

Annex to the HSE University Directive
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APPROVED by
by HSE University Academic Council,
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HSE University Academic Council
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University Directive No. 6.18.1-01/2906-
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HSE University Academic Council
Minutes No. 10, HSE University Directive
No. 6.18.1-01/1610-03, dated October 16,
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HSE University Academic Council No.
12, HSE University Directive No. 6.18.1-
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HSE University Academic Council No. 6,
April 26, 2019, HSE University Directive
No. 6.18.1-01/2905-08, dated May 29,
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HSE University Academic Council No.
13, dated September 27, 2019, HSE
University Directive No. 6.18.1-01/1810-
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16, dated December 20, 2019, HSE
University Directive No. 6.18.1-01/2101-
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Minutes No. 3, dated March 25, 2022,
HSE University Directive No. 6.18.1-
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HSE University Academic Council Minutes No. 5, dated May 27, 2022, HSE University Directive No. 6.18.1-01/270622-2, dated June 27, 2022;

HSE University Academic Council Minutes No. 6, dated June 17, 2022, HSE University Directive No. 6.18.1-01/150722-5, dated July 15, 2022;

HSE University Academic Council Minutes No. 9, dated September 28, 2022, HSE University Directive No. 6.18.1-01/141022-6, dated October 14, 2022;

HSE University Academic Council Minutes No. 3, dated March 1, 2023, HSE University Directive No. 6.18.1-01/280323-15, dated March 28, 2023;

HSE University Academic Council Minutes No. 5, dated March 29, 2023, HSE University Directive No. 6.18.1-01/110523-8, dated May 11, 2023;

HSE University Academic Council Minutes No. 7, dated April 26, 2023, HSE University Directive No. 6.18.1-01/080623-8, dated June 8, 2023

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

1. General Provisions

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

– the eligibility criteria for candidates seeking academic degrees, and requirements for dissertations;

- the procedures for nomination for dissertation, a dissertation’s preliminary discussion and defence;
- the procedures for compiling and publishing a candidate’s certification file on HSE University’s corporate website (portal);
- the procedures for issuing certificates (diplomas) confirming the awarding of academic degrees;
- the procedures for appeals, withdrawal and reinstatement of academic degrees at HSE University.

1.2. These Regulations have been drawn up in line with Federal Law No. 148-FZ, dated May 23, 2016 “On Amending Article 4 of the Federal Law “On Science and State Scientific and Technological 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 Academic Institutions Entitled to Independently Award Academic Degrees, as well as the Concept for Awarding its Own Academic Degrees at HSE University, approved by the HSE University’s 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 Resolution No. 842 of the Government of the Russian Federation, dated September 24, 2013, and the Regulations on the Committees Responsible for the Defense of Dissertations Prepared by Persons Seeking Candidate of Sciences and Doctor of Sciences Academic Degrees, approved by Directive No. 1093 of the Ministry of Science and Higher Education of the Russian Federation, dated November 10, 2017.

1.4. Academic degrees awarded by HSE University are part of the state academic certification system. The University is entitled to award the following academic degrees:

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

2. Requirements for Candidates Seeking 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 University’s Candidate of Sciences degree.

2.2. At the discretion of the HSE University’s Academic Council and upon the recommendation of the dissertation committee, candidates may be required to present a degree certificate in a specific field of study and/or specialization.

2.3. Only candidates who have successfully passed a qualifying exam at HSE University in a special discipline 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 candidate’s dissertation topic and has been determined by the dissertation committee, rather than on the given academic field in broader terms. If the candidate has passed his/her qualifying exam on a special discipline at another institution, its results may be transferred to HSE University at the discretion of the HSE University’s dissertation committee. Candidates only have to pass 1 (one) qualification exam.

2.4. A candidate’s enrolment 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. Candidates enrolled in joint doctoral programmes delivered in conjunction with educational and research institutions may have a second academic supervisor 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 a duly authorized deputy head of the organization. Graduates of an HSE University’s doctoral programme, as well as affiliated candidates seeking a Candidate of Sciences/Doctor of Sciences degree and post-doctoral students, shall present a dissertation statement signed by the head of the HSE University’s subdivision, to which they are assigned. 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, novelty and practical significance of the research made by the candidate, the value of academic papers prepared by the candidate, academic specialization of the dissertation, and whether or not the dissertation materials were fully reflected in his/her published academic papers.

Candidates for Doctor of Sciences degrees may receive a dissertation statement at a respective HSE University subdivision, as determined by the relevant dissertation committee.

2.7. The procedure for the dissertation discussion and issue of the HSE University's statement on the dissertation work shall be established by an HSE University's bylaw.

2.8. Candidates holding a Candidate of Sciences/PhD, Doctor of Sciences (with no previous Candidate of Sciences degree) or an academic degree awarded in a foreign state (provided that this degree is officially recognized at HSE University in line with a respective HSE University's bylaw) and who have prepared a Doctor of Sciences dissertation based on their research results are eligible candidates for a Doctor of Sciences degree.

2.9. A candidate seeking a Doctor of Sciences degree may have 1 (one) or several academic advisors.

2.10. The HSE University's Rector, Vice Rectors, the University's President and Vice Presidents may not submit their dissertations for defence to the dissertation committees based at HSE University.

3. Requirements for Dissertations and Publications

Submitted by Degree Candidates

3.1. A Candidate of Sciences dissertation must contain original solutions to a given research problem, which shall be deemed significant for further development of the respective 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 to a major (large-scale) scientific or practical problem based on original research approaches proposed by the author.

3.3. A dissertation work must be prepared independently by the author. Further requirements for the dissertation are its coherence, novelty of research results and concepts presented for public defence, 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 justified. The author must also include their evaluation of other known solutions in the given academic and technological field.

3.5. A dissertation work must contain clear references to 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 and/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 academic journals (hereinafter, “peer-reviewed journals”) indexed in Russian and international citation databases.

3.7. Specific requirements for dissertations and publication of dissertation-related research results (i.e., requirements for 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, paper may or may not have co-authors, languages in which articles can be published) shall be developed by a respective dissertation committee and approved by the HSE University’s Academic Council.

3.8. Minimal requirements for 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 Commission for Academic Degrees and Titles under the Ministry of Science and Higher Education of the Russian Federation (hereinafter, the “VAK RF”).

3.9. Dissertation committees may introduce additional requirements in line with the specifics of a particular academic field, e.g., approve lists of publications/journals and publishing houses, which are/are not recognized by a given committee. These lists shall be published on HSE University’s corporate website (portal).

3.10. When determining a list of peer-reviewed publications, a list of peer-reviewed academic publications in which research results from CS candidates’ dissertations must be published shall not be used by candidates for DS degrees. Instead, an HSE University’s 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. HSE University’s lists of recommended high-quality journals (e.g., A, B, C and D lists) are recommended for use. Publications in journals included on the blacklist of journals shall not be considered (https://scientometrics.hse.ru/list_z).

4. Dissertation Submission Procedure

4.1. A candidate may submit his/her dissertation to any HSE University's dissertation committee for defence. However, the scientific focus of the dissertation under review must be in line with the academic field of the committee awarding academic degrees. The committee's academic field is established in the profile of the respective academic field as approved by the HSE University's Academic Council. If the dissertation covers the results of a multi-disciplinary research project, the candidate may choose the committee to submit the dissertation for review at his/her own discretion. Two dissertation committees may merge into a single 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, written in line with an Annex hereto. A dissertation must be formatted in accordance with the requirements established in these Regulations and annexes hereto.

4.3. A candidate's dissertation may be presented in one of the following ways at his/her discretion:

1) the dissertation comprises research articles (review papers are not permitted), which contain original research results in regard to a single 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 defence.

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

Dissertation committees on philosophy, history, philology and linguistics may receive dissertation works written in German or French, if said work was composed within the framework of a double-degree programme in conjunction with a German or France university.

4.4. The total number of publications may not be presented for defense. Only papers submitted by a candidate can be defended.

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.

4.5. Candidates must submit an abstract of their dissertation in Russian and English. The abstract must contain the key 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 the research results. It must also include information on the host organization, an academic supervisor(s) and academic advisor(s) (if any), as well as contain a full list of publications covering the key outcomes of the dissertation-related research project.

If a dissertation text is submitted in German or French, the respective abstract shall be submitted in Russian and German or Russian and French, respectively.

4.6. Further requirements for the dissertation's volume and structure as well as the abstract may be developed with regard to the specifics of the relevant academic field and approved by respective dissertation committees. Such requirements shall be approved by the HSE University's First Vice Rector in charge of the coordination of dissertation committees' activities (hereinafter, the "Coordinating Vice Rector").

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

4.8. A dissertation committee 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 dissertation committee is entitled to nominate dissertations for defence;
- the dissertation committee does not have qualified specialists in the given dissertation topic to set up a dissertation sub-committee (for affiliated candidates);
- the requirements for the publication of key dissertation-related research results as set forth herein are not met;
- the candidate used borrowed materials in his/her dissertation without providing proper references 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 published works, which contain key dissertation-related research results.

4.9. Decisions made by the dissertation committees as to whether dissertations have been accepted for review or rejected shall be published on HSE University's corporate website (portal) within 5 (five) working days from the day when the respective meeting of the dissertation committee took place.

4.10. For affiliated candidates, the relevant dissertation committee may decide that a preliminary discussion of the dissertation at HSE University is required and thus assign a field-specific HSE University's subdivision where this discussion shall be held.

5. Acceptance of Dissertations for Review and Defense

5.1. A dissertation committee 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 the Annex hereto;

b) a duly certified copy of the candidate's degree certificate (Specialist or Master's degree diploma or a document (diploma/certificate) 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 confirming his/her qualifications). The latter must bear a legalization stamp/apostille² and must be recognized in the Russian Federation at the equivalent level of education (hereinafter, a "foreign degree certificate");

d) for DS candidates – a duly certified copy of a Candidate of Sciences or PhD degree certificate received overseas (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 qualifying exam in the special discipline (not applicable to candidates who have completed a doctoral programme in the field related to their dissertation topic);

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

f) dissertation works in Russian or English, in certain instances, indicated in p. 4.3 of these Regulations, in German or French in e-formats, written as per the criteria specified in p. 5.2 and 5.2 of these Regulations;

g) dissertation abstracts in Russian and English or, in those instances specified in p. 4.5 of the Regulations, in Russian and German, or Russian and French in e-formats, written as per the criteria in place at HSE University;

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

i) for CS candidates – academic supervisor’s positive feedback; for DS candidates – academic advisor’s feedback (if the candidate had an academic advisor).

5.2. Degree candidates bear the right to forward requests and documents, as specified in p. 5.1 of these Regulations, via regular postal operators (hereinafter “via post” with notification and signature upon receipt to the HSE University Office of Doctoral Studies.

Degree candidates bear the right to submit, via an e-format, request and documents, specified in this point of the Regulations, via e-services.

If documents are submitted in an e-format, candidates must present the original versions of said documents no later than the date of their dissertation defense.

If original documents are not submitted, the meeting for the dissertation defense shall be cancelled.

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

a) title page as per the format prescribed at HSE University;

b) table of contents;

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

5.4. 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; accuracy and dissemination of results.

The main body 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 options for further development in regard to the given topic.

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

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

5.7. At a meeting of the dissertation committee, the academic secretary shall present a preliminary statement with the following information: whether or not the submitted documentation is complete and 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/abstract check for borrowed materials.

5.8. At a meeting of the dissertation committee to accept the dissertation for review, it may set up a dissertation commission in order to hold a preliminary review of the dissertation and other submitted materials (hereinafter, a "dissertation commission" or "commission").

5.9. A dissertation commission should include at least 3 (three) members elected via an open vote from among the dissertation committee's members. HSE University's staff who receive a simple majority vote of the dissertation committee's members in attendance will join the commission. One of the members of the dissertation commission shall be appointed as its chairperson. Should the dissertation for review be of multi-disciplinary nature, members of another dissertation committee in the field related to the dissertation may be invited to join the commission.

5.10. A dissertation commission shall prepare a statement with information as to whether or not the dissertation topic and its contents are aligned with the academic field, for which a given dissertation committee is entitled to accept dissertations for

their subsequent defence. The commission's statement must provide a rationale explaining why the dissertation may/may not be accepted for further review.

5.11. The commission's statement shall be utilized by the dissertation committee to decide whether a given dissertation work shall be accepted for further review or thereby rejected.

5.12. A dissertation committee may also decide to reject a dissertation without setting up a dissertation commission, based on a negative statement presented by the academic secretary of the dissertation committee with regard to the following: whether or not the submitted documentation is complete and 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/abstract check for borrowed materials.

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

6. Dissertation Sub-Committee: Establishment and Activities

6.1. For dissertations accepted by a dissertation committee for further review, a sub-committee to review such specific dissertations (hereinafter, the "sub-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 sub-committee. The expert's country of residence and place of work is irrelevant in such cases. Therefore, the dissertation committee shall take all the necessary steps to ensure that such specialists sit on the sub-committee, and, if necessary, experts from outside of HSE University can be offered to join the sub-committee on a paid basis.

6.2. A sub-committee should include 5 (five) specialists with publications in the given topic or related topics. Members of a dissertation committee, the candidate's academic supervisor(s) and field-specific HSE subdivisions may put forward nominees to join a sub-committee. Expert competencies in the field related to the dissertation under review must be confirmed by recognition of the relevant academic community and publications in field-related topics in journals indexed in Web of Science, Scopus and other Russian and international citation databases, established for the given academic field. It is also advisable to use HSE University's

A, B, C and D lists of high-quality journals. The specific criteria for selecting nominees to a sub-committee shall be set out by the dissertation committee with due regard for the specifics of the given field of study.

6.3. For dissertations prepared by HSE University's doctoral students, a sub-committee should be set up at earlier stages, upon the dissertation topic's approval.

6.4. A sub-committee may be comprised of the members of the dissertation committee, HSE employees (no more than 3 (three) members of the sub-committee) and external experts who hold a Candidate of Sciences, a Doctor of Sciences or a PhD degree. External experts may be employed at an overseas organization. To join a sub-committee, nominees must provide their written consent (may be submitted by e-mail). Information about the sub-committee's members (i.e. academic degrees, academic titles, place of work) shall be published on HSE University's corporate website (portal) no later than within 7 (seven) working days from the date of the nominees' entry into the sub-committee.

6.5. Specialists who may have a conflict of interest, 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 sub-committee.

6.6. At the discretion of the given dissertation committee, one and the same sub-committee may review more than one dissertation. If a dissertation features multi-disciplinary research, sub-committee members may represent various research fields.

6.7. The key functions of the sub-committee include the following:

- reviewing a dissertation and its abstract;
- formulating comments to a dissertation and its abstract;
- holding an interview with the CS/DS candidate (as appropriate);
- holding a preliminary discussion about the dissertation;
- preparing feedback on the dissertation;
- holding the dissertation defence;
- deciding as to whether or not the relevant academic degree may be awarded.

6.8. All decisions shall be made by the sub-committee members by a simple majority of votes. Open voting may be held with respect to all cases, except for the academic degree conferment during the candidate's defence. E-voting via electronic means of communication is also permitted. The sub-committee's members (especially external experts) may take part in its meetings via electronic means of communication. The sub-committee's decisions shall be drawn up in the minutes.

6.9. The dissertation committee's chairperson and secretary shall be responsible for coordinating the sub-committee's activities.

7. Procedures for Review and Preliminary Discussion of the Dissertation

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

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

7.3. At the discretion of the sub-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 sub-committee is unable to attend the scheduled meeting. Sub-committee members may take part in meetings via electronic means of communication. At the discretion of the sub-committee's chairperson, the candidate's academic supervisor(s) (applicable if a dissertation is defended by a CS candidate) and other specialists may also be invited to attend the preliminary discussion of the candidates' dissertation.

7.4. The preliminary discussion may be held in Russian or English with the provision of an official translation.

As the instances specified in p. 4.3 of these Regulations, a preliminary discussion of thesis work may be held in German or French without an official translation.

7.5. Based on the results of a review and/or preliminary discussion, the sub-committee members shall formulate their comments with respect to the dissertation and its abstract. If there are significant remarks regarding doubts on the generated results, the sub-committee may forward a dissertation for further revision or decide on recommending that the dissertation committee refuse to admit the dissertation for defense. At a later date, the sub-committee may hold another discussion of the revised dissertation, but this may only take place once. If the sub-committee establishes that a dissertation is ready for defence, it shall then set the date and language of the defence. If the dissertation is submitted as a separate coherent

academic paper, it is advisable to set the language of the defense as the language of the dissertation.

7.6. Once a positive decision on the dissertation defence has been made, each sub-committee member must provide personal written feedback in Russian or English no later than 7 (seven) working days to the defense date. Dissertation committees on philosophy, history, philology and linguistics may receive feedback in German or French if a dissertation has been composed under a double-degree programme conducted jointly with a German or French university. The feedback 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 sub-committee's member (the patronymic name is indicated, if any), his/her email, the name of the institution where he/she is employed and his/her position must also be stated in the feedback.

The sub-committee's members may introduce changes to feedback within 7 (seven) working days after the dissertation's defense.

7.7. Feedback must clearly state whether the sub-committee's member has a positive or negative opinion about the dissertation. The candidate is allowed to progress to the dissertation defence stage even if he/she has received negative feedback from some of the sub-committee members.

7.8. No official opponents shall be assigned for the dissertation defence. An involved host organization does not need to provide feedback either. All feedback on the dissertation and its abstract, except for those submitted by sub-committee members, are optional. Additional feedback may be forwarded to the dissertation committee and they shall be attached to the candidate's certification file (unless such feedback are in violation of academic ethical standards).

7.9. The dissertation, its abstract in 2 (two) languages (Russian and English, or, in instances specified in p. 4.3 hereof, German or French), shall be published on HSE University's corporate website (portal) no later than 2 months to the defense date. Following the publication date, no modifications to the text of the dissertation and its abstract are permitted.

8. Procedure for Dissertation Defense

8.1. Within 3 (three) months from the date when the positive decision regarding the defence of the dissertation was made, the relevant dissertation sub-committee (backed by the dissertation committee in terms of arrangements put in place for the relevant meeting to take place) shall hold a dissertation defence. This timeframe does not include the summer vacation period (July-August).

8.2. An approved date for dissertation defense may be moved as per the decision of the sub-committee on the basis of a request made by a degree candidate to do so, owing to his/her illness, for a period of no more than 3 (three) months.

8.3. Dissertation defense meetings can be held with the application of remote technologies (hereinafter “remote format”), in a face-to-face or mixed format.

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

In instances of technical breakdowns, whereby the participation of a sub-committee member is impossible via electronic means, a technical break shall be declared until the involvement of the sub-committee member is restarted with the application of e-communication technologies.

8.5. If a dissertation defense is held remotely or in a mixed format, participants (e.g., the degree candidate, sub-committee members, academic supervisor or academic consultant (if applicable), external participants (if applicable)), should use necessary equipment permitting their identification: a personal computer or device with similar capabilities, online access, a web camera, with embedded or portable speakers and microphone, software, as set by HSE University as necessary for meetings for dissertation defenses.

Participants who request access to dissertation defense meetings, should confirm they have the aforementioned equipment.

Persons who do not have technical means in line with this point shall not take part in meetings.

8.6. It is advisable that sub-committee members who provided negative feedback with respect to the dissertation should attend the defence. A dissertation defence may be postponed for up to 3 (three) months if such sub-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).

8.7. Degree candidates, including those using e-communication means, must attend dissertation defenses.

8.8. The defense process, as per the decision of the sub-committee, may be held in one or two (two) languages (Russian and/or English).

Defense meetings of dissertation committees for philosophy, history, philology and linguistics may also be held in German or French, if a dissertation has been drawn up within the framework of a double degree programme with German or French universities. An official translation is not provided.

8.9. The entire defence process shall be audio-recorded.

8.10. The defence shall be held as an academic discussion, organized in line with professional and ethical standards.

8.11. The sub-committee's chairperson shall preside over the dissertation defence meeting. In case the chairperson is unable to attend the meeting, another sub-committee member may preside at the dissertation defence, as per the decision of the dissertation committee's chairperson.

8.12. In certain instances (upon a personal request, owing to the illness or death of a sub-committee member), the dissertation committee may decide on introducing amendments to the sub-committee membership. Decisions on amending the makeup of the Committee should be made no later than 7 (seven) working days prior to the dissertation defense date.

8.13. It is advisable that the defence discussion is organized as follows:

The presiding sub-committee member shall announce that the 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 sub-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 sub-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 sub-committee members shall then give feedback on the dissertation. Feedback submitted by the member who was unable to attend

the meeting shall be read aloud. Any negative feedback shall be presented in full, just like the positive ones.

Then, the candidate shall have an opportunity to provide his/her feedback regarding the remarks and comments presented by the sub-committee members in their presentations and feedback.

All persons present at the dissertation defence may take part in the subsequent discussion. Meeting participants, who are attending remotely, may take part in the discussion using webcams and microphones. Upon completion of the discussion, the candidate shall present his/her closing remarks.

8.14. Technical breaks are permitted during dissertation sub-committee meetings. Breaks shall be announced by the sub-committee chairperson.

8.15. Upon the decision of the sub-committee chairperson, participants in violation of the defense process or hampering the defense process, may be requested to leave the premises.

8.16. Upon completion of the dissertation defence, the dissertation sub-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 with the application of online services. In turn, the sub-committee's secretary shall distribute electronic addresses and voting codes among the sub-committee members present at the meeting. Each sub-committee member must personally take part in the ballot. Once voting is completed, the secretary shall display the results on the screen. If a sub-committee member has failed to take part in the ballot, his/her vote will be considered void.

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

8.18. If 4 (four) sub-committee members take part in a dissertation defence and there is a tie after the secret ballot, a final decision shall be made with due consideration of the informed opinion from the feedback submitted by the sub-committee member who was unable to attend the defence.

8.19. The sub-committee's final decision shall be announced to the candidate by the presiding sub-committee member. This thereby concludes the dissertation defence meeting.

8.20. Within 3 (three) working days following the defence, the dissertation committee's secretary shall prepare the meeting minutes containing the final decision and ballot results, which are then signed by the dissertation sub-

committee's chairperson. Within 3 (three) working days thereafter, the sub-committee's decision shall be published on HSE University's corporate website (portal). A general statement on the dissertation shall not be provided.

The feedback given by the sub-committee's members shall be also posted on HSE University's corporate website (portal) within 10 working days from the defence date. Published feedback shall not be in violation of the academic ethical standards.

8.21. A candidate may withdraw his/her dissertation at any stage of the review process, preliminary discussion, or at any stage of the defence process before the commencement of the secret ballot as to the issue of conferment of an academic degree. To withdraw a dissertation, a candidate must submit a written request addressed to the chairperson of the respective dissertation committee. 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 committee. 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 or research results, and/or provision of inaccurate or false information with regard to candidate's publications containing key dissertation-related research outcomes. In such cases, a dissertation shall be withdrawn following the respective decision of the dissertation committee, and a candidate shall not be entitled to re-submit his/her dissertation. Such dissertations shall be published and made available on HSE University's corporate website (portal) for 10 years following the date when the respective decision was made.

9. Compiling a Candidate's Certification File

9.1 The dissertation committee's secretary shall compile a candidate's certification file, which shall include the following items:

- a) the dissertation sub-committee's meeting minutes;
- b) the dissertation committee's meeting minutes or extracts therefrom which must contain the ballot results and the final decision as to whether or not a CS/DS degree shall be awarded;
- c) feedback provided by all dissertation sub-committee members, as well as other feedback, including those of the academic supervisor(s) or academic advisor(s) (if applicable);
- d) abstract of the dissertation in Russian and English (in certain instances, as indicated in p. 4.3 hereof, in German or French) (in hard copy and electronic media);

e) full text of the dissertation or copies of the candidate's academic articles (on electronic media);

f) announcement about the dissertation defence with the date of its publishing on HSE University's corporate website (portal) and on the website of the VAK RF;

g) information about the date when the full text of the dissertation was published on HSE University's corporate website (portal) and the link to it;

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

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

k) a document confirming the passing of the qualification exam in a special discipline (not applicable to candidates who have completed a doctoral programme in the same field as their dissertation topic);

l) a positive statement provided by the organization which hosted the dissertation or where the candidate was assigned;

m) an audio file of the dissertation defence (in a digital machine-readable format);

n) details of the candidate's academic supervisor(s) (academic advisor(s));

o) details of the dissertation sub-committee's members who provided feedback with respect to the dissertation;

p) documents confirming that the dissertation's copy was submitted to the Russian State Library and body for scientific and technical information of the federal executive body in the field of scientific, technical and innovative activities, established by the Government of the Russian Federation;

q) other items.

9.2. Requirements for compiling and storing the candidate's certification file are set forth by HSE University's bylaws.

10. Procedures for Awarding Academic Degrees and Issuing Degree Certificates

10.1. The final decision on the conferment of a Candidate of Sciences/Doctor of Sciences degree and on the issue of a Doctor of Sciences or a Candidate of Sciences degree certificate (DS or PhD, respectively) shall be made by the

dissertation committee in the relevant academic field based on the positive decision of the relevant sub-committee within 3 (three) months from the date of defence. This timeframe does not include the summer vacation period.

10.2. The dissertation committee shall confirm whether or not a dissertation was processed in line with the established procedure and approve the minutes.

10.3. If the dissertation committee finds that the dissertation processing procedure violates the procedures established herein, it may decide that an academic degree shall not be awarded to the given candidate. The dissertation will be then reviewed at a later date. Some or all members of the sub-committee may be replaced for subsequent defence.

10.4. Upon the recommendation of the dissertation sub-committee, the dissertation committee may award an academic degree with honours (cum laude).

10.5. If a negative decision with respect to a given dissertation is made, it shall be revised and then re-submitted at a later date but only once and not 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 candidate's publications containing key dissertation-related research results. In such cases, the given candidate shall not be entitled to re-submit the dissertation.

10.6. A diploma confirming the academic degree (hereinafter, the "diploma") shall bear the signatures of the HSE Rector and the chairperson of the relevant dissertation committee.

10.7. Diploma templates for Candidate of Sciences and Doctor of Sciences degrees are approved by the HSE University's Academic Council. Technical specifications for such documents and relevant procedures for their preparation and issue, as well as changes to said requirements and procedures, shall be determined as per an HSE University Rector's directive.

10.8. A diploma must include the following information: the dissertation topic, the details of all dissertation sub-committee members who made the decision to award the academic degree to the candidate (full name and academic degree) and other information, which must be 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’”.

11. Publication of a Candidate’s Certification File

11.1. Within 5 (five) working days after a decision to accept the dissertation for review was made by the relevant dissertation committee, a special webpage related to the information about the candidate’s dissertation must be created on HSE University’s website (portal). All materials related to the candidate’s certification file shall be published on this webpage as per the timeline established herein and in the following order:

- the dissertation committee’s decision to accept the dissertation for review (within 5 (five) working days after such a decision was made);
- the dissertation committee’s decision to accept the dissertation for defense (within 5 (five) working days after such a decision was made);
- the date of the dissertation defense (within 5 (five) working days after such a decision was made);
- information about the dissertation (within 3 (three) working days after the dissertation committee decided to accept the dissertation for review);
- abstract and the dissertation (no later than 2 (two) months before the defense date);
- research articles or links to such articles, if the editorial policy of the respective magazines restricts access to such publications made in them (no later than 2 (two) months before the defense date);
- details about a candidate’s academic supervisor and his/her feedback (no later than 2 (two) months before the defense date);
- details about the sub-committee’s composition and the name of its chairperson (no later than 7 (seven) working days after the dissertation committee establishes a sub-committee);
- feedback of the sub-committee’s members (within 10 (ten) working days after the defense);
- all obtained external feedback (if they are not in violation of academic ethical standards) (prior to the defense day);
- details about the defense outcomes (within 3 (three) working days after a decision was made);

- the dissertation committee's decision on the award of an academic degree (within 3 (three) working days from the day when a decision is made).

No further modifications of this webpage, except for corrections of technical errors, are allowed.

11.2. 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, Section 10 p. 3.1), within 30 (thirty) days after the dissertation defence and conferment of an academic degree, a mandatory digital copy of the dissertation, certified by HSE University's qualified digital signature, must be delivered to the Russian State Library and body for scientific and technical information of the federal executive body in the field of scientific, technical and innovative activities, established by the Government of the Russian Federation.

11.3. A candidate's certification file materials may be published on the website of the VAK RF.

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

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

12.2. A dissertation submitted for additional review along with the candidate's certification file shall be reviewed within 2 (two) months from the date of its submission.

12.3. The relevant dissertation committee shall set up a dissertation commission consisting of at least 3 (three) members of the dissertation committee, for the purpose of reviewing the candidate's dissertation and certification file.

12.4. The dissertation committee may choose to also set up a dissertation sub-committee and hold another defence.

12.5. The dissertation committee may provide its negative opinion with respect to a given dissertation based on the review conducted by the dissertation commission and without setting up a dissertation sub-committee and without holding a repeat dissertation defence.

12.6. The dissertation committee may provide its positive opinion, provided that a repeat dissertation defence was held.

13. Procedures for Submitting and Processing Appeals against Decisions Made by the Dissertation Committee

13.1. Persons who are affected by the decisions of dissertation committees on awarding degrees bear the right to file an appeal against their decisions, addressed to the HSE University Rector, within a period of 1 (one) month.

Persons who may appeal the decisions of dissertation committees include:

13.1.1. degree candidates;

13.1.2. individuals or legal entities who consider that a candidate have borrowed materials or results without formal citations.

13.2. Appeals submitted by degree candidates should include:

13.2.1. general information about the disputed decision of dissertation committee;

13.2.2. points of the Regulations that have been violated by the sub-committee and/or dissertation committee during its review, preliminary discussions, acceptance of dissertation for defense or defence processes;

13.2.3. signature of person submitting the appeal.

13.3. Appeals submitted by individuals or legal entities, should include:

13.3.1. general information about disputed decision of dissertation committee;

13.3.2. confirmation of borrowed materials or individual results by a candidate without proper citation;

13.3.3. signature of individual(s) submitting the appeal(s);

13.4. Appeals shall not be reviewed if:

13.4.1. the last name, first name, middle name/patronymic (if applicable), e-mail or postal address or signature of persons submitting appeal is absent;

13.4.2. appeal's content includes crude or offensive language;

13.4.3. appeal's text is illegible.

In aforementioned instances, a notification on refusal to review their appeal shall be sent to the e-mail address of the person filing the appeal, specifying the reasons for this refusal, within 30 days from the date of the appeal.

13.5. Within 10 working days from the date when an appeal is received as per set procedures, a directive of the Coordinating Vice Rector shall confirm the membership of the appeals committee. The committee may include HSE University academic staff and specialists from other academic and scientific institutions.

An appeals committee shall consist of at least 3 (three) committee members, including a chairperson. In turn, the appeals committee can include no more than 1 (one) member of a respective dissertation committee to which an appeal has been filed.

The meeting of the appeals committee shall be held no later than 30 calendar days from the date when a directive is issued to approve its membership. The appeals meeting may be held in person, remotely or in a mixed format.

13.6. Information on the upcoming appeal committee's meeting shall be published on HSE University's website (portal).

13.7. An individual filing an appeal, the degree candidate and other persons, who bear direct relation to the issue at hand, may be invited to attend the meeting of the appeals committee no less than 7 (seven) working days prior to the date when the meeting is scheduled to take place as per the decision of its chairperson. If the individual filing the appeal does not appear, their appeal shall be reviewed in their absence.

If the appeals committee identifies malfeasance on the part of the individual who has filed an appeal, by right of the submission of the appeal, the committee shall recommend refusing to uphold the appeal. A respective decision shall be included in the meeting minutes.

The decision of the appeals committee shall be made as per a simple majority vote and enacted as per meeting minutes; if there is a split vote, the chairperson shall cast the deciding vote.

13.8. Within 10 working days from the date when the relevant meeting minutes are received, the Coordinating Vice Rector shall decide on upholding or refusing the appeal.

13.9. If a previous decision to uphold and annul the decision of the dissertation committee to award a degree, the given dissertation may be again submitted for defense by a degree candidate no later than 6 (six) months from the date when this decision is made in line with these Regulations, if the appeal process does not include any violation of p. 3.5 of these Regulations.

13.10. A copy of a decision to uphold or refuse an appeal, signed by the Coordinating Vice Rector, shall be sent via e-mail to the person, who filed the appeal, no later than 1 (one) month from the date of the given decision.

13.11. An appeal on the decision of the dissertation committee on the awarding of a degree can only be submitted one time.

13.12. Information about the results of the appeals committee meeting shall be published on HSE University's website (portal).

14. Procedure for Withdrawing and Reinstating Academic Degrees

14.1. The dissertation committee is entitled to invalidate the results of 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) or specific results without proper references to its sources (i.e., plagiarism), which calls into question the authorship 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. Such cases are not limited by any expiry date.

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

14.3. A request to withdraw an academic degree, addressed to the chairperson of the given dissertation committee, may be submitted by an individual or a legal entity in a written or electronic form provided that a digital signature is used.

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

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

b) full name of the individual (with a patronymic, if any), who is submitting a request to withdraw an academic degree bearing his/her signature, or name and address of the legal entity, which is submitting a request to withdraw an 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 decision of the dissertation committee under appeal (i.e., date when the respective decision was made, the full name of the candidate (with a patronymic, if any) who was awarded the academic degree based on this decision);

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

14.5. No later than within 3 (three) months from the day when the request was received, the relevant dissertation committee shall provide its authors by e-mail with the statement on the outcomes of the review of the request to withdraw an academic degree.

14.6. When a relevant dissertation committee 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.

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

a) the dissertation committee had already reached a decision regarding another request to withdraw the academic degree, which had been submitted earlier in regard to the same subject;

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 committee, or documents in support of such arguments;

c) the request to withdraw an academic degree does not contain the full name of the individual (with a patronymic/middle name, if any), who is submitting the request, his/her signature, e-mail address, or the name and address of a legal entity, submitting the request, signed by the head of this legal entity (or his/her deputy), postal and e-mail addresses;

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.

14.8. Upon the receipt of a request to withdraw an academic degree, the relevant dissertation committee shall set up a commission which will include dissertation committee members. This commission will consider all necessary information and prepare a draft statement of the dissertation committee on the results of the review of a request to withdraw an academic degree (hereinafter, “commission on withdrawal of academic degrees”). Committee membership convened for the review of requests to revoke degrees shall be set by the dissertation committee independently.

14.9. A meeting of the dissertation committee shall be held (if possible) in the presence of the individual or the 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 academic degree. It is advisable that representatives of the dissertation sub-committee also attend the meeting. The dissertation committee shall inform all aforementioned persons about the meeting no later than 15 (fifteen) days before its

scheduled date. A meeting announcement shall be published on HSE University's website (portal), while the aforementioned persons are also being notified.

14.10. A dissertation committee 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 the 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.

14.11. At the dissertation committee meeting, the chairperson shall announce that a request to withdraw an academic degree will be reviewed and then pass the floor to the academic secretary, who shall present the relevant materials. One of the members of the commission on withdrawal of academic degrees shall open the subsequent discussion. After this, all persons at the meeting may take part in the discussion. At the end of the discussion, the holder of the academic degree under review shall present his/her closing remarks (if he/she is present at the dissertation committee meeting).

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

14.13. The dissertation committee shall reach one of the following decisions:

- to withdraw the academic degree;
- to reject the withdrawal of the academic degree.

14.14. A full text of the request to withdraw an academic degree and a statement from the relevant dissertation committee shall be published on HSE University's website (portal) within 10 (ten) days after the decision was made. These documents shall be accompanied by details of the academic supervisors (academic advisors) of the person holding the academic degree, in regard to which a relevant decision was made by the dissertation committee, as well as sub-committee members who submitted positive feedback in regard to award of the given academic degree.

14.15. Subsequent requests on this subject shall not be considered by the dissertation committee unless additional arguments supported by relevant documents are presented.

14.16. An academic degree, which has been withdrawn, may be reinstated if there are sufficient grounds to do so. The reinstatement of academic degrees shall follow the procedure that is in place for the withdrawal of academic degrees.

15. Procedure for Dissertation Defense for Persons with Limited Mobility and Disabilities

15.1. For persons with disabilities, special conditions for the dissertation defense shall be ensured. The defense shall be organized with due consideration for his/her state of health and psychophysical development. Special conditions foresee the utilization of special technical means, provision of services by an assistant providing required technical help to the candidate, access to the HSE University's campus and other conditions.

15.2. When the dissertation defense is underway, the following requirements shall be met for candidates with disabilities, depending on their individual characteristics:

a) for visually impaired persons:

– evaluation materials and dissertation feedback shall be read aloud by the assistant (if necessary);

b) for hearing impaired persons:

– issue of listening devices or other similar auditory means;

c) for blind persons with hearing impairments:

- tactile sign language services may be provided;

d) for persons with serious speech disorders, for the deaf, or hearing-impaired persons:

- the candidate's speech, as well as questions and answers to the questions, shall be presented in written form.

15.3. The aforementioned conditions are ensured for a candidate on the basis of a request for the provision of respective special conditions.

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

16.1. The procedure for awarding academic degrees at HSE University, as specified in these Regulations, came into effect as of February 1, 2018. At this point, all existing dissertation committees, which award Candidate of Sciences or Doctor of Sciences academic degrees, shall be eliminated. A transitional period is stipulated so as to ensure smooth and efficient progression to the new procedure. During this period, new dissertation committees will be established and they shall prepare academic field profiles, requirements for 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 sub-committees. Therefore, new dissertation committees shall not accept dissertations for defence until February 1, 2018. Until this point, existing dissertation committees will continue their activities in accordance with the requirements stipulated by the VAK RF.

16.2. All existing dissertation committees, working in accordance with the VAK RF requirements, shall be dissolved as of January 31, 2018. New dissertation committees will start accepting dissertations for defence on February 1, 2018.

16.3. For candidates who have successfully completed one of the HSE University's doctoral programmes, a transitional period with respect to the requirements for the publication of dissertation research results shall be introduced. These requirements shall be the same as those established by the VAK RF until December 31, 2018, while publications made in journals that have been included in the blacklist of journals (<https://scientometrics.hse.ru/blacklist>) will be discarded.

To the Chairperson of the HSE University's Dissertation Committee

in _____
(academic field)

from _____
(full name, with a patronymic, if any)

registered at the following address _____

residing at _____

passport _____ issued _____
(serial number) (date and authority)

e-mail address _____

phone _____

Request

I hereby request that my dissertation titled:

“ _____ ”
(topic of the dissertation)

be accepted for review and defense with a view to the subsequent award of a Candidate of Sciences/PhD (Doctor of Sciences) degree
in _____
(academic field)

My dissertation was prepared at _____
(full name of the organization)

My Academic Supervisor (Academic Advisor) (if any): _____
(the full name and academic degree)

The defense shall be held for the first (second) time.

I hereby give my consent to have my personal details included in the certification file and for their subsequent processing. I hereby attest that all data and results submitted for the defence are original and authentic, and have been obtained independently on my part (with the exception of instances expressly stated otherwise in my dissertation).

The consent shall be valid for the term of _____ years from the day when it was submitted.

Date, signature