

**UNIVERZITA PAVLA JOZEFA ŠAFÁRIKA
V KOŠICIACH**



Guarant: Rector's Unit

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

Full text of the PhD Study Rules of Procedure at UPJŠ
as amended by Appendix No. 1

April 2013

The UPJŠ Academic Senate has resolved on these PhD Study Rules of Procedure at Pavol Jozef Šafárik University in Košice (hereinafter referred to as "Study Rules of Procedure" or "Rules of Procedure"), which become an internal regulation of Pavol Jozef Šafárik University in Košice (hereinafter referred to as "University") pursuant to Section 15(1)(b) Law Act No. 131/2002 on Higher Education and on amendments to certain law acts as amended by subsequent regulations (hereinafter referred to as "LAHE").

PART ONE GENERAL PROVISIONS

Article 1 Introductory Provisions

- (1) PhD study is the third level of university education¹. Pavol Jozef Šafárik University in Košice (hereinafter referred to as "the University" or "UPJŠ") or any of its Faculties provides PhD study in the registered branches of study² under the accredited study programmes³.
- (2) 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) PhD study is run under an individual syllabus under the guidance of the supervisor. It takes place at the University, Faculty (hereinafter referred to as "the supervising unit"), or at an external educational institution, with which the University or the Faculty have a framework agreement on the PhD study made (hereinafter referred to as "external educational institution")⁵ and with which it enters into an individual agreement for each PhD student. The supervising unit 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 elaboration and defence of the PhD degree thesis.
- (4) The University or the Faculty shall establish a Study Branch Board for every study programme that monitors and assesses the PhD study in the relevant study programme. The University may agree with another university or an external educational institution in setting up a joint Study Branch Board (hereinafter referred to as "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 after its approval by the University Academic Board or by the Dean, where the study programme is run at the Faculty or at

¹ Section 2 par. 5 of Law Act No.131/2002 Book of Statutes

² Section 50 par. 3 of Law Act No.131/2002 Book of Statutes

³ Section 51 par. 1, Section 54 par. 1 a Section 83 par. 1 of Law Act No.131/2002 Book of Statutes

⁴ Section 54 par. 18 of Law Act No.131/2002 Book of Statutes

⁵ Section 54 par. 12 of Law Act No.131/2002 Book of Statutes

an external educational institution, with which the University has agreements made pursuant to Article 1(4). The Branch Board shall consist of the 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 the 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 staff members holding the research degree of PhD (or its earlier equivalent of the same – CSc., Dr.), to whom the research qualification degree II has been awarded, and/or qualified experts from practice.

- (6) The Board for the Defence of the PhD degree thesis shall consist of at least four members, in addition to second readers. It shall consist of the Chairperson, at least three other members, and a minimum of two and a maximum of three second readers.

PART TWO STUDY PART OF THE PhD STUDY

Article 2 Admission to PhD Study

- (1) The Rector or the Dean, where the study programme is run at the Faculty, on the motion of the study programme guarantor, shall list the topics of PhD degree 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 the PhD degree theses, alongside with the aforementioned particulars, shall be published in the Academic Information System (hereinafter referred to as the "AIS") and on the website of the University or of the Faculty, where the study programme is run 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 degree 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 bodies 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 on their 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 reviews 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, where the study programme is run 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 run before the Admission Board consisting of at least three members, one of whom is usually a guarantor the degree 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, where the study programme is run at the Faculty. In case of the admission procedure of an applicant for a degree thesis topic listed by an external educational institution, the representative of the external educational institution shall become 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 have applied for one topic, their placings shall be determined by their respective achievements at the admittance examination. In determining the respective placings, the range and quality of the applicant's professional publishing activities and the outcomes of their other professional activities shall be considered (e.g. achievements in student research and professional work 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, where the study programme is run at the Faculty. In case the thesis topic has been listed by an external educational institution, the latter shall express their consent with the admission of the applicant.
- (10) The Rector or the Dean, where the study programme is run at the Faculty, shall decide on the admission of the applicant on the basis of the achievements at 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 degree thesis topic in their decree of admission. The decree in writing shall, in addition to the above, contain a statement, its justification, an advice on the possibility to lodge an appeal for reviewing the decree, and shall be served to the applicant as personal delivery. The applicant, who received the 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, where the study programme is run at the Faculty.

Article 3 Schedule of Study

- (1) The PhD study is run according to the individual syllabus, which shall be part of the documentation of the study of the PhD student in the AIS.

⁶ Section 58 par.8 of Law Act No.131/2002 Book of Statutes

- (2) The individual study syllabus shall consist of its study part and research part, it shall be drawn up by the supervisor and approved by the Study Branch Board⁷. Details of the particulars of the syllabus are governed by Article 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 duration of the PhD study is determined by the accredited study programme, which in its full-time form takes at least three academic years (generally in the humanities and social-science study programmes) and up to four academic years (generally in the science and medical study programmes in the branches without specialization). The standard duration of the PhD study in its part-time form lasts for five academic years at the longest⁹.

Article 4

PhD Study Credit System and Study Achievements Evaluation

- (1) The credit system shall be applied in all the forms of the PhD study.
- (2) 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 syllabus. 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 syllabus study subjects as approved by the Branch Board in the prescribed structure. The relevant study subject shall be assessed by the "passed" or "failed" grades. In addition, the PhD student shall have the option to also sign up other study subjects with the consent of the supervisor, which are offered by the relevant Faculties in their study programmes, in particular those of the Magister (Doctoral) study, provided the PhD student didn't complete these already at their previous level of the university study. The study of other study subjects and self-access study of scientific/scholarly and specialized sources cannot be replaced by passing the mandatory study subjects as determined by the study programme or by 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 pre-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 degree theses, assignment within the

⁷ Section 54 par. 8 of Law Act No.131/2002 Book of Statutes

⁸ Section 54 par. 8 až 11 of Law Act No.131/2002 Book of Statutes

⁹ Section 54 par. 2 of Law Act No.131/2002 Book of Statutes

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 shall obtain in aggregate 20 credits for the successful preparation (submitted written degree thesis and positively assessed by the second reader), its defence, and successful passing the dissertation examination;
 - (e) elaboration of the PhD dissertation thesis and its defence; the PhD student shall be awarded 30 credits for the acceptance for the defence and successful defence of the PhD degree thesis;
- (5) The number of credits for the activities under paragraph 4(a), (b), and (c) shall be determined by the University Academic Board or by the Academic Board of the Faculty where the study programme is run 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 the 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 shall be 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 obtained until then recognised, 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 for passing the activities required, e.g. for passing differential study subjects completed by passing an examination.
 - (10) The transfer or recognition of credits (under paragraphs 7 to 9) shall be decided by the Rector or the Dean, where the study programme is run at the Faculty, after obtaining 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 advancement from the first year 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 shall be the reason for the exclusion of the PhD student from the study.
 - (13) The PhD student may sign up for the PhD examination in both full-time and part-time forms of study, if they have a minimum of 70 credits accumulated, where the study in the full-time form lasts for three years, or 90 credits, where the study in the full-time form lasts for four years.
 - (14) The 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 degree thesis, where the full-time study lasts for three years, or 240 credits, if 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 dissertation thesis for defence, the former may apply for the permission of its defence.

Article 5 Supervisor

- (1) The supervisor:
 - a) shall professionally supervise the PhD student during their PhD study;
 - b) shall compile the PhD student's individual curriculum and submit it for approval to the Branch Board;
 - c) shall control and professionally guarantee the PhD student's research plan and check the performance of the study part of the individual plan;
 - d) shall specify the orientation of the dissertation thesis project and modify its topic in synergy with the PhD student;
 - e) shall award 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 thesis, if accepted for the defence;
 - f) shall submit to the Rector or to the Dean, where the study programme is run at the Faculty, the proposal for the exclusion of the PhD student from the PhD study and give their opinion on the PhD student's request for the suspension of study;
 - g) shall propose to the Rector or to the Dean, where the study programme is run 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) shall prepare the PhD student's reference for the PhD degree thesis defence;
 - i) shall propose a supervisor – consultant or replacement of any of the two to the PhD study programme guarantor after consultation with the competent Vice Dean of the Faculty;
 - j) shall ensure consultations with other specialists as necessary;
 - k) shall be a member of the board for the dissertation examination of the PhD student and participate in their defence of the thesis.
- (2) A Professor or Associate Professor of the university which runs the PhD study or a researcher with the attained academic qualification of the 2nd level or higher or any other specialist in practice holding a scientific-teaching degree of Professor or Associate Professor, a specialist in practice with the qualification degree attained at least the 2nd level, may become a supervisor for the given study branch or the PhD study programme, and after the approval by the Academic Board of the University or that of the Faculty, if the PhD study is run at the Faculty¹⁰.
- (3) Any person may become a supervisor for the topics listed by an external educational institution as approved by that institution. The external educational institution shall provide research-teaching characteristics of its supervisors to the Academic Board of the University or of the Faculty.
- (4) The supervisor may supervise no more than 5 PhD students in the full-time form of the PhD study.

¹⁰ Section 54 par. 4 of Law Act No.131/2002 Book of Statutes

Article 6
PhD Student's Syllabus and Study Programme

- (1) The accredited study programme defines the prescribed structure of the study subjects and the offer of the study subjects, on the basis of which the PhD student, in collaboration with their supervisor, shall draw up their individual study syllabus and fill in the listing sheet in the AIS (Article 4, paragraph 4).
- (2) The PhD student's syllabus shall consist of the study part, which is deemed completed by passing the dissertation examination, of the research part, and of the PhD degree thesis defence. The PhD study in its full-time form shall contain implementation of pedagogical activity or another specialised activity, and the therapeutic-preventive activity at medical faculties in the relevant 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, field holiday practical training courses, field teacher training courses, and the like. In case of the PhD student who has applied for a topic of the PhD degree thesis listed by an external educational institution, the agreement between the University or with the Faculty, where the study programme is run at the Faculty, and 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 shall be taken.
- (3) The study part of the PhD student's syllabus shall in particular consist of passing the specialized PhD study subjects and of their individual study of specialized sources pertaining to the content of the PhD degree thesis. Passing the study subjects shall normally be deemed completed by passing the examination. The individual study of specialized sources may be divided into phases, which study is completed by the supervisor awarding a specified number of credits. The individual study curriculum of the PhD student shall contain a list of the study subjects, including a professional foreign language, which the PhD student is to pass, a list of the dissertation 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 degree thesis. The individual PhD student's syllabus shall specify the PhD degree thesis topic, which the supervisor may edit in the PhD student's listing sheet, subject to the consent of the Branch Board Chairperson.

Article 7
Dissertation Examination

- (1) The dissertation examination is a state examination and shall be public¹¹. The PhD student shall file an application form for the dissertation examination at the relevant Rector's Office Unit or the Dean's Office Unit, where the study programme is run at the Faculty, within 18 months or 24 months from the commencement of the study depending on the standard duration of the 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 alongside with their application form for the dissertation examination, drawn up for the examination. A condition precedent for granting the consent to perform the dissertation examination is

¹¹ Section 54 par. 3 of Law Act No. 131/2002 Z.z.

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 dissertation examination, or failure to present an assignment in writing for the dissertation 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 their study. The supervisor and the Branch Board Chairperson shall pass their respective opinions on the application for the suspension of study.
- (3) The assignment in writing for the dissertation examination shall consist of the PhD degree thesis propositions (project), containing an outline of the theoretical essentials of its anticipated addressing, 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 by the Dean, where the study programme is run 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 degree thesis.
- (4) It shall only be an expert 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 PhD student who may serve as the second reader of the assignment in writing for the dissertation examination. The dissertation examination shall comprise the part consisting in the debate on the assignment in writing for the dissertation examination and the part in which the PhD student is to demonstrate their theoretical knowledge in the specified subjects for the dissertation examination.
- (5) The dissertation examination shall be held before the Board consisting of at least four members. It shall consist of the Chairperson, the PhD student's supervisor, a further member from the workplace outside the University (or outside the Faculty, if the PhD study programme is run at the Faculty), at which the PhD student is engaged, and the reviewer of the PhD student's assignment in writing for the dissertation examination. The Chairperson and other members of the Board of Examiners shall be appointed by the Rector or by the Dean, where the study programme is run 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 degree I 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 dissertation 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, where the study programme is run at the Faculty, shall issue a certificate in writing to the PhD student on passing and the outcome of the dissertation examination.
- (10) Should the PhD student fail to sit for the dissertation 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 statement of "failed".

- (11) The PhD student, who failed at the examination, shall only be allowed to re-sit for 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 failed. The assessment of "failed" at the re-sit dissertation examination shall be the reason for the exclusion from the PhD study.

PART THREE PhD DISSERTATION THESIS

Article 8 Application for the Permit to PhD Thesis Defence

- (1) The PhD student may submit an application for the permit to defend their PhD degree thesis to the competent Unit of the Rector's Office or of the Dean's Office where the study programme is run at the Faculty, provided they have been awarded 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 admittance of the thesis for defence. The application form shall be filed not later than 3 months before the completion of their PhD study.
 - (2) The PhD student shall attach the following with their application form:
 - a) the PhD degree thesis in four copies;
 - b) the list of the works published with complete bibliographical data and unpublished research papers of the PhD student including the responses to these, and eventually the reviews of them drawn up by the relevant institutions from the field of science/scholarship or technology;
 - c) justification of any differences between the original and the submitted PhD degree thesis, if the PhD student submits a new PhD degree thesis after its previous unsuccessful defence;
 - d) their curriculum vitae;
 - e) the synopsis.
 - (3) The synopsis of the PhD degree thesis shall contain 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 of the A 5 format shall be submitted in the Slovak language in the following structure: an introduction, a brief overview of the issues, propositions of the PhD degree thesis, chosen methods of elaborating the issues, the 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 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 form, the PhD student shall send their PhD degree thesis to the originality check in the Central Register of the Final Degree Theses (CRZP) and sign the licensing agreement. The supervising workplace shall submit the result of the originality check to the relevant PhD study section as part of the
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documentation for the defence procedure. The procedure of listing the PhD degree thesis and its publication in the CRZP, as well as any details of the licensing agreement, shall be governed by a separate regulation¹². The University or the Faculty, where the study programme is run at the Faculty, shall arrange sending the degree thesis reviews in the CRZP¹².

Article 9 Particulars of the PhD Thesis

- (1) The PhD student shall submit the PhD degree thesis for defence in the Slovak language. With the consent of the Rector or the Dean, where the study programme is run at the Faculty, they may submit the PhD degree thesis in a language other than the Slovak language.
- (2) The PhD student may submit as PhD degree thesis their own published work or a set of their own published works, which in their content elaborate the issues of the PhD degree 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 art in the issues addressed, the objectives of the PhD degree thesis, and the conclusions which have arisen by addressing the topic of the PhD degree thesis. If the publications annexed are 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 degree thesis shall, as a matter of rule, contain a 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 research and 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 degree 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 places it in the context of the outcomes of other members of the team in the debate.
- (5) The scope of the PhD degree thesis is identified in a special rule¹².

Article 10 Preparation for the PhD Degree Thesis Defence

- (1) After the admittance of the application for the permit to defend the PhD degree thesis, the competent unit of the Rector's Office or the Dean's Office, where the study programme is run 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, where the study programme is run at the Faculty, who shall forward them the PhD student's degree thesis and the synopsis with a request to elaborate a review.

¹² Rector's Directive No. 1/2011 on the essential details of the final degree theses, doctoral and habilitation theses, their publication and accessibility during their keeping and the originality check at the UPJŠ

- (3) The second reader shall within four weeks after receiving the PhD degree thesis at the latest forward to the Chairperson of the Branch Board or shall notify the Chairperson of the Branch Board of their inability to draw up the review within 1 week at the latest. If the second reader fails to deliver the review of the PhD degree thesis within the given deadline, and fails to do so within 10 days after the receipt of the reminder, the Rector or Dean, where the study programme is run at the Faculty, shall appoint another second reader on the motion of the Chairperson of the Branch Board.
- (4) After receiving all the reviews from the second readers, the Chairperson of the Branch Board shall without delay propose to the Rector or the Dean, where the study programme is run at the Faculty, the Chairperson and at least three other members of the Board for the defence of the PhD degree thesis, plus the time and place of the PhD degree 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 term 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, where the study programme is run at the Faculty, shall without delay invite the members of the Board for the defence in writing within the meaning of the provisions of Article 1(7), the supervisor and the PhD student. Any of the former two shall publish a notice of its taking place on the website of the University or the Faculty, where the study programme is run at the Faculty, as well as the information on where and how the interested parties may familiarize themselves with the PhD degree thesis and its synopsis.
- (6) Anyone interested in the addressed set of issues and the PhD degree 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. In the defence of the PhD degree thesis, the PhD student shall express their opinion on such reviews or comments.

Article 11

Second Readers of the PhD Thesis and Their Reviews

- (1) The Rector or the Dean, where the study programme is run at the Faculty, on the motion of the Branch Board Chairperson shall appoint the second readers, which motion may be based on the proposal of the supervisor. The second readers shall be chosen from among the experts in the relevant field or specialization of the PhD study branch, at least one of the second readers shall not be an employee of UPJŠ. If the study programme is run at the Faculty, a maximum of one second reader from another supervising workplace of the relevant Faculty of another Faculty of UPJŠ may be appointed.
- (2) The PhD degree 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 hold a position of Professor, or hold the scientific/scholarly-pedagogical degree of Doctor of Sciences, or a research staff with the recognised 1st level qualifications. The remaining second readers may be holders of the scientific/scholarly -pedagogical degree of Associate 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, their direct superior or subordinate in employment or in 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 pieces of knowledge the PhD degree thesis contains;
 - d) contribution to the further development of the science or technology;
 - e) whether the PhD degree thesis has met the objective pursued.
- (5) The second reader shall review the PhD degree thesis according to state of the art in the area at the time the PhD student filed the application form for the permit of its defence. The second reader's review shall contain in the conclusion a clear statement by the second reader, whether on the basis of the submitted thesis they propose awarding the academic degree of PhD. Without that statement, the second reader's review may not be deemed 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, where the study programme is run 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.

Article 12

PhD Degree Thesis Defence

- (1) The PhD degree thesis defence is subject to the state examination and shall be passed no later than on 31st August in the last academic year of the standard duration of study. Defending the PhD degree thesis beyond the standard duration of time shall take place no later than two years from the end of the standard duration of study, and shall take place no later than on 31st August of the second year of their standard duration of the study. In such a case, the PhD student in their full-time form of their PhD study does not receive a scholarship, continues to perform the tasks at the supervising workplace and pays tuition fees for the extended duration of their study.
- (2) The Chairperson and other members of the Board for the Defence of the dissertation thesis shall be appointed by the Rector or the Dean, where the study programme is run at the Faculty. The Board Chairperson and its 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 having the right to vote. In a single day, no more than four defence procedures may be held before the same Board.
- (3) The University or the Faculty, where the study programme is run 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 degree thesis shall be public, in exceptional cases, when its public debate would jeopardize the secrecy protected by a special law or safety, the Rector or the Dean, where the study programme is run at the Faculty, may declare it non-public.
- (5) The PhD degree 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 degree thesis. During the defence of the PhD degree thesis, validity and reliability of its conclusions and proposals that the PhD degree thesis contains shall be examined.
- (6) The defence may only take place in the presence of at least four members of the Board for the Defence who are eligible to vote, and at least one or two second readers, where

the number of the second readers has been established on three of them. Where the second reader cannot for serious reasons attend the defence and their review is positive, the defence may take place 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 out loud at the defence in its full version.

- (7) If the PhD student cannot participate in the defence at the specified date for serious reasons, they shall apologize their absence in advance to the Rector or the Dean, where the study programme takes place at the Faculty, and to the Chairperson of the Board for the Defence. The Rector or the Dean, where the study programme is run 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 its parties under Article 10 paragraph 5 hereof.
- (8) The defence shall be 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. 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 degree thesis shall be as follows:
 - a) the Chairperson shall open the defence; they shall announce the PhD degree thesis topic, read a brief biography of the PhD student, the 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 degree thesis, its results and contribution;
 - c) the second readers shall present the essential content of their reviews; the Chairperson or another member of the Board designated by the Chairperson shall read out loud the absent second reader's review in full;
 - d) the PhD student shall deliver their opinion on the second readers' reviews, giving their opinion on all the objections and comments, and shall answer their questions;
 - e) the Chairperson shall inform the persons present with the remaining reviews and statements, and shall open the debate, which shall be open 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 degree 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 their 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 private session, including the possibility of applying the outcomes of the PhD degree thesis in practice. The Board and the second readers shall decide in a secret ballot on whether to propose awarding 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 vouchers, which shall contain the following particulars: the PhD student's name and surname, the date and place of the defence, and the following text "I agree with awarding the academic degree – I disagree with awarding the academic degree". The members of the Board shall vote by deleting the text they do not agree with ("Delete what is inapplicable"). No other way of the vote shall be valid.

- (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 to file a motion for awarding the academic degree, and that the majority of the attending members vote in favour of the proposal for awarding the academic degree.
- (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, to whom the Board proposed not to award the academic degree on the basis of the outcome of the defence of the PhD degree thesis, or for the former's failure to appear at the defence, may request for the permission of the defence to take place in the same study programme after the expiry of one year at the earliest from the date on which the defence of their degree thesis took place or should have taken place. The PhD degree thesis defence may only be repeated once, no later than two years from the end of the standard duration of study.

Article 13

Deciding on Awarding the Academic Degree

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

¹³ Section 54 par.15 of Law Act No. 131/2002 Book of Statutes

Article 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 of the PhD student are made by doing so.
- (2) The PhD student may apply for the change with the Rector or the Dean, where the study programme is run at Faculty, within the meaning of Article 14(1) of these Rules of Procedure.
- (3) The Rector or the Dean, where the study programme is run at Faculty, shall decide on the change in the study programme pursuant to Article 14(1) on the basis of the PhD student's application and following an 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.

Article 15
Suspension and Termination of the PhD Study

- (1) Suspension and termination of the PhD study is subject to the provisions of Law Act No. 131/2002 Bok of Statutes and for the suspension of the study, the provisions of Article 19 of the UPJŠ Study Rules of Procedure shall mutatis mutandis apply. The full-time student may suspend the study (even repeatedly) for a total duration of up to two years. The application of the PhD student for the suspension of the study shall be accompanied by their supervisor's opinion.
- (2) The PhD study in its standard duration shall be terminated not later than at the end of the standard duration of the PhD study by the defence of the PhD degree thesis within the meaning of the provision of Article 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 degree thesis pursuant to provisions of Article 12(1).

PART FOUR
OTHER PROVISIONS

Article 16
**Tuition Fees and Fees Associated with the PhD Study,
the Above-standard Duration of the Study**

- (1) Students in their full-time form of the PhD study programmes shall only pay tuition fees in case they exceed the standard duration of study.
- (2) The PhD student in their full-time form of the PhD study programme shall enjoy the rights and obligations of a student, they shall remain working in their supervising workplace, and continue in performing their duties of full-time PhD student, including their teaching commitments.

- (3) The above-standard duration of the study may last for up to two academic years, specifically until 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 LAHE¹⁴, the 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 LAHE¹⁵ and the regulations of the University.

Article 17

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

- (1) The supervising workplaces at the University and the Faculties shall create for the PhD student the working conditions so as they are able 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 full-time form of the 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 of 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 the tasks for UPJS 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 of the above cases, the PhD student shall then be qualified for the application of travel expenses compensation in accordance with Law Act No. 283/2002 Coll. on Travel Compensations, as amended.
- (4) The PhD student their full-time form of study shall be required to report any personal change (in their family status, address of their residence, change of the health insurance agency/company) within 7 days at the latest in the PhD Study Department of the University or the Faculty, where the study programme is run at the Faculty.
- (5) The PhD student in their full-time form of study shall undergo a safety at work and health protection training ("BOZP"). The training shall be provided by the University in cooperation with the Sections of PhD study at the Faculties, where the study is run at the Faculty. A record shall be made of the training passed, which shall be filed in the PhD student's personal file.

Article 18

Transitional and Final Provisions

- (1) The PhD Study Rules of Procedure at UPJŠ of 22nd June 2005 shall be deemed cancelled as of the date of effectiveness of these PhD Study Rules of Procedure.

¹⁴ Section 92 of Law Act No. 131/2002 Book of Statutes

¹⁵ Section 92 par..9 of Law Act No. 131/2002 Book of Statutes

- (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 SR and 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 of Procedure shall be governed mutatis mutandis by the provisions of the Study Rules of Procedure at UPJŠ.
- (5) The rights and obligations of the PhD students, who were admitted for the study before the entry into force of these Rules of Procedure, shall be governed by these Rules of Procedure as of the date of their becoming effective. Admission to the PhD study, shall, however, be governed by the PhD Study Rules of Procedure at UPJŠ of 22nd June 2005.
- (6) On the basis of these PhD Study Rules of Procedure at Pavol Jozef Šafárik University in Košice individual UPJŠ Faculties may 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.
- (7) Supplement No. 1 entered into force on 25th April 2013.
- (8) Provisions of Article 4 (4) (d), (e) of Amendment No. 1 shall apply to the University students and its Faculties admitted to the study in the 2013/2014 academic year. The study of the students who had become students prior to the date of effectiveness of stipulation of Article 4(4), (d), (e) of the Amendment shall be governed by the current PhD Study Rules of Procedure.

In Košice on 16th December 2011

Assoc. Prof. JUDr. Imrich Kanárik, CSc., m.p.
the UPJŠ AS Chairperson

Prof. MUDr. Ladislav Mirossay, DrSc., m.p.
UPJŠ Rector