

Approved by the Scientific
Certification Committee of NR TSU
on 12.03.2020

REGULATIONS
on awarding the degree of
Doctor of Philosophy
of National Research Tomsk State University
(PhD TSU)

Tomsk - 2020

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INTERNATIONAL DIVISION
TOMSK STATE UNIVERSITY



1. General provisions

1.1. These Regulations describe the procedure of awarding the degree of Doctor of Philosophy of National Research Tomsk State University (hereinafter referred to as "PhD TSU"), including:

- requirements of qualification for candidates seeking the degree of PhD TSU and requirements for the dissertation defense committee (hereinafter referred to as the "Committee" or "PhD Committee");

- criteria for the dissertation presented (hereinafter "PhD dissertation" or "dissertation");

- procedure of presenting and defending a PhD dissertation according to the following regulations:

- Federal Law passed on December 29, 2012 № 273-Ф3 "On education in the Russian Federation"

- academic standards of National Research Tomsk State University (approved by the Academic Council on May 25, 2016, protocol No. 5);

- the Code of the Federal State Autonomous Educational Institution of Higher Education "National Research Tomsk State University";

- other regulations of the Russian Federation for activities by educational institutions of higher education and local acts of NR TSU.

1.2. The degree of PhD TSU is awarded by the PhD Committee of Tomsk State University based on the results of public defense of a PhD dissertation.

1.3. The list of research fields/programs eligible for PhD TSU degree is approved by Rector's decree.

1.4. A PhD TSU Candidate (hereinafter referred to as a "Candidate") may be an individual who has successfully completed the postgraduate program of academic personnel training at NR TSU conducted completely or partially in English (the PhD program) and has prepared the PhD dissertation.

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1.5. Vice-rector coordinating the activities for awarding PhD TSU approves the Committee and appoints the chairman and the secretary of the Committee. The chairperson and the secretary are appointed from among the NR TSU personnel.

1.6. The Committee is to include not less than seven members: at least four NR TSU employees and at least three employees of leading Russian and/or international universities or research centers. The research supervisor of the candidate and the two approved opponents of the PhD dissertation are members of the Committee.

1.7. The Committee Chairperson is a reputable researcher known in the Russian and international academic community, whose position is not below the Head of Department or Laboratory at NR TSU.

The Chairperson may not be the research supervisor of the candidate.

1.8. The Committee Secretary assists the Chair in informational, technical, and document support of PhD Committee activities.

1.9. The decision to issue a PhD TSU diploma is made by Rector on the basis of a submission from the Scientific Certification Committee of TSU.

2. Criteria for PhD dissertation

2.1. A PhD dissertation is a qualifying research paper which states theoretical and/or experimental scientific concepts based on the candidate's scientific activities which may be qualified as a scientific achievement of NR TSU research level.

2.2. A dissertation is to be written by the candidate, be coherent, to contain new scientific results and concepts to be defended.

While working on the dissertation, the candidate is to refer to authors and/or sources of borrowed materials or results.

The references are also necessary for the candidate's research papers, whether coauthored or not.

The candidate is to note using ideas and results belonging to coauthors of their research. The research supervisor and the candidate are responsible for originality of the text.

In cases of borrowing with no reference to the author and/or source, the dissertation is dismissed by the PhD Committee and the candidate is no longer eligible for dissertation defense at NR TSU. A PhD dissertation is to be checked for plagiarism in “Antiplagiat.Vuz” system before defense according to the NR TSU guidelines. Text originality is to be not lower than 80%.

2.3. A text of the dissertation is to be presented for the PhD Committee in English. An abstract of the dissertation is to be presented for the PhD Committee in Russian and English.

2.4. General research results of the dissertation are to be published in peer-reviewed scientific media included in Scopus and/or Web of Science international citation databases. Recommended amount of publications is at least three.

2.5. The PhD dissertation manuscript and scientific report shall be prepared in accordance with the requirements for the formatting of the dissertation for the degree of Candidate of Science at Tomsk State University.

3. Procedure of presenting and defending a PhD dissertation

3.1. A candidate presents their PhD dissertation and the abstract to the Head of the university division responsible for the implementation of the corresponding PhD postgraduate program.

3.2. The vice-rector coordinating the activities for awarding PhD TSU approves the expert commission proposed by the dean / director of the relevant division for approbation of the submitted dissertation and appoints a chairperson from among the members of this commission (Appendix 1). The expert commission is to include at least two NR TSU employees fluent in English and at least one representative of a leading Russian / international university or research center. The members of the expert commission are to be specialists in the field corresponding with the dissertation presented.

3.3. Each member of the expert commission evaluates the dissertation in writing using a special form (Appendix 2)

3.4. The expert commission decides on conformity or inconformity of the dissertation with the stated criteria by majority of votes of the commission.

The Chairperson of the commission forms the summary (Appendix 3) which is signed by all members of the expert commission and shall be given to the Head of the corresponding university division. If the summary states that the dissertation is not conformable with the dissertation criteria, the candidate may correct the indicated faults and submit the dissertation again.

In the decision the expert commission recommends two opponents from among the persons proposed by the experts.

An opponent cannot be a co-author of the scientific publications of the candidate on the topic of the dissertation being presented, neither employee of the department, laboratory of NR TSU where the dissertation was carried out nor the supervisor of the candidate.

One opponent shall represent an external institution. All Committee members are to possess a degree (including ones awarded abroad and recognized by the Russian Federation) and research papers in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.

3.5. If the expert commission approves the compliance of the dissertation with the criteria for the PhD dissertation, the candidate places the dissertation text in the electronic resource database of TSU Scientific Library.

3.6. Based on the decision of the expert commission on the compliance of the dissertation with the criteria for the PhD dissertation, the head of the university division submits it for approval to the vice-rector, coordinating activities for awarding the PhD TSU degree (or his deputy), the PhD Committee for the defense of PhD dissertations (Appendix 4).

3.7. At least 2 months prior to the defense, the university website shall contain information about its conduct (Appendix 5), as well as an abstract of the dissertation (no more than two pages). Announcement and abstract are published in two languages: Russian and English. At the same time, an information sheet with an announcement of the dissertation defense and a link to the full text of the dissertation, according to the list prepared by the scientific advisor and approved by the dean / director of the university division, is sent to major Russian and foreign research centers, universities, as well as famous scientists.

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3.8. The meeting of the PhD Committee for the defense of PhD dissertation is open and can be broadcast online. The working language of the PhD Committee meeting is Russian and / or English.

The video recording of the Committee meeting is transferred for unlimited storage to TSU Scientific Library.

Foreign and nonresident Committee members may participate in the videoconference mode or using other technical means and remote technologies from the beginning to the end of the Committee meeting.

3.9. The Committee meeting is eligible if at least 2/3 of the members of the approved PhD Committee participate in its work

3.10. After the opening of the meeting, the candidate makes a short report about their research and the results obtained (scientific report no more than 20 minutes). Further reviews of opponents and other reviews received on the corresponding PhD dissertation and addressed to NR TSU prior to the day of the dissertation defense are announced.

Each member of the Committee has the right to ask the candidate questions about the content of the dissertation and to speak in the debate with the statement of their position. The candidate answers questions of the Committee members. The chairperson of the Committee may beforehand raise questions before the Committee members, which should be reflected in written reviews, regarding the validity of a particular provision of the dissertation under consideration. All written reviews are included in the minutes of the Committee meeting. Each review should contain decisions on the compliance of the PhD dissertation with the requirements

3.11. The decision to recommend awarding the PhD TSU degree is made with two-thirds of votes by the members of the PhD Committee present.

3.12. The decision to recommend awarding the PhD TSU degree in the respective field of knowledge/program is documented. The protocol is signed by the Chairperson and the Secretary of the Committee and transferred to the Scientific Certification Committee of NR TSU to prepare a presentation to the Rector on the issue of the PhD TSU diploma.

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The PhD Committee is to be objective and reasonable in deciding.

3.13. The form of PhD TSU diploma along with the procedure of creating and issuing the diploma are approved by Rector's decree.

3.14. The PhD TSU diploma is awarded to the candidate not later than six months after the defense.

4. Final regulations

4.1. These Regulations may be amended in accordance with the legislative regulations of the Russian legislation and NR TSU local acts agreed by the vice-rector coordinating the activities for awarding PhD TSU degree. Changes and additions to these Regulations shall be made by TSU Rector's decree upon the recommendation of the TSU Scientific Certification Committee.

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APPROVED BY:

Vice-rector

Full name

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**Members of the Expert Commission for reviewing the qualifying research paper
presented for PhD TSU degree**

I hereby request to approve members of the Expert Commission for reviewing the qualifying research paper prepared by PhD student of *department, Candidate full name* with the title *Title of dissertation research* and presented for PhD TSU degree in (*state the field of science/program/major of the academic degree according to the order No. 594/1 OД dated 04.06.2018*):

Chairperson:

1. Full name academic degree, academic title, position, name of employer, number of publications in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.

Members:

1. Full name academic degree, academic title, position, name of employer, number of publications in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.
2. Full name academic degree, academic title, position, name of employer, number of publications in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.

Scheduled date of defense – _____

Dean of the Faculty/Director of the Institute

Full name

Expert evaluation
of the qualifying research paper
«Theme of the dissertation research»,
presented for PhD TSU degree

Candidate: Full name

Research supervisor: position, full name

1. Scientific novelty and relevance of the dissertation.
2. List of results obtained in the dissertation.
3. Theoretical and practical significance of the results obtained.
4. Evaluation of completeness in reflecting the main results of the dissertation in publications.

On the basis of the forgoing, the expert regards

- 1) The results presented in the dissertation by *Full name* are described (not described) sufficiently (insufficiently) in publications on the dissertation;
- 2) The dissertation by *Full name* corresponds to the criteria for the final research paper presented for PhD TSU in the major 00.06.01 – Name of the major in postgraduate studies “Major”, and may be defended before the TSU PhD Committee in _____ (*state the field of science/program/major of the academic degree according to the order No. 594/1 OJ dated 04.06.2018*)

Official opponents recommended are:

- *Full name, academic degree, academic title (if any);*
- *Full name, academic degree, academic title (if any).*

Date

Expert: _____

(*signature, full name, academic degree, academic title, position, name of employer*)

DECISION
of the Expert Commission on the qualifying research paper
«Title of the dissertation research»,
presented for PhD TSU degree

Candidate: Full name

Research supervisor: position, full name

1. Scientific novelty and relevance of the dissertation.
2. List of results obtained in the dissertation.
3. Theoretical and practical significance of the results obtained.
4. Evaluation of completeness in reflecting the main results of the dissertation in publications.

The dissertation by *Full name* corresponds (does not correspond) to the criteria for the qualifying research paper presented for PhD TSU in the major 00.06.01 – Name of the major in postgraduate studies “Major”, and is recommended for defense before the TSU PhD Committee in _____ (*state the field of science/program/major of the academic degree according to the order No. 594/1 ОД dated 04.06.2018*)

Official opponents recommended are:

- *Full name, academic degree, academic title (if any);*
- *Full name, academic degree, academic title (if any).*

Date

Chairperson of the Expert Commission _____

Expert 1 _____

Expert 2 _____

APPROVED BY:

Vice-rector

_____ Full name

«_____» _____ 20__

**Members of the Committee for the qualifying research paper defense (PhD
Committee) presented for PhD TSU degree**

Under the Decision of the Expert Commission on the qualifying research paper prepared by PhD student *Full name of the candidate, university division* with the title "*Title of dissertation research*" and presented for PhD TSU degree in (*state the field of science/program/major of the academic degree according to the order No. 594/1 ОД dated 04.06.2018*), PhD Committee shall include the following members:

Chairperson:

1. Full name, academic degree, academic title, position, name of employer, number of publications in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.

Secretary:

2. Full name, academic degree, academic title, position, name of employer.

Members:

3. Full name, academic degree, academic title, position, name of employer, number of publications in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.

4-5...

- 6-7 Full name, academic degree, academic title, position, name of employer, number of publications in peer-reviewed scientific journals indexed in Scopus and/or Web of Science in the field corresponding with the dissertation presented.

Scheduled date of defense – _____

Dean of the Faculty/Director of the Institute

Full name

Information sheet on PhD TSU dissertation defense

Candidate: Full name

Title of the dissertation:

Date of defense:

Location of defense:

Research supervisor:

Full name, academic degree, academic title (if any), position, name of employer

Official opponents:

1. *Full name, academic degree, academic title (if any), position, name of employer*

2. *Full name, academic degree, academic title (if any), position, name of employer*

Chairperson of the PhD Committee:

Full name, academic degree, academic title (if any), position, name of employer, post address, phone number/fax, e-mail

Dissertation abstract:

Text of the abstract up to 2 pages.



National Research
Tomsk
State
University

National Research Tomsk State University

Upon the recommendation of the PhD Committee and by virtue of power granted by it, the Scientific Certification Committee of the university certifies that

Full name

has completed all requirements and the assigned course for the degree of

Doctor of Philosophy

in Physics

WITH ALL THE RIGHTS, HONORS AND PRIVILEGES THERETO PERTAINING

In witness thereof are the seal of the university and signatures of its authorized representatives.

Issued on October 20th 2015, Tomsk, Russian Federation.

Rector

E.V. Galazhinskiy

PhD Committee Chairperson

Full name

Research supervisor

Full name

Series _____ No. _____