

# **STATE UNIVERSITY OF TRADE AND ECONOMICS**

**APPROVED**

by the Academic Council of SUTE  
on December 21, 2023  
(minutes No 5, cl. 6)

**ENACTED**

by Order of SUTE  
No. 4607 dated December 21,  
2023

## **REGULATION**

**on the assessment of PhD degree candidates at the State University of  
Trade and Economics**

**Kyiv 2023**

## **Introduction**

The Regulation on the assessment of PhD degree candidates at the State University of Trade and Economics (hereinafter referred to as Regulation) has been developed in accordance with the Law of Ukraine “On Higher Education”, the Procedure for Training of assessment of PhD degree candidates and Doctor of Science degree candidates in Higher Education Institutions (Scientific Institutions) approved by the Resolution of the Cabinet of Ministers of Ukraine dated March 23, 2016 (as amended), Resolution of the Cabinet of Ministers of Ukraine No. 44 of January 12, 2022 “Procedure for Awarding the Degree of Doctor of Philosophy and Cancellation of the Decision of the ad hoc Specialized Academic Council of a Higher Education Institution or Research Institution to Award the Degree of Doctor of Philosophy”, orders and regulations of the Ministry of Education and Science of Ukraine (hereinafter referred to as the MES of Ukraine), the Procedure for the Training of Doctors of Philosophy approved by the Academic Council of the State University of Trade and Economics (hereinafter referred to as SUTE, University) on August 29, 2023 (Minutes No. 1, cl. 5) and put into effect by Order of SUTE No. 2990 dated September 18, 2023, the Procedure for ordering, production, issuance and accounting of educational documents at the State University of Trade and Economics approved by the Academic Council of SUTE on June 29, 2023 (Minutes No. 12, cl. 13) and put into effect by Order of SUTE No. 1550 dated June 29, 2023, and other regulatory documents of SUTE.

This Regulation defines the procedure for assessment of PhD degree candidates in the form of public defense of scientific achievements in the form of a dissertation.

### **1. General provisions**

1.1. The definitions used in these Regulation shall have the following meanings:

assessment of PhD degree candidates - determination by the ad hoc specialized academic council of the compliance of the results of his/her research with the requirements of the educational and scientific program, as a result of the successful completion of the educational and scientific program by the PhD degree candidate and the public defense of his/her dissertation;

chairman of the ad hoc specialized academic council (hereinafter referred to as the chairman of the ad hoc council) is a person who works as a scientific-pedagogical employee or researcher at the principal place of work at the institution where the ad hoc specialized academic council is established, has a doctorate degree and is a competent academician in the field of research of the PhD degree candidate;

dissertation of PhD degree candidate (hereinafter referred to as the dissertation) is a qualifying scientific work performed by an PhD degree candidate personally, containing the scientific results of his/her research and submitted for consideration for the purpose of awarding him/her the degree of Doctor of Philosophy;

PhD degree candidate is a person who is pursuing an educational and scientific program at SUTE at the third (educational and scientific) level of higher education to obtain Doctor of Philosophy degree;

information system of the National Agency for Higher Education Quality Assurance (hereinafter referred to as the information system) is an electronic information and communication system administered by the National Agency for Higher Education Quality Assurance (hereinafter referred to as the National Agency) and allows creating, viewing, exchanging information in electronic form on the formation of ad hoc specialized academic councils, awarding the degree of Doctor of Philosophy and cancelling decisions of ad hoc specialized academic councils on awarding the said degree;

educational and scientific program at the third (educational and scientific) level of higher education (hereinafter referred to as educational and scientific program, ESP) is a single set of educational (academic disciplines, individual tasks, practices, control measures, etc.) and scientific (conducting research, writing scientific publications, speaking at conferences, etc.) components aimed at achieving the learning outcomes provided for by such a program, drafting and publicly defending a dissertation that gives the right to obtain a certain qualification;

an official opponent of the dissertation of PhD degree candidate (hereinafter referred to as the official opponent) is a person who is a scientific-pedagogical employee or researcher and is not employed by SUTE, has a scientific degree and is a competent academician in the field of the PhD degree candidate 's research;

periodical scientific publication - a scientific publication that is published at certain intervals, has a predetermined constant annual number and title of numbered or dated, uniformly designed issues that do not repeat in content, have the same title, ISSN number, which is confirmed on the website of the International Centre for the registration of serial publications, and is not proceedings and materials of scientific conferences, congresses, symposia, etc.;

ad hoc specialized academic council (hereinafter referred to as the ad hoc council) is a specialized academic council formed by the University with the right to accept for consideration and conduct the ad hoc defense of the PhD degree candidate 's dissertation in order to award him or her the degree of Doctor of Philosophy;

a reviewer of the dissertation of PhD degree candidate (hereinafter referred to as the reviewer) is a person who works as a scientific-pedagogical employee or researcher of SUTE at the principal place of work, has a scientific degree and is a competent academician in the field of the PhD degree candidate 's research;

research topic is a part of the subject (disciplinary) area of the specialty (specialties) within which intellectual creative activity aimed at obtaining and using new knowledge is carried out and on which scientific results are published.

The definitions “close persons”, “real conflict of interest” and “potential conflict of interest” shall have the meaning given in the Law of Ukraine “On Prevention of Corruption”.

1.2. The legislation and regulations of SUTE on academic integrity apply when obtaining a Doctor of Philosophy degree.

## **2. Prerequisites for the assessment of a PhD degree candidate**

2.1. The PhD degree candidate shall complete the educational and scientific program, acquire theoretical knowledge, skills and competencies defined by the standard of higher education of the third (educational and scientific) level in the relevant specialty, conduct his/her own research in the form of a dissertation, and publish its main scientific results.

In the absence of a relevant higher education standard, the requirements for the level of knowledge, skills and abilities are determined in accordance with the eighth level of the National Qualifications Framework approved by the Cabinet of Ministers of Ukraine on November 23, 2011, No. 1341.

2.2. The dissertation shall contain new scientifically based results of the research conducted by the PhD degree candidate, which perform a specific scientific task that is essential for a particular field of knowledge.

The dissertation is written in the official language or in English.

The requirements for the dissertation are established by the Ministry of Education and Science of Ukraine. The maximum and/or minimum volume of the main text of the dissertation is defined by the educational and scientific program in accordance with the specifics of the field of knowledge and/or specialty.

The dissertation is submitted for defense in the form of a specially prepared manuscript.

2.3. The scientific results of the dissertation shall be covered in at least three scientific publications of the the PhD degree candidate, which are counted:

1) articles in scientific periodicals included in the list of scientific professional periodicals of Ukraine as of the date of publication. If the number of co-authors in such an article (together with the applicant) is more than two people, such an article is equivalent to 0.5 publications (except for publications specified in subparagraph 2 of this paragraph);

2) articles in periodicals indexed in the Web of Science Core Collection and/or Scopus databases (except for publications of a state recognized by the Verkhovna Rada of Ukraine as the aggressor state);

3) no more than one patent for an invention that has passed the qualifying examination and is directly related to the scientific results of the dissertation, which is equivalent to one scientific publication;

4) individual monographs recommended for publication by the academic councils of the institutions and passed the review process, except for single monographs published in a state recognized by the Verkhovna Rada of Ukraine as an aggressor state. Individual chapters in collective monographs are equated to individual-authored monographs under the same conditions.

An article in a publication ranked in the first to third quartiles (Q1-Q3) according to the SCImago Journal and Country Rank or Journal Citation Reports, or a individual monograph that meets these requirements is equivalent to two scientific publications.

The affiliation of a scientific periodicals ranked in the first to third quartiles (Q1-Q3) according to the SCImago Journal and Country Rank or Journal Citation Reports classification is determined according to the ranking in the year in which

the relevant publication of the applicant was published or, if the ranking for the relevant year is not published as of the date of the formation of the ad hoc council, according to the latest published ranking.

2.4. Articles are credited under the topic of the dissertation, provided that the scientific results obtained are substantiated in accordance with the purpose of the article (task) and conclusions, as well as the publication of no more than one article in one edition (issue) of a scientific periodical.

Articles published after the entry into force of the Resolution of the Cabinet of Ministers of Ukraine of January 12, 2022, No. 44 “On Approval of the Procedure for Awarding the Degree of Doctor of Philosophy and Cancellation of the Decision of a Ad hoc Specialized Academic Council of a Higher Education Institution or Research Institution to Award the Degree of Doctor of Philosophy” are credited under the topic of the dissertation only if they have an active DOI (Digital Object Identifier), except for publications containing information classified as state secret or information for official use.

It is not considered self-plagiarism for an the PhD degree candidate to use his or her own scientific works in the text of the dissertation without reference to these works if they have been previously published in order to highlight the main scientific results of the dissertation and are indicated by the applicant in the dissertation abstract.

2.5. The the PhD degree candidate has successfully passed the procedure of public presentation of the scientific results of the dissertation and its discussion at a session of the department that implements the relevant accredited educational and scientific program and trains the the PhD degree candidate, as evidenced by the conclusion on the scientific novelty, theoretical and practical significance of the results of the dissertation, signed by the chairman of the department.

2.6 Certification is carried out exclusively in accordance with an accredited educational and scientific program. An the PhD degree candidate who completes an unaccredited educational and scientific program has the right, in accordance with the procedure established by law and the Procedure for the Preparation of Doctors of Philosophy, to be transferred to another institution that has an accredited educational and scientific program in the relevant specialty (specialties).

### **3. Establishment of an ad hoc specialized academic council**

3.1. Within two weeks of receiving a positive conclusion on the scientific novelty, theoretical and practical significance of the dissertation results, the the PhD degree candidate applies to the SUTE Academic Council with a written application for the establishment of an ad hoc council (*Annex 1*).

In the application, the the PhD degree candidate certifies that the dissertation was completed personally in compliance with academic integrity, confirms that the final text of the dissertation has been submitted for defense, and indicates the language of the dissertation defense (official language or English at the the PhD degree candidate 's request).

The following are attached to the application:

- academic reference of completion of the educational and research program;

- dissertation in printed and electronic form;
- scientific publications (or copies thereof), which highlight the scientific results of the dissertation;
- certificates of implementation of the results of the dissertation research;
- conclusion of the scientific supervisor(s);
- conclusion on the scientific novelty, theoretical and practical significance of the results of the dissertation;
- information on the the PhD degree candidate, drawn up according the form (*Annex 2*).
- information on the members of the ad hoc specialized academic council, drawn up under the form (*Annex 3*) in accordance with the proposals of the department on the basis of which the public presentation of the scientific results of the dissertation took place.

The head of the department that submitted the proposals is responsible for the composition of the academic council.

3.2. The Academic Council, no later than two months from the date of receipt of the applicant's application, shall form a ad hoc council consisting of five persons who are enlisted in the Unified State Electronic Database on Education - the chairman of the ad hoc council, two reviewers and two official opponents, as ordered by the SUTE, except for scientific and pedagogical employees of higher military educational institutions, higher education institutions with specific training conditions, military educational units of higher education institutions/scientific institutions, and scientific institutions of the Ministry of Defense.

If the the PhD degree candidate 's training was carried out under an accredited educational and research program in accordance with an agreement between SUTE and a foreign institution, the ad hoc council may be formed on the basis of one of the said institutions. If the ad hoc council is formed on the basis of SUTE, the council shall be formed in accordance with the regulatory documents of Ukraine and this Regulation. In the case of certification of an applicant in a foreign institution, an ad hoc council is formed in accordance with the legislation of a foreign state.

If the University is unable to appoint two reviewers in accordance with the requirements of this Regulation, the ad hoc council shall be formed consisting of the chairman of the council, one reviewer and three official opponents.

Official opponents cannot work at the same institution, have joint publications in the last five years with the chairman, reviewers, and scientific supervisor, and are included in the ad hoc council by their written consent.

3.3. The competence of the members of the ad hoc council on the subject of the the PhD degree candidate 's research is determined by the presence of at least three scientific publications on the subject of the applicant's research, provided that they were published within the last five years before the date of formation of the ad hoc council and after the award of the degree of Doctor of Philosophy (Candidate of Sciences), to which are enrolled:

- individual monographs recommended for publication by the academic councils of the institutions and passed the review process, except for individual monographs published in a state recognized by the Verkhovna

Rada of Ukraine as the aggressor state. Individual chapters in collective monographs are equated to individual-authored monographs under the same conditions (for foreign periodicals - in accordance with the requirements for scientific publications of the relevant state);

- scientific articles published in scientific periodicals included in the list of scientific professional periodicals of Ukraine as of the date of publication;
- scientific articles published in periodicals indexed in the Web of Science Core Collection and/or Scopus databases, except for periodicals of a state recognized by the Verkhovna Rada of Ukraine as the aggressor state.

An individual monograph with a total volume of at least five author pages or a scientific publication in a scientific periodical ranked in the first to third quartiles (Q1-Q3) according to the classification of SCImago Journal and Country Rank or Journal Citation Reports is equivalent to two scientific publications.

The affiliation of a scientific periodicals ranked in the first to third quartiles (Q1-Q3) according to the SCImago Journal and Country Rank or Journal Citation Reports classification is determined according to the ranking in the year in which the relevant publication of the the PhD degree candidate was published or, if the ranking for the relevant year is not published as of the date of the formation of the ad hoc council, according to the latest published ranking.

3.4 A person may not be a member of the ad hoc council if he/she:

- 1) is the scientific supervisor of the the PhD degree candidate;
- 2) is the head of the university;
- 3) is a co-author of the the PhD degree candidate's scientific publications;
- 4) has a real or potential conflict of interest in relation to the the PhD degree candidate (in particular, is a close person) and/or his/her scientific supervisor and/or other member of the ad hoc council;
- 5) was brought to academic responsibility for violations of academic integrity, in particular, for deprivation of the right to participate in the work of specialized academic councils in accordance with the Laws of Ukraine “On Higher Education” and “On Scientific and Scientific and Technical Activities”;
- 6) works (worked) in managerial positions in institutions, establishments, organizations that illegally conduct (conducted) their activities in the temporarily occupied territories of Ukraine;
- 7) does not have a command of the language of the dissertation defense to the extent sufficient for a qualified assessment of the the PhD degree candidate;
- 8) received a Doctor of Philosophy (candidate of science) diploma less than three years before the date of formation of the ad hoc council.

One person may participate as a member of the ad hoc council in no more than eight dissertation defenses within a calendar year.

3.5. The decision to form the ad hoc council shall be made by the Academic Council of the SUTE. Based on the decision of the Academic Council, the University issues an order to establish the ad hoc council.

Within five business days from the date of issuance of the order on the establishment of the ad hoc council, the University:

1) publishes, subject to the requirements of the legislation on state secrets and proprietary information, on its official website an electronic copy of the dissertation in PDF/A format with a text layer with the applicant's electronic signature based on a qualified electronic signature certificate (using a qualified electronic time stamp), a conclusion on the scientific novelty, theoretical and practical significance of the dissertation results and information on the composition of the ad hoc council, a link to the website where the dissertation defense will be streamed;

2) enters information on the establishment of the ad hoc council into the information system;

3) submits a printed copy of the dissertation signed by the applicant to the University library;

4) submits an electronic copy of the dissertation to the state scientific institution “Ukrainian Institute of Scientific and Technical Expertise and Information”, as well as to the university repository.

3.7. Information on the establishment of the ad hoc council shall be deemed to be published from the date of its entry into the information system.

Any person who is a subject of scientific and technical activity may submit to the Ministry of Education and Science of Ukraine a notice of non-compliance of the composition of the ad hoc council with the requirements of the legislation within 15 days from the date of publication by the National Agency of information on the establishment of the ad hoc council (amendments to the composition of the ad hoc council).

The Ministry of Education and Science of Ukraine verifies the compliance of the composition of the ad hoc council with the requirements of clauses 3.2-3.4 of this Regulation and considers notifications of non-compliance of the composition of the ad hoc council (if received) within one month from the date of publication by the National Agency of information on the establishment of the ad hoc council (amendments to the composition of the ad hoc council).

In case of violations, the Ministry of Education and Science suspends the work of the ad hoc council by entering relevant information into the information system, indicating the grounds for eliminating the identified violations.

3.8. In order to eliminate the identified violations, as well as in case of impossibility of fulfillment of duties by a member (members) of the ad hoc council, the University issues an order to make changes to the composition of the ad hoc council, and enters the information into the information system.

Information on changes in the composition of the ad hoc council is published in the information system.

3.9. Based on the results of the examination of the dissertation and scientific publications of the applicant, credited on the topic of the dissertation, within 45 calendar days from the date of publication of information on the establishment of the ad hoc council, each reviewer submits to the ad hoc council a review, and each official opponent - a review, which indicates the results of their own assessment of the scientific level of the dissertation and scientific publications of the the PhD degree candidate, in particular the novelty of the presented theoretical and/or experimental results of the research conducted by the the PhD degree candidate, their



scientific validity, the level of fulfillment of the scientific task and the the PhD degree candidate 's mastery of the methodology of scientific activity.

Reviewers and official opponents ensure the objectivity of the reviews and feedback they prepare, certify them with their own signatures and stamps of the institutions at their principal place of work.

If the review does not meet the established requirements, the chairman of the ad hoc council determines the time limit for its revision.

In case of failure to submit the review (feedback) within the established time limit or submission in violation of the established time limit, the chairman of the ad hoc council initiates the issue of replacing the relevant member of the council before the SUTE Academic Council.

3.10. The University ensures the creation of the necessary conditions for the ad hoc council to verify the the PhD degree candidate 's compliance with academic integrity.

If the members of the council find academic plagiarism, fabrication, or falsification in the the PhD degree candidate 's dissertation and/or scientific publications, the reviewer (official opponent) shall indicate this in his or her review.

3.11. Within three business days from the date of receipt of the last review by the ad hoc council:

- the ad hoc council sets the date, time and place of the public defense of the dissertation. The date of the public defense of the dissertation is set not earlier than two weeks and not later than four weeks from the date of receipt of the last review by the ad hoc council. Information on the date, time, and place of the public defense of the applicant's dissertation is published on the official website of the University and entered into the information system;

- electronic copies of reviews in PDF/A format with a text layer with the electronic signature of the reviewer (official opponent) based on a qualified electronic signature certificate (using a qualified electronic time stamp) are published on the official website of the University, taking into account the requirements of the legislation on state secrets and proprietary information, and copies of them are provided to the PhD degree candidate for review at the request of the PhD degree candidate.

#### **4. Public defense of the dissertation and awarding of the degree of Doctor of Philosophy**

4.1. The public defense of the dissertation is held at a meeting of the ad hoc council, which is considered legitimate if the full composition of the ad hoc council participates in it.

Members of the ad hoc council may participate in the meeting of the ad hoc council by means of video communication in real time. The University shall provide the possibility of using video communication facilities, in particular for persons with disabilities.

In the absence of a quorum for a meeting, the ad hoc council decides to postpone the date of the dissertation defense, setting another date not earlier than two weeks and not later than four weeks from the previous date.

Within three business days from the date of the decision to change the date of the dissertation defense, information about the date, time and place of the dissertation defense is published on the official website of the University and entered into the information system.

4.2. The University provides a real-time recording of the dissertation defense broadcast on its official website, as well as a video recording of the dissertation defense broadcast, taking into account the requirements of the legislation on state secrets and proprietary information.

The quality and duration of the video recording of the dissertation defense broadcast ad hoc should be sufficient to fully (without interruption) reproduce the dissertation defense procedure, including speeches by the the PhD degree candidate and members of the ad hoc council, scientific discussion, and voting by each member of the council.

4.3. The dissertation defense should be an open scientific discussion, in which the the PhD degree candidate, the chairperson, and all members of the ad hoc council are obliged to participate. During the assessment of the the PhD degree candidate, the members of the ad hoc council shall assess the scientific level of his or her dissertation and scientific publications, taking into account his or her compliance with academic integrity, as well as determine the level of theoretical knowledge, relevant skills and competencies.

The meeting of the ad hoc council for the public defense of the dissertation is held in the official state language or in English (at the choice of the the PhD degree candidate) according to the following procedure:

- the chairman of the ad hoc council informs its members about the format of the defense (face-to-face or online) and, according to the data of the registration card of the presence of the members of the ad hoc council, about the legitimacy of the meeting and, if a quorum is present, opens the meeting;
- the chairman of the ad hoc council informs about the documents submitted by the the PhD degree candidate, their compliance with the established requirements (dissertation topic, specialty, scientific supervisor, department where the work was performed, the conclusion of the department, the number of scientific publications, and the the PhD degree candidate 's education);
- the PhD degree candidate presents the main provisions of the dissertation and answers questions submitted orally or in writing;
- the PhD degree candidate responds to the comments contained in the reviews of the reviewers and the reviews of the official opponents;
- if the University receives requests from other persons to evaluate the dissertation no later than three business days before the defense, the chairman of the ad hoc council announces them, and the PhD degree candidate responds to the observations
- the dissertation work of the PhD degree candidate and the decision of the ad hoc council regarding awarding the degree of Doctor of Philosophy are discussed. Each member of the ad hoc council openly expresses his or her position in favor or against awarding the degree of Doctor of Philosophy;
- the ad hoc council makes decisions by open vote:

- on awarding the degree of Doctor of Philosophy, if it is supported by at least four members of the ad hoc council;
- on refusal to award the degree of Doctor of Philosophy, if it was supported by two or more members of the ad hoc council;
- the chairman of the ad hoc council announces the results of the voting;

4.4. Based on the results of the voting, the decision of the ad hoc council to award (refuse to award) the degree of Doctor of Philosophy is drawn up in the form approved by the Ministry of Education and Science of Ukraine. The decision, which is signed by the chairman of the ad hoc council and sealed with the seal of the University, shall indicate the results of the voting of the members of the ad hoc council.

A member of the ad hoc council has the right to express a dissenting opinion in writing, in which he or she may provide observation to the dissertation, in particular, on the PhD degree candidate's compliance with academic integrity and/or the for the dissertation defense procedure. The dissenting opinion is attached to the decision of the ad hoc council to award (refuse to award) the degree of Doctor of Philosophy and is an integral part of it. An integral part of the decision is also a video recording of the dissertation defense broadcast, which is affixed with the University's electronic seal based on a qualified electronic seal certificate.

4.5. The PhD degree candidate has the right to withdraw the dissertation from defense before the voting on awarding of the degree of Doctor of Philosophy upon written application to the chairman of the ad hoc council, except in cases where the ad hoc council finds a violation of academic integrity in the dissertation and/or scientific publications that highlight the main scientific results of the dissertation. The PhD degree candidate may exercise this right only once.

If the ad hoc council finds evidence of academic plagiarism, fabrication, or falsification in a dissertation and/or scientific publications that highlight the main scientific results of the dissertation, the application for withdrawal of the dissertation from defense is not accepted. In such a case, the ad hoc council decides to refuse to award the degree of Doctor of Philosophy without the right to resubmit the dissertation for defense.

4.6. After the ad hoc council makes a decision to award (refusal to award) the degree of Doctor of Philosophy, the University:

- 1) within three business days, publishes the decision of the ad hoc council to award (refuse to award) the degree of Doctor of Philosophy and a video recording of the dissertation defense broadcast on its official website, taking into account the requirements of the legislation on state secrets and personal information;
- 2) within five business days, submits information on the results of the dissertation defense to the information system.

4.7. In case of withdrawal of the dissertation from defense or refusal of the ad hoc council to award the degree of Doctor of Philosophy, the PhD degree candidate has the right, subject to revision, to resubmit the dissertation for defense no earlier than in a year, except as provided for in the second paragraph of clause 4.5 of this Regulation.

Re-defense of the dissertation after its revision is possible on the condition that the PhD degree candidate receives a second opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation.

4.8. On the basis of the decision of the ad hoc council to award the degree of Doctor of Philosophy, the University shall issue an order to issue a Doctor of Philosophy diploma and a European-style supplement to the PhD degree candidate not earlier than 15 and not later than 30 calendar days after the date of the dissertation defense.

If within 15 calendar days from the date of defense of the University's dissertation a violation of the for dissertation defense procedure established by this Regulation is detected or the University receives a notification of such a violation, the order of the University to issue a Doctor of Philosophy degree to the PhD degree candidate is issued if the Academic Council decides to uphold the decision of the ad hoc council.

The decision of the ad hoc council to award the degree of Doctor of Philosophy comes into force on the date when the order of SUTE on the issuance of the Doctor of Philosophy degree comes into force.

The Doctor of Philosophy Diploma is issued in the form approved by the Ministry of Education and Science of Ukraine and is issued to the PhD degree candidate in accordance with the Procedure for Ordering, Manufacturing, Issuing and Accounting for Educational Documents at the State University of Trade and Economics.

The PhD degree candidate whose training was carried out in accordance with an agreement between SUTE and a foreign institution and who has been awarded a Doctor of Philosophy degree may also be granted a Doctor of Philosophy degree by a foreign institution in accordance with the laws of the state where such institution is located.

4.9. Within ten business days from the date of issuance of the Doctor of Philosophy Diploma, the University shall attach a copy of the decision of the ad hoc council to award the degree of Doctor of Philosophy, certified by the chairman of the ad hoc council, to the copy of the dissertation stored in the University library.

The provisions of this clause shall be applied subject to the requirements of the legislation on state secrets and personal information.

4.10. The conclusion on the scientific novelty, theoretical and practical significance of the results of the dissertation, reviews, feedback, the decision of the ad hoc council to award the degree of Doctor of Philosophy and a video recording of the dissertation defense broadcast are attached to the the PhD degree candidate 's personal file, which is kept in accordance with the legislation.

The dissertation (together with an active link to it in the information system), the conclusion on the scientific novelty, theoretical and practical significance of the results of the dissertation, reviews, feedback, the decision of the ad hoc council to award the degree of Doctor of Philosophy, video recording of the dissertation defense broadcast, published by the University, taking into account the requirements of the legislation on state secrets and personal information, shall be available for free

viewing for at least six months from the date of entry into force of the decision of the ad hoc council to award the degree of Doctor of Philosophy.

## **5. Financial and organizational support for the assessment of the PhD degree candidate**

5.1. Expenses related to the assessment of the PhD degree candidate, including the payment for the work of official opponents, are carried out by the institution in which the ad hoc council is established, at the expense of the sources from which the PhD degree candidate is trained.

In the case of resubmission of the dissertation for defense and certification, the expenses associated with the certification of the PhD degree candidate are borne by him/her at his/her own expense or at the expense of individuals or legal entities.

5.2. The institution credits the chairman of the ad hoc council and reviewers for performing their functions during one dissertation defense for at least 32 hours within the time limits for scientific work established by the institution for scientific-pedagogical employee (within the main workload - for researchers).

The institution in which the ad hoc council is formed pays for the work of official opponents for performing functions related to the assessment of the PhD degree candidate during one dissertation defense in accordance with the hourly wage rates for persons who have the degree of Doctor of Science, Doctor of Philosophy (Candidate of Sciences) and conduct training sessions with postgraduate students, as provided for by the Resolution of the Cabinet of Ministers of Ukraine of August 30, 2002 No. 1298 “On Remuneration of Employees on the Basis of the Unified Tariff Scale of Categories and Coefficients for Remuneration of Employees of Institutions, Establishments and Organizations” at the rate of 32 hours.

If the budget of the institution does not provide for expenses related to the assessment of the PhD degree candidate, the provisions of this paragraph do not apply.

5.3. The PhD degree candidate, his/her scientific supervisor(s) is/are prohibited from providing or offering to provide the members of the dissertation council, the head and other officials of the institution where the dissertation council is established with any material and/or intangible benefits, including funds or any other property, payment for food, transportation, or accommodation of such persons before, during, and/or after the dissertation defense.

5.4. Department the Postgraduate and Doctoral Studies of SUTE provides support for the activities of ad hoc councils.

## **6. Cancellation of the decision of the ad hoc council on awarding the degree of Doctor of Philosophy**

6.1. The University has the right to cancel the decision of the ad hoc council on awarding the degree of Doctor of Philosophy in connection with:

- violation of the dissertation defense procedure – before issuing a Doctor of Philosophy diploma;

- identification of facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications that cover the scientific results of the dissertation - regardless of the period that has passed since the award of the Doctor of Philosophy degree by ad hoc council.

6.2. The grounds for initiating the procedure for cancelling the decision of ad hoc council may be the University's own initiative, which has identified the discrepancies specified in clause 6.1, or a notification of such discrepancies submitted to the institution by any person who is a subject of scientific and scientific and technical activity. Such notification is sent:

- in electronic form with an electronic signature based on a qualified electronic signature certificate - to the official e-mail address of the institution;
- in paper form signed by the person submitting it (head of the legal entity) - to the address of the institution.

The date of notification is the date of its receipt by the institution.

6.3. In order to consider the issue of cancelling the decision of the ad hoc council on awarding the degree of Doctor of Philosophy due to violation of the procedure for defending a dissertation established by this Regulation, the Academic Council of the University at the next meeting forms a commission consisting of three scientific (scientific and pedagogical) employees of the University. Such a commission cannot include members of ad hoc council.

The Commission considers reports of violation of the dissertation defense procedure within two weeks from the date of its formation.

The results of the review are submitted to a meeting of the commission, which is held in public, with the participation of the person who submitted the notification and/or his/her representative, the PhD degree candidate and, if necessary, members of the relevant ad hoc council. The specified persons are informed of the date, time and place of the meeting five calendar days before the date of the meeting. The absence of these persons at the meeting does not preclude consideration of the notification of violation of the dissertation defense procedure.

Within five business days from the date of the meeting, the commission drafts a conclusion, which is signed by all members of the commission. The commission's conclusion shall contain the grounds for its decision and a proposal:

- to cancel the decision of the ad hoc council to award the degree of Doctor of Philosophy due to violation of the dissertation defense procedure;
- to refuse to satisfy a person's notification of violation of the dissertation defense procedure.

The commission's conclusion is submitted to SUTE's Academic Council within three business days from the date of signing. At its next meeting, the Academic Council of SUTE considers the conclusion of the commission and, based on the results of its consideration, decides to cancel the decision of the ad hoc council to award the degree of Doctor of Philosophy or to uphold the decision of the ad hoc council, which is issued by an order of the University.

Within three business days from the date of issuance of the said order, the decision of the Academic Council together with the conclusion of the commission shall be published on the official website of the University.

If the decision of the ad hoc council is cancelled due to a violation of the procedure for defending a dissertation established by this Regulation, the PhD degree candidate has the right to submit a dissertation on the same topic for defense again.

6.4. The issue of cancelling the decision of the ad hoc council to award the degree of Doctor of Philosophy in connection with the discovery of facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications that cover the scientific results of the dissertation is considered by the Ethics and Academic Integrity Commission of the SUTE. The results of the review are submitted to a meeting of SUTE's Academic Council within three months from the date of the discovery of the relevant evidence of academic dishonesty. The person who submitted the notification (if any), the person whose decision on awarding the degree of Doctor of Philosophy is being appealed, and, if necessary, the members of the relevant ad hoc council shall be informed of the date, time, and place of the meeting of the academic council five business days before the date of the meeting. The Academic Council at its meeting decides to cancel the decision of the ad hoc council on awarding the degree of Doctor of Philosophy or on upholding the decision of the ad hoc council.

If the decision of the ad hoc council is cancelled due to the discovery of facts of academic plagiarism, fabrication, or falsification in the dissertation and/or scientific publications that cover the scientific results of the dissertation, the dissertation shall not be resubmitted for defense.

6.5. The issue of cancelling the decision of the ad hoc council on awarding the degree of Doctor of Philosophy due to violation of the dissertation defense procedure or the discovery of facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications that cover the scientific results of the dissertation may be considered by the National Agency for Higher Education Quality Assurance in accordance with the procedure established by the Resolution of the Cabinet of Ministers of Ukraine of January 12, 2022 No. 44 “Procedure for Awarding the Degree of Doctor of Philosophy and Cancellation of the Decision of a Ad hoc Specialized Academic Council of a Higher Education Institution or Research Institution to Award the Degree of Doctor of Philosophy”.

6.6. In case of cancellation of the decision of the ad hoc council on awarding the degree of Doctor of Philosophy after issuing a Doctor of Philosophy diploma t, such a diploma is considered invalid from the date of the relevant decision.

Within three working days from the date of the decision of the University / National Agency to cancel the decision of the ad hoc council on awarding the degree of Doctor of Philosophy, information about the invalidity of the Doctor of Philosophy diploma is entered by them into the Unified State Electronic Database on Education.

To: Chairman of the Academic Council  
of SUTE  
Professor Anatoliy MAZARAKI  
From: the PhD degree candidate  
of \_\_\_\_\_ department

\_\_\_\_\_ year of study  
Name SURNAME

### **Application**

Please consider the establishment of an ad hoc specialized academic council for the defense of the dissertation work of the PhD degree candidate Name, Surname titled “topic name” in order to award the degree of higher education “Doctor of Philosophy” in the specialty code and name of the specialty.

The dissertation was written by me personally in compliance with the principles of academic integrity. The final text of the dissertation is submitted for defense. The language of the dissertation defense is Ukrainian/English.

*(choose language)*

The application is accompanied by:

- academic certificate of completion of the educational and scientific program;
- dissertation in printed and electronic form;
- copies of specify the number of scientific publications that cover the scientific results of the dissertation;
- specify the number of certificates on the implementation of the results of the dissertation research;
- conclusion of the scientific supervisor *indicate academic degree, academic title Name and surname*;
- conclusion on the scientific novelty, theoretical and practical significance of the results of the dissertation;
- information on the PhD degree candidate;
- information on the members of an ad hoc specialized academic council.

*Date*

*Signature*



**Information  
on the PhD degree candidate**  
of department \_\_\_\_\_

<i>Name Surname</i>					
<i>Educational and scientific program Specialty</i>					
<i>Dissertation topic</i>					
<i>Abstract of the dissertation</i>					
<i>Key words</i>					
<i>Date of the public presentation, number of the minutes of the department meeting</i>					
<i>Publications of the PhD degree candidate on the topic of the dissertation (all available)</i>					
<i>No</i>	<i>Type of publication*</i>	<i>Bibliographic description and link to the article</i>	<i>Year</i>	<i>Key words</i>	<i>DOI</i>
1					
2					
3					

The PhD degree candidate \_\_\_\_\_

Name SURNAME

\*Acceptable types of publications:

- Scientific article in a Ukrainian professional edition
- Scientific article in a foreign periodical scientific edition
- Monograph
- Chapter in a collective monograph
- Patent

**Composition of the ad hoc specialized academic council**  
**for assessment of the PhD degree candidate of the department \_\_\_\_\_ Full name \_\_\_\_\_**  
**Tema \_\_\_\_\_**

<b>1</b>	<b>Chairman of the ad hoc council</b>	<b>Institution (principal place of work), position</b>	<b>Academic degree, DATE of diploma issuance, code and name of specialty, academic title</b>		
	<b>Full name</b>		<b>ORCID</b>		
	<i>Type of publication*</i>	<i>Bibliographic description and link to the article</i>	<i>Year</i>	<i>Key words</i>	<i>DOI</i>
	1				
2					
3					
<b>2</b>	<b>Reviewer 1</b>	<b>Institution (principal place of work), position</b>	<b>Academic degree, DATE of diploma issuance, code and name of specialty, academic title</b>		
	<b>Full name</b>		<b>ORCID</b>		
	<i>Type of publication*</i>	<i>Bibliographic description and link to the article</i>	<i>Year</i>	<i>Key words</i>	<i>DOI</i>
	1				
2					
3					
<b>3</b>	<b>Reviewer 2</b>	<b>Institution (principal place of work), position</b>	<b>Academic degree, DATE of diploma issuance, code and name of specialty, academic title</b>		
	<b>Full name</b>		<b>ORCID</b>		
	<i>Type of publication*</i>	<i>Bibliographic description and link to the article</i>	<i>Year</i>	<i>Key words</i>	<i>DOI</i>
	1				
2					
3					

<b>4</b>	<b>Official opponent 1</b>	<b>Institution (principal place of work), position</b>	<b>Academic degree, DATE of diploma issuance, code and name of specialty, academic title</b>		
	<b>Full name</b>		<b>ORCID</b>		
	<i>Type of publication*</i>	<i>Bibliographic description and link to the article</i>	<i>Year</i>	<i>Key words</i>	<i>DOI</i>
	1				
2					
3					
<b>5</b>	<b>Official opponent 2</b>	<b>Institution (principal place of work), position</b>	<b>Academic degree, DATE of diploma issuance, code and name of specialty, academic title</b>		
	<b>Full name</b>		<b>ORCID</b>		
	<i>Type of publication*</i>	<i>Bibliographic description and link to the article</i>	<i>Year</i>	<i>Key words</i>	<i>DOI</i>
	1				
2					
3					

**Head of department**

**Name SURNAME**

**Scientific supervisor**

**Name SURNAME**

---

**\*Acceptable types of publications:**

- Scientific article in a Ukrainian professional edition
- Scientific article in a foreign periodical scientific edition
- Monograph
- Chapter in a collective monograph
- Patent