

Unofficial translation¹

Doctoral Degree Regulations (Dr. rer. nat.) of the University of Bremen for Faculty 5 Geosciences Dated 18.06.2018

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On June 25, 2018 and pursuant to § 110 Para. 3 of the Bremen Higher Education Act (BremHG) in the version published on May 9, 2007 (Bremen Law Gazette (Brem. GBl.) p. 339)), last amended by Article 1 of the Act of March 24, 2015 (Brem. GBl. p. 141), the President of the University of Bremen approved the Doctoral Degree Regulations for Dr. rer. nat. at the University of Bremen passed by Faculty Board 5 on the basis of § 65 Para. 4 in conjunction with § 87 Paras. 1 and 2 in the version below:

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¹ Passed by Faculty Board 5 at its meeting of July 15, 2015.

§ 1

Purpose of Doctorate and Doctoral Degree

(1) The University of Bremen through Faculty 5 awards the degree of Doktor der Naturwissenschaften (Dr.rer.nat.) on the basis of the doctoral work which has been completed.

(2) The doctorate shall serve as proof of the recipient's ability to conduct in-depth, independent scientific work.

§ 2

Doctoral Examination Board

(1) The Board of Faculty 5 shall appoint a Doctoral Examination Board for the doctoral degree to be awarded pursuant to § 1. The Faculty Board shall determine the number and distribution of the seats on the Doctoral Examination Board. It shall ensure that the provisions of the Doctoral Degree Regulations are complied with.

(2) The Doctoral Examination Board shall comprise representatives of each of the following groups: University lecturers, students, academic and/or non-academic staff. The group comprising the university lecturers shall have the absolute majority of the seats and votes on the Doctoral Examination Board. The remaining groups shall each have the same numbers of seats. The university lecturers and academic and/or other staff members shall be elected by the Faculty Board for a period of two years, the students for a period of one year. The Doctoral Examination Board shall elect one of its members as its Chairperson and one as his/her deputy; both must be university lecturers.

§ 3

Acceptance as a Doctoral Student

(1) The application to be accepted as a doctoral student shall be submitted to the Doctoral Examination Board. The following documents shall be enclosed with the application:

1. The documents required under Paras. 1 and 2,
2. A brief description of the applicant's personal and educational background,
3. A description of the work planned having due regard to the requirements of § 5 Para. 1, including a work plan and a schedule.
4. A positive statement from the supervisor regarding the content of the work planned, the work plan and the schedule. The statement should end with the unqualified recommendation that Faculty 5 should accept the applicant as a doctoral student.

(2) To be accepted as a doctoral student, the applicant must have successfully completed a university degree course in a discipline which has a meaningful connection to the planned topic of the doctoral thesis or if the applicant has proof of a Master's degree, a 'Diplom' degree, a 'Magister' degree or a 'Staatsexamen' (state examination) awarded by a university.

(3) If a candidate has gained outstanding grades in their Bachelor's degree or their "Fachhochschuldiplom" (Diplom from a university of applied sciences), they must pass additional courses and examinations. The scope of these courses shall be specified by the Doctoral Examination Board at the proposal of the supervisor and after one university lecturer on the Doctoral Examination Board who works in Faculty 5 has provided a statement. The decision on the application shall be taken within a deadline of six weeks after all documents have been made available.

(4) The scientific work of doctoral students shall be supervised; with the agreement of the applicant, a university lecturer from the University of Bremen or, on application, a post-doctoral scientist employed on a full-time basis or similar in a senior position at the University of Bremen should be appointed. On application, the Doctoral Examination Board may transfer the supervision to a university lecturer at a

university of applied sciences, who is recognized in research, or a different post-doctoral scientist in a senior position pursuant to Clause 1 outside the University; in such cases, a university lecturer from Faculty 5 shall be nominated to accompany the doctoral studies.

(5) The supervisor shall ensure a suitably equipped workplace is provided. The aim is to specify the supervisory relationship in a written supervision agreement (schedule and work plan of the doctoral project/frequency of supervisory discussions, participation in structured doctoral programs).

(6) Both the supervisor and the doctoral student can terminate the supervisory relationship for cause. This requires the approval of the Doctoral Examination Board.

(7) The doctoral supervision relationship ends when five years have elapsed since the decision to accept the doctoral student was taken. At the justified request of the doctoral student and if there is a positive statement from the supervisor, it may be extended if it is expected that the doctorate will be successfully completed.

§ 4

Application for Admission to the Doctoral Examination

(1) The candidate shall apply to be admitted to the procedure for the doctoral examination by submitting their thesis (§ 5) and stating the degree they aim to achieve (§ 1). The application shall be submitted to the Doctoral Examination Board.

The application shall be accompanied by:

1. The documents required under § 6 Para. 1,
2. An up-to-date résumé with list of publications,
3. A written declaration as to whether the candidate has already submitted themselves to a doctoral examination procedure and what the result was, if applicable, or has applied for one,
4. A written declaration that a scrutiny of the doctoral thesis with approved software is permitted as part of the investigation into accusations of plagiarism.

(2) The Doctoral Examination Board must decide on the application within four weeks, or within eight weeks during the semester break, of the documents pursuant to Para. 1 being made available. The candidate shall be notified of the decision in writing.

§ 5

Doctoral Thesis

(1) The candidate must submit a doctoral thesis which meets scientific requirements and makes a contribution to the advancement of science. It must prove the candidate's ability to undertake independent scientific work.

(2) The doctoral thesis may also consist of several of the candidate's original publications (e. g. articles in reviewed journals or book chapters) (cumulative thesis), whereby the candidate shall illustrate how their context relates to their research. When papers are used where several authors have participated in their writing, a description of the contributions of the authors involved and an informative description of the contribution made by the candidate must be inserted into the thesis as a separate section.

(3) Parts of the thesis may have been published before it is submitted.

(4) The doctoral thesis may be written in German or English. If a cumulative thesis (§ 5 Para. 2) is submitted, this can be submitted in whole or in part in English or German. An abstract ('Zusammenfassung') in German is required.

(5) Three bound copies of the doctoral thesis shall be submitted to the Examinations Office. A written affirmation in lieu of an oath (as per the Appendix to these Regulations) shall be included to the effect that the applicant

1. has undertaken the work (on their own) without unauthorized help from third parties,

2. has not used any sources or aids other than those they have stated,
3. has identified as such any information taken verbatim or in terms of content from the publications used and
4. that the electronic version of the doctoral thesis included for the purpose of scrutiny is identical to the printed version submitted.

(6) A copy of the doctoral thesis shall be available for inspection by members of the university in the Faculty Administration until the colloquium.

(7) The candidate shall send an electronic version of the doctoral thesis to the members of the Examining Committee pursuant to § 8 immediately after the Examining Committee has been appointed. The electronic version must be suitable to check that the thesis complies with the principles of good scientific practice and can be used for this purpose.

§ 6

Requirements for Admission to the Doctoral Examination

- (1) Admission to the procedure for the doctoral examination is possible for those who
 1. have already been accepted as a doctoral student in Faculty 5 pursuant to §3 and have submitted the documents required pursuant to § 4 Para. 1,or
 2. have proved they meet the conditions listed under § 3 Paras. 1 to 3 for acceptance as a doctoral student.

Admission to the procedure for the doctoral examination shall be refused if the candidate has already made more than one unsuccessful attempt at a doctorate.

(2) With the agreement of the Faculty Board, the Doctoral Examination Board can waive the requirements pursuant to Para. 1 when the candidate has appropriate scientific abilities and their doctoral work is in the scientific interest.

§ 7

Evaluation of the Doctoral Thesis/Admission to the Colloquium

(1) The Doctoral Examination Board shall decide whether the candidate is to be admitted to the colloquium pursuant to the provisions in Paragraphs 2 to 7 on the basis of evaluation reports on the doctoral thesis.

(2) Each reviewer appointed pursuant to Para. 3 or Para. 4 shall compile an evaluation report on the doctoral thesis which justifies the acceptance or rejection of the doctoral thesis. All aspects of the doctoral thesis shall be appraised in the evaluation report and the vote on the acceptance or rejection of the thesis shall be sufficiently justified. The reviewer may propose that an outstanding thesis be awarded a distinction. This requires a statement in addition to the evaluation report.

(3) For candidates who are doctoral students at the University of Bremen and who fulfill the admission requirements pursuant to § 6, the Doctoral Examination Board shall commence the procedure by appointing two university lecturers or at least one university lecturer and one post-doctoral expert in a senior position (cf. § 3 Para. 3) as reviewers. The two reviewers must be sufficiently independent of each other. When making the appointment, care must be taken that reasons for bias pursuant to §§ 20, 21 Administrative Procedures Act (VwVfG) do not exist between the reviewers and the doctoral student or between the reviewers themselves. The candidate may propose reviewers. At least one reviewer must be a member of Faculty 5. The supervisor may be one of the reviewers. One of the reviewers must not be a member of the University of Bremen. One of the reviewers must not be a co-author of any of the manuscripts of the doctoral thesis. The Doctoral Examination Board may only reject a person proposed as a reviewer with justification. If one of the two reviewers rejects the acceptance of the dissertation even after it has been revised pursuant to Para. 6, a further reviewer shall be appointed by the Doctoral Examination Board with the agreement of the candidate; Clauses 1-8 apply accordingly.

(4) For candidates who apply for the procedure for the doctoral examination to commence without having been a doctoral student at the University of Bremen prior to this, the first step shall be to appoint

a university lecturer at the University of Bremen as a reviewer. The Doctoral Examination Board shall support the candidate in the execution of his/her right pursuant to Para. 3 Cl. 4. A second reviewer shall be appointed by the Doctoral Examination Board when the reviewer pursuant to Cl. 1 proposes the doctoral thesis be accepted in their evaluation report. Para. 3 Clauses 2 to 9 apply accordingly.

(5) The evaluation reports shall be available six weeks after the reviewer has been appointed at the latest. They shall be sent to the candidate and the Doctoral Examination Board. They shall be available for inspection together with (a copy of) the thesis for 14 days at least in the administration of Faculty 5, where they can be viewed by members of the University. The fact that the documents are available for inspection shall be communicated in a suitable way. If an evaluation report is not submitted in due time, the Doctoral Examination Board can, after one request for submission, revoke the appointment of the reviewer concerned with the agreement of the candidate and appoint another reviewer. Para. 3 applies accordingly.

(6) After having seen the evaluations or, where Para. 4 applies, the first evaluation, the applicant may apply for the procedure to be adjourned to revise the doctoral thesis, or may withdraw the doctoral thesis, within two weeks of the evaluation(s) being made available. In the latter case, the procedure for the doctoral examination shall be terminated. The application to adjourn the procedure to revise the doctoral thesis may not be repeated. The revised version of the doctoral thesis shall be submitted to the same reviewer(s) within one year of making the application.

(7) If two reviewers recommend the acceptance of the doctoral thesis, the candidate shall be admitted to the colloquium. If, after the thesis has been revised pursuant to Para. 6,

1. where Para. 3 Cl. 1 applies, two of the reviewers
2. where Para. 4 Cl. 1 applies, the reviewer pursuant to Para. 4 Cl. 1 or the second reviewer pursuant to Para. 4 Cl. 3 or the further reviewer pursuant to Para. 4 Cl.4 in conjunction with Para. 3 Clauses 2 to 8

reject(s) the doctoral thesis, the candidate shall not be admitted to the colloquium. In this case, the Doctoral Examination Board shall decide on the doctorate on the basis of the evaluation reports with the result "nicht bestanden (fail)" and terminate the procedure for the doctoral examination.

(8) The Doctoral Examination Board may terminate the procedure for the doctoral examination if the deadlines pursuant to Para. 6 are not met.

(9) Further statements which have been made regarding the doctoral thesis of the candidate shall be communicated to the candidate, the members of the Doctoral Examination Board, and the Examining Committee for their information.

§ 8

Examining Committee and Colloquium

(1) Once the Doctoral Examination Board has decided to admit the candidate to the colloquium pursuant to § 8, it shall appoint an Examining Committee.

(2) The Examining Committee shall comprise:

1. The reviewers,
2. A university lecturer from Faculty 5 and an additional post-doctoral expert or university lecturer who is sufficiently independent of the two reviewers,
3. Two further members of the University of Bremen, at least one of whom is a student.

The members of the Examining Committee pursuant to Clauses 2 and 3 shall be appointed by the Doctoral Examination Board having regard to the suggestions made by the candidate. The Examining Committee shall elect a Chairperson. Only the members pursuant to Clauses 1 and 2 are eligible to vote on decisions of the Examining Committee as to whether a doctorate is granted to the candidate and, if appl., with distinction. If a candidate is admitted to the colloquium at the proposal of the further reviewer pursuant to § 7 Para. 3 Cl. 10, the reviewer who proposed that the doctoral thesis be rejected may decline to take any further part in the procedure. The reviewer who refused to accept the doctoral thesis but was not ultimately successful shall not be named when the doctoral thesis is published.

(3) The Examining Committee shall coordinate the colloquium, which is open to members of the

University, with the candidate and the Chairperson of the Doctoral Examination Board.

(4) The objective of the doctoral colloquium is to present the research work undertaken to a wider specialist audience in the context of current research and discuss it in more depth. The title of the talk shall reflect this overriding aspect. Aspects of the talk can be discussed in more depth in the discussion. In addition to questions relating directly to the talk, the candidate is to be provided with the opportunity to present her/his results and specialist knowledge in a broader scientific context. The discussion should usually last 30 minutes. The evaluations shall form part of the colloquium. Statements pursuant to § 7 Para. 2 shall be included in the colloquium in so far as a member of the Examining Committee or the candidate makes them a topic of the discussion. The Doctoral Examination Board may decide on regulations regarding the choice of language for the colloquium. If the performance is not satisfactory, the Examining Committee may recommend the colloquium be repeated once. In this case, the Chairperson of the Examining Committee shall make recommendations for improvement which shall be communicated in writing to the doctoral student.

(5) Within two weeks of the colloquium, the Examining Committee shall submit a written report to the Doctoral Examination Board. The report shall contain the reviews, statements of the reviewers based on the colloquium, where applicable, a summary of what happened during the course of the colloquium, and the result with a statement from the Examining Committee as to whether the candidate should be awarded the doctorate (with distinction, if appl.). The separate parts of the doctoral work (doctoral thesis and colloquium) shall be graded as "bestanden" (pass) or "nicht bestanden" (fail). In each case, the decision is that of the majority of the members of the Examining Committee eligible to vote. The grade "mit Auszeichnung" (with distinction) may be proposed for particularly outstanding achievements. The grade may only be proposed when there is a unanimous decision of the Examining Committee members eligible to vote and on the recommendation of both reviewers. Where applicable, the Examining Committee shall decide whether and to what extent the doctoral thesis has to be revised before publication.

(6) If a doctoral thesis has to be revised or a colloquium repeated, the Doctoral Examination Board shall decide pursuant to § 9 Para. 1 only after the Examining Committee has confirmed the need for the thesis to be revised or the colloquium repeated. The Examining Committee may commission one or all reviewers with the examination and confirmation of the revision; the Examining Committee shall decide in cases of doubt. The Examining Committee shall be present in its entirety when the colloquium is repeated. The Examining Committee shall specify a period in which the doctoral thesis shall be revised or the colloquium repeated, which shall generally not exceed six months.

(7) One member of the Examining Committee at most can participate in the colloquium via video link in justified individual cases. In this case, technical safeguards must be in place to ensure that the transmission of the audio and video data is continuously guaranteed in both directions during the whole of the colloquium.

(8) If the candidate does not pass the colloquium, the Chairperson of the Doctoral Examination Board shall provide an appealable notification on the basis of the report pursuant to Para. 6, in which the possibility to repeat the oral examination once is also pointed out. When the candidate does not pass the repeat colloquium, the procedure for the doctoral examination is terminated without a result. The colloquium may be repeated within one year of the candidate being notified that they have not passed the first colloquium.

§ 9

Decision on Conferral of the Doctoral Degree

(1) The Doctoral Examination Board shall decide whether to confer the doctoral degree on the basis of the report provided by the Examining Committee. Notwithstanding the provision in Para. 3, it is bound by the statement pursuant to § 8 Para. 5. This decision concludes the procedure for the doctoral examination.

(2) If the Doctoral Examination Board has concerns about the report of the Examining Committee, it shall request that the Examining Committee check it, stating its concerns. Members of the Examining Committee who do not have a doctorate shall have only an advisory voting right in corresponding decisions.

(3) If the Doctoral Examination Board has concerns about the examination procedure and the Examining Committee does not dispel these concerns, the Doctoral Examination Board may appoint a new Examining Committee pursuant to § 8 after a statement by the Appeals Board and set a date for a new colloquium.

(4) Para. 3 applies accordingly if the Examining Committee does not submit the report pursuant to § 8 Para. 5 within the deadline and a reminder from the Doctoral Examination Board has no effect.

§ 10

Declaration of Doctoral Achievements to be Null and Void

(1) If, after the doctoral thesis has been submitted, indications arise that significant parts without appropriate references do not originate from the author (plagiarism), the colloquium may not take place until the suspicion of deception has been dispelled. The author is obliged to provide appropriate assistance in clearing up this matter.

(2) If it is established before the doctoral degree certificate is handed over that the applicant has committed a deception when they proved they met the admission requirements, or in respect of their doctoral achievements, or that important requirements for the admission have erroneously been assumed to have been fulfilled, the doctoral achievements shall be declared null and void by decision of the Doctoral Examination Board. The Doctoral Examination Board shall obtain a statement from the supervisor before the decision is taken.

§ 11

Publication of Doctoral Thesis

(1) The doctoral thesis shall be published as a book, in a journal, as a duplicated manuscript or in electronic form; this also applies to cumulative doctoral theses. Parts of the doctoral thesis which have already been published do not have to be published again as part of the publication of the doctoral thesis pursuant to § 11. Over and above the copies of the doctoral thesis required to conduct the procedure for the doctoral examination, the author must submit the following free of charge to the State and University Library Bremen (Staats- und Universitätsbibliothek Bremen) to comply with the publication requirement:

- a. 30 copies produced by means of letterpress printing or photographic printing to be disseminated by the university, or
- b. 10 copies on ageing-resistant, wood-free and acid-free paper together with the proof of dissemination via the book trade by a commercial publisher with a minimum circulation of 150 copies, or together with the proof of dissemination by a commercial publisher in the book-on-demand procedure, whereby the publication must be identified as a doctoral thesis by stating where the doctoral work was undertaken on the reverse of the title page, or
- c. 4 copies on ageing-resistant, wood-free and acid-free paper together with the proof that the doctoral thesis has been published in a journal, or
- d. 6 copies on ageing-resistant, wood-free and acid-free paper together with an electronic version, which complies with the "Richtlinie zur Abgabe von elektronischen Publikationen (Guidelines on the submission of electronic publications)" of the State and University Library in the version applicable at the time. In this case, the author transfers the right to publish the electronic version in data networks to the State and University Library Bremen, the German National Library (DNB) in Frankfurt/Leipzig and, if appl., the DFG special collection field library.

(2) The revised version of the doctoral thesis shall be published. There must be mutual agreement between the author and the Chairperson of the Examining Committee or a member of the Examining Committee commissioned by the Chairperson on the revision of the doctoral thesis.

(3) The doctoral thesis shall be published within one year of successfully passing the examination. The deadline pursuant to Clause 1 can be extended in exceptional cases. The Doctoral Examination Board shall decide on the extension on application by the doctoral candidate. If the doctoral candidate culpably does not meet the deadline, all rights gained by virtue of the doctoral work shall lapse.

§ 12

Entitlement to Use the Title of Doctor/ Revocation of Doctoral Degree

(1) A certificate in German and English, to be signed by the University President and the Chairperson of the Doctoral Examination Board of Faculty 5, shall be issued on successful completion of the procedure for the doctoral examination.

(2) The doctoral title may only be used after the doctoral degree certificate has been handed over.

(3) The doctoral degree certificate shall be handed over when the doctoral thesis has been published pursuant to § 11 or its publication is guaranteed.

(4) The doctoral degree may only be revoked if it is established that it has been obtained by deception. The Faculty Board of Faculty 05 shall decide on the revocation by way of a decision on the basis of a statement of the Doctoral Examination Board. The candidate concerned shall have the opportunity to make a statement before the decision is taken.

§ 13

(1) Doctorates may also be carried out within the framework of coordinated doctoral programs and graduate schools in which two or more departments of the University of Bremen are involved. In this case, prior to the acceptance of doctoral candidates, a corresponding agreement must be reached with the departments involved, which the respective Doctoral Examination Boards have approved.

The agreement according to Paragraph 1 regulates in particular:

- which department is responsible for the further procedure,
- who supervises the dissertation in each of the participating departments,
- which rules are used for the appointment of examiners/reviewers,
- the evaluation criteria,
- the composition of the Examining Committee

(2) The provisions of this Doctoral Degree Regulation are relevant for promotions according to § 13, if the agreement according to Paragraph 1 does not contain special provisions.

§ 14

Doctorate Supervised Jointly with a University Abroad

(1) Doctoral studies can also be undertaken under joint supervision with a university abroad if a corresponding agreement has been reached with the university abroad and approved by the Doctoral Examination Board.

(2) The provisions of these Regulations apply accordingly to the doctorate undertaken with joint supervision by a university abroad, unless special provisions are made below.

(3) The agreement pursuant to Para. 1 governs

- who shall supervise the doctoral thesis at each of the two universities,
- reciprocal study visits abroad for the candidates,
- at which university the oral and concluding doctoral work is to be conducted,
- the assessment criteria and the grading scheme for the doctoral work, if appl.,
- the composition of the Examining Committee and the fact that examiners from each of the universities are members of the Board,
- the language in which the doctoral thesis and the abstract are to be submitted,
- which doctoral degree shall be awarded by the two universities in the event of a successful conclusion,

- publication of the doctoral thesis.

(4) The admission to the procedure for the doctoral examination under joint supervision at the University of Bremen presupposes that the candidate meets the requirements for admission to the doctoral examination at both universities.

(5) The Examining Committee to be appointed shall comprise at least one university lecturer from both the university abroad and the University of Bremen; these can also be the reviewers. § 7 shall be taken into account when appointing the reviewers.

The Members of the Examining Committee from the University of Bremen shall be appointed by the Doctoral Examination Board. The members of the Examining Committee must have sufficient mastery of the language in which the doctoral thesis is written and the language in which the colloquium is conducted to be able to participate in the colloquium and the deliberations of the Examining Committee.

(6) After the procedure has been successfully concluded, a certificate issued jointly and signed by both universities shall be awarded. Notwithstanding Cl. 1, each of the two universities may issue a separate certificate which expressly makes mention of the fact that the doctoral studies were supervised jointly. The certificate shall be handed over when verification is available that the doctoral thesis has been published.

§ 15

Appeals Procedure

(1) Appeals against decisions of the Doctoral Examination Board shall be resolved by the Appeals Board of the University of Bremen.

(2) The Appeals Board shall be appointed by the Academic Senate. It shall be composed of three university lecturers, one academic or other member of staff, and one student.

(3) Negative decisions and other administrative acts which involve a burden and which are made pursuant to these Regulations must be justified, advice on legal redress must be included and everything communicated to the candidate.

§ 16

General Procedural Regulations/Rights and Obligations of the Parties Involved

(1) Pursuant to § 2 Para. 3 Cl. 2 of the Bremen Administrative Procedures Act (Bremisches Verwaltungsverfahrensgesetz, BremVwVfG) of November 15, 1976 (BremGBI. p. 243), §§ 20 to 27, 29 to 38, 40 to 52, 79, 80 and 96 BremVwVfG apply to the examination procedure.

(2) The Bremen Administrative Procedures Act applies without restriction to the acceptance as a doctoral student and the commencement of the procedure for the doctoral examination.

§ 17

Final and Transitional Provisions

(1) These Regulations shall come into force when approved by the President. At the same time, the Doctoral Degree Regulations from 15.07.2015 cease to apply for all procedures from Faculty 5.

Bremen, June 25, 2018

President of the University of Bremen

**¹ This is an unofficial translation:
Please note that the requirements put forth in the official German
version of this regulation are applicable for the submission of the
thesis**

Appendix 1 of the Doctoral Degree Regulations

Declaration in lieu of an oath

I, _____
(First name, last name, address, student registration no.)

declare in lieu of an oath by my signature that I have completed the thesis above myself and without any third-party assistance, and have identified as such all parts I have cited in letter or spirit from publications, and that I have not used any literature or any other aids other than those stated.

I declare in lieu of an oath that I have provided the information above to the best of my knowledge and belief and that the information provided is the truth and that I have not withheld anything.

I am aware that making a false declaration in lieu of an oath is a punishable offence, namely the punitive sanction pursuant to § 156 StGB (German Penal Code) of up to three years' imprisonment or a fine, when the commission was intentional, or up to one year's imprisonment or a fine pursuant to § 161 Para. 1 StGB when it was negligent.

Place, date

Signature