

## ORGANIZATION OF DOCTORAL STUDIES AT FSV UK

<b>DIRECTIVE S_SO_009</b>		
Version: 001		
Issued by Dean's Measure: 21/2023		
Date of issuance: 03. 10. 2023	In effect from: 3. 10. 2023	Validity: Indefinite period of time
<b>Related regulations and documents:</b> Statutes of FSV UK Study and Examination Regulations of Charles University Rules for organization of studies at FSV UK S_SO_010 Centre for Doctoral Studies at FSV UK OR 19/2018 as amended by 5/2020 Doctoral Study Handbook OR 13/2019 as amended by OR 22/2022 Standards of Study Programmes Implemented at Charles University		
<b>Repealed regulations:</b> OD 5/2021 Organization of Doctoral Studies at FSV UK OD 22/2021 Amendment of Dean's Provision no. 5/2021 Organization of Doctoral Studies at FSV UK		
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<b>Appendices:</b>		
<b>Brief summary of the regulation:</b> Directive specifies the form and organization of doctoral studies at FSV UK.		
<b>Discussed with AS FSV UK:</b> Not requested	<b>Approved by AS FSV UK:</b> Not requested	<b>Discussed with trade unions:</b> Not requested
<b>Discussion with or approval by another body:</b> Not requested		
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### Part I – Information about the Regulation

#### 1. Reasons for and Explanation of the Changes

Content of the change	Point
Transformation of the regulation into a directive	

Harmonization of the regulation with OR 13/2019 as amended by OR 22/2022, in particular with Article 14 regulating the necessity of appointing non-habilitated supervisors by the Scientific Council and the composition of the subject boards	Art. 4, 7
Simplifying the procedure for recording internships	Point 6.2
Changes in the procedure for administering state doctoral examinations and defences resulting from the new modification of the SIS, allowing for an even greater level of computerization of SDEs and defences than before.	Art. 8, 9

## 2. Purpose and Scope of the Measure

This measure issues a new Directive - Organization of Doctoral Studies at the Faculty of Social Sciences of Charles University, which draws on the Study and Examination Regulations of Charles University (hereinafter referred to as the "SER" and "University"), the Rules for the Organization of Studies at the Faculty of Social Sciences of Charles University, as amended (hereinafter referred to as the "Rules" and "Faculty") and the Rector's Measures 19/2018 and 5/2020 Doctoral Study Handbook.

### Part II – Basic Terms

## 3. Definition of Terms

- 3.1. An applicant for study becomes a **student** on the date of enrolment. Enrolment takes place at the faculty that implements the respective study programme within the time limit set by the Dean of that faculty. A person whose studies have been interrupted becomes a student on the date of re-enrolment. A person ceases to be a student on the date of termination of studies in accordance with § 55 para 1 and § 56 paras 1 and 2 or interruption of studies in accordance with § 54 of Act No. 111/1998 Coll., Act on Universities and on Amendments and Supplementations to Other Acts (the Act on Universities).
- 3.2. **A study programme** is a comprehensive plan of education in a specific field of study. The type of university education activity is determined by the type of implemented accredited study programmes. The types of study programmes are as follows: bachelor's, master's, and doctoral. The study programme is specified and implemented by the study plans.
- 3.3. **The Centre for Doctoral Studies** of the institute is the coordinating centre for doctoral studies, whose purpose is to support selected doctoral students in their progress towards their future academic careers.
- 3.4. **The study plan** specifies the timeframe and content sequence of study subjects, the form of their study and the method of verification of study results.

### Part III – Role in the Organization of Doctoral Studies at FSV UK

## 4. Subject Board of the Doctoral Study Programme

- 4.1. The studies in the doctoral study programme are followed and evaluated by the subject board. The subject board in the doctoral study program has at least five members. At least two-thirds of the members of the subject board must be associate professors or professors, or persons who have achieved comparable status abroad. At least one-quarter of the members of the subject

board must not be employed by the university at the respective faculty or faculties involved, and at least one must not be employed by the university. Members of the subject board of the doctoral study programme may be only those who, within the last 5 years, have carried out creative activities corresponding to the field or fields of education within which the doctoral study programme is to be implemented. The guarantor of the doctoral study programme is the chairperson of the relevant subject board. The members of the subject board are appointed and dismissed by the Rector at the proposal of the Dean of the Faculty, following the statement by its scientific board.

- 4.2. The subject board reaches a quorum if at least half of its members are present at its meeting.
- 4.3. The proposal considered by the subject board is deemed approved if it has reached the approval of the majority of the members of the subject board present at the meeting.
- 4.4. The subject board may vote on the study matters per rollam. At least half of all members of the subject board must take part in the vote. A voting record must always be taken of the vote.
  - 4.4.1. The announcement of the vote, the text of the proposal and the voting form will be sent out by the chairperson of the subject board to the members of the subject board through a closed electronic conference. The notice will state the deadline for assessment and voting, which may not be shorter than one week following the act of sending.
  - 4.4.2. A proposal considered per rollam is deemed to have been approved if the majority of all members of the subject board approve it.
  - 4.4.3. The record of per rollam voting is approved by the subject board at its next ordinary meeting. A part of the per rollam voting record is the list of members of the subject board, indicating how each of them has voted.

## **5. Supervisor**

- 5.1. The supervisor is responsible for the quality of the doctoral project (topic) and for the professional guidance of the student. Only the following can become supervisors: associate professors and professors or other experts with a scientific degree and creative activity that corresponds to the content of the dissertation thesis; they are approved by the respective scientific council of the faculty. The supervisor may also be a person other than an employee of Charles University, provided that an agreement is concluded between Charles University or the respective faculty and the specific supervisor or workplace. The advisor is appointed and dismissed by the Dean of the Faculty upon the proposal of the subject board.

## **Part IV – Organization of Doctoral Studies at FSV UK**

### **6. Individual Study Plan**

- 6.1. The study of doctoral study programmes is conducted according to an individual study plan (hereinafter referred to as ISP), which must be compiled in accordance with the study plan defined by the accreditation of a given study programme. The content of the ISP is in particular a plan for the preparation of a dissertation thesis, the outline of study obligations, scientific, research or other creative obligations, as well as planned or recommended study stays abroad or other internships or pedagogical activities. The ISP includes a timetable for fulfilling individual obligations. The student is responsible for the preparation of the individual study plan. The first-

year student is obliged to submit an individual study plan through the Study Information System for approval by the supervisor. Should s/he fail to do so by November 15 of the academic year in which s/he enrolled as a 1st-year student, his or her study will be terminated. The ISP is approved by the subject board of a corresponding doctoral study programme. The subject board will discuss the ISP by 15 January of the current academic year at the latest. Having been approved, the individual study plan becomes binding for the student. The student services office will print the approved ISP and place it in the student's file.

- 6.2. Students who are leaving for a study stay abroad within their studies are obliged to enter information about the study stay in the module of Internships in the Study Information System (hereinafter referred to as SIS).
- 6.3. Not later than before the beginning of each academic year and as part of the annual assessment in SIS, the student higher than of the first year of study will submit the specified study activities for the upcoming academic year through his or her supervisor to the subject board or will propose any changes to the ISP. Any changes to ISP that have been approved by the subject board are entered in the Supplement to the individual study plan.

## 7. Course and Assessment of Studies

- 7.1. The fulfilment of the individual study plan is subject to a regular, but not longer than a yearly assessment, which is presented by the supervisor together with a proper justification and is subsequently discussed and approved by the subject board. The basis for the assessment of the individual study plan is prepared in detail by the student in SIS. The assessment contains information on the progress of the preparation of a dissertation thesis, publication outputs of a doctoral student, completed subjects including grading, completed coursework, study stays, grant research and other study obligations. The supervisor will then check all the records and write an assessment of doctoral student's studies. In addition to the word assessment, s/he will mark one of the variants of assessment:
  - a) has fulfilled his/her individual study plan,
  - b) has not fulfilled some obligations from his/her individual study plan,
  - c) has not fulfilled obligations according to his/her individual study plan.
- 7.2. S/he will then forward the assessment via SIS to the subject board. It will discuss and approve the assessments through voting.
- 7.3. If, for reasons of special consideration and through no fault of his/her own, the student has failed to completely fulfil the individual study plan, it applies that the student has fulfilled the individual study plan. If the fulfilment of the obligations according to the individual study plan has been prevented by serious circumstances which occurred without the fault of the student, s/he may not be assessed in accordance with letter c).
- 7.4. If the student's assessment is in accordance with letter b), the subject board will determine how to correct the deficiencies and will specify the deadline; these attributes are considered to be part of the ISP. The subject board may in case of the assessment in accordance with letter b) decide to reduce the doctoral scholarship by up to 50%.
- 7.5. If the student's assessment is in accordance with letter c), the studies are terminated due to failure to meet the requirements related to the study programme.

- 7.6. After the interruption of studies, an extraordinary assessment of studies will be carried out by the subject board whenever the annual evaluation deadline is more than 3 months away.

## 8. State Doctoral Examination

- 8.1. The student applies for the state doctoral examination (hereinafter only "SDE) at least one month before the start of the period stipulated for the state doctoral examinations according to the academic calendar. The student always signs up for a specific date of the state doctoral examination announced for the given academic year.
- 8.2. Once the student has fulfilled all the requirements for taking the state doctoral examination, his/her supervisor will record this in SIS in the module of Individual Study Plan of Ph.D. Students. If the student does not fulfil the conditions for taking SDE one month at the latest before the start of the period stipulated for the state doctoral examinations according to the academic calendar, s/he cannot participate in SDE.
- 8.3. If the student fails to complete his/her state doctoral examination successfully by the end of the 4th year of his/her studies, this is the reason for the proposal for termination of his/her studies due to the failure to fulfil the obligations of the ISP.
- 8.4. The Dean of the Faculty appoints the chairperson and the examining committee from the ranks of professors, associate professors, and experts. Experts must be approved by the scientific council of the faculty as the examiners for the state doctoral examination. At least one member of the committee may not be a member of the academic community of the faculty. The number of members of the examining committee present in the state doctoral examinations may not be less than three. The committee decides on the outcome of the SDE in a closed session after a discussion by voting in the form of a raised hand. If any member of the committee presents such a request, voting is conducted in secret, using voting ballots. The present members of the committee may not abstain from voting. The voting is supervised by the chairperson of the examining committee. The committee decides by a simple majority vote. In case of a tie, the student is evaluated with the grading more favourable to him/her.

## 9. State Doctoral Examination – Administrative Procedure

D = the day of SDE

D- dates prior to SDE

D+ dates following SDE

No later than 30 days before the beginning of the period for holding SDE according to the academic calendar	The student registers for the state doctoral examination in SIS. The supervisor records in SIS in the module Individual Study Plan of Ph.D. Students the fulfilment of the conditions for admission to SDE.
D- 21 days	The subject board will stipulate the dates for SDE within the period stipulated by the academic calendar. The institute will send the following to the Student Services Office: <ul style="list-style-type: none"> <li>● Proposal for the appointment of a committee with the exact date and location of SDE and the names of the students who will</li> </ul>

	attend SDE (to be submitted to the Dean of FSV UK by the chairperson of the subject board)
	<ul style="list-style-type: none"> <li>● Schedule of examination time for individual students</li> </ul>
D- 14 days	The Student Services Office will announce in the public part of the faculty's website information about SDE, including the name of the study programme, date, time, and location of SDE
D- 14 days	The Student Services Office sends an official invitation to the committee members and individual students
D- 1 week	The Student Services Office will post in SIS all the documents needed for SDE and will notify the institute
D	<p>The institute fills in the Record of the State Doctoral Examination and the Voting Protocol in SIS.</p> <ul style="list-style-type: none"> <li>● The record contains the wording of the questions</li> <li>● The committee decides by a simple majority vote. In case of a tie, the student is evaluated with the grading more favourable to him/her</li> <li>● The result of the examination needs to be entered – passed/failed</li> </ul> <p>The Record of SDE and the Voting Protocol signed by the chairperson and at least one other member of the committee are sent by the institute to the student services office together with the voting ballots, if used.</p>
D + 1 week	<p>The Student Services Office will enter into the files of individual students:</p> <ul style="list-style-type: none"> <li>● Copy of the approval of appointment of the examining committee by the Dean of FSV</li> <li>● Original copy of the Record of SDE and the Voting Protocol</li> <li>● Voting ballots (if used)</li> </ul>

## 10. Defence of Dissertation Thesis

10.1. The defence of the dissertation thesis is held before the examination committee for the defence of the dissertation thesis. The committee is appointed by the Dean from the ranks of the professors, associate professors, and experts. The expert members must be approved by the scientific council of the faculty as members of the committees for the defence of dissertation theses. At least one member of the committee may not be a member of the academic community of the faculty. The function of the chairperson of the examining committee is incompatible with the function of supervisor, consultant, and external reviewer, but these may be other members of the committee. The number of members of the examining committee present in the defence of the dissertation thesis may not be less than three. External reviewers

of the dissertation thesis are usually associate professors, professors or important specialists in the given field with a Ph.D. or CSc. scientific degree.

- 10.2. The committee decides on the outcome of the defence of the dissertation thesis in a closed session after a discussion by voting in the form of a raised hand. If any member of the committee presents such a request, voting is conducted in secret, using voting ballots. The present members of the committee may not abstain from voting. The voting is supervised by the chairperson of the examining committee. The committee decides by a simple majority vote. In case of a tie, the student is evaluated with the grading more favourable to him/her.
- 10.3. If the committee for the defence of dissertation thesis assesses the grading as "failed", it shall determine whether it is necessary to rewrite or supplement the thesis; a repeated defence is possible in six months at the earliest following the failed defence.

## 11. Defence of Dissertation Thesis – Administrative Procedure

- 11.1. The Student Services Office will ensure the finalisation and publication of the dissertation thesis, the external reviewers' reports, and the results of the defence proceedings in SIS

D = the day of defence

D- dates prior to defence

D+ dates following defence

	<p>The supervisor records in SIS in the module Individual Study Plan of Ph.D. Students the fulfilment of all conditions for proceeding to the defence.</p> <p>The student submits an Application for the defence of the dissertation thesis to the Student Services Office along with:</p> <ul style="list-style-type: none"> <li>• 2 exemplars of the dissertation thesis in hardcover or ring binding, both exemplars may be in ring binding</li> <li>• 2 printed exemplars of propositions (in the range of 15-20 pages), the student will also send them electronically to the respective staff of Student Services Office</li> <li>• At the same time, the student will upload the dissertation thesis to the SIS.</li> </ul>
D- 60-40 days	<p>The subject board will discuss the proposal of the committee and set the date for the defence of the dissertation thesis (possible by per rollam voting).</p> <ul style="list-style-type: none"> <li>• A proposal for the appointment of a committee for the defence of dissertation thesis is submitted to the Dean of FSV UK by the chairperson of the subject board.</li> </ul> <p>A committee for the defence of dissertation thesis assigns at least two external reviewers of the thesis (three at the IES). The external reviewers are subsequently confirmed by the Dean of the Faculty.</p>

D- 40 days	<p>The Administrator (Centre for Doctoral Studies or a staff member of the institute responsible for administering doctoral studies) will arrange a reservation of the room for the defence.</p> <p>The administrator will provide a person who, in the course of the defence, will make a Record of the course of the defence.</p> <p>The administrator will send a request to the external reviewers for their reports together with the thesis in PDF format.</p> <p>External reviewers receive the relevant dissertation thesis no later than 40 days before the defence takes place. If an external reviewer wishes to see the thesis in its physical form, the administrator will send the request together with contact details to the Student Services Office.</p> <p>At the same time, the administrator sends an invitation to the external reviewers to the defence of the dissertation thesis.</p>
D- 21 day	<p>The Student Services Office will electronically submit the propositions of the dissertation thesis to the members of the committee.</p> <p>The Student Services Office sends an official invitation to the defence to the committee members and a student.</p>
D- 14 days	<p>The Student Services Office will post in the public part of the faculty's website information on the defence of the dissertation thesis. The information contains the name of the study programme, name of the doctoral student, title of the defended thesis, date, time, and place of the defence.</p>
D- 10 days	<p>External reviewers are required to submit their signed reports no later than 10 days before the defence to the institute. External reviewers will produce their reports to the extent of a minimum of 2 standard pages. The reports must be an evaluation of the dissertation thesis (not only a description of its content), and at the end of the report the external reviewer will specify whether the submitted dissertation thesis complies with the content and formal requirements placed on this type of theses and will explicitly state whether s/he recommends it for the defence or not. The institute (administrator) will send the external reviewers' reports to the student.</p>
D- 1 week	<p>The Student Services Office will prepare all the documents necessary for the defence in SIS and will notify the administrator.</p>
D	<p>In the course of the defence, the administrator or another authorized person fills in the Record of the course of the defence.</p> <p>Defence of the dissertation thesis is public.</p> <p>The defence of the dissertation thesis is evaluated as "passed" – "failed".</p> <p>Only members of the committee can vote. Advisors, consultants, and external reviewers vote only if they are members of the committee.</p> <p>The Voting Protocol is filled in. The outcome of the defence will be added to the Record of the course of the defence - "passed" - "failed". The Record of the course of the defence and the Voting Protocol are signed by the chairperson and at least one other member of the committee.</p>



D+ 1	<p>The institute will send to the Student Services Office (an original copy):</p> <ul style="list-style-type: none"> <li>● Record of the course of the defence of dissertation thesis</li> <li>● Voting Protocol</li> <li>● Voting ballots (if used)</li> <li>● Signed external reviewers' reports, unless already signed and delivered to the Student Services Office</li> </ul>
D+1 week	<p>The Student Services Office will enter into the student's file</p> <ul style="list-style-type: none"> <li>● Application for defence</li> <li>● Copy of the approval of the appointment of the committee by the Dean of FSV</li> <li>● Appointment of the opponents of the thesis confirmed by the Dean of FSV</li> <li>● Completed and signed Record of the course of the defence of dissertation thesis</li> <li>● Completed and signed Voting Protocol</li> <li>● Voting ballots (if used)</li> <li>● Signed external reviewers' reports.</li> </ul>