

# **Guidelines for writing a doctoral thesis by publication at SC SimTech<sup>1</sup>**

These guidelines are based upon the doctoral degree regulations of the University of Stuttgart as amended on March 01, 2019 (PromO). They were approved by the doctoral committee in agreement with the general assembly in the meeting of June 24, 2020.

## **Section 1 - Joint doctoral procedures with faculties**

In the event that a doctoral project is conducted at SC SimTech in cooperation with another faculty, the guidelines for writing a thesis by publication in place at the respective faculty will replace the guidelines set out here. The guidelines set out here only apply to doctoral projects conducted at SC SimTech without the involvement of another faculty.

## **Section 2 - Basic guidelines**

- (1) The doctoral thesis may be composed of several publications.
- (2) The academic supervisor must approve the thesis by publication.
- (3) The thesis by publication as a whole must be equal in effort to a doctoral thesis pursuant to Section 2 (1) PromO, i.e. equivalent to a monograph thesis (Section 2 (6) PromO).
- (4) Prior to submitting the thesis, the supervisor is required to declare to the doctoral committee that the thesis is ready for submission.
- (5) Evidence of the publication status (date of publication) must be provided in a separate letter to the doctoral committee before it is determined whether the thesis is ready for submission. In case of articles accepted for publication, indicating the DOI number is usually sufficient, in case of articles submitted for publication, a letter by the publisher must be provided.
- (6) The articles have to be published by/submitted for publication to international peer-reviewed journals or, in individual cases, equivalent publication media.
- (7) For each publication written with co-authors, the doctoral candidate is required to prepare a statement indicating the exact extent of his/her contribution to the publication with regard to both content and percentage of contribution. The co-authors of each article are required to confirm the authors' share in the publication with their signature. These documents must be made available to the doctoral committee before it is determined whether the thesis is ready for submission.
- (8) All assessors must confirm that the thesis by publication is equivalent to a monograph thesis pursuant to Section 1 of the doctoral degree regulations in terms of both quality and quantity of work.
- (9) In addition to the provisions set out in the doctoral degree regulations governing the appointment of the examination board for doctoral theses (see Section 7 (2) of the PromO "Examination board"), it is essential that at least one assessor did not co-author any of the publications (bias).

---

<sup>1</sup> Please note that only the German version of these guidelines is legally binding

### **Section 3 - Supervisors**

To determine whether the thesis is ready for submission, the supervisor has to present a statement on the thesis by publication to the doctoral committee in which the candidate's contribution to the individual publications (share) as well as the journal's standing in the scientific community is described. This written statement is submitted to the assessors. The assessors are asked to give their opinion on the quality of the publication media.

### **Section 4 - Contents of the thesis by publication**

- (1) In a thesis by publication, the articles must be preceded by a detailed introduction and methodology section of at least 30 to 40 pages in which the theoretical framework is presented and the individual articles are placed in the context of the current state of research.
- (2) The introduction must be followed by a list of own publications used in the thesis, indicating the current publication status of each article (date of publication/accepted for publication/under review/submitted).
- (3) The thesis must also contain a bibliography - the publications cited are to be included as an appendix.
- (4) The thesis must contain at least three publications ("full papers") that were either accepted for publication or published. In justified individual cases, it may be sufficient if the third article has been at least submitted. Only original research articles are taken into account. A significant portion of the publication must have been written by the candidate.
- (5) In general, each publication should correspond to a single chapter.

### **Section 5 - Publication**

The doctoral thesis must be published in accordance with Section 13 PromO. Pursuant to Section 13 (2) PromO, it is the doctoral candidate's responsibility to ensure that all applicable copyright laws are complied with if parts of the thesis were previously published (the candidate is responsible for making the corresponding arrangements with the publishers).