

**UNIVERZITA PAVLA JOZEFA ŠAFÁRIKA
V KOŠICIACH**



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**PhD Study Rules of Procedure
at Pavol Jozef Šafárik University in Košice**

December 2011

The UPJŠ Academic Senate has resolved on these PhD. Study Rules of Procedure, which are, within the meaning of Section 15 paragraph 1 b) Law Act No. 131/2002 on Universities and on amendments to certain law acts as amended by subsequent regulations (hereinafter "ZVŠ - LAU"), an internal regulation of Pavol Jozef Šafárik University in Košice (hereinafter the "University").

PART ONE GENERAL PROVISIONS

Art. 1 Introductory Provisions

- (1) The PhD study is the third level of university education¹. Pavol Jozef Šafárik University in Košice (hereinafter "University" or "UPJŠ") or any of its Faculties provides PhD study in the registered branches of study² under the accredited study programmes³.
- (2) The PhD study takes place in both full-time and part-time forms. Students in the full-time form of their PhD study are granted a scholarship⁴.
- (3) The PhD study is carried out under an individual syllabus and the guidance of the supervisor. It takes place at the University, Faculty (hereinafter "the supervising workplace"), or at an external educational institution, with which the University or the Faculty have a framework agreement on the PhD study made (hereinafter "external educational institution")⁵ and with which it enters into an individual agreement with every PhD student. The supervising workplace is a unit at UPJŠ or its components (Department, Institute, Section of ...), which creates for the PhD student professional, material, and technical conditions for the successful development and defence of the PhD thesis.
- (4) The University or the Faculty shall establish a study Branch Board for every study programme, which shall monitor and assesses the PhD study in the respective study programme. The University may agree with another university or an external educational institution in setting up a joint Study Branch Board (hereinafter "the Branch Board "). If the PhD study is provided in cooperation with an external educational institution, the institution shall have appropriate representation in the Branch Board.
- (5) The Branch Board shall be appointed by the Rector on the motion from the University Academic Board or by the Dean, if the study programme takes place at the Faculty or at an external educational institution, with which the University has an agreement made pursuant to Art. 1 (4). The Branch Board shall consist of its Chairperson and at least four other members. At least one of the members of the Branch Board shall have the research-teaching degree of Professor or research degree of Doctor of Sciences or shall be a member of a research staff holding an acknowledged research qualification degree I. Other members may include associate professors and the staff members holding the research

¹ Section 2 (5) Law Act No. 131/2002.

² Section 50 (3) Law Act No. 131/2002.

³ Section 51(1), Section 54 (1), and Section 83 (1) Law Act No. 131/2002.

⁴ Section 54 (18) Law Act No. 131/2002.

⁵ Section 54(12) Law Act No. 131/2002.

degree of PhD (or an earlier equivalent of the same – CSc., Dr.), by which the research qualification degree II was awarded and/or qualified experts from practice, who have been awarded the above academic degree (or its older equivalent).

- (6) The board for the defence of the PhD thesis shall consist of at least four members, in addition to the reviewers. It shall consist of the chairperson, at least three other members, and a minimum of two and a maximum of three reviewers.

PART TWO STUDY PART OF THE PHD STUDY

Art. 2 Admission to PhD Study

- (1) The Rector or the Dean, if the study programme is carried out at the Faculty, on the motion of the study programme guarantor shall list the topics of PhD theses that may be applied for within the admittance procedure at least two months before the deadline for filing the applications for the PhD study; if the topic is listed by an external educational institution, either of the above shall indicate the name of such an external educational institution. Every topic listed shall include the study programme name, the name of the supervisor, the form of study (full-time, part-time), the deadline for filing the applications, and the date of the admittance procedure. The topics of PhD theses, alongside with aforementioned particulars, shall be published in the Academic Information System (hereinafter referred to as "AIS") and on the website of the University or the Faculty, if the study programme is carried out at the Faculty.
- (2) The applicant shall indicate the following in their application form for the PhD study:
 - a) name and surname, academic degrees, birth ID No. (date of birth with foreigners), place of birth;
 - b) place of permanent residence and nationality, particulars on education and employment history;
 - c) the selected study programme and the selected topic of the PhD thesis;
 - d) the chosen form of their PhD study.
- (3) The University may process and provide the particulars referred to in paragraph 2 above to other legal entities and natural entities for statistical purposes.
- (4) The applicant shall include the following with their application form:
 - a) their curriculum vitae;
 - b) certified copies of documents on educational attainment and the nationality;
 - c) the list of their published works or a list of achievements in another professional activity related to the study programme, for which the applicant applies, or opinions on these works and activities.

- (5) The University may only process personal particulars referred to in the background documentation and in the application form, apart from those referred to in paragraph 2 above, with the prior consent of the person concerned, which consent shall become an integral part of the application form.
- (6) The Rector or the Dean, if the study programme is carried out at the Faculty, shall invite the applicant to the admittance examination at least 14 days prior to the date of its taking place, notifying them also of its content focus.
- (7) The admittance examination shall be carried out before the Admission Board consisting of at least three members, one of whom is usually a guarantor the thesis topic. The Admission Board shall consist of its chairperson and at least two members to be appointed by the Rector on the motion of the study programme guarantor or the Dean, if the study programme is carried out at the Faculty. In case of the admission procedure of an applicant for a topic listed by an external educational institution, the representative of the external educational institution shall be a member of the Admission Board.
- (8) The Admission Board shall assess the outcome of the admittance examination on their non-public session. If several applicants apply for one topic, their respective placings shall be determined by their success at the admittance examination. In determining the respective placings, the range and quality of the applicant's professional publishing activities and outcomes of their other professional activities shall be considered (e.g. achievements in student research and professional papers competitions, etc.).
- (9) Minutes shall be drawn up of the result of the admittance examination. The Admission Board shall submit a motion for the admittance of the successful applicant to the Rector or the Dean, if the study programme is carried out at the Faculty. In case of the thesis topic listed by an external educational institution, the latter shall express their consent with the admission of the applicant.
- (10) The Rector or the Dean, if the study programme is carried out at the Faculty, shall decide on the admission of the applicant on the basis of the results of the admittance examination within 30 days from the date of the examination proceedings. If any of the former decides on the admission of the applicant, they shall also indicate the name of the supervisor and the thesis topic in their decree of admission. The decree in writing shall in addition to the above contain a statement, its justification, an instruction on the possibility to lodge an appeal for reviewing the decree, and shall be served to the applicant as personal delivery. The applicant, who is served a decree on non-admission for the PhD study, may lodge an appeal for reviewing the above decree⁶.
- (11) The applicant admitted for the PhD study becomes a student of the PhD study as of the date of enrolment, whose date shall be determined by the Rector or the Dean, if the study programme is carried out at the Faculty.

⁶ Section 58 (8) Law Act No. 131/2002.

Art. 3 Study Syllabus

- (1) The PhD study shall be carried out according to the individual syllabus, which shall become part of the documentation of the study of the PhD student in the AIS.
- (2) The individual syllabus shall consist of its study part and research part; it shall be drawn up by the supervisor approved by the study Branch Board⁷. Details of the particulars of the syllabus are governed by Art. 6 of these Rules of Procedure.
- (3) The PhD study in its full-time form shall contain the PhD student's teaching assignments or any another related professional activity⁸ in the number of four hours a week at most on the average in the respective academic year.
- (4) The academic year of the PhD study is divided into semesters. The relevant semester may consist of the study part and the research part.
- (5) The standard length of the PhD study is determined by the accredited study programme, which in its full-time form takes at least three (generally in the humanities and social-science study programmes), up to four academic years (generally in science and medical study programmes in the branches without specialization). The standard length of the PhD study in its part-time form lasts for five academic years at the longest⁹.

Art. 4

PhD Study Credit System and Study Achievements Assessment

- (1) The credit system shall be applied in all the forms of PhD study.
- (2) A credit is a unit of the PhD student's workload, and is defined in the PhD form of study analogously to the Bachelor, Magister, and Doctoral levels of study.
- (3) The standard workload of the PhD student in their full-time form of study during the academic year shall be deemed to contain the activities, which correspond to 60 credits and 48 credits in the part-time form, if the full-time form study takes four years. If the PhD study in its full-time form takes three years, the standard workload of the PhD student in the part-time form of study shall correspond to 36 credits.
- (4) The PhD student shall obtain credits for the following activities during their study:
 - a) passing the study part, which consists in particular of the specialised PhD study subjects according to the PhD student's syllabus⁹. The syllabus in the form of the listing sheet in the AIS shall be prepared by the PhD student with the consent of the supervisor from among the offer of the study programme study subjects as approved by the Branch Board in the prescribed structure. In addition, the PhD student shall have an option to also sign up other study subjects with the consent of the supervisor, which are offered by the Faculties in their study programmes, in particular in the Magister (Doctoral)

⁷ Section 54 (8) Law Act No. 131/2002.

⁸ Section 54 (8) 8 to (11) Law Act No. 131/2002.

⁹ Section 54 (2) Law Act No. 131/2002.

levels of study, provided the PhD student didn't complete these at their previous level of university study. The study of other study subjects and individual study of the scientific/scholarly and specialized sources cannot replace the passing of mandatory subjects determined by the study programme, or the implementation of educational activities at the University or the Faculty;

- b) individual creative activity in the field of science/scholarship (publications, completion of the re-defined stages in their own research work, etc.);
 - c) performance of educational activities at the University or the Faculty (e.g. teaching practical exercises, supervising Bachelor's theses, papers within the Student Research Activities – ŠVOČ, etc.) and therapeutic-preventive activities at the relevant units of the Faculty of Medicine;
 - d) the study part, which is completed by passing the dissertation examination; the PhD student obtains 20 credits for the successful preparation for the dissertation examination (submitted written paper and positively assessed by the second reader);
 - e) elaboration of the PhD thesis; the PhD student is awarded 30 credits for the acceptance of the PhD thesis for the defence;
- (5) The number of credits for the activities under to paragraph 4 (a), (b), and (c) shall be determined by the University Academic Board or by the Academic Board of the Faculty if the study programme is carried out at the Faculty.
 - (6) The activities listed in paragraph 4 of this Article are irreplaceable with each other. The PhD student in their three-year study programme of full-time form is required to obtain during the study a minimum of 40 credits under paragraph 4 (a) and 90 credits under paragraph 4 (b); in the four year study programme, the number of credits is 60 under paragraph 4 (a) and 120 credits under paragraph 4 (b);
 - (7) If the PhD student has completed part of their studies at any other than their place of work (e.g. abroad), the credits obtained at that workplace shall be recognized in full, if the PhD student was posted at that workplace within the performance of their syllabus and provided the credit systems of both sending and receiving workplaces are compatible (credit transfer).
 - (8) If there is a change of the supervising workplace, a change of the form of the PhD study, or a change of the study programme, the PhD student may have their credits recognised that had been obtained until then, if this is in accordance with their new syllabus.
 - (9) The new supervising workplace at the relevant university or the faculty may allocate to the PhD student, who came from the workplace at which the credit system is not introduced, an adequate number of credits under the former's system (granting of credits). The new supervising body may, where necessary, prescribe the obligation to obtain additional credits by the activities required e.g. for passing differential study subjects completed by an examination.
 - (10) The transfer or recognition of credits (under paragraphs 7 to 9) shall be decided by the Rector or the Dean, if the study programme is carried out at the Faculty, after the opinion of the study programme guarantor.
 - (11) In both full-time and part-time forms of the PhD study, the PhD student shall have to obtain a minimum of 40 credits for their progress from the first into the

second year of study, and at least 90 credits for four consecutive semesters, taking into account the recommended structure of credits.

- (12) Failure to fulfil the conditions referred to in paragraph 11 above is the reason for the exclusion of the PhD student from the study.
- (13) The PhD student may sign up in both full-time and part-time forms for the PhD examination, if they have a minimum of 70 credits accumulated, if the study in the full-time form lasts for three years, or 90 credits, if the study in the full-time form lasts for four years.
- (14) A graduate from the PhD study in both full-time and part-time forms shall obtain a minimum of 180 credits, including the credit assessment of their PhD thesis, where the full-time study lasts for three years, or 240 credits where the full-time study lasts for four years. After the PhD student obtains 150 or 210 credits during their study, and following a recommendation from the supervisor to admit the PhD student's thesis for defence, the former may apply for the permission of its defence.

Art. 5 Supervisor

- (1) The supervisor:
 - a) supervises as expert the PhD student during their PhD study;
 - b) compiles the PhD student's individual curriculum and submits it for approval to the branch board;
 - c) controls and professionally guarantees the PhD student's research plan and checks the performance of the study part of the individual plan;
 - d) specifies the orientation of the thesis project and modifies the topic of the PhD thesis alongside with the PhD student;
 - e) awards to the PhD student the specified number of credits for the completed stages of individual study of the scientific/scholarly sources, for the completed stages of their scientific/scholarly part of the syllabus, and for the dissertation, if accepted for the defence;
 - f) submits to the Rector or the Dean, if the study programme is carried out at the Faculty, the proposal for the exclusion of the PhD student from the PhD study and gives their opinion on the PhD student's request for the suspension of study;
 - g) proposes to the Rector or the Dean, if the study programme is carried out at the Faculty, a research trip to be taken by the PhD student in other national or foreign institutions of science, education, and research;
 - h) prepares the PhD student's reference for the PhD thesis defence;
 - i) proposes a supervisor – consultant or replacement of any of the two to the PhD study programme guarantor after a consultation with the competent vice dean of the Faculty;
 - j) ensures, as necessary, consultations with other specialists;
 - k) is a member of the board for the dissertation examination of the PhD student and participates in their defence of the thesis.

- (2) A Professor or Associate Professor of the university which carries out the PhD study or a researcher with the attained academic qualification of the 2nd level or higher or any other specialist in practice may become a supervisor for the given PhD study branch or study programme after approval by the Academic Board of the University or that of the Faculty, if the PhD study is carried out at the Faculty¹⁰.
- (3) Any person may become a supervisor for the topics publicised by an external educational institution, approved by that institution. The external educational institution shall provide research-teaching characteristics of its supervisors to the Academic Board of the University or the Faculty.
- (4) The supervisor may supervise no more than 5 PhD students in the full-time form of the PhD study.

Art. 6

The PhD Student's Syllabus and Study Programme

- (1) The accredited study programme defines a prescribed structure of study subjects and the offer of study subjects, on the basis of which the PhD student, in collaboration with the supervisor, shall draw up their individual syllabus and shall fill in the listing sheet in the AIS (Art. 4 (4)).
- (2) The PhD student's syllabus shall consist of the study part, which ends by passing the PhD examination, of the research part, and of the PhD thesis defence. The PhD study in its full-time form shall contain implementation of pedagogical activity or another specialised, and the therapeutic-preventive activity at medical faculties in the branches of specialization. In the part-time form of the PhD study, pedagogical activities may be replaced by another teaching-related specialised activity, such as supervising the final theses, papers for the Students' Research and Specialised Activities, preparation of teaching materials and teaching texts, holiday practical training courses, teacher training courses, and the like. In case of the PhD student who has applied for a topic of the PhD thesis listed by an external educational institution, the agreement between the University or with the Faculty, where the study programme is carried out at the Faculty, with such an institution shall also contain details on where and how the study part of the programme and the pedagogical activities of the PhD student will be carried out.
- (3) The study part of the PhD student's syllabus shall in particular consist of passing specialized PhD study subjects and of their individual study of specialized sources pertaining to the content of the PhD thesis. Passing the study subjects normally ends by taking an examination. The individual study of the specialized sources may be divided into phases, which study is closed by the supervisor granting a specified number of credits. The individual curriculum of the PhD student contains a list of study subjects, including a specialised foreign language, which the PhD student is to pass, a list of the PhD examination subjects selected from the list approved by the branch board, and the list of mandatory and recommended sources, which the PhD student is to study in their individual preparation for the dissertation examination.

The research part of the PhD student's syllabus shall consist of its individual or collective (team) research activities, focused on the topic of the PhD thesis. The

¹⁰ Section 54(4) Law Act No. 131/2002.

individual PhD student's syllabus shall specify the PhD thesis topic, which the supervisor may edit in the PhD student's listing sheet after the consent of the branch board chairperson.

Art. 7 Dissertation Examination

- (1) The dissertation examination is a state examination and is public¹¹. The PhD student shall file an application form for the dissertation examination at the relevant Rector's Office Section or the Dean's Office Section, if the study programme is carried out at the Faculty, at the time of within 18 or 24 months from the commencement of the study depending from the standard length of study; the PhD student in their part-time form of study shall do so no later than three years from the commencement of their PhD study; the PhD student shall present an assignment in writing drawn up for the examination alongside with their application form for the PhD examination. A condition precedent for granting the consent to perform the PhD examination is the completion of the study part in the prescribed structure and obtaining at least 70 credits where the full-time study lasts for three years, or 90 credits, where the full-time study lasts for four years.
- (2) Failure to comply with the terms and conditions of the PhD student's PhD examination, or the failure to present an assignment in writing for the PhD examination within the deadline shall be the reason for their exclusion from the study. In justified cases, the PhD student may apply for the suspension of study. The supervisor and the Branch Board Chairperson shall pass their opinion on the application for the suspension of study.
- (3) The assignment in writing for the PhD examination shall consist of the PhD thesis propositions (project), containing an outline of the theoretical essentials of its anticipated solutions, the current state of knowledge on the given topic, and the analysis of the methodological approach of addressing the issue. The second reader shall work out a review report on the assignment in writing for the dissertation examination. The second reader shall be appointed by the Rector or the Dean, where the study programme is carried out at the Faculty, on the motion by the supervisor and with the consent of the Branch Board Chairperson within three weeks from the date of submitting the PhD thesis.
- (4) It shall only be an expert holding at least the academic degree of PhD (or its earlier equivalent – CSc., Dr.), who is not employed at the PhD student's supervising workplace (i.e. at a department, institute or clinic) and has no joint publications with the latter, who may serve as the second reader of the assignment in writing for the PhD examination. The PhD examination shall comprise a section consisting in the debate on the assignment in writing for the PhD examination and the part in which the PhD student is to demonstrate their theoretical knowledge in the specified subjects for the PhD examination.
- (5) The PhD examination shall be held before the Board consisting of at least four members. It shall consist of a Chairperson, the PhD student's supervisor, a further member from the workplace outside the University (or outside of the Faculty, if the PhD study programme is carried out at the Faculty) at which the PhD

¹¹ Section 54 (3) Law Act No. 131/2002 Coll.

student is engaged, and the PhD student's assignment in writing for the PhD examination. The Chairperson and other members of the Board of Examiners shall be appointed by the Rector or by the Dean, if the study programme is carried out at the Faculty, on the motion of the Branch Board Chairperson. At least one member of the Board shall hold the research-pedagogical degree of Professor, or shall be in the position of Professor, or shall be a holder of the Doctor of Sciences degree, or a research staff with the qualifications of the degree awarded.

- (6) The Board shall decide on the outcome of the examination in their non-public session by a majority vote of the members present. When votes are par, the vote of the Chairperson shall decide.
- (7) The course of both of the parts of the PhD examination shall be assessed by the Board comprehensively by awarding a grade of either "passed" or "failed".
- (8) Minutes shall be taken of the dissertation examination, which shall also comprise a review of the assignment in writing by the second reader. The minutes shall be signed by the Chairperson and the members of the Board present.
- (9) The University or the Faculty, if the study programme is carried out at the Faculty, shall issue a certificate in writing to the PhD student on the implementation and the outcome of the dissertation examination.
- (10) Should the PhD student fail to sit for the PhD examination at a specified date for serious reasons, and apologizes in advance to the Chairperson of the Board of Examiners, the Chairperson may determine a substitute date. Withdrawal from the examination or unexcused absence of the PhD student at the examination shall be assessed by the expression of "failed".
- (11) The PhD student, who failed at the examination, shall only be allowed to repeat the examination once more after the expiry of three months at the earliest, and within one year at the latest from the date of the PhD examination taken unsuccessfully. The assessment of "failed" at the re-sit dissertation examination shall be the reason for the exclusion from the PhD study.

PART THREE PhD THESIS

Art. 8

Application for the Permit to PhD Thesis Defence

- (1) The PhD student may submit an application for the permit to defend the PhD thesis to the competent Section of the Rector's Office or the Dean's Office, if the study programme is carried out at the Faculty, provided they have obtained at least 150 credits, if the PhD study in its full-time form lasts for three years, or 210 credits, if the full-time study takes four years, without including the credits awarded for the acceptance of the thesis for defence. The application form shall be filed not later than 3 months before the end of their PhD study.
- (2) The PhD student shall attach the following with their application:
 - a) the PhD thesis in four copies;
 - b) the list of published works with complete bibliographical data and unpublished research papers of the PhD student including their responses,

and possibly the opinions of them drawn up by the relevant institutions from the field of science/scholarship or technology;

- c) justification of differences between the original PhD thesis and the submitted PhD thesis, if the PhD student submits a new PhD thesis after a previous unsuccessful defence;
- d) curriculum vitae;
- e) synopsis.

- (3) The synopsis of the PhD thesis is a brief summary of its objectives, the fundamental outcomes, and the delimitation of their contribution. The synopsis in the extent of not more than 20 pages A 5 format is submitted in the Slovak language in the following structure: an introduction, a brief overview of the issues, propositions of the PhD thesis, chosen methods of elaborating the issues, outcomes achieved, contribution to the further development of the science/scholarship and practice, and a summary in English or in any other foreign language. The synopsis shall also contain a list of sources employed and a list of all the published works of the PhD student arranged according to the Ministry of Education of the Slovak Republic Directive No. 13/2008-R. The first and the second pages of the synopsis shall be in accordance with the required UPJŠ model¹².
- (4) Before submitting the application, the PhD student shall send their PhD thesis to the originality check in the Central Register of the Final Theses (CRZP) and sign the license agreement. The supervising workplace shall submit the result of the originality check to the relevant PhD study Section as part of the documentation for the defence procedure. The procedure of listing the PhD thesis and its publication in the CRZP, as well as details of the license agreement, shall be governed by a special regulation¹². The University or the Faculty, where the study programme is carried out at the Faculty, shall arrange sending the thesis reviews in the CRZP¹².

Art. 9 Particulars of the PhD Thesis

- (1) The PhD student shall submit their PhD thesis for defence in the Slovak language. With the consent of the Rector or the Dean, if the study programme is carried out at the Faculty, they may submit the PhD thesis in a language other than the Slovak language.
- (2) The PhD student may submit as PhD thesis their own published work or a set of their own published works, which in their content elaborate the issues of the PhD thesis topic. If the PhD student submits a set of their own publications, they shall add a detailed introduction, in which they clarify the current state of the issues addressed, the objectives of the PhD thesis, and the conclusions which have arisen by addressing the topic of the PhD thesis. If the publications annexed are

¹² The Rector's Directive No. 1/2011 on the fundamental elements of final theses, doctoral theses, and associate professorship theses, their publication and making available during their keeping and originality check at UPJŠ.

the work of several authors, the PhD student shall enclose statements of the co-author of the PhD student's share in the same.

- (3) The PhD thesis shall, as a matter of rule, contain the theoretical introduction analyzing the current state of knowledge in the set of issues, characterization of the objectives, a detailed description of the procedures (methods of the PhD thesis and of the material), the outcomes attained, their evaluation, discussion, conclusion (underlining the contribution for the practice), and the list of the sources exploited.
- (4) If the PhD thesis is part of a collective work (for example, it may be a monograph or a volume of published works with an introduction, discussion, and conclusions), the PhD student shall indicate their share and shall place it in the context of the outcomes of other members of the team in the discussion.
- (5) The scope of the PhD thesis is identified in a special rule¹².

Art. 10 Preparation for the PhD Thesis Defence

- (1) After the receipt of the application for the permit to defend the PhD thesis, the competent Section of the Rector's Office or the Dean's Office, if the study programme is carried out at the Faculty, shall without delay request the Chairperson of the Branch Board of the study programme in which the PhD student studies, to propose at least two second readers.
- (2) The second readers proposed by the Chairperson of the Branch Board shall be appointed by the Rector or the Dean, if the study programme is carried out at the Faculty, who shall forward them the PhD student's thesis and the synopsis with a request to prepare a review.
- (3) The second reader shall within four weeks at the latest after receiving the PhD thesis forward to the Chairperson of the Branch Board or shall notify the Chairperson of the Branch Board a notice of their inability to develop the review within 1 week at the latest. If the second reader fails to deliver the review of the PhD thesis within the given deadline, and fails to do so within 10 days after receipt of the reminder, the Rector or the Dean, where the study programme is carried out at the Faculty, shall appoint another second reader on the proposal of the Chairperson of the Branch Board.
- (4) The Chairperson of the Branch Board, after receiving all the reviews from the second readers, shall without delay propose to the Rector or the Dean, if the study programme is carried out at the Faculty, the chairperson and at least three other members of the Board for the defence of the PhD thesis, plus the time and venue of the PhD thesis defence. The Chairperson and the members of the Board shall be nominated from among the members of the Branch Board. The Chairperson of the Branch Board shall propose to the Dean the date of the defence bearing in mind that the defence shall take place before the date of termination of the PhD study.
- (5) The Rector or the Dean, if the study programme is carried out at the Faculty, shall invite for the defence in writing without delay the members of the Board within the meaning of the provisions of Art. 1 7), plus any of the former shall invite the supervisor and the PhD student. Any of the former shall publish a

notice of its taking place on the website of the University or the Faculty, if the study programme is carried out at the Faculty, as well as information on where and how the interested parties may familiarize themselves with the PhD thesis and the synopsis.

- (6) Anyone interested in the addressed set of issues and the PhD thesis defence may lodge their opinion with the Chairperson of the Defence Board no later than one week before the defence, or they may present their comments orally during the defence, unless the defence has been declared non-public. At the defence of the PhD thesis, the PhD student shall express their opinion on such reviews or comments.

Art. 11

Second Readers of the PhD Thesis and Their Reviews

- (1) The Rector or the Dean, where the study programme is carried out at the Faculty, on the motion of the Chairperson of the Branch Board shall appoint the second readers, which motion may be based on the proposal of the supervisor. If the study programme is carried out at the University, the second readers shall be chosen from among the experts in the relevant field or specialization of the PhD study branch, who are not employees of UPJŠ. If the study programme is carried out at the Faculty, a maximum of one second reader from another Faculty of UPJŠ may be appointed.
- (2) The PhD thesis shall be reviewed by at least two and not more than three second readers. At least one of the second readers shall hold the scientific/scholarly-pedagogical degree of Professor, or perform a position of Professor, or hold the scientific/scholarly-pedagogical degree of Doctor of Sciences, or a research staff with recognised 1st level qualifications. The remaining second readers may be holders of the scientific/scholarly - pedagogical degree of Assistant Professor, prominent experts in the position of visiting Professor, or professionals with the academic degree of PhD or the earlier equivalent of that academic degree.
- (3) The second reader cannot be a co-author of the PhD student's publication, their relative, the direct superior or subordinate in employment, or any other similar employment relationship.
- (4) The second reader's review shall in particular express the opinions on the following:
 - a) topical character of the topic chosen;
 - b) chosen methods of addressing the topic;
 - c) outcomes achieved, stating, what new knowledge the PhD thesis contains;
 - d) contribution to the further development of science or technology;
 - e) whether the PhD thesis has met the objective pursued.
- (5) The second reader shall review the PhD thesis according to state of the art in the area at the time the PhD student filed the application for the permit of their defence. The second reader's review shall contain in the conclusion a clear statement by the second reader of whether on the basis of the submitted thesis they propose granting the academic degree of PhD. Without that statement second reader's review cannot be considered complete.

- (6) If the second reader's review does not comply with the conditions as laid down in paragraphs 4 and 5 above, the Rector or the Dean, if the study programme is carried out at the Faculty, shall return the same to the second reader to complete or revise. At the same time, any of the former shall determine the period of time for its re-submittal, which should not be longer than 30 days.

Art. 12 PhD Thesis Defence

- (1) The PhD thesis defence is a subject of the state examination and shall be passed no later than on 31st August in the last academic year of the standard length of study. Defending the PhD thesis beyond the standard length of time shall take place no later than two years from the end of the standard length of study, and shall take place no later than on 31st August of the second year of the longer than the standard length of study. In such a case, the PhD student in the full-time form of their PhD study shall not receive a scholarship, shall continue to perform the tasks at the supervising workplace and shall pay tuition fees for the additional length of study.
- (2) The Board for the defence of the PhD thesis shall consist of its Chairperson and not less than four members and second readers. The Chairperson and the other members of the Board for the defence of the PhD thesis shall be appointed by the Rector or the Dean, if the study programme is carried out at the Faculty. The Chairperson and the members shall be appointed from among the members of the Branch Board. The PhD student's supervisor may become a member of the Board, but without the right to vote. No more than four defence procedures may be held before the same Board on a single day.
- (3) The University or the Faculty, if the study programme is carried out at the Faculty, shall send the second readers' reviews and the synopsis to the members of the Board, including the supervisor and the PhD student.
- (4) The defence of the PhD thesis is public, in exceptional cases, when its public debate would jeopardize the secrecy protected by a special law or safety, the Rector or the Dean, if the study programme is carried out at the Faculty, may declare it non-public.
- (5) The PhD thesis defence shall be held in the form of academic debate between the PhD student, the second readers, other members of the Board for the defence, and other participants in the defence on the acquired knowledge and the contribution of the PhD thesis. During the defence of the PhD thesis, validity and reliability of its conclusions and proposals contained in the PhD thesis shall be examined.
- (6) The defence may take place only in the presence of at least four members of the Board for the defence who are eligible to vote, including at least one or two second readers, where the number of second readers was established on three. If the second reader cannot for serious reasons attend the defence and their review is positive, the defence may take even in their absence, provided the majority of the Board members present at the defence approve this. In such a case, the review of the absent second reader shall be read at the defence in full version.
- (7) If the PhD student cannot participate in the defence at the specified date for serious reasons, they shall apologize in advance to the Rector or the Dean, if

the study programme takes place at the Faculty, and to the Chairperson of the Board for the defence. The Rector or the Dean, if the study programme is carried out at the Faculty, shall determine in such a case a substitute date for the defence in agreement with the Chairperson of the Board for the defence and shall communicate it to the parties under Art. 10 (5).

- (8) The defence procedure is chaired by the Chairperson of the Board for the defence; in an exceptional case the Chairperson may appoint another member of the Board to chair the defence procedure. Neither the second reader nor the supervisor shall chair the defence, not even if they are members of the Branch Board.
- (9) The procedure at the defence of the PhD thesis shall be as follows:
 - a) the Chairperson shall begin the defence; they shall announce the PhD thesis topic, read a brief biography of the PhD student, principal information from the PhD student's characteristics developed by the supervisor, and an overview of the PhD student's research works and responses on them;
 - b) the PhD student shall then briefly indicate the essential content of their PhD thesis, its results and contribution;
 - c) the second readers shall present the essential content of their reviews; the chair or another member of the Board designated by the chair shall read the absent second reader's review in full;
 - d) the PhD student shall deliver their opinion on the second readers' reviews, giving their opinions on all the objections and comments and shall answer their questions;
 - e) the Chairperson shall inform the persons present with of other reviews and statements, and shall open the debate, which shall be available to all those present in the debate; the debate shall focus on accuracy, validity, academic originality, and significance of the knowledge contained in the PhD thesis, as well as conciseness and accuracy of the second readers' reviews;
 - f) during the debate, the PhD student shall respond to any questions and shall deliver an opinion on all the stimuli and objections raised by its participants.
- (10) After the end of the defence, a private session of the Board for the defence shall be held, attended by its members, including the second readers and the supervisor. The course and the result of the defence shall be evaluated at the non-public session, including the possibility of applying the outcomes of the PhD thesis in practice. The Board and the second readers shall decide in a secret ballot on whether to propose granting the PhD student the academic degree. The supervisor, if a member of the Board, shall not vote.
- (11) Voting according to paragraph 10 shall be made by ballot papers, which shall contain the following particulars: the PhD student's name and surname, date and venue of the defence, and the text "I agree with granting the academic degree – I disagree with granting the academic degree". The members of the Board shall vote by deleting the text they do not agree with ("Delete what is inapplicable"). Another way of the vote is invalid.
- (12) Attendance of at least four members of the Board entitled to vote on the ballot and one or two second readers (paragraph 6) shall be required for filing a proposal for granting the academic degree; the majority vote of the members

present in favour of the proposal for granting the academic degree shall be required.

- (13) Minutes shall be taken on the defence and the result of the vote, which shall be signed by all the voting members of the Board.
- (14) The Chairperson of the Board for the defence shall declare the result of the vote at its public meeting.
- (15) The PhD student, for whom the Board proposed not to grant the academic degree on the basis of the outcome of the defence of the PhD thesis, or for the former's failure to appear at the defence, may request a permission of the defence in the same study programme after the expiry of one year at the earliest from the date, on which the defence of their thesis took place or should have taken place. The PhD thesis defence may only be repeated once, no later than two years from the end of the standard length of study.

Art. 13 **Deciding on Granting the Academic Degree**

- (1) The Rector or the Dean, if the study programme is carried out at the Faculty, shall evaluate the proposal of the Board for the defence of the PhD thesis for granting or refusing to grant the academic degree of Doctor (Philosophiae Doctor, abbreviated as PhD.)¹³ to the graduate from the PhD study, as well as complete documentation on the defence of the PhD student.
- (2) If the Rector or the Dean, if the study programme is carried out at the Faculty, finds out that during the proceedings of the defence the procedure under Art. 12 has not been complied with, any of the former shall cancel the Board's motion for granting or refusing to grant the academic degree of Doctor (Philosophiae Doctor, abbreviated as PhD), and shall order repetition of the defence.
- (3) If the study programme is carried out at the Faculty and the Dean finds out that during the proceedings of the defence the procedure under Art. 12 has been complied with, and if the Board for the defence has proposed to confer the PhD degree to the PhD student, the Dean shall forward the materials to the Rector with a proposal for granting the academic degree of PhD to the PhD student.
- (4) The academic title of Doctor (Philosophiae Doctor, abbreviated as PhD) shall be awarded by the University.
- (5) In case of the PhD study carried out in cooperation with an external educational institution, the University diploma shall also contain the name of that institution.
- (6) The Rector shall send the PhD student a notice in writing within 30 days of whether or not the academic degree has or has not been granted. The notice shall be delivered as personal delivery.
- (7) The document granting the academic degree of Doctor (Philosophiae Doctor, abbreviated as PhD) shall be issued by the University.

¹³ Section 54 (15) Law Act No. 131/2002.

Art. 14

Change in the study programme of the PhD study

- (1) Any change made in the study programme (including the form of the PhD study), the person of supervisor or the supervising workplace, may be made during the PhD study in justified cases, in particular if more favourable conditions for the implementation of the PhD study programme are made by doing so.
- (2) The PhD student may apply for the change with the Rector or the Dean, if the study programme is carried out at the Faculty, within the meaning of Art. 14. (1). of these Rules of Procedure.
- (3) The Rector or the Dean, if the study programme is carried out at Faculty, shall decide on the change in the study programme within the meaning of Art. 14. (1) on the basis of the PhD student's application and following a respective opinion from both supervisor and Chairperson of the Branch Board.
- (4) The proportionate part of the duration of the study programme completed before the change of the PhD study programme shall be included within the time of the PhD study programme.

Art. 15

Suspension and Termination of the PhD Study

- (1) Provisions of Law Act No. 131/2002 pertain to suspension and termination of the PhD study. The supervisor shall give their opinion on the application for the suspension of study.
- (2) The PhD study in its standard length of time shall be terminated not later than at the end of the standard length of the PhD study by the defence of the PhD thesis within the meaning of the provision of Art. 12 (1).
- (3) Provision of fellowship for full-time PhD students shall be terminated on the last day of the month of the successful defence of the PhD thesis within the meaning of provisions of Art. 12 (1).

PART FOUR

OTHER PROVISIONS

Art. 16

Tuition and Fees Associated with the PhD study, the Above-standard Length of Study

- (1) Students in their full-time form of PhD study programmes shall only pay tuition in case they exceed the standard length of study.
- (2) The PhD student in their full-time form of the PhD study programme shall have the rights and obligations of the student, shall remain in the supervising workplace and shall continue in performing their duties of a full-time PhD student, including their teaching commitments.
- (3) The above-standard length of study may last for up to two academic years, specifically by 31st August of the relevant academic year.

- (4) The charges associated with the PhD study and with the issue of the diploma shall be governed by the provisions of the law¹⁴, Pavol Jozef Šafárik University in Košice Statute, and the regulations of the University. Foreign nationals shall pay tuition and other fees pursuant to the relevant provisions of law¹⁵ and the regulations of the University.

Art. 17

Working Conditions of PhD Students, Working Hours, Study Leave, Business Trips

- (1) The supervising workplaces at the University and at the Faculties shall create for the PhD student the working conditions to enable them to perform all the parts of their syllabus, including records of their presence at the supervising workplace. The PhD student's job description includes an individual course of study, which may also take place outside of the workplace, but only with the consent of the supervisor.
- (2) The PhD student's presence in the full-time form of the PhD study at the workplace is registered at the workplace where the PhD student is allocated. The PhD student in the full-time form of their study shall be entitled to a leave with the consent of the supervisor in the time of the winter holiday and the main holiday season as specified in the time schedule for the relevant academic year. The PhD student shall have the right to stay at the workplace even during the holiday season, so as to fully meet the approved individual study and research plan.
- (3) The PhD student may be sent for a business trip, on which they perform the work as specified by the supervisor or by the head of the supervising workplace. In such a case, an agreement shall be made with the PhD student on the performance of tasks for UPJŠ in Košice, its relevant Faculty. The agreement shall also be made, if the business trip is implemented within the framework of a particular project, which the PhD student is a co-researcher in. In both cases, the PhD student shall then become qualified for reimbursement of travel expenses in accordance with Law Act No. 283/2002 Coll. on travel compensations, as amended.
- (4) The PhD student in their full-time form of study shall be required to report any personal change (in their family status, address of residence, change of the health insurance agency) within 7 days at the latest in the Section of PhD Study of the University or the Faculty, where the study programme is carried out at the Faculty.
- (5) The PhD student in their full-time form of study shall undergo a safety and health training (BOZP). The training shall be provided by the University in cooperation with the Sections of PhD study at the Faculties, if the study is carried out at the Faculty. A record shall be made of the training passed, which shall be filed in the PhD student's personal file.

¹⁴ Section 92 Law Act No. 131/2002.

¹⁵ Section 92 (9) Law Act No. 131/2002.

Art. 18
Transitional and Final Provisions

- (1) Principles and Organization of the PhD Study at UPJŠ of 22nd June 2005 are hereby cancelled.
- (2) These PhD Study Rules of Procedure at Pavol Jozef Šafárik University in Košice were approved by the UPJŠ Academic Senate on 15th December 2011.
- (3) These PhD Study Rules of Procedure at Pavol Jozef Šafárik University in Košice shall enter into force as of the date of their registration by the Ministry of Education, Science, Research, and Sport of the Slovak Republic and shall become effective as of the date of delivery of the decision on their registration by the Ministry to the University.
- (4) The relations not governed by these Rules shall be governed mutatis mutandis by the provisions of the Study Rules of Procedure at UPJŠ.
- (5) The rights and obligations of PhD students, who had been recruited for the study before the entry into force of these Rules, shall be governed by these Rules of Procedure as of the date of their effectiveness. Admission to the PhD study, however, shall be governed by the Principles and Organization of PhD Study at UPJŠ of 22nd June 2005.
- (6) Individual UPJŠ Faculties may on the basis of these PhD Study Rules of Procedure at Pavol Jozef Šafárik University in Košice issue their own internal regulation governing the PhD study adapted to their conditions. Such an internal regulation of the Faculty may not be in conflict with the PhD Study Rules of Procedure at Pavol Jozef Šafárik University in Košice.

In Košice on 16th December 2011

Assoc. Prof. JUDr. Imrich Kanárik, CSc.
AS UPJŠ Chairperson

Prof. MUDr. Ladislav Mirossay, DrSc.
UPJŠ Rector