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Doctoral degree regulations of the Department of Business and Markets of the Graduate School for Applied Research in North Rhine-Westphalia

from 27.03.2023

Based on § 67 (3) and § 67b (3) of the Higher Education Act of North Rhine-Westphalia (Hochschulgesetz – HG) of September 16, 2014, in the version of the law amending the Higher Education Act of July 12, 2019 (GV. NRW. p. 377) and the Framework Doctoral Degree Regulations of the Graduate School for Applied Research in North Rhine-Westphalia of January 31, 2023 (RPO), the Departmental Council of the Department of Business and Markets has issued the following doctoral degree regulations:

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§ 1 Scope of application

(1) These doctoral degree regulations apply to the doctoral procedures carried out in the Department of Business and Markets of the Graduate School for Applied Research in North Rhine-Westphalia. If no regulations have been made in these doctoral degree regulations, the corresponding regulations of the Framework Doctoral Degree Regulations of the Graduate School for Applied Research in North Rhine-Westphalia apply.¹

(2) If doctoral topics are carried out across departments, the doctoral degree regulations of the department to which the first supervisor belongs will be applied. The doctoral examining committee appoints the supervisors, the reviewers and the members of the examination committee in such a way that the departments involved are adequately represented.

§ 2 Conferral of doctoral degrees

The department awards the following academic degrees on the basis of a passed doctoral examination within the framework of the doctoral program Change and Resilience:

1. if the subject matter of the dissertation is predominantly economic, social or socio-scientific, the degrees
 - Doktor der Wirtschaftswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktorin der Wirtschaftswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktor*in der Wirtschaftswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)

 - Doktor der Gesellschaftswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktorin der Gesellschaftswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktor*in der Gesellschaftswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)

 - Doktor der Sozialwissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktorin der Sozialwissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktor*in der Sozialwissenschaften (Doctor rerum politicarum – Dr. rer. pol.)

 - Doktor der Politikwissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktorin der Politikwissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktor*in der Politikwissenschaften (Doctor rerum politicarum – Dr. rer. pol.)

 - Doktor der Staatswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktorin der Staatswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)
 - Doktor*in der Staatswissenschaften (Doctor rerum politicarum – Dr. rer. pol.)

¹ The provisions in these regulations do not apply to cooperative doctoral procedures in which the procedure is conducted exclusively via the doctoral right of the university or another university authorized to award doctorates.

2. if the subject matter of the dissertation is predominantly engineering science, the degrees
 - Doktor der Ingenieurwissenschaften (Doktor–Ingenieur – Dr.–Ing.)
 - Doktorin der Ingenieurwissenschaften (Doktor–Ingenieurin – Dr.–Ing.)
 - Doktor*in der Ingenieurwissenschaften (Doktor–Ingenieur*in – Dr.–Ing.)

3. if the subject matter of the dissertation is predominantly in the humanities or philosophy, the degrees
 - Doktor der Philosophie (Doctor philosophiae – Dr. phil.)
 - Doktorin der Philosophie (Doctor philosophiae – Dr. phil.)
 - Doktor*in der Philosophie (Doctor philosophiae – Dr. phil.)

The decision is made by the responsible doctoral examining committee.

§ 3 Purpose and form of the doctorate

(1) The doctorate serves as proof of the ability to carry out in–depth academic work in one of the specialist areas of the Department of Business and Markets. It is based on independent academic work (dissertation) and an oral examination (disputation).

(2) The doctorate takes place within the framework of the doctoral program specified in § 2 (1). Within this framework, the compulsory and elective courses provided for in the doctoral program must be completed. In exceptional cases, these may also be completed in other departments. The doctoral examining committee shall decide whether such an exception exists.

(3) Dissertations can be carried out cumulatively or as a monograph.

(4) The duration of the doctorate should not exceed five years. In justified cases, the doctoral examining committee may extend the period by one year three times. The application must be accompanied by a justification and a statement from the supervisor. Leave of absence and periods of protection in accordance with § 20 are not counted towards the duration of the doctorate.

§ 4 Doctoral examining committee

(1) The composition, responsibilities and working methods of the doctoral examining committee are regulated in § 4 RPO.

(2) In order to simplify the procedure, the doctoral examining committee may delegate individual tasks following § 4 (1) RPO to the chairperson for execution.

§ 5 Admission requirements

(1) Access to the doctoral procedure is regulated in § 5 RPO. Relevant degrees for the Department of Business and Markets according to § 5 (1) RPO are degrees in economics, social

and behavioral sciences as well as related disciplines with a strong business component such as business informatics, business law, business psychology and business engineering. If admission to the doctoral procedure is granted in accordance with § 5 (1) (b) RPO, the doctoral examining committee shall determine the modules and examinations to be taken as part of the preparatory studies for the doctorate, taking into account the completed degree program and the prospective dissertation topic. The required scope of work may not exceed the number of ECTS points required for a consecutive Master's degree. The modules and examinations must be taken from the Master's degree programs of the supporting universities that are relevant to the doctorate. The pre-doctoral studies are passed if all modules and examinations to be taken have been completed. The requirements must be fulfilled by the start of the doctoral procedure, unless another deadline is specified.

(2) Admission to the doctoral procedure of the Department of Business and Markets requires a qualified degree according to § 5 paragraph 2 (b) RPO with a minimum grade of good (2.4) or equivalent. If the qualified degree was obtained with a poorer grade, the doctoral examining committee may exceptionally admit the applicant to the doctorate, provided that two expert opinions from professors with a proven track record in the subject are submitted recommending the applicant as a doctoral candidate.

(3) Access to the doctoral procedure of the Department of Business and Markets requires following § 5 (2) (c) RPO the proof that the applicant has sufficient language skills in German or English. This proof is not required for native speakers. For all others, the German language examination for university admission (DSH, level 2 or equivalent proof (TestDaF with at least 16 points within an examination, German Language Diploma – DSD – II, ZOP or Goethe-Zertifikat B2: GDS of the Goethe-Institut, KDS or GDS of the Goethe-Institut, ÖSD-Sprachdiplom B2, telc Deutsch B2 Hochschule) respective an English language test at level B2 of the Common European Framework of Reference for Languages (CEFR) is considered sufficient.

§ 6 Acceptance as a doctoral candidate

(1) Acceptance as a doctoral candidate is regulated in § 6 RPO.

(2) Acceptance is initially limited to five years and can be extended by one year three times upon application, provided that the supervisors of the thesis confirm that the doctoral project can be successfully completed within this period. In addition, protection periods apply in accordance with § 20 of these regulations.

§ 7 Supervision

(1) Supervision is regulated in § 7 RPO.

(2) One person from the supervisory team in accordance with § 7 (2) RPO assumes the task of primary supervision. The first and second supervisors are responsible for the continuous professional supervision of the doctoral candidate and may not delegate this task.

(3) Further rights and obligations of the supervision team are regulated in the supervision agreement in accordance with § 7 RPO.

(4) The supervision agreement according to § 6 paragraph 4 RPO only becomes effective upon acceptance as a doctoral candidate.

(5) In the case of interdisciplinary doctoral projects, the supervisors are appointed in such a way that the disciplines involved are adequately represented.

§ 8 Opening of the doctoral procedure

The opening of the doctoral procedure is regulated in § 8 RPO.

§ 9 Reviewers

The appointment and exclusion of reviewers is regulated in § 9 RPO.

§ 10 Examination board

The composition and working methods of the examination board are regulated in § 10 RPO.

§ 11 Dissertation

(1) Writing and assessment of the dissertation are regulated in § 11 RPO.

(2) The dissertation must generally be written in German or English. In special cases and at the request of the doctoral candidate, the doctoral examining committee may approve other languages in agreement with the supervisory team if it is ensured that reviewers and examiners who are proficient in the relevant language can be appointed in accordance with §§ 9 and 10.

(3) ¹A cumulative dissertation in accordance with § 11 (3) RPO is possible if the requirements in § 11 (4) sentence 1 RPO are fulfilled. ²In addition to § 11 (4) sentence 4 RPO, two publications must be submitted in nationally and/or internationally recognized peer-reviewed publication organs in accordance with the implementation regulations in order to ensure high quality. In addition, the following applies at least two of these three publications must have been published or accepted in the case of multi-authorship, at least two articles must each have more than 60% contribution from the candidate.

⁴Articles in publication organs of particular quality as defined in the implementation regulations that are assessed as revise and resubmittable or comparable in the review process are exempt from the publication or acceptance obligation that goes beyond the RPO according to (a) and from the required personal contribution according to (b) in (3), sentence 2.

(4) The reviewer must provide the doctoral examining committee with written reasons for exceeding the deadlines for the reviews in accordance with § 11 (7) RPO when submitting the review.

(5) In addition to § 11 (9) RPO, the doctoral candidate shall be granted access to the expert reports upon request. The doctoral candidate has the opportunity to make a statement.

§ 12 Disputation

(1) The conduct and assessment of the disputation are regulated in § 12 RPO.

(2) The oral examination shall generally be held in German or English. At the request of the doctoral candidate, the doctoral examining committee shall decide, in consultation with the examination board, whether to conduct the oral defense in another language. It must be ensured that the members of the examination committee are proficient in the language in question.

§ 13 Overall grade of the doctorate

The determination of the overall grade of the doctorate is regulated in § 13 RPO.

§ 14 Completion of the doctorate and certificate

The completion of the doctorate is regulated in § 14 RPO.

§ 15 Publication of the dissertation

The publication of the dissertation is regulated in § 15 RPO.

§ 16 Withdrawal from the defense

Withdrawal from the defense is regulated in § 16 RPO.

§ 17 Deception and revocation of the doctorate

The procedure for cheating and withdrawal of the doctorate is regulated in § 17 RPO.

§ 18 Inspection

Inspection is regulated in § 18 RPO.

§ 19 Appeal against decisions in the doctoral procedure

Appeals against decisions in the doctoral procedure are regulated in § 19 RPO.

§ 20 Protection periods

Protection periods are regulated in § 20 RPO.

§ 21 Compensation for disadvantages

Compensation for disadvantages is regulated in § 21 RPO.

§ 22 Retention of examination documents

The storage of examination documents is regulated in § 22 RPO.

§ 23 Doctorate in joint supervision with universities entitled to award doctorates and joint awarding of degrees

Doctorates under joint supervision with universities entitled to award doctorates and joint awarding of degrees are regulated in § 23 RPO.

§ 24 Cooperative doctorates with universities not authorized to award doctorates

Cooperative doctorates with universities that are not authorized to award doctorates are regulated in § 24 RPO.

§ 25 Entry into force

Issued on the basis of the resolution of the Department council of 27.03.2023. The regulations enter into force on the day after their announcement in the Official Notices of the Graduate School for Applied Research in NRW.

Münster, 27.03.2023

The Chairman of the Department council

signed Lanwehr

(Prof. Dr. Ralf Lanwehr)

Attachments

- 1) Doctoral program Change and Resilience
- 2) Implementation regulations for the departmental doctoral degree regulations

Non-official version

Annex 1: PK NRW Department Business and Markets

Departmental doctoral program Change and Resilience

Based on the framework doctoral degree regulations and the framework doctoral program of the Graduate School for Applied Research in North Rhine–Westphalia dated 31.01.2023, the Department council of the Department of Business and Markets adopted the following departmental doctoral program on 21.02.2023:

Preamble

In this doctoral program, research questions relating to the shaping of change and the development of resilience of people, systems and processes in economic contexts are bundled and embedded in an interdisciplinary overall framework. In particular, this means that the classic objects of economic research – the individual, group, organization, society and market – are not considered in isolation, but instead interfaces between disciplines are actively sought and taken into account.

Through the targeted reference to engineering, humanities, law, information science and psychology approaches, the doctoral program will lead to innovative questions and new findings from a holistic perspective. How can the potential of change be utilized? How can resilience, i.e. the ability to absorb disruptions, be understood and developed? The Department of Business and Markets pursues these questions in three research groups, each of which focuses on specific sub-topics of change and resilience. The focus on building key factors and work design in times of change places people at the center of the research interest. The focus on uncertainty, resilience and institutional change examines systems, while the focus on value chain and operations management examines change and resilience from the perspective of process chains and business processes. The program is designed in such a way that, in addition to the compulsory courses from the Framework Doctoral Program (RPP), subject-specific courses from the aforementioned focus areas are also included. Graduates of the program acquire various competencies from the three areas in addition to the excellence demonstrated in writing in the dissertation. *Firstly*, these are distinct communication and moderation skills, which include interactive personal and information technology components. *Secondly*, the program teaches effective action in a diverse environment and how to deal with complexity, as well as systematic initiative and the ability to act autonomously. *Thirdly*, graduates acquire in-depth knowledge of economics and a profound knowledge of methods.

I Addressees

The target group of the program are graduates from Master's degree programs with a direct business focus, in particular business administration, economics, business education, business psychology, industrial engineering, business law and business informatics. In addition, there

are interfaces with social and behavioral science courses, so that graduates of psychology, sociology, humanities and law with a clear economic focus are also welcome.

II Content and structure of the program

The doctoral program of the Department of Enterprise and Markets consists of mandatory courses of the PK NRW as well as interdisciplinary, technical and methodological qualification courses of the department.

1 Compulsory events of the PK NRW

The first module of the doctoral program consists of compulsory courses in accordance with the Framework Doctoral Program (RPP) of the PK NRW.

2 Events organized by the Business and Markets department

The second module contains the events of the Business and Markets department. The departmental doctoral program is divided into two areas: (elective) compulsory courses and networking and exchange, which are explained in more detail below.

2.1 Compulsory (elective) courses

The Department of Business and Markets requires students to attend an onboarding event at the beginning of their doctorate, two interdisciplinary qualification measures and, in the further course of their doctorate, two in-depth specialist or methodology events and a lecture series (with approx. 6 events).

2.1.1 Onboarding

The new doctoral candidates receive an overview. This includes:

- Getting to know the doctoral candidates in the group and initial presentation of their own doctoral projects; opportunity for networking in the group.
- Introduction to the services to be provided with an exemplary timetable for the acquisition of competencies. Rough milestones are named and the objectives and content of the program and events are explained.
- Procedure and rules for the recognition of achievements.

2.1.2 Interdisciplinary qualification measures

Interdisciplinary qualification measures on topics such as

- Scientific writing
- Philosophy of research/theory of science
- Peer Review Publishing

- Time management
- Project management
- Internal workshops/expert circles to build teaching skills
- Scientific presentation
- Writing research proposals

Two interdisciplinary qualification measures must be attended during the doctoral period. These are organized centrally by the PK NRW; external qualification measures can also be attended. Proof of performance must be submitted by the doctoral candidates, external training courses must be recognized by the PK NRW.

2.1.3 In-depth specialist and methodology courses

The subject-specific parts of the program teach skills and knowledge that are relatively closely related to the respective doctoral topic. This includes the acquisition of specific methodological knowledge or participation in special courses in Germany and abroad.

- **Specific method courses/workshops/trainings** e.g. on demand effects in economics, quasi-experimental designs, endogeneity & omitted variable bias, latent class analysis, Python / R, grounded theory, mixed methods approaches, causality, “The book of Why”, simulation and optimization methods.

At least one specific methods course/workshop/training must be attended during the doctoral period. These are offered as part of the workshop program of the PK NRW, external trainings / workshops can also be attended. Proof of performance must be submitted by the doctoral candidates; externally attended training courses must be recognized by the PK NRW.

- **In-depth specialist events**, e.g. on behavioral labor economics, strategic management in small and medium-sized enterprises, gender and digitalization, digitalization and global sustainable development – the example of health, the role of uncertainty in explaining reform dynamics from the perspective of the new institutional economics, (digitalization in) supply chain and production management.

At least one in-depth specialist event must be attended during the doctoral period. These are offered as part of the workshop program of the PK NRW, external trainings / workshops can also be attended. Proof of performance must be submitted by the doctoral candidates; externally attended training courses must be recognized by the PK NRW.

2.2 Network and exchange (recommended, but not mandatory)

In addition to the programs described above, events are offered that promote (informal) exchange among doctoral candidates. This creates the opportunity to build up a private and professional network and to set the course for your (academic or non-academic) career.

- Participation in the department meeting (in person and/or digitally), usually once a year
- Fireside evenings and face-to-face events for an open exchange, usually twice a year

- (Digital) exchange forums & brown bag seminars
- Establishment of an alumni program in which doctoral candidates can receive inspiration for their doctorates as well as experience for their career entry or post-doc phase.

2.3 Annex

The following course plan is recommended for a three-year doctoral program:

1st year	<ul style="list-style-type: none"> • Onboarding – APP*-requirement • Good scientific practice (GWP) – RPP**-requirement • Ethics and responsibility in science – RPP-requirement • Progress meeting / support agreement / needs analysis – RPP-requirement • Participation in lecture series – RPP-requirement • 1 in-depth methodology course (e.g. qualitative interviews, statistics, systematic literature analysis) – APP-requirement • 1 interdisciplinary qualification event (e.g.: scientific writing, time planning for the doctoral project) – APP-requirement
2nd year	<ul style="list-style-type: none"> • Progress meeting –RPP-requirement • Presentation in doctoral student colloquium – RPP-requirement • 1 in-depth subject or methodology course – APP-requirement • Presentation at external scientific conference – RPP-requirement
3rd year	<ul style="list-style-type: none"> • Progress meeting – RPP-requirement • 1 interdisciplinary qualification course (e.g. career step professorship, final phase of doctorate and dissertation) – APP-requirement • Presentation in doctoral student colloquium – RPP-requirement • Second presentation at external scientific conference – recommended

* APP: Departmental doctoral program

** RPP: Framework doctoral program

Annex 2: Implementing provisions to the doctoral degree regulations of the Department of Business and Markets of the Graduate School for Applied Research in North Rhine–Westphalia

Preliminary remarks

The aim of these implementation regulations is to specify the requirements for a cumulative dissertation as defined in § 11 (3) APO. On the one hand, the Department of Business and Markets would like to define minimum quality standards and, on the other hand, promote the special quality of cumulative dissertations and the associated publications. The minimum quality standards are based on the rating of the publication organs (§ 11 (3) sentence 1 APO), the publication status (§ 11 (3) sentence 2 (a) APO) and, in the case of multi-authorship, the doctoral candidate's contribution (§ 11 (3) sentence 2 (b)). Strict adherence to the minimum quality standards can, however, make publications of particular quality more difficult. On the one hand, the time between submission and publication in publication organs of particular quality is extremely long. Secondly, in most cases groups of researchers are required instead of individual projects (e.g. for larger experiments and the processing of research fields instead of research topics) in order to achieve the required significance for publication organs of special quality. For this reason, exceptions to publication status and contribution are defined in accordance with § 11 (3) sentence 3 APO, which are also explained in more detail in these implementation provisions.

§ 1 Publication media and publication status

(1) Publication organs within the meaning of § 11 (3) sentence 1 APO are considered to be those that are listed as scientific journals in the then current JourQual rating of the Verband der Hochschullehrer für Betriebswirtschaft e.V. (VHB) at the time of submission of the article. If a publication organ is not included in the current JourQual rating, but is comparable in quality to publication organs that are listed in JourQual as scientific journals, the doctoral candidate must submit a proposal for the classification of the journal in question with the aid of relevant alternative ratings or other adequate evaluation standards and submit it to the doctoral examining committee.

(2) For the purposes of these implementation regulations, publication organs within the meaning of § 11 (3) sentence 4 APO in the context of doctorates are considered to be those which, at the time of submission of the article, have at least a rating of C in the then current JourQual rating of the Verband der Hochschullehrer für Betriebswirtschaft e.V. (VHB). If a journal is not included in the current JourQual rating, but is comparable in quality level to publication organs that are ranked C or better in JourQual, the doctoral candidate must submit a proposal for the classification of the journal in question with the aid of relevant alternative ratings or other adequate evaluation standards.

(3) If a contribution is resubmitted with the status revise and resubmit or comparable in the sense of § 11 (3) sentence 3 APO and is rejected in a later review round pursuant to, this contribution may still be used to fulfill the provision mentioned in § 11 (3) sentence 4 APO. The doctoral examining committee shall decide on this at the request of the doctoral candidate.

§ 2 Recognition of the author's contribution in the case of multiple authorship

In order to prove the required contribution according to § 11 (3) sentence 2 (b) APO, a declaration signed by all authors showing the contribution of all authors involved must be submitted to the doctoral examining committee.

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