



BUDAPEST UNIVERSITY OF TECHNOLOGY AND ECONOMICS (BME)

Doctoral School of Business and Management

Rules of Procedure

Budapest, 30 April, 2020

General provisions

§1.

These Rules are based on Act CCIV of 2011 on National Higher Education, on Government Decree No. 387/2012 (XII.19.) on doctoral schools, the order of doctoral procedure and habilitation. They also take into account the relevant provisions of Act CCVI of 2015 on national higher education, the BME Code of Doctoral Studies and Habilitation (BME DHSZ), the BME Code of Studies (BME TVSZ) and the decisions of the Hungarian Accreditation Committee (MAB) on doctoral training and graduation.

In addition to the above, the principles of quality assurance on doctoral training and graduation are included in the Quality Assurance Plan of the Doctoral School of Business and Management.¹

The Quality Assurance Plan describing the Doctoral School's own quality assurance system and the Training Plan containing the professional materials of the doctoral training are available on the Doctoral School's website:

<https://www.gtk.bme.hu/en/for-students/rules-and-regulations/>

¹ <https://doktori.hu/pfile.php?menuid=0&index=2>

Foundation, members and organisation of the Doctoral School

§2.

The Doctoral School of Business and Management (hereinafter: Doctoral School) has been providing PhD training since 1997 and, in accordance with national level provisions, MAB made a decision on its final accreditation on 22 February 2002. The Doctoral School works at the Faculty of Economic and Social Sciences (hereinafter: Faculty) of BME.

§3.

(1) The foundation of a doctoral school may be initiated by at least seven core members. The majority of core members shall hold the academic title ‘professor’. One person may only be a core member at one doctoral school at the same time.² A valid list of the Doctoral School’s core members is available on the website of the National Doctoral Council (<http://www.doktori.hu/>), on the datasheet of the Doctoral School.

(2) It shall be continuously ensured that there are at least 4 professors among the core members and that professors comprise the majority of the core members. New core members may be co-opted by the core members’ body, with the approval of the Doctoral Council and Habilitation Committee of the University (EHBDT).

(3) A core member may be a person holding a PhD degree who

a) performs continuous and high level professional activity in the scientific or art discipline of the doctoral school;

b) has demonstrated his/her ability to guide doctoral candidates by having at least one doctoral candidate who obtained a doctoral degree with his/her supervising (or by having been a 50% supervisor twice); and

c) is a lecturer working full-time as a public service employee at the University; or a scientific researcher who, on the basis of subsection (3) section 26 of the Nftv., has named the University as the establisher of budget support; or a scientific advisor or research professor holding the

² Government Decree 387/2012 (XII.19.), subsection (1) section 2

title of Doctor of the Hungarian Academy of Sciences working in a research institute full-time, in public-service or non-public-service employment, provided the University has concluded an agreement with the research institute; or a professor emeritus of the University, qualified as competent to carry out research activity by EHBĐT.

(4) As to the core members referred to in subsection (1) section 3, no more than two members of a research institute and one professor emeritus member may be taken into account.³

(5) The core members' body shall be approved and reaffirmed by the accreditation performed at its establishment and the subsequent periodic review of the MAB.

§4.

The head of the doctoral school shall be a professor who works full-time, in public-service employment at the University, has a high academic reputation, holds the title of Doctor of the Hungarian Academy of Sciences, and is one of the core members of the given doctoral school, appointed by the Rector on the basis of the proposal of EHBĐT. The duration of the mandate is limited to a maximum of three years but may be repeated unlimitedly up to the statutory age of 70 years.

§5.

(1) According to BME DHSZ, training provided at the University's doctoral schools along with the graduation process are supervised by EHBĐT.

(2) The operational body supervising doctoral training is the Doctoral School Council (DIT), organised by each doctoral school in the respective disciplines, with tasks and competences determined in section 6 of DHSZ. The Training Plan of the doctoral school contains the sample curriculum, the subjects of the complex exam and the rules of assessment. If the Training Plan imposes a condition not mentioned in BME DHSZ or in the relevant legal acts or a stricter condition, DIT may, in exceptionally justified cases, allow an exemption from this condition.

³ Government Decree 387/2012 (XII.19.), subsection (5) section 3

(3) The body in charge of the doctoral graduation process (acting in its competence as delegated by EHBĐT) is the Habilitation Committee and Doctoral Council (HBĐT), organised by each doctoral school, with the tasks and competences as determined by section 6 of the DHSZ.

(4) Members of the Habilitation Committee and Doctoral Council (HBĐT) are highly qualified professionals of the given discipline. When selecting the members of HBĐT, it shall be ensured that

a) the lecturers or scientific researchers working at the given higher education institution full-time, in public-service or non-public-service employment, hold the academic rank 'professor' and completed a habilitation process,

(b) at least two thirds of its members are professors, and

(c) at least one third of the members have no employment relationship with the University.⁴ Members are also expected to meet the requirements of core membership.⁵ The committee comprises at least 9 members.

(5) The current composition of the bodies of the Doctoral School (core members, DIT and HBĐT), along with a summary of the members' professional work can be viewed on the website www.doktori.hu and also be accessed through the website of the University or the Doctoral School.

(6) The responsibilities and the decision making process of the DIT and the HBĐT are governed by sections 6 and 12 of the BME DHSZ. In case an urgent decision is necessary not allowing the convening of the session of the core members' body in a timely manner, or the issue does not require the decision of the session, the opinion of the voting members of the core members' body may also be collected electronically in matters to be decided by a public vote, as listed in detail in *Annex 1*.

⁴ Government Decree 387/2012 (XII.19.), subsection (1) section 9 and subsection (2) section 22

⁵ Government Decree 387/2012 (XII.19.), subsection (1) section 9

§6.

The appointments mentioned in section 4 - 5 shall terminate

- (a) with the expiry of the appointment,
- (b) with a removal, regulated by the same procedure as the appointment,
- (c) with the resignation of the appointed person,
- (d) with the permanent obstruction or death of the appointed person.

The operation of the Doctoral School

§7.

The operation of the Doctoral School is governed by the head of the Doctoral School with the administrative support of the Dean's Office of the Faculty.

§8.

- (1) The Doctoral School shall call for topic proposals and announce a list of PhD topics every year. It is the DIT which decides on the acceptance of the topics and the person of the supervisors. The topics are published in circulars, on the website of the Doctoral School and on www.doktori.hu.
- (2) Announcers of the doctoral topic are lecturers or researchers with a PhD degree (in the case of art disciplines, a DLA degree) whose topic announcement is approved by DIT. Announcers are expected to perform an active research activity: the indicators of their scientific publications in the course of 5 years preceding the announcement of the topic shall exceed the publication requirements for graduation of the Doctoral School. Supervisors shall have at least 2 years of professional experience from the date of their doctoral graduation. One supervisor can guide not more than 4 PhD students at the same time. DIT can only give an exemption from these conditions with the consent of EHBTD.

(3) Each PhD student has one and only one supervisor, who guides and helps the PhD student with their studies and research while working on the topic, and helps PhD students prepare for graduation with full responsibility. Dual supervisorship is only possible in the case of training provided within the framework of an international co-operation or an interdisciplinary research topic on the basis of a topic announcement accepted by DIT and published with the prior consent of EHBDDT.

(4) A supervisor shall be a lecturer or researcher with a doctoral degree, working full-time, in public-service employment at BME, or a professor emeritus of BME or a full-time employee of an institution which has concluded a cooperation agreement for doctoral training with BME. In the case of an external supervisor, DIT shall designate a consultant, who helps with the supervisor's work and monitors the student's professional progress on behalf of BME.

(5) DIT may change the subject of the doctoral thesis or the person of the supervisor/consultant, either at their request, at the request of the student concerned or at DIT's own discretion. Before the decision, DIT shall seek the opinion of the supervisor's superior.

(6) Only university lecturers or researchers holding a doctoral degree may be appointed as lecturers of the Doctoral School, who are deemed competent and invited by the DIT to hold doctoral courses for a given period. Lecturers of the Doctoral School may include full-time employees of a domestic or foreign research facility, university, company or other institution (external lecturer) that concluded a co-operation agreement with the BME in writing to achieve the objectives of the doctoral programme.

Admission to the Doctoral School

§9.

(1) For the subjects, announced according to section 8, entrance examination is organised by the Dean's Office of the Faculty. The Admissions Committee is designated by DIT.

(2) Participation in the entrance examination is subject to a written consent demonstrating agreement both on the part of the supervisor and the receiving unit (department or external institution) to receive the student. Formal requirements for the admission shall include a degree classified "good" as a minimum and a certification of English language proficiency.

(3) The candidate shall be interviewed by the Admissions Committee, which comprises at least 3 members, invited by DIT. The Committee shall ascertain the candidates' comprehensive professional knowledge, their plans about their doctoral research work, their professional activity so far and their language skills. The Committee shall evaluate the candidates' performance by a score of 0 - 100 points, ranking them accordingly. A minimum of 60 points is required for admission. Having 60 points is just a necessary condition for admission but does not guarantee either the admission or any kind of scholarship.

(4) DIT shall make a recommendation on admission to the Dean, on the basis of a report issued by the Admissions Committee, and taking into account further aspects (primarily the priority of the research topic, the professional background of the supervisor), the quota number of scholarships received from EHBDDT and other possibilities of the Faculty (or training program). The decision on admission concerns the discipline of the doctoral school conducting the admission process.

(5) Students admitted to doctoral training are granted a state (full or partial) scholarship in accordance with the Dean's decision, based on the proposal of DIT.

Independent preparation

§10.

(1) In the case of independent PhD students⁶, the procedure of doctoral graduation shall be launched at their request, once their application for the complex exam has been submitted and accepted (Government Decree 387/2012 (XII.19.), section 12).

(2) Applications may be accepted upon meeting the following requirements: compliance with the given discipline, formal meeting of the publication and language requirements of doctoral graduation. (By the time of submitting the application, thesis points are not required, therefore, there is no content evaluation, only the required numerical indicators shall be met).

⁶ PhD Students who become members of the Doctoral School upon completing the complex exam.

(3) By accepting the admission, the doctoral school shall recognise the minimum credits set for the complex exam, acknowledging the possibility that, at request, additional credits may also be recognised on the basis of previously acquired knowledge and competences.

(4) The DIT shall designate a consultant for independent PhD students (subsection (4), section 14 of the BME DHSZ).

(5) The complex exam following admission belongs to the first semester of the research and dissertation phase.

Transfer to the Doctoral School

§11.

(1) Transfers to the Doctoral School of the BME GSZT from another doctoral school are only allowed in special, duly justified cases. The reasons for a transfer shall be presented in writing to the Dean's Office of the BME GTK when the intention to seek admission is announced. Transfer requests shall be approved or rejected by the DIT.

(2) Transfers are only allowed in the first two semesters of the doctoral training.

(3) Transfer applicants may apply for research topics announced as set out in section 8, upon consultation with the supervisor of the respective topic. Approval of the transfer is subject to a statement by the prospective supervisor containing the supervisor's agreement to undertake the applicant's supervision within the shorter timeframe available for their joint research project.

(4) Transfer applicants shall take and pass an entrance examination as set out in section 9.

(5) Only transfer applicants with a successfully completed and closed semester may be admitted to the Doctoral School.

(6) Students, including transfer students, shall complete the subjects defined for the first 4 semesters in the training plan of the Doctoral School until the date of the comprehensive examination at the latest. To determine the process of obtaining any uncompleted credits, an individual plan may be drawn up, which is subject to approval by the DIT.

(7) The student status of transfer students shall terminate as of the day prior to the enrolment date at the new training relevant for the transfer. The decision on the transfer shall specify the financing form of the training.

(8) Transfer applications shall be submitted to the Dean's Office of the BME GTK until October 15th for the autumn semester and until March 15th for the spring semester.

(9) Transfer applications shall include all documents defined by the Doctoral School in its most recent call for applications for doctoral (PhD) training. Transfer applications shall also include the following additional documents:

a) certificate of valid student status,

b) register extract,

c) transcript demonstrating credits earned in previously completed study units in doctoral trainings,

d) reasons supporting transfer application as set out in subsection (1) of section 11,

e) statement by prospective supervisor as set out in subsection (3) of section 11.

Academic progress, subjects, instructors

§12.

(1) State-funded students who fail to achieve the expected progress in their studies or research work, and fail to earn two-thirds of the credits specified in the recommended curriculum for any specific semester may be reclassified to self-financed status by the Dean of the Faculty upon the recommendation of the DIT (subsection (8), section 13 of the BME DHSZ).

(2) Prior to each semester, the DIT shall approve the list of recommended subjects and their instructors for the doctoral training. The approved subjects shall be announced on the website of the Doctoral School.

(3) DIT shall review the Rules of Procedures and the Training Plan every year and, if necessary, modify them with the approval of EHBDDT. It depends on the choice of PhD students

participating in the training whether the requirements valid at the time of their admission or the modified ones should be applied.

§13.

Management and administration of the Doctoral School's registration system along with the obligation to inform is carried out by the Dean's Office of the Faculty, taking into account section 11-12 of the BME DHSZ.

Procedure to award a doctoral degree

§14.

(1) The organisation responsible for conducting the degree award procedure is the HBDT. The degree shall be awarded by the EHBT based on the recommendation of the HBDT. Requirements for a doctoral degree include obtaining a leaving certificate and submitting a doctoral thesis within three years of the comprehensive examination, as well as the successful defence of the doctoral thesis in a public debate organised by the HBDT (the DIT shall have authority to extend the above three-year timeframe by one year as a maximum, in cases requiring special consideration).

(2) If a student submits their doctoral dissertation any time during the second phase of their training, and the HBDT approves it for the review procedure, the research and publication credits remaining in the research phase shall be recognised on the day of the HBDT's decision. Students who fulfil all academic and examination requirements prescribed in the curriculum and earn the required amount of 240 credits in such a manner shall obtain the leaving certificate (absolutorium) based on the HBDT's decision while their student status, and the eligibility for scholarship for students benefiting from a scholarship programme, with the BME shall remain valid until the last day of the semester (point (d), subsection (1), section 59 of the Nftv.)

(3) Prior to its submission, the doctoral thesis shall be made subject to a workplace debate (internal defence). The purpose of the workplace debate is to make corrections to the doctoral thesis and the thesis points and to help the candidates prepare for the public debate. The doctoral

thesis shall be evaluated by at least one referee holding a doctoral degree. As the workplace debate is not part of the review procedure (the doctoral thesis may still be changed after the debate), the referees are not subject to the rules regarding conflict of interest.

(4) The content of the debate, in particular, the opinions on the amendment of the doctoral thesis, shall be documented. These records shall include a statement from the research team of direct colleagues that the achievements in the thesis points (or in the thesis points to be amended) are recognised as the candidate's independent results. The opinion of the referee shall be attached to these records. In the event the doctoral thesis or the thesis points have been significantly changed, the workplace debate shall be repeated.

(5) The scientific publications containing the candidate's own results presented in the doctoral thesis shall be assigned to thesis points, and a co-author statement on the publications shall be requested in the format specified by the Doctoral School. The co-author statement shall apply to the scientific result defined in the thesis point.

(6) The application may be accompanied by a statement of support from the supervisor and the head of the professionally competent educational unit.

(7) The review of the fulfilment of the requirements to obtain a doctoral degree shall only consider publications that are assigned to thesis points.

(8) A further condition for initiating the review procedure is the fulfillment of the language requirements.

(9) In the event a student fails to submit a doctoral thesis within three years after the comprehensive examination in a doctoral programme starting after 1 September, 2016 (the DIT shall have authority to extend the above three-year timeframe by one year as a maximum, in cases requiring special consideration), they may only obtain a doctoral degree by repeating the studies or by preparing individually, without the indication of a supervisor (subsection (4), section 14 of the BME DHSZ).

(10) No modification of the doctoral thesis is allowed upon its delivery to the reviewers. In the event the Thesis Committee contests incorrect professional statements or rejects thesis points, the respective sections of the records drawn up by the Committee shall be attached to the

doctoral thesis (including in electronic form), and the doctoral thesis shall be published (library, repository), upon its defence, with this addition.

(11) The identity of the reviewers may only be disclosed after the reviews have been written. The members of the Thesis Committee shall receive the opinion of the reviewers after both reviews have been received and the candidate's response, in electronic form, one week prior to the defence at the latest. The doctoral thesis and the thesis booklet shall become publicly available on the www.doktori.hu website upon the announcement of the public debate.

(12) In accordance with point (g), subsection (7), section 7 of the BME DHSZ, the requirement scheme for graduation is elaborated by HBDT and approved by EHBDT.

(13) HBDT shall review the requirements of graduation every year and, if necessary, modify them with the approval of EHBDT. Graduation is completed upon fulfilling the following condition: publications assigned to the thesis points shall meet the detailed publication requirements of the Doctoral School. These are reviewed and, if necessary, modified by the Doctoral School every year. The current requirements are set out in *Appendix 1*. The current requirements of graduation are available on the website of the Doctoral School.

(14) In the case of procedures already in progress, it depends on the choice of PhD students whether the requirements valid at the time of their admission or the modified ones should be applied.

(15) The requirements of graduation are published by the Doctoral School on its website.

Final provision

§14.

(1) Where the present Rules do not include the requirements in or specify more stringent requirements than the applicable laws and regulations and the regulations of the BME, such requirements may – in exceptional cases – be reduced to the lowest extent allowed by superior laws and regulations. The permission shall be granted (on a substantiated written request) by the DIT for doctoral trainings or the HBDT for degree award procedures. The decision on the request shall be recorded in writing.

(2) These Rules were approved by BME EHBDDT on 30 April 2020. The Rules shall enter into force immediately.

In the case of students who enrolled in the Doctoral School prior to 1 September 2020, the following rule applies: of the current publication requirements or requirements valid at the time of admission the ones which are more favourable for the candidate should be taken into account.

Budapest, 30 April 2020

(Sgd.) Prof. Dr. Tamás Koltai
Head of Doctoral School

Appendix:

- 1. Committee voting by electronic means in doctoral matters (DIT, HBDT)*
- 2. Publication requirements for graduation*
- 3. Language requirements for graduation*

Appendix 1.

Committee voting by electronic means in doctoral matters (DIT, HBDT)

Doctoral School of Business and Management

In case an urgent decision is necessary not allowing the convening of the session of the core members' body in a timely manner, or the issue does not require the decision of the session, the opinion of the voting members of the core members' body may also be collected electronically in matters to be decided by a public vote, as listed below.

Decision on the voting shall be made and its starting and closing date shall be defined by the head of the core members' body. The draft resolution and the draft justification shall be sent to each member electronically indicating the closing date of voting (year, month, day, hour) and including the precise address of the website for the place of voting. No electronic voting or the evaluation thereof is allowed if any member of the core members' body requests, until the closing date of the voting at the latest, that the core members' body be convened to debate the draft resolution.

The formal conditions of electronic voting and decision making shall be as follows:

- identity of the voting persons during the decision making process and the quorum must be established beyond reasonable doubt;
- the written documentation on which the decision is based must be delivered electronically to the members of the council at least 3 working days prior to the closing date of the vote;
- the submitted votes must not be made public until the voting is closed;
- the draft resolution shall be deemed adopted if at least two-thirds of the council members participated in the voting and more than half of them voted in favour.

Electronic voting is allowed with respect to the following *DIT* and HBDT matters:

- *announcement of doctoral topics;*
- *appointment of the Doctoral Admission Committee;*

- *approval of the report of the Doctoral Admission Committee;*
- *approval of the list and waiting list of state scholarships;*
- *approval of work plans and reports;*
- *approval of the syllabus of the comprehensive examination subjects;*
- *assignment of the comprehensive examination subjects to students, appointment of the examination committees;*
- modification of the composition of a committee;
- termination of the degree award procedure upon exceeding the 2-year deadline.

The votes shall be processed and counted by the administrator of the Dean's Office and shall be authenticated by the chairman of the core members' body and a member appointed by the chairman. The members of the core members' body shall be informed of the results of the vote within 24 hours upon the closing of the vote.

This amendment pertaining to voting by electronic means was approved by the EHBDDT at its meeting on 30 April, 2020.

Appendix 2.

Publication requirements for doctoral graduation

Supplement of the Doctoral Council of Business and Management to the requirements of the BME Code of Doctoral Studies and Habilitation

The formal fulfilment of the following publication requirements does not guarantee either the launch or successful completion of the procedure. During decision making, the Doctoral Council of Business and Management (DT) and the opponents designated for this task separately and profoundly examine the level of publication of new scientific results and the candidate's contribution to the published results.

Publication requirements for doctoral graduation:

- (1) At least 20 points according to the Appendix.
- (2) Journal publications shall satisfy one of the following two conditions:⁷
 - a) There shall be one foreign language journal article listed in the „Web of Science”⁸ and one foreign language journal article listed in the Scopus database assigned to the thesis points.
 - b) There shall be, in total, two foreign language journal articles listed in the Scopus database assigned to the thesis points, one of which was published in a Q1⁹ journal based on the SCImago rankings.
- 3) There shall be at least one book, one book excerpt, one article published in a peer-reviewed journal or one published conference presentation assigned to each thesis point.¹⁰

⁷ In case the same foreign language article is presented in two candidates' degree procedures as a proof to meet the publication requirements, an additional foreign language article shall be presented in at least one of the procedures in the given category.

⁸ Journals listed in the WoS Emerging Sources Citation Index (ESCI) may also be considered to be included in the Web of Science (WoS) database.

⁹ The evaluation should take into account the classification of the journals at the time of submission or approval of the article (whichever is more favorable). For journals in the Scopus database and on the SCImago list, if the journal is rated in more than one fields, the journal's most favorable Q rating should be considered.

¹⁰ Journal articles approved for publication in their final form are considered published.

Scoring Publications *

The scores that may be awarded to publications (related to the respective field) are as follows:

Classification	Score
Book, excerpt of a book, university course book**	8
Journal article	
In a foreign language, present in the database Web of Science	8
An article published in a journal present in the Scopus database, according to the Q qualification on the SCImago list***	
Q1	8
Q2	7
Q3	6
Q4	5
A Hungarian language journal present on the list of journals approved by the Doctoral Certification Committee of Economic Sciences of the IX. class of the Hungarian Academy of Sciences, according to the classification indicated on the list****	
A	7
B	6
C	5
D	4
Other revised journal article in a foreign language	3
Other revised journal article in Hungarian	2
Other non-revised journal article	1
A conference paper in a foreign language published in the proceedings of an international conference	3
A conference paper in a foreign language published in the proceedings of a local conference	2
A conference paper published in the conference proceedings, in Hungarian	1
A review (printed evaluation of the work of another author)	1

*Every writing can be taken into account in only one publication and every publication in only one category. In the case of publications with a score of 3 or less according to the chart, only 5 points can be acknowledged in total. The percentage of contribution of each co-author is to be determined by even division based on the number of co-authors disregarding the co-authorship of the supervisor.

**In the case of a book or excerpt of a book that is revised and officially distributed and available for a wide circle of people, 2 points per sheet, a maximum of 8 points. In the case of a university coursebook published in a printed or electronic form 1 point per sheet, a maximum of 4 points.

***<http://www.scimagojr.com>

**** <http://mta.hu/doktori-tanacs/a-ix-osztaly-doktori-kovetelmenyrendszer-105380>

Appendix 3.

Language requirements for graduation

Supplement of the Doctoral School of Business and Management to the graduation requirements

According to subsection (3) section 17 of BME HDSZ, the language requirements are as follows:

- a) For Hungarian citizens, the first foreign language may solely be English. To certify language proficiency, at least a B2 level complex state-recognised language exam or an equivalent certificate is required.
- b) As a second foreign language, a world language relevant to the topic of the dissertation can be accepted. To certify the knowledge of the second language, at least a B1 level complex state-recognised language exam or an equivalent certificate is required.
- c) In the case of non-Hungarian citizens, Hungarian language knowledge can be accepted as a second foreign language by HBDT decision.
- d) In the case of non-Hungarian citizens, on the basis of a certificate of secondary or tertiary qualification obtained in the official state language of the country of the citizenship, the given language may be accepted as a second foreign language by HBDT decision if it is a world language relevant to the topic of the dissertation.
- e) In the case of non-Hungarian citizens, on the basis of a certificate of secondary or tertiary qualification obtained in French, German, Italian, Russian, Portuguese or Spanish, the given language may be accepted as a first foreign language by an EBDT decision, based on the proposal of HBDT. In this case, English language proficiency shall be certified according to the rules applying for the second foreign language.