

**APPROVED BY**  
the Academic Council  
of Sumy National  
Agrarian University

**REGULATION**  
**on Award of the Doctor of Philosophy (PhD) Degree and Revocation**  
**of a Decision of the One-Time Dissertation Committee at Sumy National**  
**Agrarian University**

**ENACTED**

by the Order of the Rector of Sumy National  
Agrarian University

No. \_\_\_\_\_ dated April 25, 2022

**Sumy 2022**

## 1. GENERAL PROVISIONS

The Regulation on Certification of Candidates for the Doctor of Philosophy (PhD) Degree under the Higher Education Program at Sumy National Agrarian University (hereinafter referred to as the Regulation) was developed in accordance with the Law of Ukraine “On Higher Education” dated 01.07.2014 No. 1556-VII (as amended), the Resolution of the Cabinet of Ministers of Ukraine “On Approval of the Procedure for Training Candidates for the Doctor of Philosophy (PhD) and Doctor of Science Degree in Higher Education Institutions (Scientific Institutions)” dated 23.03.2016. No. 26 (as amended), the Resolution of the Cabinet of Ministers of Ukraine “On Approval of the Procedure for Award of the Doctor of Philosophy (PhD) Degree and Revocation of a Decision of the One-Time Dissertation Committee of the Higher Education Institution, Scientific Institution on Awarding the Doctor of Philosophy Degree” dated 12.01.2022 No. 44 (hereinafter referred to as the Procedure); the Order of the Ministry of Education and Science of Ukraine “On Approval of the Forms of Documents of the Certification File of the Candidates for the Doctor of Philosophy (PhD) Degree” dated 22.04.2019. No. 533 for the purpose of organizing the certification process for candidates for the Doctor of Philosophy (PhD) degree at Sumy National Agrarian University (hereinafter referred to as the University).

The Regulation regulates the formation of a one-time dissertation committee of the University and awarding the Doctor of Philosophy (PhD) degree, as well as the revocation of a decision of the one-time dissertation committee to award the specified degree.

A person who has successfully completed the relevant accredited educational and scientific program and publicly defended scientific achievements in the form of a dissertation (thesis) may apply for the Doctor of Philosophy (PhD) degree.

The terms used in this Regulation have the following meaning:

**candidate for the Doctor of Philosophy (PhD) degree** (hereinafter referred to as the candidate) means a person who performs an educational and scientific program at the University at the third (educational and scientific) level of higher education in order to obtain the Doctor of Philosophy (PhD) degree;

**certification of a candidate for the Doctor of Philosophy (PhD) degree** (hereinafter referred to as the certification) means establishing by a one-time dissertation committee as a result of successful completion of the educational and scientific program (hereinafter referred to as the ESP) by a candidate for and public defense of his/her dissertation the compliance of the results of his/her scientific work with the ESP requirements;

**one-time dissertation committee** (hereinafter referred to as a one-time committee) means a dissertation committee created by the University with the right to accept for consideration and conduct a one-time defense of the candidate's dissertation in order to award him/her the Doctor of Philosophy (PhD) degree;

**dissertation of the candidate for the Doctor of Philosophy (PhD) degree** (hereinafter referred to as the dissertation (thesis)) means a qualification scientific

work performed by the candidate for the Doctor of Philosophy (PhD) degree personally, contains the scientific results of the research conducted by him/her and submitted for the purpose of awarding him/her the Doctor of Philosophy (PhD) degree;

**Information System of the National Agency for Quality Assurance in Higher Education** (hereinafter referred to as the information system) means an electronic information and communication system administered by the National Agency for Quality Assurance in Higher Education (hereinafter referred to as the National Agency) and enables to generate, examine, exchange information in electronic form on the formation of one-time dissertation committees, awarding them Doctor of Philosophy (PhD) degree and the revocation of a decision of the one-time dissertation committee to award the specified degree. The National Agency establishes the procedure for operation of the information system to provide for the functionality of the information system, the components of the information system and the mechanism of their operation, the list of information to be entered in the information system, the authentication procedure;

**chairman of a one-time dissertation committee** (hereinafter referred to as the chairman of a one-time committee) means a person who, at the principal place of employment, works as a faculty member or academic researcher of the University where the one-time committee is formed, has a scientific degree of Doctor of Science and is a competent scientist in the area of research of the candidate for the Doctor of Philosophy (PhD) degree;

**official opponent** means a person who is a faculty member or academic researcher but does not work at the University, has a scientific degree, and is a competent scientist in the area of the candidate's research;

**reviewer** means a person who, at the principal place of employment, works as a faculty member or academic researcher of the University where the one-time committee is formed, has a scientific degree of Doctor of Science and is a competent scientist in the area of the candidate's research;

The terms "connected persons", "real conflict of interests" and "potential conflict of interests" are used in the meaning provided for by the Law of Ukraine "On Prevention of Corruption".

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

**guarantor of the educational and scientific program** means a faculty member and/or academic researcher who works at the University at the principal place of employment, has a qualification in accordance with the specialty, scientific degree and/or academic title in the relevant specialty, determined by the order of the head of the educational institution responsible for ensuring the quality of the educational and scientific program, who is authorized to determine the compliance of the dissertation and publications of the candidate, documents and publications of the chairman of the one-time committee, reviewers, official opponents of the research area, in which the candidate's dissertation in the relevant

specialty is prepared;

**authorized official of the University that ensures the operation of one-time committees** (hereinafter referred to as the authorized official) means a full-time academic staff member of the Postgraduate and Doctoral Study Department, authorized to determine the compliance of documents, dissertations and publications of the candidate, reviewers, official opponents, the chairman of the one-time committee with regulatory requirements; responsible for transferring a printed copy of the dissertation signed by the candidate to the University library and an electronic copy of the dissertation to the Ukrainian Institute of Scientific and Technical Expertise and Information State-Owned Scientific Institution, as well as to the institutional repository of the University. He or she is entrusted with the authority to ensure the operation of one-time committees at the University, and submit information provided for in this Regulation to the National Agency through the information system.

## **2. REQUIREMENTS FOR A CANDIDATE APPLYING FOR AWARD OF THE DOCTOR OF PHILOSOPHY DEGREE**

**2.1.** The candidate shall 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 scientific research, issued in the form of a dissertation, and publish the main scientific results.

In the absence of an appropriate standard of higher education, the requirements for the level of knowledge, skills and abilities shall be determined in accordance with the eighth level of the National Qualifications Framework, approved by the Resolution of the Cabinet of Ministers of Ukraine No. 1341 dated November 23, 2011 (Official Gazette of Ukraine, 2011, No. 101, Article 3700; 2020, No. 54, Article 1670).

**2.2.** In particular, the candidate shall:

**2.3.** Receive from the Postgraduate and Doctoral Study Department copies of the academic certificate of completion of the relevant educational and scientific program in the form approved by the Order of the Ministry of Education and Science of Ukraine dated January 25, 2021 No. 102 “On Approval of the Forms of Documents on Higher Education (Scientific Degrees) and Supplements Thereto, A Sample of the Academic Certificate”.

**2.4.** Get the opinion of the supervisor(s) with an assessment of the candidate’s work in the process of preparing the dissertation and performing an individual research plan and an individual curriculum in 2 copies. The signature of the supervisor(s) shall be certified by the Academic Secretary of the University in accordance with the established procedure. The opinion shall be provided in the official language.

1) Issue an independently (personally) completed dissertation in the form of a specially prepared manuscript containing new scientifically-based results of research conducted by the candidate.

The dissertation shall be performed in the state or English language.

Requirements for completing the dissertation shall be established by the Ministry of Education and Science of Ukraine.

The candidate's use of his/her scientific works in the text of the dissertation without reference to these works is not considered self-plagiarism, if such scientific works have been previously published in order to highlight the main scientific results of the dissertation and are indicated by the candidate in the abstract of the dissertation.

2) Highlight the scientific results of the dissertation in at least three scientific publications, which include:

3) articles in scientific publications on the specialty included in the list of scientific professional publications of Ukraine as of the date of publication. If the number of co-authors in such an article (together with the candidate) is more than two persons, such an article is equal to 0.5 publication (except for publications defined in subparagraph 2 of this paragraph);

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

5) no more than one patent for an invention that has passed a qualification examination and directly concerns the scientific results of the dissertation, which is equal to one scientific publication;

6) individual monographs recommended for publication by the academic councils of institutions and passed through censorship, except for individual monographs issued in a state recognized by the Verkhovna Rada of Ukraine as an aggressor state. Individual sections in collective monographs are equated to individual monographs under the same conditions.

An article in a publication classified in the first or third quartiles (Q1 - Q3) according to the classification of Scimago Journal and Country Rank or Journal Citation Reports, or an individual monograph that meets these requirements, is equal to two scientific publications.

Belonging of a scientific publication to the first or third quartiles (Q1 - Q3) according to the classification of Scimago Journal and Country Rank or Journal Citation Reports is determined according to the rating in the year, in which the corresponding publication of the candidate is published or in the case when the rating for the corresponding year has not been published as of the date of the one-time committee establishment, according to the last published rating.

Articles are taken into account on the topic of the dissertation subject to the justification of the obtained scientific results in accordance with the goal of the article (task) and conclusions, as well as the publication of no more than one article in one issue of a scientific publication.

Articles published after the entry into force of the Procedure for Award of the Doctor of Philosophy (PhD) Degree and Revocation of a Decision of the One-Time Dissertation Committee of the Higher Education Institution, Scientific Institution on Awarding the Doctor of Philosophy Degree (27.01.2022), shall be deemed to be considered on the topic of the dissertation only if they have an active

identifier DOI (Digital Object Identifier), except for publications containing information classified as a state secret, or information for official use.

### **3. PRELIMINARY REVIEW OF THE DISSERTATION OF A CANDIDATE FOR THE DOCTOR OF PHILOSOPHY (PHD) DEGREE UNDER THE HIGHER EDUCATION PROGRAM FOR ITS COMPLIANCE WITH REGULATORY REQUIREMENTS**

**3.1.** The candidate shall apply to the Postgraduate and Doctoral Study Department of Sumy NAU with a written application (**Appendix 1**) to check the manuscript of the dissertation for any textual borrowings. If it is not possible for him/her to submit an application in person, it may be sent by mail, and the scanned electronic version is sent to the official email address of the Postgraduate and Doctoral Study Department from the candidate's own email address on the domain snau.edu.ua

**3.2.** The dissertation manuscript shall be checked according to the procedure defined by the Regulation on the Procedure for Checking Academic and Scientific Texts for Uniqueness at Sumy National Agrarian University, adopted by the Academic Council of Sumy National Agrarian University, Minutes No. 3 dated October 15, 2019, taking into account the specifics and requirements of this Regulation. Verification for the academic plagiarism, fabrication, falsification in the dissertation shall be carried out by the responsible person of the Postgraduate and Doctoral Study Department (hereinafter referred to as the responsible person) within 5 working days, at the end of which the candidate is provided with an automatically generated report of verification of the dissertation manuscript.

**3.3.** Any candidate who has completed training under an accredited educational and scientific program, prepared the dissertation, received an academic certificate on the implementation of the educational and scientific program, issued in the form approved by the Ministry of Education and Science, the opinion of the supervisor (supervisors) and the report of verification of the dissertation manuscript shall apply with a written application to the head of the department, that implements the relevant educational and scientific program and/or trains the candidate, to receive an opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation (**Appendix 2**). If it is not possible to submit the application in person, it may be sent by mail, and the scanned electronic version is sent to the official email address of the department from the candidate's own email address on the domain snau.edu.ua.

**3.4.** The application shall be accompanied by:

- 1) dissertation in electronic form;
- 2) copies of scientific publications that highlight the scientific results of the dissertation, and a list of scientific publications indicating the modes of access to their electronic versions;
- 3) a copy of the academic certificate on the completion of the educational and scientific program;
- 4) a copy of the opinion of the supervisor(s);

5) report on verification of the dissertation manuscript for any textual borrowings.

The candidate's application shall be approved by the head of the department, who puts down the date of receipt of the application and certifies the acceptance of documents for further consideration.

**3.5.** In order to provide an opinion on the scientific novelty, theoretical and practical significance of the dissertation results, the candidate shall conduct a public presentation of the scientific results of the dissertation and ensure its discussion at a meeting of the department. The meeting of the department may be held remotely in on-line mode.

After receiving the application, the head of the department shall appoint at least two reviewers from among the specialists in this specialty to review the dissertation and analyze the report on verification for any textual borrowings.

The candidate's public presentation of the scientific results of the dissertation and its discussion shall be held at a meeting of the department no later than one month from the date of receipt of the candidate's application for obtaining an opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation.

The chairman of the meeting of the department shall be the head of the department, or another person appointed by him/her from among the department members with an academic degree. The chairman of the meeting may not be the candidate's supervisor or a connected person.

**3.6.** The candidate's public presentation of the scientific results of the dissertation and its discussion provides for the following sequence of actions of participants:

1. The chairman of the meeting announces the agenda and topic of the candidate's dissertation and informs when and by whom the topic of the dissertation was approved, the supervisor(s).

2. Materials are distributed or a presentation is conducted to participants of the meeting.

3. The candidate in his/her report (up to 20 minutes) sets out the main provisions of the dissertation.

4. Participants of the meeting ask the candidate questions based on the materials of the dissertation.

During the discussion of the dissertation, participants of the meeting shall establish the level of theoretical training of the candidate, the acquisition of theoretical knowledge, skills and other competencies sufficient to produce new ideas, solve complex problems in the field of professional and/or research and innovation activities, master the methodology of scientific and pedagogical activities, as well as conduct his/her own scientific research, the results of which have scientific novelty, theoretical and practical significance; to establish the level of awareness of the candidate with the results of scientific research of other scientists from the scientific tasks specified in the dissertation and their comparability with the results of scientific research of the candidate; the level of compliance with the principles of academic integrity.

5. The supervisor(s) speaks (speak). In their absence, the chairman of the meeting shall read out the review of the supervisor.

6. Specialists who are present at the meeting of the department and everyone who wants to assess the candidate's preparation and recommend (or not recommend) the dissertation for defense in a one-time dissertation committee of the University, will speak. A decision shall be made by a simple majority of votes.

**3.7.** The results of the discussion and presentation are reflected in the opinion on the scientific novelty, theoretical and practical significance of the dissertation results to be signed by the chairman of the department meeting and approved by the Vice Rector for Research.

The opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation (in two copies) shall be issued to the candidate.

In case of receiving a negative opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation, the candidate retains the right to re-apply to the structural division of the institution with a written application for obtaining such an opinion after completing the dissertation or to resume at the University to complete the relevant ESP, if the candidate is prematurely expelled from graduate school on his/her own application.

**3.8.** When processing documents of a foreigner, his/her full name and surname shall be given in the order in which they are written in the passport.

**3.9.** The opinion shall be prepared within 10 working days from the date of the department meeting. Responsibility for timely and correct execution of the opinion shall be assigned to the chairman of the department meeting.

**3.10.** At the department meeting, where the candidate made a public presentation of the scientific results of the dissertation, a proposal shall be formed to the Academic Council of the University on nominees for a one-time committee consisting of five persons to be drawn up in the form of a memo from the head of the department.

**3.11.** The candidate, if there are valid reasons (for health reasons, family circumstances, etc.), upon written application, shall be entitled to receive an opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation and to defend the dissertation in a one-time committee within two years after being expelled from graduate school.

#### **4. PROCEDURE FOR APPLYING OF THE CANDIDATE FOR THE DOCTOR OF PHILOSOPHY (PHD) DEGREE UNDER THE HIGHER EDUCATION PROGRAM TO THE ACADEMIC COUNCIL OF THE UNIVERSITY FOR THE PURPOSE OF FORMING A ONE-TIME DISSERTATION COMMITTEE**

**4.1.** Subject to receiving a positive opinion on the scientific novelty, theoretical and practical significance of the dissertation results, the candidate shall apply to the Academic Council of the University with a written application for the formation of a one-time committee (**Appendix 3**). If it is not possible to submit an application in person, it may be sent by mail, and the scanned electronic version is

sent to the official email address of the University from the candidate's own email address on the domain snau.edu.ua.

In the application, the candidate shall certify that the dissertation has been written independently in compliance with academic integrity, confirm that the final text of the dissertation has been submitted for defense, and indicate the language of the dissertation defense (state or English at the request of the candidate).

**4.2.** The application shall be accompanied by:

- 1) dissertation in printed and electronic form;
- 2) scientific publications (or copies thereof certified by the Scientific Secretary of the University), which highlight the scientific results of the dissertation;
- 3) academic certificate of completion of the educational and scientific program;
- 4) opinion of the supervisor(s);
- 5) opinion on the scientific novelty, theoretical and practical significance of the dissertation results;
- 6) certificate of the results of checking for text borrowings;
- 7) service note of the head of the department with a recommendation of candidates for the formation and approval of the composition of the one-time committee;
- 8) written consent of the prospective chairman, reviewers and official opponents to participate in the meeting of the one-time committee;
- 9) copies of their academic degree diplomas/academic title certificates;
- 10) copies of passports and identification numbers;

**4.3.** The application and accompanying documents shall be submitted to the Scientific Secretary no later than one week before the scheduled date of the meeting of the Academic Council of the University with visas of an authorized official.

## **5. FORMATION OF PROPOSALS FOR NOMINEES FOR THE COMPOSITION OF A ONE-TIME COMMITTEE**

**5.1.** The competence of members of the one-time committee in the area of the candidate's research shall be determined by the availability of at least three scientific publications in the area of the candidate's research, provided that they are published within the last five years before the day of formation of the one-time committee and after awarding the academic degree of Doctor of Philosophy (Candidate of Sciences), which include:

- 1) individual monographs recommended for publication by academic councils of institutions and reviewed, except for individual monographs published in a state recognized by the Verkhovna Rada of Ukraine as an aggressor state. Individual sections in multi-authored monographs are equated to individual monographs under the same conditions (for foreign publications – according to the requirements for scientific publications of the relevant state);

2) scientific articles published in scientific publications included in the list of scientific professional publications of Ukraine as of the date of publication;

3) scientific articles published in periodicals indexed in the Web of Science Core Collection and/or Scopus databases, except for publications of the state recognized by the Verkhovna Rada of Ukraine as an aggressor state.

An individual monograph with a total volume of at least five author's sheets or a scientific publication in a periodical scientific publication assigned to the first or third quartiles (Q1-Q3) according to the classification of Scimago Journal and Country Rank or Journal Citation Reports is equal to two scientific publications.

Belonging of a scientific publication to the first or third quartiles (Q1 - Q3) according to the classification of Scimago Journal and Country Rank or Journal Citation Reports is determined according to the rating in the year, in which the corresponding publication of the candidate is published or in the case when the rating for the corresponding year has not been published as of the date of the one-time committee establishment, according to the last published rating

**5.2.** If the institution does not have the opportunity to appoint two reviewers, taking into account the requirements of this Regulation, a one-time committee shall be formed of the chairman of the council, one reviewer and three official opponents.

Official opponents may not work in the same institution, and are included in the one-time committee with their written consent.

**5.3.** If the candidate has completed the accredited educational and scientific program, the individual elements of which are provided by another institution, a one-time committee shall be formed at the University, with the possible involvement as a reviewer of a person who works at the principal place of employment as a faculty member or academic researcher of the institution, who has provided individual elements of ESP subject to the fulfillment of other requirements for the reviewer established by this Regulation.

If the candidate fulfills the accredited ESP in accordance with the agreement concluded between the University and a foreign institution, a one-time council may be formed on the basis of one of these institutions. If a one-time committee is formed on the basis of the University, the formation of such one-time committee shall be carried out in accordance with this Regulation. An academic staff member of a foreign institution who is a party to the specified agreement may be a reviewer, provided that other requirements for the reviewer established by this Regulation are met. In the case of certification of the candidate in a foreign institution, a one-time committee shall be formed in accordance with the legislation of a foreign state.

**5.4.** A person may not be a member of a one-time committee if he/she:

- 1) is the candidate's supervisor;
- 2) is the head of the institution where the one-time committee is formed;
- 3) is a co-author of scientific publications of the candidate;
- 4) has a real or potential conflict of interest in relation to the candidate (in particular, is his/her connected person) and/or his/her supervisor;
- 5) has been brought to academic responsibility for violation of academic

integrity, in particular regarding the deprivation of the right to participate in the work of dissertation committees in accordance with the Laws of Ukraine “On Higher Education”, “On Scientific, and Scientific and Technical Activities”;

6) works (worked) in senior positions in institutions, organizations that illegally carry out (conducted) their activities in the temporarily occupied territories of Ukraine;

7) does not speak the language of the dissertation defense to the extent sufficient for qualified certification of the candidate;

8) has received the Diploma of Doctor of Philosophy (Candidate of Sciences) less than three years before the date of formation of the one-time committee.

One person may participate as a member of a one-time committee in no more than eight dissertation defenses during a calendar year.

**5.5.** The head of the department applies in advance to the specialists who are proposed for inclusion in the one-time committee, with a request to provide:

1) written consent to participate in the meeting of the one-time committee and information about himself/herself in the form (**Appendix 4, Appendix 5**)

2) copies of diplomas of scientific degrees and certificates of academic titles;

3) copies of a passport and identification number.

**5.6.** After receiving information from the planned members of the committee and confirming their consent, the head of the department shall submit it to the authorized official for certification of compliance. In case of non-compliance, the documents are returned for revision within no more than 10 days from the date of receipt.

## **6. PROCEDURE FOR FORMING A ONE-TIME DISSERTATION COMMITTEE**

**6.1.** The Academic Council forms a one-time committee consisting of five persons no later than two months from the date of receipt of the candidate’s application, and a corresponding order is issued by the Rector of the University.

**6.2.** The chairman of the one-time committee ensures compliance with the requirements of the current legislation during the operation of the one-time committee.

The chairman and members of the one-time committee have equal rights when defending a dissertation by the candidate, ensure a high level of demands when considering dissertations, conducting their defense and making informed decisions by the one-time committee.

**6.3.** The activities of one-time committees are supported by an authorized official of the University.

The next day after the Academic Council of the University makes a decision on the formation of a one-time committee, the candidate shall submit information to the authorized official for notification of the formation of a dissertation committee

**(Appendix 6)** in electronic form.

Within five working days from the date of issuing the order on the formation of a one-time committee, an authorized official shall:

1) post, taking into account the requirements of the legislation on state secrets and official information on the official website of the University, an electronic copy of the dissertation in PDF/A format with a text layer with the candidate's electronic signature, based on a qualified electronic signature certificate (using a qualified electronic time mark), and information on the composition of the one-time committee, a link to the website where the dissertation defense will be broadcast;

2) enter information on the formation of a one-time committee in the information system;

3) ensure that the responsible person transfers a printed copy of the dissertation signed by the candidate to the University library;

4) ensures that the responsible person submits an electronic copy of the dissertation the dissertation to the Ukrainian Institute of Scientific and Technical Expertise and Information State-Owned Scientific Institution, as well as to the institutional repository of the University.

**6.4.** Information on the formation of a one-time committee is considered published from the date of its entry into the information system.

Any person who is a subject of scientific and technical activities may submit a notification to the Ministry of Education and Science regarding the non-compliance of the composition of the one-time committee with the requirements of the legislation within 15 days from the date of publication of information on the formation of the one-time committee by the National Agency (making changes to the composition of the one-time committee).

The Ministry of Education and Science checks the compliance of the composition of the one-time committee with the requirements of paragraphs 14-16 of the Procedure for Award of the Doctor of Philosophy (PhD) Degree and Revocation of a Decision of the One-Time Dissertation Committee of the Higher Education Institution, Scientific Institution on Awarding the Doctor of Philosophy Degree and considers reports of non-compliance with the composition of the one-time committee (if received) within one month from the date of publication of information on the formation of the one-time council by the National Agency (making changes to the composition of the one-time committee).

If violations are detected, the Ministry of Education and Science shall terminate the operation of the one-time committee by entering relevant information into the information system indicating the grounds for eliminating the identified violations.

**6.5.** In order to eliminate the identified violations, as well as if it is impossible for a member(s) of the one-time committee to perform the assigned duties, the Rector of the University shall issue an order to make changes to the composition of the one-time committee, information about which is entered in the information system.

**6.6.** Information on changes in the composition of the one-time committee

shall be entered into the information system.

**6.7.** Based on the results of examining the dissertation and scientific publications of the candidate enrolled on the topic of the dissertation, within 45 calendar days from the date of publication of information on the formation of a one-time committee, each reviewer shall submit a review to the chairman of the one-time committee, and each official opponent – a review, as well as their electronic copies in PDF/A format with a text layer with an electronic signature of the reviewer (official opponent), based on a qualified electronic signature certificate (using a qualified electronic time mark), which indicate the results of their own assessment of the scientific level of the dissertation and scientific publications of the candidate, in particular the novelty of the presented theoretical and/or experimental results of research conducted by the candidate, their scientific validity, the level of performance of the set scientific task and mastering the methodology of scientific activity by the candidate

Reviewers and official opponents shall ensure the objectivity of their reviews and reports on the thesis, certify them with their own signatures and seals of institutions at the principal place of employment

If the review (report) does not meet the established requirements, the chairman of the one-time committee shall determine the time limit for its revision.

In case of failure to submit a review (report) within the established time limit or submission in violation of the established time limit, the chairman of the one-time committee shall initiate before the Academic Council of the University the issue of replacing the corresponding member of the committee.

**6.8.** The University ensures the creation of the conditions required for a one-time committee to check the candidate's compliance with academic integrity.

If members of the committee detect academic plagiarism, fabrication, or falsification in the candidate's dissertation and/or scientific publications, the reviewer (official opponent) shall indicate this fact in his/her review (report).

**6.9.** Within three working days from the date of receipt of the last review (report) by the one-time committee:

**1)** the one-time committee appoints the date, time and place of the public defense of the dissertation. The date of public defense of the dissertation is set no earlier than two weeks and no later than four weeks from the date of receipt of the last review (report) by the one-time committee. Information about the date, time and place of public defense of the candidate's dissertation shall be posted on the official website of the University and entered into the information system by the authorized official.

**2)** the chairman of the committee sends electronic copies of reviews (reports) 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 mark), to the email address of the authorized official to post on the official website of the University, taking into account the requirements of legislation on state secrets and official information, and their copies at the request of the candidate are provided to him/her for review.

## **7. ORGANIZATION OF PUBLIC DEFENSE OF THE DISSERTATION AND DECISION-MAKING ON AWARDING (REFUSAL TO AWARD) THE DEGREE OF DOCTOR OF PHILOSOPHY**

**7.1.** Public defense of the dissertation shall be conducted at a meeting of the one-time committee, which is considered competent if the full composition of the one-time committee participates in it.

**7.2.** Members of the one-time committee and/or the candidate may participate in the meeting of the one-time committee using real-time video communication. The University provides an opportunity to use video communication tools, in particular by disabled persons.

If there is no quorum for holding a meeting, the one-time committee decides to postpone the date of the dissertation defense, setting a different date no earlier than two weeks and no later than four weeks from the previous date.

Within three working days from the date of making a decision to change the date of the dissertation defense, information about the date, time and place of the dissertation defense shall be posted by an authorized official on the official website of the University and entered into the information system.

**7.3.** The University shall provide real-time broadcast of the dissertation defense on its official website, as well as video recording of the broadcast of the dissertation defense, taking into account the requirements of the legislation on state secrets and official information.

The quality and duration of the video recording of the dissertation defense broadcast shall be sufficient to fully (without interruptions) reproduce the dissertation defense procedure, including speeches by the candidate and members of the one-time committee, scientific discussion, as well as voting by each of the committee members.

**7.4.** During the certification of the candidate, members of the one-time committee shall assess the scientific level of his/her dissertation and scientific publications, taking into account his/her compliance with academic integrity, as well as establish the level of acquisition of theoretical knowledge, relevant skills and competencies by the candidate.

The defense of the dissertation shall have the character of an open scientific discussion, in which the candidate, the chairman and all members of the one-time committee shall take part.

If the University receives requests from other persons to evaluate the dissertation, the chairman of the committee shall voice them during the public defense of the dissertation and, taking into account the results of their consideration, make an appropriate decision. Such requests shall be accepted for consideration if they are received by the committee no later than three working days before the day of the dissertation defense.

**7.5.** A meeting of a one-time committee shall be held by the chairman of the committee in the state language according to the following procedure:

1. The chairman of the committee shall inform the members, according to the data of the registration card of the presence of the committee members or an

electronic questionnaire, about the legality of the meeting and report on the documents submitted by the candidate, their compliance with the established requirements. Then the chairman shall announce the language agreed with the candidate. The further procedure shall be performed in the selected language.

2. The candidate sets out the main provisions of the dissertation and answers oral or written questions.

3. The candidate responds to comments contained in their opponents' reviews.

4. The chairman of the committee announces in the state language the opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation and the appeal of other persons with the assessment of the dissertation.

5. The candidate responds to comments contained in the appeals of other persons received by the University in writing or by e-mail.

6. Discussion of the candidate's dissertation (scientific discussion) by the chairman and members of the committee (mandatory) and those present at the meeting of the one-time committee (optional):

6.1. Speeches of reviewers;

6.2. After each reviewer's speech, the candidate is given the floor to answer;

6.3. Speeches of official opponents;

6.4. After the speech of each official opponent, the candidate is given the floor to answer;

6.5. After each speech of the candidate to respond to the comments of reviewers/official opponents, the chairman of the committee makes sure that the reviewer/official opponent is satisfied with this answer;

7. Public discussion of the dissertation, in which all those present at the meeting have the right to take part.

8. The final word of the candidate.

9. A draft decision of the one-time committee on awarding the candidate the Doctor of Philosophy (PhD) degree shall be discussed in the state language.

10. Each member of the one-time committee openly expresses his/her position for awarding or refusing to award the Doctor of Philosophy (PhD) degree.

The committee shall make decisions voting by a show of hands:

On awarding the Doctor of Philosophy (PhD) degree, if it is supported by at least four members of the one-time committee;

On refusal to award the Doctor of Philosophy (PhD) degree if it is supported by two or more members of a one-time committee.

11. Based on the results of voting, a decision of the one-time committee to award (refuse to award) the Doctor of Philosophy (PhD) degree shall be documented in the form approved by the Ministry of Education and Science (**Appendix 7**). The decision, which is signed by the chairman of the one-time committee and sealed with the University seal, shall indicate the results of voting by the members of the one-time committee.

A member of the one-time committee has the right to express a separate opinion in writing, in which to note comments on the dissertation, in particular on

the candidate's compliance with academic integrity and/or on the procedure for defending the dissertation. A separate opinion shall be attached to the decision of the one-time committee to award (refuse to award) the Doctor of Philosophy (PhD) degree and is an integral part of it.

Furthermore, an integral part of the decision shall be a video recording of the broadcast of the dissertation defense to be affixed with the electronic seal of the University, based on a qualified electronic seal certificate.

12. The candidate has the right to withdraw the dissertation from the defense before voting on the award of the Doctor of Philosophy (PhD) degree on a written application addressed to the chairman of the one-time committee, except in cases when the one-time committee detects a violation of academic integrity in the dissertation and/or scientific publications that highlight the main scientific results of the dissertation. The candidate may exercise this right only once.

If a one-time committee finds facts of academic plagiarism, fabrication or falsification in the dissertation and/or scientific publications that highlight the main scientific results of the dissertation, the application for withdrawal of the dissertation from the defense is not accepted. In this case, the one-time committee decides to refuse to award the Doctor of Philosophy (PhD) degree without the right to resubmit the dissertation for defense.

## **8. PUBLICATION OF THE DECISION OF THE ONE-TIME COMMITTEE AND REGISTRATION OF DOCUMENTS OF THE CANDIDATE'S PERSONAL FILE**

**8.1.** After the one-time committee makes a decision to award (refuse to award) the Doctor of Philosophy (PhD) degree, the authorized person of the University shall:

1) within three working days, post the decision of the one-time committee on awarding (refusing to award) the Doctor of Philosophy (PhD) degree and a video recording of the broadcast of the dissertation defense on the official website of the University, taking into account the requirements of the legislation on state secrets and official information. If it is impossible to post a video recording of the dissertation defense broadcast on the official website of the University, the video recording of the dissertation defense broadcast shall be posted on another website with the possibility of free viewing and mandatory publication of a link on the official website of the University

2) during the five-year period, submit information on the results of the certification process to the information system.

If the dissertation is withdrawn from defense, the authorized official shall post information about it on the official website of the University within three working days from the date of defense of the dissertation, as well as submit it to the information system.

**8.2.** If the candidate withdraws the dissertation from the defense or the one-time committee refuses to award the Doctor of Philosophy (PhD) degree, the candidate has the right, subject to revision, to submit the dissertation again for

defense not earlier than in a year, except for the case provided for in paragraph 30 of the Procedure for Award of the Doctor of Philosophy (PhD) Degree and Revocation of a Decision of the One-Time Dissertation Committee of the Higher Education Institution to Award of the Doctor of Philosophy (PhD) Degree.

Repeated defense of the dissertation after its refinement is possible if the candidate receives a second opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation.

## **9. MAKING A DECISION ON ISSUING A DOCTOR OF PHILOSOPHY DIPLOMA**

**9.1.** The chairman of the one-time committee shall submit to the authorized official the decision of the one-time committee to award the candidate the Doctor of Philosophy (PhD) degree, which is the basis for preparing a draft order. Not earlier than 15 and not later than 30 calendar days from the date of defense of the dissertation, the Rector's order shall be issued to provide the candidate with a Doctor of Philosophy Diploma and a European-style supplement to it.

If within 15 calendar days from the date of the dissertation defense, the University has found a violation of the procedure for defending the dissertation established by this Regulation, or the University has received a notification of such a violation, the Rector's order to provide a Doctor of Philosophy Diploma to the candidate is issued if the Academic Council of the University decides to leave the decision of the one-time committee in force.

**9.2.** The decision of the one-time committee to award the Doctor of Philosophy (PhD) degree comes into force from the date, on which the Rector's order to provide a Doctor of Philosophy Diploma becomes valid.

A Doctor of Philosophy Diploma shall be issued by an authorized person in accordance with the form approved by the Ministry of Education and Science of Ukraine and provided to the candidate in accordance with the procedure established by the University.

**9.3.** Within ten working days from the date of issue of the Doctor of Philosophy Diploma, the responsible employee shall attach a copy of the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree, certified by the chairman of the one-time committee, to the copy of the dissertation stored in the University library. The provisions of this paragraph shall apply taking into account the requirements of the legislation on state secrets and official information.

**9.4.** The opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation, reviews, decisions of the one-time committee to award the Doctor of Philosophy (PhD) degree and a video recording of the broadcast of the dissertation defense shall be attached to the candidate's personal file to be stored in accordance with the legislation.

## **10. REVOCATION OF A DECISION OF THE ONE-TIME DISSERTATION COMMITTEE TO AWARD OF THE DOCTOR OF PHILOSOPHY (PHD) DEGREE IN CONNECTION WITH A VIOLATION OF THE DISSERTATION DEFENSE PROCEDURE**

**10.1.** The University, before issuing a Doctor of Philosophy Diploma to the candidate, has the right to revoke the decision of the one-time committee to award Doctor of Philosophy (PhD) degree in connection with the violation of the dissertation defense procedure established by the Procedure for Award of the Doctor of Philosophy (PhD) Degree and Revocation of a Decision of the One-Time Dissertation Committee of the Higher Education Institution, Scientific Institution on Awarding the Doctor of Philosophy Degree.

Violation of the requirements for the composition of a one-time committee may not be grounds for revocation of the decision of a one-time committee, if the operation of such committee is not terminated by the Ministry of Education and Science of Ukraine.

**10.2.** A notification of violation of the dissertation defense procedure established by this Regulation may be submitted to the University by any person who is a subject of scientific and scientific-technical activities, within 15 calendar days from the date of the dissertation defense. The notification shall indicate the surname and proper name (for physical persons) or the full name (for legal entities) and address of the person, justification and reference to evidence confirming the circumstances given in it.

A notification of violation of the dissertation defense procedure shall be sent:

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

The date of submission of a notification of violation of the dissertation defense procedure shall be the date of its receipt by the University.

**10.3.** In order to consider the issue of revocation of the decision of a one-time committee to award the Doctor of Philosophy (PhD) degree in connection with the violation of the dissertation defense procedure established by this Regulation, the Academic Council of the University at the next meeting shall form a commission consisting of three academic researches (faculty members) of the University. Such a commission may not include the chairman and members of a one-time committee.

The commission shall consider the notification of violation of the dissertation defense procedure within two weeks from the date of its formation.

The results of the review shall be submitted to a meeting of the commission, which is held openly, with the participation of the person who has submitted the notification and/or its representative, the candidate and, if required, members of the relevant one-time committee. These persons shall be informed of the date, time and place of the meeting five calendar days before the date of holding it. The absence of these persons at the meeting does not prevent the consideration of the

notification of violation of the dissertation defense procedure.

**10.4.** Within five working days from the date of the meeting, the commission shall prepare an opinion to be signed by all members of the commission.

The opinion of the commission provides the grounds for its decision and suggests:

- 1) to cancel the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree in connection with the violation of the dissertation defense procedure established by this Regulation;
- 2) refuse to satisfy the person's notification of violation of the dissertation defense procedure.

The opinion of the commission shall be submitted to the Academic Council of the University within up to three working days from the date of signing.

The Academic Council of the University at the next meeting shall consider the opinion of the commission and, based on the results of its consideration, decide to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree or to leave the decision of the one-time committee in force, on which the Rector's order is issued.

Within three working days from the date of publication of the specified order, the decision of the Academic Council of the University, together with the opinion of the commission, shall be posted by the responsible official on the official website of the University.

**10.5.** The National Agency has the right to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree in connection with violation of the dissertation defense procedure established by this Regulation within six months from the date of issuing the order of the Rector of the University to provide a Doctor of Philosophy Diploma to the candidate.

If the National Agency receives a notification of violation of the dissertation defense procedure, it shall be considered for three months from the date of its receipt.

**10.6.** A notification of violation of the dissertation defense procedure may be submitted to the National Agency by any person who is a subject of scientific and scientific-technical activities. The notification shall indicate the surname and proper name (for individuals) or the full name (for legal entities) and address of the person, justification and reference to evidence confirming the circumstances given in it.

A notification of violation of the dissertation defense procedure shall be sent:

- 1) in electronic form with an electronic signature based on a qualified electronic signature certificate – to the official e-mail address of the National Agency;
- 2) in paper form signed by the person submitting it (the director of the legal entity) – to the address of the National Agency.

The date of submission of a notice of violation of the dissertation defense procedure shall be the date of its receipt by the National Agency.

**10.7.** The National Agency shall, within three working days from the date of receipt of the notification of violation of the dissertation defense procedure, enter it

into the Information System of the National Agency and send a copy of it to the University.

In case of non-compliance of the specified notification with the requirements established by paragraphs one and four of the Procedure for Award of the Doctor of Philosophy (PhD) Degree and Revocation of a Decision of the One-Time Dissertation Committee of the Higher Education Institution, Scientific Institution on Awarding the Doctor of Philosophy Degree, the National Agency shall return the notification to the person without consideration.

The University, within 20 working days from the date of receipt of the notification of violation of the dissertation defense procedure, has the right to provide its written explanations regarding the circumstances set out in the notification. Failure to provide such explanations does not prevent consideration of the above notification.

The National Agency has the right to receive from the University the information and documents required for considering the notification.

**10.8.** A notification of violation of the dissertation defense procedure shall be considered by the Appeal Committee of the National Agency in accordance with the procedure established by the National Agency.

The results of consideration of the notification of violation of the dissertation defense procedure shall be submitted to the meeting of the Appeal Committee of the National Agency. The person who has submitted the notification and the University shall be informed of the date, time and place of the meeting five working days before the meeting date. Participation of the specified person and representative of the University in the meeting of the Appeal Committee of the National Agency is not mandatory.

The Appeal Committee of the National Agency at its meeting shall determine the presence or absence of violations of the dissertation defense procedure established by this Regulation, prepare a submission and submit it to the National Agency for consideration.

If the Appeal Committee of the National Agency detects violations of academic integrity, in particular the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications that highlight the scientific results of the dissertation, the Appeal Committee of the National Agency decides to transfer the specified notification to the Ethics Committee of the National Agency for consideration and enter information on this fact into the information system.

**10.9.** The person who has submitted a notification of violation of the dissertation defense procedure and the University shall be informed about the date, time and place of the meeting of the National Agency for consideration of the submission of the Appeal Committee of the National Agency five working days before the date of the meeting. Participation of the specified person and the University representative in the meeting of the National Agency is not mandatory.

Based on the consideration results, the National Agency at its meeting decides to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree or to leave the decision of the one-time committee in

force.

Within five working days from the date of the meeting, the National Agency shall inform the person who has submitted a notification of violation of the dissertation defense procedure, the University and the person regarding whose dissertation the notification was considered, about the decision taken, as well as enter relevant information into the information system.

## **11. REVOCATION OF A DECISION OF THE ONE-TIME DISSERTATION COMMITTEE TO AWARD OF THE DOCTOR OF PHILOSOPHY (PHD) DEGREE IN CONNECTION WITH THE ESTABLISHMENT OF FACTS OF ACADEMIC PLAGIARISM, FABRICATION AND FALSIFICATION**

**11.1.** The University or its legal successor has the right to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree in connection with the establishment of the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications that highlight the scientific results of the dissertation, regardless of the period that has elapsed after the one-time committee awarded the Doctor of Philosophy (PhD) degree.

The University shall, within three months from the moment it discovers in the defended dissertation and/or scientific publications highlighting the scientific results of the dissertation the facts of academic plagiarism, fabrication, falsification or from the date of the institution's receipt of notification of these facts, consider the issue on revoking the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree.

A notification on the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation may be submitted to the University by any person who is a subject of scientific, and scientific and technical activities. The notification shall indicate the surname and proper name (for individuals) or the full name (for legal entities) and address of the person, justification and reference to evidence confirming the circumstances given in it.

A notification on the facts of academic plagiarism, fabrication, or falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation shall be sent:

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

The date of submission of the notification on the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation shall be the date of its receipt by the institution.

**11.2.** The procedure for establishing the facts of violation of academic

integrity and canceling the decision of the one-time committee shall be determined by the Academic Council of the University, taking into account the requirements of the Law of Ukraine “On Education”, special laws and the Regulation.

The issue of revoking the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree in connection with the establishment of facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation shall be submitted to the meeting of the Academic Council of the University.

The person who has submitted the notification, the person whose decision to award the Doctor of Philosophy (PhD) degree is being appealed, and, if required, the members of the relevant one-time committee shall be informed of the date, time and place of the meeting of the Academic Council five working days before the date of the meeting.

The Academic Council at its meeting decides to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree or to leave the decision of the one-time committee in force.

**11.3.** The National Agency shall consider the issue on revoking the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree in connection with the establishment of facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation in the case of:

1) receipt of a person’s complaint against the decision of the institution to leave without consideration his/her notification of the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation or about leaving the decision of the one-time committee in force by the National Agency (hereinafter referred to as the complaint);

2) receipt of a notification of the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation in the event of liquidation of the University, the one-time committee of which has made a corresponding decision, by the National Agency;

3) referring by the Appeal Committee to the Ethics Committee a notification of violation of the dissertation defense procedure, during the consideration of which violations of academic integrity are revealed, in particular, the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation.

**11.4.** A complaint/notification about the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation may be submitted to the National Agency by any person who is a subject of scientific and technical activities. The complaint/notification shall indicate the surname and proper name (for individuals) or the full name (for legal entities) and address of the person, justification and reference to evidence confirming the circumstances given in them.

A complaint/notification about the facts of academic plagiarism, fabrication,

falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation shall be sent:

1) in electronic form with an electronic signature based on a qualified electronic signature certificate – to the official e-mail address of the National Agency;

2) in paper form signed by the person submitting it (the director of the legal entity) – to the address of the National Agency.

The date of submitting a complaint/notification about the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation shall be the date of receipt of the complaint/notification by the National Agency.

The National Agency shall enter them into the information system within three working days from the date of receipt of the complaint/notification, as well as send a copy of the complaint to the University, whose one-time committee has made a corresponding decision.

If the complaint/notification does not meet the requirements specified in subparagraphs 5-10 of this paragraph, the National Agency shall return the complaint/notification to the person without consideration.

The Ethics Committee shall, within three working days from the date of receipt of a notification from the Appeal Committee about a violation of the dissertation defense procedure, during the consideration of which violations of academic integrity are revealed, in particular, the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation, send a copy of the materials on the identified violations to the University, whose one-time committee has made a corresponding decision.

**11.5.** A complaint/notification about the facts of academic plagiarism, fabrication, or falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation shall be considered by the Ethics Committee in accordance with the procedure established by the National Agency.

The results of consideration of a complaint/notification about the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation, as well as materials on violations of academic integrity identified by the Appeal Committee shall be submitted to the meeting of the Ethics Committee. The person who has filed the complaint/notification and the institution shall be informed of the date, time and place of the meeting five working days before the meeting date. Participation of the specified person and the University representative in the meeting of the Ethics Committee is not mandatory.

The Ethics Committee at its meeting shall determine the presence or absence of facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications that highlight the scientific results of the dissertation, of which prepare a submission and submit it to the National Agency for consideration.

**11.6.** The person who has filed the complaint/notification about the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation and the University shall be informed of the date, time and place of the meeting five working days before the meeting date. Participation of the specified person and the University representative in the meeting of the Ethics Committee is not mandatory.

Based on the consideration results, the National Agency at its meeting shall decide to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree in connection with the establishment of the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation or to leave the decision of the one-time committee in force.

Within five working days from the date of the meeting, the National Agency shall inform the person who has filed a complaint/notification about the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation, the University and the person in respect of whose dissertation the complaint/notification has been considered, and enter relevant information into the information system.

## **12. LEGAL CONSEQUENCES OF REVOCATION OF A DECISION OF THE ONE-TIME DISSERTATION COMMITTEE**

12.1. In case of revocation of the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree after issuing the Doctor of Philosophy Diploma to the candidate, such diploma shall be considered invalid from the date of making the relevant decision.

Within three working days from the date of making a decision by the University/National Agency to revoke the decision of the one-time committee to award the Doctor of Philosophy (PhD) degree, information on the invalidity of the Doctor of Philosophy Diploma shall be entered by them in the Unified State Electronic Database on Education.

12.2. In case of revocation of the decision of the one-time committee due to violation of the dissertation defense procedure established by the Regulations, the candidate shall be entitled to submit a dissertation on the same topic for defense again.

In case of revocation of the decision of the one-time committee due to the facts of academic plagiarism, fabrication, falsification in the dissertation and/or scientific publications highlighting the scientific results of the dissertation, the dissertation may not be re-submitted for defense.

## **13. FINANCIAL SUPPORT OF THE PROCEDURE FOR CERTIFICATION OF CANDIDATES FOR THE DOCTOR OF PHILOSOPHY (PHD) DEGREE UNDER THE HIGHER EDUCATION PROGRAM**

13.1. Expenses related to the certification of the candidate, including payment

for the work of official opponents, shall be borne by the University at the expense of the sources from which the candidate's training is/was carried out or at the expense of the University funds. The University shall include in its estimates the costs and expenses associated with the candidate's certification, including within six months after his/her expulsion from a graduate school or the end of the term of the candidate's attachment.

If the candidate applies to the University for an opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation and/or the defense of the dissertation six months after the expulsion from the graduate school or the completion of the attachment period (taking into account the last paragraph of Section 4 of the Regulation) or the re-submission of the dissertation for the defense and passing the certification, the costs associated with the certification of the candidate shall be carried out by him/her at the expense of the candidate's own funds or funds of individuals, legal entities.

13.2. The University assigns at least 32 hours to the chairman of the one-time committee and reviewers for performing their functions during one defense of the dissertation within the limits of the norms of scientific work time established by the institution for academic researchers and faculty members (within the main load - for academic researchers).

The University pays for the work of official opponents for their performing functions related to the candidate's certification during one dissertation defense in accordance with the norms of hourly remuneration of persons who have an academic degree of Doctor of Sciences, Doctor of Philosophy (Candidate of Sciences) and conduct training sessions with postgraduates provided for by the Resolution of the Cabinet of Ministers of Ukraine dated August 30, 2002. No. 1298 "On Staff Compensation Based on the Unified Tariff System of Categories and Coefficients for Compensation of Staff of Institutions, Establishments and Organizations of Certain Branches of the Public Sector" (Official Gazette of Ukraine, 2002, No. 36, Article 1699), at the rate of 12 hours, from January 1, 2023 – 24 hours, from January 1, 2024 – 32 hours. If the University's budget does not provide for expenses related to the certification of the candidate, the provisions of this paragraph do not apply.

13.3. The candidate, his/her supervisor(s) is prohibited before, during and/or after the defense of the dissertation from providing or offering to provide members of the one-time committee, the head and other officials of the institution in which the one-time committee is formed, any material and/or non-material benefits, in particular funds or any other property, payment for food services, transportation, accommodation of such persons.

Head of the Postgraduate and  
Doctoral Study Department of  
Sumy National Agrarian  
University

\_\_\_\_\_  
(full name)

graduate student of the specialty

\_\_\_\_\_  
(specialty name and code)

\_\_\_\_\_  
(full name of a graduate student)

## APPLICATION

I hereby request to check my dissertation on the topic “ \_\_\_\_\_

\_\_\_\_\_”

\_\_\_\_\_ for the degree of Doctor of Philosophy in the field of knowledge \_\_\_\_ on  
specialty

\_\_\_\_\_ for any textual borrowings and to provide a full  
and brief report on the review of the manuscript for further consideration and  
defense in a one-time dissertation committee.

Supervisor: \_\_\_\_\_  
(academic degree, academic title, position, full name)

The dissertation is submitted to the defense for the first time.

Number of pages to check: \_\_\_\_\_ .

*Supplements:*

1) *dissertation in electronic form;*

*DATE*

*SIGNATURE*

*Initials, SURNAME*

*Supervisor's visa (transcript, date)*

Head of the Department \_\_\_\_\_

Sumy National Agrarian  
University

(academic degree, academic title, position, full name)

graduate student of the specialty

(specialty name and code)

(full name of a graduate student)

## APPLICATION

I hereby request to hold a meeting of the Department for a public presentation and discussion of the scientific results of the dissertation on the topic

“ \_\_\_\_\_  
\_\_\_\_\_ ”

for the degree of Doctor of Philosophy in the field of knowledge \_\_\_\_ on specialty \_\_\_\_\_ and provide an opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation.

Supervisor: \_\_\_\_\_

(academic degree, academic title, position, full name)

The dissertation is submitted to the defense for the first time.

### *Supplements:*

- 1) *dissertation in printed and electronic form;*
- 2) *scientific publications (or copies thereof, certified by the Scientific Secretary of the University), which highlight the scientific results of the dissertation;*
- 3) *academic certificate of completion of the educational and scientific program;*
- 4) *opinion of the supervisor(s);*
- 5)

DATE

SIGNATURE

Initials, SURNAME

Chairman of the Academic  
Council of Sumy National  
Agrarian University

\_\_\_\_\_  
(academic degree, academic title, position, full name)

graduate student of the specialty

\_\_\_\_\_  
(specialty name and code)

\_\_\_\_\_  
(full name of a graduate student)

## APPLICATION

I hereby request to form a one-time dissertation committee to defend the dissertation on the topic \_\_\_\_\_  
“ \_\_\_\_\_  
\_\_\_\_\_”

for the degree of Doctor of Philosophy in the field of knowledge \_\_\_\_ on specialty \_\_\_\_\_.

Supervisor: \_\_\_\_\_  
(academic degree, academic title, position, full name)

The dissertation is submitted to the defense for the first time.

The dissertation has been completed by me independently in compliance with academic integrity.

The final text of the dissertation is submitted for defense.

Language of the dissertation defense -

\_\_\_\_\_  
(state or, at the request of the candidate, English).

### *Supplements:*

- 1) *dissertation in printed and electronic form;*
- 2) *scientific publications (or copies thereof, certified by the Scientific Secretary of the University), which highlight the scientific results of the dissertation;*
- 3) *academic certificate of completion of the educational and scientific program;*
- 4) *opinion of the supervisor(s);*
- 5) *opinion on the scientific novelty, theoretical and practical significance of the results of the dissertation;*
- 6) *certificate of the results of checking of the dissertation manuscript for academic plagiarism;*
- 7) *service note with a recommendation of nominees for the formation and approval of the composition of the one-time committee;*
- 8) *written consent of the intended chairman, reviewers and official opponents to participate in the meeting of the one-time committee, copies of their academic degree diplomas/academic title certificates; copies of passports and identification numbers;*
- 9) *information on the intended chairman and members of the one-time committee.*

DATE

SIGNATURE

Initials, SURNAME

Chairman of the Academic  
Council of Sumy National  
Agrarian University

\_\_\_\_\_  
(academic degree, academic title, position, full name)

\_\_\_\_\_  
(academic degree, academic title, position, full name of the  
intended members of the one-time committee)

## APPLICATION

I hereby \_\_\_\_\_,  
(full name)

give my consent to perform the duties \_\_\_\_\_ of the one-time  
(of the chairman, reviewer, opponents)

dissertation committee for acceptance for consideration and conducting a defense  
on the topic \_\_\_\_\_

“  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_”

for the degree of Doctor of Philosophy in the field of knowledge \_\_\_\_ on specialty  
\_\_\_\_\_.

I confirm my level of proficiency in English to the extent sufficient for  
qualified certification of the candidate (*in case of the defense in English*).

Personal data:

1. In the current year, I have been a member of one-time dissertation committees:

1.1 \_\_\_\_ ;

1.2 \_\_\_\_ ;

etc.

2. Publications:

2.1 \_\_\_\_ ;

2.2. \_\_\_\_ ;

etc.

*Supplements:*

1) *copies of academic degree diplomas;*

2) *copies of academic title certificates;*

3) *copies of passport and identification number.*

DATE

SIGNATURE

Initials, SURNAME

Information on members of a one-time dissertation committee  
of Sumy National Agrarian University  
on the defense of the dissertation \_\_\_\_\_  
(full name of the candidate)

on the topic: \_\_\_\_\_  
(dissertation topic)

for the Doctor of Philosophy (PhD) degree  
in the field of knowledge \_\_\_ on the specialty \_\_\_\_\_

160 Herasym Kondratiev Street, Sumy, 40021,  
Sumy National Agrarian University

Full name of the candidate						
ESP						
Dissertation topic						
Composition of the one-time committee	Role	Place of employment	Full name	Academic degree and specialty on which the degree has been obtained	Date of issue of the Doctor of Philosophy (Candidate of Sciences) Diploma	ORCID
	Chairman /reviewer/ opponent					
Publications of a member of a one-time dissertation committee confirming competence on the topic of the dissertation	Publication type	Bibliographic description	Year	Key words	DOI	Link to the publication
	1					
	2					
	3					

HEAD OF THE DEPARTMENT

SIGNATURE

Initials, SURNAME

AUTHORIZED OFFICIAL

SIGNATURE

Initials, SURNAME

**NOTIFICATION**  
of the formation of a new dissertation committee

Educational  
institution/scientific  
institution

Sumy National Agrarian University (identification code )

<b>1. Candidate for the Doctor of Philosophy (PhD) degree</b>	
1.1. Full name of the candidate for the Doctor of Philosophy (PhD) degree	
1.2 Educational and scientific program completed by the candidate	
1.3. Certain elements of the educational and scientific program are provided by another institution of higher education/scientific institution (including a foreign one)	
2.1. Dissertation topic	
2.2. Dissertation abstract	
2.3. Dissertation keywords	
2.4. Link where the dissertation text is posted	
<b>2. Dissertation</b>	
<b>2.5. Publications of the candidate credited for the defense</b>	
<b>2.5.1. Information on publication 1:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Patent for an invention Monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine, 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	
<b>2.5.2. Information on publication 2:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Patent for an invention Monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	

<b>2.5.3. Information on publication 3:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Patent for an invention Monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine, 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	
<b>2.5.4. Information on publication 4:</b> (to specify all publications credited for defense)	
<b>3. Defense</b>	
3.1. Link that will be used for online broadcast of the defense	
<b>4. One-time committee</b>	
4.1. Date of a decision of the Academic Council to form a one-time committee	
<b>Chairman of the one-time committee</b>	
Full name	
Place of employment	
Position	
Faculty or other structural division	
Academic degree	
Specialty code and name:	
ORCID (optional)	
<i>Publications on the topic of the dissertation</i>	
<b>Information on publication 1:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Monograph Section in the monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine, 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	

<b>Information on publication 2:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Patent for an invention Monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine, 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	
<b>Information on publication 3:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Monograph Section in the monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	
<b>Reviewer 1</b>	
Full name	
Place of employment	
Position	
Faculty or other structural division	
Academic degree (for Doctor of Philosophy/Candidate of Sciences, to specify the date of receipt of the diploma (day, month, year)	
Specialty code and name:	
ORCID (optional)	
<i>Publications on the topic of the dissertation</i>	
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1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Monograph Section in the monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine 2015):	
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7) Sole authorship	
8) Contains state secrets /proprietary information	
<b>Information on publication 2:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition

	Monograph Section in the monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	YES or NO
8) Contains state secrets /proprietary information	YES or NO
<b>Information on publication 3:</b>	
1) Publication type:	Publication in a Ukrainian edition Publication in a foreign edition Monograph Section in the monograph (to leave the correct option)
2) Bibliographic description (State Standard of Ukraine, 2015):	
3) Publication year	
4). DOI (for publications from 2022)	
5). Key words	
6) Link	
7) Sole authorship	YES or NO
8) Contains state secrets /proprietary information	YES or NO
<b>Reviewer 2</b>	
Full name	
Place of employment	
Position	
Faculty or other structural division	
Academic degree (for Doctor of Philosophy/Candidate of Sciences, to specify the date of receipt of the diploma (day, month, year)	
Specialty code and name:	
ORCID (optional)	
<i>Publications on the topic of the dissertation</i>	
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<b>Official opponent 1</b>	
Full name	
Place of employment	
Position	
Faculty or other structural division	
Academic degree (for Doctor of Philosophy/Candidate of Sciences, to specify the date of receipt of the diploma (day, month, year)	
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<b>Official opponent 2</b>	
Full name	
Place of employment	
Position	
Faculty or other structural division	
Academic degree (for Doctor of Philosophy/Candidate of Sciences, to specify the date of receipt of the diploma (day, month, year)	
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6) Link	
7) Sole authorship	YES or NO
8) Contains state secrets /proprietary information	YES or NO
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6) Link	
7) Sole authorship	
8) Contains state secrets /proprietary information	

**FORM**  
**of a decision of the dissertation committee to award the Doctor of Philosophy**  
**(PhD) degree**

**The dissertation committee** \_\_\_\_\_  
 \_\_\_\_\_ (full name of the higher educational institution (scientific  
 \_\_\_\_\_ institution), subordination (in the genitive case), city) has made a decision  
 to award the Doctor of Philosophy (PhD) degree in the field of knowledge \_\_\_\_\_  
 \_\_\_\_\_ (field of knowledge)  
 on the basis of a public dissertation defense “ \_\_\_\_\_ ”  
 \_\_\_\_\_ (title of the dissertation)  
 on specialty \_\_\_\_\_  
 \_\_\_\_\_ (code and name of the specialty in accordance with the List of Fields of Knowledge  
 and \_\_\_\_\_ Specialties, on which candidates are trained)  
 \_\_\_\_\_ 20\_\_.

\_\_\_\_\_ born in 19\_\_,  
 \_\_\_\_\_ (last name, first name, patronymic (if any) of the candidate)  
 citizen \_\_\_\_\_,  
 \_\_\_\_\_ (name of the state of which the candidate is a citizen)  
 higher education: graduated in \_\_\_\_\_  
 \_\_\_\_\_ (name of the higher educational institution)  
 on specialty \_\_\_\_\_  
 \_\_\_\_\_ (according to the diploma)

Works \_\_\_\_\_ in \_\_\_\_\_  
 \_\_\_\_\_ (position) \_\_\_\_\_ (place of main work, departmental subordination, city)  
 since \_\_\_\_\_ until now.

The dissertation was completed in \_\_\_\_\_  
 \_\_\_\_\_ (name of the higher educational institution (scientific institution),  
 subordination, city)

Supervisor(s) \_\_\_\_\_  
 \_\_\_\_\_ (last name, first name, patronymic (if any)),  
 \_\_\_\_\_  
 \_\_\_\_\_ academic degree, academic title, place of work, position)

The candidate has \_\_ scientific publications on the topic of the dissertation, including \_\_\_\_ articles in  
 periodicals of other countries, \_\_ articles in scientific professional publications of Ukraine, \_\_\_\_\_  
 monographs (to specify three scientific publications):

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

The discussion was attended by the chairman and members of the dissertation committee and specialists  
 present at the defense

\_\_\_\_\_  
 \_\_\_\_\_ (surnames, initials, academic degrees,  
 \_\_\_\_\_  
 \_\_\_\_\_ places of work, positions, comments)

Results of secret voting:

“For” \_\_\_\_\_ committee members,  
“Against” \_\_\_\_\_ committee members,  
null and void bulletins \_\_\_\_\_

Based on the results of secret voting, the dissertation committee awards/ refuses the award

\_\_\_\_\_  
(surname, first name, patronymic (if any) of the candidate in the dative case)  
degree / Doctor of Philosophy (PhD) degree in the field of knowledge \_\_\_\_\_  
(field of knowledge)  
on specialty \_\_\_\_\_  
(code and name of the specialty in accordance with the List of Fields of Knowledge  
and Specialties, on which candidates are trained)

Chairman of the  
dissertation committee

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(last name, initials)

Reviewer

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(last name, initials)

Reviewer

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(last name, initials)

Opponent

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(last name, initials)

Opponent

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(last name, initials)