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Evaluation Regulations of the Doctoral School of Applied Research in North Rhine-Westphalia

from 10.10.2023

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Preamble

The evaluation regulations serve to ensure the quality of the doctorates carried out within the Doctoral School of Applied Research in North Rhine-Westphalia. Together with other regulations, they ensure that the requirements of Section 67 (1) of the North Rhine-Westphalia Higher Education Act (Hochschulgesetz - HG) are met. It refers to the administrative agreement concluded on 14.12.2020 and to the Doctoral School of Applied Research in North Rhine-Westphalia (Doctoral School NRW) Constitution of 30.11.2021.

Part 1 - General part

§ 1 Scope of application

(1) The evaluation regulations refer to the areas of promotion of early career researchers (teaching and supervision), Research (research profiles, research focuses and achievements) as well as the objectives and organizational structure of the promotion of early career researchers at Doctoral School NRW.

(2) The evaluation regulations are divided into the following parts:

- a) Evaluation of the Doctoral School NRW and the cooperative programs with institutions entitled to award doctorates
- b) Evaluation of the departments,
- c) Evaluation of the college organization and the fulfillment of the university's political mission.

(3) It regulates the basic evaluation procedures in terms of structure and content. Furthermore, it defines binding standards for the implementation of evaluations and the handling of results.

(4) As the responsible evaluation units, the departments can specify the content.

§ 2 Definition and purpose

(1) The Doctoral School NRW sees evaluation as an instrument of self-control and external accountability, in particular towards supporting universities, the state and the public. It serves to continuously ensure and improve the quality of doctorates by ensuring supervision and guaranteeing scientifically excellent doctoral programs and research as well as appropriate organizational structures for the promotion of early career researchers.

(2) Evaluation means the regular and systematic collection, processing and publication of data to review the quality of the doctoral program, the doctoral programs, the departments and

the organization of the Doctoral School NRW in order to fulfill the mission of the Doctoral School NRW.

(3) In this sense, the evaluation brings together the results from the doctoral college and institutions entitled to award doctorates with which cooperative doctoral programs are carried out.

(4) It contributes to the long-term strategic development planning of the Doctoral School NRW, its departments and to the further development of the qualification of early career researchers.

(5) The members and Affiliated Members of the Doctoral College are actively involved in the evaluation.

§ 3 Responsibility

(1) The Executive Board of the Doctoral School NRW and the directorates of the departments are responsible for the evaluation in accordance with § 18 para. 1 no. 6 and § 25 para. 2 no. 2 of the administrative agreement. More detailed regulations on competence and responsibility follow in §§ 8, 13 and 17.

(2) The Executive Board and the Directorates shall delegate responsibility for conducting the evaluation in accordance with § 4 to the staff responsible for quality management, the Staff members and the evaluation officers.

§ 4 Responsibilities

(1) The conception, control and coordination of the evaluation are the responsibility of the staff responsible for quality assurance at the head office, hereinafter referred to as Quality Management. Quality Management acts on behalf of the Executive Board.

(2) Quality management is supported by employees of the head office, hereinafter referred to as Staff members.

(3) Each department shall appoint a person responsible for evaluation from the group of professorial members, hereinafter referred to as the evaluation officer.

(4) The evaluation officers work in coordination with Quality Management and are supported by the Staff members.

§ 5 Methodology and instruments

(1) The evaluation uses quantitative and qualitative methods of data collection.

(2) In the area of quantitative data collection, in addition to the use of key figures, standardized surveys are generally used, which can be carried out as paper or online versions.

(3) In the area of qualitative data collection, expert interviews, focus groups and story telling methods are used.

(4) The evaluations of parts 2 (evaluation of the doctoral activities of the Doctoral School NRW and the cooperative doctoral programs with institutions entitled to award doctorates), 3 (evaluation of the departments) and 4 (evaluation of the organization of the Doctoral School NRW and the fulfillment of the university's political mission) are carried out with the participation of external experts. The implementation of the evaluations for parts 2, 3 and 4 can also be transferred to external organizations.

§ 6 Handling of the data

(1) When conducting the evaluation, the necessary data is collected, stored and processed in compliance with the applicable data protection regulations (GDPR).

(2) Only such personal data may be collected, stored and processed as is necessary to achieve the respective evaluation purpose and objective.

Part 2 - Evaluation of the Doctoral School NRW and the cooperative doctoral programs with doctoral-granting institutions

§ 7 Object and purpose

(1) The aim of the evaluation of the doctoral process at PK NRW is to identify the strengths and weaknesses of the doctoral processes and programs in terms of content and structure. By expanding the strengths and eliminating the weaknesses, the qualification success should be increased.

(2) As part of the evaluation of the doctorate, assessments of the compatibility of family and doctorate and of qualification (doctoral) barriers are recorded.

(3) The subject of the evaluation is in particular

- a) Subject-specific and interdisciplinary courses (teaching evaluation in the narrower sense)
- b) Support, advice and conflict management and
- c) Structure, content and timeliness of doctoral programs.

(4) The evaluation shall focus on the doctoral activities of the Doctoral School NRW and on the programs carried out jointly with the institutions entitled to award doctorates and the doctoral candidates and supervisors participating in them.

§ 8 Responsibility

(1) The Directorate is responsible for carrying out the evaluation of the Doctoral School NRW's doctoral programs and the cooperative doctoral programs with institutions entitled to award doctorates.

(2) Quality Management takes the lead and coordinates with the person responsible for event management, who is responsible for the evaluation of subject-specific and interdisciplinary events (teaching evaluation in the narrower sense). Quality Management is responsible for preparing the data for supervision, advising and conflict management. Staff members support the evaluation officer in the preparation, coordination and implementation of evaluation measures with regard to doctoral activities and cooperative doctoral programs with doctoral-granting institutions.

(3) On the basis of the evaluation results, the Directorate shall take the necessary measures to ensure and further develop the quality of the specialist and interdisciplinary courses and supervision.

(4) Reporting for the evaluation of the doctoral program at PK NRW is regulated in § 11. Reporting for the evaluation of cooperative doctoral programs with institutions entitled to award doctorates is regulated within the framework of the respective doctoral programs.

§ 9 Procedure for the evaluation of doctoral studies at PK NRW

(1) The evaluation officer of the department, with the support of quality management and the Staff members, prepares a self-evaluation report on doctoral activities (Selbstbericht_Promotionsgeschehen, S_Prom_Berichte) in the department in consultation with the Directorate.

(2) The self-reports on the doctoral activities of the departments include in particular statements on

- a) Structure and content of the doctoral program, including the scope, weighting and relevance of the compulsory and elective courses as well as the subject-specific and interdisciplinary courses in terms of content, didactics, relevance, innovation and inter- and transdisciplinarity.
- b) Quality of the doctoral process, including the scope and intensity of professional support and support with regard to the introduction to relevant research contexts (scientific community) on the part of the supervisory team as well as perceived advice and support services in conflict situations.

(3) The Doctoral School Senate shall set up a Doctoral Evaluation Commission for the operational implementation of the evaluation of the doctoral process, whose task is to evaluate the doctoral process in all departments.

(4) The doctoral evaluation committee should include the following members:

- a) one person from the Academic Advisory Board as chairperson,
- b) a professorial members of a department,
- c) a representative of the group of doctoral candidates,
- d) a professor with doctoral experience who is not a member of the Doctoral School NRW and
- e) one person from quality management (without voting rights).

When advising doctoral programs, one person from the doctoral program to be advised is invited as a guest without voting rights.

(5) A doctoral evaluation report (Prom_Eval_Bericht) is prepared under the chairmanship of the person appointed by the Academic Advisory Board with the support of Quality Management and the Staff members. The departmental self-reports on the doctoral process (S_Prom_Berichte) are included in the preparation of the doctoral evaluation report.

(6) The doctoral evaluation report (Prom_Eval_Bericht) makes statements on the relevance of the overall topics, the functionality of the structure, the intensity and purposefulness of the activities as well as the relevance of the content of the doctoral programs and comments in particular on the innovative, consistent and scientific quality of the doctoral programs as well as on the processes of supervision and conflict management.

§ 10 Handling of data from the evaluation of the doctoral process

The evaluation results on the doctoral process allow conclusions to be drawn about individuals and require particularly sensitive handling. In order to ensure the quality of the doctoral programs and supervision, it is necessary to draw conclusions about individual persons. The Executive Board has comprehensive access to this data; only department-related data is made available to the directorates.

§ 11 Report and statements on the evaluation of the doctoral process (Prom_Eval_Bericht)

(1) As a rule, the doctoral process is evaluated after five years.

(2) The department-related part of the doctoral evaluation report (Prom_Eval_Bericht), which does not allow any conclusions to be drawn about individuals and is written exclusively in aggregated form, is submitted to the Department boards for comment. The statement is limited to the departmental part of the doctoral evaluation report (Prom_Eval_Bericht).

(3) The Executive Board discusses the doctoral evaluation report (Prom_Eval_Bericht) and the statements of the departments with the Academic Advisory Board with the participation of the directorates. The participation of the directors of the doctoral programs is possible subject to confidentiality.

(4) After consultation, the Academic Advisory Board shall formulate a written statement.

(5) The Executive Board and the Directorates decide on necessary recommendations for action based on the doctoral evaluation report (Prom_Eval_Bericht) and the written statement of the Academic Advisory Board.

(6) The subject of recommendations for action may be recommendations on the reorientation, new establishment and discontinuation of doctoral programs and on supervision procedures and conflict management.

(7) The doctoral evaluation report (Prom_Eval_Bericht), the written statement of the Academic Advisory Board and any recommendations for action formulated are submitted to the Doctoral School Senate for consultation and decision-making.

(8) The Board of Supporters receives a summary of the doctoral evaluation report (Prom_Eval_Bericht) and any recommendations for action formulated for information

purposes.

(9) The summary of the doctoral evaluation report (Prom_Eval_Bericht) and any recommendations for action are made available to the doctoral college's internal public.

Part 3 - Evaluation of the departments

§ 12 Object and purpose

(1) The aim of the evaluation of the departments is to review the quality assurance processes and scientific performance.

(2) The subject of the evaluation is in particular

- a) Innovative strength of the department,
- b) Coherence of the research concept and focus,
- c) Development of the department's prospects and
- d) Integration into the national and international research landscape.

(3) The evaluation focuses on the structural, conceptual and strategic development of the department.

§ 13 Responsibility

(1) The Executive Board is responsible for carrying out the evaluation of the department and is supported in this task by the Quality Management.

(2) In consultation with the Board of Supporters, the Executive Board shall take the measures necessary to ensure the department's performance. Reporting is regulated in § 15.

§ 14 Procedure for evaluating the department

(1) The Evaluation Officer, with the support of Quality Management and the Staff members, prepares a departmental self-evaluation report (S_Abt_Bericht) in consultation with the Directorate, taking into account the doctoral evaluation report (Prom_Eval_Bericht) described in § 11.

(2) The department's self-report (S_Abt_Bericht) includes in particular statements on creative and interdisciplinary projects, participation and shaping of scientific discourse, intensity and functionality of cooperation as well as application and transfer orientation. It contains a classification in the national and, if applicable, international research landscape.

(3) The Executive Board, in consultation with the Board of Supporters, shall set up a department evaluation committee for operational implementation, whose task is to evaluate all departments.

(4) The members of the departmental evaluation committee shall be:

- a) One person from the Academic Advisory Board as chairperson
- b) a member of the Executive Board,
- c) one member from the group of directors,
- d) a representative of the group of doctoral candidates,
- e) up to two professors with doctoral experience who are not members of the Doctoral School NRW and
- f) one person from quality management (without voting rights).

One person from the department to be advised is invited to the department evaluation meeting as a guest without voting rights.

(5) A department evaluation report (Abt_Eval_Bericht) is prepared under the chairmanship of the Academic Advisory Board with the support of Quality Management. The department evaluation report is based on the self-reports of the departments (S_Abt_Bericht).

(6) The department evaluation report (Abt_Eval_Bericht) makes statements on the relevance of the research fields and focal points, inter- and transdisciplinarity, research performance, participation in the national and international scientific research environment as well as the qualification of young researchers and comments in particular on the innovative, consistent and scientific performance of the department.

§ 15 Report and comments on the departmental evaluation report (Abt_Eval_Bericht)

(1) In consultation with the departments and the Academic Advisory Board, an evaluation shall be carried out every seven years at the latest.

(2) The department-related part of the department evaluation report (Abt_Eval_Bericht), which does not allow any conclusions to be drawn about individuals and is written exclusively in aggregated form, is submitted to the Department board for a department-related statement.

(3) After the Department Boards have given their opinion, the Academic Advisory Board receives the Department Evaluation Report (Abt_Eval_Bericht) and the opinions of the Department Boards for consultation and comment.

(4) The Executive Board and the Academic Advisory Board shall discuss and formulate a position paper on the strategic orientation of the departments in consultation with the directorates. The position paper shall include statements on the continuation of the departments.

(5) The Department Evaluation Report (Abt_Eval_Bericht) and the position paper are submitted to the Department boards and the Doctoral School Senate for comment.

(6) The Department Evaluation Report (Abt_Eval_Bericht), the position paper and the statements of the Department boards and the Doctoral School Senate are submitted to the Board of Supporters for consultation and decision-making.

(7) The Department Evaluation Report (Abt_Eval_Bericht), the position paper, the statements of the Department boards and the Doctoral School Senate as well as the resolution of the Board of Supporters are made available to the Doctoral College's internal public.

Part 4 - Evaluation of the organization of the college and the fulfillment of the university's political mission

§ 16 Object and purpose

- (1) The aim of the evaluation of the Doctoral School NRW is to assess the work of the Doctoral School NRW.
- (2) The subject of the evaluation is in particular
 - a) Effectiveness and efficiency of the organization and scientific performance of the doctoral college,
 - b) Development of doctoral activity at Doctoral School NRW in relation to overall doctoral activity in NRW and
 - c) Impact on NRW as a science location.
- (3) The evaluation focuses on the Doctoral School NRW's higher education policy mandate.

§ 17 Responsibility

- (1) The Executive Board is responsible for carrying out the evaluation of the Doctoral School NRW and is supported in this task by the Quality Management and the Staff members.
- (2) The Board of Supporters and the Executive Board shall take the measures necessary to fulfill the university's mission at all times.
- (3) Reporting is regulated in § 19.

§ 18 Procedure for evaluating the Doctoral School NRW

- (1) The Executive Board of the Doctoral School NRW, taking into account the doctoral evaluation report (Prom_Eval_Bericht) and departmental evaluation report (Abt_Eval_Bericht) described in § 11 and § 15, prepares a colleague evaluation self-evaluation report (Koll_S_Bericht) with the support of Quality Management.
- (2) The self-evaluation report (Koll_S_Bericht) includes in particular statements on the position of the doctoral college in terms of higher education policy, on cooperation structures and on the role of the doctoral college in academia.
- (3) The Executive Board shall appoint a colleague evaluation committee in consultation with the Board of Supporters.
- (4) The members of the collegial evaluation committee shall be

- a) one person from the Academic Advisory Board as chairperson,
- b) a member of the Executive Board,
- c) one member of the Board of Supporters,
- d) one member from among the directors,
- e) a representative of the group of doctoral candidates,
- f) up to three professors with doctoral experience who are not members of the Doctoral School NRW and
- g) one person from quality management (without voting rights).

(5) Under the chairmanship of the Academic Advisory Board, the Executive Board, with the support of Quality Management, prepares a collegial evaluation report (Koll_Eval_Bericht) on the basis of the collegial evaluation self-evaluation report (Koll_S_Bericht).

(6) The doctoral research training group evaluation report (Koll_Eval_Bericht) makes statements on the position and role of the doctoral training group in research and science, on scientific quality, structural development and orientation, development prospects and the function within the framework of the promotion of early career researchers.

§ 19 Report and comments on the evaluation of colleagues

(1) The evaluation of the College's organization and the fulfillment of its mission is carried out every ten years.

(2) The Doctoral School Senate shall be presented with the evaluation report (Koll_Eval_Bericht), which does not allow any conclusions to be drawn about individuals and is written exclusively in aggregated form, for comment.

(3) After the Doctoral School Senate has issued its opinion, the Academic Advisory Board receives the Doctoral School Senate Evaluation Report (Koll_Eval_Bericht) for consultation and comment.

(4) The Executive Board and the Academic Advisory Board shall discuss and formulate an academic policy statement on the strategic orientation of the Doctoral School NRW.

(5) The science policy statement includes statements on the development planning of the Doctoral School NRW.

(6) The Doctoral School Senate shall be presented with the evaluation report (Koll_Eval_Bericht) and the scientific policy statement for comment.

(7) The College Evaluation Report (Koll_Eval_Bericht), the scientific policy statement and the Doctoral School Senate's statement are submitted to the Board of Supporters for consultation and decision-making.

(8) The doctoral evaluation report (Koll_Eval_Bericht), the scientific policy statement, the statement of the Doctoral School Senate and the resolution of the Board of Supporters are made available to the doctoral college's internal public.

(9) A summary report shall be submitted to the competent ministry.

Part 5 - Supplementary regulations

§ 20 Extended evaluations

(1) For the strategic development of the Doctoral College and to ensure the quality of doctoral studies, the Board of Supporters may formulate requests for extended evaluations on the basis of Section 15 (2) of the Administrative Agreement and the Academic Advisory Board on the basis of Section 22 (1) of the Administrative Agreement.

(2) Requests for extended evaluations shall be submitted to the Executive Board.

(3) As part of quality assurance discussions, the Academic Advisory Board or the Board of Supporters together with the Executive Board shall define the implementation of extended evaluation requests.

§ 21 Entry into force

These regulations come into force on the day after their publication in the Official Notices V of the Doctoral School NRW.

Issued on the basis of the decision of the Doctoral School Senate of 10.10.2023.

St. Augustin, 10.10.2023

The Chairman of the Doctoral School Senate

signed. *Jung*

(Prof. Dr. Norbert Jung)

Bochum, 27.10.2023

Chairman of the Board

signed. *Sternberg*

(Prof. Dr. Martin Sternberg)