

## **PRINCIPLES OF DOCTORAL STUDY AT THE FACULTY OF ECONOMICS OF THE TECHNICAL UNIVERSITY OF KOŠICE**

Dean of the Faculty of Economics of the Technical University of Košice (hereinafter referred to as "EkF TUKE") in accordance with Article 28 and Article 54 of the Act No. 131/2002 Coll. on Higher Education and on the Change and Supplement to Some Acts as amended (hereinafter referred to as "the Act") issues an internal regulation "Principles of Doctoral Study at EkF TUKE" (hereinafter referred to as the "Principles of DS").

### **Article 1 Introductory provisions**

(1) One of the basic long-term priorities of the development strategy of EkF TUKE is the development of doctoral studies, while the basic objective is the motivation to ensure high quality of the doctoral studies of doctoral students in full-time and part-time form of study, and to increase the number of doctoral students who have successfully completed their doctoral studies at EkF TUKE. The reason for issuing the Dean's Instruction "Principles of Doctoral Study at EkF TUKE" is the need to harmonize procedures and processes at EkF TUKE in the organization and evaluation of doctoral studies in order to increase the quality and success rate of doctoral studies at EkF TUKE.

(2) Doctoral study is carried out a full-time form of study and in a part-time form of study. The standard length of study in full-time form is three years, in part-time form it is four years.

### **Article 2 Legal framework of doctoral study**

(1) The Principles of DS are based on the following legal regulations:

- Act No. 131/2002 Coll. on Higher Education and on the Change and Supplement to Some Acts as amended.
- Principles of organization, assessment and completion of doctoral studies and the principles of establishing a field study committee of doctoral studies at the Technical University of Košice (hereinafter referred to as "The Principles of Organization").
- Rector's Directive PR/TUKE/05/16 Peculiarities of legal status of students of doctoral study programmes in full-time form of study.
- Rector's Directive "Tuition fees and fees related to study" for the respective academic year.
- Study Rules and Regulations of the Technical University of Košice (hereinafter referred to as "Study Rules and Regulations").
- Code of Practice on final and qualification theses at TUKE (hereinafter referred to as "Code of Practice").

### **Article 3 Scope of validity of the Principles of Doctoral Study**

(1) The Dean's Instruction applies to students in full-time and part-time form of doctoral study at EkF TUKE (hereinafter referred to as "doctoral students").

### **Article 4 The course of doctoral study at EkF TUKE**

#### **I Enrolment for doctoral study for the respective academic year**

(1) A Doctoral student is obliged to enroll in the first year of study in the form of in-person enrolment and in the following years of study in the form of electronic enrolment for doctoral study in pursuance

with the study schedule for the respective academic year. If, for compelling reasons, the doctoral student is unable to enroll in the next period of study (academic year, end of study interruption) and does not use the institute of power of attorney for in-person enrolment, he/she may in writing request the Office for Research and Development of EkF TUKE (hereinafter referred to as the "Office") for an alternative date of enrolment within ten working days from the date of the regular enrolment or the end of the period of permitted interruption of studies. Absence at the enrolment is considered an expression of a lack of interest in the study and the last day of the period set for the alternative date of enrolment is considered to be the day on which the doctoral student left the study.

(2) The date of enrolment is published on the EkF TUKE web domain and usually takes place at the end of August in the calendar year. The employee of the Office (hereinafter referred to as the "officer") checks the accuracy of enrolment in the MAIS Information System.

(3) At the in-person enrolment (for the first year of study), the doctoral student submits proof of payment of fees (enrolment fee, extension of study card validity, etc., or if he/she is obliged to pay annual tuition fee for a paid study programme (in case of exceeding the standard length of study, the doctoral student shall submit proof of payment of the annual tuition fee for the above-standard length of study), concurrent study, etc.). In the case of electronic enrolment (for second and next year of study), the doctoral student will electronically deliver proof of payment of fees to the Office no later than five days before the enrolment date. The amount of tuition fees is determined by the Rector's Directive "Tuition fees and fees related to study" for the respective academic year.

(4) The condition for enrolling to a doctoral study in the second and next year of study is the delivery of the Doctoral Student Annual Evaluation by the Supervisor to the Office no later than on August 31 of the current year.

## II Doctoral Study

(1) The rights, duties and responsibilities within all processes of doctoral study at EkF TUKE are regulated by the Responsibility chart within the doctoral study at EkF TUKE (Annex No. 1 to this Regulation).

(2) Doctoral study is carried out in accordance with an individual study plan (hereinafter referred to as „ISP“), which is the main organizational document of the doctoral students' work, and which is based on the individual study plan (hereinafter referred to as „ISP“) (Annex No. 2 to this Regulation) for the third-level university study within accredited study programmes at EkF TUKE. The ISP is compiled by the Supervisor and the doctoral student, and is submitted to the Doctoral Field Study Committee (hereinafter referred to as "FSC") for approval. Failure to meet the tasks and deadlines set out in the study and scientific part of this plan may be grounds for exclusion from the study. The ISP must be submitted for approval within three weeks from the beginning of the doctoral student's study (subsequently until September 30, in the current academic year, the submitted ISP is approved by the OK). The form for ISP can be found on the website of EkF TUKE:

(3) The doctoral student undertakes to adhere to and fulfil his/her ISP and other tasks determined by the Supervisor.

(4) Doctoral study consists of:

- study part: study of compulsory, compulsory optional and optional courses in the form of lectures, seminars, consultations, colloquia, etc., and independent study of scientific and professional literature.
- scientific part: independent creative scientific work, which is related to the topic of the dissertation thesis (hereinafter referred to as „DisT“). The scientific part of the doctoral study is professionally guaranteed by the Supervisor and the results of it are publications registered in the TUKE University Library (hereinafter referred to as "UL TUKE").

(5) The condition for the proper completion of doctoral study is the completion of the dissertation examination (hereinafter referred to as „DisE“), which belongs to the state examinations, and the defense of DisT.

(6) Part of the full-time doctoral study is the performance of pedagogical activities to the extent of a maximum of four hours per week on average per academic year.

(7) Scholarship: Scholarships of full-time doctoral students are provided by the university on the basis of Article 54(18) of the Act. A full-time doctoral student with a permanent residence in a Member State of the European Union is entitled to a scholarship for the duration of the standard length of study of the study programme for which he/she has been admitted if he/she has not already obtained a third-level university degree. He/she is not entitled to a scholarship during the interruption of studies, and after the day of expiry of the standard length of study.

(8) A doctoral student of the full-time form of study is obliged to register his/her presence at the workplace to which he/she is assigned. Mandatory presence at the workplace is set at 6 hours a day (from 8 a.m. to 2 p.m.) (Article 8(2) of Principles of Organization). If the doctoral student is teaching in the afternoon, the Head of the relevant department may allow a different time frame for the doctoral student for compulsory presence at the workplace, provided that it is not shorter than six hours a day. Failure to comply with the set mandatory presence at the workplace may be grounds for disciplinary action. In the case of granting a day off to the EkF TUKE students by the Dean, the granted day off also applies to full-time doctoral students.

(9) Full-time doctoral students have a holiday of eight weeks during the main holiday period (July, August).

(10) A doctoral student in the full-time-form of study is obliged to register for DisE within 18 months from the beginning of the study. A doctoral student studying in the part-time form of study is obliged to register for DisE within 24 months from the beginning of the study. The doctoral student submits an application for the DisE together with the written work to DisE at least one month in advance.

(11) The requirement for enrolling for DisE is the acquisition of 80 credits (Summary 1 of the Credit scheme for doctoral studies in Annex No. 3 to this Regulation) (full-time and part-time study).

(12) The defense of the DisT takes place at the EkF TUKE in two dates set by the EkF at the beginning of the academic year, usually in early February and early July.

(13) A doctoral student may enroll for the defense of a DisT after meeting the following requirements:

- successful completion of the DisE,
- obtaining 160 credits (summary 3 of the Credit scheme for doctoral studies in Annex No. 3 to this Regulation) (full-time and part-time study). After meeting all requirements determined by the internal regulations of the university and after obtaining 160 credits, the doctoral student has the opportunity to request the defense of the DisT even at an earlier date, as prescribed by his/her ISP, or before the period of DisT defenses set in the Academic Calendar,
- within the publishing activity (or courses of the Scientific Activity type), obtaining at least 70 credits for both full-time and part-time form of study and publishing (confirmation of acceptance of the article for publication based on the decision of the editorial board is also accepted) an article of category „A“ in the relevant field of research,
- doctoral student attaches a table listing the publications registered in the UL TUKE, indicating the credits obtained for individual publications for the entire period of doctoral study and other documents, the list of which is published on the EkF TUKE website, to the application for the defense of the DisT.

(14) The study including the defense of the DisT, in accordance with the study programme, may not exceed its standard length by more than 2 years (Article 65(2) of the Act).

(15) If a doctoral student did not defend his/her DisT during the standard length of study, he/she is obliged to enroll in the new academic year (he/she can apply for a re-defense of the DisT only if he/she is an enrolled student of EkF TUKE). During the above-standard length of study (maximum of two years), EkF does not provide a scholarship for the doctoral student, while the student is obliged to pay annual tuition fees for study in the above-standard length of study, or for a paid study programme in the case of a student in part-time form of study.

(16) If a foreign doctoral student is studying in the full-time form of study in the state language (during the standard length of study), this study is free of charge. If he/she studies in a language other than the state language, the study is subject to a fee and the doctoral student pays the tuition fee in each academic year.

(17) The study of foreign students paying for the study begins at the beginning of the semester following the date when the tuition fees are credited to the bank account of EkF TUKE.

(18) The basic instructions and rules of organization of doctoral study are given on the website of EkF TUKE.

### **III Evaluation of doctoral study**

(1) Doctoral study is evaluated pursuant to the Principles of the Credit System in accordance with the Decree of the Ministry of Education, Science, Research and Sport of the SR (hereinafter referred to as „MŠVVŠ SR“) No. 614/2002 Coll. on the Study Credit System as amended.

(2) For each completed professional course during the study, the doctoral student is awarded credits in accordance with the PSP. The doctoral student is awarded 30 credits for completing the DisE. The credit values of individual components of doctoral study are listed in Annex No. 3 of this Regulation.

(3) Study in the full-time and part-time form of study takes place pursuant to the PSP of doctoral study in accordance with the current legislation (Annex No. 2 to this Regulation).

(4) Except state examinations (DisE and defense of DisT), all courses end with granting of a credit test, which is awarded and recorded by the teacher responsible in the MAIS Information System in the terms of regular examination period at EkF TUKE. Exceptionally, an officer may also record the credit test in the MAIS Information System on the basis of the instructions of the teacher responsible during the regular examination period at EkF TUKE.

(5) Recording of the results of state examinations (DisE and defense of DisT) is done in the MAIS Information System by the officer.

(6) Credits for publishing activities are awarded to doctoral student according to the credit values for publishing activities in accordance with the Principles of Organization. The credit values for publishing activities of doctoral students in accordance with the Principles of Organization are listed in Annex No. 4 of this Regulation.

(7) Within the scientific part of the study, the doctoral student presents the results of his/her independent creative scientific work in the form of original scientific works published in scientific journals, as well as in the form of published presented contributions at conferences, symposia, seminars and workshops in Slovakia or abroad. The awarding of credit values for publishing activities is carried out in the courses “Scientific activities I – IV“ in accordance with the specification of credits and semester, which are listed in Annex No. 5 of this Regulation.

(8) The officer, based on the information form the supervisor, records the credits obtained by the doctoral student for publications as completion of courses of the Scientific Activity type in the MAIS Information System on the basis of publications registered in the information system of the TUKE University Library – Evidence of Publishing Activities of TUKE Employees and Doctoral Students. The total number of credits for the Scientific Activities I – V courses is 70 in both full-time and part-time form of study. The total number of credits, including the DisT defense, which must be obtained during both full-time and part-time form of study, is 180 (the credit scheme for Doctoral study is in Annex No. 3 to this Regulation).

(9) The Doctoral Student Annual Evaluation Form is made in a way as to enable the evaluation of the doctoral student’s publishing activities and the transfer of credits for publications to the next, or from the previous academic year. The Doctoral Student Annual Evaluation Form can be found on the EkF TUKE website.

(10) For progressing to the next year of study, a doctoral student must meet the requirement of obtaining at least 36 credits (in the case of full-time form of study), or at least 30 credits (in the case of part-time study).

(11) In the case of publications in peer-reviewed journals or indexed databases (Scopus, Web of Science), an article that has not yet been published may be accepted as a published output of the doctoral student, but the student shall submit a confirmation of its acceptance for publication based on the decision of the Editorial Board.

(12) The Supervisor submits the Doctoral Student Annual Evaluation for the respective academic year to the Dean no later than in August 31, of the current year, in which he/she evaluates the fulfilment

of doctoral student's ISP for the study and research part. Part of the Doctoral Student Annual Evaluation is an Annex with a list of publications registered in the UL TUKE.

(13) A doctoral student may complete part of his/her doctoral study at another university within the framework of academic mobility (Article 58a of the Act).

(14) If a doctoral student does not properly fulfil his/her duties, the Supervisor has the right to submit a proposal to exclude the doctoral student from the study at any time. In this regard, supervisors are recommended to thoroughly evaluate the activities of doctoral students, the on-going fulfilment of their ISP, and their presence at the workplace in the case of full-time form of study.

(15) The evaluation of doctoral students serves as basis for the doctoral study evaluation for the FSC at EkF TUKE in the relevant study programme.

(16) Doctoral study ends with the defense of the final thesis, which is DisT. The DisT together with its defense forms one course. The defense of the DisT is a state examination.

#### **IV Study interruption**

(1) The Dean of EkF TUKE may, at the request of the doctoral student with the opinion of the supervisor, in justified cases (maternity leave, health or other serious personal reasons of the doctoral student or study stay of the doctoral student abroad, if it is not part of the study program of the doctoral study, or of his individual study plan. In the part-time study, a long-term professional stay abroad can also be the reason for interrupting the doctoral studies) allow the study to be interrupted. The doctoral student is not entitled to a scholarship during the period of study interruption. He/she is entitled to the scholarship for the part of the month in which he/she was an enrolled TUKE student before and after the interruption.

(2) The total time of all interruptions of doctoral study may not exceed 24 months.

(3) The application for interruption of study is approved by the Dean of EkF TUKE. After the interruption of the study, the doctoral student is obliged to notify the Office in writing no later than on the last day of the interruption of his/her study, and to make an administrative enrolment for study at the Office. In the case that the doctoral student does not re-enroll after the interruption of studies, the provisions of Article 13(15, 16) of the TUKE Study Rules and Regulations shall apply appropriately.

(4) If the Dean makes a decision on the application for interruption of studies, the Supervisor of the doctoral student shall inform the FSC Chair about this fact.

#### **V Termination of study**

(1) If the doctoral student does not enroll for the DisE within the period specified in this Regulation, he/she may request the interruption of doctoral study. If the student can no longer interrupt his/her doctoral study at the end of set period (the total time of all interruptions of the doctoral study has reached 24 months), he/she will be excluded from the doctoral study.

(2) The study, including the defense of DisT in accordance with the study programme, may not exceed its standard length (three years in full-time form of study, four years in part-time form of study) by more than 2 years, otherwise the doctoral student will be excluded as a result of non-completion of studies within the specified period (Article 65(2) of the Act).

(3) The defense of the DisT, which is a state examination, completes the doctoral study.

(4) Non-compliance or infringement of the prescribed duties of a doctoral student may be grounds for exclusion from the study.

#### **VI State examinations**

##### **1 Dissertation examination**

(1) DisE is a state examination, which consists of the defense of a written work for DisE and an examination of three professional courses specified in the study plan. The written work for DisE is focused on the theoretical foundations of the issues of the future DisT, on the current state of the problem, and on the analysis of the methodological approach to solving the problem. The written work must contain clearly defined theses of the DisT.

(2) It is necessary to enroll for DisE on the prescribed form (Application for Dissertation Examination), which must be delivered with two copies of the written work for the DisE (comb binding is sufficient) to the Office by the deadline set in the EkF TUKE Doctoral Study Schedule for the relevant academic year. The application form for DisE and template for a written work for the DisE can be found on the EkF TUKE website.

(3) In the case of a full-time form of study, the deadline for submitting a written work for DisE is set no later than 18 months from the beginning of study. The date of the DisE in the case of full-time form of study is usually set for the month of February. In the case of a part-time form of study, the deadline for submitting a written work for DisE is set within 24 months from the beginning of the study.

(4) In justified cases (maternity, health reasons, study stay of the doctoral student abroad, if it is not part of the doctoral study programme or his/her individual study plan, etc.), the Dean of EkF TUKE may, on the proposal of the Supervisor and after the opinion of the FSC Chair, allow an alternative regular or alternative resit date for conducting DisE. The content and scope of the DisE taking part in the alternative regular or alternative resit date shall be stated by the relevant committee in the Report of the DisE.

(5) The written work for the DisE is assessed by one Opponent, who shall not be from the home faculty of the doctoral student and his/her Supervisor and has no publications in common with the doctoral student. In the case of part-time doctoral students, the opponent cannot even be from the doctoral student's workplace where he is employed. The role of the Opponent can only be taken by a specialist with an academic degree of at least PhD. (or its equivalent CSc., Dr.). The opinion of the Opponent on the written work for DisE is submitted for approval of the FSC, in agreement with the supervisor, by the FSC Chair.

(6) After obtaining all opinions on the written work for the DisE, which were delivered to the Office within the set deadline, the FSC Chair will announce the date, place and time of the DisE and the list of Examination Committee members, approved on proposal of the FSC Chair by the FSC, to the Dean.

(7) The Committee for the DisE is appointed for the study programmes carried out at EkF TUKE by the Dean at least 14 days before the date of the DisE.

(8) DisE takes place before the Examination Committee. The course of the DisE and the announcement of its results are public. The decision-making process of the Examination Committee on the results of the DisE takes place at a closed meeting of the Examination Committee.

(9) Only university teachers working as full-time professors or associate professors, specialists working in the Slovak Academy of Sciences (Article 75(1) of the Act), and other specialists working outside the parent faculty with at least a PhD. (CSC., Dr.) degree who were approved by the Scientific Board of EkF TUKE (hereinafter „SB“) have the right to examine and be members of the Examination Committee.

(10) Significant specialists in the relevant field of study from other universities, legal entities conducting research and development, and those from practice are also included in the Examination Committees. At least two members of the DisE Examination Committee are university teachers working as full-time professors or associate professors. If a doctoral student has applied for a topic offered by an external educational institution, the DisE is held in front of the committee in which members appointed by the external educational institution are also equally represented.

(11) The Committee for conducting DisE has at least five members. At least one member of the Committee is not an employee of TUKE, at least one member of the Committee must be a full-time professor or associate professor working in the given or related field of study. The Opponent and Supervisor are also members of the Committee.

(12) The quorum of the Committee shall be at least 2/3 of the members. The following members of the Committee must be present: the Opponent (in case he/she did not give a clearly positive opinion), the member from outside TUKE, and the Supervisor.

(13) If a doctoral student has not passed the DisE or its parts, he/she can retake the exam once. The new date of the examination will be determined by the FSC Chair so that it takes place no earlier than one month but no later than three months from the date of the examination at which the doctoral

student failed. The result “failed” of the retaken DisE is a reason for immediate exclusion from study (Article 66(1c) of the Act).

(14) Both parts of the DisE is evaluated comprehensively by the Committee by statements „passed“ or „failed“. The Committee decides on the result of DisE by voting. The decision is valid if it is voted on by an absolute majority of the present Committee members.

### **1A The course of the dissertation examination**

(1) The dissertation examination is a state examination; it is recorded in the MAIS Information System as a course “Dissertation examination”. The doctoral student will be awarded 30 credits for successful completion of DisE. The DisE consists of two parts.

(2) The first part is the defense of the written work for DisE and the scientific debate on it.

Scenario for the defense of the written work for the DisE (recommended duration is 45 minutes):

a) *Presentation of written work for DisE* (recommended duration is 20 minutes): Based on the study of theoretical literature, the doctoral student demonstrates the ability to process the theoretical basis of future DisT, the current state of knowledge within the problem and methodological approaches to conducting the research so that he/she is able to clearly define DisT theses.

b) *Reading of the opinion on the written work for the DisE, defense of the written work for the DisE*: The Opponent of the written work for the DisE will present the essential parts of the opinion on the written work for DisE. In the absence of Opponent, the Examination Committee Chair will instruct a member of the Committee to read the Opponent’s opinion on the written work for DisE in full. The doctoral student answers the questions and responds to comments that were stated in the Opponent’s opinion, or other questions of the Opponent.

c) *Scientific debate*: General scientific discussion on the written work for DisE and assessment of the foundation and substantiality of fulfilment of the defined theses of the future DisT.

(3) The second part is an examination of three professional courses specified in the study plan (recommended duration is 45 minutes).

The examination usually covers the range of questions from three professional subjects, which are submitted by the FSC Chair for the relevant study programme.

### **1B Announcement of the result of the dissertation examination**

(1) The course of both parts of the DisE is assessed comprehensively by the Examination Committee by statements “passed” or “failed”. The Examination Committee decides on the result of the DisE by secret ballot. The decision is valid if it is voted on by an absolute majority of the present members of the Committee. The Supervisor participates in DisE of his/her doctoral student without the right to vote. A “Record of State Examination” is prepared on the course of the DisE, which includes the Opponent’s opinion. The record is signed by the Chair and present members of the Examination Committee. Based on the “Record of State Examination”, the result of the DisE is entered into the MAIS Information System by the officer. EkF TUKE will issue a written certificate to the doctoral student of completing of DisE.

## **2 Defense of dissertation thesis**

(1) Doctoral study ends with the defense of the final thesis, which is dissertation thesis. DisT and its defense form one course. The defense of the DisT is considered a state examination. Its course is defined by the Principles of Organization; the process of preparation of the DisT and the preparation for the defense of the DisT is guided by the Code of Practice.

(2) The defense of the DisT takes place at EkF TUKE at two dates set by the EkF at the beginning of the academic year, usually in February and July. Before defending the DisT, doctoral student presents the results of his/her scientific work to the academic community (department defense of the DisT) on the date set in the doctoral study schedule by the EkF TUKE for the respective academic year.

(3) The condition for submitting an application for the defense of DisT is:

- a) successful completion of the courses of the relevant study programme
- b) successful completion of DisE

- c) obtaining a total of at least 160 credits
  - d) publication (including acceptance into print) of an article/articles in one of the categories of minimum criteria listed in the appendix (Annex No. 4), while the content of the article/articles corresponds to the topic of the PhD thesis.
- (4) Together with the application for the defense of DisT, the doctoral student shall submit the following documents and requisites to the Dean through the Office, no later than by the end of November (in the case of the February date of the defense of DisT), or by the end of April (in the case of the July date of the defense of DisT) before the planned date of the defense:
- a) Application for the defense of DisT which includes the opinion of the Supervisor.
  - b) Curriculum vitae.
  - c) A copy of the individual study plan.
  - d) A copy of the certificate of completion of the DisE.
  - e) A list of publications organized in accordance with Decree No. 456/2012 Coll. on the Central Registry of Records of Publishing Activities (CREPČ), in the form of an extract from the registry with assigned credit values for individual publications for the entire period of study. The submission of the list of published works (with written credit values) for the entire period of study from the information system of the TUKE University Library – Evidence of publishing activities of TUKE employees and doctoral students is also considered to meet this requirement.
  - f) Copies of the most relevant journal publications.
  - g) DisT in the state or in a world language in three printed copies and in electronic form in the number of copies corresponding to the number of members of the DisT Defense Committee, but at least in the number of 10 copies. DisT is submitted in the form of a comprehensive and uniform thesis and it is recommended that the DisT is written in the template for the DisT, which can be found on the EkF TUKE website. If the DisT is written in a language other than the state language, it is also necessary to submit the filled-in form “Consent of the FSC to submit the DisT in a language other than the state language”. In the case of standstill period before making the DisT available to public, it is necessary to request this with an enclosed filled-in form.
  - h) Cover letter of doctoral student enclosed to the application for the defense of DisT (abstract, contribution to the development of the scientific field and a list of doctoral student’s publications), which is published on the EkF TUKE website.
  - i) Protocol of originality.
  - j) Doctoral Student Annual Evaluation for the last completed academic year. The doctoral student and the Supervisor shall check the records of completion of all courses in accordance with the study plan in the MAIS Information System.
- (5) The condition for admission to the defense of DisT is, except the cases in accordance with Article 63(11) of the Act, student’s written consent with the publication and disclosure of the DisT to the public for the conservation period (70 years from the date of registration) without compensation.
- (6) The Dean of EkF TUKE shall forward the Application for defense of DisT to the FSC Chair for his/her opinion. After reviewing the application and verifying the fulfilment of all requirements for DisT defense by the doctoral student, the FSC Chair shall submit a proposal for the appointment of opponents and members of the DisT Defense Committee to the Dean for approval.
- (7) After the approval of the opponents in the FSC and their appointment by the dean of the faculty, the supervisor will immediately enter the names and required data about the opponents into the MAIS information system. The doctoral student will then immediately insert into the UL TUKE electronic system the electronic version of the DisT, which is identical in content to the printed hard copies of the DisT submitted together with the application for the defense of the DisT. A more detailed procedure for entering, submitting, evaluating the originality and defending final theses and their subsequent publication is regulated by a special TUKE internal regulation (OS/TUKE/P1/02 Electronic final theses).
- (8) Before the defense of DisT UL TUKE will send the DisT in electronic form to the Central Registry of Final Theses (hereinafter referred to as “CRZP”). After submitting the doctoral student’s license



agreement to the UL TUKE, the Supervisor and Opponents of the DisT will receive login details via e-mail, by using which they will be able to fill in the DisT assessment form in the UL TUKE electronic system for registration of final theses. The originality of the final work will be evaluated through CRZP. The result of the DisT originality check is part of the state examination record.

(9) Using the obtained login data, the Opponents and the Supervisor will fill in and send their opinions on the prescribed forms provided to CRZP. The appointed Opponents will prepare an opinion on the DisT no later than 30 days from the delivery of the thesis. The opinion of the DisT opponent contains a comprehensive summary of the advantages and disadvantages of the DisT, it is brief and does not repeat the content of the DisT. The opponent focuses in the assessment to:

- a) the topicality of the selected DisT topic,
- b) the methods of elaborating DisT,
- c) the achieved results and new knowledge of DisT,
- d) benefit the further development of science and technology,
- e) examined issues in the field of the research,
- f) achievements in the DisT according the defined objectives.

At the end of the assessment, the opponent will provide comments on the DisT, evaluates the overall quality of the DisT, ask the doctoral student questions and clearly express a proposal for awarding or not awarding the PhD academic title.

(10) After delivery of opponents' opinions and results of originality check of the DisT, the FSC Chair shall, within 30 days, determine the date of the DisT defense and inform the Dean of EkF TUKE. Officer will ensure the announcement of the date, time and place of the DisT defense to:

- a) doctoral student and his/her Supervisor,
- b) members of the DisT Defense Committee,
- c) Opponents,
- d) on the official notice board and web domain of EkF TUKE in the section "Doctoral Studies" and in the section "Current information".

(11) Officer will send copies of Opponents' opinions, a letter from the doctoral student and the DisT in electronic form to the members of the DisT Defense Committee. The officer will send copies of the Opponents' opinions to the doctoral student and the Supervisor.

(12) The DisT Defense Committee has at least seven members, including at least two Opponents. Only university teachers working as full-time professors and associate professors and other experts approved by the Scientific Board of EkF TUKE have the right to become a valid Defense Committee member. An Opponent cannot be a person who is related to the doctoral student or his/her Supervisor. The Supervisor is also a member of the Committee, without the right to vote. The DisT Defense Committee Chair, members of the Committee and Opponents are appointed by the Dean on the basis of the proposal of FSC, in accordance with the Rules and Regulations for Appointing of DisT defense Committees (Article 63 (3, 4) of the Act). The DisT Defense Committee Chair must be a member of FSC, at least one of the members of the DisT Defense Committee and one of the Opponents must not be an employee of TUKE. At least two members of the DisT Defense Committee and one of the Opponents must be university teachers working as full-time professors tied to the relevant field of study. If the Opponent works at a university, he must be working at least as a full-time associate professor. In the case of a specialist outside the university, he must have at least an academic degree of PhD. or its equivalent. It is recommended that one of the members of the Committee is from abroad.

(13) The DisT Defense Committee has a quorum in the presence of 2/3 of all members (besides the Supervisor), while at least one Opponent and one member of the Committee who is not employed by TUKE must be present. An Opponent who has given a negative opinion must be present.

(14) The defense of DisT is a state examination and is public. In exceptional cases, the Committee Chair may declare it non-public. The DisT defense is a scientific discussion of the acquired knowledge contained in the DisT, which is conducted among the doctoral student, Opponents, members of the

DisT Defense Committee, and other participants of the defense. The defense of DisT should focus on the credibility and justification of the results and conclusions of DisT.

(15) The defense of DisT is usually conducted by the DisT Defense Committee Chair, in exceptional cases the defense may be conducted (with the consent of FSC) by an authorized member of the DisT Defense Committee (excluding the Opponent and Supervisor).

(16) The defense of DisT takes place as follows:

- a) The Chair will start the defense by stating the quorum of the Committee, introducing the doctoral student, briefly stating his/her CV, the topic of DisT, the result of the Protocol of originality of the thesis, and the most significant scientific publications with their citations,
- b) doctoral student presents substantial parts of his/her DisT,
- c) Opponents read the essential parts of their opinions, the opinion of an absent opponent is read in full,
- d) the Chair shall acquaint those present with any further opinions and statements,
- e) doctoral student takes a stand on the opinions of Opponents (objections, questions, comments and opinions),
- f) the Chair shall open a general discussion in which the members of the Committee and all those present take part,
- g) doctoral student answers the questions and responds to comments raised,
- h) the Chair shall close the public part of the defense.

(17) The Committee decides on the result of the DisT defense in a closed session by secret ballot by a simple majority of votes. Voting is carried out by ballot papers with the text "I agree – I do not agree with awarding an academic title". The voter crosses out the inappropriate expression. Other modifications of the ballot paper are invalid. The approval of a majority of the present members of the committee, who have the right to vote, is required for the awarding of an PhD. academic title. Otherwise, the DisT defense was unsuccessful.

(18) The report of the result of the vote shall be drawn up and signed by the Chair and all present members of the DisT Defense Committee.

(19) The result of the vote shall be announced by the DisT Defense Committee Chair at a public meeting. A proposal for awarding the PhD. academic title is submitted by the Committee Chair together with the report, and other requisites of the defense to the Dean within 15 days of the DisT defense.

(20) On the basis of the report from the DisT Defense, the officer will enter the result of the course "Dissertation thesis" into the MAIS Information System.

(21) If the PhD defense was not successful, the dean of the faculty, based on the documents of the PhD defense committee, issues a decision that is delivered to the doctoral student by registered mail within 30 days from the date of the unsuccessful DisT defense.

(22) The conditions for the retake of the defense of the DisT will be determined by the relevant committee in the report of DisT defense.

(23) In case of unsuccessful defense, the student continues his/her studies and may retake the defense of DisT once, but not earlier than 6 months after the unsuccessful defense of DisT, and no later than within two years. The student may submit a further request for retake of DisT defense no earlier than six months, and no later than 17 months from the date of the delivery of the decision. The doctoral student is obliged to apply for the DisT defense no later than six months before the end of the above-standard length of study. If the retaken defense of DisT is also unsuccessful, the doctoral study is considered to be definitively completed with the result unsuccessfully.

## **Article 5**

### **Rights and obligations of a doctoral student**

(1) The doctoral student is obliged to take part in the in-person enrolment (for the first year of study), or electronic enrolment (for second and following year) for doctoral studies within the deadline set in the EkF TUKE doctoral study schedule for the respective academic year. At the in-person enrolment (for the first year), doctoral student submits proof of payment of fees (enrolment fee, extension of

the card validity, etc., or if he/she is obliged to pay annual tuition fee for the paid study programme (in case of exceeding the standard length of study, the student submits proof of payment of annual tuition fee for above-standard length of study), concurrent study, etc.). In the case of electronic enrolment (for the second and following year of study), doctoral student will deliver a proof of payment to the Office of Science no later than five days before the set date of enrolment. The condition for enrolling a doctoral student in the second or higher year of study is submitting of Doctoral Student Annual Evaluation by the Supervisor no later than in August 31, in the current year to the Office.

(2) A doctoral student in the full-time form of study is obliged to register his/her presence at the workplace to which he/she is assigned. Mandatory presence at the workplace is set at 6 hours a day (from 8 a.m. to 2 p.m.). If the doctoral student is teaching in the afternoon, the Head of the relevant department may allow a different time frame for the doctoral student for compulsory participation at the workplace, provided that it is not shorter than six hours a day. Failure to comply with the set mandatory presence at the workplace may be grounds for disciplinary action. The presence of the doctoral student at the workplace depends on the specific study and research obligations set out in his/her ISP.

(3) A doctoral student performs independent creative activity in the field of science (publication, participation in projects, completion of the stage of research work defined in the individual study plan, etc.), which is related to the topic of the DisT (an overview of the doctoral student's scientific activity in appendix no. 7 of this regulation).

(4) A doctoral student is obliged to follow the website of EkF TUKE, student e-mail account and is obliged to follow the published instructions and guidelines.

(5) A doctoral student in a full-time form of study performs pedagogical activity in accordance with Act No. 131/2002 Coll., Article 54(11) of the Act for a maximum of four hours a week on average for the academic year. The preparation of a doctoral student for the performance of pedagogical activities is the completion of the course Pedagogical Minimum for Doctoral Students at the beginning of the first year of doctoral study.

(6) A doctoral student undertakes to adhere to and to fulfil his/her ISP and other tasks assigned by his/her Supervisor. Failure to meet the tasks and deadlines set out in the study and scientific part of this plan and obligations set out in this Regulation may be grounds for exclusion from the study.

(7) A doctoral student in a full-time form of study also performs other activities within the framework of pedagogical and scientific-research tasks assigned to him/her by the Supervisor, the Head of the relevant department or the Dean.

(8) In the case of Dean's day off for students of EkF TUKE, this also applies to doctoral students in a full-time form of doctoral study.

(9) A doctoral student in a full-time form of study is obliged to participate in conferences, seminars, lectures and similar events organized by EkF TUKE.

(10) A doctoral student is obliged to comply with legal regulations in the field of occupational safety.

(10) Doctoral students publish the results of their scientific work mainly in co-authorship with their Supervisor.

(12) A doctoral student in a full-time form of study of a doctoral study programme may, under the conditions specified in the Study Rules and Regulations, request a change in the form of study within the same study programme. If there is a change in the form of doctoral study, the doctoral student may be granted the credits obtained so far, if this is in accordance with his/her new study plan.

(13) A doctoral student in a full-time form of doctoral study must obtain at least 36 credits (in the case of doctoral student in a part-time form of study it is 30 credits) for the past academic year, taking into account the recommended credit structure. Failure to obtain the prescribed number of credits is a reason for the Supervisor to submit in writing, and also in the Annual Evaluation, a proposal to the Dean to exclude the doctoral student from the study.

(14) A doctoral student studying in a full-time form of study is obliged to register for the DisE within 18 months from the beginning of the study. Doctoral student studying in a part-time form of study is

obliged to register for DisE within 24 months from the beginning of the study. Doctoral student submits a written work for the DisE with an application at least one month in advance. If the doctoral student does not enroll for the DisE within the set period, he/she may request the interruption of doctoral study. If the doctoral student can no longer interrupt the doctoral study at the end of the set period (the total time of all interruptions of doctoral study has reached 24 months), he/she will be excluded from the doctoral study.

(15) After the approval of the opponents in the FSC, their appointment by the dean of the faculty and the entry of the required data about the opponents of the DisT by the supervisor, the doctoral student immediately inserts the electronic version of the DisT into the UK TUKE electronic system, which is identical in content to the printed hard copies DisT submitted together with the application for the defense of the DisT.

(16) EkF TUKE provides a scholarship to a doctoral student in a full-time form of study on the basis of Article 54(18) of the Act. A doctoral student does not receive a scholarship during the interruption of studies or after the day of expiry of the standard length of study, or if he/she already obtained a university degree of the third level.

(17) A doctoral student in a full-time form of study is also entitled to scholarship during the holidays and incapacity for work. In the case of incapacity for work, the certificate for the payment of the scholarship is a medical certificate from the doctor.

(18) Upon duly completion (successful completion) of full-time doctoral study, the doctoral student is entitled to a scholarship for the entire month in which the defense of the DisT took place.

(19) Upon leaving the full-time doctoral study, the doctoral student is entitled to a scholarship for the part of the month (in which he/she left the study) during which he/she was a student.

(20) When a full-time doctoral study is interrupted, the doctoral student is entitled to a scholarship for the part of the month (in which he/she interrupted his/her studies) during which he/she was a student.

(21) During the interruption of study, the full-time doctoral student is not entitled to a scholarship.

(22) A doctoral student may, with the knowledge of the Supervisor and with the consent of the Head of the relevant department, be sent on a business trip on the basis of a travel order issued by EkF TUKE or TUKE. Details are given in the internal regulation TUKE OS Business Trips.

(23) A tuition fee and other fees associated with the study are regulated by the TUKE Rector's Directive for the relevant academic year.

(24) If a doctoral student completes part of his/her studies within the framework of academic mobility, or in other form of study stay, he/she is obliged to report this fact to the officer, who shall record this in the MAIS Information System, before leaving for mobility and immediately after returning from mobility.

(25) The application forms are available on the TUKE and EkF TUKE websites.

## **Article 6**

### **Tasks, duties, responsibilities and rights of supervisors of doctoral students**

(1) The Supervisor announces the topics of DisT and, after their approval by FSC, enters them into the MAIS Information System within the period set in the EkF TUKE doctoral study schedule for the relevant academic year.

(2) The Supervisor assigns the topic of DisT (even in the case of a change of topic title) to a doctoral student admitted to a full-time or part-time form of study in the MAIS Information System.

(3) The Supervisor guides a doctoral student professionally during his/her doctoral study.

(4) The Supervisor, in cooperation with the doctoral student, compiles an individual study plan of the doctoral student and submits it for approval (after prior consultation in FSC) to the FSC Chair.

(5) The Supervisor manages and guarantees professionally the fulfilment of doctoral student's study plan.

(6) The Supervisor determines the focus of the DisT and together with the doctoral student specifies its topic and content.

- (7) The Supervisor leads and checks the research, participation in conferences, publication and related work of the doctoral student.
- (8) The supervisor approves the awarding of the specified number of credits to the doctoral student for the completed stages of the scientific part of the individual study plan (courses "Scientific activity I. to V."). The record of credits from these courses into the MAIS information system is carried out by the officer based on an email from the supervisor confirming the granting of the specified number of credits.
- (9) The Supervisor leads the doctoral student in a way that he/she submits the DisT within the set deadline.
- (10) The Supervisor submits the Doctoral Student Annual Evaluation the Dean within the set period. Timely delivery of the Doctoral Student Annual Evaluation is a necessary requirement for enrolling a doctoral student in the following academic year.
- (11) The Supervisor submits a written proposal for continuation of study, extension of study, or a proposal for exclusion from doctoral study, comments on the doctoral student's request to interrupt studies and the doctoral student's request to change the form of study within the same study programme, in writing, to the Dean.
- (12) The Supervisor expresses his consent or disagreement with the application for the defense of DisT or application for DisE in writing.
- (13) The Supervisor proposes a study stay of doctoral student other than academic mobility (Section 58a of the Act) in Slovak or foreign institution of science, education, research or technology to the Dean.
- (14) The Supervisor prepares an opinion on DisT and the working characteristic of his/her doctoral student, enters it into the CRZP via the UL TUKE information system.
- (15) The Supervisor provides consultations with other experts for the doctoral student as needed.
- (16) After the approval of the opponents in the FSC and their appointment by the dean of the faculty, the supervisor will immediately enter the names and required data about the opponents into the MAIS information system.
- (17) The Supervisor shall ensure that before the defense of the DisT, the doctoral student has the opportunity to present the results of his/her scientific work in front of academic community (department defense of DisT) within the period set in the EkF TUKE doctoral study schedule for the relevant academic year.
- (18) The Supervisor participates in DisE and at the defense of DisT of his/her doctoral student without the right to vote.
- (19) The Supervisor has overall responsibility for the doctoral student in full-time or part-time forms of study and his/her comprehensive assessment of competence and performance of tasks.

## **Article 7**

### **Transitional and final provisions**

- (1) In the case of doctoral study programmes implemented in cooperation with a foreign university, this Dean's Instruction is applied appropriately, while the final decision in fundamental matters are granted by the Dean.
- (2) Decisions on issues related to doctoral study at TUKE, which are not explicitly regulated in the Principles of DS, are in the competence of the Dean.
- (3) The regulation PD/EkF/04/19 Principles of Doctoral Study at EkF TUKE approved in December 18, 2019 is cancelled.
- (4) This regulation "Principles of doctoral studies at EkF TUKE" becomes valid and effective since November 15, 2022.