

**ORDINANCE  
ON PHD STUDIES AT THE  
FACULTY OF FOOD TECHNOLOGY AND BIOTECHNOLOGY  
OF THE UNIVERSITY OF ZAGREB  
(consolidated text)**



prehrambeno  
biotehnološki  
fakultet

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Sveučilište  
u Zagrebu

**Zagreb, 2018**

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Pursuant to article 15, paragraph 2 of the Ordinance on Amendments to the Ordinance on PhD Studies at the Faculty of Food Technology and Biotechnology of the University of Zagreb (Class: 643-02/18-01/01, Ref. no.: 251-69-10-18-3, dated 26 February 2018), the expert service of the Dean's Office of the Faculty of Food Technology and Biotechnology of the University of Zagreb on 21 May 2018 determined the consolidated text of the Ordinance on PhD Studies at the Faculty of Food Technology and Biotechnology of the University of Zagreb.

The consolidated text of the Ordinance on PhD Studies at the Faculty of Food Technology and Biotechnology of the University of Zagreb includes the Ordinance on PhD studies at the Faculty of Food Technology and Biotechnology of the University of Zagreb adopted by the Faculty Council of the Faculty of Food Technology and Biotechnology of the University of Zagreb at its 11<sup>th</sup> regular seat of the academic year 2015/2016 held on 28 September 2016 (Class: 643-02/16-01/01, Ref. no.: 251-69-10-16-14) and the Ordinance on Amendments to the Ordinance on PhD Studies at the Faculty of Food Technology and Biotechnology of the University of Zagreb adopted by the Faculty Council of the Faculty of Food Technology and Biotechnology of the University of Zagreb at its 5<sup>th</sup> regular seat of the academic year 2017/2018 held on 26 February 2018 (Class: 643-02/18-01/01, Ref. no.: 251-69-10-18-3).

Class: 643-02/18-01/01  
Ref. no.: 251-69-01-18-4  
Zagreb, 21 May 2018

DEAN  
Prof. Damir Ježek, PhD., *Signed by hand*

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**1. GENERAL PROVISIONS**

**Članak 1.**

**Introductory Provision**

- (1) This Ordinance determines the running of PhD studies (hereinafter: the studies) offered by the Faculty of Food Technology and Biotechnology of the University of Zagreb (hereinafter: the Faculty), and the procedure for acquiring the academic PhD title in line with the Scientific Activity and Higher Education Act (hereinafter: the Act) and the Ordinance on PhD Studies adopted by the University of Zagreb.
- (2) The provisions of this Ordinance on PhD Studies apply to all the students enrolled in the study specified in article 2 of this Ordinance (hereinafter: PhD candidate).
- (3) Terms used in this Ordinance with a gender meaning, whether used in masculine or feminine form, shall relate equally to the feminine and masculine gender.

**Article 2.**

**Area of Studies**

- (1) The Faculty organises and implements the following PhD study programmes: BIOTECHNOLOGY AND BIOPROCESS ENGINEERING, FOOD TECHNOLOGY AND NUTRITION SCIENCE in the field of biotechnical science (4.), in the scientific fields of biotechnology (4.04.), food technology (4.05.), nutrition science (4.06.) and interdisciplinary biotechnical sciences (4.07.).
- (2) The Faculty can carry out lectures of joint and combined studies, in line with the Ordinance on PhD Studies adopted by the University of Zagreb.
- (3) The Faculty can abolish an existing, or if necessary organise new PhD study programmes, of which the decision is made by the Faculty Council in line with valid regulations.

### **Article 3.**

#### **Study Tracks**

PhD candidates at enrolment into PhD studies choose the track of studies or a combination of study tracks according to the scientific field within which they shall prepare their PhD thesis (hereinafter: study track):

1. Study track BIOTECHNOLOGY AND BIOPROCESS ENGINEERING, for the scientific field of biotechnology,
2. Study track FOOD TECHNOLOGY, for the scientific field of food technology,
3. Study track NUTRITION SCIENCE, for the scientific field of nutrition science.

### **Article 4.**

#### **Study Duration**

- (1) Tuition lasts 3 years (six semesters).
- (2) The PhD candidate is entitled to complete the studies under the terms under which he/she enrolled in the studies, within eight years from the day of enrolment. Before the expiry of the eight-year deadline, he/she can submit a request for the continuation of studies. The Board in charge of postgraduate studies, acting upon the submitted request, determines the conditions for continued studies. The specified period of eight years does not include the time of suspension of obligations from paragraph 3 of this article.
- (3) The PhD candidate is entitled to the suspension of obligations of the academic year during the course of studies:
  1. During maternity/paternity leave/adoption leave,
  2. During sick leave longer than three months,
  3. In other cases, as foreseen by the law, collective agreement or general act of the University, i.e. Faculty,
  4. In other justifiable and reasoned cases.

The application with documents for suspension of obligations is submitted to the Board in charge of postgraduate studies within 15 days after the occurrence of the reason for suspension of obligations.

- (4) The PhD candidate status ends:
  1. At completion of studies,
  2. In case of dropping out,
  3. In case of not enrolling into next year,
  4. If for two consecutive academic years at least 35 ECTS credits are not earned,
  5. In other cases, as foreseen by the general act of the University or the Faculty.
- (5) The PhD candidate may lose his/her status in cases when:
  1. The quality of PhD candidate's work, assessed by annual evaluation procedures conducted by the Chief Coordinator of the PhD studies, Council and the Board is not satisfactory.
  2. The PhD candidate does not complete the studies within eight years from the day of enrolment into studies.
  3. The Faculty Council adopts a decision on suspending the procedure for acquiring the PhD title pursuant to article 30, paragraph 3, article 36, paragraph 3, clause 3, and article 38, paragraph 2 of this Ordinance.
  4. Based on a disciplinary decision after conducted procedure according to the acts of the University or the Faculty, expulsion occurs.
  5. The employment agreement is terminated due to severe breach of work obligations or the University's Code of Ethics.

### **Article 5.**

#### **Status of a PhD Candidate**

- (1) The PhD candidate enrolled into PhD studies can be:

1. A person whose study expenses are covered from the scientific and higher education system;
  2. A scholar receiving Croatian or international scholarships;
  3. A scholar receiving scholarships from Croatian or international funds or foundations;
  4. A person whose study expenses are covered by Croatian or international scientific research projects;
  5. A person whose study expenses are borne by the legal entity of his employment;
  6. A person covering her/his own study expenses.
- (2) At enrolment into PhD studies, the person enrolling into PhD studies stipulates the study funding terms (terms for funding the research are determined when determining the mentor and thesis draft (topic, synopsis)).
- (3) During the studies it is possible to change the source of funding the studies.
- (4) Tuition fee, tuition fee difference, tuition fee for foreign citizens PhD candidates and other study expenses, as well as the manner and terms of payment, are determined by special decisions of the Faculty Council.

#### **Article 6.**

#### **Language**

- (1) The PhD study programme is carried out in the Croatian language but can also be carried out in the English language.
- (2) The PhD thesis is written and defended in the Croatian language.
- (3) In some cases, at reasoned request of the candidate, it is possible to approve writing and defending the PhD thesis in the English language following the procedure and as determined by this Ordinance.

### **2. RUNNING THE STUDY PROGRAMME**

#### **Article 7.**

#### **Competent Bodies**

Competent bodies for running the PhD studies are the following: Chief Coordinator of the PhD studies, Study Track Coordinators, Board in charge of postgraduate studies, the Faculty Council and the Dean of the Faculty.

#### **Article 8.**

#### **Board in Charge of Postgraduate Studies**

- (1) The Faculty Council appoints the Board in charge of postgraduate studies (hereinafter: the Board) as its permanent body.
- (2) The Board consists of the Chief Coordinator of the PhD studies, Study Track Coordinators, Chief Coordinator of postgraduate specialist studies, elected members of the Faculty Council and one representative of assistants promoted to the position of an Assistant. The Board is chaired by the Chairperson, who also convokes its meeting, and is elected by the members of the Board among themselves, at the Dean's proposal at the constitutional meeting convoked by the Dean.
- (3) The Chief Coordinator of the PhD studies and Study Track Coordinators are members of the Board by virtue of position.
- (4) The representative of assistants is elected into the Board by assistants amongst themselves at a joint meeting for the term of two years.
- (5) The Vice Dean for science also participates in the Board's work, especially in tasks related to:
  - Creation of strategic policies related to science;
  - Realization of the Strategic Programme of scientific research;
  - Internal and external valuation procedures;
  - Amendments to PhD thesis topics.
- (6) The Board performs the following tasks:

- Prepares proposals of entrusting the carrying out of lectures at PhD studies;
  - Prepares drafts of ordinances and other regulations related to PhD studies;
  - Manages entrance calls and enrolment of PhD candidates;
  - Decides on applications by students according to the authorisation of the Faculty Council;
  - Cooperates directly with the Office for PhD Studies in performing administrative and technical tasks related to the running of studies;
  - Performs other tasks related to the organisation and running of PhD studies;
  - Makes the Dean and the Faculty Council proposals of decisions related to material business aspects of studies;
  - Prepares materials for Faculty Council meetings within the scope of its competence.
- (7) The Board is obligated to take care of studies quality assurance in manners described in article 45 of this Ordinance.

#### **Article 9.**

##### **Chief Coordinator of the PhD Studies**

- (1) The Chief Coordinator of the PhD Studies is proposed by the Faculty Management and appointed by the Faculty Council. The term of office of the Chief Coordinator usually lasts as long as the term of office of the Faculty Dean.
- (2) The Chief Coordinator coordinates the work of Study Track Coordinators and performs other tasks related to the organisation and running of studies, and informs thereof the Board, i.e. the Faculty Council.
- (3) The Chief Coordinator is obligated to take care of studies quality assurance in manners described in article 45 of this Ordinance.

#### **Article 10.**

##### **Study Track Coordinators**

- (1) Study Track Coordinators are appointed by the Faculty Council at the proposal of the Chief Coordinator of the PhD studies and the Dean.
- (2) Study Track Coordinators coordinate the work of teachers that carry out lectures of a certain study track and perform other tasks related to the organisation and running of the study track they are coordinating, and inform thereof the Board, i.e. the Faculty Council.
- (3) The Study Track Coordinator is a PhD candidate's study counsellor until appointment of the mentor, until which time he/she performs all the tasks of the mentor as described in article 19 of this Ordinance.

#### **Article 11.**

##### **Faculty Council**

The Faculty Council performs the following tasks within the study programme:

- Entrusts the carrying out of lectures at PhD studies;
- Appoints the Chief Coordinator of the PhD Studies;
- Appoints Study Track Coordinators;
- Appoints Board members;
- Approves the PhD thesis topic;
- Appoints the mentor;
- Appoints expert boards for the acceptance of thesis drafts, evaluation and defence of PhD thesis;
- Considers and adopts reports of expert boards;
- Considers and adopts decisions related to the price of PhD studies.

### **3. ENROLMENT**

#### **Article 12.**

##### **Public Entrance Calls**

- (1) Enrolment into PhD studies is realised based on public entrance calls announced by the Faculty Council at least 1 month before the beginning of lectures.
- (2) Entrance calls are in general announced once per academic year and published in the press and on websites of the Faculty and the University.
- (3) A public entrance call contains information related to the requirements for enrolment, number of open positions, documents and other appendices with the application, deadlines for enrolment, selection and enrolment criteria, and other information.
- (4) The Faculty Council adopts the final decision related to the running of PhD studies for which public entrance call has been published to determine if there is sufficient number of candidates fulfilling the requirements for enrolment.

#### **Article 13.**

##### **Application to Entrance Call**

- (1) The candidate is obligated to apply to entrance call for the study within the deadline specified in entrance call.
- (2) The application to the entrance call includes the selection of the study track, proposal of the field of work and explanation of the scientific field selection.

#### **Article 14.**

##### **Requirements for Enrolment**

- (1) Any person with finished university undergraduate study programme (old programme) or graduate study programme in the relevant field can enrol into studies.
- (2) Any person with completed undergraduate study programme (old programme) must have realised the lowest grade point average during the course of studies of 3.51 or must have a reference from two teachers from the faculty where they completed the undergraduate study programme and a reference from the employer explaining the need for enrolment into PhD studies.
- (3) Any person with completed graduate study programme must fulfil the following requirements: in total 300 earned ECTS credits, grade point average at the undergraduate study programme of at least 3.51 and grade point average at graduate study programme of at least 3.71.
- (4) Masters of Science in the relevant scientific field can enrol into the study programme for acquiring the PhD title under the conditions specified by the Board in line with legal regulations.
- (5) Exceptionally, persons with completed university undergraduate studies (old programme) or graduate studies, i.e. persons who acquired the Master of Science title in other scientific fields and have additional expert and/or scientific reference in the field of biotechnical sciences that according to the judgment of the Board qualify them for enrolment may enrol into the study programme. For each such PhD candidate the Board adopts a decision determining additional conditions for enrolment.
- (6) An interview with the candidate is a compulsory integral part of the enrolment procedure, whereat all necessary conditions for the completion of studies within the foreseen period are clearly defined.

#### **Article 15.**

##### **Diplomas Acquired at Foreign Universities**

- (1) A candidate who acquired the diploma on completed undergraduate, or graduate university study programme at a foreign university is obligated to obtain at his/her own expense and on the occasion of applying to the entrance call the decision of the competent body on academic recognition of foreign higher education qualification, and recognition of the study duration, i.e. ECTS credits for enrolment in the PhD studies at this Faculty.



- (2) For the candidate from paragraph 1 of this article, the fulfilment of requirements for acceptance into PhD studies is determined by the Board.
- (3) For the candidate from paragraph 1 of this article, the Board may require an entrance exam and/or differential exams from the undergraduate, or graduate study programme of the Faculty. Passed entrance exam and/or differential exams are not included in the total ECTS credits.

#### **Article 16.**

##### **Foreign Citizens Candidates**

Foreign citizens candidates enrol into studies under the same conditions as Croatian citizens with the obligation of paying the studies according to the decision from article 5, paragraph 4 of this Ordinance.

#### **Article 17.**

##### **Selection of Applied Candidates**

- (1) Candidates are informed in written form of the result of their application to the studies.
- (2) A candidate whose application was not accepted can submit an objection to the Faculty Council via the Board in charge of postgraduate studies within the period of 15 days from receiving the notification.
- (3) The decision of the Faculty Council is final.
- (4) Names of selected candidates and their qualifications are publicly announced on the websites of the study programme.

#### **Article 18.**

##### **Contract on Studying**

- (1) The Faculty shall not conclude a contract on studying with the candidate employed at the Faculty, as an employment contract was stipulated with such candidate governing mutual rights and obligations.
- (2) The Contract on Studying with Payment is concluded with the candidate who realises the right to enrol in the PhD studies, and pays the tuition fee or tuition fee difference by himself/herself.
- (3) The contract mentioned in the paragraph above determines the status of the PhD candidate, the amount of the tuition fee and the rights and obligations of parties to the contract.
- (4) Material expenses of preparing the experimental part of the PhD thesis are not included in the tuition fee, and the candidate shall sign a declaration of consent thereof at enrolment.

#### **Article 19.**

##### **Mentor**

- (1) The mentor is proposed by the Board in agreement with the PhD candidate. A mentor must meet the following requirements:
  1. At least 3 published contributions released in Web of Science-indexed journals within the last 5 years dealing with the science domain conformant to the PhD thesis topic;
  2. Having been promoted at least into the science-lecturing position of an Assistant Professor or a Research Associate, or equivalent, if the mentor acquired the academic title abroad
  3. Is an active scientist in the field of research of the PhD thesis, i.e. Chief Investigator or a team member engaged in the research project;
  4. Is scientifically active, relevant in the international scientific community, and with published contributions dealing with the science domain conformant to the PhD thesis topic;
  5. *Professor emeritus*, i.e. regular member of the Croatian Academy of Sciences and Arts can also be appointed mentor.
- (2) The Faculty Council decides on the number of PhD candidates that can be concurrently mentored by the same mentor.
- (3) Prior to the first time-mentorship, the mentor must complete the appropriate training in terms of mentors-targeted workshop organised by the University of Zagreb or a renowned international school.

- (4) A PhD candidate may be assigned the mentor not affiliated with the Faculty, but meeting the criteria stipulated under the above paragraphs.
- (5) Mentor not affiliated with the University or the Faculty must sign the collaboration & responsibilities-assuming contract co-signed by the Dean.
- (6) A faculty member may accept mentorship at another university provided that the appropriate approval has been issued either by his/her employing Faculty or the University.
- (7) Should the Faculty Council concur, a mentor that undertook that responsibility prior to his/her retirement is entitled to proceed until the completion of the PhD thesis he/she mentors.
- (8) In order to ensure a PhD thesis quality, a dual mentorship must be allowed should such a need arise (for instance, due to the interdisciplinary nature of the research or the need for conducting research at multiple research sites under the roof of more than one institution).
- (9) Acting upon the proposal of the Board, the Faculty Council passes the decision on the appointment of the mentor competent in the field of expertise tackled by the PhD thesis; the decision is corroborated by the University Senate in line with Article 31, paragraphs 3 and 4 of this Ordinance.

#### **Article 20.**

##### **Mentor's Obligations**

- (1) The mentor helps the PhD candidate select courses from the selected study track programme, refers him/her to literature and the application of appropriate scientific-research methods, helps the PhD candidate choose the topic and prepare the PhD thesis, monitors the quality of his/her work, incites him/her to publish papers and enables him/her to participate in scientific projects.
- (2) In case of dual mentorship, each mentor assumes responsibility for a certain part of research and procedure of preparing the PhD thesis defined in advance, with the explanation enclosed with the proposal of the Board on appointing the mentor.
- (3) The mentor regularly submits a report on the PhD candidate's work to the Study Track Coordinator on the form issued by the University.
- (4) Before appointing the mentor all obligations from above paragraphs are fulfilled by the selected Study Track Coordinator in the capacity of the PhD candidate's study counsellor.

#### **Article 21.**

##### **Candidate's Rights and Obligations**

- (1) A PhD candidate is bound by the obligation to submit an annual report on his/her activities (and to present his/her research agenda, if so requested) to the Faculty Council using the form issued by the University.
- (2) A PhD candidate is allowed to a single request for mentor and/or thesis topic changing, which is to be submitted in writing and to which the former mentor's opinion statement should be enclosed; the request is to be submitted on the form issued by the University.
- (3) A PhD candidate is bound by the obligation to publish at least one original contribution in a Web of Science – indexed journal, or have it accepted for publication in such a journal, it must be related to the PhD thesis research and the candidate must be the sole or one of the most prominent authors of the contribution in reference. Each paper, except with special explanation (e.g. equal co-authorship) may qualify only one PhD candidate.

#### **4. STUDYING**

#### **Article 22.**

##### **Tuition and Scientific-Research Work**

- (1) The Study programme is realised through scientific-research work and lectures held at the Faculty by which the PhD candidate earns relevant credits. With the approval of the Board, the scientific-research work may be conducted also at another scientific-research institution.

- (2) The tuition foreseen within the frame of PhD studies is delivered according to the operational tuition plan in form of lectures, practicals, seminars, counselling and seminar papers.
- (3) The PhD candidate and mentor select elective courses in the manner and scope prescribed by the study programme tuition plan. Pending explanation and approval of the mentor and the Board, the maximum of 6 ECTS credits can be earned by attending courses offered by other PhD study tracks. For courses that the PhD candidate can elect from other study programmes, the number of ECTS credits earned shall be equal to credits awarded in the enrolled study programme at the Faculty.
- (4) During the PhD study programme, the PhD candidate shall have to earn at least 180 ECTS credits, out of which 30 ECTS credits being earned through the attendance of tuition in form of lectures, seminars and practicals delivered within the frame of core (mandatory) (3 x 5 ECTS) and elective courses (5 x 3 ECTS), and 150 ECTS credits on activities variety of elective activities related to the original research (scientific papers) and other activities, according to article 24 of this Ordinance.

### **Article 23.**

#### **Exams**

- (1) Tuition of a taken course finishes with an exam.
- (2) PhD candidates are entitled to take exams after finished tuition and fulfilled other obligations from the implementation plan and the curriculum, and after collected signatures. The PhD student has to pass exams from each course within 2 years after completed lessons of that course. The Board in charge of PhD studies can extend this period at the student's request for justifiable reasons at the latest until the submission of the thesis for assessment in line with article 33 of this Ordinance.

### **Article 24.**

#### **Earning ECTS Credits**

Obligations and elective activities and the criteria for their valuation in ECTS credits are the following:

- 30 ECTS credits are earned by the student via lectures at the moment of having passed all examinations;
- 75 ECTS credits are earned by the student for an original contribution dealing with the topic falling within the science domain tackled by the PhD thesis and published in a journal having an impact factor of 0.500 or more, indexed in the Science Citation Index (SCI) – Expanded and Current Contents (CC) databases. On the occasion of ECTS credits' allocation, the impact factor valid for the year of publication is taken into account, or, if not applicable, that valid for the latest precedent year.
- 50 ECTS credits are earned by the student for a contribution dealing with the topic falling within the science domain tackled by the PhD thesis and published in a journal having an impact factor of less than 0.500, indexed in the Science Citation Index (SCI) – Expanded and Current Contents (CC) databases. On the occasion of ECTS credits' allocation, the impact factor valid for the year of publication is taken into account, or, if not applicable, that valid for the latest precedent year.
- 25 ECTS credits are earned by the student for a contribution dealing with the topic falling within the science domain tackled by the PhD thesis and published in a journal indexed in other secondary publications as provided for under the Ordinance on the terms of promotion into science positions (Official Gazette, number 84/05);
- 15 ECTS credits are earned by the student for a contribution dealing with the topic falling within the science domain tackled by the PhD thesis and published in proceedings of international scientific meetings tagged as SCI Proceedings and/or CC Proceedings;
- 12 ECTS credits are earned by the student for a contribution dealing with the topic falling within the science domain tackled by the PhD thesis and presented at an international scientific meeting organised by a European or global scientific association;
- 6 ECTS credits are earned by the student for a contribution dealing with the topic falling within the science domain tackled by the PhD thesis and presented at a national scientific meeting;

For published contributions having a total of up to 10 authors, the candidate earns the full number of ECTS credits; for contributions having more than 10 authors, the candidate earns 50% of specified ECTS credits.

- Mostly 20 ECTS credits in total for attending a lifelong learning course organised in the homeland or abroad;
- 5 ECTS credits for held public defence of the PhD thesis draft from article 31 of this Ordinance, with acceptance of the PhD thesis draft;
- 3 ECTS credits for held presentation of research based on the PhD candidate's annual report on his/her activities;
- 4 ECTS credits for passive participation at a scientific meeting;
- 2 ECTS credits for attendance of a single-day expert meeting;
- 4 ECTS credits for attendance of a two-day expert meeting.

The total number of ECTS credits earned by students by attending scientific or expert meetings and seminars may not exceed 20.

#### **Article 25.**

##### **Enrolment into the Next Study Year**

- (1) Enrolment into the next study year is realised by the student at the Office by filling in prescribed forms if he/she has fulfilled all the requirements for the next study year.
- (2) Requirements for enrolment into the next study year are the following:
  - PhD candidate's annual progress report for the first study year
  - Study counsellor's/mentor's annual report on the PhD candidate's progress in the first study year
  - PhD candidate's individual agenda for the second study year
- (3) Requirements for enrolment into the third study year are the following:
  - Selection and PhD thesis draft application (synopsis, topic)
  - Selection of mentor
  - Earned in total 35 ECTS credits in the first and second study year
  - PhD candidate's annual progress report for the second study year
  - Mentor's annual report of the PhD candidate's progress in the second study year
  - PhD candidate's individual agenda for the third year

### **5. PHD THESIS APPLICATION, EVALUATION AND DEFENCE PROCEDURE**

#### **Article 26.**

##### **Commencing the Proceedings of Acceptance of the PhD Thesis Draft and Mentor Proposal**

- (1) In the course of studies, at the earliest in the first and at the latest by the end of the fifth semester, the mentor and the draft PhD thesis (synopsis, topic) are determined.
- (2) The proceedings of acceptance of PhD thesis draft and proposing the mentor are commenced by the PhD candidate at the latest by the end of the fourth semester of PhD studies.

#### **Article 27.**

##### **Application of the PhD Thesis Draft**

- (1) The PhD candidate commences the proceedings of PhD thesis draft acceptance by submitting an application to the Faculty Council via the Board, using the form issued by the University.
- (2) Application of PhD thesis draft should include the following data:
  - General information on the PhD candidate,
  - CV and list of publications of the PhD candidate,
  - Title of proposed PhD thesis in Croatian and English language,
  - Proposal of the language in which the thesis shall be written and defended,
  - Data on the proposed mentor and his/her competencies,
  - Explanation of the proposed topic,
  - Fundamental research goal and the research plan,
  - Research methodology,

- Expected original contribution of the proposed research to the current state-of-art,
  - Assessment of costs of research and proposed funding sources,
  - Declaration Statement that an identical PhD thesis topic was not submitted for consideration under any other study track offered by the University, or to any other university whatsoever.
- (3) With the application, a PhD candidate must enclose:
- The proposed list of members of the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor, using thereby the appropriate form issued by the Faculty, in agreement with the proposed mentor,
  - Student index,
  - The list of publications of each Board member, published in the last 5 years.
- (4) All scientific research conducted on or involving humans or animals must be in line with regulations, have the approval of the ethics committee of the constituent or the University, as well as that of the institution where the research is conducted, consent of all subjects individually if they are capable of giving one, or of their proxies or legal representatives.

#### **Article 28.**

##### **The Board in Charge of Evaluation of the PhD Thesis Draft and of Proposing of the Mentor**

- (1) The Board in charge of evaluation of the PhD thesis draft and of proposing the mentor is constituted of 3 to 5 members.
- (2) Members of the reference Board can be recruited solely from the pool of scientists promoted at least into the position of an Assistant Professor or higher positions.
- (3) A member of the Board shall have at least 3 original contributions released in Web-of-Science-indexed journals in the last 5 years and dealing with topics falling within the domain tackled by the PhD thesis. At least one member of the Board must be recruited from the pool of employees promoted into the position of a full professor or associate professor, i.e. corresponding science position.
- (4) At least one of the Board members is not to be recruited from the pool of lecturers lecturing within the frame of the studies in reference, and even not from the roster of the Faculty employees.
- (5) The proposed PhD candidate's mentor cannot be the member of the Board in reference.
- (6) On the occasion of considering the PhD thesis draft application, the Board confirms proposed Board members, or proposes new members and/or changes the number of members and sends the proposal to the Faculty Council. The Faculty Council, acting upon the proposal of the Board, accepts the PhD thesis draft application and appoints the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor.

#### **Article 29.**

##### **Public Defence of the PhD Thesis Draft**

- (1) The PhD candidate delivers the defence talk for the applied PhD draft topic publicly, in front of the members of the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor, members of the Board and other interested parties.
- (2) The public defence of the PhD thesis draft is used to evaluate more precisely the reality of achieving expected contribution of the PhD thesis to the current state-of-art.
- (3) The public defence of the PhD thesis draft shall be held within 2 months from the day of submitting the application of the PhD thesis draft. The time period from 15 July until 31 August and from 20 December until 7 January is not included in this term.
- (4) The office publicly announces the date of the public PhD thesis draft defence, the title of the proposed PhD draft, and the members of the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor on the bulletin board and websites of the Faculty at least 8 days prior to the public defence of the PhD thesis draft and electronically informs thereof the candidate, members of the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor, all Faculty Departments and members of the Board.
- (5) Public defence of the PhD thesis draft is headed by the Board in charge of postgraduate studies, and the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor drafts the report

on the public defence of the PhD thesis draft on the form issued by the University for the evaluation of the PhD thesis draft.

### **Article 30.**

#### **Rewriting and Rejection of the PhD Thesis Draft**

- (1) The proposal for rewriting and remarks to the proposed PhD thesis draft may be given to the PhD candidate and proposed mentor by the Board on the occasion of considering the PhD thesis draft application. The Board shall refer the PhD thesis draft application into further procedure to the Faculty Council for acceptance of the PhD thesis draft application and appointment of the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor only after submission of written PhD thesis draft in accordance with the Board's explanation. The decision on rewriting may also be adopted by the Faculty Council in the procedure of accepting the PhD thesis draft.
- (2) Proposals for rewriting and remarks to the proposed PhD thesis draft may be given to the PhD candidate and proposed mentor by the members of the Board on the occasion of public defence of the PhD thesis draft, which is noted in the report on the public defence of the PhD thesis draft.
- (3) The Faculty Council shall adopt a special decision on suspending the proceedings for acquiring the PhD title at the proposal of the Board in case of rejecting the PhD thesis draft, i.e. when the Board evaluates negatively the PhD thesis draft application after having requested its rewriting which was not done within 2 months from the request.

### **Article 31.**

#### **Evaluation of the PhD Thesis Draft**

- (1) The Board in charge of evaluation of the PhD thesis draft and of proposing the mentor submits to the Faculty Council the evaluation of the PhD thesis draft on the form issued by the University at the latest three months from the acceptance of the application and appointment.
- (2) The evaluation of the PhD thesis draft should include the following data:
  - General information on the PhD candidate,
  - General information on the proposed PhD thesis draft,
  - Report from the public defence of the PhD thesis draft,
  - Assessment of possibility of original contribution to the current state-of-art,
  - Proposal for changing or rewriting the title,
  - Assessment of the financial and organisational research feasibility,
  - Proposal of appointing the mentor.
- (3) The Faculty Council shall give a response to the Board in charge of evaluation of the PhD thesis draft and of proposing the mentor at its next seat.
- (4) Acting upon the favourable decision of the Faculty Council and the pertaining appendices (application of the proposed PhD thesis draft and its evaluation), the Domanial Council proposes the University Senate to approve of the PhD thesis draft and the proposed mentor. The Senate is bound by the obligation to decide on the matter at the next seat.

### **Article 32.**

#### **Changing the Proposal of the PhD Research and/or Mentor**

- (1) The PhD candidate is entitled to change the mentor and/or proposal of the PhD research, with written request and statement of opinion of the current mentor, on the form issued by the University. The decision about this is made by the Faculty Council, at the proposal of the Board.
- (2) In case of requesting the change of proposal of the PhD research, it is also necessary to enclose the new form for the application of the PhD thesis draft.

### **Article 33.**

#### **Commencing the Procedure of Evaluation of PhD Thesis**

- (1) The procedure of evaluation of PhD thesis can be launched by a PhD candidate whose PhD thesis draft has been accepted, but not sooner than all obligations foreseen under the study programme

have been successfully fulfilled, 180 ECTS credits have been earned and all expenses determined by decisions from article 5, paragraph 4 of this Ordinance have been paid, at the latest within 7 years from the day of enrolling into PhD studies.

- (2) The period of suspension of PhD candidate's obligations from article 4, paragraph 3 of this Ordinance is not included in the deadline from the paragraph above.

#### **Article 34.**

##### **Submitting the PhD Thesis for Evaluation**

- (1) A PhD candidate launches the PhD thesis evaluation procedure by virtue of lodging a written request thereof, together with the proposal of the members of the Board in charge of PhD thesis evaluation, co-signed by the mentor.
- (2) Enclosed with the request, a written approval of, and the opinion on, the conducted research and the attained original contribution to the state-of-art, compiled by the mentor, should be submitted. Should the mentor choose to deprive the candidate of his/her approval, he/she should give his/her reasons for such a decision within 15 days in writing. In any of the cases, the explanation of the mentor is to be communicated to the members of the Board in charge of PhD thesis evaluation, which take the above into account.
- (3) Enclosed with the request referred to above, a PhD candidate submits to the Faculty a copy of finished PhD thesis in spiral-bound hardcopy, the list of publications covering the scientific domain of relevance for the PhD thesis and a copy of each publication mentioned above or, in case of publications not yet released but accepted for publication, a certificate in proof of acceptance for publication, signed by the Editor-in-Chief of the journal in which the publication shall appear.
- (4) A PhD thesis is formatted and equipped in line with publicly announced instructions on the formal PhD thesis layout issued by the University.
- (5) Concurrently with the appointment of the members of the Board in charge of PhD thesis evaluation, the University makes the title and the abstract of the thesis in Croatian and English available on the University websites.
- (6) After appointing the Board in charge of PhD thesis evaluation, the Office submits to the Chairperson of the Board the thesis in hardcopy, and the PhD candidate is obligated to provide a copy of the thesis in hardcopy for other members of the Board.
- (7) At least one original contribution from paragraph 3 above and in accordance with article 24 of this Ordinance has to be released or accepted by a Web-of-Science-indexed journal, whereat the candidate must be the sole or one of the most prominent authors.

#### **Article 35.**

##### **Board in Charge of PhD Thesis Evaluation**

- (1) Acting upon the proposal of the Board, the Faculty Council appoints the Board in charge of PhD thesis evaluation, constituted of 3 to 5 members.
- (2) Members of the Board in charge of PhD thesis evaluation must fulfil the requirements from article 28, paragraphs 2, 3 and 4 of this Ordinance.
- (3) The mentor cannot be the member of the Board in charge of PhD thesis evaluation.

#### **Article 36.**

##### **PhD Thesis Evaluation**

- (1) The Board in charge of PhD thesis evaluation should submit the evaluation report at the latest within 3 months of the date of appointment. The time from 15 July until 31 August and from 20 December until 7 January is not included in this term. The Chairperson of the Board prepares the pertaining report based on the opinions of the Board members communicated to him/her in writing, signed by all members of the Board. Each Board member is entitled to submit a separate opinion.
- (2) The Board in charge of PhD thesis evaluation submits the report on PhD thesis evaluation to the Board in writing, using the form issued by the University.
- (3) In its report, the Board in charge of PhD thesis evaluation may propose the following:

- acceptance of the PhD thesis and explicitly state its original contribution to the state-of-art;
- rewriting of the PhD thesis and its final evaluation in the subsequent course;
- rejection of the PhD thesis, upon which the right of the PhD candidate to earn a PhD degree within the frame of the given study track is revoked.

In any of the three cases, the Board must explain the grounds for its decision.

- (4) The Board in charge of PhD thesis evaluation compiles its report in language in which the PhD thesis of concern is written. If the PhD thesis was written in a foreign language, the PhD candidate hires and covers the expenses of the certified interpreter for Croatian language who shall translate the report in the Croatian language.
- (5) Should the Faculty Council come to the conclusion that the report of the Board in charge of PhD thesis evaluation does not pose a solid rationale for taking the final decision on the evaluation of the PhD thesis in reference, it may exercise its right to appoint additional members of the Board and ask them to submit separate reports, or even appoint a completely new Board.
- (6) Should the report of the Board in charge of PhD thesis evaluation be unfavourable in terms of proposing the rejection of the thesis, the Faculty Council may choose to appoint additional Board members or a completely new Board, or to deprive the PhD candidate of his/her right to earn a PhD degree within the frame of the particular study track.

#### **Article 37.**

##### **Board in Charge of PhD Thesis Defence**

- (1) The Faculty Council, acting upon the proposal of the Board, appoints the Board in charge of PhD thesis defence, composed of 3 to 5 members and 1 substitutive member.
- (2) The Board may be composed of the same members as the Board in charge of PhD thesis evaluation. The mentor is entitled to participate in the thesis defence procedure, but not in the thesis evaluation.
- (3) Members of the Board in charge of PhD thesis defence must fulfil the requirements from article 28, paragraphs 2, 3 and 4 of this Ordinance.

#### **Article 38.**

##### **PhD Thesis Defence**

- (1) PhD thesis defence talk must be delivered not later than two months following a favourable PhD thesis evaluation adopted on the occasion of the Faculty Council session.
- (2) If a PhD candidate does not appear at the PhD thesis defence within the term from the paragraph above, the Faculty Council, acting upon the proposal of the Board in charge of postgraduate studies suspends the procedure for acquiring the PhD title and informs the PhD candidate thereof.
- (3) The defence talk is delivered in public and is carried out in line with the University protocol provided by the Office in written form. A defence talk must be delivered on the premises of the Faculty and in the language in which the thesis was written. Such a talk is delivered on a single occasion.
- (4) The defence talk delivery date is arranged by the mentor in agreement with Board members and the PhD candidate.
- (5) The invitation to this public event should be given at least 8 days prior to the defence.

#### **Article 39.**

##### **Minutes on PhD Thesis Defence**

- (1) During the defence talk delivery, minutes should be kept at all times. The proposed written form of the minutes in reference (on a form issued by the University) is provided to the mentor by the Office in charge of PhD studies.
- (2) Minutes are kept in Croatian or, in cases of defence talks delivered in other language, in the language in which the talk was delivered, but in the latter case at the expense of the PhD candidate, who covers the certified interpreter's fee out of his/her own pocket.



#### **Article 40.**

##### **Result of the Defence**

- (1) Following the defence talk, the Board decides on its successfulness and votes in favour or against. The result may be *rite*, *cum laude*, *magna cum laude* or *summa cum laude*. The decision is taken by virtue of the majority vote.
- (2) The decision is publicly announced by the Board Chairperson.

#### **Article 41.**

##### **Intellectual Property Protection**

- (1) If PhD thesis research results include innovation eligible for intellectual property rights protection, the PhD candidate and the mentor may inform the Office of Technology Transfer of the University thereof. In that case, the PhD candidate may, with the mentor's consent, prior to submitting the PhD thesis for evaluation, require the submitted PhD thesis be treated confidentially until the public defence.
- (2) The Office of Technology Transfer conducts the procedure of legal protection and commercialisation of research results, according to the Ordinance on the Office of Technology Transfer. In that case, the public defence may be postponed, with the PhD candidate's consent, for mostly one year from the submittal of the PhD thesis for evaluation. The certificate of the Office of Technology Transfer should be enclosed with the application for the postponement of public defence.
- (3) The PhD candidate acquires the copyright by the act of drafting the PhD thesis.

#### **Article 42.**

##### **Bound PhD Thesis**

- (1) The PhD candidate submits to the Office of postgraduate studies 3 bound copies of the PhD thesis and 2 standard media for digital copies of the PhD thesis.
- (2) The Office delivers one copy of the PhD thesis to the National and University Library in Zagreb and the Faculty library, at the latest one month after the defence.
- (3) The PhD thesis is permanently published in the public internet database of PhD theses of the National and University Library if approved by the author by written statement.

#### **Article 43.**

##### **Award of the PhD Degree**

- (1) A PhD candidate acquires the rights of a PhD foreseen by the labour law, on the day of successfully defending the PhD thesis, and the full rights of the academic degree and the diploma are acquired by pledging on the promotion and entry into the ledger of PhDs.
- (2) The PhD candidate should fill in the form issued by the University for the award of the PhD title within one month from the defence.
- (3) Based on the positive decision from article 40 of this Ordinance, the University of Zagreb issues a diploma on the PhD degree.
- (4) The PhD diploma is presented by the rector at a formal promotion that the PhD candidate can attend personally or via a proxy who must have the PhD title.

#### **Article 44.**

##### **Revoking the Academic Title**

- (1) If the PhD title was attained contrary to the conditions stipulated for its attainment, or if the PhD thesis was proven to be a plagiarism, or the procedure in the research was contrary to the ethical principles, the awarded academic title may be revoked for a person (hereinafter: party denounced) in the procedure analogous to that of the award of the academic title.
- (2) The person who believes that the academic title was attained contrary to stipulated conditions, ethical principles, or that the PhD thesis is a plagiarism, submits a written denouncement to the Board in charge of PhD theses of the University. The Board forwards it to the Faculty.

- (3) The competent body of the Faculty appoints a board that submits the report on the groundedness of the denouncement. The competent body of the Faculty makes a decision about the report at a seat that can be attended by the denouncer and the party denounced.
- (4) The decision of the competent body of the Faculty is sent for approval to the competent bodies of the University.
- (5) With the revoking of the PhD title, positions which require the PhD title are also lost.

**Article 45.**

**PhD Studies Quality Assurance Methods**

- (1) The Chief Coordinator of the PhD studies, i.e. Study Track Coordinator is obligated to keep detailed records on research work and other fulfilled obligations related to the studies for each individual PhD candidate, including the obligations plan (e.g. drafting of the PhD portfolio). The Board is obligated to take care of the workload and success of a mentor, and to keep records for each mentor of the number of enrolled PhD candidates and the number of PhD candidates who have defended their PhD Thesis.
- (2) Each year the Board carries out the self-assessment of postgraduate studies based on mentors' and PhD candidates' reports and submits the report to the Faculty Council and to the University, on the form issued by the University.
- (3) Reports on self-assessment are enclosed at reaccreditation procedure.
- (4) The postgraduate studies assessment criteria include: scientific production of teachers and PhD candidates, tuition, relevance and quality of PhD theses, statistical indicators of study duration, statistical indicators of the annual number of new PhDs as related to the number of PhD candidates, and the employability of PhDs.

**6. TRANSITIONAL AND FINAL PROVISIONS**

**Article 46.**

**Interpretation of the Ordinance**

The Faculty Council is in charge of interpretation of this Ordinance.

**Article 47.**

**Transitional and Final Provisions**

This Ordinance shall enter into force on the day of acceptance at the seat of the Faculty Council and shall be published on the web page of the Faculty at the address [www.pbf.unizg.hr](http://www.pbf.unizg.hr). It shall apply to students enrolled according to the public call for the academic year 2016/2017 and later.

DEAN

Prof. Damir Ježek, PhD