

Annex
to HSE Directive
No. 6.18.1-01/1604-07
dated April 16, 2018

APPROVED by
HSE Academic Council
Minutes No. 3 dated March 30, 2018

with amendments approved by HSE
Academic Council as of April 27,
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No. 6.18.1-01/3005-04 dated May 30,
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6.18.1-01/2906-01 dated June 29,
2018

Regulations for Awarding Academic Degrees at National Research University Higher School of Economics

1. General Provisions

1.1. These Regulations for Awarding Academic Degrees at National Research University Higher School of Economics (hereafter, the “Regulations”) set forth the procedure for awarding its own academic degrees at National Research University Higher School of Economics (hereafter, the “University”, or “HSE”), including:

- the eligibility criteria for persons seeking academic degrees (hereinafter, “candidates”), and requirements to dissertations;
- the procedure for dissertation submission, preliminary discussion and defense;
- the procedure for preparing and publishing attestation-related materials on HSE’s corporate website (portal);
- the procedure for awarding degree certificates (diplomas);

– the procedure for appeals, withdrawal and reinstatement of academic degrees at HSE.

1.2. These Regulations have been drawn up in line with Federal Law No. 148-FZ, dated May 23, 2016 “On Amendments to Article 4 of the Federal Law “On Science and State Scientific and Technical Policy”, Resolution No. 553 of the Government of the Russian Federation, dated May 11, 2017, which approves the Regulations on the List of Scientific Organizations and Higher Education Institutions Entitled to Independently Award Academic Degrees, as well as the Concept for Awarding its Own Academic Degrees at HSE, approved by the HSE Academic Council on September 29, 2017 (Minutes No. 9).

1.3. These Regulations rely among other sources on the Regulations for Awarding Academic Degrees approved by a Resolution No. 842 of the Government of the Russian Federation on September 24, 2013 and the Regulations on the Councils Responsible for the Defense of Dissertations Prepared by Students Seeking Candidate of Sciences and Doctor of Sciences Academic Degrees, approved by the Directive No. 1093 of the Ministry of Science and Education of the Russian Federation, dated November 10, 2017.

1.4. The University is entitled to award the following academic degrees:

- HSE Candidate of Sciences degree (Philosophy Doctor HSE, PhD HSE) (hereinafter, “Candidate of Sciences”);
- HSE Doctor of Sciences degree (Doctor of Sciences HSE, DS HSE) (hereinafter, “Doctor of Sciences”).

2. Requirements to Candidates Seeking HSE Academic Degrees

2.1. Candidates holding a Specialist or Master’s degree, or a document confirming the completion of a doctoral programme (hereinafter, collectively referred to as “a degree certificate”), are eligible to seek an HSE Candidate of Sciences degree.

2.2. At the discretion of the HSE Academic Council and upon the recommendation of the relevant dissertation council, candidates may be required to hold a degree certificate in specific fields of study and/or specialization.

2.3. Only candidates who have successfully passed a qualification exam at HSE in a respective field of study may be eligible to submit their dissertation for review. During the exam, the focus shall be made on a narrow specialized area, which corresponds to the student’s dissertation topic and has been established by

the dissertation council rather than the given discipline/field of study in broader terms. If the candidate has passed and received his/her qualification exam at another institution, these results may be transferred to HSE at the discretion of the dissertation council. Candidates only have to pass 1 (one) qualification exam.

2.4. A candidate's enrollment in a doctoral programme is not a prerequisite for seeking a Candidate of Sciences degree.

2.5. A candidate seeking a Candidate of Sciences degree (hereinafter, a "CS candidate") shall be assigned an academic supervisor. Students enrolled in joint programmes delivered in conjunction with international educational and research institutions may have a second academic supervisor employed at such an institution.

2.6. Should a CS candidate be assigned to an external organization in order to prepare his/her dissertation and take the qualification exam, he/she must present a dissertation statement signed by the head or authorized deputy head of the organization. Graduates of HSE doctoral programmes, as well as HSE-affiliated candidates seeking a Candidate of Sciences/Doctor of Sciences degree, shall present a dissertation statement signed by the head of the HSE subdivision, where they are affiliated. The dissertation statement must include an assessment of the personal contribution made by the candidate in the attainment of dissertation results, the reliability of research results obtained, their novelty and practical significance, the comparative value of academic papers prepared by the candidate, specialization of the dissertation, and whether or not the dissertation materials were fully reflected in his/her published academic papers.

2.7. The procedure for discussing the dissertation and drawing up a statement in regards to the dissertation shall be established by relevant HSE bylaws.

2.8. Candidates holding a Candidate of Sciences, Doctor of Sciences (with no previous Candidate of Sciences degree) or PhD (provided that this degree is officially recognized at HSE in line with a respective HSE bylaw) degree and have prepared a Doctor of Sciences dissertation based on their research results are eligible to pursue an HSE Doctor of Sciences degree.

2.9. A candidate seeking a Doctor of Sciences degree may have one or several academic advisors.

2.10. The HSE Rector, vice rectors, the University's President and vice presidents may not submit their dissertations for defense at HSE-based dissertation councils.

3. Requirements to the Dissertation and Publications Submitted by the Candidate

3.1. A Candidate of Sciences dissertation must contain original solutions for a given research task, which is important for further development of a scientific and technological field, or alternatively, a description of new scientific (technological) developments, which may possess applied value in solving a relevant scientific or practical task/problem.

3.2. A Doctor of Sciences dissertation must rely on the results of a large-scale research project (series of research projects), which has made a valuable contribution to the further development of theoretical and/or practical foundations of a given scientific and technological field. Furthermore, it must contain solutions for a major (large-scale) scientific or practical task based on original research approaches proposed by the author.

3.3. A dissertation must be prepared independently by the author. Further requirements to the dissertation are its integrity, novelty of research results and concepts presented for public defense, as well as clear identification of the author's personal contribution to the respective academic field.

3.4. Solutions proposed in the dissertation must be well-grounded and substantiated. The author must also include their evaluation in comparison with other known solutions in the given academic and technological field.

3.5. A dissertation must contain clear references to the author(-s) and/or source(-s) of the materials or specific results referred to by the author. If the author relies on research results that he previously obtained independently or co-authored with other researchers, these instances must be specified in the dissertation.

3.6. The key research results contained in the dissertation must be published in peer-reviewed scientific journals (hereinafter, "peer-reviewed journals") indexed in Russian and international citation databases.

3.7. Specific requirements to the dissertation and publication of dissertation-related research results (i.e., requirements to the number of articles, journal bibliometric indicators, including appearances in specific quartiles, whether or not unpublished papers and preprints may be submitted, monographs are required/permitted, coauthors are allowed) shall be developed by respective dissertation councils and approved by the HSE Academic Council.

3.8. Minimal requirements to the total number of publications containing key dissertation-related research results in peer-reviewed journals may not be lower

than the respective requirements set forth by the Higher Attestation Commission under the Ministry of Education and Science of the Russian Federation (hereinafter, “HAC”).

3.9. Dissertation councils may establish additional requirements in line with the specifics of a particular field, e.g., approve lists of publications/journals and publishing houses, which are/are not recognized by a given council. These lists shall be published on HSE’s corporate portal.

3.10. The list of Russian journals proposed by HAC (hereinafter, the “HAC list”) cannot be used for compiling the HSE list of recognized peer-reviewed journals. Instead, the HSE list shall be based on international databases such as Web of Science (e.g., Emerging Sources Citation Index, ESCI), Scopus and other Russian and international citation databases established for respective academic fields. An HSE list of recommended high-quality journals has been compiled: <https://scientometrics.hse.ru/goodjournals>. Publications in journals included on the blacklist of journals shall not be considered (<https://scientometrics.hse.ru/blacklist>).

4. Dissertation Submission Procedure

4.1. A candidate may submit his/her dissertation to any HSE dissertation council for defense, but the scientific focus of the dissertation must be in line with the academic field, for which the council is entitled to award academic degrees as per its field profile approved by the HSE Academic Council. If the dissertation covers the results of a multidisciplinary research project, the candidate may choose the council to submit the dissertation as his/her own discretion. Two dissertation councils may be combined into a single dissertation committee as per their mutual decision.

4.2. A candidate shall submit a copy of his/her dissertation (manuscript copyright protected) and supporting materials in line with p. 5.1 hereof. The dissertation must be accompanied by a signed request for its review, formatted in line with Annex 1 hereto. A dissertation must be formatted in accordance with the requirements established in these Regulations and Annexes hereto.

4.3. A candidate may submit his/her dissertation in one of the following ways at his/her discretion:

1) the dissertation comprises 3 (three) or more research articles (review papers are not permitted), which contain original research results in regards to one

and the same research topic¹. Submitted (published or accepted for publication) articles may be prepared in Russian or English. For specific academic fields, a monograph prepared in Russian or English may be submitted for defense.

2) the dissertation comprises 1 (one) separate coherent research paper, presented in English or Russian. This paper must be accompanied by (published or accepted for publication) research articles in Russian or English dedicated to the same topic as the dissertation.

4.4. The total number of publications by the candidate shall not be considered. He/she may only defend papers submitted to HSE.

4.5. Candidates must submit a summary of their dissertation in Russian and English. The summary must contain the main ideas and findings of the dissertation, provide an overview of the author's contribution to the research project, and describe the theoretical and practical significance of research results. It must also include information on the host organization, academic supervisor (-s) and academic advisor (-s) (if applicable), as well as contain a full list of publications covering the key outcomes of the dissertation-related research project.

4.6. Further requirements as to the volume and structure of a dissertation and its summary may be developed and approved by specific dissertation councils in line with the particulars of the relevant academic field. Such requirements shall be approved by HSE First Vice Rector in charge of dissertation councils.

4.7. A dissertation summary shall be submitted as a manuscript and does not need to be printed in a print shop.

4.8. A dissertation council may refuse to review a candidate's dissertation on the following grounds:

- the candidate's qualifications do not meet the requirements established in these Regulations;
- the dissertation topic and its contents do not comply with the academic field, for which a given academic council is entitled to accept dissertations for defense;
- the dissertation council does not have adequately qualified specialists the given dissertation topic to set up a dissertation committee (for external candidates);

¹ In mathematics and computer science, oral reports (full paper/conference paper) and poster presentations at thematic conferences in Computer Science (level A* and A according to CORE ranking), published in conference collections of papers or international journals, may be considered.

- the requirements to the publication of key dissertation-related research results as set forth herein have not been met;
- the candidate used borrowed materials in his/her dissertation without providing proper reference to authors/sources, or failed to include references to his/her co-authors for co-authored research material;
- the candidate provided inaccurate or false information about his/her publications, which contain key dissertation-related research results.

4.9. Decisions made by the dissertation councils as to whether dissertations have been accepted for review or rejected shall be published on HSE’s portal within 5 working days from the date of dissertation council meeting where a respective decision was made.

4.10. For external candidates who have previously passed a preliminary defense, the relevant dissertation council may decide that a preliminary discussion of the dissertation at HSE is required and thus assign a field-specific HSE subdivision where this discussion can be held.

5. Acceptance of Dissertations for Review and Defense

5.1. A dissertation council may accept a dissertation for review provided that it meets all the requirements stipulated herein and the candidate has submitted the following documents:

- a) a request to review his/her dissertation, which must be prepared in line with the template in Annex 1 hereto;
- b) a duly certified copy of the candidate’s degree certificate (Specialist, Master’s diploma or a document confirming the completion of a doctoral programme (if applicable));
- c) if the candidate’s degree certificate was issued outside of the Russian Federation, he/she must submit a duly certified copy of the degree certificate (i.e., the document conferring a qualification). The latter must bear a legalization stamp/apostille² and must be recognized as a Specialist/Master’s diploma or a document confirming the completion of a doctoral programme in the Russian Federation (hereinafter, a “foreign degree certificate”);

² Unless legalization and apostille are not required/waived in accordance with Russian legislation and/or international treaties.

d) for DS candidates – a duly certified copy of a Candidate of Sciences or PhD degree certificate (if the latter is recognized as such in the Russian Federation);

e) for CS candidates - a document confirming the candidate's successful passing of a qualification exam in the respective field (not applicable to candidates who have completed a doctoral programme in the same field as their dissertation topic);

f) a digital copy of the candidate's dissertation in Russian or English and formatted in line with the requirements set forth in p. 5.2 hereof;

g) a digital copy of the candidate's dissertation summary in Russian and English in line with the requirements established at HSE;

h) a statement containing positive feedback on the dissertation provided by an HSE subdivision, to which the candidate has been assigned, or an external organization, which hosted the candidate while he/she was working on the dissertation;

i) for CS candidates – positive reference provided by an academic supervisor; for DS candidates – academic advisor's reference (if the candidate had an academic advisor).

5.2. A dissertation must be formatted as a manuscript and should feature the following structure:

a) title page as per the prescribed format;

b) contents;

c) the actual dissertation including its introduction, main body, conclusion and bibliography.

5.3. A dissertation may also include a list of abbreviations and symbols, definitions, a list of images and annexes.

An introduction must include: a rationale explaining the relevance of the selected topic; the degree to which this topic has been previously developed; the dissertation's goals and objectives, as well as its theoretical and practical significance; the methodology and research methods used, and key ideas which shall be defended; authenticity and validation of results.

The main text of the dissertation must be subdivided into chapters and paragraphs or sections and subsections (numbered in Arabic numerals).

The conclusion must feature a summary of the research results, recommendations and possibilities for further development in regards to the given topic.

5.4. If a dissertation is submitted as a collection of research articles, the main body of the dissertation shall comprise an introduction and actual articles.

5.5. No later than within 3 (three) months from the date of the candidate's submission of all required documents, the relevant dissertation council shall accept the dissertation for defense or send a motivated refusal to the candidate. This timeframe does not include the summer vacation period (July-August).

5.6. At a meeting of the dissertation council where a decision on the acceptance/rejection of a dissertation for further review shall be made, the academic secretary shall present a preliminary statement with the following information: whether or not the submitted documentation is complete, duly formatted; whether or not the candidate's qualifications and his/her dissertation meet the established requirements; whether or not the dissertation contains inaccurate or false information regarding academic papers published by the candidate, as well as the results of dissertation/summary check for borrowed materials.

5.7. At a meeting of the dissertation council where a decision on the acceptance/rejection of a dissertation for further review shall be made, it may establish an internal committee in order to prepare a preliminary statement on the dissertation and other submitted materials (hereinafter, an "internal committee").

5.8. An internal committee should include at least 3 (three) members elected via an open vote from among the council's members. HSE staff who receive a simple majority vote of the dissertation council's members in attendance will join the internal committee. One of the members of the internal committee shall be appointed as its chairperson.

5.9. An internal committee shall prepare a statement with information as to whether or not the dissertation topic and its contents correspond to the academic field, for which a given academic council is entitled to accept dissertations for their subsequent defense. The internal committee's statement must provide a rationale explaining as to why the dissertation may/may not be accepted for defense.

5.10. If an internal committee has been established, the dissertation council shall then decide whether a given dissertation shall be accepted for defense or rejected based on the statement provided by the internal committee.

5.11. A dissertation council may also decide to reject a dissertation defense without the establishment of an internal committee, based on a negative preliminary statement presented by the academic secretary of the dissertation council with regard to the following: whether or not the submitted documentation is complete, or duly formatted; whether or not the candidate's qualifications and his/her dissertation meet the established requirements; whether or not the dissertation contains inaccurate or false information regarding academic papers published by the candidate, as well as the results of dissertation/summary check for borrowed materials.

5.12. If a dissertation defense is rejected by the dissertation council, within 30 calendar days following this decision, the candidate shall receive an e-mail containing an excerpt from the dissertation council's meeting minutes stating the reason for the rejection.

5.13. Within 5 (five) working days following the meeting of the dissertation council, a list of dissertations accepted for further review or rejected shall be published on the HSE portal.

5.14. The dissertation council shall publish information as to whether a dissertation was accepted or rejected on the HSE portal.

6. Dissertation Committee - Establishment and Activities

6.1. For dissertations accepted by a dissertation council for defense, a dissertation committee (hereinafter, the "dissertation committee" or "committee") shall be set up and headed by a chairperson. Only experts possessing adequate competencies in the topic and research methods of the given dissertation shall be eligible to join the committee. The expert's country of residence and place of work is irrelevant in such cases. In turn, the dissertation council shall take the necessary steps to ensure that the necessary specialists sit on the committee. Remuneration may be offered to external experts who are not employed at HSE.

6.2. A dissertation committee should include 5 (five) specialists with publications on the given topic or related topics. Members of dissertation councils, the candidate's academic supervisor (-s) and field-specific HSE subdivisions may put forward nominees to join a dissertation committee. Expert competencies in the dissertation-related field must be confirmed by recognition of the relevant academic community and publications in topics related to the dissertation in peer-reviewed journals indexed in Web of Science, Scopus and other Russian and international citation databases. A list of such databases shall be established for

each academic field. It is also advisable to use HSE's list of high-quality journals: <https://scientometrics.hse.ru/goodjournals>. The specific criteria for selecting nominees to a dissertation committee shall be set forth by the dissertation council in view of the specifics of the given field of study.

6.3. For dissertations prepared by HSE doctoral students, a dissertation committee may be set up at earlier stages, once the dissertation topic has been approved.

6.4. A dissertation committee may be comprised of the members of dissertation council, HSE employees (no more than 3 (three) members of the committee) and external experts who hold a Candidate of Sciences, Doctor of Sciences or a PhD degree. At least one of the two external candidates should be employed at a research or educational institution outside of the Russian Federation³. To join a dissertation committee, nominees must provide their written consent (this consent may be submitted by e-mail). Information about the dissertation committee members (their academic degrees and titles, as well as the place of employment) shall be published on HSE portal no later than in within 7 (seven) working days after they joined the dissertation committee.

6.5. Specialists who may have a conflict of interest in regards to a dissertation defense, such as currently being a candidate's academic supervisor (-s) or official academic advisor, as well as his/her co-authors, may not sit on the dissertation committee.

6.6. At the discretion of the given dissertation council, one and the same dissertation committee may review more than one dissertation. In case a dissertation is characterized by multidisciplinary research, committee members may represent various academic fields.

6.7. The key functions of the dissertation committee include:

- reviewing a dissertation and its summary;
- formulating comments to a dissertation and its summary;
- holding an interview with the CS/DS candidate;
- holding a preliminary discussion about the dissertation;
- preparing references for the dissertation;
- arranging the dissertation defense;

³ Institutions located in the CIS countries are not eligible with the exception of universities positioned in Top-300 in at least one of the global academic rankings (QS, THE or ARWU)

- deciding as to whether or not the relevant academic degree may be awarded.

6.8. All decisions shall be made by the committee members via a simple majority vote. Open voting may be held with respect to all cases, except for the issue of academic degree conferment during the candidate's defense. E-voting via an electronic means of communication is also permitted. The dissertation committee's members (especially external experts) may take part in committee meetings in long distance mode (via an electronic means of communication).

6.9. The committee's chairperson and clerk shall be responsible for coordinating the committee's activities.

7. Procedures for Review and Preliminary Discussion of the Dissertation

7.1. A dissertation must be reviewed by the committee within 3 (three) months from the date of the (re-)submission of the dissertation to the committee. This period does not include the summer vacation period (July – August).

7.2. All committee members must familiarize themselves with the dissertation. Any member may suggest that a (personal or online) interview with the candidate should be held so as to confirm his/her professional qualification and for other purposes.

7.3. At the discretion of the committee's chairperson, a preliminary discussion of the given dissertation may be held. The date of the preliminary discussion shall be postponed if, owing to reasons beyond their control, more than 1 (one) member of the dissertation committee is unable to attend the scheduled meeting. Committee members may take part in meetings via electronic means of communication. At the discretion of the committee's chairperson, the candidate, his/her academic supervisor (-s) (if applicable) and other specialists may also be invited to attend the preliminary discussion.

7.4. The preliminary discussion may be held in Russian or English (no official translation will be provided).

7.5. Based on the results of a review and/or preliminary discussion, the committee members shall formulate comments with respect to the dissertation and its summary. If the comments suggest that the dissertation contains material flaws, the committee may decide to reject it or return it to the candidate for subsequent revision. The committee may hold another discussion of the revised dissertation, but this may only take place once. If the committee establishes that a dissertation is ready for defense, it shall then set the date and language of the defense. If the dissertation is submitted as a separate academic paper, it is advisable to set the

language of the dissertation as the language of the defense. The full text of the dissertation and its summary shall be published on HSE's portal. No modifications to the dissertation and its summary shall be permitted, once they have been published on the portal.

7.6. Once a positive decision on the dissertation defense has been made, each committee member must provide a personal written reference in Russian or English no later than 7 working days prior to the date of defense. This reference must include an assessment of the scientific quality of the research performed, the relevance of the selected topic, and it should also specify whether or not the concepts, conclusions and recommendations proposed in the dissertation are well-reasoned, verified and new. It must also contain remarks as to whether or not the dissertation meets the criteria established herein and a general opinion as to whether or not the candidate is eligible to be awarded a respective academic degree. The full name of the committee member, his/her academic title, email, the name of institution where he/she is employed and his/her position must also be stated in the reference.

The dissertation committee members are entitled to make amendments in their reference within 7 (seven) working days following the defense.

7.7. A reference must clearly state whether the committee member has a positive or negative opinion about the dissertation. The candidate is allowed to progress to the dissertation defense stage even if he/she has received negative feedback from some of the committee members.

7.8. No official opponents shall be assigned for the dissertation defense. An involved external organization does not need to provide a reference either. All references to the dissertation and its summary, except for those submitted by committee members, are optional. Additional references may be forwarded to the dissertation council and they shall be attached to the attestation file of the respective candidate by the academic secretary of the dissertation council (unless such references are in violation of academic ethical standards).

7.9. The dissertation, its summary in Russian and English shall be published at least 2 (two) months prior to the defense. Following the publication date, no modifications to the text of the dissertation and summary are permitted.

8. Dissertation Defense Procedure

8.1. Within 3 (three) months from the date when the positive decision regarding the defense of the dissertation was made, the relevant dissertation

committee (with organizational support of the dissertation council) shall hold a dissertation defense. This timeframe does not include the summer vacation period (July-August).

8.2. Dissertation defense shall be held at an open (public) meeting of the dissertation committee. Committee members may take part in this meeting either personally or through electronic means of communication (primarily this applies to external committee members). A dissertation defense meeting shall be deemed duly constituted if at least 4 (four) members of the dissertation committee are in attendance. If a committee member is not present at the meeting, the full text of his/her reference should still be orally presented. It is advisable that the Chairperson of the committee should attend the meeting.

8.3. It is advisable that committee members who provided negative feedback with respect to the dissertation should attend the defense. A dissertation defense may be postponed for up to 3 (three) months if such committee members are not able to attend on the initial date and submit a relevant request. This timeframe does not include the summer vacation period (July-August).

8.4. A CS/DS candidate must attend the dissertation defense in person.

8.5. The defense may be held in Russian or English. No official interpretation shall be provided.

8.6. The entire defense process shall be recorded (audio and video).

8.7. The defense shall be organized as an academic discussion, thereby underpinning high professional and ethical standards.

8.8. The committee's chairperson shall preside at the dissertation defense meeting. In case the chairperson is unable to attend the meeting, another committee member duly authorized by the chairperson may preside at the dissertation defense.

8.9. It is advisable that the defense procedure be organized as follows. The presiding committee member shall announce that a dissertation is to be defended, then he/she shall give the full name of the candidate and the dissertation topic, present all members of the dissertation committee, and deliver a report as to whether or not the documents submitted by the candidate are in line with the established requirements.

The candidate shall present the essential points and key concepts of his/her dissertation. Oral or written questions are then posed to the candidate. The presiding committee member shall establish the order, whereby the candidate should address these questions.

The floor is then given to the candidate's academic supervisor (-s) or academic advisor (-s), who, in turn, are entitled to waive their right to present their remarks on the dissertation. The dissertation committee members shall then give feedback on the dissertation. References submitted by the members who were unable to attend the meeting shall be read aloud. Any negative opinions shall be presented in full just like the positive comments.

Then, the candidate shall have an opportunity to provide his/her feedback regarding the remarks and comments presented by the committee members and the references from absent committee members.

All persons present at the dissertation defense may take part in the subsequent discussion. Upon completion of the discussion, the candidate shall present his/her final word.

8.10. Technical breaks are permitted during dissertation committee meetings. Breaks shall be announced by the presiding committee member.

8.11. Upon completion of the dissertation defense, the dissertation committee shall hold a secret ballot to decide whether or not an academic degree may be awarded to the candidate. The secret ballot shall be held via the Mentimeter.com online system or a similar tool. In turn, the committee's clerk shall distribute electronic addresses and voting codes among the committee members present at the meeting. Each committee member must personally take part in the ballot. Once voting is completed, the clerk shall display the results on the screen. If a committee member has failed to take part in the ballot, his/her vote will be considered void.

8.12. A positive decision regarding the conferment of a CS/DS degree to the candidate shall be made if more than half of all committee members who took part in the ballot opted to support this decision.

8.13. If 4 (four) committee members take part in a dissertation defense and there is a tie after the secret ballot, a final decision shall be made in view of the reference submitted by the committee member who was unable to attend.

8.14. The committee's final decision shall be announced to the candidate by the presiding committee member. This thereby concludes the dissertation defense meeting.

8.15. Within 3 (three) working days following the defense, a clerk of the dissertation council shall prepare the meeting minutes containing the final decision and ballot results, which are then signed by the dissertation committee's

chairperson. The committee's decision shall be published on HSE's portal within 3 (three) working days. A general statement on the dissertation shall not be provided.

References with respect to the dissertation shall also be published on HSE portal (if they do not violate academic ethical standards) within 10 (ten) working days following the date of the dissertation defense.

8.16. A candidate may withdraw his/her dissertation at any point (during the review stage, preliminary discussion, or at any stage of the defense before the commencement of the secret ballot). To withdraw a dissertation, a candidate must submit a written request addressed to the chairperson of a respective dissertation council. In such cases, a revised dissertation may be re-submitted once at a later date, but not earlier than 1 (one) year following the date when the decision to withdraw the dissertation was enacted by the dissertation council. This rule does not apply to cases when a dissertation was withdrawn due to the use of borrowed materials and results without proper references (plagiarism), forged data and/or research results, and/or provision of inaccurate or false information with regards to a candidate's publications containing key dissertation-related research outcomes. In such cases, a dissertation shall be withdrawn by a decision of a dissertation council, and a candidate shall not be entitled to resubmit his/her dissertation. Such dissertations shall be published and made available on the HSE portal for 10 (ten) years following the date when the respective decision was made.

9. Compiling a Candidate's Attestation File

9.1 The council's clerk shall compile a candidate's attestation file, which shall include the following items:

a) the dissertation defense minutes, which must contain the ballot results and the final decision as to whether or not a CS/DS degree shall be awarded;

b) references provided by all dissertation committee members, as well as other references, including those of the academic supervisor (-s) or academic advisor (-s) (if applicable),

c) a summary of the dissertation in Russian and English (two paper copies and a digital copy);

d) full text of the dissertation or copies of research articles published by the candidate (a paper copy and a digital copy) ;

e) an announcement about the dissertation defense and the date when it was published on HSE's portal;

f) a statement about the date and webpage where the full text of the dissertation was published on HSE's portal, signed by the academic secretary of the academic council;

g) a duly certified copy of a degree certificate/diploma (Specialist/Master's degree certificate, a document confirming the completion of a doctoral programme, a degree certificate issued outside of the Russian Federation);

h) a duly certified copy of a Candidate of Sciences/PhD degree certificate issued outside of the Russian Federation (if applicable);

i) a duly certified copy of a document certifying the successful completion of a qualification exam in a specific academic field (not applicable to candidates who have completed a doctoral programme in the same field as their dissertation topic);

j) a positive statement provided by the organization where the dissertation was prepared, or with which a degree-seeking candidate was affiliated;

k) an audio and video file of the dissertation defense (in a digital machine-readable format);

l) details of the candidate's academic supervisors (academic advisors): full name, academic degree, academic title (if applicable), and position at their main place of employment (required);

m) details of the dissertation committee's members who provided references with respect to the dissertation: full name, academic degree, position at the main place of employment (required);

n) documents confirming that a mandatory copy of the dissertation was submitted to the Russian State Library, as well as to the official science and technology information body under the federal executive body responsible for research and STI as determined by the Government of the Russian Federation.

9.2. All materials of a candidate's attestation file shall be published on HSE's portal.

10. Procedures for Appealing Decisions Made by the Dissertation Committee

10.1. Should a dissertation committee establish that an academic degree cannot be awarded to a given candidate, he/she may file an appeal against this decision within 1 (one) month after the date when the decision was made.

10.2. An appeal must include:

- general information about the committee’s decision, with which the candidate disagrees;
- provisions of these Regulations, which may have been violated by committee members during the preliminary discussion and dissertation defense;
- signature of the candidate filing the appeal.

10.3. Appeals containing foul language and disparaging remarks shall not be considered. In such cases, within 30 (thirty) days from the date when such an appeal was received, the candidate will be informed by e-mail that his/her appeal shall not be considered. Reasons as to why the appeal has been rejected shall be explained in the e-mail.

10.4. Once an appeal is received, the relevant dissertation council shall suspend the dissertation review procedure until the date when a final decision on the appeal is made.

10.5. The dissertation council shall review an appeal within 3 (three) months from the date of its receipt (this timeframe does not include the summer vacation period – July-August).

10.6. The dissertation council may request that the relevant dissertation committee provide additional information on the preliminary discussion and defense of the dissertation, which is necessary to review the appeal and make a respective decision.

10.7. At the discretion of the chairperson of the dissertation council, a CS/DS candidate who filed an appeal may be invited to attend a dissertation committee meeting at least 7 (seven) working days in advance. If the candidate is unable to attend the meeting, his/her appeal shall be considered in his/her absence.

10.8. Upon completion of this meeting, the dissertation council shall establish whether the appeal should be allowed or rejected.

10.9. Should a dissertation council decide that the appeal be allowed and the committee’s previous decision denying the candidate an academic degree should be cancelled, the candidate may re-submit his/her dissertation for defense no later than within 6 (six) months following the date of the respective decision. In such cases, some or all members of the dissertation committee may be replaced.

10.10. Within 3 (three) months from the date when an appeal was received, a scanned copy of the final decision with respect to such appeal, signed by the chairperson of the dissertation council, shall be sent to the candidate.

10.11. A candidate is entitled to file only 1 (one) appeal.

11. Procedures for Awarding Academic Degrees and Issuing Degree Certificates

11.1. The final decision on the conferment of a Candidate of Sciences/Doctor of Sciences degree shall be made by the dissertation council in the relevant academic field based on the positive decision of the relevant dissertation committee within 3 (three) months from the date of defense. This timeframe does not include the summer vacation period.

11.2. The dissertation council shall confirm whether or not a dissertation was processed in line with the established procedure by approving the minutes on the dissertation defense.

11.3. If the dissertation council uncovers violations in the dissertation processing procedure, it may decide that an academic degree shall not be awarded to the given candidate. The dissertation will be returned to its author and may be re-submitted at a later date. Some or all members of the dissertation committee may be replaced for subsequent defense.

11.4. Upon the recommendation of the dissertation committee, the dissertation council may award a degree with honours (cum laude).

11.5. If a negative decision with respect to a given dissertation is made, it may be re-submitted once at a later date, but no earlier than 1 (one) year following the date when a respective decision was made. This rule does not apply to cases when a dissertation has been withdrawn due to the use of borrowed materials and presentation of results without proper references (plagiarism), forged data and/or research results, and/or provision of inaccurate or false information with respect to a candidate's publications containing key dissertation-related research results. In such cases, the given candidate shall not be entitled to re-submit the dissertation.

11.6. A degree certificate (diploma) shall bear the signatures of the HSE Rector and the chairperson of the relevant dissertation council.

11.7. Certificate templates for Candidate of Sciences and Doctor of Sciences degrees, specifications and relevant procedures for their preparation and issuance shall be approved by the HSE Academic Council.

11.8. A degree certificate must include the following information: the dissertation topic, the details of all dissertation committee members who approved the conferment of the academic degree (full name and academic degree) and other information, which must be included in line with Directive No. 1078 of the Ministry of Science and Education of the Russian Federation, dated August 19, 2016, "On Information, which Must Appear in Degree Certificates Awarded As

Per P. 3.1 Article 4 of the Federal Law No. 127-FZ, dated August 23, 1996, ‘On Science and State Scientific and Technical Policy’”.

12. Publication of a Candidate’s Attestation File

12.1. Within 3 (three) days after a positive decision regarding the acceptance of a dissertation for further review was made by the relevant dissertation council, a special webpage on HSE’s portal must be created. All materials related to a candidate’s attestation file shall be published on this webpage on a step-by-step basis in line with the timeline set forth herein, including:

- the dissertation council’s decision on acceptance of a dissertation for further review (with 5 (five) working days following such decision);

- the full text of the dissertation and its summary (no later than 2 (two) months prior to the date of defense);

- a full-text version of research articles or links to those articles if the policies of a given journal stipulate restricted access to published materials (no later than 2 (two) months prior to the date of defense);

- details of the dissertation committee members and its chairperson (no later than within 7 (seven) working days from the date when a dissertation committee was established by the dissertation council);

- references provided by committee members (no later than within 10 (ten) working days following the defense);

- references provided by external experts (if they are in compliance with academic ethical standards) (no later than the date of defense);

- other materials from the attestation file (at the discretion of the dissertation council).

12.2. As per Federal Law of the Russian Federation No. 77-FZ “On Mandatory Copy of Documents”, dated December 29, 1994 (as revised on July 3, 2016) (Art. 10, p. 3.1), within 30 (thirty) days after the dissertation defense and conferment of an academic degree, a mandatory digital copy of the dissertation must be delivered to the Russian State Library, as well as to the official science and technology information body under the federal executive body responsible for research and STI as determined by the Government of the Russian Federation, via information and communication networks.

12.3. A candidate’s attestation file materials may be published on the website of the Higher Attestation Commission of the Russian Federation.

13. Procedures for Reviewing Dissertations Submitted by the Ministry of Education and Science of the Russian Federation for Additional Review

13.1. If a dissertation is submitted to HSE by the Ministry of Education and Science, the relevant dissertation council must act in accordance with the procedures established herein for subsequent dissertation review and defense.

13.2. A dissertation submitted for additional review shall be reviewed together with a relevant attestation file within 2 (two) months from the date of its submission.

13.3. The relevant dissertation council shall set up a dissertation council's commission consisting of at least 3 (three) members of the council, for the purpose of reviewing the dissertation and the attestation file of the candidate in question.

13.4. The dissertation council may choose to hold another defense.

13.5. The dissertation council may provide its negative opinion with respect to a given dissertation based on the decision of the dissertation council's commission without forming a dissertation committee and without an additional dissertation defense.

13.6. The dissertation council may provide its positive opinion, provided that an additional dissertation defense was held.

14. Processing Appeals Submitted in Relation to Decisions Made by a Dissertation Council

14.1. If a dissertation council receives an appeal with respect to its decision on the conferment of an academic degree (the full text of the appeal must be attached), the council members shall set up a committee, which shall review the necessary materials and prepare a draft statement on the results of the appeal review (hereafter, the "appeals committee").

14.2. The author(-s) of an appeal, the candidate seeking an academic degree and other persons who are directly connected to the appeal in question must be present at the meeting of the dissertation council. It is advisable that committee members should also take part in the meeting. The dissertation council shall inform the invited persons about the meeting not later than 15 (fifteen) days in advance. A meeting announcement must be published on HSE's portal, while the aforementioned persons are also being informed.

14.3. The dissertation council may decide to hold the meeting in the absence of the author(-s) of an appeal, the candidate seeking an academic degree and other persons involved, if these persons did not show up for the meeting, requested that

the session be held in their absence, or if it was impossible to inform them about the meeting.

14.4. At the meeting, the presiding member shall announce that an appeal will be reviewed and pass the floor to the academic secretary of the dissertation council so that he/she can present the relevant document. The discussion shall open with a speech delivered by a member of the appeals committee. All persons present at the dissertation council meeting may take part in the subsequent discussion. The meeting shall be concluded with the final word of the candidate seeking an academic degree (if he/she is present at the meeting).

14.5. Upon completion of the discussion, the dissertation council shall prepare a statement on the results of the appeal review, which shall be established by a simple majority open vote among the council members present at the meeting.

14.6. Information on the appeal and the results of its review shall be published on HSE's portal.

15. Procedure for Withdrawing and Reinstating Academic Degrees

15.1. A dissertation council is entitled to invalidate the results of a dissertation defense and decide to withdraw an academic degree. Academic degrees may be withdrawn if 1 (one) of the following instances has been uncovered: borrowed material(s) without proper references to its sources (i.e., plagiarism), which calls into question the originality of a dissertation; forged data and research results; inaccurate or false information about a candidate's published academic papers, which feature key dissertation-related research results. The statute of limitations for such cases shall not be established.

15.2. Academic degrees, which have been awarded by a dissertation council in violation of the aforementioned criteria, may be withdrawn upon the decision of the same dissertation council.

15.3. A request to withdraw an academic degree, addressed to the chairperson of the given dissertation council, may be submitted by an individual or a legal entity in written or electronic form (with an electronic signature) within 10 years from the date when a positive decision on the conferment of an academic degree was made by the relevant dissertation council.

15.4. A request to withdraw an academic degree must include:

a) information on the dissertation council, which adopted the decision to award the academic degree in question to the candidate;

b) full name of the individual, who is submitting a request to withdraw an academic degree, his/her signature, or name and address of the legal entity, which is submitting a request to withdraw academic degree, signed by the head of the relevant legal entity, telephone number(-s), e-mail address(-es) for updates on the status and results of a review of a request to withdraw the given academic degree;

c) information on the appealed decision of the dissertation council (i.e., date when respective decision was made, full name of the candidate who was awarded the academic degree based on this decision);

d) arguments that prompted an individual or legal entity, which is submitting a request to withdraw an academic degree, to disagree with the decision reached by the dissertation council (documents in support of the proposed arguments must be attached).

15.5. No later than within 3 (three) months from the day when the request was received, the relevant dissertation council shall inform its authors by e-mail about the outcomes of the review of the request to withdraw an academic degree.

15.6. When a relevant dissertation council receives a request to withdraw an academic degree, it shall establish whether or not the request is substantiated, and may be accepted for further consideration.

15.7. A request to withdraw an academic degree shall not be accepted in the following cases:

a) the dissertation council had already reached a decision regarding another request to withdraw an academic degree, which had been submitted earlier on the same grounds;

b) the request to withdraw academic degree does not contain arguments that prompted an individual or legal entity, submitting the request to withdraw an academic degree, to disagree with the decision made by the dissertation council, or documents in support of such arguments;

c) the request to withdraw an academic degree does not contain the full name of the individual, who is submitting the request, his/her signature, e-mail address(-es), or the name and address of a legal entity, submitting the request, signed by the head of this legal entity, telephone number(-s), e-mail address(-es), and the seal of the legal entity;

d) the text of the request to withdraw an academic degree is illegible;

e) a request to withdraw an academic degree contains foul language and disparaging remarks.

15.8. Upon the receipt of a request to withdraw an academic degree, the relevant dissertation council shall set up a committee, which will include dissertation council members. This committee will consider all necessary information and prepare a draft statement on the results of the request's review (hereinafter, "request processing committee").

15.9. A meeting of the dissertation council shall be held (if possible) in the presence of the individual or legal entity, which has submitted a request to withdraw an academic degree, the person against whom the request was filed, and other individuals, who are directly connected with the issues raised by the request to withdraw the degree. It is advisable that representatives of the dissertation committee also attend the meeting. The dissertation council shall inform all aforementioned persons about the meeting no later than 15 days before its scheduled date. A meeting announcement shall be published on HSE's portal, while the aforementioned persons shall also be notified.

15.10. A dissertation council may decide to hold a meeting in the absence of the individual or legal entity, which has submitted a request to withdraw an academic degree, the person against whom the request was filed, or other individuals who are directly connected to issues raised by the request to withdraw the degree, in case these persons failed to show up, submitted a request to hold a meeting in their absence, or if it was impossible to inform them properly.

15.11. At the dissertation council meeting, the chairperson shall announce that a request to withdraw an academic degree will be considered and then pass the floor to the academic secretary of the dissertation council, who shall present the relevant materials. One of the members of the request processing committee shall open the subsequent discussion. All persons at the meeting may take part in the subsequent discussion. At the end of the discussion, the holder of the academic degree under consideration shall present their final word (if he/she is present at the council meeting).

15.12. Upon completion of the discussion, the dissertation council shall prepare a statement on the results of the review of the request based on the outcomes of an open simple majority vote among the council members present at the meeting.

15.13. The dissertation council shall reach one of the following decisions:

- to withdraw the academic degree;

- to reject the withdrawal of the academic degree.

15.14. A full text of the request to withdraw an academic degree and a statement from the relevant dissertation council shall be published on HSE's portal within 10 (ten) working days following the adoption of the statement. These documents shall be accompanied by details of the academic supervisors (research advisors) of the person holding the academic degree, in regards to which a relevant decision was made by the dissertation council, as well as committee members who submitted positive references in regard to the given academic degree.

15.15. Subsequent similar requests on this subject shall not be considered, unless additional arguments supported by relevant documents are presented.

15.16. An academic degree, which has been withdrawn, may be reinstated if there are sufficient grounds to do so. Academic degrees may be reinstated in line with the same procedure that is in place for the withdrawal of degrees.

16. Dissertation Defense Procedure for Persons with Disabilities

16.1. Persons with disabilities shall be entitled to special arrangements during a dissertation defense in view of their health conditions and special features of their physical and psychological development. Special arrangements refer to the use of special technical devices, the assignment of an assistant who will provide the candidate with the necessary technical support, ensuring access to HSE building, as well as other arrangements.

16.2. The following requirements shall be observed during a dissertation defense depending on the specific needs of a degree-seeking candidate with disabilities:

a) blind and visually impaired persons:

– materials included in the attestation file and dissertation-related references shall be orally presented by an assistant (if necessary);

b) deaf persons and persons with hearing impairments:

– sound amplifying equipment and special sign-language equipment shall be provided;

c) persons with visual and hearing impairments:

- a tactile sign language interpreter shall be provided;

d) persons with speech disorders, deaf persons and persons with hearing impairments:

- the candidate's presentation will be submitted in writing, questions and answers shall be made in writing.

16.3. The above-mentioned arrangements shall be provided to the candidate on the basis of his/her written request for special arrangements.

17. Procedure for Transition to Independent Awarding of Academic Degrees at HSE

17.1. The procedure for awarding academic degrees at HSE, as specified in these Regulations, came into effect as of February 1, 2018. At this point, all existing dissertation councils shall be eliminated. A transitional period is stipulated so as to ensure smooth progression to the new procedure. During this period, new dissertation councils will be established and they shall prepare academic field profiles, requirements to dissertations, publications and candidates' professional qualifications, as well as build a pool of internal and external experts who can be invited to take part in the work of dissertation committees. Therefore, new dissertation councils shall not accept dissertations for defense until February 1, 2018. Until this point, existing dissertation councils will continue their activities in accordance with the requirements stipulated by the HAC.

17.2. All existing dissertation councils, working in accordance with HAC requirements, shall be dissolved as of January 31, 2018. New dissertation councils will start accepting dissertations for defense from February 1, 2018 onwards.

17.3. For candidates who have successfully completed one of the HSE doctoral programmes, a transitional period with respect to the requirements to the publication of dissertation research results shall be established. These requirements shall be the same as those established by the HAC until December 31, 2018.