

GUIDELINE FOR DOCTORAL CANDIDATES

BY (FORMER) DOCTORAL CANDIDATES FOR
FUTURE DOCTORAL CANDIDATES

Faculty of Business and Economics, TU Dresden
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PREFACE

This guideline intends to provide doctoral candidates with an orientation for their doctoral studies and assist them in the search of relevant information (e.g., offered courses, possible sources of funding etc.). The document is explicitly to be considered as a guideline rather than a binding directive. It has been developed by a team of doctoral and post-doctoral candidates from the Faculty of Business and Economics. Please note that the schedule and progress may differ to a greater or lesser extent among individual chairs.

The time schedule is divided into 10 semesters and includes the timeframe between the beginning of the doctoral studies and the publication of the doctoral thesis (see figure 1). The target mark of 5 years for earning a doctorate is to be understood as a recommendation for research assistants with teaching assignments and self-administration commitments. Individual chairs have separate regulations in this regard. Naturally, many doctoral candidates do not only research at the faculty. They also teach, participate in committees or undertake duties in academic self-administration. The progression illustrated here does not necessarily have to be followed and does not constitute a guarantee for successful doctoral studies.¹ It rather intends to provide guidance to both doctoral candidates and supervisors. It is recommended, to contact your (potential) supervisor as early as possible in order to discuss a (rough) time schedule.

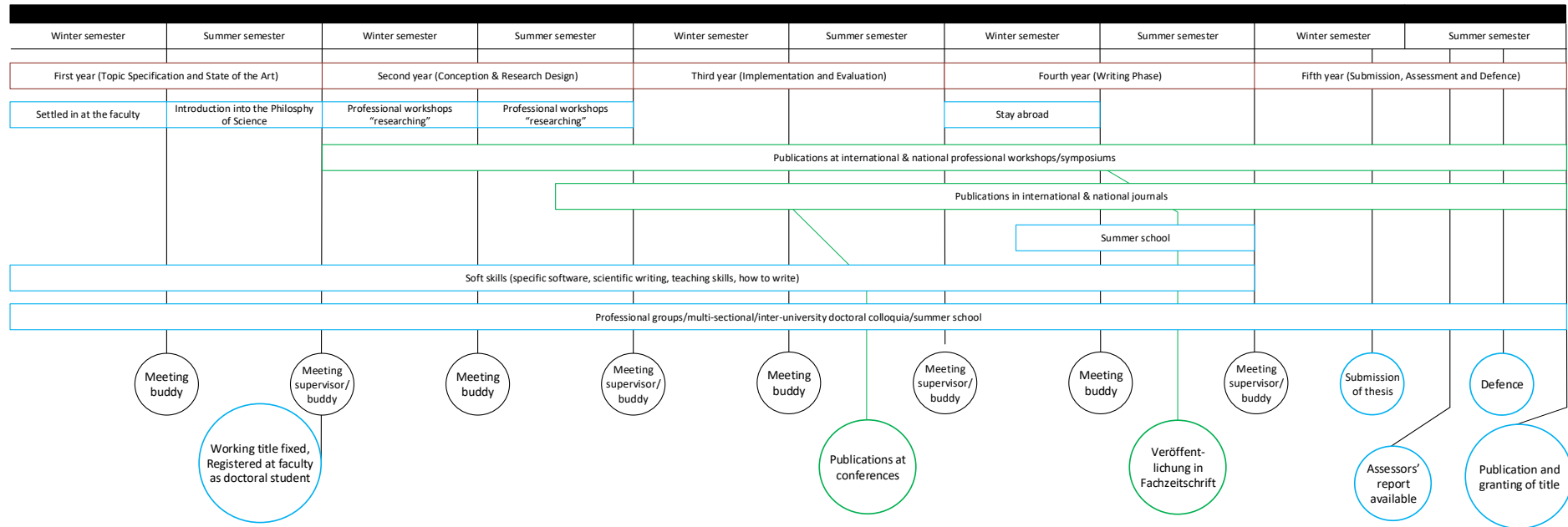
The dissertation project consists of five stages: "Topic Specification and State of the Art" , followed by stage two - "Conception and Research Design" - in the second year. The third year involves the "Implementation and Evaluation of Identified Solution" before the thesis is written in the fourth year. "Submission, Assessment and Defence" concludes the dissertation project.

By structuring the dissertation project this way, it is possible to define objectives and tasks for a certain time period, e.g., for one year, providing detailed planning and structuring. Particular milestones are defined for each stage. They may, for example, include a discussion with the supervisor at the end of one stage or the submission of the doctoral thesis in the

¹ The availability of financial resources by means of third-party funds or scholarships is to be taken into account when planning the duration of the dissertation project.

middle of stage five. The individual stages further entail specific steps for personal, professional and scientific qualification, which will be described in detail on the following pages.

Figure1: Dissertation project outline



FIRST YEAR: TOPIC SPECIFICATION AND STATE OF THE ART

The writing of a research work is closely linked to the acquisition of new methods and techniques. Questions may arise like, "Should I do empirical or design-oriented research?", "What is the difference between a monograph and a cumulative dissertation?", "What type of data (qualitative or quantitative) is most suitable for my problem?", "Which analytical methods should I employ?", "What theoretical-scientific positions are my arguments based on and what exactly is philosophy of science?". While answers to some of these questions may only be found over time, other questions should already be tackled in the first year. In close consultation with your supervisor, you should find a working title for your thesis and specify the topic. In particular, you should decide whether to write your thesis as a monograph (= classic type of dissertation in book form) or as a cumulative dissertation (= collection of several publications in professional journals). In any case, you have to send your application for acceptance as a doctoral candidate at the Faculty of Business and Economics via Promovendus.

- *Link 1: [Webportal Promovendus](#)*
- *Link 2: [Enrolment as a doctoral student](#)*

The Faculty of Business and Economics has arranged various offers to facilitate the first steps of your dissertation project. At the beginning of the winter and the summer term the seminar "*Promovieren an der Fakultät Wirtschaftswissenschaften*" ("Doing your PhD at the Faculty") is organised by postdocs and offers insider information from experienced associates as well as a good opportunity to meet fellow doctoral candidates at the faculty.

Regular meetings with a *buddy* (see schedule), e.g., a postdoc or an advanced doctoral candidate, can give you a faster and better understanding of research projects. Support by a buddy does, however, not mean that every candidate is allocated an individual mentor. We would rather like to encourage you to actively approach and regularly communicate with advanced doctoral candidates or postdocs in case of questions related to your doctoral studies.

- *Link 3: [List of current postdocs](#)*

From the outset, we highly recommend participating in the Wiwi-Promovierendenstammtisch (doctoral candidate get-together), which takes place on a Wednesday once a month. The get-together is organised by two doctoral candidates. Invitations are sent out by Sabrina Schmidt and Ronja Paleit by email before each event.

- *Link 4: [Wiwi doctoral student get-together](#)*

Starting in the first year you should regularly attend *doctoral colloquia*, which are offered at the faculty and by external providers. Good research output benefits from exchange with other scientists. Even though the presentations given there may not be directly relevant for the topic of your doctoral thesis, you can learn a great deal about methods, research designs and presentation techniques.

Since all colloquia at the faculty are public, you can also attend colloquia of other departments or chairs. Please click the following link for an overview of doctoral colloquia offered at the faculty:

- *Link 5: [Doctoral colloquia at the faculty](#)*

The faculty colloquium during the semester, Festsaal, Tuesdays at 4:40 p.m.), offers an opportunity to think outside the box, listening to presentations by renowned (international) guest speakers and coming into contact with other doctoral candidates and professors. Please click here for the current program:

- *Link 6: [Current program of faculty colloquium](#)*

At the very beginning of your doctorate you should familiarize with the guidelines for good scientific practice at TU Dresden. All members and staff of TU Dresden are obliged to follow the "Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct, and Handling Violations" to make them the basis of their research work and to actively contribute to the prevention of academic misconduct.

- *Link 7: [Statutes for Ensuring Good Scientific Practice, Avoiding Scientific Misconduct, and Handling Violations](#)*

In its statutes the TU Dresden has stipulated that all scientific staff as well as all doctoral candidates are obliged to attend at least one training course on the topic of good scientific

practice (§ 3 (3)). The Graduate Academy supports you with a lot of helpful teaching and counselling offers.

- *Link 8: [Workshops on Good Scientific Practice of the Graduate Academy](#)*

MILESTONES DURING THE FIRST YEAR

In close collaboration with your supervisor, you have defined a working title for your thesis by the end of the first year. You have prepared an exposé of your topic, which serves as a basis for your thesis. You have registered as doctoral candidate at the faculty with the Standing Doctoral Committee of the Faculty of Business and Economics.

SECOND YEAR: CONCEPTION AND RESEARCH DESIGN

The second year of your doctoral studies should mainly be dedicated to the conception and research design of your thesis. In order to acquire the necessary knowledge, a variety of professional workshops are offered by the faculty, the Graduate Academy at TU Dresden and external universities and institutions. These courses offer advanced training in methods and specific contents that are useful or even necessary for your own research. Particularly in view of an increasing workload in the third and fourth year, you are advised to attend respective courses in the second year at the latest. When choosing suitable courses, you should be aware that, according to the faculty's doctorate regulations, you must have attained four certificates before the doctoral examination proceedings can be started. Two of these course work certificates should be gained in multi-department courses for doctoral candidates offered at the faculty (§ 9 section 1, subsection 5, PromO 2018). According to § 9 section. 1, subsection 6, PromO 2018 you have to prove two further certificates of achievement from method-oriented courses. Please note that the groups of Business Administration, Economics and Business Information Systems have specific requirements for these certificates. You are advised to consult your colleagues in this regard.

Courses where you wish to attain a certificate are recommended to be taken at the beginning of your doctoral studies. Please click the following link for an overview of courses offered by

the faculty, the Graduate Academy, the VHB (German Academic Association for Business Research), the Central German Doctoral Program in Economics (CGDE) and further providers:

- *Link 9: [Information on the acquisition of certificates and offered courses](#)*
- *Link 10: [Course offerings](#)*

With ProDok, the VHB e.V. offers a comprehensive range of courses that includes both interdisciplinary and subject-specific courses. As these courses are relatively expensive, the faculty awards the so-called ProDok grant. Doctoral candidates in Business Administration and Business Information Systems who are in their first or second year of their doctorate are eligible to apply.

- *Link 11: [ProDok grant](#)*

Apart from improving your professional and scientific qualification, it is useful to acquire certain soft skills at an early stage. Corresponding courses include a variety of topics such as "Reading, understanding and scrutinising scientific papers", "Didactics in university teaching", "Time and project management" and "Presentation techniques". Further topics like "work-life balance" may also be essential for your doctoral studies. They can help you from the start to develop a balance between work and recreation, enabling you to better deal with stressful situations, which usually occur at an advanced stage of a dissertation project. The Graduate Academy, the Centre for Continuing Education at TU Dresden and the Centre for Didactics in Higher Education offer a variety of corresponding courses. Please be aware that soft skills courses can't be awarded as certificates of achievement according to PromO 2018 section 1, subsection 5 or 6).

- *Link 12: [Course offers at Graduate Academy](#)*
- *Link 13: [Personnel Development and Continuing Education at TU Dresden](#)*
- *Link 14: [Courses at the Saxon Centre for Didactics in Higher Education](#)*

In the second year you will finally start to produce your own first research works and present them to other scientists. *Doctoral colloquia* are a perfect occasion to present your work in progress. These colloquia often provide an approach to finding a solution to one's own small challenges, which can be very helpful or, at least, question your own way of thinking. Doctoral

candidates should also frequently take the opportunity to give presentations in doctoral colloquia as a preparation for the defence of their doctoral thesis and make use of the constructive proposals there for both their dissertation and personal development.

National and international conferences are a good way to present the state of your research to a broader audience. There are different formats and quality levels depending on the quality and maturity of your research. They include workshops where only short presentations or an exposé are required. For symposiums you are usually requested to submit research papers of between 7 and 25 pages. In order to find the most suitable format for you, it is important to seek advice from your supervisor and/or experienced associates. As a general rule, you should only consider the submission of a conference paper if you can come up with elaborated research results and new, relevant findings. Many major conferences offer workshops and so-called pre-conferences prior to the actual session, where doctoral candidates can take part in an intensive exchange of experience. Poster sessions are another occasion to present first research results.

Regular contact to your buddy and your supervisor can help you choose suitable formats. The faculty and the German Academic Exchange Service DAAD offer funding opportunities to finance the partly very expensive conference trips. Thus, the faculty pays a *conference allowance* to subsidise participation in (mostly international) scientific conferences. The financial support amounts to 50 % of the total expenses for the journey to and from the venue, accommodation and conference fees up to a maximum of €750. As a general rule, each member of staff can be paid a subsidy for the participation in one conference per year. Moreover, you can also apply for a travel subsidy with the German Academic Exchange Service (DAAD).

- *Link 15:* [Conference award of the Faculty of Business and Economics](#)
- *Link 16:* [Funding opportunities at DAAD](#)

Your personal network will also be increasing over time. You already know quite a few researchers from your area of science; you will integrate more intensively into scientific processes and, with some experience, join a research group to write and publish papers. This is a recommendable way of expanding your knowledge. With a view to your own doctoral studies, particularly when aiming for a cumulative dissertation, you should pay attention to

PromO 2018 §10 section 3 and, in that context, the co-author declaration. Guidance on the collaborative writing of publications can be sought from the Guidelines for Safeguarding Good Research Practice (DFG) as well as the statutes for ensuring good scientific practice, avoiding scientific misconduct, and handling violations of TUD. On the quality management website of TUD you will find a lot of more helpful information.

- *Link 17: [Good Scientific Practice Website of TU Dresden](#)*

MILESTONES DURING THE SECOND YEAR

By the end of the second year, you will have attended your first professional workshops and attained certificates of achievement. You have presented the state of your research in a smaller group (e.g., in a personal discussion with your supervisor or a presentation at a doctoral colloquium). You have successfully submitted a paper at a symposium and introduced your project to researchers from other universities.

THIRD YEAR: IMPLEMENTATION AND EVALUATION OF IDENTIFIED SOLUTIONS

In the third year of your doctoral studies, you will increasingly publish advanced research results in journals, especially when you're working on a cumulative dissertation.

Nowadays, research results are internationally distributed across all fields and publishing is an important and integral component of your scientific work. This is essential for your qualification since publications both increase the visibility of your own research activities and strengthen international networks. Due to the wide range of specialised journals in your own field of research, you are faced with the challenge of ascertaining the focus of the journal where you wish to publish your work to avoid a possible rejection in advance. Many papers are rejected because their topics do not match the journal's objective, even though they may be based on high-quality and relevant research. *Meet-the-editor sessions* at symposiums and conferences, where editors present their journals and supply details on what reviewers and editors expect a successful manuscript to look like.

Regardless of the high requirements set by academic journals, every doctoral candidate

should aim to publish as effectively as possible in the interest of their own scientific qualification and reputation. Scientific journal rankings of the respective department offer a guideline for the selection of suitable journals:

- *Link 18: [VHB Publication Media Rating 2024 \(mainly Business Administration and Business Information Systems\)](#)*
- *Link 19: [Journal Weights List \(mainly Economics\)](#)*
- *Link 20: [SCImago Journal and Country Rank](#)*

Publishing in Open Access journals is becoming increasingly important. TU Dresden supports the demand for open access to scientific publications. Together with the State and University Library Dresden (SLUB), it is possible to have the costs of publishing in open access journals reimbursed via the Open Access Publication Fund:

- *Link 21: [Open Access Publication Fund](#)*

After your first successfully published papers, you should remember to enter them into the Current Research Information System (FIS). The FIS is the single-point-of-information for all key figures on research performance and activities of the TU Dresden. Everyone working scientifically at the TU Dresden automatically has access to the FIS via their ZIH login and can enter and maintain information at any time.

- *Link 22: [Research Information System \(FIS\)](#)*

MILESTONES DURING THE THIRD YEAR

If you are working on a cumulative dissertation, there should be at least one paper submitted for appraisal with a scientific journal or a renowned conference in the third year. Moreover, you should have a precise plan for your further publication strategy. In addition, your supervisor should consider your paper to be worth publishing. Doctoral candidates writing a monograph should by then have prepared a well-organised outline including theses for each chapter.

FOURTH YEAR: WRITING PHASE

Doctoral candidates working on a monograph as their dissertation mainly spend the fourth year of their studies writing down their research results. If you work on a cumulative dissertation, you should start writing a separate treatise, e.g., the framework for your individual research papers (see § 10 section 3 PromO 2018).

A research stay abroad (for 3-6 months) can be very rewarding at this advanced stage of your dissertation project. This is particularly the case if you plan an academic career after your doctorate. Research stays abroad offer the opportunity of working with other researchers, expand your network, plan and tackle publications and work on your dissertation more intensively than it would be possible in the daily routine at your chair. Plan this research stay abroad carefully: come up with a replacement for your teaching assignments at the faculty in due time. A proactive planning of your stay abroad and an open approach towards your colleagues will surely lead to best solutions.

The faculty offers support to doctoral candidates by awarding annual scholarships for research stays. Applications for the Dr. Händel Award can be submitted by doctoral candidates from all disciplines.

- *Link 23:* [Information on faculty awards](#)

We also recommend searching the *Scholarship database of the DAAD*.

- *Link 24:* [Scholarship database of the DAAD](#)

MILESTONES DURING THE FOURTH YEAR

By the end of the fourth year, you will have successfully published further scientific articles and papers or submitted them for evaluation. If working on a monograph, you have a first version to be discussed with your supervisor or colleagues. You have attained all certificates of achievement necessary for the registration for the doctoral exam.

FIFTH YEAR: SUBMISSION, ASSESSMENT AND DEFENCE

All work has now been completed. Each dissertation project comes to an end, and each doctoral candidate just wants to submit their work now. This last stage includes a number of important steps that have to be considered and planned.

The rules for submitting your doctoral thesis are stipulated by the current doctoral degree regulations (PromO 2018). Everything starts with the application for the opening of the doctoral examination procedures (§ 9 PromO 2018) via web portal *Promovendus*. This application requires your particular attention since a correctly completed application can spare you stress. In particular, cumulative dissertations involve certain particularities. Publications are frequently written together with co-authors, you have to specify who contributed which part of an article (during the conception, data collection, data evaluation, interpretation). Otherwise, an assessment of the doctoral candidate's individual performances is not possible (§ 10 section 3 PromO 2018). This can best be proved with a joint written declaration of the co-authors, which states who, and to what extent, produced which part of the publication. The said declaration(s) must be submitted with your application for the opening of the doctoral examination procedures. Please note that in case of a cumulative dissertation, at least one paper has to be produced by each of the authors individually (§ 10 section 3 PromO 2018).

When writing a cumulative dissertation, individual papers of the doctoral thesis will usually have already been published and it may appear redundant to publish them again. The cover paper (separate treatise according to § 10 section 3 PromO 2018) is of particular importance in this regard. The separate treatise forms the content bracket. It describes the common thread of your doctoral thesis. You show how the individual "parts" create a research strand. This separate treatise is mandatory. Without it, the doctorate committee cannot accept the doctoral thesis.

After the successful submission, it is the assessors' turn to draw up their reports and assess your written work. It is important to coordinate the period of submission with the assessors. At the beginning of the semester, for example, assessors usually have a heavy workload so that the assessment of your thesis may take some time. Experience has shown that the end of the winter semester is a good time for submitting your thesis.

If the assessment of your thesis is positive and your work was on display at the faculty for three weeks, your oral defence can take place (e.g., in the middle of the summer semester). The timing of the defence will be coordinated by the chairperson of the doctoral committee. Since the doctoral committee is made up of four university professors whose diaries normally only have few free slots in the short run, the date of your defence should be planned in time. It is generally recommendable to regularly attend thesis defences as a guest at an early stage of your doctoral studies (e.g., one year before your planned defence) in order to familiarize yourself with the procedures. Ideally, you should participate in defences related to the topic of your thesis.

With the successful defence of your doctoral thesis, you have reached an important milestone. Now you can publish your work and make it available to the scientific community. The necessary steps for this purpose are stipulated by § 13 PromO 2018. When you have published your work, you will be awarded the doctorate and receive the doctoral certificate. For both the digital and analogue publication of your work, you should follow the guidelines issued by the SLUB.

- *Link 25: [SLUB guidelines](#)*
- *Link 26: [Information on doctoral degree regulations and doctoral examination procedures](#)*

MILESTONES DURING THE FIFTH YEAR

You have successfully applied for the opening of the doctoral examination procedures and submitted your work with the Standing Doctoral Committee. You have defended your work and published your dissertation.

Imprint

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