

Regulations for conducting proceedings on the conferral of doctoral degrees at the IBIB PAN

These Regulations set forth the detailed rules in the proceedings for the conferral of the doctoral degree, conducted at the Maciej Nałęcz Institute of Biocybernetics and Biomedical Engineering of the Polish Academy of Sciences (IBIB PAN).

The legal basis for the Regulations are the provisions of

- Act of July 20, 2018. *Law on Higher Education and Science* (Journal of Laws of 2018, item 1668), as amended, hereinafter referred to as the Law.
- Act of July 3, 2018. *Introductory Regulations of the Law - Law on Higher Education and Science* (Journal of Laws of 2018, item 1669), as amended, hereinafter referred to as Introductory Regulations
- Ordinance of the Minister of Science and Higher Education of March 6, 2019 on data processed in the POL-on Integrated Information System for Higher Education and Science, hereinafter referred to as the POL-on Ordinance.
- Regulation of the Minister of Science and Higher Education of January 19, 2018 *on the detailed procedure and conditions for conducting activities in doctoral dissertation proceedings, in habilitation proceedings and in proceedings for the conferment of the title of professor*, hereinafter referred to as the Regulation on the detailed procedure.

For the purposes of these Regulations, the following definitions are adopted:

Candidate - a person applying for the award of a doctoral degree;

Doctoral Student of IBIB PAN - a student or graduate of the Doctoral Program of IBIB PAN or of the Doctoral School co-administered by IBIB PAN who has been assigned to IBIB PAN;

Doctoral Committee - a committee appointed by the Scientific Council of IBIB PAN pursuant to Article 192, paragraph 1 of the Act, which performs activities in the proceedings for the conferment of the degree of doctor;

Examination Committee - a committee appointed by the Scientific Council of IBIB PAN to verify that the Candidate has adequate knowledge in the discipline in which the proceedings will be conducted;

RKN Commission - Commission of the Scientific Council of IBIB PAN for the Development of Scientific Personnel;

RDN - Council for Scientific Excellence;

POL-on - Integrated Information System for Higher Education and Science, referred to in Article 342 of the Act and the POL-on Regulation;

BIP - Public Information Bulletin;

JSA - Unified Anti-Plagiarism System;

PRK - Polish Qualifications Framework (Regulation of the Minister of Science and Higher Education of November 14, 2018 on characteristics of the second level of learning outcomes for qualifications at levels 6-8 of the Polish Qualification Framework, OJ. 2018 item 2218).

§ 1 Application for initiation of proceedings

1. The initiation of proceedings for the conferral of the doctoral degree is carried out at the request of the Candidate addressed to the Director of IBIB PAN.
2. A candidate filing an application for initiation should meet the following conditions:
 - 1) hold a professional degree of Master of Science, Master of Engineering or equivalent, or hold a diploma from a foreign university referred to in Art. 326 para. 2 item. 2 or Article 327(2) of the Act, entitling them to apply for the award of a doctoral degree under the applicable regulations, or is a beneficiary of the "Diamond Grant" program (Article 181 of the Introductory Regulations);
 - 2) demonstrate knowledge, skills, social competencies that are sufficient for qualifications at levels 8 according to the Regulation of the Ministry of Science and Higher Education of November 14, 2018 on the characteristics of the second level of learning outcomes for qualifications at levels 6-8 of education of the Polish Qualification Framework - PRK.
 - a) This requirement is considered to be fulfilled if the Candidate presents a certificate of graduation from a Doctoral School co-run by IBIB PAN;
 - b) A candidate who does not meet the conditions of paragraph (a) shall be subject to the screening procedure listed in paragraph 9 to ascertain that he has obtained the required qualifications within the framework of his education and work experience to date;
 - c) learning outcomes in the field of knowledge of a modern foreign language require confirmation by a certificate or diploma of graduation, certifying knowledge of this language at a language proficiency level of at least B2.
 - 3) Have a track record of at least:
 - a) one original scientific article of his authorship, published in a scientific journal or in the peer-reviewed materials of an international conference, which, in the year the article was published in its final form, was included in the list drawn up in accordance with the regulations issued pursuant to Article 267(2)(2)(b) of the Law, or
 - b) one scientific monograph of his authorship published by a publishing house which, in the year of publication of the monograph in its final form, was included in the list compiled in accordance with the regulations issued pursuant to Article 267(2)(2)(a) of the Law, or a chapter of his authorship in such a monograph, or
 - c) in the case of multi-author articles, monographs and chapters that meet the conditions referred to in letters a and b, the Candidate's authorial contribution should be significant and will be evaluated according to the submitted statements of the Candidate and co-authors.
 - 4) Submit a completed doctoral dissertation, which, in accordance with Article 187(3) of the Law, may be a written work including a scientific monograph, a collection of published and thematically related scientific articles, a design, construction, technological or implementation work, as well as an independent and isolated part of a collective work. The doctoral dissertation may be prepared in Polish or English. The doctoral dissertation shall be accompanied by an abstract in English, and by a

dissertation prepared in English also an abstract in Polish.

- 5) The doctoral dissertation, in accordance with Article 197 of the Law, may be prepared in the mode:
 - a) doctoral education;
 - b) EXTREME.
- 6) Scientific supervision of the preparation of a doctoral dissertation is provided by a promoter or promoters, or by a promoter and an assistant promoter. Pursuant to Article 179(7) of the Introductory Regulations, an applicant for the degree of Ph.
 - a) in extramural mode prior to the initiation of proceedings, and a person who commenced doctoral studies before the 2019/2020 academic year and applies for the award of a doctoral degree under the terms of the Law shall submit a separate application for the appointment of a promoter or promoters, or a promoter and assistant promoter, in which he or she shall indicate by name the candidates for these functions. Submission of the application for the appointment of promoter(s) is the same as the initiation of proceedings for the conferral of the doctoral degree.
 - b) The application shall also be accompanied by the consent of the candidate(s) for promoter(s) to perform this function, together with his/her statement that he/she meets the requirements for eligibility as a promoter, as specified in Article 190, paragraph 6 of the Law.
 - c) The promoter may be a person with at least a doctoral degree, and the assistant promoter may be a person with at least a doctoral degree.
 - d) The promoter may be a person who does not meet the conditions specified in item. 6(b), who is an employee of a foreign university or scientific institution, if the body referred to in Article 178, paragraph 1 recognizes that this person has significant achievements in the scientific issues covered by the dissertation.
3. The candidate submits an application indicating in its content the field of science and scientific discipline in which he/she is applying for a doctoral degree.
4. The Candidate shall attach the following documentation to the application:
 - 1) a copy of the diploma, confirming possession of the title referred to in paragraph 2 item. 1, or a certified copy of a document confirming the achievement of the status of a beneficiary of the "Diamond Grant" program,
 - 2) dissertation, including abstracts in Polish and English, in electronic and printed versions, together with a positive opinion of the promoter(s) of the dissertation. In case the dissertation promoter(s) have not yet been appointed, the attached opinion should be drawn up by the candidate(s) for the function of promoters referred to in paragraph 5.
 - 3) A scientific curriculum vitae, including information on education and previous scientific and professional career, a list of scientific publications with information on the Candidate's own contribution to each multi-author publication included in the list (Art. 192 sec. 2 item 7 of the Act), and enabling the assessment referred to in para. 3(c).
 - 4) the certificate referred to in paragraph 2, item 2, letter c; in the case of an applicant for a doctoral degree who does not have the corresponding certificate or diploma

graduation, the doctoral subject may conduct an examination confirming knowledge of a modern foreign language at the B2 language proficiency level. The candidate shall apply for the examination confirming knowledge of a modern foreign language.

- 5) in the case of a Candidate who is not employed at IBIB PAN and who is not a Doctoral Student of IBIB PAN - a statement containing the commitment of the Candidate or a third party to cover the costs of the proceedings, as referred to in § 9 item 1 of the Regulations.
 - 6) if applicable, the certificate referred to in paragraph 2 par. 2(a) or a similar certificate issued by another doctoral school, which may be the basis for the verification procedure referred to in paragraph 10.
5. The Director of IBIB PAN directs the application for initiation of proceedings with the documentation to the RKN Commission.
 6. The RKN Commission, after a preliminary review of the application documentation, checks:
 - 1) The completeness of the application and accompanying documentation;
 - 2) hearing by means of the JSA referred to in Article 351 of the Law, and shall include the result of this check in the application file;
 - 3) Whether the Candidate meets the requirements specified in paragraph 2;
 - 4) Whether the subject matter of the dissertation is within the scope of the scientific discipline in which it is submitted, and in which IBIB PAN has the authority to confer the doctoral degree.
 7. If the application is found to be incomplete, the RKN Commission shall call on the Candidate to supplement the documents within 2 weeks, and the date on which the application was supplemented shall be considered the date of submission of the application for initiation.
 8. The RKN Committee may invite the Candidate to give a seminar, during which the Candidate presents his/her scientific achievements and the topic of the dissertation.
 - 1) in the case of a dissertation prepared in the extramural mode, the delivery of a seminar by the Candidate is mandatory;
 - 2) The seminar can be held in whole or in part in remote form with the provision of real-time transmission and multilateral communication.
 9. In the case of candidates who do not meet the conditions of paragraph 2(2)(a) or who are preparing their dissertation in an extramural mode, the RKN Commission verifies the candidate's achievement of qualifications at PRK level 8. The manner of verification of the effects of obtaining these qualifications by individual candidates shall be determined by the RKN Commission.

§ 2 Initiation of proceedings and appointment of Doctoral Committee and Examination Committee

1. The Doctoral Committee consists of reviewers and at least 5 persons holding a postdoctoral degree or professor title, representing the scientific field and discipline indicated in the application or a related field and discipline.
2. Members of the Doctoral Committee and Examination Committee, as well as reviewers in the doctoral proceedings, may not be persons who have a conflict of interest with the Candidate or from other

reasons that raise reasonable doubts about his impartiality in the doctoral proceedings.

- 1) The Promoter is excluded from participation in the proceedings, and therefore from participation in the Doctoral and Examination Committee.
 - 2) For those who began their doctoral studies before the 2019/2020 academic year and apply for the award of a doctoral degree under the rules set forth in the Law, the learning outcomes in the field of knowledge of a modern foreign language are confirmed under the existing rules (Regulation on the detailed procedure).
3. After preliminary review of the documentation of the application for initiation of proceedings in accordance with the provisions of § 1, paragraph 7, the RKN Committee, in a secret ballot, by an absolute majority of votes, shall decide to apply to the Scientific Council of IBIB PAN with a request for initiation of proceedings.

In the absence of a predetermined promoter and extramural applicants for the doctoral degree, the RKN Committee also applies to the Scientific Council of IBIB PAN for the appointment of promoter(s) or promoter and assistant promoter.

- 1) The appointment of the promoter(s) should be made no later than at the meeting of the Academic Council preceding the submission of the dissertation in the proceedings for the conferral of the doctoral degree.
 - 2) At the meeting of the Scientific Council at which the Council appoints the promoter(s), the promoter candidate presents the basic research objectives of the dissertation.
4. The RKN Committee presents proposals to the Scientific Council of IBIB PAN:
- 1) Candidates for members of the Doctoral Committee;
 - 2) At least 4 candidates for reviewers, selected from among persons holding the title of professor or the degree of doctor habilitated, or from among employees of foreign universities or scientific units that do not meet this requirement, with significant scientific achievements in the field of the scientific issue to which the dissertation relates (art.190 par. 4 and 5 of the Act). The candidate for reviewer cannot be an employee of IBIB PAN, an employee of the institution employing the Candidate (art.190 para. 2 of the Act), or an employee of the institution employing the co-author of the publication referred to in § 1 para. 2 item 3 letter c.
 - 3) candidates for members of the Examination Committee and the scope and subject of the doctoral examination in the area of the discipline in which the proceedings are conducted.
5. The Academic Council, on the proposal of the RKN Commission, adopts resolutions on matters by secret ballot with an absolute majority:
- 1) initiation of proceedings for the award of a doctoral degree,
 - 2) the appointment of a promoter or promoters, or a promoter and an assistant promoter of the dissertation, if promoters have not been appointed earlier,
 - 3) appointment of at least 3 reviewers in the doctoral proceedings,
 - 4) Appointment of the Doctoral Commission, including the Chairman of the Commission,
 - 5) Appointment of the Examination Commission, including the Chairman of the Commission and the topic of the doctoral exam.

§ 3 Reviews

1. The Director of the Institute commissions the review of persons indicated in the resolution of the Scientific Council.
2. Reviews in doctoral proceedings should include a detailed reasoned assessment of the dissertation's fulfillment of the conditions set forth in Article 187 of the Law. Reviews may include conclusions regarding:
 - 1) To complete or improve the dissertation,
 - 2) distinctions of the dissertation with justification. The rules for honoring doctoral dissertations are determined by a resolution of the Scientific Council of IBIB PAN, the content of which reviewers receive together with the dissertation.
3. Reviewers shall prepare reviews within 2 months from the date of delivery of the dissertation to them.
4. After all reviews are received, the Director of the Institute forwards them to the Chairman of the Doctoral Committee.
5. In the case of a reviewer's request to supplement or improve the dissertation, referred to in paragraph 2 item. 1, the Doctoral Committee shall forward the reviews to the Candidate. Within 3 months, the Candidate shall submit to the Doctoral Committee the supplemented or improved dissertation, which shall be immediately referred by the Chairman of the Doctoral Committee to the same reviewers for supplemental evaluation.

§ 4 Doctoral exam

1. The date of the doctoral exam is set by the Chairman of the Examination Committee. The exam is graded according to the following grading scale: failing grade (2), sufficient grade (3), fairly good grade (3.5), good grade (4), above good grade (4.5), very good grade (5).
2. In the case of an unsatisfactory grade in the examination, the Doctoral Committee, at the request of the Candidate, may allow the Candidate to retake the doctoral examination, but not earlier than three months after taking the examination for the first time.

§ 5 Defense of the doctoral dissertation

1. After the Chairperson of the Doctoral Committee has received all reviews of the dissertation, including reviews of the completed or revised dissertation, the Doctoral Committee shall, by secret ballot, by an absolute majority of votes, adopt a resolution on admitting the dissertation to defense.
2. A prerequisite for admission to the defense is the receipt of positive reviews from at least two reviewers.
3. The resolution on admission to the defense is immediately forwarded to the Chairman of the Academic Council.
4. In the event of a negative vote on the resolution referred to in paragraph 1, the Doctoral Committee shall present the resolution with the reasons to the Academic Council, which shall issue a decision on non-admission to the defense of the dissertation. The Candidate has the right to file a complaint with the RDN against the decision to refuse admission to the defense.

5. If a doctoral dissertation is not accepted for defense, the same dissertation cannot be the basis for reapplication for the award of the doctoral degree. (Article 193(5) of the Law).
6. The defense of a doctoral dissertation is of a public nature, with the exception of the defense of a doctoral dissertation referred to in Article 188, paragraph 2 of the Law
7. The Chairperson of the Doctoral Committee, in consultation with the Candidate, promoters, reviewers and members of the Committee, shall set a date for the defense of the doctoral dissertation, no earlier than 30 days after the resolution on admission of the dissertation for defense.
8. The Secretariat of the Scientific Council of IBIB PAN shall make available in the BIP on the subject page, no later than the deadline:
 - 1) 30 days before the scheduled date of the dissertation defense:
 - a) A dissertation that is a written thesis with its abstract,
 - b) reviews;
 - 2) 10 days before the scheduled date of the dissertation defense - information about the date, place and manner of its conduct;
 - 3) In the case of a doctoral dissertation, the subject of which is covered by a legally protected secret, only reviews are made available, excluding the contents covered by this secret;
 - 4) The documents referred to in paragraph 8 shall be posted in the POL-on system immediately after they become available, in accordance with §14 of the POL-on Regulation.
9. The public defense of the doctoral dissertation is held at an open meeting of the Doctoral Commission with the participation of at least two reviewers, the Chairman and more than half of the number of members of the Doctoral Commission. The meeting is chaired by the Chairman of the Doctoral Commission.
 - 1) The announcement of the dissertation defense is distributed to entities that have the authority to confer the doctoral degree in the scientific discipline to which the dissertation relates.
10. The public defense of the dissertation includes:
 - 1) Presentation by the Promoter of the Candidate's scientific profile;
 - 2) Presentation by the Candidate of the main theses, objectives, results obtained in the dissertation, as well as discussion and conclusions;
 - 3) Presentation of reviews by Reviewers; in the absence of the Reviewer, the review is read *in extenso*;
 - 4) Candidate's response to the criticisms in the reviews;
 - 5) Open discussion of the thesis.
11. After completion of the defense, the Doctoral Committee holds a secret part of the meeting, at which it adopts a resolution on recommending to the Scientific Council the granting or refusal of the doctoral degree by secret ballot, by an absolute majority of votes. The classified part of the meeting of the Doctoral Commission may be attended by members of the Scientific Council of IBIB PAN without voting rights.
12. The Doctoral Committee may apply to the Scientific Council for a distinction of the doctoral dissertation, along with a justification. The Commission considers the matter of distinction if the applications for distinction have been submitted in accordance with the Rules for Distinguishing Doctoral Dissertations adopted by resolution of the Scientific Council of IBIB PAN.

13. The proposal for the award is discussed by the Doctoral Committee in a closed part of the meeting, and its adoption is carried out by secret ballot with an absolute majority of votes.
14. At the request of the Chairman of the Doctoral Committee, the defense of the dissertation, as well as meetings and votes of the Doctoral Committee with the necessary security rules, may be held in whole or in part in remote form, with the provision of
 - 1) real-time defense transmission between its participants,
 - 2) real-time multilateral communication, where participants in the defense can speak in the course of the defense.
15. In the case of remote meetings, the circulation of documents may be electronic, with possible electronic signatures, with resolutions and motions signed by the Chairman of the Commission with the authority and on behalf of the other members of the Doctoral Commission.

§ 6 Awarding of doctoral degree

1. On the proposal of the Doctoral Committee, the Scientific Council of IBIB PAN, in a secret ballot, by an absolute majority of votes, decides on the conferral of the doctoral degree.
2. The right to vote on the awarding of a doctoral degree is vested in members of the Academic Council who hold a postdoctoral or professorial degree, excluding the promoter.
3. A negative result of the vote referred to in paragraph 1 is tantamount to an administrative decision by the Council to refuse to grant the doctoral degree.
4. Upon the proposal of the Doctoral Committee, the Scientific Council, in a secret ballot, by the majority of votes indicated in the Rules for Distinguishing Doctoral Dissertations of IBIB PAN, adopts an appropriate resolution on distinguishing the dissertation.
5. The Chairman of the Academic Council shall immediately inform the Candidate of the decision to grant or refuse the doctoral degree. A refusal decision requires justification.
6. In the case of a decision to refuse to grant a doctoral degree, the Candidate has the right to appeal to the RDN within 30 days from the date of delivery of the Scientific Council's decision on the matter (Article 193(1-2) of the Law).
7. In the case of a decision to refuse to grant a doctoral degree, the same dissertation cannot be the basis for reapplying for a doctoral degree (Article 193(5) of the Law).
8. The Secretariat of the Scientific Council prepares the doctoral diploma and its copies in accordance with the Decree of the Minister of Science and Higher Education dated 21.09.2018 on doctoral diplomas, habilitation diplomas and doctoral student cards.
9. The Chairman of the Scientific Council invites the person who has been awarded a doctoral degree to the meeting of the Scientific Council, at which he presents the doctoral diploma. If the person is unable to come to the meeting of the Scientific Council, the diploma shall be sent by registered mail to the address indicated by the person.

§ 7 Annulment of the decision on granting the degree

1. In the event that the Scientific Council of the IBIB PAN becomes aware of the possibility that a person who has received a doctoral degree conferred by the Scientific Council of the IBIB PAN may have authored a significant fragment or other elements of another person's work or scientific finding, the Council shall initiate an investigation into the matter.
2. As part of the investigation, the Scientific Council appoints a three-member team, which includes Council members with professorial titles.
3. The team informs the person who obtained the doctoral degree of the initiation of proceedings in the case and requests him to provide explanations in writing.
4. The team, after conducting an investigation, shall submit a report to the Scientific Council. If it is found that a person, while applying for a doctoral degree, has attributed authorship of a significant fragment or other elements of another person's work or scientific finding, the Scientific Council of the IBIB PAS, pursuant to Article 195 of the Act, shall declare the decision to grant the degree invalid by secret ballot, with an absolute majority of votes.
5. The Chairman of the Scientific Council shall immediately inform the person who received the doctoral degree and the RDN that the decision to grant the doctoral degree has been annulled.

§ 8 Actions in proceedings for the conferment of the degree of doctor - joint doctorates

1. The doctoral degree may be conferred in a given discipline jointly by the IBIB of the Polish Academy of Sciences and universities, institutes of the Polish Academy of Sciences, research institutes or international institutes in the discipline in which each is authorized to confer the doctoral degree, and foreign entities authorized to confer the doctoral degree in the discipline in which the degree is conferred. The rules of cooperation shall be set forth in a written agreement, which in particular shall identify the entity or entities conducting the proceedings and responsible for entering the data into the system referred to in Article 342, paragraph 1 of the Law, and shall specify payments regarding the costs of the proceedings.
2. When the proceedings for the award of the doctoral degree are conducted jointly with another university or other organizational unit, including foreign universities, the activities in the proceedings for the award of the doctoral degree:
 - 1) appointment of a promoter or promoters,
 - 2) initiate proceedings for the conferral of the doctoral degree and appoint at least 3 reviewers,
 - 3) Admission of the dissertation for public defense,
 - 4) Acceptance of the public defense of the dissertation,
 - 5) To consent to the conferral of the doctoral degree,shall be conducted according to the procedure specified in the agreement. However, if the doctoral degree is to be conferred by the Scientific Council of IBIB PAN, the activities of the doctoral program referred to in paragraph 2 items. 1-3 should be undertaken in accordance with the provisions of § 2.
3. The defense of the doctoral dissertation is held at an open meeting of the joint doctoral commission, appointed by the entities conducting the proceedings. The commission is entitled to

The authority to adopt resolutions referred to in sec. 2 item. 4 in accordance with the provisions of § 5 and para. 2 pt. 5 in accordance with the provisions of § 6.

4. The joint doctoral committee shall be composed of no less than five persons representing the contracting parties, holding the title of professor or the degree of doctor habilitated, authorized to act as promoter in doctoral dissertations, and in the case of persons representing foreign organizational units - the degree of doctor and the status authorizing them to act as promoter(s) in doctoral dissertations, as well as reviewers and promoters.
5. The awarding of a doctoral degree by IBIB PAN jointly with another unit requires a resolution of the Scientific Council of IBIB PAN on the awarding of the doctoral degree.
6. A person awarded a doctoral degree shall receive either a joint doctoral diploma issued by the entities awarding the doctoral degree or a doctoral diploma issued by one of the entities indicated in the agreement.

§ 9 Costs of proceedings for granting the degree

1. The Director of IBIB PAN determines the amount of the fee for conducting the doctoral proceedings of a Candidate who is not a researcher at IBIB PAN and who is not a Doctoral Student of IBIB PAN. The Director shall inform the Candidate of the amount of this fee immediately upon receipt of the application for the initiation of doctoral proceedings.
2. The amount of the proceeding fee is the sum of the following costs (Article 182(3) of the Law):
 - 1) salary costs of promoter(s) or promoter and assistant promoter,
 - 2) The cost of reviewers' salaries,
 - 3) The salary costs of the members of the Doctoral Commission,
 - 4) the costs of business trips of the members of the Doctoral Commission and
 - 5) other documented costs of the proceedings.
3. The Director of IBIB PAN may, in justified cases, decide to finance all or part of the costs of the doctoral proceedings by the Institute (Article 182, paragraph 5 of the Act).

§ 10 Final provisions

These Regulations shall come into force on June 13, 2023, that is, on the date of adoption of a resolution by the Scientific Council of IBIB PAN.