

Regulations for the Completion of a Doctoral Degree in the Departments 7 –12 at the University of Bremen

dated 26th June 2000

Article 1 Doctoral Degree

- (1) The University of Bremen awards the degree of Doctor of Philosophy (Dr.phil.) for the Departments 8 –12 and Doctor of Economic and Social Sciences (Dr.rer.pol.) for the departments 7, 8 and 11 upon successful completion of the PhD examination.
- (2) The award of a PhD as to be made possible for all subject areas for which teaching and research facilities are provided.
- (3) The PhD serves as proof of qualification for in-depth scientific and scholarly work.

Article 2 PhD Commissions

- (1) A PhD Commission will be appointed for each of the doctoral degrees that are to be awarded according to Article 1. The PhD Commissions will respectively be nominated by the faculty deans responsible. Should the necessity arise, those responsible are to reach agreement on the number of members for each PhD Commission and on the distribution of seats over the various departments. Should no consent be achieved, the Academic Senate will rule on the proportional composition of the PhD Commission.
- (2) The PhD Commissions are composed of professors, students, academic and / or other members of staff, who are selected by the Deans of the relevant Faculties. The Professors on the Commission are to constitute the absolute majority. The remaining groups are to dispose over an equal number of seats.
- (3) The Professors, as well as members of staff are selected for two years, and the students for the period of one year. Each PhD Commission elects a Professor to act as Chairperson from within the Commission itself.

Article 3 Process of Appeal

- (1) The Appeal Committee rules on appeals made against the PhD Commission's decisions.
- (2) The Appeal Committee is appointed by the Academic Senate, and consists of:
 1. Three Professors
 2. One academic or other member of staff, or an academic or other assistant
 3. One student
- (3) The Appeal Committee is to rule within three weeks on the appeal of a candidate against decisions made by the PhD Commission.

Article 4 Doctoral Candidate Selection

- (1) The application for acceptance as a doctoral candidate is to be addressed to the PhD Commission of the subject concerned. As far as possible the application is to be accompanied by the required

documentation as listed in Article 5 Paragraph 2. The application is to be decided upon within the six weeks following receipt.

(2) The choice of topic of the dissertation is open to the candidate according to Article 1 Paragraph 2. The objectives of the planned work, with respect to the necessary requirements according to Article 6 Paragraph 1, are to be outlined in the application.

(3) The approval of the PhD Commission is required if the planned dissertation is to originate from the work of several people. The PhD Commission will examine whether the designated subject is adequate for collaborative treatment by several people with a clear distinction between each candidate's individual contribution. The PhD Commission will decide on the kind of requirements for this question of authorship.

(4) PhD students are to be continuously scientifically advised. A Professor or a fulltime researcher, having obtained a PhD and employed by the University of Bremen, is to be appointed to act in an advisory capacity. On request the PhD Commission may transfer the advisory status to an honorary or emeritus Professor of the University of Bremen or an external lecturer, or researcher holding a PhD who is employed at another university.

(5) The PhD student's status ceases, at the latest, five years after the acceptance decision was made, provided that no application for admission to the examination process has been made in accordance with Article 5 before this deadline or it has been indicated that the process of study will continue.

Article 5 Admission to the PhD Examination Process

(1) The candidate may apply for admission to the PhD examination process by submitting the dissertation (Article 6) and determining the desired degree. Admission to the PhD examination process may also be granted to those applicants who did not previously hold PhD student status (Article 4). In this case admission may only be granted if the implementation of the examination process is in the scientific interest and the applicant can demonstrate within his/her application the importance of the subject of his/her dissertation for the field of research represented at the University of Bremen. The scientific interest shall be demonstrated by a Professor of the University of Bremen declaring his/her willingness to assess the dissertation.

(2) The application is to be accompanied by:

1. The certified documentation required for admission to the PhD examinations.
2. A brief curriculum vitae and a list of publications.
3. A written statement as to whether, and with what result, the applicant has previously participated in a PhD examination process or previously applied for admission.

(3) The PhD Commission is to take a decision on admission promptly. Besides establishing the presence of the certified documentation outlined in Section 2, a brief assessment is to determine whether the criteria are met which the dissertation is to fulfil according to Article 6 Section 1. Upon request the dissertation Advisor is to make a statement on the dissertation in support of the admission process. The decision is to be communicated to the applicant in writing.

Article 6 Dissertation

(1) A dissertation is to be submitted that will satisfy academic criteria and will contribute to the advance of science. In the case of a dissertation being submitted that has been the collaborative effort several people, the applicant's contribution is to be recognisable according to sentence one. The authorship of the applicant must be demonstrated.

- (2) In substantiated cases the dissertation may be composed of several distinct works (a cumulative dissertation). The research context linking the distinct works is to be described in a detailed scholarly discussion.
- (3) In general the dissertation is to be written in German. The PhD Commission may allow the applicant to submit their dissertation in another language.
- (4) The dissertation may be published either partially or entirely prior to submission.
- (5) Four copies of the dissertation are to be submitted. It is to be accompanied by a written declaration explaining that:
 1. The work was compiled without any unauthorised help;
 2. No materials or references other than those cited were used;
 3. Those sections that are quoted or referenced from other pieces of work are clearly marked.

Article 7 Requirements for Examination Admission

- (1) Besides the application outlined in Article 5, it is a principal requirement that scholarly university level studies have been completed.
- (2) Evidence for Section 1 is to be produced by:
 1. A minimum four-year university course of study for which a general university admittance qualification is a prerequisite and that has a rational link to the dissertation topic,
 2. A final examination that provides a professional qualification
 3. The requirements for completion of a four-year course of study with a degree according to sentence one may be waived if the course of study is a second degree and the applicant has previously completed a minimum four-year university course of study in a different subject that concluded in a professional qualification and there is a link between this subject and the dissertation.
- (3) Candidates in possession of a college degree (*Fachhochschulabschluss*) may be admitted to the PhD examination process provided that:
 1. acceptance as a PhD student was granted prior to the current application,
 2. additional performances according to the examination and study regulations knowledge, ability and skill otherwise accumulated through a four-year course of study concluding in a professional qualification can be demonstrated. The extent of this performance will be determined by the PhD Commission on the suggestion of the Advisor (Article 4 Section 4) and in consultation with one of the Professors of the relevant subject. The extent is to be set in a manner that it becomes achievable within four semesters.
- (4) In agreement with the Academic Senate the PhD Commission may waive the requirements set out in Paragraph 2 Number 2, i.e. No. 1 & 2 as well as Paragraph 3 provided that:
 1. the course of study completed by the applicant does not normally conclude in an examination which provides a professional qualification or
 2. the applicant can demonstrate adequate academic ability and the implementation of the examination process is of scientific interest.

Article 8 Assessment of the Dissertation

- (1) Promptly after determining admission to the process of PhD examinations the PhD Commission is to appoint two examiners. The examiners are to be either two Professors, or one Professor and one expert on

the subject possessing a PhD. The examiners are to be members of the University of Bremen. One examiner shall be appointed upon the suggestion of the applicant. The other assessment is to be obtained by an examiner appointed by the PhD Commission.

(2) Every examiner is to submit a provisional assessment, which will determine either acceptance or rejection of the dissertation. The provisional assessments are to be submitted at the latest six weeks after appointment of the examiner. They are to be forwarded to the applicant and the members of the board of examiners.

(3) In the case of the two provisional assessments contradicting each other the PhD Commission may appoint a further examiner.

(4) After viewing the provisional assessment the applicant may apply for suspension of the process for revision up until the date of the viva voce, or he/she may wish to revoke the application for the examination process. The application for suspension of the process for revision of the dissertation may not be repeated. The revised version of the dissertation is to be submitted to the same examiners.

(5) The dissertation as well as the provisional assessments are to be openly displayed within the university until the date of the viva voce.

Article 9

Board of Examiners & Viva Voce

(1) Upon presentation of the provisional assessments, the PhD Commission will promptly appoint a Board of Examiners. The Board of Examiners consists of:

1. The examiners
2. An equal number of professors or experts holding a PhD, of whom at least one has to be a member of the University of Bremen,
3. Two other members of the University of Bremen

In accordance Numbers 2 and 3 the members of the Board of Examiners are to be appointed in agreement with the applicant.

The Chair and the Secretary are selected by the members of the Board of Examiners; the Chair is to be elected from the Commission members in accordance with sentences 1 and 2.

(2) Only those members according to Paragraph 1 Nr 1 and 2 are entitled to vote on the grade the applicant is to receive from the Board of Examiners.

(3) The open viva voce is set by the Board of Examiners in agreement with the Chairperson of the PhD Commission. The viva voce is to be publicly announced two weeks before the intended date; in the announcement there is to be an indication as to where the dissertation can be viewed (Article 8 Section 5).

(4) Besides a defence of the dissertation the viva voce will extend to selected issues of the subject and related fields. The length of the viva voce is not to be under one hour nor, is it to exceed one and a half hours. In the case of the viva voce being based on a collaboration, the length is to be extended accordingly. The provisional assessments are to be included in the viva voce and the Examiner is to finalise or amend his/her assessment according to the course of the viva voce.

(5) The Board of Examiners will submit a written report based on the viva voce to the PhD Commission. The report will contain the assessment, including possible statements on the viva voce by Examiners, as well as a summary account of the course and result of the viva voce with a statement by the Board of Examiners as to whether or with what grade the applicant has passed the examination.

PhD performance is to be assessed as follows:

Summa cum laude	=	excellent, exceptional performance	(0)
Magna cum laude	=	very good performance	(1)
Cum laude	=	good performance	(2)
Rite	=	performance that suffices the requirements of the Ph.D. regulations	(3)

The listed numerical grades do not represent an assessment value and are not to be included in the certificate. They merely serve as a basis for the calculation of the composition of the grade from all the separate marks obtained. For the calculation, no more than two decimal places are to be used. Should the calculation result in fractions, the next grade is to be awarded down to and including 0.5. The rating of "summa cum laude" is only to be awarded if the numerical grade is no worse than 0.4. The report is to be submitted to the PhD Commission within two weeks. It shall also contain a statement as to whether and how the dissertation is to be amended/revised before publication. The decision as to whether the applicant is to be awarded the doctorated degree requires the majority of the numbers entitled to vote on the Board of Examiners.

Article 10 Decision on the Awarding of the Doctoral Degree

- (1) The PhD Commission shall make its decision on awarding the doctoral degree on the basis of the report. According to Paragraph 9 the PhD Commission is bound to the report, without prejudice to Paragraph 3.
- (2) In the case of a dissertation having to be revised, the PhD Commission will only make its decision according to Paragraph 1 once the revision has been approved by the Board of Examiners. The Board of Examiners may entrust the Examiner(s) with the inspection and confirmation of the revision: when in doubt the Board of Examiners decision is final.
- (3) If the PhD Commission has concerns about the report from the Board of Examiners, it may, with identification of the concerns, call upon the Board of Examiners to investigate. In the case of the PhD Commission having concerns about this process, and the Board of Examiners being unable to dissipate such concerns, the PhD Commission may appoint a new Board of Examiners according to Article 9, and in agreement with the Appeal Committee, furthermore a new viva voce will be set.
- (4) Paragraph 3 is equally applicable, if the Board of Examiners does not submit a report in accordance with Article 9 Paragraph 5 on time, and a reminder from the PhD Commission remains without effect.

Article 11 Publication of Dissertation

- (1) The dissertation is to be published as book, in journals, as multiple manuscripts, or electronically. For this the author is to submit those copies that are required beyond the process of gaining the PhD/
 1. Sixty copies in the form of a book or photocopy for the purpose of distribution by the University,
 2. Ten copies on age resistant, wood and acid free paper, with proof of publication of the dissertation in a journal,

3. Ten copies on age resistant, wood and acid free paper, with proof of distribution in the book trade via a commercial publisher with a minimum print run of 150 copies; on the back side of the front cover the work is to be identified as a dissertation with mention of the institution the dissertation was completed at, or
 4. The master copy and thirty further copies in the form of microfilms. In this instance the author authorises the University to produce and circulate further copies of the dissertation in the form of microfilms,
 5. Eight copies on age resistant, wood and acid free paper, and an electronic version which conforms with the 'Regulations for Submission of Electronic Publications' of the State and University Library in the currently valid wording. In this case the author authorises the State and University Library Bremen, the German Library (DDB) in Frankfurt/Leipzig and if applicable the DFG-*Sondersammelgebietsbibliothek* to publish the electronic version in data networks. He or she guarantees that the electronic version is identical to the dissertation. The State and University Library have the duty to examine both the legibility of the electronic version and the conformity with the requirements outlined in the 'Regulations'. The submission of data files that do not conform with the requisites, especially concerning file format and data carrier, are not regarded as published.
- (2) The dissertation may be published in revised or abridged form. The revision or shortening of the dissertation are to be agreed on by the author and the Chair of the Board of Examiners, or an entrusted Member of the Board of Examiners. If the dissertation is published in a revised or abridged version, the publication is to mention the extent of the revision or shortening.

Article 12

Use and Revocation of the Doctoral Title

- (1) Upon successful completion of the examination process, a certificate is to be awarded which is signed by the Rektor and the Chair of the PhD Commission.
- (2) The Doctoral title may only be utilised after the awarding of the PhD certificate.
- (3) The awarding of the PhD certificate takes place once the dissertation is published or publication is secured, or when the appropriate number of copies of the dissertation have been submitted.
- (4) The Doctoral title may only be revoked if it is proven that it has been obtained by fraud. Revocation is determined by the Academic Senate.

Article 13

Conclusion and Transitional Regulations

These regulations come into force on the day of approval by the Rektor, with the provision that it is not enforced onto ongoing PhD examination processes unless applied for by the candidate. In the case of no application being made in accordance with sentence 1, the examination regulations of the University of Bremen dated 10th January 1973 in the wording of the last amendment dated 20th March 1990 are to be applied. The aforementioned regulations terminate upon completion of this process.

Approved by the Rektor on 26.6.2000