**APPROVED by the Resolution of the Academic Council**

**of Sumy National Agrarian University,**

**Minutes dated 30.08.2020 No. 1**

**Regulations (temporary)**

**on the procedure for attestation of Doctor of Philosophy applicants at Sumy National Agrarian University**

**1 General** **Regulations**

1.1 This Regulation determines the procedure for attestation of PhD applicants (hereinafter the Applicant), in particular the powers of structural units of Sumy National Agrarian University (hereinafter - the University) and responsible persons, as well as the procedure of thesis defense and PhD conferment.

1.2 This Regulation is developed in accordance with the current legislation and based on the regulatory framework of the national and University levels, in particular:

• Procedure for training of PhD and Doctor of Science applicants at higher educational establishments (in research institutions) approved by the Resolution of the Cabinet of Ministers of Ukraine issued on March 23, 2016 № 261.

• Procedure for conducting an experiment for PhD conferment, approved by the Resolution of the Cabinet of Ministers of Ukraine issued on March 6, 2019 No. 167 (hereinafter - the Procedure)

• Order of the Ministry of Education and Science 22.04.2019 No. 533 "On approval of the forms of documents of the PhD attestation file" to organize the process of PhD attestation (PhD)

**2 Requirements for the applicant**

2.1 The Applicant is a person who studies at Sumy NAU on the academic and research program of the third (academic and research) level of higher education in order to get PhD degree in the field of knowledge and / or specialty.

2.2 The PhD Applicants first acquire theoretical knowledge, skills, abilities and other competencies sufficient to generate new ideas, solve complex problems in the field of professional and / or research and innovation, master the methodology of research and pedagogical activities, and conduct their own research, resulting in research novelty, theoretical and practical importance.

2.3 The PhD Applicant is certified by a non-recurrent Specialized Academic Council on the basis of public defense of research achievements in the form of thesis.

2.4 The Applicants who have successfully completed the individual curriculum and individual plan of the research work of the relevant academic and research program are allowed to be admitted to the defense of the thesis.

2.5 The Applicant completes his/her thesis. The thesis is submitted in the form of specially prepared qualifying research work on the rights of the manuscript, performed by the Applicant personally, and contains research provisions, theoretical and / or experimental results of research conducted by the applicant, substantiated newly and scientifically, which are essential for a particular field of knowledge, as well as to testify to the personal contribution of the Applicant to research and be characterized by the unified content.

2.6 The Applicant publishes the main research results in at least three research papers that reveal the main content of the thesis. Such research papers include:

- articles in periodicals of other states that are members of the Organization for Economic Cooperation and Development and / or the European Union, in the field of research relevant to the Applicant's thesis (at least one article is essential);

- articles in scientific issues included in the list of scientific professional publications of Ukraine (a monograph or a section of a monograph published in co-authorship can be included instead of one article).

2.7 Research papers in the edition (issue) referred to the first - third quartiles (Q1 - Q3) according to such classifications as SC Imago Journal and Country Rank or Journal Citation Reports, is equated to two publications credited in accordance with the first paragraph.

2.8 Terms of enrollment of publications:

- substantiation of conclusions and the research results obtained in accordance with the purpose of the article (task);

- publication of articles in scientific professional publications, which were included in the list of scientific professional publications of Ukraine at the time of their publication, approved by the law;

- publication of articles in scientific periodicals of other states in in the field of research relevant to the Applicant's thesis, provided by the thesis materials completed, determined by the Council

- publication of no more than one article in one edition (issue) of a scientific publication.

**3 Composition of the non-recurrent Specialized Academic Council**

3.1 The Council consists of the Chairman and members of the Council (two reviewers and two opponents).

3.2 The Chairman and members of the Council have equal rights during the defense of the applicant’s thesis and are obliged to ensure a high level of requirements while considering theses, their defense and making reasonable decisions by the Council.

3.3 The Council has at least three Doctors of Science (the Chairman of the Council, one of the reviewers, one of the opponents). A researcher becomes a member of the Council not earlier than five years from the date of his/her getting the PhD degree.

3.4 One researcher is allowed to hold a position of the Chairman (member) for the term of eight Councils during a calendar year

3.5 Relatives of the Applicant, his / her supervisor and co-author of any scientific publication of the Applicant are not allowed to be appointed as a reviewer or opponent. Relatives of the head of the institution of higher education (research institution) apply to another institution of higher education (research institution) to form a Council in order to defend the thesis.

3.6 If one of the members of the Council is unable to participate in the meeting of the Council, the institution of higher education (research institution) has to send a request to the Ministry of Education and Science to change the composition of the Council. The Ministry of Education and Science makes a decision to change the composition of the Council, which is issued an order, within a month from the date of the petition. Remuneration of the Chairman and members of the Council and reimbursement of travel expenses of opponents are carried out in accordance with the legislation governing the remuneration of the Chairman and members of the examination commission of institutions of higher education and reimbursement of travel expenses of members of the examination commission appointed from other cities.

3.7 The Chairman of the Specialized Academic Council (hereinafter the Chairman of the Council)

3.7.1 The Chairman of the Council ensures the compliance of the Council with the requirements of the legislation.

3.7.2 The Chairman of the Council must have a PhD degree and at least three research papers in the field of research relevant to the Applicant's thesis published in the last five years. At least one paper should be indexed in Scopus and / or Web of Science Core Collection databases. Such publications include monographs, sections of monographs, articles in periodicals included in the list of scientific journals of Ukraine approved by the Ministry of Education and Science, or in periodicals of other countries.

The following persons cannot be appointed the Chairman of the Council, namely: the scientific supervisor of the Applicant; the head (deputy head) of the institution of higher education (research institution) where the Council is formed; co-author of research publications of the Applicant; reviewer of the Applicant's monograph; relatives of the Applicant.

3.8 Reviewer

3.8.1 Reviewer is a person who is a full-time employee of the University, has a degree and is a competent researcher in the field of research relevant to the Applicant's thesis.

3.8.2 A scientist who is proposed to the Council as a reviewer must have at least three research papers published in the last five years in the field of research relevant to the Applicant's thesis. At least one paper should be indexed in Scopus and / or Web of Science Core Collection databases. Such publications include monographs, sections of monographs, articles in periodicals published in the list of scientific journals of Ukraine approved by the Ministry of Education and Science of Ukraine, or in periodicals of other countries.

3.9 Opponent

3.9.1 Opponent is a person who is not a full-time employee of the University, but has a degree and is a competent researcher in the field of research relevant to the Applicant's thesis. The competence of the researcher is confirmed by his/her degree in the relevant field of knowledge (science) and / or specialty or the academic degree awarded by the relevant department (specialty) and / or scientific publications in the field of research relevant to the Applicant's thesis.

3.9.2 A researcher who is proposed to the Council as an opponent must have at least three research papers published in the last five years in the field of research relevant to the Applicant's thesis. At least one paper should be indexed in Scopus and / or Web of Science Core Collection databases. Such publications include monographs, sections of monographs, articles in periodicals published in the list of scientific journals of Ukraine approved by the Ministry of Education and Science of Ukraine, or in periodicals of other countries.

3.9.3 Relatives of the Applicant, his / her supervisor and co-author of any scientific publication of the Applicant are not allowed to be appointed as his / her opponents.

3.9.4 Opponents cannot be employees of the same institution of higher education (research institution).

3.9.5 Opponents may be foreign researchers in the field of research relevant to the Applicant's thesis.

**4 Preliminary examination of the thesis**

4.1 Upon the completion of the individual curriculum of the educational and research program, but not later than the deadline for postgraduate studies, the Applicant applies with a statement (Appendix 1) to the Postgraduate and Doctoral Study Department to prepare an academic certificate in the form (Appendix 2) approved by the Ministry of Education and Science of Ukraine.

4.2 Upon the completion of the relevant educational and research program, but not later than the deadline for postgraduate study, the supervisor (supervisors) of the Applicant completes a conclusion (Appendix 3) evaluating his activity in the process of thesis preparation and implementation of the individual research plan and individual curriculum. When completing the conclusion, the supervisor checks the thesis for the academic plagiarism (the report on the examination is submitted together with the conclusion of the supervisor).

4.3 After the supervisor’s (supervisors’) approval, the Applicant applies to the Chairman of the Academic Council of the University with a written statement (Appendix 4) for a preliminary examination of the thesis and the appointment of two reviewers. The application is approved by the head of the department, where the thesis was completed, and the supervisor (supervisors), who provides (provide) proposals for the reviewers and the structural unit (faculty), where a professional seminar will be held to test the thesis.

The following documents should be attached to the application, namely:

• Information on the reviewers recommended (Appendix 5).

• written consent of the reviewers to review the thesis and their subsequent introduction to the non-recurrent Specialized Academic Council (Appendix 6);

4.4 The decision of the Academic Council of the University is taken by open voting, by a simple majority of votes of the members of the Academic Council present at the meeting.

4.5 After the approval of the reviewers by the decision of the Academic Council of the University, the Dean of the Faculty appoints the date of the professional seminar for thesis approbation. Information on the date of the professional seminar is posted on the website of the faculty (University).

4.6 The Applicant submits the following documents to the structural unit, responsible for the preliminary examination, namely:

- his/her thesis (in printed and digital formats),

-conclusion of the supervisor (s),

-academic certificate of the implementation of the relevant educational and research program,

- copies of the research papers of the Applicant.

4.7 A Doctor of Science or a professor in the field of research relevant to the Applicant's thesis can become a Chairman of the professional seminar. The scientific supervisor of the Applicant, the reviewer or a close person of the Applicant cannot hold a position of the Chairman.

4.8 After considering the thesis and research publications, the reviewers highlight the main scientific results of the thesis, prepare a conclusion on the scientific novelty, theoretical and practical importance of the results of the thesis. The conclusion is confirmed by the results of the professional seminar for thesis approbation according to the established form (Appendix 7).

The conclusion must contain the information about:

- the compliance of the thesis with the requirements of item 10 of the Procedure for conducting an experiment for awarding the PhD degree, approved by the resolution of the Cabinet of Ministers of Ukraine issued on March 6, 2019 No. 167;

- the number of research publications of the Applicant;

- completeness of publication of thesis results and personal contribution of the Applicant to all research papers published with co-authors and credited on the topic of the thesis.

For Applicants, who specialize in "Biology", "Veterinary Medicine" and "Health", the conclusion should contain information on the bioethical examination of the thesis research.

4.9 Preliminary examination should be conducted within two months from the date of written application.

4.10 The structural unit, responsible for the preliminary examination of the thesis, prepares submissions to the Postgraduate and Doctoral Study Department with recommendations on the appointment of the official opponents and the Chairman of the Specialized Academic Council (Appendix 8).

4.11 In case of receiving a negative conclusion of the professional seminar for thesis approbation, the Applicant is obliged to correct the remarks specified in the conclusion. After that he/she can re-apply for a preliminary examination.

4.12 After the supervisor’s approval and his/her conclusion on the research novelty, theoretical and practical importance of the thesis results, it is prohibited to make changes in the text of the thesis.

4.13 The supervisor appeals to the specialists who have been proposed to be included into the Council, with a request to give a written certificate of consent to the chairmanship (Appendix 9) and opposition (Appendix 10) of the Applicant's thesis, provide information about himself/ herself (position, full-time employment, scientific degree, academic degree, availability of publications in the field of research relevant to the Applicant's thesis within the period of five years), copies of diplomas of scientific degrees and certificates of academic degrees.

**5 The Procedure of a non-recurrent Specialized Academic Council formation and thesis defense**

5.1 To form a Specialized Council for the defense of his/her thesis the Applicant submits an application to the Chairman of the Academic Council of the University (Appendix 11).

5.2 The Academic Council of the University approves the composition of the Specialized Academic Council and submits a petition to form a Specialized Council consisting of 5 people to the Ministry of Education and Science.

5.3 After the publication of the order on the formation of a Specialized Council on the MES website, the applicant submits the following documents to the Postgraduate and Doctoral Study Department, namely:

• application for its certification;

• a copy of the first page of the passport of a citizen of Ukraine or a passport document of a foreigner;

• a copy of the master's degree (specialist). If the document on higher education is issued by a foreign institution of higher education, a copy of the document on recognition of a foreign document on higher education should be added;

• a copy of the certificate of name change (if necessary);

• extract from the order of the enrollment (attachment) to an institution of higher education (research institution), certified in the prescribed manner;

• academic certificate of implementation of the relevant educational and research program;

• conclusion of the supervisor (supervisors) or the relevant structural unit in two copies;

• conclusion on scientific novelty, theoretical and practical importance of the thesis results in two copies;

• thesis in printed (three copies) and digital formats;

• copies of research publications credited to the topic of the thesis, which should indicate the source data of the relevant publications. Copies of these publications are certified in the prescribed manner. The original documents submitted to the Council in accordance with the sub-clauses 2-4 of this clause should be provided to the Council and returned to the Applicant after the approval of the application. Copies of these documents are certified in the prescribed manner.

5.4. An employee of the Postgraduate and Doctoral Study Department checks the availability and layout of the documents in accordance with paragraph 5.3, endorses an application and puts his/her signature.

5.7 Within one week when the documents were submitted for consideration

• they announce on the acceptance of the thesis for consideration and the abstract of the thesis is published on the University website;

• thesis and scientific publications credited on its topic are provided for the opponents to study;

• printed and digital copies of the thesis are supplied to the University library.

**6 Thesis defense procedure**

6.1 Within a month when the documents were submitted for consideration, the opponents provide the Chairman of the non-recurrent Specialized Council with the response.

The opponent's response determines the degree of relevance of the topic chosen, the validity of the scientific provisions, conclusions and recommendations formulated in the thesis, their novelty, completeness in the scientific publications included in the thesis, the absence (presence) of violations of the academic integrity.

6.2 After receiving the response of the opponents, the members of the Specialized Council agree on the date of defense, which is appointed within three weeks from the date of the last response of the opponent.

6.3 Within 3 week days when they agreed on the date of defense, the information concerning the date of defense is published on the University website.

6.4 Within 10 week days before the date of defense it is necessary to post the following documents on the University website, namely:

- a copy of the thesis (provided by the open text data formats);

- conclusion of the reviewers on the research novelty, theoretical and practical importance of thesis results.

- scanned copies of opponents' response.

6.5 The public defense of the thesis is held at a meeting of the Specialized Council in the form of an open scientific discussion. The Chairman and members of the Council are obliged and everyone, who attends the meeting are allowed to participate in the discussion. During the defense, in accordance with the current legislation of Ukraine, the Council provides with audio (phonogram) and video recording.

6.6 The recording (sound, video) of such a meeting of the Council is published on the University website within the next week day from the date of the meeting and stored on the website for at least three months from the effective date of the University order.

6.7 The meeting of the Specialized Council is considered to be valid when the Council participates and votes with a full complement.

If necessary, one of the opponents who gave a positive response can participate in the meeting of the Specialized Council using online video communication.

The meeting of the Specialized Council is held by the Chairman of the Council in the state language according to the procedure in conformity with the current legislation.

6.7 The Chairman of the Specialized Council prepares a decision on awarding the PhD degree in the form approved by the Ministry of Education and Science of Ukraine within 15 week days.

6.8 After the thesis defense in accordance with the current legislation, two copies of the Applicant's attestation file are completed. One of the copies is submitted to the Ministry of Education and Science of Ukraine within one month from the date of thesis defense.

6.9 After the effective date of the order of the Ministry of Education and Science on approval of the decision of the Specialized Council to award the PhD degree, the Academic Council of the University decides on the issuance of a PhD diploma, approved by the order of the University.

6.10 The decision of the Specialized Council to award the PhD degree becomes valid from the effective date of the order of the University on the issuance of a PhD diploma.

6.14 The PhD diploma is issued to the Applicant in terms established by the University according to the form approved by the Ministry of Education and Science of Ukraine.

6.15 The Applicant who has been trained in accordance with an agreement between domestic and foreign institutions of higher education (research institutions) and who has been awarded the PhD degree is awarded two Doctorates in conformity with the legislation of the State Parties.