

REGULATION
by the Rector of the Krakow University of Economics
No. R.0211.77.2023
of December 6, 2023

**regarding the introduction of a procedure for covering a doctoral dissertation with the
confidentiality protection clause at the Krakow
University of Economics**

Pursuant to Article 23 section 1 of the Acts of July 20, 2018 – Acts on Higher Education and Science (consolidated text: Journal of Laws of 2023, item 742, as amended) and §16 section 7 of the By-laws of the Krakow University of Economics, it is ordered as follows:

§1

A procedure is introduced for covering a diploma dissertation with a confidentiality protection clause, in accordance with the principles set out in the Annex to the present Regulation.

§2

The present Regulation comes into force on the day of its signing.

RECTOR of the Krakow University of Economics

professor Stanisław Mazur, PhD

PROCEDURE FOR COVERING A DOCTORAL DISSERTATION WITH A CONFIDENTIALITY PROTECTION CLAUSE

§1

1. The term “Doctoral Dissertation Protected by Confidentiality Clause” refers to cases where restrictions are imposed on the disclosure of a content of doctoral dissertation, and restrictions introduced pertain to the open character of the defense of a doctoral dissertation, due to the dissertation containing the kind of information that constitutes a trade secret (confidential information of a business) or containing other legally protected secrets (“confidential information”); and it applies to the following limitations:

- 1) Limitations to making a doctoral dissertation available,
- 2) Limitations to the open character of defense of the doctoral dissertation,
- 3) Limitations to placing the doctoral dissertation in the systems used by the University, subject to the University’s compliance with the requirements arising from the provisions regulating the principles of operation of systems and databases maintained by the minister responsible for higher education and science.

2. The confidentiality of doctoral dissertations containing information that is subject to protection under special provisions on the protection of classified information is implemented on the basis of separate, pertinent regulations. In the case of such type of dissertation, the author of the doctoral dissertation and the supervisor are required to report to the Representative for the Protection of Classified Information.

§2

Anti-plagiarism verification and record-keeping of a doctoral dissertation covered by a confidentiality protection clause takes place in accordance with the principles set out in this procedure, and in matters not regulated herein, it is conducted according to the anti-plagiarism procedure in force at the University.

§3

1. If the author of a doctoral dissertation (“Author of the Dissertation”) uses confidential information to prepare his/her doctoral dissertation, he or she is obliged to submit a written, substantiated application to the chairman of the appropriate Council for Academic Discipline to cover the doctoral dissertation with a confidentiality protection clause, together with the

opinion of the supervisor of his/her doctoral dissertation. The application template is attached as Appendix 1 to the procedure.

2. The Author of the Dissertation is obliged to attach a letter from the Institution to his/her application for the confidentiality protection of the doctoral dissertation, making the disclosure of confidential information conditional on the confidentiality of the doctoral dissertation, together with a statement that the Institution has familiarized itself with the University's procedure for covering the doctoral dissertation with the confidentiality protection clause. The application indicates the need to cover the entire doctoral dissertation or its selected fragments with a confidentiality protection clause. The declaration template is included as Appendix 2 to the procedure.

3. The Author of the Dissertation attaches a Confidentiality Statement to his/her application, the template of which is attached as Appendix 3 to the procedure.

§4

1. Each person involved in the process of preparing a doctoral dissertation or in the procedure for awarding a doctoral degree and having access to confidential information, including: the chairman of the appropriate Council for Academic Discipline, the dissertation supervisor, the reviewer, members of the examination committee, members of the doctoral committee, the recorder, the Director of the KUE Doctoral School, employees of the Center for Doctoral Education and Procedures, employees administering IT systems for anti-plagiarism verification and archiving, and other employees who may have access to the doctoral dissertation covered by a confidentiality protection clause, is obliged to sign a Confidentiality Statement, the template of which is attached as Appendix 3 to the procedure.

2. Employees of the Center for Doctoral Education and Procedures take steps to obtain Confidentiality Statements from the persons indicated in section 1.

§5

1. A written doctoral dissertation with a confidentiality protection clause is subject to an anti-plagiarism procedure conducted using the Uniform Anti-plagiarism System (JSA).

2. In the case of a doctoral dissertation covered with a confidentiality protection clause, the University publishes only reviews in the Public Information Bulletin, excluding any content covered by the confidentiality protection clause.

3. The written doctoral dissertation, together with its summary or a description of the doctoral dissertation that is not a written thesis, as well as reviews, are posted in the POL-on system.

§6

1. A doctoral dissertation covered by a confidentiality protection clause, and also its reviews, shall not be disclosed.
2. Access to the doctoral dissertation and to the review of the doctoral dissertation is limited to persons who have signed a Confidentiality Statement.
3. An employee of the Center for Doctoral Education and Procedures shall place information about the confidentiality of the dissertation on the title page of the doctoral dissertation, and in the case file folder. The doctoral dissertation and reviews of the doctoral dissertation covered by the confidentiality protection clause are placed in the case file in a closed envelope. Case files are stored in a way that prevents access by unauthorized persons.

§7

In the case of doctoral dissertations covered with a confidentiality protection clause, the publicity of the defense is limited only to members of the doctoral committee, supervisors, and reviewers.

§8

1. Sending confidential information electronically between the Author of the Dissertation and an employee of the University is only possible using the University's internal e-mail system, protected by an access password transmitted through another information channel.
2. The conditions for transmitting confidential information between the Author of the Dissertation and the Institution are determined by the Institution.

§9

The Author of the Dissertation is responsible for maintaining the non-disclosure of confidential information contained in copies of the doctoral dissertation with a confidentiality protection clause, which are the property of the Author of the Dissertation.

§10

If the Institution has received a copy of the doctoral dissertation with a confidentiality protection clause, the Institution is responsible for maintaining the confidentiality of the information contained therein.

§11

The obligation of confidentiality applies to all confidential information obtained in the process of preparing and defending a doctoral dissertation, and is not limited in time.

§12

The Center for Doctoral Education and Procedures keeps records of doctoral dissertations covered by the confidentiality protection clause.

**APPLICATION FOR COVERING THE DOCTORAL DISSERTATION WITH A
CONFIDENTIALITY PROTECTION CLAUSE**

Kraków, on

.....
(name, surname of the Author of the Doctoral Dissertation)

.....
(album number)

I, the undersigned *, doctoral student at the Doctoral School of the Krakow University of Economics / person applying for the award of a doctoral degree in the extramural mode at the Krakow University of Economics * with the intention of using, in the doctoral dissertation I am working on, titled, the confidential information from the Institution regarding, I request that the doctoral dissertation in question be subject to a confidentiality protection clause.

The information provided to me should be considered confidential due to: (1)

.....
.....

.....
(signature of the Author of the Doctoral Dissertation)

DISSERTATION SUPERVISOR'S OPINION:

.....
.....

.....
(Dissertation Supervisor's signature)

I confirm/do not confirm * the validity covering the doctoral dissertation in question with the confidentiality protection clause, and instruct the application of the appropriate procedure.

.....
(signature of the Chairman of the Council for Academic Discipline)

* Delete as appropriate.

(1) It should be justified that the information provided constitutes a trade secret (business confidential information), i.e. that it constitutes technical, technological, or organizational information of the Institution or other information of economic value which, as a whole or in a specific combination and set of its elements, is not generally known to persons usually dealing with this type of information, or is not easily accessible to persons for whom the Institution has taken steps, while exercising due diligence, to keep the information confidential or otherwise legally protected.

....., on

.....
.....
(Name, registered office and address of the Institution)

**Krakow University of Economics
ul. Rakowicka 27, 31-510 Kraków**

I, the undersigned / We, the undersigned *,
authorized/authorized* to represent,
declare that confidential information in the field of, intended for the
preparation of a doctoral dissertation entitled, by Mrs/Mr*
....., PhD student of the Doctoral School of the Krakow University of
Economics / applying for a doctoral degree in the extramural mode at the Krakow University
of Economics * may be made available provided that the doctoral dissertation is subject to a
confidentiality protection clause.

The information shared is confidential due to: (2)

.....
.....
.....
.....

I/we declare that I/we have read the procedure applicable at the Krakow University of
Economics for making a doctoral dissertation confidential and have accepted these rules.

.....
Seal and signature

* Delete as appropriate.

(2) It should be justified that the information provided constitutes a trade secret (business confidential information), i.e. that it constitutes technical, technological, or organizational information of the Institution or other information of economic value which, as a whole or in a specific combination and set of its elements, is not generally known to persons usually dealing with this type of information, or is not easily accessible to persons for whom the Institution has taken steps, while exercising due diligence, to keep the information confidential or otherwise legally protected.

....., on

CONFIDENTIALITY STATEMENT

I, the undersigned*:

1) declare that I am participating in the process of preparing / procedure for awarding a doctoral degree * of a doctoral dissertation covered by the confidentiality clause, titled, by Mrs/Mr....., PhD student of the Doctoral School of the Krakow University of Economics / applicant for the award of a doctoral degree in the extramural mode at the Krakow University of Economics *, album number, as(3);

2) declare that I have read the confidentiality procedure applicable at the Krakow University of Economics and I accept these rules;

3) undertake to keep confidential, including non-distribution, non-reproduction and non-disclosure of, confidential information of the Institution, with which I became acquainted in the preparation process / in connection with participation in the awarding procedure doctoral degree * for the doctoral dissertation covered by the confidentiality protection clause;

4) I undertake to use confidential information only for the purposes of fulfilling my obligations arising from the process of preparing / participating in the procedure for awarding a doctoral degree for the doctoral dissertation covered with the confidentiality protection clause *;

5) I undertake to properly store and protect the confidential information provided to me against access by unauthorized persons;

6) I undertake to return in full all documents and their copies obtained in the process of preparing a doctoral dissertation / the procedure for awarding a doctoral degree * for the doctoral dissertation covered by the confidentiality clause, immediately after their use;

7) I declare that I am aware of liability for violating the applicable regulations arising from the provisions on combating unfair competition, the Penal Code, personal data protection regulations, and the Labour Code.

.....
Name and surname, signature

* Delete as appropriate; if you participate in both processes, leave both records;

(3) For instance, the doctoral student applying for the award of a doctoral degree on an extramural basis, the thesis supervisor, the chairman of the appropriate Council for Academic Discipline, the reviewer, a member of the examination committee, a member of the doctoral committee, the recorder, the Director of the Doctoral School, an employee of the Center for Doctoral Student Education and Doctoral Procedures Management, an employee administering IT systems used for anti-plagiarism verification and record keeping.