Procedure of the PhD examination process after the candidate’s acceptance to the PhD programme by the faculty

- Submission of three bound copies and an electronic version (in pdf format on CD or DVD) of the dissertation to the dean’s office. A fourth bound copy is needed in case of an additional third PhD examiner. Submissions must be made no later than 10 days prior to the faculty’s PhD examination board meeting (Sitzung des Promotions- und Habilitationsausschusses). An email address needs to be provided for future correspondence on the progress of the review process.

  Note: Two (three) copies are sent to the examiners. The third (fourth) copy is kept at the dean’s office as backup. All copies will be returned to the PhD candidate after the viva.

- The dean’s office submits the dissertation to the PhD examination board after receipt of all relevant documents (copies of thesis and (!) documents of the University’s examinations office (Prüfungsamt)).

  The dean’s office will inform the doctoral candidate of any progress after the examination board’s meeting by email.

- Once the review proceedings have been instituted by the PhD examination board, copies of the dissertation are sent to the PhD examiners (usually to the supervisor and to one or two additional experts in the respective field of research). Examiners are expected to return their reviews within 3 months.

  The dean’s office will inform the doctoral candidate after receipt of all reviews.

- The dissertation and all reviews are made available to a selected group of professors of the faculty (Umlaufprofessoren). Their individual votes are expected within three weeks.

  The candidate will be informed once the professors have electronic access to the dissertation and the reviews.

- The candidate will be notified when all professors have returned their suggestions and comments on the thesis.

  In case of positive votes the candidate, the examiners and the chair of the doctoral viva committee need to agree on a date for the PhD viva, and the dean’s office will send out official invitations.

- The dean’s office will compile records with the 3 (4) examination reports, the faculty’s professors statements, the official form for the protocol of the viva and a copy of the dissertation. This will be handed to the chair of the viva committee.

  All copies of the thesis will be returned to the PhD candidate after the viva.

- After successful completion of the viva, the PhD candidate is given the opportunity for possible corrections of the thesis. All corrections need to be approved by the first examiner (Hauptberichter, usually the candidate’s supervisor). The first examiner approves the dissertation for printing (see § 13(1) of the University’s PhD examination rules, 01.09.2011).

  The PhD candidate is requested to publish his thesis. The candidate should consult the PhD examination rules §13(2) for options for publication. Copies of the final approved manuscript
have to be submitted to the university library within one year starting from the date of the viva.

- The library will ask for confirmation from the first examiner whether the copies submitted to the library indeed agreed with the approved manuscript (§13(4), PhD examination rules). The first examiner will then send one copy to the chair of the PhD examination board. The chair then approves the printed version and confirms the conclusion of the correct PhD examination’s procedure to the central administration of the university. After receipt of the obligatory copies, the library sends four copies provided with the date of receipt to the main reporter. The main reporter verifies the correctness of the printed dissertation based on the at hand manuscript and sends one copy with his approval to the chairperson of the doctorate board. The doctorate board enables the printed dissertation by writing to the library and confirms the on schedule and duly delivery of the obligatory copies to the central administration. The doctoral candidate is informed of the approval of the printed copies and the confirmation sent to the central administration via email. The first examiner keeps the original and three printed copies of the manuscript. One copy is archived by the faculty/ institute.

- §20 Access to PhD records
  1. Up to one year after the viva the candidate has the right to ask for access to all records related to the PhD examination including the examiners’ reports.
  2. The application for access to the records has to addressed in writing to the chair of the PhD examination board (usually the dean of the faculty). The chair specifies the date and place for the access to the PhD records.

Blue = additional commentary

Red = email correspondence by the dean’s office with the PhD candidate