



**FACULTY
OF ELECTRICAL
ENGINEERING
CTU IN PRAGUE**

Dean's Directive for Defence of Dissertation Theses at CTU FEE

Article 1

Introductory Provisions

1. This Regulation sets the essentials of a dissertation, the form of its submission, further materials mandatorily submitted for the proceedings, the appointment and actions of the board appointed for dissertation thesis defence in accordance with the Doctoral Study Code for FEE (DSC).
2. The dissertation thesis is the result of the solution of a scientific problem specified in the dissertation aims (Art. 3, par. 1, letter c) ii); it substantiates the doctoral student's ability to work independently in a creative way, and it needs to incorporate original results of scientific work published by the author of the dissertation thesis, or results approved for publication.
3. A set of publications or approved manuscripts, provided with an integrating text, may also be recognized as a dissertation thesis.

Article 2

Submitting a Dissertation

1. A dissertation thesis may be submitted by a student who has successfully passed the State Doctoral Exam (SDE). The work may be submitted no later than seven years from the beginning of their study. Recognized parenting time as per the Study and Examination Code for CTU (SEC), Art. 19, par. 8, shall not be included in the above period.
2. Dissertations shall be accepted in the English, Czech, or Slovak languages. By prior approval of the chairman of the Branch Board (BB)¹, the dissertation can also be submitted in another world language.
3. In order to commence the proceedings for dissertation thesis defence, the student shall submit:
 - a) an application for the defence,
 - b) the dissertation thesis in 4 copies as well as a searchable electronic file in a *.pdf format delivered electronically against a confirmed receipt,
 - c) his/her Curriculum Vitae,
 - d) the assessment of the supervisor, in which the supervisor shall explicitly give his/her opinion of the originality of the submitted dissertation, new scientific findings included, fulfilment of requirements for dissertation as per Art. 3, par. 1 and publication requirement as per DSC, Art. 12, par. 1, and shall state whether he/she recommends the dissertation for defence or not,

¹ In study programs divided into branches accredited before the effect of the Amendment of the Higher Education Act No. 137/2016 Coll.; the duties of BB shall be executed by the Branch Board of a Study Branch (BBB).

Dean's Directive approved by FEE Scientific Council on December 13, 2017.

- e) the main points of the dissertation thesis in 20 copies as well as an electronic file in a *.pdf format delivered as per Par. 3 b. The theses include, inter alia, a one-page annotation of the dissertation in English, or in Czech, in case the dissertation is written in a foreign language, as well a structured list of the candidate's publications,
- f) the main points can be replaced by the candidate's statement by which the candidate shall give their permission for immediate publication of his/her dissertation in an electronic form for an unlimited time. In such a case, the main points shall not be submitted in any form.

Article 3

Dissertation Thesis and Its Essentials

1. The dissertation thesis shall include:
 - a) On the title page or the first page
 - i) the identification of the university, faculty and supervising department.
 - ii) the title of the dissertation,
 - iii) the "Dissertation thesis" indication,
 - iv) the name of the candidate,
 - v) the year of the dissertation submission,
 - vi) the name of the supervisor,
 - vii) the study program,
 - viii) the study branch²,
 - b) a one-page summary in the language of the dissertation as well as in the Czech and English languages,
 - c) in the introductory part
 - i) an overview of the current state-of-the-art in the given field of science (with references to literature) and
 - ii) the aims of the dissertation,
 - d) in the body of the dissertation, the doctoral student's own results and references to their publications incorporated as per letter f),
 - e) in the concluding part,
 - i) an overview of the dissertation results including the doctoral student's own original contributions (i.e. a brief summary of the original results of the dissertation, in what way they improve the current state-of-the-art),
 - ii) the conclusions for further scientific development or for transfer the results to practice,
 - f) a list of the candidate's publications (projects) including their public acceptance (e.g. citations); the list shall be divided into publications related to the dissertation topics and other publications; in both sections, the publication shall be subdivided as follows: publications in impacted journals, peer reviewed journals, patents, further publications excerpted by WoS³ and others; (in case the share of all co-authors is not equal, the list shall be completed by the doctoral student's share of co-authorship for individual publications; furthermore, these shares must be supported with a declaration of agreement by all the authors).

² Applies to study branches accredited before the effect of the Amendment of the Higher Education Act No. 137/2016 Coll.

³ Web of Science

2. If the dissertation takes the form of a set of publications as per Art. 1, par. 3, instead of par. 1 d), it shall comprise a set of no less than three impacted articles, out of which for no less than two, the doctoral student is stated as the main author, as per the requirements of Art. 12, par. 2 SEC, and par. 1 c) and 1 e) shall be replaced by a linking text in the extent of no less than 10 pages.

Article 4

Opponents and the Proceedings

1. The opponents and the board shall be appointed by the Dean of the Faculty.
2. The date of the dissertation defence shall be determined by the chairman of the board for dissertation defence no later than 30 days following the receipt of the last assessment, if the proceedings are not terminated. The chairman of the board will agree on the date of defence with the Vice-Dean for Doctoral Study via Office for Science and Research (OSR) no less than 6 weeks in advance. The doctoral student, the supervisor, the opponents and board members shall be notified of the date given.
3. The dissertation as per Art. 3 and materials as per Art. 2, par. 3 shall be evaluated by the Vice-Dean for Doctoral Study in collaboration with the respective BB, and if these materials meet the given requirements, the acceptance of the dissertation shall be confirmed. The BB shall then nominate three opponents and a board for dissertation defence within no more than 30 days.
4. If the dissertation and materials do not meet the requirements, they shall not be accepted for further proceedings by the Vice-Dean or the chairman of BB and they shall be returned to the doctoral student together with specific remarks for revision (completion) within 25 days. On the first day of the month following the delivery of returned materials, a one-month period for removing deficiencies starts. If the deficiencies are not removed within this period, materials submitted later shall be regarded as a new submission of the dissertation. The doctoral student shall submit their revised (completed) dissertation together with a new/updated evaluation of the supervisor.
5. The opponents shall be prominent specialists in the relevant science branch. They must hold a scientific degree or the degree of a doctoral study graduate (most often Ph.D.). Nomination of an opponent without a scientific degree or a Ph.D. degree is only possible exceptionally, with prior approval of the FEE Scientific Council. No less than one opponent must be a Full-Professor or a Doctor of Sciences (DrSc., DSc.), and no more than one opponent may be an employee of CTU. It is not permissible that two opponents are employees of the same organization; a person with a conflict of interest in relation to the doctoral student may not be appointed as an opponent.
6. The text of the dissertation thesis shall be sent to the opponents and, at the same time, shall be made available in a *.pdf format by the DSpace system of the CTU Library.
7. The opponents shall write their reviews within 30 days after being sent the dissertation. If an opponent is not able to write the review, he/she will report this fact within 15 days. If the opponent refuses to write the review, or if the OSR does not receive the review within 45 days, the Dean shall designate a new opponent based on the proposal of the chairman of BB, which has been discussed by BB.
8. The completed opponent reviews shall be provided to the doctoral student and the supervisor via OSR.
9. If one of the opponents does not recommend the dissertation for defence, the doctoral student may request their dissertation be returned, the chairman of BB shall set a deadline for removing deficiencies. The revised dissertation shall be reviewed by the same opponents, if at all possible.

10. If two or more opponents do not recommend the dissertation for defence, the candidate must rewrite his/her dissertation within a period set by the chairman of BB. The rewritten dissertation thesis shall be reviewed by the same opponents, if at all possible.
11. The dissertation can be rewritten as per provisions given in par. 10 or par. 11. only once; in the case of extended proceedings the maximum time of study may not be exceeded, as per Art. 24 par. 8 SEC.
12. The dissertation defence shall be announced on the official notice board of the faculty no less than 3 weeks in advance. In addition to publicizing the dissertation thesis as per par. 8, a copy of the dissertation is available for reference at OSR. Excerpts or copies of the dissertation can only be made at one's own expense. Anyone can address their comments in written form to the board chairman for dissertation defence via OSR or deliver them orally during the defence of the dissertation. The candidate is obliged to adopt a stance on them.

Article 5 Board for Dissertation Defence

1. The examination board for dissertation defence, including the chairman, is appointed by the Dean of FEE on the proposal of the chairman of BB with the approval of BB.
2. The Ministry of Education, Youth and Sports (MŠMT) may appoint additional board members from prominent specialists in the given field.
3. Board members may be Full-Professors, Associate Professors and prominent experts. Experts who are not Full-Professors or Associate Professors need to be approved of for the role of possible board members by the FEE Scientific Council.
4. The board excluding the opponents has no less than four members, and at the same time, at least two of them may not be CTU employees. The opponents have the right to vote and participate in the non-public part of the meeting (SEC, Art. 30, par. 3).
5. The supervisor of the doctoral student participates in the dissertation defence including its non-public part, unless they have a serious reason not to⁴; he/she is not a member of the board and does not have the right to vote.
6. The lack of physical presence of no more than one opponent is permissible; this applies only if their review is positive and if the chairman of the board accepts their absence. If the opponent's review is negative, their physical presence during the defence is necessary.
7. No more than two persons with the right to vote, with an exception of the chairman and deputy chair of the board, may be remotely participated⁵ by means of telepresence technologies. The condition for remote participation is prior agreement of the board chairman and of the Vice-Dean for Doctoral Study, as well as informing the board members.

Article 6 Process of the Defence

1. The dissertation defence, provided for by Art. 30 of SEC and Art. 11 par. 3 of DSC, is public, including the announcement of results; the assessment of the dissertation defence is non-public.
2. The dissertation defence shall be held in the language in which the dissertation has been submitted. The chairman can decide to hold the dissertation defence in another language, provided that the candidate, the board members and the opponents agree.

⁴ E.g. health or family issues.

⁵ The Regulation distinguishes between the terms "remote participation" and "physical presence" of a person during the defence. The term "presence" represents both these terms in this document.

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3. The result of the defence shall be announced by the board chairman immediately after the decision has been made.
4. The board decides the dissertation defence results by means of a secret vote provided that no less than two third of all persons with the right to vote are present. The final assessment shall be "passed" or "failed" defence.
5. For the "pass" grade, the overall majority of votes of all persons with the right to vote present is necessary; otherwise, the result shall be "fail".
6. If the result is "fail", the board shall agree on an announcement explaining the respective decision.
7. If remotely participats vote, it is necessary to use electronic means that guarantee a secret vote.
8. The process of the dissertation defence and its results or resolutions shall be recorded in the minutes, which shall be signed by the chairman of the board for dissertation defence; a record of the vote signed by the chairman of the board and all members present shall be made too. If remotely participating persons participate in the vote, all members of the board and opponents shall confirm in a statement that sufficient mutual visual contact and intelligible voice contact has been ensured for decision-making. The remotely participate shall subsequently add their signatures or certified electronic signatures to a copy of the record, which shall form an integral part of the original. The minutes shall be kept at OSR.

Article 7 Repeating the Defence

1. A failed dissertation defence can be repeated only once, no earlier than 6 months from the failed defence date and after having rewritten the dissertation; nevertheless, the maximum study time may not be exceeded.
2. The process of repeating a defence is provided for by Art. 4 of this Directive.
3. If the doctoral student fails a retaken defence, his/her study is terminated as per § 56 par. 1 letter b) of the Act No. 111/1998 Coll. (amended and consolidated) on Higher Education Institutions and on Amendments and Supplements to some other Acts, hereinafter referred to as the Higher Education Act (failing to meet the requirements specified by the study program according to the SEC). § 68 of the Higher Education Act applies to the practice of decision in this matter.

Article 8 Temporary Provisions

1. The role of BB in Doctoral Study Program P2612 Electrical Engineering and Informatics divided into branches accredited before the effect of the Amendment of the Higher Education Act No. 137/2016 Coll. is carried out by the Branch Board for the Study Program (BBP) in collaboration with Branch Boards of the Branches (BBB). Their activity and respective competences are laid down by SEC.
2. This Directive takes effect as of January 31, 2018. For dissertations submitted before this date, the regulations in effect at the time of their submissions are valid, unless otherwise specified in the above.

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Dean