

A photograph of a person standing in a misty forest. The sun is low on the horizon, creating a dramatic light effect with rays of light streaming through the trees. The person is silhouetted against the bright light. The forest floor is covered in fallen leaves and twigs.

Charles University
Faculty of Social Sciences
Institute of Economic Studies

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HANDBOOK
for Doctoral Students

2023/2024

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1. SCHEDULE OF THE ACADEMIC YEAR 2023/2024

All important dates are included in the academic calendar at the Faculty webpage. The academic year starts on 1. 10. 2023 and finishes on 30. 9. 2024.

- Enrolment in study: Only newly admitted students have to enrol in study before the start of the academic year according to the instructions of the Study department. Students in higher study years are enrolled automatically (no action in the Student Information System - SIS required).
- Winter semester teaching: 2. 10. – 22. 12. 2023
 - Enrolment in courses: Students need to register for individual courses through SIS (student profile): 19. 9. – 8. 10. 2023
- Summer semester teaching: 19. 2. – 17. 5. 2024
 - Enrolment in courses: Students need to register for individual courses through SIS (student profile): 6. 2. – 25. 2. 2024
- Dean's Days: 27. 10. 2023, 28. 3. 2024
- Rector's Day: 14. 5. 2024
- State doctoral exams within the following periods. Students need to register one month prior the beginnings of these periods.
 - 8. 1. – 9. 2. 2024
 - 20. 5. – 28. 6. 2024
 - 2. 9. – 20. 9. 2024

2. GENERAL INFORMATION

Doctoral studies are taken in a regular full-time and combined (part-time) form in both Czech and English form. In the Czech part-time study form, there are no reliefs in duties compared to the full-time studies. See Section 3 on the Study obligations. All students applying for the Czech program are thus recommended to start as full-time students. See Section 4 referring to scholarships in the standard period of full-time studies.

The standard period of doctoral studies is four years. The maximum period of study in a doctoral program is generally eight years. See the maximum length of your study in SIS. It has been prolonged for some students due to the COVID-19 pandemics.

The students study according to their Individual Study Plan under the guidance of an advisor (see Section 5).

The current Director of Graduate Studies, the Chairman of the Doctoral Council (CDC) and the Director of the Centre for Doctoral Studies (CDS) is prof. Evžen Kočenda.

Our IES community is quite small and closely knitted. IES PhD students are therefore expected to contribute to the functioning of the IES. IES PhD students are expected to assist as advisors and opponents for bachelor and master theses at the IES in their research areas. They are also expected to volunteer when the IES needs people for official functions, such as participating at matriculation and graduation ceremonies. Some graduate students are also working at the Faculty and the University Senates to protect the interests of our PhD students.

Students are asked to mention IES affiliation (possibly together with other affiliations) to help to publicize the IES among research community.

2.1. FULL-TIME STUDY OBLIGATIONS OVERVIEW

All doctoral students in Czech programs (full-time and part-time) and full-time English program students, must fulfil the following obligations prior to the defense of the dissertation. Passing the State Doctoral Examination is obligatory by the end of the fourth study year. See more details in the following sections.

Teaching

- 8 teaching assistantships (decreased proportionally for early defenses)

Research

- 1 paper accepted in one of the B-rated journals (or higher), or 2 papers accepted for publication in a journal indexed in the Scopus database or in an impacted journal in the SSCI, SCI database
- Two grant activities
- Write dissertation thesis

PhD seminars

- Attendance at 4 doctoral seminars during the whole course of studies

Defenses

- At least 50% attendance at defenses and pre-defenses, or attendance at 7 defenses and pre-defenses each year (whichever is lower)

Students are expected to assist as supervisors and opponents for bachelor and master theses at the IES in their research areas.

There are further administrative obligations – most importantly the annual assessment of the Individual Study Plan (see Section 3.3).

2.2. COMBINED (PART-TIME) STUDY OBLIGATIONS OVERVIEW

All doctoral students in part-time English program must fulfil the following obligations prior to the defense of the dissertation. Passing the State Doctoral Examination is obligatory by the end of the fourth study year. See more details in the following sections.

Research

- 1 paper accepted in one of the B-rated journals (or higher), or 2 papers accepted for publication in a journal indexed in the Scopus database or in an impacted journal in the SSCI, SCI database
- Write dissertation thesis

Students are expected to assist as supervisors and opponents for bachelor and master theses at the IES in their research areas.

There are further administrative obligations – most importantly the annual assessment of the Individual Study Plan (see Section 3.3).

3. COURSE OF STUDIES

3.1. STUDY MILESTONES

After the end of each academic year, the Doctoral Council assigns every student with grades (A/B/C) based on the assessment of her/his Individual Study Plan. In the case of full-time students, the Doctoral Council at the same time decides on the adjustments of the student's scholarship.

- not finishing **at least one publication (minimum IES Working Paper quality) during the first year of studies** will lead to deterioration of student's evaluation and 50% cut in scholarship until the student publishes the WP. The student is then responsible for informing CDS about the publication. Having done so, the student's scholarship will then be augmented again from the beginning of the next month.
- if at least **one publication of IES WP quality** is not published **at the end of the second year** of the studies, it will lead to a grade C in the evaluation of student's performance, which means **termination of the study**.
- if there is no **published paper in SCOPUS journal or no submission of already published and approved WP by the end of the third year**, it will lead to a decrease of student's evaluation and a 50% cut in scholarship until the student submits published and approved WP. Importantly, submission of unpublished and not approved WP is not taken as submission, and therefore it could lead to a 50% cut in scholarship and a decrease of student's evaluation.
- not **passing the State doctoral exam by the end of the fourth year** leads to a grade C in the evaluation of student's performance, which means **termination of the study**. See Section 3.9 on the conditions for applying for the exam.
- not defending the PhD thesis by the end of the maximum study period means termination of the study.

3.2. ENROLMENT INTO PHD STUDIES

An applicant becomes a student on the day of his or her enrolment to the PhD programme. The date of enrolment is stated in the schedule for the respective academic year. Everything regarding the enrolment has to be communicated with the Study department that informs the accepted applicants about the schedule and enrolment requirements.

Second- and higher-year students are enrolled automatically based on the evaluation of one's previous performance by the Doctoral Council (no action in the Student Information System - SIS is required).

Enrolment in person for higher-year students is however still required for those terminating interruption of their studies and resuming to study again (see Section 7.4).

The confirmation of a student status can be retrieved by the student from SIS.

3.3. ADMINISTRATIVE DUTIES DURING STUDIES

3.3.1. CREATING THE INDIVIDUAL STUDY PLAN

Each first-year student, jointly with his or her advisor, is required to prepare an Individual Study Plan (ISP) in SIS according to ISP Sample („Vzor ISP“ or „Sample ISP“, to be downloaded from [IES web pages](#)) to be approved by the Doctoral Council by **the end of October**. ISP should be created in the language corresponding to the study program the student is enrolled into.

The ISP consists of a detailed lists of study obligations that will be achieved during the first academic year and a plan of obligations in higher study years, especially the plan for producing the dissertation.

For students in the full-time form of studies, it must contain specifically¹:

- Methodology seminar
- Teaching assistantships
- Doctoral seminars
- Publication plan
- Grant applications
- Defense attendance
- Opponency for bachelor and master theses
- Expected date of the State Doctoral Examination
- Schedule for the production of the dissertation
- Other obligations²

For students in the part-time form of studies, it must contain specifically:

- Publication plan
- Opponency for bachelor and master theses
- Expected date of the State Doctoral Examination
- Schedule for the production of the dissertation
- Other obligations

The Individual Study Plan should further include any study-related achievements and non-obligatory activities, e.g., conferences, stays abroad, supervising bachelor/master theses, refereeing for journals or grant agencies, etc.

Individual Study Plan needs to be **created electronically in SIS**. After logging in using student number and password, ISP can be accessed by clicking on the icon "Individual Study Plan for

¹ The Individual Study Plan must be consistent with the Code of Study and Examination of Charles University (the latest valid version) and the Organization of Doctoral Studies at FSV UK (the latest valid version of the Dean's Measure).

² The Doctoral Council might assign to students with insufficient knowledge of economic theory (e.g. microeconomics, macroeconomics or econometrics) the obligation to attend the corresponding Master level courses. These obligations are met if Master courses in given fields are passed with "excellent" or "very good".

PhD students". Active consultations with PhD supervisor are recommended before a student forwards the completed ISP in SIS to the supervisor for approval. At this stage, the supervisor can either approve ISP or return it to the student for additional changes. Once ISP is approved by the student's supervisor in SIS, it is forwarded to the Doctoral Council for approval. The Doctoral Council can either approve of ISP or return it to either student or their supervisor if any additional changes need to be made.

Once ISP is approved by the Doctoral Council, it is not required to print it nor sign it.

Changes and updates to the approved ISP are made electronically in SIS through the Annual Assessment of Fulfilling the ISP in May every academic year. See Appendix I for a Sample ISP.

3.3.2. ANNUAL ASSESSMENT OF THE INDIVIDUAL STUDY PLAN

Every academic year, by the end of May, all PhD students (whose studies are not currently interrupted) have to perform the assessment of their doctoral studies in the given academic year as well as further specify the intended course of their doctoral studies in the next academic year. The Annual Assessment of Fulfilling the ISP needs to be created in SIS according to the "Sample Assessment of fulfilling ISP" ("*Vzor hodnocení doktoranda a aktualizace ISP*" to be found on the IES website: <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules>) including accurate formulations.

The student needs to **comment on passing each obligation** from the Plan arranged for the current academic year. Obligations that have not been met can either be cancelled (with the advisor's approval) or postponed. Before submitting the Assessment, the student should secure the passing grades for TAs and doctoral seminars.

The **changes or revisions of the ISP** must be approved by the **Doctoral Council**, its **Chairman**, or a student's **supervisor**, depending on the nature of the change or revision. For example, a supervisor may approve changes in a publication strategy, but only the Doctoral Council approves the change of a dissertation topic, while its Chairman can approve the change of a dissertation title (see Section 7.2). When in doubt, a student should always consult the Study Department.

If the supervisor, the Doctoral Council, or its Chairman approves the changes after the deadline for submitting the ISP update, a student includes the changes during the next updating period.

Annual Assessment of Fulfilling the ISP needs to be approved by the student's supervisor and CDS in SIS by the end of May. Printing this document from SIS is not required.

Upon enrolment **after study interruptions**, the student must also submit Annual Assessment of Fulfilling the ISP over the previous period of study (including study interruption) in SIS if there are more than three months until the official period for the annual assessment (i.e., until May).

3.3.3. OTHER ADMINISTRATIVE DUTIES

Each student is obliged to **keep her/his personal IES webpage up-to-date**.

It is obligatory (according to the Rector's Directive 40/2021) to **establish the following personal identifiers and record them into IS Věda** (My Identifiers) with the proper affiliation to IES: **(1) ORCID, (2) Scopus AuthorID, (3) Web of Science ResearcherID**. The first identifier should be established immediately (possible before publishing in an impacted journal). For the latter two, an impacted publication is needed. The latter two should be recorded into IS Věda immediately after the first impacted publication. Methodology for personal research IDs at CUNI is provided by the university library.

Publications have to be reported to RIV (public database of research outputs) by the end of the calendar year at <https://verso.is.cuni.cz/>.

3.4. TEACHING

These obligations are applicable for all doctoral students in Czech programs (full-time and part-time) and full-time English program students.

3.4.1. METHODOLOGY SEMINAR AND IT SEMINAR

In order to improve teaching skills, each student is obliged to participate in a **methodology seminar** for first year PhD students.³ If the seminar is not attended within the course of the first year, it should be attended during the second year. In case a student does not participate in the methodology teaching seminar even during the alternative schedule, this duty transfers to a subsequent academic year. At the same time, after failing to participate in the methodology teaching seminar during each alternative schedule, the stipend will be reduced by 50% for three months.

Before using IES IT facilities, it is necessary to attend the **IT seminar** run by Ruslan Ljubačivskij (or Patrik Gottfried). If you have not attended this seminar at the beginning of your PhD studies, contact Theodor Petřík (theodor.petrik@fsv.cuni.cz) to schedule a different term.

3.4.2. TEACHING ASSISTANTSHIPS

Each student is obliged to provide **at least 8 teaching assistantships** during his doctoral studies. The teaching assistantships must cover **at least two different courses**. In the case that a student defends his or her dissertation before 8th semester, the required TAs are decreased proportionately.

The matching process takes place before each semester. Anna Pavlovová, as the CDS member in charge of matching students to teaching assistantships, distributes the list of available

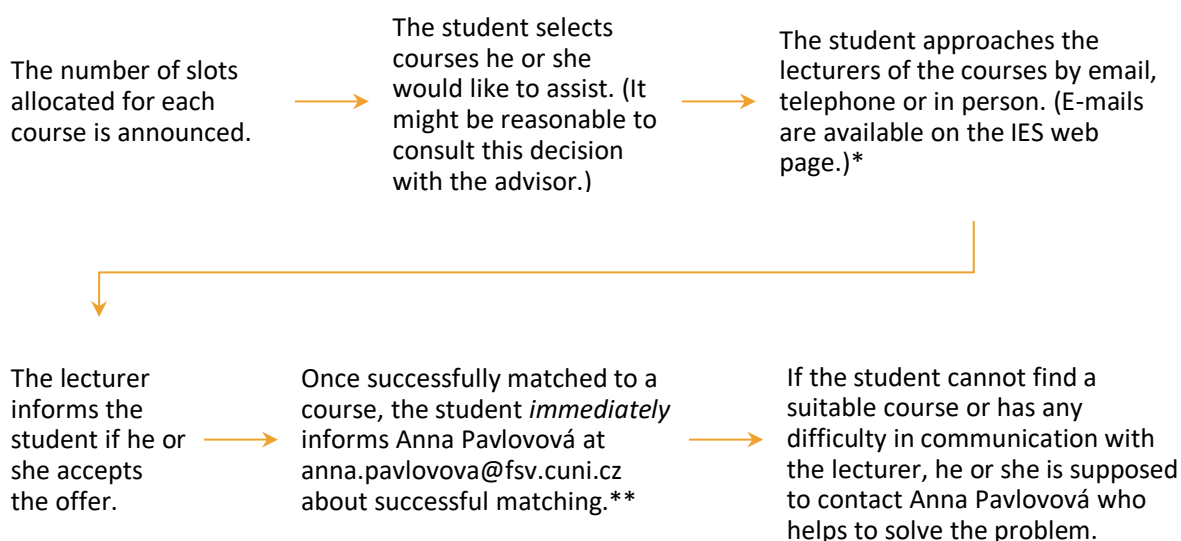
³The obligation can be exempted for students who produce verifiable evidence about their previous teaching experience. Exemption will be assessed on individual basis.

courses and the number of slots for each course by an email. There are “full” slots (equivalent to one TAship), “half” slots and “third” slots.

Example:

There are 3 parallel Microeconomics seminars taught with 3 allocated slots. If 3 students teach these seminars, each of them receives 1 TAship. If 6 students teach the above-mentioned seminars, each of them receives ½ of TAship.

The **matching process** to teaching assistantship positions proceeds as follows:



*This step is crucial.

**Do not forget to inform Anna Pavlovová if you continue the teaching assistantship from the previous year. It is recommended to do this ASAP, ideally prior to the first announcement of available slots, because otherwise the slot you want might be offered to someone else.

It is necessary that students serving as teaching assistants **enrol for teaching assistantship courses in SIS**. It is the student’s responsibility to be correctly registered (under the correct code). SIS assigns 6 credits to full teaching assistantships, 3 credits to 1/2 slots, and 2 credits to 1/3 slots. It means that you must have 48 credits from teaching assistantships by the end of your studies. There are nine courses distinguished by the intensity of teaching assistantship (full slot, 1/2 slot, 1/3 slot) with identifiers (A, B, C) for cases when you assist to more classes:

code	title	credits
JED511	Teaching Assistantship (Full) A	6
JED521	Teaching Assistantship (Half) A	3
JED531	Teaching Assistantship (Third) A	2
JED611	Teaching Assistantship (Full) B	6
JED621	Teaching Assistantship (Half) B	3
JED631	Teaching Assistantship (Third) B	2
JED711	Teaching Assistantship (Full) C	6
JED721	Teaching Assistantship (Half) C	3

Example:

- 1) *After the matching process you are assigned to teach 2 courses and don't share the slots with anybody else --> at the beginning of the semester you will register to JED511 and JED611.*
- 2) *You are assigned to teach 2/3 of one slot --> you will register to JED531 and JED631.*
- 3) *You are assigned to teach 2 courses with full slots and additionally have one half slot in another course --> you will register to JED511, JED611, and JED721.*

Please note that it is your responsibility to register correctly and to ensure that the teacher will grade you in the correct course at the end of the semester. If this condition is not met, your teaching assistantship will not be counted.

During the teaching assistantship, it is recommended to ask the lecturer for feedback regularly. In some cases, it might happen that the main lecturer is not satisfied with the student's performance - then the student is asked to improve his performance during the current semester. If his performance is not improved, the student will not receive points for teaching assistantship. In an extreme case of neglecting his duties as a TA, the Doctoral council may terminate his studies.

The CDS can assign a teaching assistantship to a student if necessary. The power of assigning students to particular assistantships will be used especially in case of a need to get qualified teaching assistants (TA) for core compulsory classes.

3.5. DOCTORAL SEMINARS

These obligations are applicable for all doctoral students in Czech programs (full-time and part-time) and full-time English program students.

Each student actively participates in the selected doctoral seminar and follows the course's requirements. All students have to enrol for the doctoral seminars electronically in SIS. Student may change her/his doctoral seminar during her/his studies, or she/he may enrol in more than one seminar during the same semester.

Each student must enrol for at least one doctoral seminar each semester to have in total 4 passed courses during the whole course of studies. Before applying for the State doctoral exam, the student must obtain four passing grades from the doctoral seminars, i.e., student has to have 4 semesters of active participation at doctoral seminars.

After the student obtains these 4 Pass ("*prospěl*") grades, her/his further participation in the doctoral seminar is not mandatory. However, all students are expected to continue active participation in the doctoral seminar during the whole course of studies including formal enrolment to the SIS system.

List of seminars is available at the webpage <https://karolinka.fsv.cuni.cz/KFSV-1578.html>. In the academic year 2023/2024, the following Doctoral seminars will be available:

JED109 / JED110 Institutional Economics and Economic Policy I and II

- organized by Paola Bertoli and Tomáš Cahlík

JED209 / JED210 Applied Banking and Finance I and II

- organized by Karel Janda and Evžen Kočenda

JED412 / JED413 - Advanced Financial Econometrics I and II

- organized by Jozef Baruník

JED414 / JED415 - Quantitative Methods in Macroeconomics and Finance I and II

- organized by Tomáš Havránek and Roman Horváth

3.6. RESEARCH

3.6.1. PUBLICATIONS

Publication process at the IES must comply with the highest ethical standards (<http://publicationethics.org/node/11184>). Before submitting your paper to a journal, you should always thoroughly review the quality of the journal, editorial board and if the journal explicitly describes ethical standards on their webpage (e.g., if it is a member of COPE).

In the Annual Assessment of ISP, you must provide comprehensive information about your publications, including ISBN, ISSN, paging, publisher etc. Include not only published papers, but also submitted and forthcoming papers.

Every year, your progress is assessed by the Doctoral Council, and information from the Annual Assessment of ISP and your web page are indicative of your performance. If you have more versions of an identical working paper, please note that it will be considered only once.

The Doctoral Council regards the publication in the IES WP series as a priority for IES doctoral students. The sense of the IES WP series is to provide students with feedback and prepare their publications for submission into a suitable journal. Hence the Doctoral Council advises doctoral students to publish their papers into the IES WP at first and does not recommend submitting paper into a journal directly. See Appendix III for a guide on how to proceed when publishing the IES WP.

If you have a publication, please, acknowledge the paper to the "SVV 260 729" project. There is a financial motivation connected to this activity as each publication dedicated to "SVV 260 729" project will be additionally awarded (amount of money depends on the type of journal, Impact Factor, SCOPUS refereed journal, etc.)

IES regularly updates a list of journals' rankings. Ranking of the journals is based on the Article Influence Score from the Web of Science. The list of Scopus Journals which are accepted within the PhD studies at IES is available from <https://ies.fsv.cuni.cz/en/research/overview> under link Our journal rankings. Students are expected to publish their papers in journals from this list. If the article is published in a journal that is not in this list, the student must submit a request to the Doctoral Council to approve the article for the purpose of the State doctoral exam and potentially the Dissertation thesis (see Section 7.3).

3.6.2. GRANT ACTIVITIES

There are two types of “grant activities”, either submission of a grant application or participation in a grant (regardless of its length). Activity connected with any grant agency is accepted (GAČR, GAUK, MŠMT, GDN). Team application or participation in a team grant is permitted, but please note that participation on huge institutional grants (e.g., GAČR of your supervisor) is not counted as your grant activity.

For example, a team of two students submit an unsuccessful joint grant application - they have one grant activity each. If the application is successful (regardless of the length of the grant), the main researcher has two grant activities and the co-researcher has one grant activity.

Students who entered the PhD program in the academic year 2021/2022 or later are required to be the principal investigators in at least one of their grant activities.

Do not forget to dedicate your work to the corresponding grants you are a part of.

3.6.3. CONFERENCES/STAYS ABROAD

Students are expected to present their papers at at least two international conferences, though it is not a strict requirement for either the State doctoral exam or for the Dissertation defense.

Stays abroad are also encouraged. There are various funding opportunities, such as the GEOCEP project (see Section 4). Credit recognition for e.g. attendance of doctoral seminar must be consulted with the Doctoral Council in advance (the approval of the Council before the stay is demanded). Hence contact the CDS (phd@fsv.cuni.cz) to administrate the formal request. The excuse from the attendance of doctoral defenses must be sent to the responsible CDS member also in advance. The student is responsible for arranging other requirements, so they are met, such as TAships.

3.7. DEFENSES ATTENDANCE

These obligations are applicable for all doctoral students in Czech programs (full-time and part-time) and full-time English program students.

The current attendance sheet is available [here](#). The information is continuously being updated.

How much to attend:

Each PhD student should attend **at least seven defenses/pre-defenses or 50 %** of them per year, whichever is lower. Such attendance will be taken as fully satisfactory during the performed evaluations. Attendance lower than 50% or seven defenses but higher than 25% or four defenses (whichever is lower) is likely to result in reduced evaluation by the Doctoral Council at the end of the semester, considering other student’s activities. Attendance under min (25%;4) will result not only in reduced evaluation by the Doctoral Council, but also in 50%

cut of scholarship. Defense participation is re-evaluated by the Doctoral Council at their annual autumn meeting and if the min (25%;4) condition is fulfilled, the student starts receiving 100% of the scholarship from the beginning of the next semester. Since the Annual Assessment of Fulfilling the ISP for academic year X/Y should be submitted at the end of May of the year Y, **defenses count from May 16 of the year X till May 15 of the year Y.**

Students are required to attend only a corresponding share of defenses for which they were actively studying, e.g., when a student returns to studies in the middle of an AY after a period of interruption, only four defenses are required or 50 % of defenses held during the period of active studies (whichever is lower). The similar holds for first-year students.

When are defenses held:

The defenses are held mostly during the teaching part of the semester (i.e., approximately October – December, middle of February – May) and occasionally in January, June and September. It is usually on Wednesday from 17:10.

Information about the defenses can be found on the IES website, IES PhD calendar (<https://www.google.com/calendar/embed?src=7gfcgsqrcrhhjc72gcij0nhe5s%40group.calendar.google.com&ctz=Europe/Prague>) and it is sent via mail as well.

Attendance absences:

Students should announce their absence **in advance** if they want to be excused from the participation (phd@fsv.cuni.cz, Lenka Nechvátalová and Diana Kmeťková)

Defense attendance can be excused in following cases:

- long-term stay abroad connected to PhD studies at the IES, which are part of ISP
- teaching at the time of the defense at IES
- active participation at a conference
- participation at a summer school

A proof is needed (letter of acceptance, travel documents, etc.). Long-term stay abroad and summer schools must be connected to PhD studies at the IES and must be part of ISP.

We do not excuse students who cannot participate in defenses due to illnesses, stays abroad not related to the studies at the IES, child-care etc. without any exceptions.

Attendance tracking student needs to join the defense on time and **sign the attendance sheet**. Please do not come later than 5 minutes after the start of the defense, otherwise your attendance might be disregarded.

3.8. OTHER STUDY-RELATED ACTIVITIES

Supervising bachelor/master theses

PhD students are expected to assist as advisors for bachelor theses in their research areas. Therefore, students are expected to propose topics/areas for students to choose from at their personal IES webpage. PhD students can supervise master theses; however, they are recommended to first supervise some bachelor theses before agreeing to be an advisor for a master thesis. **PhD students have to secure an approval of the Director of master studies (doc. Geršl) before they agree to act as an advisor for a master thesis.**

Bachelor/master (B/M) students approach their potential advisors based on their research field of interest. Once a PhD student agrees to supervise a thesis, the B/M student must prepare a proposal containing among others the thesis's hypotheses with the help of the advisor (PhD student). The final proposal has to be submitted in SIS. The advisor (PhD student) creates the new thesis in SIS (teacher profile) and assigns the student to it. The B/M student then fills in the proposal.

B/M students are informed about all the deadlines and are provided with the templates (both for the proposal and the thesis) in the B/M seminars which they attend. B/M students should settle on a topic approximately a year before they submit the finalized thesis (i.e., bachelor students usually search for an advisor during the summer semester of their second year of studies and master students during the summer semester of their first year of studies). The standard deadline for submitting B/M theses is in the first half of May. The other two deadlines are approximately at the end of July and at the beginning of January.

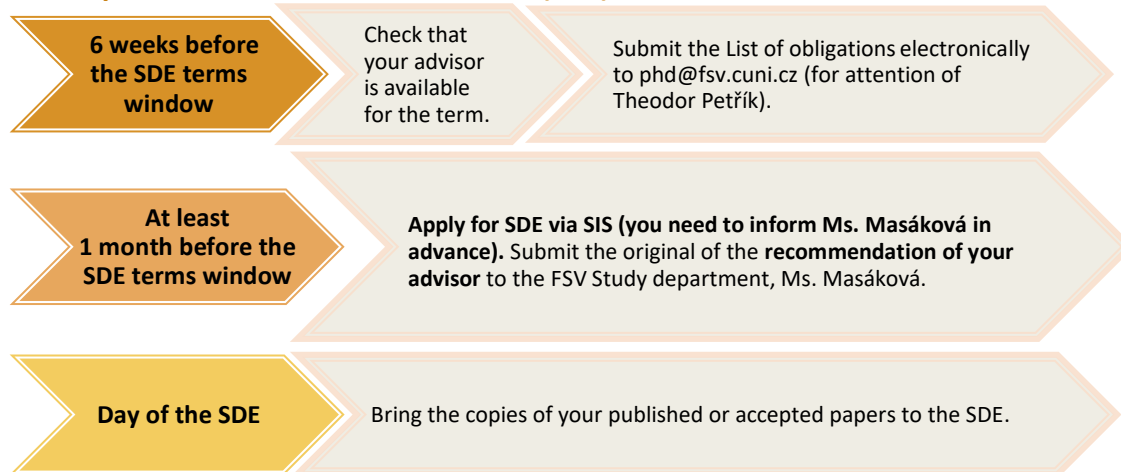
B/M students are expected to actively consult the thesis with their advisor when writing it. The advisor is expected to provide recommendations especially on structuring the thesis, on conducting a literature review (and referencing), on the appropriate methodology that corresponds to the level of studies, and on the results' interpretation. B/M students should regularly consult the thesis with their advisor. However, the frequency of these consultations is individual and depends on the agreement between the B/M student and the advisor.

When the finalized thesis is submitted in SIS by the B/M student, the advisor has to write a referee report and submit it in SIS. The advisor is not part of the defense committee and her/his presence during the defense is not required.

3.9. STATE DOCTORAL EXAMINATION (SDE)

Students must pass the State Doctoral Examination till the end of the fourth year. The very first term one can pass the SDE is September of the second year of student's studies. Students enrol for the examination in SIS, no later than one month prior to the SDE terms window specified in the Academic Calendar of the respective academic year. At the same time, all conditions given by the Individual Study Plan must be fulfilled before signing up for the exam. Individual Study Plan is always designed in such a way that a student passes the SDE till the end of the 8th semester at the latest. There are three SDE terms within each academic year, typically at the end of May, the first half of September, and the first half of January. Students are informed via email about the possibility to take the SDE by the CDS administrator in advance. The State Doctoral Exam is classified passed/failed and can only be retaken once.

Road map for State doctoral examination (SDE)



6 weeks before the SDE terms window

Check that your advisor is available for the term.

Submit the List of obligations electronically to phd@fsv.cuni.cz (for attention of Theodor Petřík).

At least 1 month before the SDE terms window

Apply for SDE via SIS (you need to inform Ms. Masáková in advance). Submit the original of the **recommendation of your advisor** to the FSV Study department, Ms. Masáková.

Day of the SDE

Bring the copies of your published or accepted papers to the SDE.

The two forms can be found on the IES web. The list of fulfilled obligations and the advisor's recommendation are both available at <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules>.

For any questions concerning SDE, contact Theodor Petřík (at theodor.petrik@fsv.cuni.cz).

For all students, entry to the SDE is, besides the fulfilment of the Individual Study Plan, conditioned on the satisfaction of the following requirements:

Successful research

- **The student must have two different original research papers.**
 - At least one of the papers must be published/accepted for publishing in a journal with impact factor in SSCI, SCI or a journal in Scopus database, and it must have the status of an article (any reviews or reports are not accepted). Only articles in Economics, Finance and closely related fields will be accepted. If the article is published/accepted in a journal that is not in the IES rankings list of journals' indexed in Economics/Finance, the student must submit a request to the Doctoral Council to approve the article for the purpose of the State doctoral exam and potentially that of the Dissertation thesis (see Section 7.3). The student must prove that the article is either published or accepted for publishing. Only articles accepted for publication while the student studies the PhD at the IES will fulfil this condition. At the same time, the articles must be affiliated to IES FSV UK.
 - The second paper must be accepted for publication at least in the IES Working Paper series. Only articles accepted for publication when the student studies the PhD at the IES will fulfil this condition. At the same time, the articles must be affiliated to the IES FSV UK. Only articles in Economics, Finance and closely related fields will be accepted. The second paper can be published in alternative working paper series of a similar quality as well. However, if this is a case, a positive approval of the Doctoral Council is needed.

OR

- **Alternatively, a student needs only one article published or accepted for publication in a journal with B ranking or higher** based on the internal methodology of the IES (see the IES rankings list of journals, available at <https://ies.fsv.cuni.cz/en/research/overview> at the bottom, see also the Appendix III). Only articles accepted for publication when the

student studies the PhD at the IES will fulfil this condition. At the same time, the articles must be affiliated to the IES FSV UK.

If the journal has Article Influence Score (AIS) of less than 0.1, the SDE committee will assess the quality of the article. This applies only to students who enrolled in the academic year 2021/2022 or later.

The papers may be co-authored, however if one author uses the article to fulfil the publication requirements for the State Doctoral Exam, no other author can do so. The same holds regardless of the co-author's affiliation.

This condition is not satisfied by a pair of papers where the first paper was published in IES WP series, and the second paper is a revised version of this IES WP which was accepted for publication in a journal.

The IES WP should be a paper which will have a chance to be published in a journal with impact factor in SSCI, SCI or the Scopus database. In this way the IES WP serves as a half-way milestone for getting the second paper published so that the requirement for the pre-defense of the dissertation will be satisfied.

Students must prove their articles are either published or accepted to be published at least one month prior to the SDE terms window specified in the Academic Calendar of the respective academic year.

Special requirements

Students must have passed any exams assigned by the Doctoral Council.

Advisor's recommendation

Advisor's evaluation of the study shall be attached to the application. The recommendation confirms that the student met all the requirements to enter the State doctoral exam. Before the student applies for the state doctoral examination, she/he must discuss the dissertation project with her/his advisor and obtain the advisor's approval for the state doctoral examination.

For all students except the part-time English program, the following requirements are additionally applicable:

Grant activities

Two grant activities are necessary. Students who entered the PhD program in the academic year 2021/2022 or later are required to be the principal investigators in at least one of their grant activities (see Section 3.6.2).

Doctoral seminar participation

At least 4 passed semesters of Doctoral seminars, meeting all requirements (see Section 3.5).

Teaching

At least 4 teaching assistantships in at least two different courses (see Section 3.4.2).

Methodology teaching seminar for PhD students

Students must participate in the methodology teaching seminar for first year PhD students. This requirement is applicable for students enrolled in the academic year 2019/2020 or later (see Section 3.4.1).

Defense attendance

Recommended cumulative attendance over the course of studies is at least seven defenses/pre-defenses or 50 % of them per year, whichever is lower (see Section 3.7).

How the State Doctoral Exam proceeds

The State Doctoral Examination tests the student's theoretical knowledge as required in the doctoral study program. During the State Doctoral Examination, firstly, a student is asked to prove that he or she fulfils all the required criteria for entry to the State Doctoral Examination. The student also must bring copies of all his or her publications provided in the application as evidence of his or her successful research. Then the student introduces the dissertation project to the committee. The members of the committee ask the student questions concerning the theoretical underpinnings of the hypotheses and the related fields. Since the expert in the field is the advisor, the advisor's presence is crucial for the examination. Other members of the committee pose questions as well. The members of the committee may ask any questions related to the dissertation research of an examined student in a very broad sense.

Committee for the State Doctoral Exam

There must be at least three members of the Committee present during the exam. The chairman of the committee is usually the Chairman of the Doctoral Council. The student's advisor should also be a member of the committee. One member of the committee must be external - not employed at the Faculty of Social Sciences. The committee is convened by CDS.

3.10. DISSERTATION DEFENSE

Formal requirements for the Dissertation

'Dissertation thesis demonstrates the student's capacity and preparedness for independent work in the field of research or independent theoretical activities. The dissertation thesis is an original study which introduces new theoretical or empirical knowledge or original methodological techniques.

Dissertation thesis fulfils all the methodical and methodological demands placed on academic texts. Its recommended extent ranges between 100-250 standard pages at the minimum, without abstract, appendices and the list of literature. Dissertation thesis is either a thematically and methodologically compact text or a set of articles with integrating introductory and concluding text.

Outcomes contained in the dissertation thesis (in its compact or partial form) must be published or accepted for publication. Such outcomes of the dissertation thesis can be published as a book monograph or in the form of partial studies in reviewed academic journals.' ([Rules for Organisation of Studies at FSV UK](#))

At IES, dissertation theses usually consist of **three papers** with an integrating introduction. Dissertation theses are written in **English**. In exceptional cases, the Chairman of Doctoral Council and Advisor of the student can jointly approve the Dissertation Thesis being written in another language. The request for this exception must be submitted before the date of the State Doctoral Exam to the Chairman of Doctoral Council. Dissertation pre-defense and defense are held in English, even if the language of the thesis is different.

The papers in the dissertation may be **co-authored**. In case two students jointly write one paper, only one of them may include this paper as a part of the dissertation and use it as qualification criterion for the defense of the dissertation. The same holds regardless of the co-author's affiliation.

The advisor is free to require **more** than the minimal **requirements** expressed in the Handbook. For example, the advisor may require his or her student to have some chapters in the dissertation written independently without any co-authors, the advisor may veto the inclusion of some published papers into the dissertation, etc.

If the journal has Article Influence Score (AIS) of less than 0.1, the Dissertation Defense committee will assess the quality of the article. This applies only to students who enrolled in the academic year 2021/2022 or later.

General timing of the pre-defense and defense of the dissertation thesis

Defense of the dissertation follows a successful State Doctoral Examination (above) and a Pre-defense of the dissertation (below).

- The thesis and other documents need to be submitted at least 2 months before the pre-defense/defense
- If the committee for the defense of a dissertation thesis assesses the grading as "failed", it shall determine whether it is necessary to rewrite or supplement the thesis. Student can repeat the failed defense once, but only after six months, and the process must end by the maximum length of the studies (Dean's Measure no. 22/2021). Student can find the maximum study length in SIS (it has been changed in recent years due to COVID and University policies, so it varies among students depending on the academic year of their enrolment).

Referees for the (pre-)defense of the dissertation thesis

Dissertation thesis is evaluated by three referees. Each referee writes a report on the pre-defense version of the thesis. After the pre-defense, student incorporates referee and committee comments into their thesis. Referees then write a report on the final version of the thesis.

About referees' selection:

- Three proposed referees (with additional reserve referees in case some are unavailable)
- All of them need to have Ph.D. The reviewers of the dissertation thesis are usually associate professors, professors or important experts in the given field with a Ph.D. or CSc. scientific degree

- At least one external referee (affiliated with institution abroad, their nationality is irrelevant)
- Advisor and co-authors of any part of submitted thesis cannot be referees
- Referees will need to be approved by the Doctoral Council and by the Scientific Council of the Faculty of Social Sciences before the defense. This is arranged by the CDS.

The student and her/his advisor should contact potential referees and ask them whether they are willing to write a report on the student's dissertation thesis. Afterwards, a formal request with more detailed instructions will be sent to them by the CDS.

Committee for the (pre-)defense of the dissertation thesis

The committee includes faculty members and the referees of the dissertation thesis. At least three members of the committee must be present during the defense. The committee is gathered by the CDS.

3.10.1. PRE-DEFENSE OF THE DISSERTATION

The preliminary stage of defense of the dissertation is called pre-defense. Pre-defense is a public defense of the provisional version of the dissertation. It is an internal matter of IES; hence, its organization is only the responsibility of the CDS (there are no formal regulations from the faculty concerning the pre-defense).

At the time of the pre-defense of the dissertation, it is not required that the dissertation is complete. However, the student is expected to present a dissertation that consists usually of three papers, is approved by a supervisor, and meets the conditions below.

The dissertation is reviewed by three referees (more on referees above). The reviewing process starts when the application is submitted and approved by the advisor.

Entry to the pre-defense is possible based on the following conditions:

1. Student has passed the State Doctoral Examination
2. One or two paper(s) published/accepted for publication:
 - a) One original research paper was published or accepted for publication in a journal with B-ranking or higher in the field of "Economics" or "Business, Finance" with a clear contribution of a student in producing the paper (agreed between the student and her/his supervisor). In such case, other published/accepted paper is not required.

OR

- b) Two original research papers (articles) published or accepted for publication in journals with impact factor indexed in SSCI, SCI or Scopus databases. Only articles in Economics, Finance and closely related fields will be accepted. If the field is unclear the final decision will be made by the student's advisor and the Chairman of Doctoral Council at the Institute of Economic Studies Faculty of Social Sciences.

3. **At least one** of the papers accepted for publication in journals with impact factor listed in SSCI, SCI or Scopus databases **needs to be part of the dissertation thesis.**

4. The agreement of advisor. (Even for a student who has two or more papers published, the advisor may consider his dissertation work insufficient for the pre-defense and require the student to do more work.)

Road map for the pre-defense of the dissertation

3-4 months before pre-defense

- Write to phd@fsv.cuni.cz (Lenka Nechvátalová and Diana Kmeťková) that you plan your pre-defense and arrange a date for the pre-defense
- If the dissertation thesis title does not match the one in SIS, request a change of title (see Section 7.2)
- With your advisor, contact potential referees (more on referees above)
- Set the final term with your advisor and referees and confirm with CDS

8 weeks before pre-defense

- Submit IES application form for the pre-defense (phd@fsv.cuni.cz, hard copy to the responsible CDS member)
- Write to phd@fsv.cuni.cz the names, titles, affiliation and e-mails of proposed referees

5 days before pre-defense

Referee reports will be sent to you.

Day of pre-defense

Bring your presentation and one printed copy of your dissertation (paperback – kroužková vazba – is sufficient).

How the pre-defense proceeds

First, the student gives a 30-minute presentation of the dissertation thesis. The student should give an overview of a dissertation as a whole and then focus on a particular part of the dissertation (one paper in case the dissertation is a collection of papers). Afterwards, advisor and referee reports are presented, and the student may be asked to respond to some questions raised by the referees. Finally, there is a discussion over the dissertation between the student, committee and the audience. At the end of the pre-defense, the committee decides whether the student can proceed to the defense.

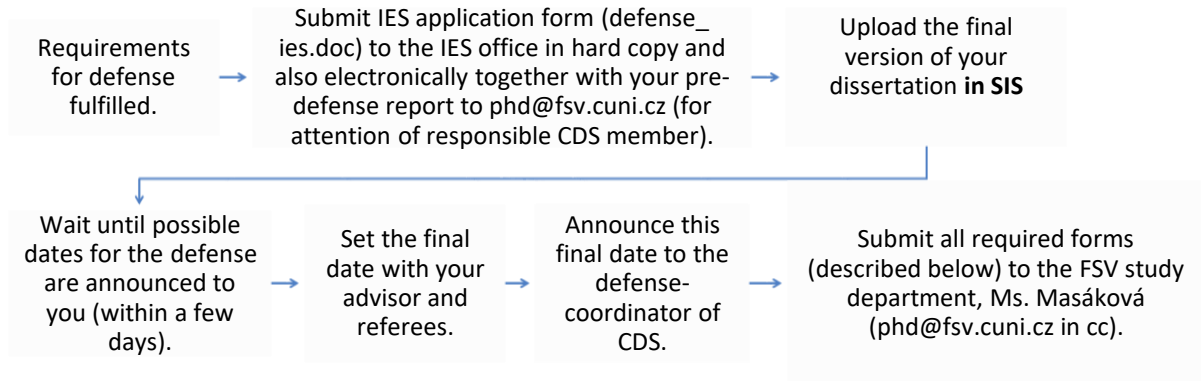
3.10.2. DEFENSE OF THE DISSERTATION

The dissertation for the final defense must be submitted in two copies (bound or paperback) and must contain an English abstract. The doctoral student submits the application for the defense along with the dissertation (it must be submitted in SIS). The student also submits a summary of the dissertation. The summary of 10-20 normal pages contains the main findings, and the relevant literature mentioned in the summary. The student is also expected to prepare a report on how the referees' comments from the pre-defense were incorporated into the

final version of the dissertation and this report should be included into the thesis as an appendix.

Road map for the defense of the dissertation

2 months + 2 weeks before defense



2 months (60 days) before defense

Submit the following forms to the FSV study department, Ms. Eva Masáková

- FSV application form (defense_fsv_prihlaska.doc)
- 2 copies of your dissertation (paperback is sufficient)
- Recommendation of your advisor (defense_advisor.doc)
- 2 copies of the dissertation summary (defense_summary.doc)
- Signed transcript of records retrieved from SIS
- List of publications signed by your advisor or the Chairman of DC (defense_list_of_publications.docx)
- Bibliographic evidence (defense_be_ies.docs)

Before submitting all forms to the FSV study department, let it be checked by the responsible CDS member.

Submit your dissertation electronically through SIS (more details below).

5 to 10 days before defense

Referee reports will be sent to you.

It is possible to recall the defense of the dissertation (to take the dissertation thesis back) during the week preceding the dissertation defense at the latest.

Day of defense

Bring your presentation (prepared for max. 30 min) with you. There is no need to print anything at this point.

How to upload Dissertation into SIS

The dissertation must be uploaded to SIS at least **60 days before** your dissertation defense term.

- 1) Do **NOT** sign the dissertation pdf file on any page (keep free the place for your signature under the Declaration of Authorship).
- 2) The Dissertation must be in a PDF/A format. If you have problems to convert your file to PDF/A contact either the study department (eva.masakova@fsv.cuni.cz) or directly IT support at: studentskeprace@fsv.cuni.cz They will help you with the conversion.
- 3) In SIS choose the following: **Thesis (Selection of subject)** -> Click to the title of your dissertation thesis -> Switch to **Editing** -> Scroll down to Choose type of uploaded file -> there can be uploaded the text of your thesis as well as Abstract in Czech and Abstract in English
- 4) Do not forget to click on **Submit** at the bottom of the page.

How the defense proceeds

First, a student gives a presentation of the dissertation, then the referee reports are presented and finally, there is a discussion among the student, committee, and the audience over the dissertation. At the end of the defense, voting on rejection or acceptance of the dissertation takes place. Student's presentation should last approximately 30 minutes. Student should briefly give an overview of a dissertation as a whole and then focus on a particular part of the dissertation (one paper in case the dissertation is a collection of papers). For attractiveness for committee and students, the student should focus on a different part of the dissertation than during the pre-defense.

Overview of forms for State Doctoral Exam and Dissertation Pre-Defense and Defense

File name:	Contains:
SDE_IES.doc	State doctoral exam application (IES)
SDE_FSV.doc	State doctoral exam application (FSV)
SDE_Advisor.doc	Advisor's Recommendation for SDE (FSV)
Predefense_IES.doc	Pre-defense application form (IES)
Defense_IES.doc	Defense application form (IES)
Defense_FSV.doc	Defense application form (FSV)
Defense_Summary.doc	Dissertation summary
Defense_BE_IES.doc	Bibliographic evidence (IES)
Defense_List_of_publicatoin.doc	List of publications (for defense)
Defense_Advisor.doc	Advisor's Recommendation for defense (FSV)

All the forms are downloadable at the IES webpage <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules> (PhD in Economics and Finance / Study Rules).

Violations of academic integrity

Students are responsible for adhering to the spirit and principles of academic integrity. Violation of academic integrity in research includes (but are not limited to) plagiarism and fabrication.

Plagiarism involves using the ideas, data, or language of other author(s) without specific or proper acknowledgment. Example: copying another person's paper, article, or computer work and submitting it as one's own work; lifting someone else's ideas without attribution; failing to use quotation marks where appropriate, etc.

Fabrication is submitting contrived or altered information. Example: making up data for an experiment; falsification of data; citing non-existent articles; contriving sources, etc.

3.11. CONCLUSION OF STUDIES

3.11.1. PROPER CONCLUSION OF STUDIES

Studies are properly concluded by completion of studies in the study program concerned. The day of conclusion of studies is the date of the successful defense of the dissertation.

Upon proper conclusion of studies, a candidate receives an academic degree and a university diploma which is given to him at the ceremonial conferment of the diploma. It states the study program and, where necessary, the study subject concerned. If a graduate does not attend the graduation ceremony, the university will issue her/his diploma in a way determined by the Rector. On request, a graduate may obtain an appendix to the diploma, which is usually a confirmation of the exams passed and their classification.

Graduates are awarded the academic degree “Doctor” (abbreviated to “Ph.D.” used after the name).

Upon graduating, graduates should inform Šárka Bokočová (IES secretary) about impacted papers that are (about) to be accepted by November of the following calendar year. This is for potential publication bonuses.

Regardless of the form of study termination, (former) students must return the school’s property that has been lent to them (e.g. laptops bought from GAUK funds, etc).

3.11.2. OTHER FORMS OF TERMINATION OF STUDIES

Studies are also terminated

- by dropping the studies (see Section 7.5); the day of termination of studies is the day on which the faculty at which the student is enrolled receives his or her written announcement of dropping the studies
- by failing to fulfil the requirements arising from a study program in accordance with the Study and Examination Code of Charles University, regulations issued by the Faculty of Social Sciences, Dean’s Orders and conclusions reached by the Doctoral Council; the day of termination of studies is the day when the decision on the termination of studies made by the Dean comes into force
- by the withdrawal of the accreditation of a study program; the day of termination of studies is the day of expiry of the accreditation stipulated in the decision of the Ministry
- by lapsing of the accreditation of the study program; the day of termination of studies is the day on which the university announced the dropping of the study program
- by exclusion from studies under disciplinary regulations; the day of termination of studies is the day on which a decision on exclusion from studies comes into force.

Regardless of the form of study termination, (former) students must return the school’s property that has been lent to them (e.g. laptops bought from GAUK funds, etc).

4. FINANCIAL SUPPORT

4.1. REGULAR SCHOLARSHIP FOR FULL-TIME STUDENTS

Full-time doctoral students are awarded scholarships for twelve months per year. These scholarships are tax-free. Like wages, scholarships are paid monthly for the preceding month. Given the Dean's Measure 14/2022, scholarship is 10,500 CZK per month during the standard study period (by the end of the fourth year).⁴ After passing the State Doctoral Exam, scholarship is automatically augmented by 2,000 CZK.

When studying more PhD programs, the student is eligible to only one scholarship payment per month, specifically for the program with earlier enrolment. If a student unsuccessfully terminated another PhD program, the time previously studied counts into the standard length of study and he will be paid scholarship until the joint length of study (of this and previous study programs) reaches the standard length of study of our PhD program.

In the case the student is not making a sufficient progress in her/his studies, the Doctoral Council or the advisor can recommend the Dean to reduce the scholarship by up to 50%, due to insufficient defense attendance, insufficient publication activity at the end of the first year and third year of studies, non-participation in the methodology seminar.

4.2. GRANTS

GAUK

All students are encouraged to apply for a grant from the Grant Agency of Charles University (GAUK) that is especially designed for PhD students and the success rate is relatively high. The grants last up to three years. Successful applicants are eligible for scholarship (up to 80,000 CZK per year per student) and additional funds for mobilities, equipment, services (e.g. grammar checks), data fees, etc.

Documents related to financial issues in GAUKs (conference expenses etc.) must be discussed and handed to the Doctoral Study Affairs Manager at IES (Renáta Nedomová).

Applications can be submitted once a year (in October). Only students in standard study period are eligible to apply.

Other grants

Students should regularly check Faculty/IES web for other grant opportunities. PhD students are also encouraged to cooperate closely with their advisors and participate in their research grants, such as those by the Grant Agency of the Czech Republic.

⁴ This period has been prolonged by 6 months due to COVID for some groups of students based on their year of enrolment.

4.3. FINANCING MOBILITIES

PhD students are expected to cover expenses related to conferences primarily from the Grant Agency of Charles University or other grant sources they have received.

Conference mobility fund

The IES established Conference mobility fund as an opportunity for PhD students to finance their attendance at conferences. There are three scholarships annually available for IES students in the amount of up to approximately 20,000 CZK (total funding provided for this year is 50,000 CZK). The scholarships are aimed for covering participation on prestigious conferences where the doctoral students can present their high-quality research. Students with **active grant** from the Grant Agency of Charles University are **eligible** for financing from this fund only if they do not have sufficient resources available from their grant to finance their attendance. The funding may cover the participation fee; travel expenses; lodging and a contribution on board up to 50% of relevant expenses will be provided (board should be calculated according to the [FSV methodology](#)). There are three calls for application per year (approximately September, February, May).

Summer school mobility fund

The IES established an opportunity for supporting attendance of its PhD students on **Summer Schools** valuable for their research. There are three scholarships annually available for IES students in the amount of up to approximately 20,000 CZK (total funding provided for this year is 50,000 CZK). The scholarships are aimed for covering participation in prestigious summer and winter schools and workshops that until now had to be covered from students' own sources; focusing on the summer schools that provide education and training unavailable at IES (the list of top summer schools for economists is published annually at www.inomics.com). The funding will cover the participation fee and a contribution on travel expenses and board will be provided. The selection will be organized approximately three times a year (September, February, May) so that also people wanting to go to winter schools have a chance for funding.

POINT

POINT program (Support for Internationalization of Charles University) is one of the supporting tools of financing activities aimed to increase the level of internationalization at Charles University (CU). Goal of this program is to support short term internationalization activities. POINT provides financial support for participation in or stays of CU students at summer schools (excluding language courses); short-term unpaid student internships up to a maximum of 3 weeks; participation in international competitions and championships; participation in student conferences or attending meetings related to the internationalization of Charles University activities. More information about POINT can be found at <https://fsv.cuni.cz/en/exchange/funding/outgoing/point>.

GEOCEP

Some mobilities to partner universities outside Europe can be covered from the GEOCEP project (Global Excellence in Modelling Climate and Energy Policies). More information can be found at <https://geocep.cuni.cz/>, or it is possible to contact Dr. Jean-François Auger

(jean.auger@fsv.cuni.cz), project manager, and Jan Šíla, project administrator (jan.sila@fsv.cuni.cz).

THE RECTOR'S MOBILITY FUND

The Rector's Mobility Fund (Fond mobility UK) is the university's main instrument for the support of students studying abroad. The Mobility Fund generally issues two calls for funding applications per year, one with a deadline in March, and one in October. It provides funding only for future travel plans and will not provide more than half of the student's anticipated expenses. More information about The Rector's Mobility Fund is available at <https://fsv.cuni.cz/en/exchange/funding/outgoing/rectors-mobility-fund>.

4.4. ANNUAL EVALUATION OF PHD STUDENTS

All PhD students are evaluated after each academic year, and extra bonuses are redistributed to the best by the end of the calendar year. Students are alerted to the upcoming evaluation by e-mail. Students are evaluated based on their publications, conference participation, teaching and grant activities, participation at defenses and delivery of forms in time. The minimal requirements to enter the evaluation for the given academic year are: grade A or B in the given AY, defense attendance min(25%;4) – not applicable for part-time English program, student status for more than 6 months in the given AY (first-time PhD student at IES), at least one publication (minimum IES Working Paper quality) in the evaluated AY (applies only for PhD students who were in their first year in the evaluated AY). Students are assigned points for each achievement or fulfilled requirement. Scholarships are then distributed based on the number of points as end-of-the-year bonuses to those who reached the threshold of 12 points.

4.5. OTHER FINANCIAL OFFERS

Teaching Assistantship

Students are awarded 6,000 CZK as a scholarship per semester for each full TAship. For half/third TAships the scholarship is decreased accordingly.

Advising bachelor/master theses

PhD students are awarded 8,000 CZK for a bachelor thesis and 12,000 CZK for a master thesis that is successfully defended.

5. ADVISOR

When choosing the advisor, the student first talks to the person who she/he would like to have as an advisor. After she/he receives the agreement from the potential advisor, the student informs the Chairman of the Doctoral Council about her/his choice. In case the Doctoral Council agrees with this choice, it suggests the nomination to the Dean who appoints the advisor. An advisor should hold the rank of Full Professor ("professor; prof.") or Associate Professor ("docent; doc."). Prospective advisor not holding relevant rank has to go through

approval process of the Scientific Council of the Faculty of Social Sciences and such approval is not guaranteed.

Advisor among others

- guides the student in preparations of the Individual Study Plan;
- advises and provides methodological guidance to the dissertation;
- continuously monitors the student's progress and consults her/his teaching and research;
- proposes an Annual Assessment of ISP of the student to the Doctoral Council;
- gives the approval for the applications for State doctoral exam, pre-defense and defense;
- serves as a member of the State doctoral exam committee for her/his student
- serves for consultations to the committee at the pre-defense and defense
- has to approve student's submission to the IES Working Paper Series and suggest potential referees to the editor.

The advisor is the most important person in the academic life of a student. Student has to make sure that the advisor is familiar with her/his grant proposals, papers prepared for submission and with any other research activities. All papers prepared for submission should be read by the advisor (or some other faculty member) to make sure that they are of appropriate quality for the journal to which they are submitted. In particular, the advisor is the right person to check that the WP based on Master's thesis is really a research paper, not just a piece of Master's thesis which does not have standard attributes of a research paper. The advisor is the right person to help with building a submission tree (the sequence of journals to which author submits the paper in case it is rejected by the first journal in the submission tree) for her/his student's publications.

The approvals of the advisor for State doctoral exam, pre-defense and defense are not just a formality based on checking the satisfaction of requirements stated for exams and defenses by this Handbook. The requirements stated in Handbook are the minimal ones – they are just necessary conditions. The advisors are expected to impose additional requirements, especially with respect to quality and originality of published research papers and dissertation chapters. The advisors closely monitor the research of their students to make sure that their students do not use the strategies of getting extremely low-level-quality publications just to get around the necessary publication requirements stated by this Handbook, that their students do not free-ride on their co-authors, and that their students do not submit for their pre-defense the work which is likely to be rejected by the referees.

6. DOCTORAL COUNCIL

Doctoral Council monitors and assesses doctoral studies; it coordinates the planning of content and evaluates the implementation of the doctoral program.

Doctoral Council among others

- proposes to the Dean the definition of the contents of admissions examinations and the composition of the Admission Board;

- approves the Individual Study Plans of students and topics of dissertations and makes proposals to the Dean for the appointment or removal of an advisor;
- assesses the studies of individual students, particularly by approving the Annual Assessment of ISPs and Annual Updates to the Individual Study Plans where necessary;
- submits proposals for the appointment of referees for dissertations and for the appointment of the chairman and members of committees for the State Doctoral Examination and the Defense of Dissertations to the Dean.

Doctoral council meets usually twice a year, at the beginning of the winter and summer semesters. List of members of the Doctoral Council can be found on the IES webpage (<https://ies.fsv.cuni.cz/en/study/phd-degree-economics-and-finance/council-doctoral-studies>).

7. REQUESTS/CHANGES

This chapter comprises the most common requests or changes that PhD students might carry out. For requests which are not covered here contact either CDS or the Study department of the Faculty of Social Sciences (FSV).

All the following forms need to be delivered to the Study department and addressed to the Central Administration – Faculty of Social Sciences (FSV) – Smetanovo nábřeží 6, Prague 1, 110 01, to Ms. Eva Masáková, Study department. All documents addressed to E. Masáková should be sent via the Post Room (podatelna).

All forms need to be delivered with an original signature, either in a paper form or with an electronic signature to eva.masakova@fsv.cuni.cz. If sent electronically, student must ask for a confirmation of receiving the request by Study Department. Without the confirmation the electronic request is not valid.

Some requests need to be approved by the Doctoral council that meets usually twice a year, at the beginning of the winter and summer semesters.

The Study department informs the student about the result of her/his request.

7.1. TUITION FEE WAIVER

In both English program forms (full- and part-time), students pay a tuition fee of 500 EUR per academic year. Students in the full-time form may apply for an annual tuition waiver. The completed Request form should be submitted to the Study department. The form can be found at this FSV webpage: <https://fsv.cuni.cz/en/study/phd-students/forms>. The deadline for submitting the application is thirty days after officially receiving the order to pay the fee (sent out by the Study department in October).

Each request for a tuition waiver is assessed jointly by the Director of the Institute and the Director of Graduate Studies.

A tuition waiver can be granted to excellent students who received grade A for the assessment of the Individual Study Plans in the last academic year.

7.2. CHANGE OF DISSERTATION TITLE/TOPIC

During the study, a change of the dissertation topic and/or dissertation title is possible, following these steps:

- 1) Consult a change and get its approval from a supervisor.
- 2) If a supervisor approves a change, a student must inform the CDS about the change by email at the address phd@fsv.cuni.cz.
- 3) Simultaneously, a student must submit to the Study department a Request for a change to be officially approved. In the request, a student states reasons in detail and the new title or describes the new topic. The Request form can be found in the section of Study rules for PhD students on the IES webpage: <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules>.
- 4)
 - a) In case of the dissertation title change, the Study department informs the Chairman of the Doctoral Council, who processes each request on an individual basis for approval/disapproval by the Dean.
 - b) In case the dissertation topic change, the Study department informs the Chairman of the Doctoral Council who arranges that a request is processed on an individual basis during the Doctoral Council's meeting.

Please note that changing the dissertation topic/title does not affect the publication obligation quantified in ISP referred to in Section 3.1.

7.3. PAPERS' PERMISSION FOR SDE AND DISSERTATION THESIS

Students are expected to publish papers in journals that are recognized by IES in its list of journals' rankings. The list is available at <https://ies.fsv.cuni.cz/en/research/overview> at the bottom of the page under the link Our journal rankings. If a student wants to use an article published (accepted for publication) in a different journal for fulfilling the requirements of the State doctoral exam or as a part of the dissertation thesis, the student needs a permission of the Doctoral Council.

The Request form can be found in the section of Study rules for PhD students on the IES webpage: <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules> and has to be delivered to the Study department.

7.4. INTERRUPTION OF STUDIES

If a student requests interruption of studies and if no disciplinary proceedings have been initiated against the student, the Dean will agree to the request. The Request form can be found in the section of Study rules for PhD students on the IES webpage: <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules> and has to be delivered to the Study department.

An application for the interruption of study cannot be filed by a student during the period of annual assessment of fulfilling the Individual Study Plan, i.e., between May 1st and the meeting of the Doctoral Council (usually at the beginning of October). The student needs to be careful **not** to establish a new ISP assessment (the student should not activate a new assessment form of ISP). The exception is an interruption of study on the grounds of pregnancy, delivery, or parental care, and severe health reasons – please see further details in the Code of study and examination of Charles University.

On the day of interruption of studies, a student ceases to have the status of student under the Higher Education Act. If a change is made in the framework study plan during interruption of studies within which the student was studying, the Doctoral Council, on the proposal of the advisor and in line with the relevant study program, will stipulate which study obligations the student must fulfil and dates by which they must be fulfilled; in this case, it may also stipulate that the student must take bridging exams within a given time period.

When resuming study again, a student must enrol in studies again.

Besides enrolment at the Study Department of the FSV, the student should notify the CDS and submit “Annual Assessment of ISP” of the yet unevaluated period (including the study interruptions) and update the plan for the next academic year. This irregular assessment of the ISP is not compulsory if there are less than three months until the start of the regular assessment, i.e. less than three months before May 1st.

By default, the studies are interrupted until the maximum study length. The student can resume the studies whenever she/he wants. Studies in the doctoral program may be interrupted more than once.

When interrupted due to parenthood or severe health reasons, the interruption is only for a fixed period (up to three years of the child, or for a year in the case of health problems with a possible repeating). Once the period for which studies were interrupted has expired, the person whose studies were interrupted has a right to enrol in studies again; if the reasons for the interruption of studies no longer apply, the Dean may terminate the interruptions of studies on a written request of the person whose studies were interrupted even before the expiry of the set time of interruption of studies.

By interrupting the studies, the student may, for example, avoid the forced study termination when not meeting study obligations described in Section 3.1. **However, the maximum study length is not affected by the study interruption, unless interrupted due to severe health reasons or parenthood.** The latest date for finishing the studies does not change in general. However, the interruption of studies due to severe health reasons and parenthood does not count towards the maximum study period, i.e., the date of maximum study length is postponed. Always see SIS for this date.

7.5. STUDY TERMINATION

Students may decide to terminate studies on their own account. The Request form can be found in the section of Study rules for PhD students on the IES webpage: <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules> and has to be delivered to the Study department. **Use there the line "I am terminating my studies of my own free will".** Otherwise, your studies cannot be properly terminated. The day of

termination of studies is the day on which the Faculty receives his or her written announcement of dropping the studies.

7.6. CHANGE OF THE ADVISOR

Student may ask for the change of the advisor during the studies. Student does not need to get an approval from the current advisor to approach the potential new advisor. The advisors are appointed and removed by the Dean acting on the suggestion of the Doctoral Council. The Request form can be found in the section of Study rules for PhD students on the IES webpage: <https://ies.fsv.cuni.cz/en/study/phd-economics-and-finance/study-rules> and has to be delivered to the Study department. The Study department forwards the request to the Doctoral Council. The Faculty Dean then approves the request based on the recommendation of the Council. The student is informed about the result by the Study department.

8. CENTER FOR DOCTORAL STUDIES

Center for Doctoral Studies (CDS) is a coordinating body in charge of

- keeping records of doctoral studies (above all, gathering and evaluating Individual Study Plans, maintaining up-to-date record of doctoral candidates and monitoring grant-seeking activities);
- coordination of State doctoral examinations and defenses;
- matching teaching assistant to courses;
- providing service to the Doctoral Council;
- seeking additional funding for doctoral students;
- updating this Handbook.

The Chairman of Doctoral Council is also the Director of the Center for Doctoral Studies. She/He is nominated by the IES Elected Chairman upon consultation with Department Directors and the Doctoral Council. The Director is accountable to the IES Elected Chairman.

If students need some information which is not available in the Handbook, they can contact someone from the Center for Doctoral Studies listed below or use the CDS shared address: phd@fsv.cuni.cz.

CDS staff

	Responsible for:	E-mail:
<i>Klára Kantová</i>	Head of the CDS General information, Handbook Special inquiries Information for foreign students	klara.kantova@fsv.cuni.cz
<i>Tomáš Boukal</i>	Technical support Publication, conferences and grants evidence Information on financing	tomas.boukal@fsv.cuni.cz
<i>Theodor Petřík</i>	Entrance examination Information for applicants State doctoral examination Methodology seminar	theodor.petrik@fsv.cuni.cz
<i>Anna Pavlovová</i>	Individual Study Plans Allocation of teaching duties	anna.pavlovova@fsv.cuni.cz
<i>Diana Kmetková</i> <i>Lenka Nechvátalová</i>	Dissertation pre-defense and defense	diana.kmetkova@fsv.cuni.cz lenka.nechvatalova@fsv.cuni.cz

APPENDIX I.

SAMPLE INDIVIDUAL STUDY PLAN FOR STUDENTS IN CZECH PROGRAMS AND ENGLISH FULL-TIME STUDIES

1st YEAR

- Two teaching assistantships (one TA per semester is recommended) or attendance of classes in micro, macro, econometrics for those not proficient enough in these subjects.
- Participation at a methodology seminar for first year PhD students (methodology seminar takes place immediately prior to or after the beginning of the Winter semester)
- Active participation at one doctoral seminar (meeting the course's requirements in both semesters)
- Submission of one grant project
- Publication of at least one academic article (which may be based on the Master thesis) in the IES Working Paper Series and submission into an impacted or Scopus journal
- Attendance at classes suggested by the advisor
- 50% (or 7, whichever is lower) attendance at defenses and pre-defenses of other PhD students. Since the Annual Assessment of ISP for academic year X/Y should be submitted at the end of May of the year Y, defenses count from May 16 of the year X till May 15 of the year Y

2nd YEAR

- Two teaching assistantships (one per semester)
- Participation at a methodology seminar for first year PhD students if the seminar was not attended within the course of the first year
- Active participation at one doctoral seminar (meeting the course's requirements in both semesters)
- One grant activity (either work in an approved grant or a new grant project application)
- Submission of a new research paper into IES Working Paper Series (when the submission to IES WP is accepted, immediate submission to an impacted or Scopus journal)
- Attendance at classes suggested by the advisor
- 50% (or 7, whichever is lower) attendance at defenses and pre-defenses of other PhD students

3rd YEAR

- Winter semester: State Doctoral Examination
- Summer semester: visit at a university abroad
- Two teaching assistantships
- Voluntary participation at one doctoral seminar (in both semesters)
- Grant activities

- Submission of a new research paper into IES Working Papers (when the submission to IES WP is accepted, immediate submission to an impacted or Scopus journal)
- 50% (or 7, whichever is lower) attendance at defenses and pre-defenses of other PhD students

4th YEAR

- Winter semester: pre-defense of the dissertation
- Two teaching assistantships
- Voluntary participation at one doctoral seminar (in both semesters)
- Finishing grant activities
- Compiling published, forthcoming, submitted and new research papers into the dissertation
- Defense of the dissertation during the summer semester
- 50% (or 7, whichever is lower) attendance at defenses and pre-defenses of other PhD students

5th, 6th YEAR

- Students whose papers have not been accepted to impacted or Scopus journals, will get their papers accepted for publication during these 2 additional years and will defend the dissertation. However, it is very advisable to finish your studies till the end of your 5th year.
- 50% (or 7, whichever is lower) attendance at defenses and pre-defenses of other PhD students is still required.

7th, 8th YEAR

- Only students facing serious medical, personal or other obstacles should be defending dissertation during 7th or 8th year.⁵
- 50% (or 7, whichever is lower) attendance at defenses and pre-defenses of other PhD students is still required.

⁵ For students who have been admitted to study no later than the academic year 2016/2017, the maximum study period is the standard study period of this study program increased by five years, i.e., 9 years. See: https://phd.cuni.cz/PHD-69-version1-2021___zakladni_informace_pro_studenta_doktorskeho_studijniho_programu.pdf

APPENDIX II.

RELEVANT LAWS AND REGULATIONS

Most of the relevant links are updated here:

<https://fsv.cuni.cz/studium/typy-studia/doktorske-studium>

<https://fsv.cuni.cz/en/study/study-regulations>

Rules for Organisation of Studies at FSV UK (Pravidla pro organizaci studia na FSV UK):

<https://fsv.cuni.cz/en/staff/inner-guidelines-and-documents/rules-organization-studies>

Dean's Measure no. 5/2021 on Organization of Doctoral Studies at FSV UK (Opatření děkanky 5/2021 upravující organizaci postgraduálních studií na FSV UK) and its Amendment (22/2021)

<https://fsv.cuni.cz/deans-measure-no-5/2021>

<https://fsv.cuni.cz/deans-measure-no-22/2021>

Code of study and examination (Studijní a zkušební řád UK)

<https://cuni.cz/UKEN-726.html>

Scholarship and Bursary Rules (Stipendijní řád UK)

<https://cuni.cz/UKEN-727.html>

Zákon o vysokých školách (Czech only)

<http://www.cuni.cz/UK-1401.html>

APPENDIX III.

RESEARCH AND PUBLICATION: USEFUL ADVICE AND INFORMATION

An impacted journal is a journal for which bibliographic databases record and count citations to its articles. Citations are traditionally counted in SSCI (Social Science Citation Index) or SCI (Science Citation Index), part of the *Web of Science*. The list of impacted journals in various fields ("Economics" and "Business, Finance" are the most relevant ones) is located at the JCR Citation Reports at the *Web of Science*. You can find a list of A-rated journals in groups "Economics" and "Business, Finance" in the IES list at <https://ies.fsv.cuni.cz/en/research/overview> at the bottom of the page under the link Our journal rankings. A more comprehensive list of peer-reviewed journals is listed in *Scopus*, or an even more expansive list of journals in Economics compiled by the American Economic Association can be found in *EconLit* database.

Generally, the higher an impact factor is the more recognized the journal is. There are 8 top journals in Economics/Finance: "*American Economic Review* (AER), *Quarterly Journal of Economics* (QJE), *Journal of Political Economy* (JPE), *Review of Economic Studies* (RES), *Econometrica* (EMT), *Journal of Finance* (JF), *Review of Financial Studies* (RFS) and *Journal of Financial Economics* (JFE).

Penetrating into these journals would be a marked success.

Recently IES started using also the Article Influence factor as it reflects the real impact of an article more accurately than the impact factor. It determines the average influence of a journal's articles over the first five years after publication.

IES Working Paper & IES Occasional Paper

A working paper is a basic product of any research institution. Working papers serve as a fast way to disseminate research ideas before they get published in journals. Thus, publishing a working paper is typically only a preliminary step before publishing it in a journal.

IES is publishing two working paper series, WP IES and OP IES. *IES Working Papers* cover basic research of our senior researchers as well as students. *IES Occasional Papers* include less technical studies oriented at wider audience and do not count as a publication requirement for the SDE, Pre-Defense and Defense.

There are several editors depending on the topic of research paper. The current list of editors can be found at <https://ies.fsv.cuni.cz/en/research/overview>

- Econometrics: Jozef Baruník (Evžen Kočenda)
- Economic Policy: Ondřej Schneider (Roman Horváth)
- Finance: Jozef Baruník (Evžen Kočenda)
- Microeconomics: Karel Janda (Michal Bauer)
- Macroeconomics: Roman Horváth (Jaromír Baxa)

Students are expected to send respective editors **all** finished (or semi-finished) papers. Editors organize a double blind-referee process for each paper (identity of the referee is unknown to the author and identity of the author is unknown to the referee). Therefore, whenever sending

papers, students should make sure that it does not include their name or any indication of their identity (references to previous work etc.). **Student's submission of the IES WP has to be approved by his supervisor** who should write a short report on the paper and send it to the editor. The supervisor is also expected **to propose two potential referees for the paper**. Note that all conditions regarding your publications apply just for IES WP as is stated, not for IES OP.

How to publish in IES WP series

1. Send your WP to the editor of the IES WP with respect to the topic of your paper and include your supervisor into the copy of the email.
 - - your WP must be approved by supervisor **who suggests one or two referees** (it speeds up the process)
2. The editor sends you referee report
 - if accepted you should incorporate the referee's remarks and send back to the editor
3. The editor will inform you when your WP is accepted and should forward you to the person responsible for publishing the paper (teditor.ies@fsv.cuni.cz):
 - a PDF of the body of the paper starting with 1. Introduction
 - author, affiliation, email, title, abstract, JEL classification, key words and acknowledgments in DOC or TXT
4. You will be informed about the final publication
 - your WP will appear at <https://ies.fsv.cuni.cz/en/research/working-papers> and in the RePEc database.
 - check if everything is all right

Presenting research

Only by repeated presentations to targeted audiences, you can receive useful feedback and suggestions. Do actively present at doctoral seminars. Attend conferences. Disseminate your papers and talk to people who might be interested in your work. Be grateful to anyone who is critical (even strongly critical) to the paper; in most cases, the comments are helpful or at least indicative of controversy.

WYSIWYG versus TeX

WYSIWYG editors such as Microsoft Word are widespread among normal population but not very popular in the scientific community. Especially for technical papers, it is standard to use free publishing system TeX. Papers in TeX are not only easy to be prepared, but also beautiful. These days *LaTeX* is the predominant version of TeX. We recommend *The Not So Short Introduction to LaTeX*. Free installation is available at, e.g., *MikTeX*. Comfortable editing is possible with editors *WinEdit*, *Scientific Word*, *LED* etc.

Academic writing

It is strongly recommended to read some of plentiful books on *Academic Writing* (available at CERGE-EI Library). A popular one is *Young Person's Guide to Writing Economic Theory*, although relevant rather for microeconomists. If you consider submission, always think in

advance about journal mission, and a typical article. Journals are theoretical or applied, general or field, with long or brief articles, local or global, formalized or verbal.

A few valuable tips for academic writing:

How to Get an Article Published in an Economics Journal: Tips from the Experts

Moreover, there is an opportunity to take various courses of English language through our faculty language center (CJP – Centrum jazykové přípravy). You can register directly through SIS into following courses:

- JLM001 – Academic English I
- JLM002 - Academic English II
- JLM011 – English for public and social policies I
- JLM012 – English for public and social policies II

Syllabi to courses are available here: <http://kjp.fsv.cuni.cz/KJPFSV-38.html>

Exceptionally, without the claim to access, there is an opportunity to take courses of academic writing at CERGE-EI (<https://www.cerge-ei.cz/academic-skills-center/courses>).

A few hints on publishing

For high-level journals, acceptance of papers takes several months at best; several-year delay due to revisions may not be exceptional. Journals with Letters or Bulletin in the title are generally faster but accept only partial results (typically restricted to a few pages).

It is essential to polish the article before submitting to a journal. It must conform to standards of academic writing and journal-specific instructions to authors and be free from typos and bad English. Complicated notation, cumbersome sentences and unclear propositions imply that the text is likely to be immediately rejected.

One should not get into too bad of a mood after several rejections. Journals are diverse and a paper unacceptable at one corner is welcome at another. Please note that an article should not be sent to more than one journal at a time, otherwise it is a serious violation of academic integrity. This does not apply to working paper series.

APPENDIX IV.

Terminology of this handbook slightly differs from the accepted university terminology. To avoid confusion of older students, the terminology used here was left consistent with previous years. However, note, that the following terms differ:

<u>IES terminology</u>	<u>FSV/UK terminology</u>
advisor	supervisor
Doctoral Council	Subject-area Board
Chairman of the Doctoral Council	Chair of the Subject-area Board
class	subject
committee	Examination Board
Committee for the Defense of the Dissertation the dissertation	Examination Board for the defense of
Chairman of the Committee opponent	Chair of the Board of Examiners reviewer