Degree Regulations apply to the doctoral degree studies in the “International Max Planck Research School for Condensed Matter Science (IMPRS-CMS)”, unless specified otherwise in this paragraph. The “Chemistry” and “Mathematics and Physics” faculties are responsible for the implementation of the individual doctoral degree procedures. The “Chemistry” and “Mathematics and Physics” faculties have formed a joint committee to prepare the decisions about the acceptance of candidates for the IMPRS-CMS. The committee examines the existence of the preconditions for the admission to doctoral degree studies and recommends the acceptance or rejection of a candidate as a doctoral student to the technically responsible doctoral committee and will give recommendations, where necessary, for requirements, if these are prescribed by the Doctoral Degree Regulations. The decision about the acceptance or rejection as a doctoral student and the imposition of requirements is made exclusively by the responsible departments according to the Doctoral Degree Regulations. The joint preparatory committee for doctoral degree studies in the IMPRS-CMS is appointed by the doctoral committees responsible for “Chemistry” and “Physics”, which is comprised as follows:

- both of the Chairpersons of the doctoral committees responsible for “Chemistry” and “Physics”,
- each of two additional members of the “Chemistry” and “Mathematics and Physics” faculties, who are simultaneously members of the councils of the IMPRS and can be a member of a doctoral committee according to § 7 Para. 1; deputies shall be appointed to the same extent,
- two members from within the Max Planck Society, who are simultaneously members of the IMPRS Council; deputies shall be appointed who are similarly qualified.

One or both of the Chairpersons of the doctoral committees responsible for “Chemistry” and “Physics” shall be appointed as Chairperson, with the other as deputy. The period of office for the remaining members is 6 years, with re-election possible.

- (2) The responsible department at the university according to § 4 Para. 4 forwards the request for acceptance as a doctoral student to the Chairperson of the joint committee. After a preliminary review of the application, the joint committee shall provide a recommendation to the technically responsible doctoral committee about the acceptance or rejection as a doctoral student.
- (3) In particularly justified cases, the doctoral committee can also appoint Max Planck Research Group Leaders, who have earned their doctorate and have gone through an externally assessed procedure, without evidence of habilitation, over and above the group of persons referred to in § 7 Para. 3.

## **§ 8b Doctoral degree studies in the IMPRS-IS Graduate School**

(1) These Doctoral Degree Regulations apply to the doctoral degree studies in the “International Max Planck Research School for Intelligent Systems (IMPRS-IS)”, unless specified otherwise in this paragraph.

- (2) In particularly justified cases, the doctoral committee can also appoint Max Planck Research Group Leaders, who have earned their doctorate and have gone through an externally assessed procedure or can provide evidence of another comparable outstanding qualification, without evidence of habilitation, over and above the group of persons referred to in § 7 Para. 3.

## **§ 9 Doctoral degree studies in the Stuttgart Centre for Simulation Sciences (SC SimTech)**

- (1) These Doctoral Degree Regulations apply to doctoral degree studies in the “Stuttgart Centre for Simulation Sciences”, hereinafter referred to as SC SimTech, unless specified otherwise in this paragraph. SC SimTech is responsible for the implementation of the individual doctoral degree procedures. The faculty of the University of Stuttgart that is affected on the basis of the dissertation topic can be involved in the doctoral degree procedure. The doctoral committee decides about the application for acceptance as a doctoral student according to § 4. In the case of a faculty being involved, the acceptance as a doctoral student must be subsequently confirmed by the responsible doctoral committee of the faculty according to Sentence 3. The duties of the doctoral committee under these Doctoral Degree Regulations are incumbent upon the doctoral committee of SC SimTech. The members of the doctoral committee of SC SimTech are professors, tenure track professors, junior professors and the private lecturers, university lecturers and higher education institution lecturers of SC SimTech. In the case of a faculty being involved, the doctoral committee will also include professors, tenure track professors and junior professors of the doctoral committee of the faculty at the University of Stuttgart, which is mainly affected by the doctoral degree studies on the basis of the dissertation topic and according to the findings of the SC SimTech doctoral committee.
- (2) The Chairperson of the doctoral committee of SC SimTech is the Managing Director of SC SimTech or a deputy appointed by her or him, who must be electable for the office of the Managing Director of SC SimTech. The Managing Director of SC SimTech is also responsible for the duties and responsibilities of the Dean in accordance with these Doctoral Degree Regulations.
- (3) As a rule, reporters are professors, tenure track professors and junior professors of SC SimTech. Over and above this, private lecturers, university lecturers or higher education institution lecturers of SC SimTech, as well as professors, tenure track professors and junior professors of a faculty of the University of Stuttgart or another university, if they are entitled to the right of the reporter there, and honorary professors, to whom the right of the reporter has been assigned by a faculty council, private lecturers, university lecturers or higher education institution lecturers of the University of Stuttgart and in an individual case, professors of universities of applied sciences or Baden-Wuerttemberg dual university, can be appointed as reporters. At least one of the reporters must be a professor or junior professor or junior professor of SC SimTech.

## **§ 10 Assessment of the dissertation and continuation of the procedure**

- (1) The reporters shall assess the dissertation. The Chairperson of the doctoral committee shall work towards the assessment being completed within three months. In the written evaluation of the dissertation, the reporters apply to accept the dissertation, accept the dissertation with specific changes or to reject it. They can also propose to return the dissertation to the doctoral student for revision or supplementation within a specific time limit (maximum of one year). In the case of applying for acceptance, they will also assess the dissertation with a grade according to § 12 Para. 2. With outstanding performance, the proposal can also recommend the awarding of an overall grade with distinction. If the doctoral student's dissertation is returned according to Para. 4 No. 2, the final assessment will only be performed by the reporter after the requirements are fulfilled.
- (2) The Chairperson of the doctoral committee will send the paper to the members of the doctoral committee for information, together with the reporters' assessment. The members of the doctoral committee shall recommend in writing, whether the paper will be accepted or only accepted with specific changes.
- (3) Upon a resolution of the doctoral committee, this circulation procedure can be replaced by,
  - a) only a specified group of at least four members of the responsible doctoral committee or the doctoral committee of a related discipline faculty being involved in the circulation procedure, or
  - b) the dissertation being made available for inspection for 14 days, together with the reporters' assessment. The Chairperson or deputy shall notify the members about this. Within the period of availability for inspection of 14 days, the members of the doctoral committee have the right to request the paper from the Chairperson for three days, to substantiate raising a possible objection or requesting changes and raising doubts about the dissertation in writing. If this right is not exercised, the procedure will be continued.
- (4) All recommendations, change suggestions, objections or doubts, which are expressed by the parties to the procedure according to Para. 2 and/or 3 will be submitted to the examination board. This will decide whether and in which form the examination procedure should be continued. The following decisions are possible:
  1. The examination procedure will be continued without a change to the dissertation; at the same time, a date will be arranged for the oral doctoral examination.
  2. The dissertation will be returned to the doctoral student with the requirement to make specific changes or partially revise it within the set time limit. After this, it shall be resubmitted to the examination board. An oral doctoral examination will only take place after the requirements are fulfilled. The oral examination can only be held in the case of minor, stylistic or formal change requirements. These change requests will then need to be fulfilled by the time the dissertation goes to print.
  3. The dissertation is rejected. The doctoral student will receive written notification about this. The examination procedure will end with the grade of "not passed" in this case.

The examination board can decide that the doctoral committee should be given a hearing prior to decisions in the cases referred to under Point 2 and 3. The examination board can also suspend the decision and suggest that the doctoral committee calls in additional assessors according to § 7 Para. 3 and Para. 4.

- (5) A rejected dissertation shall remain with the files of the faculty and/or institution, together with all assessments. The doctoral student can only submit a new application for admission to the examination with a new dissertation once, and no earlier than after one year. This also applies, if the first unsuccessful application occurred at a different university.

## **§ 11 Oral examination**

- (1) In the oral doctoral examination, the doctoral student must prove that she or he has in-depth knowledge of the subject area, from which the dissertation is taken.
- (2) The doctoral committees can determine that the doctoral students must present, as a rule, a thirty-minute public university lecture on the subject areas of the dissertation and also decide that the lecture is an integral part of the oral examination which flows into the grading according to § 12.
- (3) The Rector, the professors, the junior professors, the private lecturers, higher education institution lecturers and university lecturers of the responsible faculties or institutions, the honorary professors, to whom the responsible faculty council has assigned the right of the reporter, the members of the doctoral committee and the other persons involved in the procedure according to § 11 Para. 4 and Para. 6 will be invited to the oral examination.
- (4) The examination will be led by the Chairperson of the examining board. The examiners are the members of the examination board. If a member of the examination board is unable to attend the examination, the Chairperson of the doctoral committee shall appoint a deputy. The examination can only take place, if all members of the examination board or their deputies are present. The main reporter can only be deputized if compelling reasons exist. In justified exceptional cases, the Chairperson of the examining board, with the consent of the doctoral student, can permit a member of the examination board to attend via video conferencing. In this case, participation by the connected member of the examination board, which is equivalent to being in attendance, must be ensured with appropriate technical constraints.
- (5) The oral examination will take between one and two hours. If a public university lecture in accordance with Para. 2 is an integral part of the oral examination, at least one hour of this must be allocated to the examination discussion. Only the members of the examination board will participate in the examination discussion with the doctoral student. Minutes must be recorded. Upon prior application by the doctoral student, with the consent of all members of the examination board, the examination can also be conducted in a foreign language.
- (6) If the doctoral student gives consent, in addition to the invitees according to Para. 3, the professors of other University of Stuttgart faculties will be permitted to attend as listeners. Under the same preconditions, candidates, who are accepted as doctoral students, can participate as listeners. The listeners are excluded from the advisory and announcement of the result by the examination board.



- (7) Listeners in accordance with Paragraph 3 shall be excluded from the examination discussion, upon application by the doctoral student. They can be excluded by the examination board for good cause.
- (8) If a doctoral student fails to take part in the examination without valid reasons, the examination shall be assessed as “not passed”. The reasons shall be explained by the Chairperson of the examining board, providing appropriate evidence. In the case of health impairment, a medical certificate must be submitted regarding the inability to take part in the examination.

## **§ 12 Grading of the dissertation and the oral examination, ascertainment of the overall grade**

- (1) After the oral examination is completed, the examination board shall decide by mutual agreement about passing or not and the grade for the oral examination, on the basis of the reporters’ recommendations. If the oral examination and dissertation have been passed, it shall also decide on the overall grade in accordance with Para. 4 and 5. If no agreement can be reached, the Chairperson shall decide, in consideration of all examination-relevant aspects.
- (2) The reporters shall assess the dissertation and the examination board shall assess the oral examination that has been passed under the preconditions of Paragraph 1, with one of the following grades:
  - 1.0 = very good
  - 1.5 = very good to good
  - 2.0 = good
  - 2.5 = good to satisfactory
  - 3.0 = satisfactory
- (3) The grade for the dissertation results from the arithmetic mean of the grades awarded by the individual reporters. Only one place after the decimal is taken into account, all other places are deleted without rounding. The grades are:
  - from 1.0 to 1.4 = very good
  - from 1.5 to 2.0 = very good to good
  - from 2.0 to 2.4 = good
  - from 2.5 to 2.9 = good to satisfactory
  - for 3.0 = satisfactory
- (4) The overall grade results from averaging the decimal grade calculated according to Para. 3 for the dissertation and the grade for the oral examination. It can differ from the arithmetic mean by half a grade (0.5) upwards or downwards, in consideration of all examination-relevant aspects.

The overall grade is:

with an average of  
up to 1.5 magna cum laude (very good)  
with an average of  
over 1.5 to 2.5 cum laude (good)  
with an average of  
over 2.5 to 3.0 rite (satisfactory).

- (5) With outstanding performance, the overall grade of “summa cum laude” (with distinction”) can be awarded.
- (6) If the examination has been passed, the doctoral committee will apply to the Rector, notifying the result, to award the doctoral student the academic degree of a PhD Engineer, a PhD in Natural Sciences, a PhD in Philosophy or a PhD in Economics and Social Sciences.
- (7) If the examination has not been passed, the doctoral student can only register once more for a re-examination, but not before six months have elapsed. If the doctoral student intends to earn a doctorate with the same dissertation, she or he must register within one year. However, in the case of a rejected dissertation in accordance with § 10 Para. 4 Point 3, this is excluded. For re-examinations, §§ 10 to 12 apply accordingly.

### **§ 13 Publication of the dissertation**

- (1) After the oral doctoral examination, the doctoral student will provide the main reporter with a copy of their dissertation, in which changes, which may possibly have been imposed on the doctoral student during the examination procedure, are taken into account. The main reporter will examine the accuracy and release the dissertation to the candidate for printing. The dissertation may not be published before then. § 2 Para. 4 and 6 remain unaffected. The main reporter shall keep the copy provided to her or him in safe custody.
- (2) The doctoral student undertakes to make their dissertation available in an appropriate manner to the scientific public. If parts of the dissertation have been disclosed in advance according to § 2 Para. 4 and 6, the doctoral student is responsible for compliance with the applicable copyright regulations for these parts of the dissertation. In addition to the copy required for the examination files, depending on the chosen type of publication, they must deliver the prescribed number of copies to the University Library free of charge. The following types of publications are available to choose from:
  1. Electronic form: 6 copies in printed form, together with a copy in the form of a machine-readable file. In this case, the candidate shall assign the right to store this dissertation electronically and make it accessible in the public network to the university. She or he will furthermore assign the right to the University of Stuttgart for conversion for the purpose of long-term archiving, in accordance with preservation of the content. The candidate must additionally declare in writing that the machine-readable file corresponds to the approved version of the paper in form and content, in accordance with Para. 1,
  2. Publication: 6 copies, if a commercial publisher takes over the distribution via bookstores. The publisher must provide evidence of a minimum print run of 150 copies or guarantee that the title will still be available for delivery for a minimum of four years (print-on-demand procedure),
  3. Self-printing: 34 copies in printed form for the purpose of distribution by the library,
  4. Special printing: 6 special printouts, if the publication is taking place in a journal.

Further details about the publications that are available to choose from are regulated in the “Leaflet for Doctoral Students Regarding the Outer Form of the Dissertations”.

- (3) At the end of the dissertation, the author's résumé can be added (maximum of one page). The mandatory copies must be submitted to the University Library within one year, for humanities, within two years, after the oral examination. If the doctoral student is at fault for missing this deadline, all rights acquired by the examination shall lapse. In special cases, the responsible doctoral committee can exceptionally extend the deadline on the basis of a promptly submitted, substantiated application by the doctoral student.
- (4) After the receipt of the mandatory copies by the library, it will send these four copies, with the date of receipt applied to them, to the main reporter. She or he will check the accuracy of the printed copy on the basis of the manuscript in her or his possession and send a copy with her or his approval to the Chairperson of the doctoral committee.
- (5) She or he will release the printed dissertation with a letter to the library and confirm the delivery of the mandatory copies in a proper and timely manner to the responsible department of the university. The main reporter will retain the original, in addition to three printed copies. The faculty or institution will retain one printed copy.
- (6) In compliance with the rules of good scientific practice, relevant research data for the dissertation shall also be documented and archived in the appropriate infrastructure of the University of Stuttgart, by using services that are recognized by the university and in accordance with the research data policy of the University of Stuttgart.

#### **§ 14 Doctoral degree certificate**

- (1) The doctoral degree certificate, composed in German language, will bear the date of the oral examination. Upon request by the doctoral student, an English translation will be prepared.

The doctoral degree certificate will be signed personally by the Rector and by the Dean and/or the Chairperson of the committee set up by the Senate, to which the exercising of the right to award doctoral degrees was transferred, and will bear the seal of the university. It contains the overall assessment and, upon a resolution of the doctoral committee, both of the other grades.

- (2) The doctoral degree certificate will be handed out to the doctoral student as soon as the Chairperson of the doctoral committee of the university has sent the confirmation explained in § 13 Para. 4 Sentence 3. If the full wording of the dissertation is published by a publisher or in a scientific journal, the doctoral student's doctoral degree certificate can be handed out with the consent of the responsible doctoral committee, if a binding written confirmation exists from a publisher or an editor that the dissertation will be published within specified time limit, which has been approved by the doctoral committee. In this context, the deadline regulations according to § 13 Para. 3 must be observed and the subsequent mandatory submission must be guaranteed.
- (3) The doctor title can only be used once the doctoral degree certificate has been presented.

## **§ 15 Joint doctoral degree studies with a domestic or foreign higher education institution**

- (1) The University of Stuttgart can award one of the doctorates referred to in § 1 in a jointly conducted doctoral degree procedure with domestic or foreign universities, which are authorized to award doctoral degrees. In contrast, this procedure prescribes joint supervision by each of one supervisor and usually attendance for the one semester at the higher education institutions involved. If the descriptions of the doctoral degree at the participating higher education institutions differ from one another, the doctoral degree can optionally be held in the form of the University of Stuttgart or in the form of the domestic or foreign higher education institution, further details will be regulated according to Para. 2.
- (2) For the purpose of a joint procedure, an agreement shall be made between the University of Stuttgart and the responsible faculty or institution, as well as the domestic or foreign higher education institution, which must be approved by the doctoral committee. The agreement regulates a joint doctoral degree procedure, which is led by the responsible bodies of the domestic or foreign higher education institution and the doctoral committee, particularly a joint examination, assessment and grading of the examination achievements by a joint examination board. It can prescribe exceptions regarding the composition of the examination board, the preparation of the assessment, the form, duration and language of the oral examination, the language of the dissertation and the language and content of the doctoral degree certificate. In addition to German, approved languages are also English and French. In this context, it is also permitted to regulate that the assessment of the dissertation and the implementation of the oral examination can specifically only be based on one of the relevant Doctoral Degree Regulations for the procedure.
- (3) For degrees in doctoral degree courses of study (doctoral student college), by way of derogation to § 1 Para. 1, the doctoral committee can decide and regulate in the agreement according to Paragraph 2, that the University of Stuttgart is awarding the academic degree of Doctor of Philosophy (Ph.D). In the case of a cooperation with a foreign higher education institution, it must be ensured that the educational objective of the doctoral degree course (doctoral student college) is the qualification for science and research.
- (4) The duty to publish the dissertation and the rights to it shall be based on the regulations of the higher education institutions involved.

## **§ 16 Fraud**

- (1) If it is determined, prior to presenting the doctoral degree certificate, that the acceptance and/or admission for doctoral degree studies was wrongly granted or that the doctoral student attempted or committed fraud in respect of her or his achievements, so that these doctoral degree achievements can be assessed by the responsible doctoral committee with the grade of “not passed”. In serious cases, the doctoral committee can also exclude the doctoral student from further doctoral degree procedures in the faculty or institution.
- (2) If it emerges, after presenting the doctoral degree certificate, that the doctoral degree was attained by inadmissible means, particularly fraud, the doctoral degree can be withdrawn by the responsible doctoral committee according to § 48 of the state law on administrative procedures (LVwVfG).

## **§ 17 Withdrawal of the doctoral degree**

The withdrawal of the doctoral degree occurs by the doctoral committee in accordance with the legal provisions. The party concerned must be given a hearing beforehand.

## **§ 18 Honorary doctorate**

- (1) Upon application by the faculty responsible for the respective doctoral degree, the University of Stuttgart awards the honor of a Dr.-Ing. E. h., a Dr. rer. nat. h. c., a Dr. phil. h. c. or a Dr. rer. pol. h. c.
- (2) The Senate decides on the application according to the following procedure: The proposal to award the honor is submitted to the Senate members in a meeting of the Senate (1st reading). Upon request, the Senate members receive the right to inspection of the documentation, in between the 1st and 2nd reading. Objections shall be notified to the Rector as soon as possible. The Senate can assign a committee to review the proposal. The Senate decides on awarding the honorary doctorate in another meeting (2nd reading). This requires the consent of two-thirds of the members with voting rights.
- (3) The faculty's application must be preceded by a resolution by the professors, junior professors, private lecturers, higher education institution lecturers and university lecturers of the faculty, who work full-time at the University of Stuttgart. The individual faculties are free to take over the procedure described in Para. 2 Sentence 2 f. for their resolution, or prescribe a different majority decision.
- (4) The awarding is incumbent upon extraordinary scientific, technical or artistic achievement or outstanding achievements with the application or development of scientific findings and methods. It is completed by presenting a doctoral degree certificate, in which the corresponding achievements of the doctoral degree recipient are honored.

## **§ 19 Renewal of the doctoral degree certificate**

The doctoral degree certificate can be renewed in its 50th anniversary year of being attained upon a proposal by the responsible faculty, by the Rector in a ceremonial form.

## **§ 20 File inspection**

- (1) Up to one year after the oral examination, the candidate has a right to inspect the file for the doctoral degree studies, including the assessments.
- (2) The application for file inspection shall be submitted to the Chairperson of the doctoral committee, who shall determine the venue and time of the file inspection.

## **§ 21 Entry into force and interim regulations**

- (1) This new version of the Doctoral Degree Regulations shall enter into force on April 1, 2019.
- (2) Doctoral students, who are accepted or admitted for doctoral degree studies prior to the new version of the Doctoral Degree Regulations entering into force can complete these according to the previously valid Doctoral Degree Regulations, however, no later than by March 31, 2026. Upon irrevocable application to the Chairperson of the doctoral committee, the doctoral degree studies can also be completed according to the new Doctoral Degree Regulations.
- (3) Doctoral students, who have been admitted to the doctoral degree studies in accordance with § 21 Para. 2 of the Doctoral Degree Regulations dated February 22, 2016 (Official Announcement No. 5/2016) prior to April 1, 2016, can still complete their doctoral project according to the Doctoral Degree Regulations dated September 1, 2011 (Official Announcement No. 55/2011), however, no later than by March 31, 2024. Doctoral students, who have submitted a corresponding written declaration to the Chairperson of the doctoral committee in accordance with § 21 Para. 3 of the Doctoral Degree Regulations dated September 1, 2011 (Official Announcement No. 55/2011) by March 31, 2012, can also complete their doctoral project according to the Doctoral Degree Regulations dated October 16, 2008 (Official Announcement No. 72/2008), however, no later than by September 30, 2019. The same applies to doctoral students, who have been admitted to doctoral degree studies prior to October 1, 2011. If the doctoral degree studies are completed according to the Doctoral Degree Regulations dated October 16, 2008, the doctoral student shall be at liberty to publish the dissertation according to the regulations of § 13 of this new version.  
Paragraph 2 Sentence 2 shall apply accordingly in the aforementioned cases.

Stuttgart, March 1, 2019

Univ.-Prof. Dr.-Ing. Wolfram Ressel  
Rector