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Regulations of the Department of Resources and Sustainability of the Doctoral School NRW

dated 04.11.2021 in the version dated 28.03.2023

Based on Section 4 (4) sentence 3 of the Higher Education Act of the State of North Rhine-Westphalia (Higher Education Act - HG) as amended by the Act Amending the Higher Education Act of July 12, 2019, Section 2 (2) of the Administrative Agreement of the Doctoral School NRW of December 14, 2020 and the Framework Departmental Regulations of the Doctoral School NRW of April 16, 2021, the Doctoral School NRW issues the following Departmental Regulations:

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§ 1 Scope of application and tasks

(1) The Departmental Regulations govern the structure, procedural rules and processes of the Department of Resources and Sustainability and are based on the valid version of the Framework Departmental Regulations as well as the cooperation practiced in the department and the Resources Division of the GI NRW as the predecessor institution.

(2) Professors and doctoral candidates from universities of applied sciences (AUS) and universities work together in the department with the aim of carrying out and promoting doctorates, strengthening cooperation in research, promoting integration into the scientific community, ensuring a high quality of scientific work and teaching young scientists a responsible approach to science.

(3) In particular, the department ensures that the doctorate is compatible with the national and international scientific community and that an academic career at other institutions can

be continued after completion of the doctorate.

(4) The department represents an extended research environment for its doctoral candidates. They are included in the scientific discourse beyond university boundaries. Where possible, the facilities of the other supporting universities involved in the department are also available to them.

(5) The department obliges all members and Affiliated Members to comply with the rules of good scientific practice in accordance with the regulations for safeguarding good scientific practice and dealing with Scientific Misconduct at the Doctoral School NRW, as amended. It shall perform the tasks assigned to it in these regulations.

(6) The department obliges all its members and Affiliated Members to handle scientific methods and results responsibly in accordance with the regulations of the Commission on Responsibility in Science of the Doctoral School NRW as amended.

(7) In order to provide a supportive environment for young researchers, the members of the department coordinate their research and form research priorities. The Key Research Areas form the scientific basis for the department's doctoral program.

(8) The department involves associate professors and thus gives them the opportunity to acquire membership status.

(9) The department promotes gender equality and takes into account diversity among doctoral candidates and professors with regard to origin, ethnicity, status and religion. The goal of gender equality as well as the consideration of diversity and the support of people with disabilities should be promoted through appropriate measures.

(10) The department strives in particular to strengthen the conservation of resources while taking sustainability aspects into account in society and among relevant stakeholders. To this end, the discourse on cross-value chain topics is implemented in events and projects. In particular, fact-based decision-making is integrated into event series and the focus of doctoral programs.

As a large number of Doctoral candidates work in the application-oriented field and the department is closely interlinked with industry, the department contributes to scientific, technical and social innovations with its numerous doctoral projects.

§ 2 Contributors

(1) The professorial members and associate professors admitted in accordance with Section 3 of the Membership Regulations of the Doctoral School of Applied Research in Rhine-Westphalia dated 29.01.2021, the doctoral candidates admitted in accordance with Section 4 of the Membership Regulations and cooperation partners from universities who have been assigned to this department work together in the department. -partners of universities that have assigned themselves to this department. The admission of members and Affiliated Members is governed by the Membership Regulations and §§ 7, 8, 9 and 10 of the Administrative Agreement.

(2) Members and Affiliated Members of other departments may also attend meetings and

events after registering, provided that there are no reasons of confidentiality or other reasons to the contrary.

(3) Guests may attend department events by invitation.

§ 3 Recommendations Committee

(1) The department's Recommendations Committee, with the assistance of professorial expertise from external institutions authorized to award doctorates, prepares a scientific evaluation for the admission of members and Affiliated Members to the department.

(2) The composition and election of the Recommendations Committee are regulated in Section 5 of the Framework Division Regulations.

(3) The Recommendations Committee consists of five professorial members, university cooperation partners of the department or other expert professors from institutions authorized to award doctorates. Four members are elected by the Department board in accordance with Section 5 (5) of the Framework Departmental Regulations, one member is appointed from among the Director and his or her deputies in accordance with Section 4 (2) in accordance with Section 5 (4) of the Framework Departmental Regulations.

The respective Key Research Areas of the department are to be taken into account when appointing the Recommendations Committee.

(4) The members of the Recommendations Committee shall carry out the academic assessment in accordance with paragraph 1 independently of each other and express their opinion individually and in writing on the PK NRW data portal for or against admission to the department as professorial members, associate professors or doctoral candidates. The majority of votes decides. If the opinions do not result in a clear vote or at the request of a member of the Recommendations Committee, the Recommendations Committee exchanges views in writing, in person, online or in a hybrid form and prepares a joint academic evaluation.

§ 4 Bodies of the department

(1) Bodies of the department are the Department board and the Director. Tasks and election are regulated in § 4 of the Framework Departmental Regulations and in § 17 and § 18 of the Doctoral School of Applied Research in North Rhine-Westphalia (Doctoral School NRW) in the version dated 30.11.2021.

(2) With regard to the director and deputies, it is stipulated that the director shall be represented by two professorial members. Attention must be paid to a gender-balanced composition of the directorate. The duties of the director are regulated in § 25 of the administrative agreement.

(3) The Department board meets at least twice per semester. It shall adopt its own rules of procedure.

§ 5 Key Research Areas of the Department

- (1) The department conducts research in priority areas. These are entitled Energy Systems, Materials and Interfaces, Security of Supply and Resilience and Circular Value Creation. Members and Affiliated Members must be assigned to at least one focus area.
- (2) The Key Research Areas elect a spokesperson from among their participants to represent the Key Research Area within the department.
- (3) The Department board decides on the establishment or dissolution of the department's Key Research Areas and on their general tasks. All those involved in the Key Research Areas must be consulted and the effects on the doctoral programs must be taken into account and adjustments made if necessary. The rights and obligations of professors and doctoral candidates remain unaffected.
- (4) The Key Research Areas should be balanced and reflect the current state of research. At least five professorial members must be involved in each Key Research Area.
- (5) In the event of the establishment or dissolution of Key Research Areas, the impact on the doctoral programs must be examined immediately and adjustments made if necessary.
- (6) The department is anchored in the natural and engineering sciences, life sciences and economics.

§ 6 Cooperation and events of the department

- (1) In addition to the work of the Bodies, elements of cooperation include the Department Assembly, the implementation of the doctoral program and, for example, specialist conferences and congresses, joint research projects and events for young academics. The Department Assembly can discuss further elements of cooperation and the Department board can decide on them.
- (2) Doctoral candidates are involved in the work of the department in particular through doctoral candidate days.
- (3) Collaboration with the university cooperation partners takes place in particular through the lecture series "*Fachforum Ressourcen*", in which university partners together with individual professorial members and industry partners are to provide topic-specific insights.
- (4) All members and Affiliated Members, in particular associate professors and doctoral candidates, are appropriately involved in decisions with scientific or organizational implications, such as the organization of conferences. This takes place through a circulated call for papers.

§ 7 Departmental meeting

- (1) The departmental assembly meets at least once a year. The departmental assembly consists of professorial members, associate professors, university cooperation partners, doctoral candidates and Staff members. The director or a deputy director should be present.
- (2) The department assembly should discuss the scientific work of the department, the

promotion of doctorates and the organization in an open discourse. In particular, representatives from all Key Research Areas should be heard and, if necessary, external experts should be invited.

(3) The director shall issue invitations to the departmental meeting with 14 days' notice and announce the agenda. The director shall be supported in this by the Staff members responsible for the department. The invitation to the departmental meeting shall be sent by e-mail.

(4) The deliberations and resolutions of the departmental meeting are recorded in minutes and forwarded to the responsible Bodies as statements or recommendations.

(5) The regulations on voting, Rules of procedure, resolutions and minutes are equivalent to the procedures of the Department board. Voting by show of hands or acclamation is also permitted.

(6) The department meeting can be held as an in-person, online or hybrid event.

(7) For the exchange of information within the groups, a closed meeting convened by the Directorate is held at least once a year for professorial members and a meeting of doctoral candidates convened by the Doctoral Candidate Representatives is held for doctoral candidates.

§ 8 Doctoral candidate spokesperson

(1) The Doctoral Candidate Representatives and their deputies represent the interests of doctoral candidates within the department and vis-à-vis the Executive Board of the Doctoral School NRW.

(2) The election and term of office of the Doctoral Candidate Representatives and their deputies are regulated in Section 6 of the Framework Departmental Regulations.

§ 9 Equality, Person in charge of Equal Opportunities Affairs

(1) The Equal Opportunities Officer performs the tasks in accordance with Section 24 of the Higher Education Act. She participates in the meetings of the Department board and the Recommendations Committee in an advisory capacity.

(2) The department's equal opportunities officer and deputy are elected by the Department board from among all female members of the department.

(3) The term of office of the Person in charge of Equal Opportunities Affairs of the department and the deputy is three years.

(4) The election of the Person in charge of Equal Opportunities Affairs of the department and the deputy shall take place in separate ballots. The person who receives a simple majority of the votes cast by the members entitled to vote is elected. Abstentions count as votes not cast.

§ 10 Commissions

(1) The Department board can set up commissions for special tasks as well as reappoint them.

(2) The department provides for the establishment of commissions for the following series of events: the lecture series *Fachforum Ressourcen* and the Resource Knowledge Colloquia for doctoral candidates.

(3) Members and Affiliated Members of the Department may submit proposals to the Department Board for the establishment of commissions, which the Department Board shall discuss and decide on.

§ 11 Doctoral examining committee

The department establishes a doctoral examining committee. Further details on its composition and election are regulated by the Framework Doctoral Degree Regulations of 31.01.2023 and the doctoral degree regulations of the Department of Resources and Sustainability, as amended.

§ 12 Amendment of the Departmental Regulations

The Departmental Regulations are adopted and amended by a two-thirds majority of the voting members of the Department board.

§ 13 Severability clause

Should any provision of these regulations be invalid, this shall not affect the validity of the remaining provisions. An invalid provision shall be replaced by a new, valid provision that comes as close as possible to the meaning and purpose of the original provision.

§ 14 Entry into force

This regulation comes into force on the day after its publication in the Official Notices of the Doctoral School NRW.

Weather, 28.03.2023

The Chairman of the Department board
signed. *Holzauer*

(Prof. Dr. Ralf Holzauer)