



## Guideline <sup>1</sup>

### Doctoral degree studies at the Department of Mathematics to the doctoral degree regulations as of September 01, 2011

#### 1 General

This guideline is an informal abstract about the procedure of doctoral degree studies at the Department of Mathematics. Furthermore, you get an overview about the subject-specific decisions made by the doctoral committee of the Department of Mathematics. The legal basis for doctoral degree studies at the Department of Mathematics are the doctoral degree regulations (German: Promotionsordnung, abbreviated PromO) of the University of Stuttgart.

Doctoral thesis projects accepted after the PO of 01.09.2011 can be completed no later than **31.03.2024** after the PO 2011.

At the Department of Mathematics, the current vice dean is the chairperson of the doctoral committee.

Additional regulations may apply to structured doctoral degree programmes of graduate colleges and schools such as Simulation Technology (<http://www.simtech.uni-stuttgart.de/en/career/gs/index.html>) and GRADUS (<http://www.gradus.uni-stuttgart.de/index.en.html>). The doctoral student and his/her doctoral supervisor are responsible for meeting the specific deadlines (e. g. progress report).

The doctoral degree regulations as of September 1, 2011 (German only) are available at: [OPUS: Promotionsordnung der Universität Stuttgart vom 01.09.2011](#)

Detailed information regarding the procedure of doctoral degree studies are available at: [FB Mathematik/Promovierende/](#) and [In fünf Schritten zur Promotion | Universität Stuttgart](#)

#### 2 Procedure at the Department of Mathematics

Prior to starting your doctoral degree studies, you need to find a doctoral supervisor. At the Department of Mathematics, the following persons can act as doctoral supervisor (German nomenclature!): Professor, Juniorprofessor, Privatdozent, Hochschuldozent (see PO §3 Abs.1(4)). The supervisor provides a letter regarding his/her confirmation of doctoral supervision to the candidate. This document is mandatory for step 1 "acceptance as doctoral student" and needs to be provided to the Examinations Office.

The procedure of doctoral degree studies consists of the following eight steps:

- Step 1: Acceptance as doctoral student
- Step 2: Doctoral degree studies
- Step 3: Submission of doctoral thesis / Sign-up for admission to oral doctoral examination
- Step 4: Referee reports about the doctoral thesis
- Step 5: Perusal of referee reports
- Step 6: Oral doctoral examination
- Step 7: Publication of doctoral thesis
- Step 8: Doctoral certificate and completion of procedure

<sup>1</sup> Version as of February, 2023

## Step 1: Acceptance as doctoral student

Prior to starting your doctoral degree studies, you need to apply for acceptance as doctoral student<sup>3</sup>. You need to submit your application in writing including all attachments (see application form) to:

Examinations Office  
University of Stuttgart  
Simone Hawlitschek  
Pfaffenwaldring 57  
70569 Stuttgart

The chairperson (vice dean) of the doctoral committee of the Department of Mathematics will decide about the acceptance as doctoral student. Acceptance might be subject to meeting additional requirements. The candidate receives a letter informing if the prerequisites for doctoral degree studies have been met and if he/she has been accepted as doctoral student (the doctoral supervisor and the Examinations Office will receive copies of that letter).

### Verification of formal prerequisites:

Candidates holding a degree in Mathematics (diploma, master's degree or Staatsexamen) from a German university are usually accepted as doctoral students without any additional conditions.

Candidates with a foreign degree or a degree from a German university but in another subject, might need to provide proof as to the breadth and depth of their proficiency in Mathematics. The chairperson of the doctoral committee verifies the prerequisites, in alignment with the doctoral supervisor. The doctoral committee can accept the application for acceptance as doctoral student, decline or accept on conditions.

Candidates with foreign degrees need to get their degrees recognized by the University's Admissions Office for Foreign Citizens. Please attach the "Formal Equivalency of Foreign Degrees form" to your application for acceptance as doctoral student. (You submit your documents to the Examinations Office only. The Examinations Office will forward all necessary documents to the Admissions Office for Foreign Citizens.)

### Enrollment as a doctoral student / Change to registration as a doctoral student:

Candidates who have been accepted as doctoral students by the doctoral committee, can enroll. Please send all necessary documents to:

University of Stuttgart  
Admissions Office  
Postfach 10 60 37  
70049 Stuttgart  
Germany

Candidates holding a degree from the University of Stuttgart can change their course of study instead of enrolling as doctoral student.

The maximum period of time for being enrolled as doctoral student is 10 semesters; a prolongation up to 14 semesters is possible.

## Step 2: Doctoral degree studies

During your doctoral degree studies, please consider:

- If you have been accepted on conditions as doctoral student, you will need to fulfil these conditions in due time during your doctoral degree studies.
- Parts of the doctoral thesis can be published in advance with your doctoral supervisor's approval. Vice dean's approval is not necessary.
- The acceptance as doctoral student can be revoked if the doctoral student who mainly works on his/her dissertation, does not submit his/her doctoral thesis within six years. For doctoral students who are mainly occupied otherwise, a maximum time period of eight years applies. The time period starts at the date when the letter of acceptance as doctoral student had been issued. An extension from six to eight years may be requested with an informal letter to the chairperson of the doctoral committee (Vice Dean). The doctoral committee decides on the application.
- After the doctoral thesis is finalized, the doctoral student submits the doctoral thesis to his/her supervisor and waits for his/her approval. After the doctoral supervisor's release, the doctoral thesis can be submitted to the vice dean's office (see step 3).

### Step 3: Submission of doctoral thesis / Sign-up for admission to oral doctoral examination

Please consider the following time periods from submitting your thesis until the oral examination:

- Around **one week** to approve the examination board (German = Prüfungsausschuss) (**two weeks** outside of term-time) by the Doctoral Committee
- Joining GS SimTech: the examination board must also be approved (**1 – 2 weeks**) additionally
- Around **six to eight weeks** for reporting, can take up to three months
- **Two weeks** period of perusal during teaching weeks (**three weeks** period outside of term-time)

The candidate submits her/his doctoral thesis to the vice dean's office. GRADUS members also need to attach a declaration by their doctoral supervisor proving that the minimum quality standards have been met and that the progress report as per §5 had been accepted. Submission of the doctoral thesis implies sign-up for admission to the oral doctoral examination. If you had been accepted on conditions as doctoral student, you must provide proof that you fulfilled all conditions upon submission of your doctoral thesis. Please consider:

- The dissertation can be written in German or English. It must contain brief summaries (abstracts) in German and usually in English which should not exceed two pages (per language) in DIN A4 format.
- According to PO 2011 §6 Abs. 3 Admission to the examination, the dissertation **has to** contain a declaration signed by yourself stating that you wrote the dissertation yourself except for explicitly cited references.
- The candidate submits a digital version and the following number of the dissertation in adhesive binding to the vice dean's office.
  - **1** for the main reporter (doctoral supervisor)
  - **2 – 3** to the other reporters
  - **1** for the Vice Dean
  - **1** for SimTech (if included)
- The dissertation does **not yet** need to contain any reporter name or date of the oral examination. After the oral examination, this information must be included on the front pages of the copies delivered to the University Library for publication.

## Step 4: Referee reports about the doctoral thesis

At least two referees must report on the doctoral thesis. The following details need to be considered:

- The doctoral supervisor is usually the main reporter and suggests at least one more reporter to the vice dean. In the case of two expert opinions, one should be external (= external to the university), or at least not from the same institute, if the subject classification of the work allows it. (*decision of the Mathematics doctoral committee of Oktober 19, 2022*).
- At least one reporter must be a full-time professor at the Department of Mathematics at the University of Stuttgart PO 2011§ 7 Abs. 3 + 4. Regarding SimTech doctoral studies, at least one reporter must belong to an external institution. For the appointment of all reporters, the vice dean obtains approval from the doctoral committee via an e-mail survey. The rights of the chairperson of the doctoral committee remain unaffected (*decision by the Mathematics doctoral committee as of January 25, 2017*).

### “Summa cum laude” degree:

- If a “summa cum laude (with distinction)” degree becomes apparent, the doctoral committee's decision of 2006 remains that basically three expert opinions are required, one of which is external (= external to the university). (*decision of the Mathematics doctoral committee of Oktober 19, 2022*).
- In order to avoid delays, this "awarding report" should be named directly when the examination board is appointed. This must be done by means of a reference to an award in the room and a name proposal for the reporter by the supervisor at the time of submission of the dissertation. The appointment of the examination board is then carried out on a regular basis. (*decision of the Mathematics doctoral committee of Oktober 19, 2022*).
- (decision of the Mathematics doctoral committee of April, 2006). In addition, in this case, a second additional examiner, representing the breadth of the subject, is appointed by the Vice Dean to the examination board by an urgent decision. The additional additional examiner is deleted without replacement. (*decision of the Mathematics doctoral committee of Oktober 19, 2022*).
- All approved changes apply immediately to newly started procedures, i. e. to all ongoing doctoral procedures for which the dissertation has not yet been submitted on the day of the decision. (*decision of the Mathematics doctoral committee of Oktober 19, 2022*)
- In addition, upon approval of the doctoral student, all members of the doctoral committee can attend and ask questions at the oral doctoral examination (*decisions of the Mathematics doctoral committee as of November 23, 2005 and December 21, 2005*).

**External reporters:** By default, all reporters belong to the examination board. If external reporters cannot take part in the doctoral examination digitally or in person, a representative must be appointed. [Travel costs of external reporters](#) (information in German only) are usually reimbursed by the Central Administration. and approved before the examination. The necessary formalities are arranged by the secretariat where the person is supervised in consultation with the vice dean's office.

**Official correspondence with the reporters:** The vice dean's office sends the dissertation to the reporters in advance digitally and by post and encloses a letters signed by the chairperson of the doctoral committee.

**Duration of the evaluation procedure:** A period of 6 - 8 weeks normally applies for the reports. The evaluation should normally be completed within three months (PO §10 Abs. 1).

## Step 5: Perusal of referee reports

After arrival, the examiner reports and the dissertation are available for on-site perusal by the doctoral committee in ILIAS and in the vice dean's office (PO §10 Abs. 3(b)). During teaching weeks the time period for perusal is **at least 14 days**, outside of term-time **at least 21 days** (*decision of the Mathematics doctoral committee as of October 16, 2013*). The members of the doctoral committee are informed about the perusal via e-mail. Any objection can be addressed in writing to the vice dean within the period of perusal (*decision of the Mathematics doctoral committee as of October 19, 2005*).

## Step 6: Oral doctoral examination

**Examination date:** The doctoral student schedules the examination date in alignment with the members of the examining committee. The doctoral supervisor informs the vice dean's office about the desired date and time. If possible, oral doctoral examinations should not take place within non-teaching weeks. In non-teaching weeks, the month of August (school holidays) must be skipped (*decision by Mathematics doctoral committee as of October 16, 2013*).

**Examining committee:** The vice dean contacts the doctoral supervisor regarding the members of the examining committee. For the appointment of the additional examiners, the vice dean obtains approval from the Mathematics doctoral committee via an e-mail survey. The rights of the chairperson of the doctoral committee remain unaffected (*decision by the Mathematics doctoral committee as of January 25, 2017*). Furthermore, the vice dean appoints the chairperson and, if applicable, approves the representative of an absent referee.

**Appointment of an additional examiner:** Besides the reporters, an additional examiner of the doctoral committee belongs to the examination board (*decision of the Mathematics doctoral committee as of February 01, 2006*). The additional examiner must represent the breadth of the subject. For the appointment of the additional examiners, the vice dean obtains prior approval from the doctoral committee in order to guarantee transparency.

Additional examiners must not be reporters and must belong to another institute than the doctoral supervisor. For doctoral supervisors who do not belong to any institute of the Department of Mathematics, additional examiners are defined in alignment with the vice dean (*decision of the Mathematics doctoral committee as of October 16, 2013*).

### Talk and oral doctoral examination:

- The vice dean's office sends an invitation to the oral doctoral examination to the members of the doctoral committee, to external reporters (if any), to the Dean of the faculty and to the Rector of the University. In addition, the vice dean's office sends an invitation to the talk (open to university staff and students) to the colloquium distribution list.
- The Chairperson of the examination board may, with the consent of the doctoral student, allow one member or, in justified exceptional cases, several members of the examination board to take part in the examination via videoconference. In this case, appropriate technical conditions must ensure the presence of the involved member of the examination committee. The doctoral student's consent must be in writing before the start of the examination
- In the Department of Mathematics a public talk of, as a rule, **forty-five minutes** is integral part of the oral examination and is considered for the grading according to PO § 12.
- The doctoral student is responsible for reserving and preparing the room for the talk and for the oral doctoral examination (usually the faculty room 8.122).
- The grading of the doctoral thesis, the oral examination and the determination of the overall grade is determined according to PO §12 and communicated to the doctoral student after the examination.

## Step 7: Publication of doctoral thesis

After the oral doctoral examination, the doctoral student revises the doctoral thesis, if applicable, and considers any changes requested by the referees. Publication of the doctoral thesis is defined in PO §13 of the doctoral degree regulations. You need to comply with the "Merkblatt für Doktoranden über die äußere Form der Dissertationen" (pages 21 to 25 of the doctoral degree regulations). After release of the final version by the doctoral supervisor, the doctoral student delivers a prescribed number of copies (as per doctoral degree regulations) to the University Library within one year after the oral doctoral examination.

The University Library sends four copies to the doctoral supervisor. She/he verifies the copies, forwards **one copy** (in case of doctoral thesis within SimTech **two copies**) to the vice dean's office and releases the doctoral thesis for publication via a letter to the vice dean. On the basis of this letter, the vice dean releases the printed doctoral thesis and confirms to the University Library the delivery of the required copies on time.

After publication please send an abstract of the doctoral thesis in German and English to the vice dean's office and allow its publication on the Department's homepage.

## Step 8: Doctoral certificate and completion of procedure

Upon request of the doctoral student, an English translation of the doctoral degree certificate will be prepared. The form can be found at [\(Formulare | Für Studierende | Universität Stuttgart\)](#). This application may be submitted before the oral examination in the office of the vice-dean.

Linklist:

- <https://www.simtech.uni-stuttgart.de/sc/gs/>
- <https://www.gradus.uni-stuttgart.de/>
- <https://www.f08.uni-stuttgart.de/mathematik/promovierende/>
- <https://www.uni-stuttgart.de/forschung/nachwuchs/document/campus-registrierung-doktoranden-dt.pdf>
- <https://anabin.kmk.org/anabin.html>
- <https://www.uni-stuttgart.de/forschung/nachwuchs/promotion/>
- <https://www.uni-stuttgart.de/forschung/nachwuchs/promotion/fuenfschritte/>
- <https://www.uni-stuttgart.de/forschung/nachwuchs/promotion/einschreibung/>
- <https://www.uni-stuttgart.de/forschung/nachwuchs/document/aequivalenzpruefung.pdf>
- <https://www.uni-stuttgart.de/forschung/nachwuchs/document/erklaerung-immatrikulation.pdf>
- <https://www.ub.uni-stuttgart.de/forschen-publizieren/stuttgarter-dissertationen/>
- <https://www.student.uni-stuttgart.de/pruefungsorganisation/formulare/>