

No.: 611/QĐ-ĐHKHCN

Hanoi, June 29<sup>th</sup>, 2022

**DECISION**  
**On issuing the Regulation of doctoral training**

**RECTOR OF**  
**UNIVERSITY OF SCIENCE AND TECHNOLOGY OF HANOI**

Pursuant to Decision No. 2067/QĐ-TTg dated December 9<sup>th</sup>, 2009 of the Prime Minister on the establishment of University of Science and Technology of Hanoi (USTH);

Pursuant to Decision No. 2557/QĐ-TTg dated December 30<sup>th</sup>, 2016 of the Prime Minister on issuing the Regulations on organization and operation of USTH;

Pursuant to Higher Education Law no. 08/2012/QH13 dated June 18<sup>th</sup>, 2021;

Pursuant to Law no. 18/2021/TT-BGDĐT on amending and supplementing a number of articles of Higher Education Law dated November 19<sup>th</sup>, 2018;

Pursuant to Circular no. 18/2021/TT-BGDĐT dated June 28<sup>th</sup>, 2021 of the Ministry of Education and Training on issuing the Regulation on PhD admission and training;

At the proposal of Director of Doctoral School,

**DECIDES:**

**Article 1.** To issue with this decision the Regulation of doctoral training of USTH.

**Article 2.** The decision is effective from the signing date.

**Article 3.** Director of Department of Academic Affairs, Director of Doctoral School, Directors of academic departments and relevant units are responsible for implementing this decision./.

**Recipient:**

- As Article 3;
- Rector;
- Vice Rector;
- Archive: Admin., DS.

**PRINCIPAL RECTOR** <sup>V.D.</sup>

*(Signed and sealed)*

**Prof. Jean-Marc Lavest**



**VIETNAM ACADEMY OF SCIENCE AND TECHNOLOGY**  
**UNIVERSITY OF SCIENCE AND TECHNOLOGY OF HANOI**

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**REGULATION OF DOCTORAL TRAINING**

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*(Issued with Decision no. 611 dated June 29<sup>th</sup>, 2022 by USTH Principal Rector) <sup>V.D.</sup>*

*Hanoi, June 2022*

## CONTENTS

<b>Chapter 1. GENERAL PROVISIONS</b> .....	2
Article 1. Scope of regulation .....	2
Article 2. Doctoral School .....	2
<b>Chapter 2. ADMISSION</b> .....	2
Article 3. Recruitment of Ph.D. students .....	2
Article 4. Qualifications required for applicants .....	2
Article 5. Advertisement of admission waves .....	3
Article 6. Admission jury.....	3
Article 7. Duties/ Responsibilities of the admission interview jury .....	4
Article 8. Approval for final admission results .....	4
<b>Chapter 3. TRAINING PROGRAM AND TRAINING ORGANIZATION</b> .....	5
Article 9. Training duration .....	5
Article 10. Management of Ph.D. students.....	5
Article 11. Training program .....	5
Article 12. Ph.D. thesis research.....	6
Article 13. Mid-term evaluation .....	7
Article 14. Changes during the Ph.D. training program.....	7
Article 15. Requirements of lecturers teaching in the Ph.D. training program .....	8
Article 16. Requirements of supervisors.....	9
Article 17. Roles and duties of supervisors .....	9
Article 18. Rights and obligations of Ph.D. students.....	10
Article 19. Duties of departments and offices .....	11
Article 20. Supervision under a “cotutelle” agreement .....	11
<b>Chapter 4. PH.D. THESIS EVALUATION</b> .....	12
Article 21. Requirements of a Ph.D. thesis.....	12
Article 22. Conditions for submitting thesis defense dossier .....	13
Article 23. Process of thesis examination.....	13
Article 24. Internal Jury .....	14
Article 25. Thesis Defense Jury.....	15
Article 26. Thesis defense for the second time.....	17
<b>CHAPTER 5. PH.D. DIPLOMA CONFERMENT</b> .....	17
Article 27. USTH Ph.D. Diploma conferment .....	17
<b>CHAPTER 6. EXECUTION PROVISIONS</b> .....	18
Article 28. Execution provision .....	18

## **Chapter 1. GENERAL PROVISIONS**

### **Article 1. Scope of regulation**

This regulation describes the training process at the doctoral level in the Doctoral School, University of Science and Technology of Hanoi (hereinafter called USTH-DS) including student recruitment, training program, management of training process, thesis evaluation, and diploma conferment.

Other matters concerning the doctoral training but not described in this document are regulated by Circular no.18/2021/TT-BGDĐT, dated June 28<sup>th</sup>, 2021 of the Vietnam Ministry of Education and Training.

### **Article 2. Doctoral School**

The USTH-DS is responsible for developing, managing, monitoring and ensuring the quality of the doctoral training programs at the University of Science and Technology of Hanoi. The Director of the USTH-DS coordinates the School and is its highest representative, implementing the necessary policies for the coordination and promotion of doctoral studies at the USTH. A USTH-DS Council consisting of senior scientists will help/advise the Director in decisions concerning academic and educational issues.

## **Chapter 2. ADMISSION**

### **Article 3. Recruitment of Ph.D. students**

1. Recruitment of Ph.D. students is open for 02 waves per year (Semester I and semester II).
2. Recruitment of Ph.D. students is processed through a two steps process: (i) screening of application dossier and (ii) admission interviews.

### **Article 4. Qualifications required for applicants**

1. Applicants must hold a Master's degree in the field of application or a field relevant to the field of application, or applicants must hold a Bachelor's degree with a grade of excellence in the field of application or a field relevant to the field of application.
2. Applicant must hold one of the following valid certificates of English language skill: B2 of CERF or equivalent, TOEFL iBT score of at least 46, or IELTS score of at least 5.5, Cambridge Assessment English B2 First/B2 Business Vantage/Linguaskill with the score at least 160.

3. Applicants who are under contract with a company/institution should have an official letter from their company/institution to allow them to apply for Ph.D. training at the USTH-DS.
4. The application dossier should include the following documents:
  - (i) Application form;
  - (ii) Scientific resume of the applicant;
  - (iii) Motivation letter of the applicant;
  - (iv) Notarized copies of degrees, certificates, transcripts of Bachelor and Master programs;
  - (v) Valid English certificate;
  - (vi) Certificate of employment (if applicable);
  - (vii) Consent letters and scientific resumes of proposed supervisors;
  - (viii) Reference letter (preferably two);
  - (ix) Research proposal (maximum 10 pages);
  - (x) List and copies of publications in the research field (if any);
  - (xi) Other documents as required in specific cases.

#### **Article 5. Advertisement of admission waves**

1. The call for applications, issued by the USTH Principal Rector 30 days before the date of commencement of the admission process of each wave will be
  - Posted at USTH and on the webpage <https://usth.edu.vn> ;
  - Sent to the Ministry of Education and Training;
  - Sent to other universities and institutes;
  - Presented on media.
2. The list of training fields, proposed research topics for the Ph.D. thesis, the number of available positions for each field, must be included in the official call.

#### **Article 6. Admission jury**

1. USTH-DS receives and pre-screens the application documents. In case needed, USTH-DS consults the USTH-DS Council and/or (Co)-Directors of relevant departments about the quality of applicants before proceeding with the admission procedure.
2. On the recommendation of the concerned academic department and under the advice of the USTH-DS Council, the USTH-DS suggests admission interview juries for pre-qualified applicants to the Rector Board. The USTH Principal Rector issues the decision on the establishment of an admission interview jury for each applicant. The jury consists of 05 persons:

- (i) A member of the USTH-DS Council or his/her representative who has expertise in the field of application.
- (ii) Director/Co-director of concerned Department/Research Laboratory or his/her representative.
- (iii) Two senior scientists (preferably external scientists) who are experts in the field of the Ph.D. research proposal.
- (iv) A scientist who is an expert in the field of the Ph.D. topic or a relevant field (preferably a lecturer of the concerned department) will be the scientific secretary of the jury.

The proposed supervisor/co-supervisor of the Ph.D. thesis topic is invited to attend the jury.

#### **Article 7. Duties/ Responsibilities of the admission interview jury**

1. Evaluate the application dossier and academic capabilities of the applicant. It includes but is not limited to:
  - (i) Evaluate the competence of the applicant;
  - (ii) Evaluate the scientific meaning and feasibility of the Ph.D. research proposal;
  - (iii) Suggest modifications of the research proposal if needed;
  - (iv) Determine the supplementary courses of relevant master levels (if any) that the applicant must complete together with doctoral courses.
2. Each jury member evaluates the Ph.D. research proposal and the presentation of the applicant on a 20.0 scales evaluation form.
3. An applicant is considered to be admitted if his/her average score is 10 or higher.

#### **Article 8. Approval for final admission results**

1. USTH-DS Council approves admission results from admission interview juries. Based on the admission interview jury's evaluation, the number of available positions and the advice of the USTH-DS Council, the USTH-DS makes a ranking of applicants in each training field and decides the list of qualified applicants and those on the waiting list.
2. Based on the recommendation of the USTH-DS, USTH Principal Rector issues a decision on the final admission result.
3. The USTH-DS sends the final decision to all applicants of each wave.

## **Chapter 3. TRAINING PROGRAM AND TRAINING ORGANIZATION**

### **Article 9. Training duration**

1. The Ph.D. training program is conducted in the form of full-time education at USTH academic departments, research laboratories, and/or at USTH-associated laboratories.
2. The training duration is 03 years (36 months) for a Ph.D. student holding a Master's diploma and 04 years (48 months) for a Ph.D. student holding a Bachelor's diploma.
3. In case a Ph.D. student cannot complete the Ph.D. training program within the regular training duration, he/she must follow the procedures of extending his/her training duration 2 months before the end of the regular training time. The maximum time of extension is 24 months. The process of extending is regulated by Article 14 of this Regulation.
4. The USTH Principal Rector considers and decides if the Ph.D. student can finish his/her program early if he/she has attended the doctoral program for at least 24 months and has completed the full training program according to this Regulation.

### **Article 10. Management of Ph.D. students**

1. Once the enrollment process of a newly recruited student is completed, the Student Services Department issues a certificate of enrollment, in which the Ph.D. student is granted a student number and student email.
2. Based on the certificate of enrollment, USTH-DS submits the decision on recognizing the thesis topic and supervisor(s) of the enrolled Ph.D. students to the USTH Rector Board for approval. The Ph.D. program of each Ph.D. student starts from the issuing date of this decision.
3. Enrollment is annually renewable and subjected to the approval of the USTH-DS, based on the completion of annual duties assigned to Ph.D. students (completion of Ph.D. training courses, presentation at the Doctoral Day, etc.) and evaluation of supervisor(s).

### **Article 11. Training program**

1. The training program consists of 180 ECTS, including:
  - (i) 04 ECTS of essays: one general essay (02 ECTS), one doctoral thematic research essay (02 ECTS).These essays are presented at the annual Doctoral Day together with a report on the progress of the Ph.D. research project.

- (ii) 04 ECTS of common courses: two common courses (02 ECTS/course) on management science or transferable skills (problem-solving, decision making, critical thinking, scientific integrity, communication skill, CV or resume writing, and interviews attending ...)
  - (iii) 12 ECTS of doctoral courses: four doctoral courses (03 ECTS/course). These doctoral courses are developed by the departments involved in the doctoral training program. Lists of doctoral courses are annually updated by relevant academic departments and approved by the USTH-DS Council before being officially announced at the beginning of each academic year.

A Ph.D. student can valid some doctoral courses (maximum 02 courses) through other academic activities such as an oral presentation at national and international conferences, participating in training courses on specialized topics, and research skills that are not included in the training program offered by USTH-DS.
  - (iv) 160 ECTS of the Ph.D. thesis.
2. In addition to the program described in the above item 1, a Ph.D. student holding a Bachelor's degree must obtain additional 60 ECTS by taking courses from the Master's program in the relevant field or specialty, except for foreign language courses and the Master's thesis.
  3. Students should complete at least 75% of training courses (except for the Ph.D. thesis) within the first 02 years of training.
  4. The annual Doctoral Day and the Mid-term evaluation are obligatory academic activities during the training program.

#### **Article 12. Ph.D. thesis research**

1. Ph.D. thesis work represents the most important part of the Ph.D. training program at USTH-DS. The thesis is the major factor for the evaluation of Ph.D. students to award the USTH Ph.D. diploma.
2. The Ph.D. thesis topic is specified in the decision on recognizing the thesis topic and supervisors of the enrolled Ph.D. student. Amendments to Ph.D. thesis topics are regulated by Article 14 of this Regulation.
3. During the training program, depending on the progress of the research project, supervisor(s) and Ph.D. students decide appropriate period(s) to conduct research at a USTH department/research laboratory, a USTH associated laboratory, a USTH consortium laboratory, and/or at a laboratory that has signed MOU with USTH. In all cases, at least haft of the total research period



must be conducted at USTH departments/research laboratories and/or USTH associated laboratories in Vietnam.

### **Article 13. Mid-term evaluation**

1. The academic progress of the Ph.D. student (completion of supplementary courses at Master level, Ph.D. common courses, doctoral courses, English capability in communication and in scientific work, ...) and progress of her/his Ph.D. research project are evaluated after the first half of the regular training time by a mid-term evaluation committee.
2. Based on the suggestion of the relevant academic department and the advice of the USTH-DS Council, USTH-DS submits a decision on establishing the mid-term evaluation committee to USTH Rector Board for approval. The midterm evaluation committee should be composed of 5 persons, including:
  - (i) A member of the USTH-DS Council or his/her representative has expertise in the field of the Ph.D. research topic.
  - (ii) Senior scientists from the concerned departments where the research is conducted and/or where the Ph.D. student integrates academically.
  - (iii) Supervisor(s) of the Ph.D. research work.
  - (iv) A scientist who is an expert in the field of the Ph.D. topic or relevant (preferably a lecturer of the concerned department) will be the Scientific secretary of the committee.
3. The committee evaluates the academic progress of Ph.D. students, suggests appropriate changes (if any) to be made to advance in the Ph.D. research project.
4. The committee considers and decides if the supervisor(s) and Ph.D. student's request for changing Ph.D. thesis topic and/or supervisor(s) is recommended for USTH Principal Rector's approval.

### **Article 14. Changes during the Ph.D. training program**

1. In the first half of the regular training duration, the Ph.D. student and supervisor(s) can request changes in the Ph.D. research topic and/or the supervisor(s).
2. The Ph.D. student and supervisor(s) must submit the following documents when requesting changes:
  - (i) For a change in the Ph.D. research topic:
    - A request letter for changing Ph.D. research topic;
    - A research proposal for the new Ph.D. research topic in case the contents of the Ph.D. research topic are significantly different from the proposal approved by the admission interview jury.

- (ii) For a change in the supervisor(s):
    - A request letter for changing supervisor(s);
    - A letter of withdrawal from the supervisor(s) who will stop supervising;
    - A letter of consent from the supervisor(s) who will start supervising;
    - Scientific resume of the new supervisor(s);
    - A research proposal that is updated with new supervisor(s).
3. Consideration and approval of requests for changes
- (i) Under normal conditions, the mid-term evaluation committee considers the requests for changes in the Ph.D. research topic and/or the supervisor(s) and recommends appropriate changes. Based on recommendations of the mid-term evaluation committee and the advice of the USTH-DS Council, USTH-DS submit the proposed changes to USTH Principal Rector for approval.
  - (ii) In special cases, supervisor(s) and Ph.D. students may send a request for changing the Ph.D. thesis topic and/or the supervisor(s) beyond the event of mid-term evaluation. These requests will be handled as follows:
    - For a change in the Ph.D. thesis topic: The request will be considered by a special committee (with a structure similar to the mid-term evaluation committee) which is established particularly to evaluate the request in certain cases. Based on the recommendations of the committee and the advice of the USTH-DS Council, USTH-DS submit the proposed changes to USTH Principal Rector for approval.
    - For a change in the supervisor(s): Based on the required documents submitted by the supervisor(s) and Ph.D. student, and the advice of the USTH-DS Council, USTH-DS submit the proposed changes to USTH Principal Rector for approval.

**Article 15. Requirements of lecturers teaching in the Ph.D. training program**

1. Each academic year, the director/co-director of each academic department submits to USTH-DS the list of doctoral courses available at the department during that academic year together with the list of lecturers/scientists proposed to be in charge of these courses. The list will be approved by the USTH-DS Council.
2. Qualified lecturers for teaching in the Ph.D. training program (except for management science courses) should:
  - (i) Hold a Ph.D. diploma in the field of or relevant to the doctoral course.
  - (ii) Have at least 03 years of working experience after Ph.D. graduation.

- (iii) Be active in research in a period of 03 years before their involvement in the Ph.D. training program: be the main author of at least 02 research papers published in scientific journals or the Proceedings of conferences in the list of Web of Science/Scopus or chapters in a monograph published by prestigious publishers.

#### **Article 16. Requirements of supervisors**

1. A Ph.D. thesis will be supervised by no more than 02 scientists. One of the supervisors must be a senior scientist.

At least 01 of the supervisors should be a USTH faculty or a French visiting scientist working in USTH-laboratories or USTH-associated laboratories in Vietnam. The other supervisor should be a qualified scientist of any citizenship who is working in a high education or a research institution abroad or in Vietnam.

The qualified supervisor should:

- (i) Hold a Ph.D. diploma.
  - (ii) Have at least 03 years of working experience after Ph.D. graduation.
  - (iii) Be an active researcher in the period of 03 years before the supervision of the Ph.D. thesis research: be the main author of at least 02 research papers published in scientific journals or Proceedings of conferences in the list of Web of Science/Scopus or chapters in a monograph published by prestigious publishers.
  - (iv) Be the head of at least 01 completed scientific project.
2. For some selected topics which USTH wants to develop, senior scientists working at institutions of VAST can be accepted as faculty members of USTH to supervise a Ph.D. thesis.
  3. The list of USTH faculty members, who are eligible to supervise a Ph.D. research, will be approved by the USTH-DS Council and will be updated annually.
  4. At the same time, a professor may independently supervise a maximum of 07 Ph.D. students; an associate professor may independently supervise up to 05 Ph.D. students; a doctor may independently supervise up to 03 Ph.D. students. The co-supervision of 01 Ph.D. student, is equivalent to instructing 0.5 Ph.D. students.

#### **Article 17. Roles and duties of supervisors**

1. Supervise and advise Ph.D. students in conducting the research work based on the research proposal and in developing their academic capability.

2. Ensure all necessary working conditions for the student during his/her training period.
3. Propose the annual training schedule for Ph.D. students and advise Ph.D. students to choose their appropriate doctoral courses and other academic activities (doing internships in an international laboratory, attending and/or presenting at national and international conferences and schools, etc.)
4. Support Ph.D. students in their future career orientation (e.g. involve them in teaching activities as teaching assistants if they intend to apply for university faculty positions)
5. Provide detailed annual reports on the progress of research work and training program of Ph.D. students. These reports are the major factor for the USTH-DS Council to refer to during mid-term evaluation, scholarship, financial support assessment, etc.
6. Provide the final written approval for the Ph.D. thesis manuscript before it is submitted to the USTH-DS for evaluation.

#### **Article 18. Rights and obligations of Ph.D. students**

1. Ph.D. students work within the research groups led by the supervisor(s) as research assistants following the annual training schedule proposed by their supervisor(s).
2. During 3 years of the regular training program, Ph.D. students can apply for the position of teaching assistant at USTH. Details of the requirements to apply for the position of teaching assistant are specified in Appendix A.
3. The Ph.D. student should fully integrate into the academic life of the host laboratory/department (e.g. involved in scientific discussions, meetings, exchanges, seminars, etc.).
4. Ph.D. students must fully follow regulations of USTH and USTH-DS as well as other rules of relevant laboratories, academic departments.
5. Before the beginning of each academic year, Ph.D. students must submit a progress report with the approval of supervisor(s) to USTH-DS. This progress report together with the evaluation form separately submitted by supervisor(s) will be critical elements for evaluation for the yearly validation, scholarship, financial support, etc.
6. Ph.D. students are not allowed to contact any member of the Ph.D. thesis defense jury, under any form of communication, before the meeting of the Ph.D. thesis defense jury.

## **Article 19. Duties of departments and offices**

1. Departments involved in the doctoral training program and relevant research unit guarantee the working environment and facilities for Ph.D. students to conduct their Ph.D. research.
2. Departments involved in the doctoral training program design doctoral courses at the Ph.D. training level in the corresponding field. Each academic year, each department should offer at least 03 Ph.D. doctoral courses. The list of offered courses together with detailed syllabi, tentative lecturers and schedules must be submitted to the USTH-DS Council at the beginning of each academic year for approval.
3. The department facilitates the integration of Ph.D. students in the departmental academic life (e.g. allow Ph.D. students to join appropriate research groups of the department, offer teaching assistants or lab assistant positions to Ph.D. students, organize seminars, workshops, work meetings, etc.).
4. The department is responsible for all academic activities during the training time of Ph.D. students such as sending USTH-DS the suggestion on members for admission interviews, mid-term evaluation, internal and thesis defense juries, teaching Ph.D. doctoral courses, taking part in the organization of the annual Doctoral Day, etc.
5. The Direction of Research, Innovation and Technology Transfer (DRITT) supports the Ph.D. training program by introducing potential funding sources to new Ph.D. training programs (if any) and Ph.D. students and supporting Ph.D. students to get information and join relevant conferences, workshops, and scientific networks.
6. Other USTH departments and units support USTH-DS in the implementation of the Ph.D. training program according to the functions of each department/unit which are determined by the regulations of USTH.

## **Article 20. Supervision under a “cotutelle” agreement**

1. A Ph.D. student can implement their Ph.D. research under a “cotutelle” supervision. In that case, the Ph.D. student carries out his/her training and research work under the responsibility of a supervisor who is a faculty of the USTH and a supervisor from a partner institution in France or abroad.
2. Thesis defense in a “cotutelle” Ph.D. research:
  - a. The thesis under a cotutelle gives rise to a single defense, in USTH or in the partner institution, recognized by the two establishments.
  - b. The director of the educational institution where the Ph.D. student defends his/her thesis decides to appoint a thesis evaluation jury. The composition

of the jury, the rules detailed on the criteria and tasks for jury members must comply with the regulations in force in each country and are specified in an agreement between USTH and the partner institution.

3. Ph.D. degree: USTH and the partner institution undertake to award the double diploma; the wording of each diploma will mention the collaboration of the partner institution as well as the "cotutelle".
4. Other terms and conditions:
  - (i) The Ph.D. student must enroll in USTH and in a higher education institution in France or a foreign country. (The student will only pay his/her registration fees in one of the partner institutions).
  - (ii) The Ph.D. student performs his studies and his research work alternately between USTH and the concerned foreign country for periods determined by a mutual agreement between USTH and the partner institution.
  - (iii) For each Ph.D. student in "cotutelle", an agreement will be signed between USTH and the partner institution. It will specify a certain number of points guaranteeing the smooth running of the "cotutelle", in particular the terms of social protection.
5. Intellectual property rights: To protect the interests of the partners and students, both USTH and the partner institution agree that the protection of the Ph.D. subject as well as the publication, exploitation and the protection of the research results resulting from the Ph.D. student's work in both institutions will be subject to the regulations in force and ensured in accordance with the specific procedures of each country involved in "cotutelle". The provisions relating to the protection of intellectual property rights must be clearly stated in the cotutelle agreement.
6. In the event of a dispute, the issues raised will be dealt with in accordance with the regulations and practices of the concerned institutions.

#### **Chapter 4. PH.D. THESIS EVALUATION**

##### **Article 21. Requirements of a Ph.D. thesis**

1. Scientific results presented within the Ph.D. thesis should be obtained by the Ph.D. student himself/herself and/or obtained in collaboration with other scientists wherein the Ph.D. student makes significant contributions. In the latter case, a written letter from collaborator(s) allowing the Ph.D. student to include the co-authored results and data in the thesis must be provided. In all cases, the Ph.D. student and his/her supervisor(s) are responsible for the contents of the thesis.

2. The Ph.D. thesis must be written in English. The abstract written both in Vietnamese and in English is demanded. An abstract in French is encouraged.
3. Ph.D. thesis should be written in appropriate format/style widely accepted/applied by each specific community. However, it should reply to the general format required by the USTH-DS.

#### **Article 22. Conditions for submitting thesis defense dossier**

A Ph.D. student is eligible for submitting his/her defense request after he/she has met all the following requirements:

- (i) He/she has completed all the required training courses including:
  - Supplementary courses (requested by his/her admission interview jury).
  - Essays, common courses, and doctoral courses.
- (ii) Supervisors have approved of the quality and contents of the thesis and agreed that he/she can start the thesis defense procedure.
- (iii) He/she has been the main author of at least 02 research papers from the Ph.D. research work which should have already been published or accepted for publication in peer-reviewed scientific journals, proceedings recognized by research communities. At least 01 paper must have been published or accepted for publication in international peer-reviewed journals, proceedings within the Web of Science/Scopus system. Higher requirements could be applied to a specific training field subjected to written demand of the concerned department and approval of the USTH-DS Council.
- (iv) He/she has settled all financial liabilities to USTH by the time of thesis defense request submission and is not currently under any restrictions or penalties.

#### **Article 23. Process of thesis examination**

1. The dossier for the Ph.D. thesis defense request includes:
  - (i) Training record together with copies of final grade notice of all courses and evidence of activities for credit conversion.
  - (ii) 01 complete thesis manuscript (both hard and soft copies).
  - (iii) Copies of published articles or evidence of acceptance for publication in peer-reviewed journals.
  - (iv) Request for Ph.D. thesis defense at Internal Jury which is approved by the supervisor(s).
  - (v) Evidence of settlement of all financial liabilities to USTH.
  - (vi) Other related documents if necessary.
2. The Ph.D. thesis defense process at USTH consists of
  - (i) Internal Jury.

- (ii) Thesis Defense Jury.

#### **Article 24. Internal Jury**

1. On the recommendation of the concerned academic department and the advice of the USTH-DS Council, the USTH-DS suggests the Internal Jury for the Rector Board. The decision on Internal Jury establishment is issued by USTH Principal Rector. The Internal Jury consists of 5 persons:
  - (i) A member of the USTH-DS Council or his/her representative who is an expert in the field of the Ph.D. thesis or a relevant field.
  - (ii) 3 scientists who are experts in the field of the Ph.D. thesis and are qualified for doctoral training activities as described in Article 15 of this Regulation.
  - (iii) A scientist (preferably a member of the Department/Laboratory where the Ph.D. student conducts his/her research) who is an expert in the field of the Ph.D. thesis and qualified for Ph.D. training activities as described in Article 15 of this Regulation will be the secretary of the Internal Jury.
  - (iv) Two members of the Internal Jury will be reviewers.
  - (v) At least two members of the Internal Jury should be external scientists.Supervisors are invited to attend the Internal Jury meeting for academic exchanges but are not allowed to contribute to thesis evaluation.
2. Internal Jury's examination meeting takes place at USTH. The Jury Chair can allow members to join the meeting online (video-conference) in case needed.
3. Internal jury examines the thesis manuscript, suggests changes, modifications or revisions if necessary, to ensure the quality of the thesis prior to its submission to the final thesis defense jury.
4. Each member of the Internal Jury submits an evaluation sheet at the Jury meeting. Based on the evaluation sheets and opinions of all jury members at the meeting, Jury Secretary edits a Jury Report which specifies the following points:
  - (i) Internal Jury's evaluation on results of the Ph.D. thesis.
  - (ii) Shortcomings and issues of the thesis that Ph.D. students need to supplement or edit.
  - (iii) Conclusion: whether Internal Jury agrees that the Ph.D. thesis is qualified or qualified subjected to minor/major revisions for submission to the final thesis defense, or not qualified.
5. If Internal Jury concludes that the Ph.D. thesis is qualified for submission to the final thesis defense, USTH-DS will proceed to organize the Thesis Defense Jury after the Ph.D. student submits his/her Ph.D. thesis which has been revised as requested by the Internal Jury.



If Internal Jury concludes that the Ph.D. thesis is not qualified for submission to the final thesis defense, the Ph.D. student has to revise the thesis work as requested by the Internal Jury. The Internal Jury will meet later to evaluate the revised Ph.D. thesis, but not earlier than 6 months from the date of the previous internal jury meeting.

6. If the Ph.D. thesis is qualified for submission to the final thesis defense, the Ph.D. student must submit to USTH-DS the following documents:
  - (i) Ph.D. thesis that has been revised following the requests of the Internal Jury, approved by the supervisor(s) (6 hard copies and 1 soft copy).
  - (ii) A letter explains the points that have been revised. The explanation must be approved by supervisors and the Chair of the Internal Jury.

### **Article 25. Thesis Defense Jury**

1. On the recommendation of the concerned academic department and the advice of the USTH-DS Council, the USTH-DS suggests the Thesis Defense Jury for the Rector Board. USTH Principal Rector issues the decision on establishing Thesis Defense Jury, consisting of:
  - Chair: a senior scientist (professor, associate professor, directeur de recherche, ...) in the relevant field.
  - Examiners and a secretary: scientists who are experts in the field of the Ph.D. thesis or in the relevant field.
  - Reviewers: senior scientists (professor, associate professor, directeur de recherche, HDR, ...) having expertise in the field of the Ph.D. thesis. Reviewers must not be co-authors with the Ph.D. student in publications related to the thesis research.
2. The Thesis Defense Jury should assure the following requirements:
  - The Thesis Defense Jury is composed of at least 5 members
  - At least 2/3 of the members of the jury are senior scientists (professors, associate professors, HDR or directeurs de recherche, ...)
  - No more than 1/3 of the members of the Thesis Defense Jury were members in the Internal Jury of the same Ph.D. thesis;
  - No more than 03 members are lecturers or researchers at USTH.
  - 02 reviewers for the 5-person jury and 03 reviewers for the 7-person jury. At least one reviewer is a foreign expert in the relevant field.
  - A supervisor may join the jury as a member.
  - Family members and relatives of the Ph.D. student must not be included in Thesis Defense Jury in any circumstances.
3. Duties of reviewers:

- (i) Under the Decision on establishing Thesis Defense Jury, USTH-DS sends the thesis manuscript to reviewers (both soft and hard copies). Within 6 weeks from the receiving of the thesis manuscript, reviewers send their written reports and evaluation sheets to USTH-DS. Reviewers are requested to clearly indicate in their evaluation sheet whether the thesis is suitable for defense, suitable for defense subjected to minor/major revisions, or the thesis is rejected in its current form.
- (ii) If all reviewers send positive reports, the Ph.D. thesis is accepted for defense in front of the Thesis Defense Jury.

If one or more of the reviewers suggests changes or modifications of the Ph.D. thesis, the Ph.D. student must revise the thesis according to recommendations and submit the revised thesis accompanied by the explanation on revision with approval of supervisors to USTH-DS. The USTH-DS proceeds with the organization of the Thesis Defense meeting only if the Chair of the Thesis Defense Jury agrees that the revised thesis is qualified for defense.

#### 4. Organization and working process of Thesis Defense Jury:

- a. Taking into account the availabilities of all jury members, USTH-DS submits the dossier to USTH Rector Board for approval regarding the schedule of the thesis defense.
- b. USTH Principal Rector issues a decision on the final thesis defense. This decision is widely communicated at the VAST information department, USTH-DS, concerned departments, etc. This decision should be issued and communicated no later than 10 working days prior to the date of the Ph.D. thesis defense.
- c. The thesis defense should take place at USTH. The USTH-DS with the approval from Rector Board can allow certain members of the Jury to join the meeting online (video-conference) in case needed.
- d. In the case wherein the thesis work should be protected for the license (e.g. research contract with private companies), and subjected to the written request of supervisor(s), USTH-DS submits to USTH Rector Board to ask for a private defense section. In all other cases, the thesis defense will be open to the public and interested individuals.
- e. On the day of the thesis defense, the Jury meeting will not be held if the Chair or the Secretary, or one of the reviewers is absent.
- f. After the examination section, the Jury makes a private deliberation to
  - Vote to decide if the Ph.D. student is awarded the Doctoral Degree of the USTH. The Ph.D. thesis is approved if there is no more than one vote against it.

- Suggest any changes or revisions should be made to the thesis manuscript before the Ph.D. student can be awarded the degree. These changes or revisions should be approved by the Jury Chair in written form.
  - Recommend or not the re-evaluation in case the Ph.D. student is not awarded USTH Doctoral Degree due to the insufficient quality of the Ph.D. student himself/herself and/or the quality of his/her thesis.
- g. The secretary records the progress of the thesis defense in a written report with the signatures of all jury members. In the case of an online defense, it must be fully recorded and stored at the USTH. The report should emphasize the requirements for the Ph.D. student to implement before the thesis could be re-examined.

**Article 26. Thesis defense for the second time**

1. In case the Thesis Defense Jury refused to reward USTH Doctoral Degree to the Ph.D. student, he/she must revise the thesis according to the requests of the Jury before the thesis can be re-examined.
2. The Second Thesis Defense Jury is composed of the same personnel as the first Thesis Defense Jury. If any member cannot join the Jury for the second time, USTH Principal Rector decides appropriate scientists to replace.
3. The Second Thesis Defense Jury is organized and operates in accord with Article 25 of this Regulation.
4. The Second Thesis Defense must take place within 24 months but not earlier than 6 months from the date of the first defense.
5. The thesis defense is not organized for the third time.

**CHAPTER 5. PH.D. DIPLOMA CONFERMENT**

**Article 27. USTH Ph.D. Diploma conferment**

1. A Ph.D. student must submit 2 hard-cover printed copies and 1 soft copy of the thesis which has been finalized and approved by the Chair of Thesis Defense Jury to the USTH Library and submit 1 hard-cover printed copy to the National Library of Vietnam.
2. The completed copy of the Ph.D. thesis must be posted on the website of the USTH.
3. A Ph.D. student must submit the following documents to USTH-DS to complete his/her dossier for USTH Ph.D. Diploma issuance:

- (i) Written approval of the Chair of the Thesis Defense Jury about the complete revision of the thesis in the final version.
  - (ii) Evidence that Ph.D. student has submitted copies of his/her thesis to the USTH Library and the National Library of Vietnam.
  - (iii) 2 portrait pictures (3x4cm).
4. Necessary documents for USTH Ph.D. Diploma issuance include
- (i) Decisions of USTH Principal Rector on establishing Thesis Defense Jury and thesis defense organization.
  - (ii) Report of Thesis Defense Jury with signatures of all jury members, which clearly states the scientific result of the thesis defense and the decision of the Jury.
  - (iii) Reports of the reviewers of the Thesis Defense Jury.
  - (iv) Evidence that Ph.D. student has submitted copies of his/her thesis to USTH Library and the National Library of Vietnam.
5. After collecting all necessary documents, and after 03 months from the date when the Ph.D. thesis is posted on the website, USTH-DS submits the dossier to USTH Rector Board to approve the conferment of the USTH Ph.D. Diploma to the successful Ph.D. student. The USTH Principal Rector issues the decision on the conferment of USTH Ph.D. Diploma to successful Ph.D. student.
6. USTH Ph.D. diploma is printed once a year and awarded to successful Ph.D. students in the Opening Ceremony of the subsequent Academic Year of USTH. The diploma is awarded without classification.

## **CHAPTER 6. EXECUTION PROVISIONS**

### **Article 28. Execution provision**

1. This Regulation takes effect from the signing date and replaces the former Regulation of Ph.D. training at Doctoral School, University of Science and Technology of Hanoi, issued by the Decision no.140/QĐ-ĐHKHCNHN signed on June 20, 2017, the Decision on revising the Regulation of Ph.D. training at Doctoral School, University of Science and Technology of Hanoi no. 353/QĐ-ĐHKHCNHN signed on July 7, 2020.
2. Any amendment of this Regulation must be approved by the University Council of the University of Science and Technology of Hanoi.

END OF DOCUMENT./.

## APPENDIX A

### Contracts for Ph.D. students

#### 1. Subjects of application

This regulation is applicable for Ph.D. students who are in their regular training duration of the Ph.D. training program at USTH, and who register for teaching as many as 48 TCEH (Tutorial Class Equivalent Hours) per academic year at academic departments.

#### 2. Contract regime

USTH signs labor contracts or service contracts for the title of teaching assistants or research assistants with the above-mentioned Ph.D. students.

- a. Labor contracts are applied to Vietnamese Ph.D. students in either of the two cases below:
  - They have not yet signed work/labor contracts with any institutions/ organizations/ companies;
  - They have liquidated work/labor contracts with institutions/ organizations/ companies and transferred their social security registrations to USTH.
- b. Service contracts are applied to Ph.D. students in either of the two cases below:
  - Vietnamese Ph.D. students who are currently in work/labor contracts with domestic institutions/organizations/companies (including those who are on unpaid leave at domestic institutions/organizations/companies with whom they are still in work/labor contracts).
  - Ph.D. students who are foreigners.

#### 3. Main salary, service contract remuneration and salary-related payments

The University pays the salary or allowance of 4.500.000 VND/month for the Ph.D. student applying for the teaching assistant position at USTH. This salary or allowance can be reconsidered and adjusted in accordance with the government regulations on the regional minimum wage.

Regarding Ph.D. students in labor contracts, in addition to paying salaries, USTH also pays the social insurance and trade union fees (part of the employer) based on the above-mentioned salary amount. The Ph.D. students pay the social insurance and trade union fees (part of the employee) by their salary according to current regulations. They are fully eligible for all rights and benefits of insurance and trade union but not eligible for the benefits of USTH during their training duration.

USTH encourages supervisors to use part of their research funds to pay Ph.D. students another salary equal to the above-mentioned amount.