

Regulation of Proceedings on granting the PhD degree at IPPT PAN

adopted based on a Resolution of the IPPT PAN Scientific Council on 25 June 2020
with modifications introduced by the IPPT PAN Scientific Council on 1 July 2021,
4 November 2021 and 30 November 2023

This Regulation specifies the detailed procedure of activities in proceedings of granting the PhD degree at the Institute of Fundamental Technological Research of the Polish Academy of Sciences.

§ 1 Definitions

For the needs of this Regulation the following definitions shall apply:

- a) **IPPT PAN** - Institute of Fundamental Technological Research of the Polish Academy of Sciences,
- b) **Council** – IPPT PAN Scientific Council
- c) **Act** - Act of 20 July 2018, “law of higher education and sciences” (uniform text J. of Laws of 2018 item 1668 with amendments).
- d) **POL-on System** - Integrated Information System on Higher Education and Sciences mentioned in art. 342. of the Act,
- e) **BIP** - Public Information Bulletin maintained by IPPT PAN on its Internet website,
- f) **Proceedings** – proceedings concerning awarding the PhD degree conducted by the Council pursuant to the Act,
- g) **Candidate** – person applying for the PhD degree,
- h) **IPPT PAN** – student or graduate of the PhD Studies at IPPT PAN or the PhD School conducted or co-conducted by IPPT PAN,
- i) **PhD Commission** – an interim commission appointed by the Council and monitoring the progress in preparing the PhD dissertation and doing the activities in the Proceedings, pursuant to art. 192 sec. 1 of the Act.

§ 2 Preparing a PhD dissertation

1. The candidate prepares a PhD dissertation under the scientific supervision of a supervisor(s) or a supervisor and an auxiliary supervisor.
2. In the event of candidates preparing a PhD dissertation under the training in the PhD school, the persons who provide academic supervision mentioned in sec. 1 are appointed by the PhD School whereas the method of appointing them and the changes are specified by the regulation of the PhD School. Besides, the PhD School appoints the scientific discipline in which the dissertation is prepared whereas the method of appointing it and the changes are specified by the regulation of the PhD School.

3. The candidates not enumerated in sec. 2 submit a motion for the appointment of a supervisor or - in case of an interdisciplinary subject - supervisor(s) or an auxiliary supervisor to the IPPT PAN director. The motion should contain a proposed subject of the PhD dissertation, the field of science and the scientific discipline under which the dissertation will be prepared. The motion shall be accompanied by the statements of a person or persons mentioned in the motion on granting a consent for the scientific supervision for the candidate and that there are no circumstances specified in art. 190 sec. 6 of the Act.
4. IPPT PAN Director, having acquainted with the motion mentioned in sec. 3, sends it to the Council Office. The Council Office sends a motion to the permanent commission of the Council for scientific discipline specified in the motion.
5. Permanent Commission:
 - a) evaluates whether the subject of the dissertation covers the scientific discipline indicated in the motion and whether it is in accordance with the research directions practiced at IPPT PAN; in case of an interdisciplinary subject the Permanent Commission may decide to add members for further activities and decisions concerning the reviewed motion,
 - b) listens to the presentation of the Candidate's research plans and achievements gained so far and connected with the PhD dissertation, presented in the open part of the Commission meeting under the IPPT PAN seminar in the presence of the person or persons indicated in the motion for the role of the supervisor,
 - c) decides in a secret ballot to recommend the appointment of indicated person(s) to be a supervisor(s) or a supervisor and an auxiliary supervisor, or the refusal of appointment,
 - d) in case of a positive recommendation, it presents to the Council the composition of a PhD Commission mentioned in sec. 8.
6. The speech of a Permanent Commission at the seating of the Council in matters mentioned in sec. 5 is presented according to the scheme specified in Appendix 1.
7. The Council, on the motion of the Permanent Commission, adopts a resolution on the appointment or the refusal of appointment of a supervisor(s) or a supervisor and an auxiliary supervisor. The resolution on the appointment of a supervisor(s) or a supervisor and an auxiliary supervisor expires after the lapse of 4 years as of its adoption. In reasonable cases the Council may decide to extend the above mentioned period.
8. After assigning a supervisor(s) or a supervisor and an auxiliary supervisor for the candidates mentioned in sec. 3, the Council appoints a PhD Commission, which shall monitor the candidate's progress in preparing the dissertation. The commission is composed of at least 5 persons, who have the degree of "doktor habilitowany" or "profesor", who represent the scientific discipline indicated in the motion or a related discipline, out of which more than a half must be the members of the Council and more than a half must represent the scientific discipline indicated in the motion. The Council chooses a chairman and vice chairman out of the members of the Commission.
9. In case of candidates preparing a PhD dissertation under the education at PhD studies, the motion mentioned in sec. 3 is also a motion to initiate the Proceedings and the resolution mentioned in sec. 7 is also a resolution on initiating the Proceedings for the Candidate.

10. Changing the supervisor or the auxiliary supervisor for Candidates not mentioned in sec. 2 and for Candidates mentioned in sec. 2 after initiation of the Proceedings occurs based on a the Candidates' justified request, accompanied by a statement or statements mentioned in sec. 3. The motion is proceeded in the way described in sec. 4 and 7.

§ 3 Motion to initiate the Proceedings and submission of a PhD dissertation

1. The Candidate, who prepared a completed PhD dissertation, submits a motion for the initiation of the Proceedings to the IPPT PAN Director.
2. If at the moment of a completion of the PhD dissertation, the proceedings concerning the Candidate were initiated, he or she submits a motion for the acceptance of a PhD dissertation.
3. The candidate, who submits the motion mentioned in sec. 1 or 2, should meet the following conditions:
 - a) having the professional degree: magister, magister inżynier or equivalent, or should have the diploma of a foreign university authorizing to apply for the PhD degree based on binding rules and regulations,
 - b) obtaining the effects of learning for the qualification on the 8th level of the Polish Qualification Framework defined in the superior regulations,
 - c) knowledge of at least one modern language on the level of fluency at least B2,
 - d) output in the scope of scientific publications determined in sec. 4.
4. The Candidate should be the author of at least one scientific article published in a journal which appears in the list of Journal Citation Reports.
5. Graduation of at least 3-year PhD school certified with a respective document is recognized as the fulfillment of the requirement specified in sec. 3 letter b). The Candidate, who is not a graduate of a PhD School, presents a paper, which shows obtaining the required qualifications specified in sec. 3 letter b), under the education obtained so far and the experience in professional work.
6. The requirement specified in sec. 3 letter c) is recognized as fulfilled, once the Candidate presents a certificate issued in accordance with binding rules and regulations. In case if there is no such a certificate, the exam of a modern language knowledge is carried out to verify this requirement.
7. The Candidate submits a motion mentioned in sec. 1 or 2 and specifies the field of science and a scientific discipline, in which he or she applies for the PhD degree. The following documentation should be attached to the motion:
 - a) short curriculum vitae with the description of education and professional or scientific career,
 - b) document confirming the appointment of supervisor(s) or a supervisor and an auxiliary supervisor by the PhD school or Council,
 - c) PhD dissertation in the electronic and printed version with the supervisor's or supervisors' positive opinion,
 - d) a summary of the dissertation in the Polish and the English language,

- e) a list of scientific publications with the indication of the Candidate's participation in every publication appearing in the report,
 - f) in case of a Candidate, who is not the IPPT PAN PhD student, an excerpt of a diploma confirming the title mentioned in sec. 3 letter a),
 - g) a statement or a paper mentioned in sec. 5,
 - h) the certificate mentioned in sec. 6 and if it does not exist - a motion for an exam checking the foreign language chosen by the Candidate,
 - i) in case of a Candidate not employed in IPPT PAN, who is not a IPPT PAN PhD student - a statement of readiness to cover the costs of Proceedings by the Candidate or another entity. Rules of payment for Proceedings are specified in a separate Council resolution.
8. If the Candidate, before submitting the motion mentioned in sec. 1 or 2, filed the motion mentioned in § 2 sec. 3, the fields of science and scientific disciplines indicated in both motions may not be different, whereas in case of differences in the subject of the PhD dissertation in relation to the motion mentioned in § 2 sec. 3, an explanation should be attached.
 9. IPPT PAN Director, having acquainted with the submitted documentation, sends the motion with a documentation to the Council Office.
 10. The Council Office checks the completeness of the motion and the attached documentation. In case if the documentation is not complete, the Council Office summons the Candidate to supplement the documents in the assigned time and the date of filing the motion is recognized as the date of filing a supplemented motion.
 11. The Council Office, based on the electronic version of the PhD dissertation attached to the motion, verifies the dissertation with a Uniform Anti-Plagiary System mentioned in art. 351. of the Act and the result of this verification is attached to the motion documentation.
 12. The Council passes the motion with the documentation to the proper commission, namely:
 - a) PhD Commission, appointed earlier by the Council based on this Regulation - if the Candidate prepared a PhD dissertation under a training in the PhD studies and filed a motion mentioned in sec. 2; then the acceptance of the dissertation is carried on in the way described in § 4a,
 - b) The PhD Commission, appointed earlier by the Council based on the IPPT PAN PhD School Regulation - in case if the Candidate prepared a PhD dissertation under the training in the IPPT PAN PhD School or based on this Regulation - in case if the Candidate prepared a PhD dissertation in the extramural mode; then the initiation of the Proceedings is carried out in the way described in § 4b,
 - c) The Permanent Commission for scientific discipline specified in the motion - in other cases; then the initiation of the Proceedings is carried on in the way described in § 4c.

§ 4a Accepting the dissertation in case if the Candidate prepared a PhD dissertation under the training at the PhD studies.

1. The PhD Commission, after an initial acquaintance with the motion documentation for the acceptance of the dissertation, evaluates if the Candidate fulfills the requirements specified in § 3 sec. 3–7.

2. PhD Commission:
 - a) initially evaluates the scientific value of the dissertation,
 - b) decides in an open ballot on applying to the Council with a motion for accepting or refusal of accepting the dissertation.
3. The speech of a PhD Commission at the seating of a Council in matters mentioned in sec. 2, presented according to the scheme specified in Appendix 1.
4. The Council, on the request of the PhD Commission, adopts a resolution concerning:
 - a) accepting the dissertation, or refusal of accepting if the Candidate does not fulfill the requirements specified in § 3 sec. 3–7,
 - b) entrusting to the PhD Commission all the activities in the Proceedings in accordance with Art. 192. sec. 1 of the Act.

§ 4b Initiating the Proceedings in case if the Candidate prepared a PhD dissertation under the training in the PhD School at IPPT PAN or in the extramural mode.

1. The PhD Commission, after an initial acquaintance with the motion documentation for the initiation of the Proceedings, evaluates if the Candidate fulfills the requirements specified in § 3 sec. 3–7.
2. PhD Commission:
 - a) listens to the Candidate's presentation devoted to the PhD dissertation, presented in the open part of the Commission meeting under the IPPT PAN seminar, in the presence of the supervisor(s) or a supervisor and an auxiliary supervisor,
 - b) initially evaluates the scientific value of the dissertation,
 - c) decides in a secret ballot on applying to the Council with recommendation to proceed the motion or on applying to the Council a motion to adopt a resolution refusing to initiate the Proceedings if the Candidate does not fulfill the requirements specified in § 3 sec. 3–7.
3. The speech of a PhD Commission at the seating of a Council in matters mentioned in sec. 2 letter b) and c), presented according to the scheme specified in Appendix 1.
4. The Council, on the request of the PhD Commission, adopts a resolution concerning:
 - a) refusal of initiation of the Proceedings if the Candidate does not fulfill the requirements specified in § 3 sec. 3–7,
 - b) a possible change or a supplementation of the PhD Commission, so that it fulfills the requirements specified in § 2 sec. 8,
 - c) entrusting to the PhD Commission all the activities in the Proceedings in accordance with Art. 192. sec. 1 of the Act.
5. If the Commission recommends further processing of the motion, it is not necessary for the Council to adopt a resolution.

§ 4c Initiating the Proceedings in case if no PhD Commission is appointed

1. The Permanent Commission, after an initial acquaintance with the documentation of the motion for the initiation of the Proceedings, evaluates if the Candidate fulfills the requirements specified in § 3 sec. 3–7 and if the subject of the dissertation is covered by the scientific discipline indicated in the motion and whether it is in accordance with the research directions practiced at IPPT PAN. In case of an interdisciplinary subject the Permanent Commission may decide about an interim extension of its composition with further activities and decisions concerning the motion under review.
2. The Permanent Commission:
 - a) listens to the Candidate's presentation devoted to the PhD dissertation, presented in the open part of the Commission meeting under the IPPT PAN seminar, in the presence of the supervisor(s) or a supervisor and an auxiliary supervisor,
 - b) initially evaluates the scientific value of the dissertation,
 - c) decides in a secret ballot on applying to the Council with recommendation to proceed the motion or on applying to the Council a motion to adopt a resolution refusing to initiate the Proceedings if the Candidate does not fulfill the requirements specified in § 3 sec. 3–7,
 - d) presents to the Council the composition of a PhD Commission mentioned in sec. 4. letter b).
3. The speech of the Permanent Commission at the seating of the Council in matters mentioned in sec. 2 letter b) and c), presented according to the scheme specified in Appendix 1.
4. The Council, on the request of the Permanent Commission, adopts a resolution concerning:
 - a) refusal of initiation of the Proceedings if the Candidate does not fulfill the requirements specified in § 3 sec. 3–7,
 - d) appointing the PhD Commission, in the composition, which fulfills the requirements specified in § 2 sec. 8, and entrusting activities in the Proceedings in accordance with Art. 192 sec. 1 of the Act.
5. If the Commission recommends further processing of the motion, it is not necessary for the Council to adopt a resolution.

§ 5 Appointing the reviewers and running exams

1. The PhD Commission proposes to the Council at least 5 candidates to be reviewers, chosen out of the persons with the degree of a “profesor” or “doktor habilitowany”, as well as foreign schools employees or scientific units employees, who do not meet the requirement, but who have considerable scientific achievements in the field connected with the dissertation. The scope of information provided in the presentation of the candidates for reviewers should be in accordance with the scheme in Appendix 2.
2. The following persons may not be reviewers:
 - a) IPPT PAN employee or a Council member,
 - b) employee of an institution employing the Candidate,

- c) employee of an entity running a PhD school, which the Candidate attends or graduated and if the PhD School is co-conducted by several entities - employee of the entity, to which the Candidate is assigned in the school.
3. The PhD Commission proposes to the Council:
 - a) the subject of the PhD exam in the scope of the scientific discipline, in which the PhD degree is to be granted,
 - b) the composition of the Examination Commission to conduct such an exam, including the chairman and at least three members with the title of a professor or the degree of doktor habilitowany. The supervisor(s) or a supervisor and an auxiliary supervisor may participate in the Examination Commission without the right to ask questions to the Candidate.
 4. If the Candidate did not attach a certificate mentioned in § 3 sec. 6. to the motion, the PhD Commission proposes to the Council to appoint an Examination Commission in the scope of a modern foreign language, chaired by the chairman of the Examination Commission mentioned in sec. 3 letter b. What is more, the Examination Commission is composed of a supervisor and a person teaching the language in the school, which should be indicated by the Council to the Examination Commission chairman.
 5. The Council, on the request of the PhD Commission, appoints 3 reviewers, who meet the requirements specified in sec. 1 and 2 and adopts resolutions in the scope of appointing the Examination Commissions mentioned in sec. 3 and 4. The reviewers become the PhD Commission members on the moment of its appointment.
 6. The reviews should contain a detailed and justified evaluation that the PhD dissertation meets the conditions specified in art. 187. of the Act. The reviews may contain motions concerning:
 - a) supplementation or adjustment of the PhD dissertation,
 - b) awarding a distinction for the PhD dissertation with a justification.
 7. In reasonable cases the review may be prepared in English.
 8. In the event described in sec. 6 letter a, the Council sends reviews to the Candidate and the supervisor(s), or to the supervisor and the auxiliary supervisor. The Candidate submits to the Council a supplemented or adjusted PhD dissertation, which is sent for another evaluation by the same reviewers.
 9. The dates of the exams mentioned in sec. 3 and 4 are established by the chairman of the Examination Commission. The exam mentioned in sec. 3 is evaluated based on the scale of grades specified in the Regulation of the IPPT PAN PhD School. The result of the exam mentioned in sec. 4 is the evaluation whether the Candidate proved the knowledge of the foreign language on the level of fluency at least B2.
 10. In case of an unsatisfactory evaluation of any of the exams, the Council, on the Candidate's request, may give a consent for a repetition of the exam, but not earlier than after the lapse of three months as of the date of sitting for the exams for the first time and no more than just one time.
 11. In case of the lapse of the Council tenure before the completion of the Proceedings, the PhD Commission still exists and keeps its prerogatives.
 12. In case if the PhD Commission loses a member for any reason, the Council immediately supplements the composition so that the requirements specified in § 2 sec. 8 are fulfilled.

§ 6 Admitting the PhD dissertation for final examination

1. Once the Candidate passes all the required exams and the Council Chairman receives and formally accepts the dissertation, and in case mentioned in § 6 sec. 8, also a supplemented or corrected PhD dissertation, the PhD Commission adopts a resolution in a secret ballot concerning the admission of the PhD dissertation for a public exam. The condition precedent to admit the public exam is receiving positive reviews from at least two reviewers.
2. The resolution mentioned in sec. 1 is immediately passed to the Council Office.
3. In case of a negative result of voting over the resolution mentioned in sec. 1, the PhD Commission presents the case with a justification to the Council, which adopts a resolution in this matter. In case if the Council adopts a resolution not to admit the PhD dissertation for the public exam, the Proceedings are over. The Council Resolution constitutes a decision on a refusal to admit the dissertation for the public exam and it is signed by the Council Chairman.
4. The Council Office, immediately after receiving the PhD Commission decision on admitting the dissertation for a public exam, publishes the PhD dissertation, its summary and reviews in BIP and in the POL-on system. The documents remain in the Internet website at least until the date of closing the Proceedings.
5. The Chairman of the PhD Commission, in cooperation with the Candidate, supervisors, reviewers and Commission members, arranges the date of the PhD dissertation exam, not earlier than 30 days after doing the activities mentioned in sec. 4 and notifies the Council Office. The date is announced immediately in BIP and in the IPPT PAN headquarters.

§ 7 PhD dissertation defense and awarding the PhD degree

1. The public PhD dissertation defense is held in an open meeting of a PhD Commission with the participation of at least two reviewers. The meeting is held by the PhD Commission chairman.
2. The process of the PhD dissertation defense is as follows:
 - a) The supervisor presents the Candidate and his or her scientific achievements.
 - b) The Candidate presents the main assumptions and results of the PhD dissertation.
 - c) The reviewers present their reviews; if necessary in the presence of some of the reviewers the chairman orders to read his or her review.
 - d) The Candidate comments on the critical remarks included in the reviews.
 - e) The chairman opens a discussion, in which all present persons have the right to respond and ask questions to the Candidate.
3. After closing the public defense the PhD Commission has a closed meeting, at which it adopts a resolution concerning the approval of the dissertation. The supervisor(s) and the auxiliary supervisor may participate in the meeting, but they should leave the room before voting. In case of a positive result of the voting the PhD Commission applies to the Scientific Council with a motion for awarding the PhD degree. Otherwise, the PhD Commission presents to the Council the justification of rejection of the approval and by the same it recommends to the Council a refusal of the PhD degree awarding.

4. Both the PhD dissertation defense and the meeting of the Doctoral Committee may be held using electronic means of communication, ensuring in particular the transmission of image and sound in real time between its participants and multilateral communication in real time, during which participants can express their views during the meeting, while observing the necessary safety rules.
5. The PhD Commission may apply to the Council with a request for a distinction for the PhD dissertation with a justification. The conditions and rules for distinguishing dissertations are set out in separate regulations adopted by the Council.
6. The Council adopts in a secret ballot a resolution concerning awarding a PhD degree to the Candidate. On the motion of the PhD Commission the Council may distinguish the PhD dissertation.
7. Adopting a resolution on awarding the PhD degree is equivalent to adopting an administrative decision by the Council on granting the PhD degree. A negative result of the voting over the resolution is equivalent with the Council making an administrative decision to refuse the PhD degree. In both cases making the decision constitutes closing the Proceedings.
8. The Council Office publishes the decision to award or to refuse the PhD degree in BIP and in the POL-on system.
9. The PhD Commission is solved after the lapse of the period of appeal against the Scientific Council decision on granting the PhD degree, if the Candidate does not submit an appeal.

§ 8 Final Resolutions

1. This Regulation enters into force as of the date of its adoption.
2. The Regulation of running procedures on awarding the PhD degree at IPPT PAN adopted based on a Resolution of the IPPT PAN Scientific Council on 26.06.2019 is hereby quashed.
3. The PhD proceedings initiated before the enforcement of these Regulations are pending based on the provisions binding so far.

APPENDIX 1

The scope of information required in the presentation connected with the Proceedings on granting the PhD degree prepared in the electronic version to be displayed in the screen during the meeting of the IPPT PAN Scientific Council.

The presentation should contain the following information:

A) Basic information about the Candidate

- name and surname,
- year of birth,
- date of university graduation and the university name,
- subject of the master thesis, supervisor,
- history of career and PhD education

B) Basic information on the PhD dissertation

- dissertation subject,
- scientific discipline,
- purpose of the paper (thesis),
- short description of the dissertation subject, original parts, applied research methods, description of individual input,
- compliance with the Institute research profile.

C) Information about the supervisor(s) and possibly the auxiliary supervisor. If no supervisor(s) are assigned yet – the proposals of supervisor, possible auxiliary supervisor and another supervisor in case of an interdisciplinary dissertation, with the candidates scientific discipline.

D) Information about the Candidate's scientific research:

- list of publications, accounting for the publications of the Journal Citation Reports list and marking the publications connected with the subject of the dissertation, with credit points in accordance with a binding MEiN report and with an indication of the co-authorship of the Candidate in every joint publication in the report.
- participation in scientific conferences.
- experience in research work, including research projects.

APPENDIX 2

The scope of information on proposed reviewers required in the presentation prepared in the electronic version to be displayed in the screen during the meeting of the IPPT PAN Scientific Council.

Information on the proposed reviewer should contain:

- A) Name and surname, scientific degree/title, place of employment.
- B) Scientific field and discipline, research subject.
- C) Bibliometric data based on the Web of Science or Scopus:
 - number of publications,
 - number of quotations,
 - Hirsch index.
- D) List of at least some publications, in particular connected with the subject of the dissertation and the number of quotations in the Web of Science or Scopus database.