

BUDAPEST UNIVERSITY OF TECHNOLOGY AND ECONOMICS

Doctoral School PhD School in Business and Management

Operational Rules

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General provisions

Section 1 Applicable legislation

The quality assurance principles and procedures for the doctoral programme and the acquisition of the doctoral degree at the Doctoral School in Business and Management (hereinafter: Doctoral School (DI for short)) is governed by

- the Code of Doctoral Studies and Habilitation of Budapest University of Technology and Economics (BME DHSZ)
- BME's Code of Studies and Examinations (BME TVSZ),
- the Operational Rules of the Doctoral School (DI MSZ, this document),
- the Quality Assurance Plan of the Doctoral School,
- the Training Plan of the Doctoral School and
- ESG 2015 (Standards and Guidelines for Quality Assurance in the European Higher Education Area1).

Below we describe the partially overlapping and additional requirements, without going into the mandatory quality assurance elements in the related legislation (Act CCIV of 2011 on National Higher Education, Government Decree 387/2012. (XII.19.) on doctoral schools, the doctoral procedure and habilitation, and the relevant decisions of the Hungarian Accreditation Committee (MAB).

Foundation, members and organisation of the Doctoral School

Section 2 Accreditation

The Faculty of Economics and Social Sciences (GTK) at Budapest University of Technology and Economics (BME) has been offering PhD courses in an organised form since 1997, and the final accreditation of the Doctoral School in Business and Management (hereinafter: Doctoral School) was passed by the Hungarian Accreditation Committee (MAB) on 22 February 2002, in accordance with the national provisions. The Doctoral School operates at BME's Faculty of Economics and Social Sciences (hereinafter: Faculty).

Section 3. Core members

(1) In addition to the relevant requirements of the codes listed in Section 1, the core members of the DI and the composition of the core members shall also comply with the following criteria:

Core member may be

- a) a university professor employed by BME full-time, or
- b) a scientific advisor or research professor at a Hungarian Academy of Sciences/Eötvös Lóránd Research Network (MTA/ELKH) research institute participating in the doctoral programme under a contract between BME and MTA/ELKH, or

¹ https://www.enqa.eu/wp-content/uploads/2015/11/ESG_2015.pdf

- c) a Professor Emeritus of BME.
- d) has a high level of continuous professional activity in the discipline or artistic field of the doctoral school, and
- (2) New core members may be co-opted by the DI, based on the proposal of the core members, with the approval of the Habilitation Committee and Doctoral Council of the University (EHBDT).

The appointment of core members is confirmed by the MAB accreditation received upon establishment and the periodic review of the MAB. The list of core members and a summary of their professional work can be found at www.doktori.hu.

Section 4 Head and academic staff of the Doctoral School

- (1) The head of the Doctoral School shall be in full time, civil servant status employment, a highly recognised university professor of the University, who holds the "Doctor of the Hungarian Academy of Sciences" title, is a core member of the relevant DI, who has been appointed by the Rector, based on the proposal of the EHBDT. 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.
- (2) The operation of the DI is governed by the head of the DI, with the administrative support of the Dean's Office of the Faculty.
- (3) Only academics and researchers with an academic degree who are deemed suitable by the Doctoral School Council (DIT) and invited to teach doctoral courses for a given period may be DI lecturers. A lecturer of the DI may also be a full-time employee of a Hungarian or foreign research organisation, university, company or other institution which has concluded a written agreement of co-operation with BME with a view to fulfilling the objectives of the doctoral programme (external lecturer).

Section 5 Doctoral Council and Habilitation Committee of the University, Habilitation Committee and Doctoral Council and Doctoral School Council

- (1) According to BME's Code of Doctoral Studies and Habilitation (DHSz), the programmes and doctoral degree acquisition procedures in the University's doctoral schools are supervised by the Habilitation Committee and Doctoral Council of the University (EHBDT).
- (2) The operational body supervising doctoral programmes is the Doctoral School Council (DIT), organised by each doctoral school, with the tasks and powers set by Section 12 of the DHSZ.
- (3) The body conducting the doctoral degree acquisition procedures under the authority delegated by the EHBDT is the Habilitation Committee and Doctoral Council (HBDT), organised by each doctoral school, with the tasks and powers set by Section 6 of the DHSZ.
- (4) The members of the Habilitation Committee and Doctoral Council (HBDT) are highly qualified experts in their field.

- (5) The current composition of the Doctoral School's bodies the core members, the DIT and the HBDT and a summary of their professional work can be found at www.doktori.hu, as well as the University' and the Doctoral School's website.
- (6) The responsibilities and decision-making procedures of the DIT and the HBDT are regulated by Sections 6 and 12 of the BME DHSZ. If an urgent decision is required which does not allow the timely convening of a council or committee meeting or if the subject does not justify convening such a meeting, the opinion of the votes of the relevant body's members may be obtained by electronic means on matters to be decided by public vote, as listed in *Annex* 1.

Section 6 Termination of mandates

The mandates under Sections 4-5 shall cease:

- a) at the expiry of the mandate,
- b) by recall by the same procedure as the mandate,
- c) with the resignation of the appointed person,
- d) with the permanent incapacitation or death of the appointed person.

The operation of the Doctoral School

Section 7 Announcement of topics and supervisors

- (1) Each term, the DI invites the colleagues entrusted with the topic proposals to publish doctoral topics. The DIT evaluates all topics and only agrees to publish those that have the intellectual and infrastructural background for research and where it is realistic to expect a high-quality doctoral thesis within 5 years. The DIT shall decide on the acceptance of the research topics and the supervisors. The topic proposals approved by the DIT for publication are available on the www.doktori.hu website and on the DI's website. The DI sets out the requirements for the supervisors and the research topic proposals, which can be found in (2)-(9).
- (2) If the announcer of the doctoral topic reaches the statutory maximum of full-time employment within 4 years of the start of the admitted doctoral candidate's PhD studies, the DIT shall also appoint a reserve supervisor (see Section 10(3) of BME DHSZ).
- (3) Supervisors can be full-time BME lecturers/researchers employees in a civil servant status or Professors Emeritus, or full-time employees of other institutions which have signed a cooperation agreement for doctoral programmes with BME.
- (4) External supervision (including supervision at an external research site) is possible at institutions that have a cooperation agreement with the DI, where the intellectual and infrastructural background of the research is provided, the employment status of the student is regulated and the rights and obligations of the student are clearly defined. When an external supervisor is engaged, the DIT designates a BME consultant to support the supervisor and monitor the student's progress.
- (5) The supervisor and topic proposal must meet the following criteria.

- a) The supervisor must have a PhD or equivalent academic degree (for arts topics a DLA).
- b) The supervisor must have at least 2 years of professional experience from the date of the acquisition of their PhD degree (see Section 10(3) of BME DHSz).
- c) The supervisor's publications in the last 5 years shall meet the minimum requirements for a doctoral degree² (see. Annex 2). In the calculation of the rate of contributions, for co-authored publications the supervisor's own PhD students may be excluded.
- d) Oversees the work of maximum 4 active PhD students³.
- e) The title and text of the topic proposal must be grammatically correct, according to the rules of the Hungarian language and the specialist terminology.
- (6) The announcer of the doctoral topic becomes the supervisor when a student chooses the topic, is admitted to and then enrols in the DI.
- (7) Each PhD student has only one supervisor assigned at one time, who is exclusively and fully responsible for managing and promoting the studies and the research activity of the PhD student, and their preparation for the doctoral degree. Double supervision is allowed only in the case of international cooperation or interdisciplinary topics, on the basis of the research topic proposal approved by the DIT and announced with the prior consent of the Habilitation Committee and Doctoral Council of the University (EHBDT) (see BME DHSZ Section 10(6)). In other cases (e.g. when an external supervisor is engaged, based on a contract with another higher education institution), the Doctoral School Council designates an internal thesis advisor from BME to provide support for the supervisor and monitor the student's progress.
- (8) For students who independently prepare for their doctoral degree, the HBDT assigns a thesis advisor. (The thesis advisor is considered a co-author for the purposes of determining the share of publication contributions.)
- (9) The DIT may change the topic of the doctoral thesis or the person of the supervisor/thesis advisor, either at their request, at the request of the student concerned or at the DIT's own discretion. Before the decision, the DIT shall seek the opinion of the relevant supervisors and their superior.

Section 8 Entrance exam

- (1) For the subjects, announced according to Section 7, the entrance examination is organised by the Head of the Doctoral School. Members of the Admissions Committee (FB) include the DI's core members, supervisors and the announcers of the doctoral topics, and the heads of the departments where the applicant is going to study. The Admissions Committee, consisting of at least 3 members, conducts an interview, ascertains the candidate's comprehensive professional knowledge, their ideas concerning the doctoral work, professional activities to date and language skills (BME DHSZ Chapter 8, Section 13(5)).
- (2) The FB shall evaluate the candidates' comprehensive professional knowledge during the

² Publication in Hungarian can be replaced by a publication in a foreign language

³ If the same foreign language article is included in the PhD procedures of two candidates as proof of meeting the publication requirements, an additional foreign language article shall be presented in at least one of the procedures in the given category.

admission interview, their previous academic achievements, language skills and their professional activity so far, for which it shall award a score of between 0-100 points. The scoring guide is available on the DI website. A minimum of 60 points is required for admission.

(3) On the basis of a report issued by the FB, the Doctoral School Council shall make a recommendation to the Faculty's Dean on admission and on the awarding of state scholarships. Decisions on admissions shall be made by the Faculty's Dean.

Section 9 Individual preparation

- (1) In the case of candidates choosing to prepare for their degree individually, the doctoral degree procedure begins with the application for the complex examination and its approval (Government Decree 387/2012. (XII.19., Section 12).
- (2) Approval of the application is subject to formal compliance with the publication criteria of the PhD degree (as thesis points are not required for the application, the content is not evaluated, only quantitative indicators need to be met).
- (3) By admission, the DI recognises the minimum credits set as a condition for taking the complex examination, with the possibility of recognising additional credits on the basis of prior knowledge and competences acquired, when requested.
- (4) The work of students choosing individual preparation is not overseen by a supervisor, but the DIT asks a thesis advisor to fulfil this task (BME DHSZ Section 14(4)).
- (5) The complex examination following admission is part of the first term of the research and dissertation phase.

Section 10 Transfer to the Doctoral School

- (1) Transfer to the BME GSZT Doctoral School from another doctoral school is only possible in special, justified cases. This justification must be sent to the Dean's Office at BME GTK at the time of the application. It is the DIT which decides on the transfer.
- (2) Transfer is only possible during the first two terms of the doctoral programme.
- (3) Those interested may apply for a research topic announced in accordance with Section 7, in agreement with the supervisor of the selected topic. To transfer, a statement of the prospective supervisor is necessary, confirming that they are willing to become the applicant's supervisor even with a shorter period available for joint research.
- (4) Students applying for a transfer must pass an entrance examination in accordance with Section 8.
- (5) The Doctoral School can only accept applicants with a completed a full term.
- (6) Completion of the subjects included in the first 4 terms of the Doctoral School's curriculum is compulsory even in case of transfer by the date of the complex examination at the latest. The missing credits can be added according to an individual plan which is approved by the DIT.

- (7) In case of transfers, the student's legal status at the previous academic programme is terminated, one day prior to the enrolment to the new programme (training) related to the transfer. The resolution on the transfer must determine the financing form of the training.
- (8) A transfer request must be submitted at the Dean's Office of BME GTK by 31 May at the latest for the autumn term and by 15 October at the latest for the spring term.
- (9) All the documents published by the Doctoral School in its latest call for applications for doctoral (PhD) programmes must be attached to the application. The following additional documents must be attached also to the transfer request:
 - a) confirmation of existing student's legal status,
 - b) student register extract,
 - c) credit report for study units previously completed in the doctoral programme,
 - d) the grounds for the transfer request pursuant to Section 10(1),
 - e) the statement of the prospective supervisor pursuant to Section 10(3),

Section 11 Academic progress, subjects, lecturers

- (1) State funded students who do not make sufficient progress in their studies or research work and who do not complete 2/3 of the credits specified in the recommended curriculum for the given term may be reclassified to self-financed status by the Dean of the Faculty on the recommendation of the DIT (BME DHSZ Section 13(8)).
- (2) Before each term, the DIT shall accept the list of subjects along with the lecturers proposed in the doctoral programme. It shall announce the accepted subjects on the website of the Doctoral School.
- (3) Every year, the DIT will review the Operational Rules and the Training Plan and, if necessary, amend them with the approval of the EHBDT. The requirements in force at the time of admission or the revised requirements will be applied according to the choice of the doctoral students in the programme.

Section 12 Role of the Dean's Office

The Dean's Office of the Faculty of Economics and Social Sciences is responsible for the registration system, administration and information obligations of the DI, taking into account the provisions of Sections 11-12 of the BME DHSZ. Electronic (paperless) methods of administrative management should be preferred wherever possible.

Section 13 Complex exam

Rules on the organisation of and admission to the complex exam are set by

- Section 12/A of Government Decree 387/2012.
- BME DHSZ (Section 9) and
- The "Reports" section of the Training Plan (Section 5(5)).

Section 14 Degree acquisition procedure

- (1) The body that conducts the doctoral degree acquisition procedure is the HBDT. The degree is awarded by the EHBDT on the basis of a proposal from the HBDT. The requirements for the doctoral degree are the acquisition of the absolutorium, the submission of the doctoral thesis within three years of the complex examination, and the successful defence of the doctoral thesis in a public debate organised by the HBDT (the three-year deadline may be extended by up to one year in cases of special merit, at the discretion of the DIT).
- (2) If a student submits their doctoral thesis at any time during the second stage of the programme and it is submitted for a thesis review procedure by the HBDT, the remaining research and publication credits will be recognised on the day of the HBDT's decision. A student who has fulfilled all the study and examination requirements prescribed in the curriculum and collected the required 240 credit will receive the absolutorium on the day of the HBDT's decision, while their student status and in the case of a scholarship student, their scholarship entitlement will be maintained until the last day of the term (Higher Education Act Section 59(1)d).
- (3) The doctoral thesis must be submitted for a preliminary workshop debate before submission (so-called in-house defence). The preliminary workshop debate is organised by the host department. The aim of the preliminary workshop debate is to present the thesis and the thesis statements, their peer review, to identify any necessary changes to be made and to prepare for the public debate. The thesis shall be assessed by at least one reviewer with a doctoral degree. The preliminary workshop debate is not yet part of the review procedure (the thesis can still be modified after the debate), so the reviewer(s) are not subject to conflict of interest rules.
- (4) The content of the preliminary workshop debate and, in particular, the opinions and findings relating to the modification of the thesis must be recorded in the minutes. As part of the minutes, it is recorded that the research community, consisting of the immediate circle of academic staff, recognises the candidate's results, stated in the thesis statements (or the thesis statement to be modified), as independent results. The reviewer's opinion is annexed to the minutes. In the case of a major revision of the thesis or the thesis statements, the preliminary workshop debate should be repeated.

The scientific publications presented in the doctoral thesis containing your own results should be linked to the thesis statements.

- (5) A statement of support from the supervisor and the head of the relevant educational unit may be attached to the application.
- (6) When assessing whether the criteria for the degree acquisition are met, only publications that are assigned to a thesis statement will be taken into account.
- (7) A further condition for starting the review procedure is that the language requirements are met (Annex 3).
- (8) In doctoral programmes starting after 1 September 2016, if a person does not submit a doctoral thesis within three years of the complex examination (the three-year deadline may

- be extended by up to one year in cases deserving special consideration at the discretion of the DIT), they may only acquire a degree by repeating their studies or as a candidate opting for individual work without indicating a supervisor (BME DHSZ § 14 (4)).
- (9) The thesis sent to the reviewers cannot be modified afterwards. If the Thesis Committee finds that the thesis is professionally incorrect or does not accept the thesis statements, the relevant part of the Committee's minutes is appended to the thesis (also in electronic form) and the defended thesis is published with this appendix (library, repository).
- (10) The identity of the reviewers is not public until the review is complete. The members of the Thesis Committee receive the reviewers' opinions electronically after the submission of both reviews and receive the candidate's replies to the reviewers' opinions no later than one week before the defence. When the public debate is announced, the thesis and the thesis booklet will be made public at www.doktori.hu.
- (11) In accordance with Section 7(7) of the BME DHSZ, the requirement system for acquiring the doctoral degree is elaborated by the HBDT and approved by the EHBDT.
- (12) The HBDT shall review the requirements of degree acquisition and, if necessary, modify them with the approval of the EHBDT. To acquire the degree, the publications linked to the thesis statements must comply with the DI's detailed publication requirements. These are reviewed annually by the doctoral school and amended as necessary. The current criteria are set out in *Annex 2*.
- (13) In the case of procedures already in progress, it depends on the choice of the doctoral candidates as to whether the requirements valid at the time of their admission or the subsequent modifications should be applied.
- (14) The requirements of degree acquisition are published by the Doctoral School on its website.

Closing provision

Section 15 Applicability and effective date

- (1) Where these Rules impose a requirement that is not set out in legislation or in other BME codes, or is more stringent than those, a modification to the extent permitted by the higher-level regulation may be permitted as an exception. Such authorisation (on the basis of a written request with detailed justification) may be granted by the DIT in the case of doctoral programmes and the HBDT in the case of doctoral degree acquisition procedures, with such a decision entered in the records.
- (2) These Operational Rules were discussed and approved by the BME EHBDT on 27 April 2023. They shall enter into force immediately.
- (3) For students enrolled in the Doctoral School before 1 September 2023, the more favourable of the current publication requirements and those in force at the time of admission shall be taken into account.

Dr Tamás Koltai Head of the Doctoral School

Annex 1: Electronic voting by the committee in doctoral matters (DIT, HBDT)

If an urgent decision is required which does not allow the timely convening of a council or committee meeting or if the subject does not justify convening such a meeting, the votes of the relevant body's members, who have voting rights, may be obtained by electronic means on matters to be *decided by public vote*, as listed below.

The head of the committee decides on ordering a vote, its starting and closing time. The proposal for a resolution and the explanatory statement shall be sent to all members by electronic mail, indicating the deadline (year, month, day, hour) and the web page address where the vote will be held. An electronic vote shall not be held or an electronic vote shall not be evaluated if any member of the body requests a meeting to be convened to discuss the proposed resolution, no later than the time when the vote starts.

Formal requirements for electronic voting and decision-making:

- the identity of the persons taking part in the vote and the quorum can be established on the basis of credible evidence;
- the written documentation supporting the decision is sent electronically to the members of the committee at least 3 working days before the closing time of the vote;
- the votes cast are not public until the voting is closed;
- a proposal for a decision is considered adopted if at least two thirds of the members of the committee have voted and more than half of the members voting have supported it.

Electronic voting is possible in the following DIT and HBDT cases:

- announcement of doctoral topics,
- appointment of the doctoral programme's Admissions Committee,
- approval of the report of the doctoral programme's Admissions Committee,
- approval of the list and waiting list for state scholarships,
- approval of work plans and reports,
- approval of the subjects and topics of the complex examination,
- assigning complex examination subjects and topics to students, appointing members of the examination boards.
- modifying the composition of the committee.

The votes shall be tallied by the administrator of the Dean's Office and certified by the head of the committee and a member designated by the head. The results of the vote shall be communicated to the members of the committee within 24 hours of the close of the vote.

The addendum on electronic voting was approved by the EHBDT's 28 November 2019 meeting.

Annex 2: Minimum requirements for doctoral studies in the Doctoral School in Business and Management

In accordance with Section 17(5) of the University's Code of Doctoral Studies and Habilitation,

'For scientific and technical creative works, the minimum requirement is at least 3 peer-reviewed publications already published (or accepted for publication). Minimum 2 of these must be in a foreign language, minimum 2 published in a journal, minimum 2 must be high-quality publications of the candidate's own work with their predominant contribution, and minimum 2 publications must be registered in the Web of Science or Scopus database. For a doctorate in art, the minimum requirement is at least one completed, qualified work of art. The precise definition of the significant contribution ratio and quality requirements and of a qualified work of art, taking into account the specificities of the field and any additional minimum conditions, is determined by the competent HBDT and laid down in its rules, subject to approval by the EHBDT. Compliance with the publication requirements is a prerequisite for starting the review procedure.'

The formal fulfilment of these conditions does not guarantee either the launch of the thesis review procedure or its successful completion. In making its decision, the Doctoral Council in Business and Management (DT) and the opponents selected will separately consider the merits of the candidate's level of publication of new scientific results and the candidate's contribution to the published results.

In line with the general requirements set out in the BME DHSZ, and as a supplement to them, the GSZT Doctoral School stipulates the following requirements as minimum requirements for degree acquisition.

Publication requirements for degree acquisition:

- 1) **Minimum 20 points** according to the Appendix.
- 2) Journal publications shall satisfy one of the following two conditions⁴:
 - a) One foreign language journal article listed in the "Web of Science" and one in the Scopus database, assigned to the thesis statements.
 - b) Two foreign language journal articles in total, listed in the Scopus database and assigned to the thesis statements, one of which published in a Q1 ⁶journal based on the SCImago rankings.
- 3) At least one book, book excerpt, article published in a peer-reviewed journal or published conference presentation assigned to each thesis statement⁷.

⁴ If the same foreign language article is included in the PhD procedures of two candidates as proof of meeting the publication requirements, an additional foreign language article shall be presented in at least one of the procedures in the given category.

⁵ Journals listed in the WoS Emerging Sources Citation Index (ESCI) may also be considered as journals listed in ⁵the Web of Science (WoS) database.

⁶The 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 field, the journal's most favorable Q rating should be considered.

⁷Journal 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:

Classifica	Score
tion	0
Book, excerpt of a book, university course book*	8
Journal articles	T -
In a foreign language, listed in the Web of Science database	8
An article published in a journal listed in the Scopus database, according to the qualification in the SCImago ranking**	e Q
D1	12
Q1	10
Q2	8
Q3	6
Q4	5
classification indicated on the list** A	7
	7
В	6
С	5
D	4
Other peer-reviewed journal article in a foreign language	3
Other peer-reviewed journal article in Hungarian	2
Other non-peer-reviewed 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 a Hungarian publication	1
A review (printed review of another author's work)	1

^{*} For a widely available, peer-reviewed and officially distributed book or excerpt of a book, 2 points per sheet, a maximum of 8 points. In the case of a university course book published in printed or electronic form, 1 point per sheet, a maximum of 4 points.

** http://www.scimagojr.com

Detailed criteria and conditions:

- Each piece of writing can be considered for one publication and each publication can be considered in one category only.
- In the case of publications with less than 3 according to the table, a maximum of 5 points can be awarded in total.
- In the case of co-authored publications, the proportion of own work should be calculated by dividing it by the number of authors. In the case of multiple-authored articles, the

supervisor must always be deducted from the number of authors.

- The % distribution among co-authors is even and cannot be changed by the co-authors' declaration.
- In the case of individually preparing candidates, the thesis advisor should be considered as co-author (and not as supervisor).
- In the case of two supervisors, only one may be disregarded in the calculation of the % publication contributions; the Candidate must declare this. If the student has changed supervisor during the doctoral programme, only the supervisor assigned at the time of submission of the publication can be disregarded.
- Publications should be related to the thesis statements.
- Submitted, but not yet reviewed publications are deemed to be non-peer-reviewed articles.
 This is also the case if the editor asks for the article to be revised.
- For articles published in journals that require an APC (Article Processing Charge), it is the PhD student's responsibility to demonstrate the thoroughness of the peer review process by submitting reviews and responses to them. The HBDT reserves the right to evaluate and rate the peer review process and to decide on the basis of this to include or exclude the publication in question from the PhD process. The Open Access fee after acceptance for publication is not an APC.
- No other publications (TDK or diploma thesis, abstract, extended abstract, conference presentations not published in writing) can be counted towards the minimum requirements, but may be evaluated during the peer review process.

Annex 3: Language proficiency requirements: foreign language, mother tongue and specialist language

- 1) Verification of language proficiency with a successful language examination is not required for admission to the Doctoral School, but positive consideration will be given to those who have the language skills required for academic work in any way and can provide appropriate documentation for this.
- 2) However, a criterion for awarding the doctoral degree is a state accredited English language exam certificate. Proficiency in the foreign language necessary for the study of the field must be verified by a B2 level, complex, state accredited English language exam certificate or equivalent certificate by the date of submission of the PhD thesis at the latest (BME DHSZ Section 13 (3)).