

Inofficial Translation

Please note that this document is a non-binding convenience translation. Only the German version “Promotionsordnung (Dr.-Ing.) der Universität Bremen für den Fachbereich 4 (Produktionstechnik)” in the currently approved version has legal validity.

Doctoral degree regulations (Dr.-Ing.) of the University of Bremen for Faculty 4 (Production Engineering) dated 20.08.2020

On 20.08.2020 the Rector of the University of Bremen approved, in accordance with § 110 para. 3 of the Bremen Higher Education Act (“Bremer Hochschulgesetz”, BremHG) in the version published on 09.05.2007 (Brem.GBl. p. 339), last amended by Article 1 of the Act of 05.03.2019 (Brem.GBl. p. 71), the doctoral degree regulations in compliance with the requirements of § 65 para. 4 as passed by the Faculty Council of Faculty 4 on the basis of § 65 (4) in conjunction with § 87 (1) and (2) in the following version:

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§ 1

Purpose of the doctorate and doctoral degrees

(1) The University of Bremen awards the degree of “Doktor der Ingenieurwissenschaften” (Dr.-Ing.) by Faculty 4 on the basis of a completed doctoral procedure.

(2) For each field of work which is represented in teaching and research in this faculty, a doctorate shall be made possible.

(3) The doctorate serves as proof of the ability to carry out in-depth independent scientific work.

§ 2

Doctoral committee

(1) For the doctoral degree to be awarded in accordance with § 1, a doctoral committee is appointed by the Faculty Council of Faculty 4. This committee deals with all questions related to the doctoral procedure. It ensures that the provisions of the doctoral degree regulations are observed.

(2) The doctoral committee consists of three university teachers, one research assistant and one student, who are elected by the Faculty Council according to status groups. The group of university teachers must have an absolute majority of the seats and votes in the doctoral committee. The university teachers and staff members are elected for a period of two years, the students for a period of one year. The doctoral committee elects one of its members as its chairperson, who must be a university teacher.

§ 3

Appeal procedure

(1) Appeals against decisions made by the doctoral committee are decided by the Central Appeals Committee (“Widerspruchsausschuss”).

(2) The Central Appeals Committee is appointed by the Academic Senate.

§ 4

Acceptance as a doctoral candidate

(1) The application for acceptance as a doctoral candidate must be addressed to the doctoral committee. A decision concerning the acceptance must be made within five weeks after receipt or within six weeks outside lecture periods. The applicant shall be notified of the decision in writing. Having been accepted as a doctoral candidate is a condition for admission to doctoral procedures.

(2) The application for acceptance as a doctoral candidate must be accompanied by the following documents:

1. a brief summary of the candidate's life and educational background,
2. a proof of the qualifications pursuant to § 7 para. 1 or para. 2,
3. a written statement as to whether and, if so, with what result the applicant has already undergone a doctoral procedure or has applied for it. If the thesis has already been evaluated,

a new thesis must be submitted.

4. a brief summary of the intended doctoral project with regard to the requirements pursuant to § 6 para. 1 and

5. a statement from the supervisor that the supervision will be provided as well as a positive statement from the supervisor on the doctorate and a confirmation that the supervisor will provide for an adequate workplace.

In the case of a doctorate within the framework of a cooperation project with a company, the application for acceptance as a doctoral candidate must also be accompanied by the following documents:

1. a contractually agreed, usually financed cooperation project between the company and the institute (faculty),

2. temporary presence of the doctoral candidate at the institute,

3. commitment of the doctoral candidate to the interests of the institute, e.g. by active participation in lectures or by taking over individual lecture units,

4. the company's assurance that the doctoral project will be supported and that publications will be available in sufficient quantity,

5. an assurance by the company that all necessary operating and experimental facilities will be made available to the doctoral candidate until the doctoral candidate has completed his / her investigations,

6. regular doctoral meetings between the supervisor and the doctoral candidate and a supervisor/mentor of the doctoral candidate from the company.

(3) The applicant is free to choose the subject of the doctoral thesis within the framework of § 1 para. 2.

(4) Doctoral candidates are to be scientifically supervised; in agreement with the applicant, a university lecturer from the University of Bremen is to be appointed as the supervisor or, on application, a full-time or comparable post-doctoral researcher working at the University of Bremen in a prominent position, in particular a researcher with a post-doctoral qualification or a leader of a junior research group in coordinated programs. Upon application, the doctoral committee may entrust a professor with the supervision, if he / she has a proven track record in research and meets the requirements of § 65 (3) sentence 2 of BremHG. Professors from universities of applied sciences are considered to be particularly qualified in research if they have habilitated or have achieved a level of performance appropriate to a habilitation. In the case of joint supervision and implementation of doctoral projects, the supervision can also be assigned to another scientist in a prominent position outside the university in accordance with sentence 1. In both cases a second supervisor from the University of Bremen shall be appointed.

(5) The supervisor shall ensure that the workplace is adequately equipped.

(6) Both the supervisor and the doctoral candidate may terminate the supervision relationship for valid reasons. This requires the consent of the doctoral committee.

(7) The doctoral relationship ends five years after the decision on acceptance. It is to be extended upon the doctoral candidate's justified request and after the supervisor has given his/her opinion, if a successful doctorate can be expected. The doctoral relationship shall be extended upon the doctoral candidate's justified request, in particular if the reason for exceeding the five-year period is due to the fact that the doctoral student is required to work under the Federal Education Act and to comply with mandatory employment prohibitions under the Maternity Protection Act, or if the special needs of disabled doctoral candidates are to be taken into account in order to ensure equal opportunities.

§ 5

Application for admission to doctoral procedures

(1) By submitting his/her doctoral thesis (§ 6) and stating the degree he/she is aiming for (§ 1), the applicant applies to the doctoral committee for admission to doctoral procedures.

The application must be accompanied by

1. the evidence required for admission to doctoral procedures in accordance with § 7 para. 1 or para. 2,
2. a brief summary of the applicant's life and education and a list of his/her scientific publications, with identification of at least one peer-reviewed publication in a publicly available publication organ with review procedure. The authoritative contents of this publication must originate from the doctoral candidate and be incorporated into the doctoral thesis.
3. a written statement as to whether and, if so, with what result the candidate has already undergone or applied for a doctoral procedure; a new thesis must be submitted if the thesis has already been evaluated.
4. a written declaration of consent that the doctoral thesis can be examined for plagiarism accusations using qualified software,
5. a confirmation from the supervisor that the reviewed publication has been published or accepted in a publicly available publication organ highly regarded for the subject, that the essential/relevant original content originates from the candidate and has been incorporated into the thesis.

Candidates who, according to § 5, have already submitted the documents according to para. 1 no. 1 and no. 3 when having been accepted as doctoral candidates do not need to resubmit them.

(2) The doctoral committee must decide on admission to doctoral procedures within five weeks after the documents as per para. 1 have been submitted, or within six weeks during periods without lectures. The applicant shall be notified of the decision in writing.

§ 6

Doctoral thesis/Dissertation

(1) The applicant must submit a doctoral thesis that meets scientific standards and contributes to the progress of science. It must demonstrate the candidate's ability to carry out independent scientific work.

(2) The doctoral thesis may also consist of several original papers of the candidate's own (e.g. articles in refereed journals or book chapters) (cumulative dissertation), the research context of which must be explained by the candidate. If articles are used in which several authors are involved, the applicant's own contribution must be clearly stated. The following criteria must be met:

1. the work consists of at least four scientific publications, which were essentially written by the candidate independently. These have been published in recognized journals with peer-review procedures under first authorship of the candidate.
2. publications must be listed with all authors, titles and bibliographic information.
3. written statement in the doctoral thesis indicating which contribution is by which author. This is to be confirmed in writing (with signature, in advance by e-mail) by all authors (not part of the thesis).

If two authors are listed as "shared first author" on the publication, a maximum of two such publications may be part of the respective doctoral thesis.

5. prior to publication, a comprehensive classification (at least 30 pages) is required, in which the central subject of the entire work is presented and the distinction to the state of the art is clearly stated.

6. when submitting a cumulative dissertation, it must be marked with a covering letter or form so that all necessary implementation provisions can be checked immediately. The other requirements of the doctoral degree regulations for the doctoral thesis or the procedure remain unaffected.

(3) The doctoral thesis may be published in whole or in part in advance.

(4) The doctoral thesis may be written in German or English. If a cumulative dissertation (§ 6 para. 2) is submitted, it may be submitted in English or German in whole or in part. A summary in German must be included in the thesis.

(5) The doctoral thesis shall be submitted in three bound copies (excluding press or adhesive binding). The office of the doctoral committee shall be provided with an identical electronic version of the thesis together with the bound copies. This version will be archived and can be used to check the work for correct citation of sources and aids. The doctoral thesis must be accompanied by a written affidavit in lieu of oath in accordance with § 65 para 5 BremHG (see Appendix 1 to these doctoral degree regulations) stating that:

1. the applicant has produced the work without unauthorized assistance (independently),
2. the applicant has not used any sources and aids other than those indicated by him/her,
3. the applicant has identified the places taken literally or in content from the works used as such,
4. the electronic version of the doctoral thesis enclosed for examination purposes is identical to the submitted printed version.

At the end of the doctoral thesis, a list is to be inserted in which student work is to be acknowledged, the contents of which were scientifically accompanied by the candidate and which have been incorporated in whole or in part into the doctoral thesis. The list contains the name of the student, the title of the student work and the year.

(6) The doctoral thesis is to be open to the public at the University until the colloquium.

§ 7

Requirements for admission to doctoral procedures

(1) In addition to the application pursuant to § 5, para. 1, the prerequisite for admission to doctoral procedures is the successful completion of a relevant university course of study which has a meaningful connection with the planned dissertation subject and which is documented by a Master's degree or a diploma, a Master's degree or a state examination obtained at a university.

(2) Admission to doctoral procedures may also be granted to anyone who has completed a university course of study with a Bachelor's degree or with a diploma from a university of applied sciences with outstanding grades and has demonstrated knowledge and skills equivalent to those acquired through a course of study pursuant to para. 1 by means of additional study achievements in accordance with the applicable examination regulations. The scope of these academic achievements will be determined by the doctoral committee in consultation with the applicant and on the recommendation of the supervisor, following the opinion of a university lecturer working in the subject.

§ 8

Review of the doctoral thesis / Admission to the colloquium/defense

(1) The doctoral committee decides on the applicant's admission to the colloquium in accordance with the regulations in para. 2 to 7 on the basis of written reviews of the thesis.

(2) Each reviewer appointed in accordance with para. 3 or para. 4 shall submit a review of the thesis, on the basis of which he/she proposes the acceptance or rejection of the thesis and a grade. A negative report shall contain recommendations for the improvement of the doctoral thesis.

(3) In the case of applicants who are doctoral candidates at University of Bremen and who fulfil the admission requirements according to § 7, the doctoral committee will initiate the procedure without delay by appointing as reviewers two university teachers or at least one university lecturer and one expert with a doctorate in a prominent position (cf. § 4 para. 4). The applicant may propose reviewers. One of the reviewers must be the supervisor. If there are two supervisors, only one of them may be a reviewer. A professor of a university of applied sciences with a special research background in accordance with § 4 para. 4 sentence 2 may also be appointed as first or second reviewer. At least one of the reviewers must be a member of the faculty awarding the doctorate. The reviewers must be sufficiently independent of each other. When appointing the reviewers, care must be taken to ensure that there are no grounds for bias between the reviewers and the doctoral candidates or between the reviewers in accordance with §§ 20, 21 VwVfG. A conflict of interest also exists if the candidate has published together with the second reviewer until he/she submitted the doctoral thesis.

(4) The reviews shall be available no later than six weeks after appointing the reviewers. Upon receipt, the reports will be submitted to the doctoral committee. If the doctoral committee determines that the reports meet the formal requirements for continuation of the procedure, they will be forwarded to the applicant. If the reviews do not meet the requirements, they will be referred back to the reviewers. A review period of three weeks is granted. After the reports have been returned, they will be resubmitted to the doctoral committee for a decision. In the further procedure, after appointment, the reports are to be forwarded to the members of the examination committee (§ 9). They must be available for at least 14 days in the administration of the faculty awarding the doctorate, where they can be viewed by members of the University. If a report is not submitted within the deadline, the doctoral committee may, after issuing a single reminder and with the consent of the applicant, revoke the appointment of the reviewer in question and appoint another reviewer. Para. 3 applies accordingly.

(5) After inspection of the reviewers' reports or, in the case of para. 4, of the first review, the candidate may, within two weeks of notification of the reviewers' reports, request an interruption of the procedure in order to revise the thesis or he/she may withdraw the thesis. The request for interruption of the procedure for revising the thesis cannot be repeated. The revised version of the doctoral thesis must be submitted to the same reviewer(s) within a period of six months after the decision has been made. If the candidate withdraws the doctoral thesis, he/she must submit a new doctoral thesis within a period of two years after the application. If these deadlines are not met, the doctoral thesis must be treated as rejected. In this case, the doctoral committee will decide on the doctorate with "failed".

(6) The evaluation of the doctoral performance with the grade "summa cum laude" (with distinction) is only possible if the examination committee decides so unanimously and if at least one review proposes the grade "summa cum laude". This report must have been prepared by an independent external reviewer. If the latter condition is not met, the candidate may propose an additional external reviewer. This proposal must be notified to the doctoral committee in writing during the display period. On the basis of the application, the doctoral committee will appoint an external reviewer who will give a statement on the award of the grade "summa cum laude". The procedure can only be continued after the end of the display period of the additional review.

(7) If two reviewers recommend that the doctoral thesis is to be accepted, the candidate must be admitted to the colloquium upon application. If, in the case of para. 3, sentence 1, two

of the reviewers reject the thesis, the candidate will not be admitted to the colloquium. In this case, the doctoral committee will decide on the doctorate on the basis of the reviews, with the result "failed" unless the candidate chooses the procedure in accordance with para. 5.

If one of the two reviewers refuses to accept the thesis, an additional reviewer will be appointed with the consent of the candidate. Para.3 applies accordingly.

(8) Any other comments made on the candidate's doctoral thesis must be brought to the attention of the candidate, the members of the doctoral committee and the examination committee.

(9) During the colloquium no visual or audio recordings or transmissions are permitted. If the candidate and the examination committee agree, participation in the colloquium is possible via video conference for a maximum of one voting member of the examination board in justified cases. In all cases, it must be technically ensured that audio and video data can be permanently transmitted in both directions throughout the colloquium.

§ 9

Examination committee and colloquium/defense

(1) If the doctoral committee has decided on admission to the colloquium in accordance with § 8, it must appoint an examination committee without delay.

(2) The examination board shall consist of the following members:

1. the first and second reviewers,
2. an equal number of university teachers or experts holding a doctorate, including at least one university teacher of the faculty awarding the doctorate, who are sufficiently independent of the two reviewers and the candidate,
3. two further members of the University of Bremen, including at least one student.

(3) The members of the examination board in accordance with no. 2 and no. 3 shall be appointed in consultation with the applicant. Only the members of the examination board according to no. 1 and no. 2 are entitled to vote on decisions of the examination board as to whether and with what grade the applicant is to be awarded a doctorate. If a candidate is admitted to the colloquium on the basis of the proposal of the additional reviewer in accordance with § 8 para. 7 sentence 4, the reviewer who proposed to reject the doctoral thesis may waive further participation in the procedure. The reviewer who has rejected the acceptance of the thesis but was unable to assert himself/herself shall not be named when the thesis is published.

(4) The doctoral committee will schedule the colloquium on the doctoral thesis open to the public at the University, taking into account the candidate's proposal.

(5) In addition to the defense of the thesis, the colloquium will cover selected problems of the subject and related fields. The reviews shall be included in the colloquium. Statements pursuant to § 8 para. 8 shall be included in the colloquium to the extent that a member of the examination board or the candidate makes them the subject of discussion. The colloquium may be held in German or English.

(6) Within two weeks after the colloquium, the examination board shall submit a written report to the doctoral committee. The report shall contain the reviews, if applicable, the comments of the reviewers on the basis of the colloquium, as well as a summary of the course and the result of the colloquium with a statement of the examination committee on whether and with what grade the candidate is to be awarded a doctorate and whether and, if applicable, to what extent the thesis is to be revised before publication. The opinion on whether and with what grade the candidate shall be awarded a doctorate requires a majority of the members of the examination committee with voting rights.

(7) If a doctoral thesis is to be revised, the doctoral committee will not decide in

accordance with § 10 para. 1 until the examination committee has confirmed the revision. The examination committee may commission one or more reviewers to review and confirm the revision; in cases of doubt, the examination committee shall decide. The candidate shall be informed of the changes to be made after the colloquium. The examination committee will set a period for the revision of the doctoral thesis, which normally should not exceed six months. The revision period begins on the date of the colloquium.

§ 10

Decision about the doctorate

(1) The doctoral committee shall decide on the doctorate on the basis of the report. Notwithstanding the provision in para. 3, it shall be bound by the opinion in accordance with § 9 para. 6.

(2) If the doctoral committee has reservations about the report of the examination committee, it shall request the examination committee to review it, stating its reservations. In the case of corresponding resolutions, non-doctoral members of the examination committee shall only have the right to vote in an advisory capacity.

(3) If the doctoral committee has misgivings about the procedure and the examination committee does not dispel these misgivings, the doctoral committee may, after receiving an opinion from the appeal committee, appoint a new examination committee in accordance with § 9 and schedule a new colloquium.

(4) Para. 3 shall apply accordingly if the examination committee does not submit the report in accordance with § 9 para. 6 in good time and a reminder from the doctoral committee is unsuccessful.

(5) The doctoral examination will be given one of the following grades:

- summa cum laude (with distinction),
- magna cum laude (very good),
- cum laude (good),
- rite (satisfactory).

For the evaluation “summa cum laude” § 8 para. 6 applies. The overall doctoral performance may not be better than the highest grade of the reviews.

§ 11

Invalidity of the doctorate

(1) If, after submission of the doctoral thesis, there are indications that significant parts of it have not been written by the author without corresponding proof (plagiarism), the colloquium may not take place until the suspicion of deception has been dispelled. The author is obligated to cooperate adequately in the clarification.

(2) If, before the doctoral certificate is handed over, it is established that the applicant has committed deception in the proof of admission requirements or in the performance of the doctoral performance or that essential requirements for admission have been accepted in error, the doctorate is to be declared invalid by resolution of the doctoral committee. The doctoral committee shall obtain a statement from the supervisor before making its decision.

§ 12

Publication of the doctoral thesis

(1) The doctoral thesis is to be published as a book, in a journal, as a duplicated manuscript or in electronic form. For this purpose, the author must submit copies of the thesis free of charge to the State and University Library ("Staats- und Universitätsbibliothek") in addition to those required for the doctoral procedure:

- a. 20 copies in paper form (DIN A4 or A5, glue binding) on age-resistant, wood- and acid-free paper, or
- b. 30 copies on microfiche and the master copy, or
- c. 10 publisher's copies on non-ageing, wood-free and acid-free paper (in case of simultaneous publication in a publishing house), or
- d. one copy on non-ageing, wood- and acid-free paper together with an electronic version that complies with the regulation on the submission of electronic publications ("Richtlinie zur Abgabe von elektronischen Publikationen") of the State and University Library ("Staats- und Universitätsbibliothek") in the currently valid version. 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 ("Deutsche Nationalbibliothek", DNB) in Frankfurt/Leipzig and, if applicable, to the DFG Special Collection Library ("DFG-Sondersammelgebietsbibliothek").

(2) The doctoral thesis may be published in a revised or abridged version. The revision or shortening of the thesis must be agreed between the author and the chairman of the examination committee or a member of the examination committee appointed by the chairman. If the thesis is published in a revised or abridged version, the publication must contain a note on the extent of the revision or abridgment.

§ 13

Use and revocation of the doctorate

(1) A certificate in German and English, to be signed by the Rector and the Dean of Faculty 4, will be issued upon successful completion of the doctoral procedure.

(2) The doctoral degree may be awarded after the doctoral certificate has been issued.

(3) The doctoral certificate shall be handed over when the doctoral thesis has been published in accordance with § 12 or when publication is assured.

(4) The doctoral degree can only be revoked if it is found to have been obtained through deception or grossly negligent violation of the rules of good scientific practice. The revocation is decided by the Faculty Council of Faculty 4 by resolution on the basis of a statement by the doctoral committee. Before the resolution is passed, the person concerned must be given the opportunity to comment.

§ 14

Doctorates within the framework of doctoral programs and graduate schools involving several faculties

(1) Doctoral procedures can also be carried out within the framework of coordinated doctoral programs and graduate schools involving two or more faculties of the University of Bremen. In this case, prior to the acceptance of doctoral candidates, a corresponding agreement must be reached with the faculties involved, which must be approved by the respective doctoral committees.

(2) The agreement in accordance with para. 1 regulates

- which faculty is responsible for the further procedure,
- in which period an acceptance as a doctoral candidate is possible,
- who supervises the doctoral thesis in each of the participating faculties,
- which rules are applied for the appointment of reviewers,
- the evaluation criteria,
- the composition of the examination committee.

(3) The provisions of these regulations shall apply mutatis mutandis to the doctoral programs in accordance with § 14, unless the agreement in accordance with para. 1 has made special provisions.

§ 15

Doctorates under joint supervision with a foreign university

(1) Doctoral procedures may also be carried out under joint supervision with a foreign university if a corresponding agreement has been reached with the foreign university, which the doctoral committee has approved.

(2) The provisions of these regulations shall apply mutatis mutandis to doctorates in joint supervision with a foreign university, unless special provisions have been made below.

(3) The agreement referred to in para. 1 shall govern

- who will supervise the doctoral thesis in each of the two universities,
- reciprocal study visits of the applicant,
- at which university the oral or final doctoral thesis is to be completed,
- the evaluation criteria and, if applicable, the grading scheme for the doctoral performance,
- the composition of the examination committee and that the supervisor or the reviewer from each of the universities are members of this committee as examiners,
- in which language the doctoral thesis and the abstract are to be submitted,
- which doctoral degree is awarded by the two universities in the event of successful completion.

(4) Admission to the doctoral procedure under joint supervision at the University of Bremen is conditional upon the applicant fulfilling the requirements for admission to the doctoral procedure at both universities.

(5) The examination committee to be appointed shall consist of at least

1. the two supervisors,
2. one university teacher each from the foreign university and the University of Bremen; these may also be the reviewers.

The members of the examination committee from the University of Bremen are appointed by the doctoral committee. The members of the examination board must have a good command of the language in which the doctoral thesis is written and of the language in which the colloquium is held to the extent necessary for participation in the colloquium and for advising the examination committee.

(6) Upon successful completion of the procedure, a certificate issued and signed jointly by both universities will be issued. Notwithstanding the first sentence above, a certificate may be issued by each of the two universities, in which explicit reference is made to the doctoral

procedure in joint supervision. The certificate will be handed over when it is proven that the doctoral thesis has been published.

§ 16

General regulations of procedure / Rights and duties of the parties involved

(1) In accordance with § 2 para. 3 no. 2 of the Bremen Administrative Procedure Act ("Bremisches Verwaltungsverfahrensgesetz", BremVwVfG) dated 15.11.1976 [BremGBI. p. 243] §§ 20 to 27, 29 to 38, 40 to 52, 79, 80 and 96 of BremVwVfG apply to the examination procedure.

(2) For acceptance as a doctoral candidate and admission to the doctoral procedure, this applies without restriction.

§ 17

Doctoral register

(1) Faculty 4 keeps an electronic register of accepted doctoral candidates and completed procedures. The following data must be entered in the register: Subject or working title of the doctoral thesis, name and address of the doctoral candidate, date of acceptance as a doctoral candidate, name of the supervisor, name of the reviewer, date of the opening and conclusion of the examination procedure and a note on whether and how the examination was passed or failed.

(2) The Faculty publishes the name of the author and the title of the thesis for completed doctoral procedures.

§ 18

Final and transitional provisions

(1) These regulations shall enter into force upon approval by the rector. At the same time, the doctoral degree regulations of 14.03.2007 and 23.05.1984 shall cease to apply to all procedures in Faculty 4.

(2) For candidates who were admitted to the doctoral procedure before these regulations came into force, the doctoral degree regulations of 14.03.2007 apply.

(3) For candidates who were already accepted as doctoral candidates in accordance with the doctoral degree regulations of 14.03.2007 (§ 3) before these regulations came into force, the doctoral degree regulations of 14.03.2007 continue to apply at the candidate's request. This request can be made for a period of one year after these regulations came into force. For all candidates who were accepted according to the doctoral degree regulations of 23.05.1984, the new doctoral degree regulations will be valid from the date of their entry into force.