

No.: 307/QĐ-ĐHKHCN

Hanoi, April 04, 2025

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, 2009 of the Prime Minister on the establishment of the University of Science and Technology of Hanoi (USTH);

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

Pursuant to Law on Education dated June 14, 2019;

Pursuant to Law on Higher Education No. 08/2012/QH13 dated June 18, 2012 and the Law amending and supplementing a number of articles of the Law on Higher Education dated November 19, 2018;

Pursuant to Circular No. 18/2021/TT-BGDĐT dated June 28, 2021 of the Ministry of Education and Training on issuing the Regulation on doctoral admission and training;

Based on the appraisal of the Science and Training Council of USTH;

At the proposal of the Director of the Department of Academic Affairs.

DECIDES:

Article 1. To promulgate with this Decision the Regulation of doctoral training of USTH.

Article 2. This Decision takes effect from the date of signing and replaces the Regulation of doctoral training of USTH issued under the Decision No. 611/QĐ-ĐHKHCNHN dated June 29, 2022, amended and supplemented under the Decision No. 236/QĐ-ĐHKHCNHN dated March 27, 2024 by the Rector of the USTH.

Article 3. The Director of Administration, the Director of the Department of Academic Affairs, the Director of the Department of Quality Assurance and Examination, the Directors of academic departments, relevant units and individuals shall be responsible for the implementation of this Decision./.

Recipient:

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

PRINCIPAL RECTOR

(Signed and sealed)

Prof. Jean-Marc Lavest

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

REGULATION OF DOCTORAL TRAINING

(Issued with Decision No. 307 dated April 04 , 2025 by USTH Rector)

Hanoi, April 2025

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CHAPTER I. GENERAL PROVISIONS

Article 1. Scope of regulation

1. This regulation stipulates the principles, procedures, and requirements related to doctoral training at the University of Science and Technology of Hanoi (USTH) (hereinafter referred to as “the University”). It applies to admission, the training program, the organization and management of doctoral training, the thesis evaluation and the awarding of doctoral degrees. It also sets out the standards, duties and responsibilities of individuals and units involved in the implementation of doctoral training.

2. For matters concerning doctoral training that are not specified in this regulation, the provisions of Circular No.18/2021/TT-BGDĐT dated June 28, 2021, issued by the Vietnam Ministry of Education and Training on regulations for doctoral admission and training shall apply.

Article 2: Scope of application

1. This Regulation applies to PhD students enrolled from 2022 onwards. It also applies to academic departments, units and individuals involved in the training and management of PhD students at the University.

2. PhD students enrolled before 2022 shall continue to follow the doctoral training regulation in effect at the time of their admission.

CHAPTER II. ADMISSION

Article 3. Admission

1. PhD admission is conducted only once per year.
2. The admission process consists of two stages:
 - a) Preliminary screening of application dossiers;
 - b) Admission interview.

Article 4. Requirements for application

3. Applicants must hold a full-time Master’s degree, or a full-time Bachelor’s degree with an excellent grade (or distinction) or higher in a relevant field to the registered program or have completed a qualification equivalent to Level 7 in the Vietnamese Qualifications Framework in certain specialized training fields relevant to the doctoral program.

4. Applicants must have research experience demonstrated through his/her research-oriented Master’s thesis; or a published scientific article or report; or have at least two (2) years (24 months) of working experience as a lecturer or researcher at educational institutions or science and technology organizations.

5. Applicants must have a Bachelor’s degree or higher obtained through full-time study with English as the language of instruction; or have a Bachelor’s degree in

English Linguistics and Literature issued by a Vietnamese educational institution; or must hold one of the following valid certificates of English language:

- a) TOEFL iBT 46 or higher;
- b) IELTS 5.5 or higher;
- c) TOEIC (Listening: 400; Reading: 385; Speaking: 160; Writing: 150 or higher);
- d) Cambridge Assessment English: B2 First/ Linguaskill 160 or higher;
- e) Other foreign language certificates equivalent to level 4 of the 6-level Foreign Language Proficiency Framework for Viet Nam approved by the Ministry of Education and Training.

6. Applicants must submit a research proposal approved by their prospective supervisor(s).

7. Applicants who are currently employed by a company/institution must provide an official letter of consent from their employer, confirming permission to pursue the doctoral training program at USTH.

8. The application dossier (in English) includes the following documents:

- a) Application form;
- b) Notarized copies of degrees, certificates, transcripts of Bachelor program (or of a program with an equivalent Level 7 qualification according to the Vietnamese qualifications framework) and Master levels. If the degrees, certificates and transcripts are not issued in English, notarized copies must be translated into English;
- c) Degrees and academic transcripts issued by foreign institutions must be submitted together with an explanation of the grading scale;
- d) Valid English certificates;
- e) Motivation letter of the candidate;
- f) Recent scientific curriculum vitae (CV), presenting the educational background, academic achievements, professional experience or experience in student activities;
- g) Certificate of employment (if any);
- h) Consent letters and scientific curriculum vitae (CV) of proposed supervisors;
- i) Recommendation letters from 02 scientists having a PhD degree or higher;
- j) Research proposal in English;
- k) Full list and copies of scientific articles and publications in domestic and international journals (if any);
- l) A copy of certificates of merit or awards (if any);
- m) Proof of financial capacity (applicable to international doctoral candidates when completing enrollment procedures in accordance with the regulations).

Article 5. Admission announcement

1. The Department of Admissions and Communications (DAC) shall submit the admission announcement to the Rector for approval and promulgation and shall publish it on the University's website at least 30 days prior to the admission period.

2. The admission announcement shall include the following information: eligibility criteria and requirements for applicants; the list of doctoral programs and corresponding admission quotas; application dossier requirements; the admission

schedule and procedures; tuition fees and policies on tuition waivers, reductions, and financial support for PhD students during their studies.

Article 6. Admission Interview Jury

1. The DAC shall receive and conduct the preliminary screening of application dossiers. If necessary, the DAC may consult the Director/ Co-Director of the relevant academic department regarding the quality of an applicant's dossier before proceeding to the next admission steps.

2. Based on the recommendation of the relevant academic department, the DAC shall submit to the Rector a proposal for the issuance of a Decision on the establishment of an admission interview jury for each candidate who passes the preliminary screening. The jury consists of five (5) members, including at least:

- a) One representative of the relevant academic department/research laboratory;
- b) One senior scientist with expertise in the applicant's research field;
- c) One scientist with relevant expertise serves as the scientific secretary of the jury.

Article 7. Duties of the admission interview jury

1. The jury shall evaluate the applicant's dossier and academic qualifications. The evaluation shall cover:

- a) The applicant's academic competence;
- b) The scientific significance and feasibility of the doctoral research proposal;
- c) Necessary adjustments to the research proposal (if any);
- d) The list of doctoral and supplementary courses to be completed by the applicant (if any).

2. Each jury member shall independently assess the applicant's research proposal and presentation using a 100- point scale.

Article 8. Admission results

1. An applicant shall be considered qualified for admission if his/her average score is 55/100 or higher.

2. Based on the results of the admission interview jury, the admission quota and the recommendations of the relevant academic department (if necessary), the DAC shall compile the list of admitted candidates and submit it to the Rector for approval and issuance of the Decision on admission recognition.

3. The DAC shall send the Decision on admission recognition and the list of admitted candidates to the Department of Student Affairs (DSA) and shall concurrently notify all applicants of their admission results.

4. The DAC shall be responsible for archiving and managing the original admission records for doctoral programs. After the enrollment of PhD students, the DAC shall transfer to the Department of Academic Affairs (DAA) the following documents:

- a) A copy of each admitted candidate's application dossier, including all documents from point (a) to point (j), Clause 6, Article 4 of this Regulation (excluding

copies of scientific publications);

b) The original Decision on the establishment of the admission interview jury and a copy of the Jury's report, including the list of required doctoral and supplementary courses (if any) for the PhD student;

c) The original Decision on admission recognition.

Article 9. Enrollment and recognition of the PhD student's thesis topic and supervisor(s)

1. The DSA shall announce the enrollment schedule, tuition fees, and the list of required enrollment documents to the successful applicants. The DSA shall also issue to each PhD student an official certificate of enrollment, a student ID number and an official email address to be used throughout their studies at the University.

2. Upon completion of the enrollment process, the DSA shall transfer the PhD students' enrollment dossiers to the DAA and coordinate the organization of an orientation meeting for newly admitted PhD students with representatives of the Rector Board, the DSA and the DAA to introduce the doctoral training Regulations and other relevant rules.

3. The DAA shall coordinate with the PhD student and his/her supervisor(s) to confirm the thesis title and shall submit it to the Rector for the issuance of a Decision approving the thesis title and supervisor(s). The official training period of the PhD student shall commence from the date of issuance of this Decision.

CHAPTER III. TRAINING PROGRAM AND TRAINING ORGANIZATION

Article 10. Training duration

1. The PhD training program shall be conducted on a full-time basis at USTH and/or at USTH-associated laboratories.

2. The official training period is three (3) years (36 months) for PhD student holding a Master's degree or an equivalent qualification, and four (4) years (48 months) for those holding a Bachelor's degree. The training period shall be counted from the date of issuance of the Decision approving the thesis title and supervisor(s) until the date the thesis is approved by the Internal Jury.

3. In cases where a PhD student is unable to complete the thesis within the official training period, he/she must submit a request for an extension at least three (3) months prior to the expiration of the official training period. The total extension period shall not exceed thirty-six (36) months.

4. PhD student may submit a request for an early thesis defense if all of the following conditions are met:

a) The student has been enrolled in the doctoral program for at least twenty-four (24) months;

b) The student has fulfilled all requirements of the training program;

c) The student has obtained the Rector's approval for the early defense request.

Article 11. Training program

1. The training program consists of 180 ECTS, structured as follows:

No	Content	Number of ECTS
1	Common courses	4
2	Doctoral courses	12
3	General essay	2
4	Thematic essay	2
5	PhD thesis	160
	Total	180

2. In addition to the program specified in the Clause 1 above, PhD students holding a Bachelor's degree must accumulate an additional 60 ECTS by taking courses from the Master's program in the same or a related discipline relevant to their research (excluding for foreign language courses and the Master's thesis).

3. PhD students are required to fully participate in other academic activities as prescribed by the training program.

Article 12. Standard study plan

Year	PhD student without a Master's degree	PhD student holding a Master's degree or an equivalent qualification
1	<ul style="list-style-type: none"> - Complete 60 ECTS of Master's-level courses as required by the regulations (excluding foreign languages courses and Master's thesis) - Take supplementary courses (if any) 	<ul style="list-style-type: none"> - Take supplementary courses (if any) - Take common and doctoral courses
2	<ul style="list-style-type: none"> - Complete 60 ECTS of Master's-level courses as required by the regulations (excluding foreign languages courses and Master's thesis) - Take common and doctoral courses 	<ul style="list-style-type: none"> - Complete common courses and doctoral courses. - Complete two doctoral essays - Present at the Mid-term Evaluation Committee
3	<ul style="list-style-type: none"> - Complete common and doctoral courses. - Complete two doctoral essays - Present at the Mid-term Evaluation Committee. 	<ul style="list-style-type: none"> - Complete scientific publications. - Complete the doctoral thesis - Defend the PhD's thesis
4	<ul style="list-style-type: none"> - Complete scientific publications. - Complete the doctoral thesis - Defend the PhD's thesis 	

Article 13. Common courses and Doctoral courses

1. Common courses are courses related to management science and soft skills, including problem-solving, decision-making, critical thinking, scientific integrity,

communication skills, scientific writing, interview preparation and other relevant topics. Each common course is equivalent to two (2) ECTS.

2. Doctoral courses are specialized courses related to the student's research topic, developed and managed by the relevant academic department. The list of doctoral courses may be revised annually. Each doctoral course is equivalent to three (3) ECTS.

3. PhD students may be permitted to substitute up to two (2) courses with equivalent academic activities, such as delivering presentations at national or international scientific conferences, participating in advanced training courses, or engaging in internships related to the thesis topic or training courses on research skills provided by institutions outside the University.

4. Organization of Common courses and Doctoral courses:

a) Each year, the relevant academic departments shall develop the doctoral teaching plan in accordance with announcements and guidelines issued by the DAA. The DAA shall consolidate these plans and submit them to the Rector for approval;

b) The academic departments shall announce the course schedules to their PhD students and organize the teaching according to the approved plan. The academic department responsible for the common courses shall develop the teaching plan for all PhD students of all programs and ensure proper delivery of these courses;

c) Upon completion of each course, the academic department shall submit the grade reports to the DAA for archiving.

Article 14. General essay and Thematic essay

1. A General essay is a study that defines the theoretical framework guiding the research; analyzes and evaluates previous studies conducted by both domestic and international scholars closely related to the thesis topic; identifies existing gaps; and outlines the specific issues that the thesis research shall aim to address.

2. A Thematic essay is a study in which the PhD student presents new knowledge directly related to their thesis topic, including the theoretical foundation, research methods, and research findings. The content of the thematic essay shall address, either wholly or partially, the key components of the thesis topic.

3. The PhD student shall work under the supervisor(s)' guidance to determine the content and implementation methods for both the General essay and the Thematic essay.

4. Both the General essay and the Thematic essay shall be evaluated by the Essay Evaluation Committee, which is organized annually during the Doctoral Day event. The Committee shall consist of three (3) to five (5) members, including lecturers, scientists, or experts with relevant expertise in the research field of the essays. The responsibilities of the Committee are as follows:

a) Evaluate the quality of essay based on individual score sheets completed by each member, using a 20-point scale;

b) Provide recommendations for revisions or modifications to the essay content,

if necessary.

5. If the average score of an essay is below 10.0 points, the PhD student is required to revise and resubmit the essay for evaluation in the next Essay Evaluation Committee session.

Article 15. PhD thesis

1. The PhD thesis constitutes the most important component of the PhD training program and serves as the primary basis for USTH to award the PhD degree.

2. The PhD student's thesis topic shall be specified in the Decision on the recognition of the thesis topic and supervisor(s) of the PhD student. Amendments to PhD student's thesis topics are regulated under Article 18 of this Regulation.

3. Depending on the work plan and the progress of the research project, the supervisor(s) and the PhD student shall determine appropriate time and duration for conducting research at a USTH academic department or research laboratory, at laboratories cooperating with USTH, at laboratories of universities within the USTH Consortium and/or at laboratories that have signed an MOU with USTH.

4. In all cases, except under a Cotutelle Agreement (co-supervision), at least 50% of the PhD student's research time must be undertaken at USTH laboratories and/or laboratories cooperating with USTH in Vietnam.

Article 16. Mid-term Evaluation

1. After the PhD student has completed half of the official training duration, the relevant academic department shall organize a Mid-term Evaluation Committee (MEC) to assess the PhD student's academic performance and progress of the PhD research project.

2. The MEC shall have the following responsibilities:

a) Assess the PhD student's completion of the training program, including supplementary courses, essays, common courses and doctoral courses; evaluate the progress of the research project in accordance with the approved research outline; discuss and propose appropriate adjustments to the research direction and contents, if necessary;

b) Review and propose to the Rector for approval of any changes related to the research topic and/or supervisor(s) as proposed by the supervisor(s) and the PhD student.

3. Based on the research field of the PhD thesis topic and the PhD student's self-assessment report, the relevant academic department shall propose the list of members of the MEC. The DAA shall submit the proposal to the Rector for the issuance of the Decision on the establishment of the MEC. The MEC shall be composed of five (5) members, including:

a) Scientists with relevant expertise, working at the academic department/laboratory where the PhD student conducts his/her research project and/or participates in academic activities;

b) The supervisor(s);

c) A scientist with expertise in the PhD student's research field (preferably a lecturer of the relevant academic department) serving as the scientific secretary of the Committee.

4. The Mid-term evaluation dossier archived at the DAA shall include:

- a) The Decision on the establishment of the MEC;
- b) The Minutes of the MEC meeting;
- c) Evaluation forms completed by the MEC members;
- d) The PhD student's self-assessment report.

Article 17. Evaluation of the annual progress report

1. Each PhD student shall submit an annual progress report, certified by his/her supervisor (s), to the DAA and the relevant academic department.

2. The annual progress report shall include:

- a) The student's academic and research achievements;
- b) The study and research plan for the following year;
- c) The supervisor's comments and assessment.

3. Based on the submitted reports, the DAA and the relevant academic department shall evaluate:

- a) The completion of required courses;
- b) The progress of the research project;
- c) The feasibility of the proposed plan for the following year;
- d) Recommendations regarding scholarship eligibility or academic disciplinary actions (if any).

4. PhD students who fail to submit the annual progress report or who demonstrate unsatisfactory research progress for two (2) consecutive years may be subject to academic suspension.

Article 18. Changes during the PhD training program

1. During the prescribed training period, the PhD student and his/her supervisor(s) may request the implementation of the following matters:

- a) An adjustment to the thesis title, which does not alter its objectives, scope, or content;

Requests for adjustment of the thesis title may be submitted no later than immediately after the completion of the Internal Jury.

- b) A change of the research topic, including changes to the objectives, scope, or content that substantially alter the topic compared with the approval research proposal;

Requests for change of the research topic may be submitted no later than immediately after the completion of the MEC.

- c) A change of supervisor(s);

Requests for change of the supervisor may be submitted no later than immediately after the completion of the MEC.

- d) An addition of supervisor(s);

Requests for appointment of an additional supervisor may be submitted no later

than immediately after the completion of the MEC.

e) Extension of training period.

Requests for extension of the training period shall be considered within the prescribed period of study.

2. The request dossier shall include the following documents:

a) *For an adjustment of the thesis title:*

- A request letter jointly submitted by the PhD student and the supervisor(s);
- Minutes of relevant committee meetings (if any).

b) *For a change of the research topic:*

- A request letter jointly submitted by the PhD student and the supervisor(s);
- The revised research proposal;
- Minutes of the MEC meeting.

c) *For a change of the supervisor:*

- A request letter submitted by the PhD student;
- A resignation letter or equivalent document from the current supervisor;
- An acceptance letter from the new supervisor, clearly stating the PhD student's name and research topic;

- The scientific curriculum vitae (CV) of the new supervisor;

- An updated research proposal, certified by the new supervisor;

- Minutes of the MEC meeting.

d) *For an addition of supervisor:*

- A request letter jointly submitted by the current supervisor;
- An acceptant letter from the additional supervisor, clearly stating the PhD student's name and his/her title of research topic;

- The scientific curriculum vitae (CV) of the additional supervisor;

- An updated research proposal approved by all supervisors;

- Minutes of the MEC meeting.

e) *For an extension of the training duration:*

- A request letter for extension approved by the supervisor(s), the sponsoring organization (if any) and the relevant academic department.

Article 19. Supervision under a Cotutelle agreement

1. A PhD student may conduct his/her PhD research under a Cotutelle (co-supervision) agreement, supervised by one full-time lecturer of USTH and one supervisor affiliated with a partner institution in France or another country.

2. Thesis defense under a Cotutelle agreement shall be conducted as follows:

a) The thesis shall be defended once, either at USTH or at the partner institution, and the defense results shall be recognized by both institutions;

b) The head of the institution where the PhD student defends his/her thesis shall issue the decision on the establishment of the Thesis Examination Jury. The composition of the jury, as well as qualifications and responsibilities of its members

must comply with the current regulations of each country and the Cotutelle agreement between USTH and the partner institution.

3. Awarding of the doctoral degree: upon successful defense of his/her PhD thesis before the Thesis Examination Jury, the PhD student shall be awarded two doctoral degrees: one issued by USTH and one issued by the partner institution.

4. Other provisions:

a) The PhD student must be enrolled at both USTH and the partner institution in France or another country; tuition fees shall be paid at only one of the two institutions in accordance with the Cotutelle Agreement.

b) The PhD student shall conduct his/her studies and research work alternately between USTH and the partner institution according to the mutually agreed schedule specified in the Cotutelle agreement.

c) USTH and the partner institution shall sign a cotutelle agreement for each PhD student, including mutually agreed terms to ensure proper implementation of the Cotutelle program, particularly conditions related to social protection.

5. Intellectual property rights: To protect the interests of both training institutions and the PhD student, both USTH and the partner institution agree that the protection of the thesis topic, research publications and the exploitation and protection of the research outcomes resulting from the PhD student's work at both institutions must comply with applicable regulations and follow the specific procedures of respective countries. Intellectual property provisions shall be detailed in an appendix to the Cotutelle agreement.

6. In case of disputes or arising issues, resolution shall follow the regulations and practices applicable to the parties concerned.

Article 20. Doctoral program Evaluation Committee

1. The Doctoral Program Evaluation Committee (DPEC) shall be established annually to review all activities related to the doctoral training program at USTH and to recommend necessary adjustments aimed at improving the quality of the program.

2. The DPEC shall be composed of the following members:

- a) A representative of the Rectorate Board;
- b) A representative of the DAA;
- c) Representatives of the academic departments offering doctoral programs;
- d) External experts with relevant expertise in the doctoral training disciplines offered at USTH, or in the field of education management and training organization.

CHAPTER IV. PHD THESIS EVALUATION

Article 21. Requirements for a PhD thesis

1. Scientific content presented in the PhD thesis must be the research results obtained by the PhD student himself/herself or the outcomes obtained in collaboration with other scientists in which the PhD student plays the principal role. In case of co-authorship, the PhD student must obtain consent of the co-authors for the use of shared

data and research results in the thesis. In all cases, the PhD student and his/her supervisor(s) shall bear full responsibility for the integrity and accuracy of the thesis' contents.

2. The PhD thesis shall be written in English. The abstract must be provided in both Vietnamese and English. A French-language abstract is encouraged.

3. The format and presentation style of the PhD thesis must comply with international academic standards and follow the formatting guidelines prescribed by the University.

Article 22. Conditions for submitting the thesis defense dossier

A PhD student shall be eligible to submit the defense request upon fulfilling all of the following requirements:

1. Completion of all the required courses in the training program, including:
 - a) Supplementary courses (if any);
 - b) Essays, common courses, and doctoral courses.
2. Obtaining written approval from supervisor(s) confirming that the PhD student is eligible to submit the application for the Internal jury.
3. Being the main author of at least two (2) research papers resulting from the PhD research work which have been published or accepted for publication in reputable peer-reviewed scientific journals or conference proceedings. Among these, at least one (1) paper must have been published or accepted for publication in an international peer-reviewed journal or proceedings indexed in the Web of Science or Scopus databases. PhD students must clearly indicate their affiliation as University of Science and Technology of Hanoi (USTH). Higher requirements may be applied to specific training field, subject to a written request from the relevant academic department and approval by the DPEC.
4. Have fulfilled all financial obligations to the University.

Article 23. Procedures for the evaluation of the thesis

1. The application dossier for the PhD thesis defense shall include:
 - a) A request letter for the Internal Jury defense, approved by the supervisor(s);
 - b) A training record of academic and research activities, accompanied by supporting documents of academic achievements and equivalent activities;
 - c) Abstracts (one hard copy and one electronic copy);
 - d) One complete thesis manuscript (one hard copy and one electronic copy);
 - e) Copies of published papers or official evidence of acceptance for publication in journals, as specified in Clause 3, Article 22 of this Regulation;
 - f) A certificate of completion of all financial obligations to the University;
 - g) Other relevant documents (if any).
2. The PhD thesis shall be evaluated at two levels:
 - a) Internal Jury;
 - b) Thesis Examination Jury.

Article 24. Internal Jury

1. Based on the research field of the PhD thesis and the PhD student's application for the Internal defense, the relevant academic department shall propose a list of members of the Internal jury. The DAA shall submit the proposal to the Rector for the issuance of the Decision on the establishment of the Internal Jury, comprising five (5) members, including:

a) The Chair and jury members shall be scientists with expertise relevant to the PhD's research field and must meet the eligibility criteria for participation in doctoral training activities as stipulated in Article 29 of this Regulation. The Internal jury must include at least two (2) reviewers;

b) The Secretary of the Internal jury must be a scientist currently working at the academic department/ laboratory where the PhD student conducts his/her research, with expertise relevant to the PhD student's research field and meeting the eligibility criteria for participation in doctoral training activities as stipulated in Article 29 of this Regulation;

c) At least two (2) external scientists from outside of the University;

d) The supervisor(s) may attend the Internal Jury meeting for academic discussion but shall not participate in the evaluation of the thesis.

2. The Internal Jury's meeting shall take place at USTH. The Chair may allow members to attend the meeting online (via video-conference) when necessary.

3. The Internal jury shall evaluate the thesis manuscript and may propose amendments, modifications or revisions, if any, to ensure the quality of the thesis before its submission to the Thesis Examination Jury.

4. Each member of the Internal Jury shall independently evaluate the Thesis manuscript using an individual evaluation form. Based on the evaluation sheets and discussion during the meeting, the Secretary shall prepare the meeting minutes of the Internal Jury, which must clearly state the following points:

a) The Internal Jury's assessment of the thesis' scientific contributions;

b) Shortcomings and issues, and required revisions;

c) The conclusion: whether the PhD thesis is qualified or not qualified for submission to the Thesis Examination Jury.

5. If the Internal Jury concludes that the PhD thesis is qualified for submission to the Thesis Examination Jury, the PhD student shall revise the thesis based on the Internal Jury's feedback and complete the application dossier for the Thesis Examination Jury within six (06) months from the date of the Internal Jury meeting. Failure to meet this deadline shall render the Internal Jury results invalid. The relevant academic department is responsible for compiling and submitting to the DAA the dossiers of the Internal Jury, including:

a) The meeting minutes;

b) Evaluation sheets of all jury members;

c) The revised thesis (one soft-bound printed copy and one digital copy), incorporating all required corrections;

d) A written explanation of the revisions made, certified by the supervisors and the Chair of the Internal Jury.

6. If the Internal Jury concludes that the PhD thesis is not qualified for submission to the Thesis Examination Jury, the PhD student must revise the thesis manuscript in accordance with the jury's recommendations. The Internal Jury shall reconvene to re-evaluate the revised thesis, no sooner than six (06) months from the date of the initial meeting.

Article 25: Independent review

1. The DAA shall organize an independent review of the PhD thesis prior to the establishment of the Thesis Examination Jury. The independent review process must be completed within six (6) months from the date the PhD student completes the thesis submission procedures after the thesis has been approved by the Internal Jury. In cases where a second round of independent review is required as stipulated in Clause 3 of this Article, the review period may be extended by a maximum of three (3) months.

2. The thesis manuscript shall be reviewed by two (2) external scientists or experts with expertise relevant to the PhD thesis topic, who meet the same qualification criteria as supervisors as stipulated in Article 30 of this Regulation. Independent reviewers must not have any direct interest with the PhD student or the supervisors; must not be parents, spouses, children, or siblings of the PhD student; and must not have had direct collaboration or professional involvement with the PhD student or the supervisors regarding the thesis during its preparation.

3. The independent review must ensure objectivity and transparency. The reviewers' opinions must clearly indicate whether the thesis meets the quality threshold for Thesis Examination Jury round. The PhD thesis shall be considered to have successfully passed the independent review when both independent reviewers approve. If one reviewer disapproves, the DAA shall appoint an additional independent reviewer to provide further evaluation. In cases where both independent reviewers disapprove, the PhD student and supervisors must revise and supplement the thesis and proceed with a second round of independent review. A third round of independent review shall not be conducted.

4. PhD thesis that have supported by two (2) or more published or accepted publications in journals or conference proceedings indexed in the Web of Science/Scopus are not required to undergo an independent review. However, if the Internal Jury has divergent opinions or recommends further assessment of the thesis quality, the DAA shall organize an independent review prior to the establishment of the Thesis Examination Jury.

Article 26. Thesis Examination Jury

1. Based on the proposal of the relevant academic department and the Internal Jury defense dossier, the DAA shall submit to the Rector for consideration the issuance of a Decision on the establishment of the Thesis Examination Jury (TEJ). The TEJ must satisfy the following principles and conditions:

a) The Chair and the reviewers must be senior scientists (Professor, Associate Professor, Doctor of Science) with expertise relevant to the PhD thesis topic. Reviewers must not be co-authors with the PhD student on any publications related to the PhD thesis research;

b) The Secretary and other members must be scientists with expertise relevant to the PhD thesis topic and must meet the eligibility criteria for participation in doctoral training activities as stipulated in Article 29 of this Regulation;

c) The Jury shall be composed of seven (7) members;

d) At least two-thirds (2/3) of the members must be senior scientists (e.g., Professors, Associate Professors, or holders of a Doctor of Science degree);

e) No more than one-third (1/3) of the members may have served on the Internal Jury of the same PhD thesis;

f) No more than three (3) members may be lecturers or researchers of USTH;

g) There must be at least two (2) reviewers, including at least one international expert;

h) A supervisor may join the jury as a member, but shall not serve as a reviewer;

i) Relatives of the PhD student are not permitted to serve on the TEJ under any circumstances.

2. Working procedures of the reviewers

a) Based on the Decision on the establishment of the Thesis Examination Jury, the DAA shall send the PhD thesis manuscript to the reviewers in both digital and printed formats. Within six (6) weeks from the date of receipt, the reviewers must submit their evaluation reports to the DAA, clearly indicating one of the following conclusions: the thesis is qualified for defense; the thesis is qualified for defense after minor/major revisions; or the thesis is not qualified for defense before the Jury;

b) If any reviewer disapproves, the PhD student must revise and supplement the thesis in accordance with the reviewers' comments and submit the revised thesis to the DAA together with a written explanation of the revisions, certified by the supervisors. The defense shall proceed only after the Chair of the Jury confirms that the revised thesis is qualified for defense.

3. Organization and working process of the TEJ:

a) The DAA shall coordinate with Jury members to determine an appropriate time for the defense session and submit the proposed defense schedule (time, venue, and format) to the Rector for approval.

b) The Rector shall issue the official defense schedule, which shall be publicly announced on the University's official website at least ten (10) working days before the defense.

c) The defense shall normally take place at USTH. With the approval of the Rector, certain members may attend the meeting online (via video-conference) when necessary.

d) In cases where the thesis contains confidential information (e.g. proprietary technology, national defense and security matters, or obligations arising from research contracts with enterprises), and upon written request from supervisor(s), the DAA

shall submit to the Rector for approval to hold a closed (non-public) defense. In all other cases, the defense shall be public.

e) The TEJ meeting shall not take place if the Chair is absent; or the Secretary is absent; or if more than half of the reviewers are absent.

f) After the defense session, the Jury shall hold a closed deliberation to:

- Vote on whether the PhD student shall be awarded the Doctoral Degree of USTH. The thesis shall be accepted if no more than one (1) vote against it;

- Specify the required modifications or revisions to the thesis manuscript prior to the award of the degree. These modifications or revisions must be approved in writing by the Chair of the Jury.

- Recommend whether the PhD student must undergo re-evaluation in cases where the student is not approved for the Doctoral Degree due to the insufficient academic competence and/or the thesis failing to meet the required standards.

g) The Secretary shall prepare the official meeting minutes of the defense, which must be signed by all jury members. In the case of an online defense, the full proceedings must be fully recorded and archived at USTH. The meeting minutes shall clearly indicate all requirements that the PhD student must fulfill before any re-examination (if any).

h) The DAA shall collect and archive all evaluation documents of the Jury, including:

- The official minutes of the defense;
- Evaluation reports submitted by Jury members;
- Ballots from the closed deliberation.

Article 27. Second Thesis Examination Jury

1. In cases where the TEJ does not approve the awarding of the USTH Doctoral degree, the PhD student must revise the thesis as required by the Jury before it may be reconsidered for re-examination.

2. The composition of the second TEJ shall remain the same as that of the first jury. If any member is unable to participate, the Rector shall appoint a replacement.

3. The second TEJ shall be established and shall operate in accordance with the Article 26 of this Regulation.

4. The second thesis defense shall take place no later than twelve (12) months and no earlier than three (3) months from the date of the first defense.

5. A third thesis defense shall not be organized under any circumstances.

CHAPTER V. PHD DEGREE CONFERMENT

Article 28. Post-defense procedures and PhD Degree award

1. Within six (6) months from the successful defense of the PhD thesis before the TEJ (after this period, the University shall not consider degree recognition), the PhD student must submit the following documents to the DAA to complete the procedures for the award of the USTH doctoral Degree:

a) Two (2) hard-cover printed copies and one (1) electronic copy of the final thesis, approved by the Chair of the TEJ, for submission to the USTH library and the National Library of Vietnam. The complete PhD thesis shall be published on the official website of the USTH. For thesis defended under confidential procedures, the University shall not publish the thesis on its official website.

b) Proof of submission of the PhD thesis to the USTH Library and the National Library of Vietnam.

c) Two (2) portrait pictures (3x4cm).

2. The DAA shall prepare the dossier for the award of the doctoral degree, which shall include:

a) The Decisions on the establishment of the TEJ and on the organization of the thesis defense;

b) The minutes of the TEJ meeting, signed by all jury members;

c) Evaluation reports submitted by the reviewers;

d) Proof of submission of the PhD thesis to the USTH Library and the National Library of Vietnam.

3. After three (3) months from the date the PhD thesis is published on the official website of USTH, the DAA shall submit the dossier to the Rector for consideration and approval of graduation recognition and degree issuance. The Rector shall issue the Decision on awarding the USTH Doctoral Degree to the PhD student once all required and valid documents have been submitted.

4. The printing, management, issuance, and archiving of doctoral degrees shall be carried out in accordance with current regulations.

5. The USTH Doctoral Degree shall be awarded without classification.

CHAPTER VI. REQUIREMENTS, RIGHTS AND OBLIGATIONS OF RELEVANT INDIVIDUALS AND UNITS

Article 29. Requirements for lecturers teaching in the PhD training program

Lecturers involved in delivering courses in the doctoral training programs (excluding common courses) must satisfy the following requirements:

1. Hold a PhD degree in a field relevant to the doctoral course they are assigned to teach;

2. Have at least three (3) years of professional experience after obtaining their PhD degree;

3. Have conducted research within three (3) years preceding their involvement in the PhD training program, specifically: be the main author of at least two (2) research papers published in scientific journals or conference proceedings indexed in the Web of Science/Scopus or book chapters in monographs published by reputable publishers.

Article 30. Requirements for supervisors

1. Each PhD student shall be supervised by no more than two (2) scientists, at

least one (1) of whom must be a senior scientist. At least one (1) supervisor must be a full-time USTH lecturer or a French scientist currently working at one of the USTH laboratories or USTH-associated laboratories in Vietnam.

2. Supervisors must meet the following requirements:

- a) Hold a PhD degree;
- b) Have at least three (3) years of professional experience after obtaining the PhD degree;
- c) Have engaged in scientific research within the three (3) years preceding the supervision of the PhD thesis research, specifically: be the main author of at least two (2) research papers published in scientific journals or conference proceedings in the Web of Science/Scopus, or book chapters in monographs published by reputable academic publishers;
- d) Have served as principal investigator of at least one (1) research project that has been officially accepted and then successfully completed.

3. For specific research topics within training and research fields that the University aims to promote, senior scientists from VAST institutions may be recognized as USTH lecturers to supervise PhD students.

4. At any given time, a professor may independently supervise up to seven (7) PhD students; an associate professor may independently supervise up to five (5) PhD students; and a PhD holder may independently supervise up to three (3) PhD students. In cases of co-supervision, one (1) PhD student shall be counted as 0.5 equivalent in terms of supervision load calculation.

Article 31. Roles and Responsibilities of the Supervisor:

1. The supervisor shall have the following responsibilities:

- a) Supervise PhD student in conducting research in accordance with the approved research proposal and support the development of the student's academic capabilities;
- b) Ensure all necessary working conditions are provided for the PhD student throughout his/her training period;
- c) Propose the annual work plan for PhD students and provide guidance on the selection of appropriate doctoral courses and other academic activities (e.g., internships, research stays in international laboratories, participation and/or presentations at national or international conferences and specialized training schools, etc.).
- d) Support the PhD students in his/her future career orientation (e.g., facilitate teaching assistant opportunities if the candidate intends to apply for a full-time lecturer position at the University);
- e) Provide the written approval for the PhD thesis manuscript before it is submitted to the academic department for formal evaluation.

2. The Supervisor may propose the termination of supervision of the PhD student in any of the following cases:

- a) The PhD student fails to comply with the approved study and research plan;
- b) The PhD student does not cooperate with the supervisor or remains out of contact with the supervisor for a continuous period of six (6) months without valid justification;
- c) The PhD student fails to meet the expected progress as assessed in the periodic assessments.
- d) The PhD student engages in academically or socially unethical behavior, or violates the regulations of the University or of the host institution where the research is conducted.

3. Procedure for proposing the termination of supervision:

a) The supervisor shall submit a written request to the DAA proposing the termination of doctoral supervision. The request shall specify the supervision period, tasks assigned, the PhD student's performance, and the reasons for the proposed termination, accompanied by evidence of the PhD student's violation of any cases specified in Clause 2 of this Article (such evidence may include emails, meeting minutes, periodic evaluations, etc.). While awaiting resolution, the supervisor may temporarily suspend assigning new tasks to the PhD student.

b) The DAA shall convene a meeting to review the termination request, with participation of the PhD student, the supervisor, the relevant academic department, and relevant individuals or units (depending on the specific case), to ensure an accurate and comprehensive assessment. The meeting minutes shall clearly state the conclusion, which must fall into one of the following cases:

- Case 1: The supervisor agrees to continue the supervision;
- Case 2: If the violation is not considered serious, the relevant academic department shall assign a replacement supervisor for the PhD student within a maximum of six (6) months;
- Case 3: A proposal to terminate the PhD student's studies if the violation is serious and the student no longer meets the conditions to continue the program.

In Case 3, based on the meeting minutes, the DAA shall submit a proposal to the Rector for the issuance of the Decision to terminate supervision, and notify in writing the PhD student, the supervisor, and relevant parties.

Article 32. Rights and obligations of PhD students

1. Rights of PhD students

a) PhD students may participate in research groups led by their supervisor(s) as research assistants, in accordance with the annual training schedule proposed by the supervisor(s).

b) PhD students may apply for the position of teaching assistant at USTH during the official training period (as specified in Appendix A).

2. Obligations of PhD students

a) PhD student must fully participate in all academic activities including conferences, workshops, seminars, and discussions organized by the laboratories or

academic departments where their research is conducted.

b) PhD students must fully comply with the regulations of USTH, the relevant academic department and the laboratory where their research is conducted.

c) At the beginning of each academic year, PhD students must submit a progress report with the approval of supervisor(s) to the DAA and the relevant academic department. This progress report shall serve as the basis for annual performance evaluation, scholarship ranking, and financial support decisions, etc.

3. PhD students are strictly prohibited from contacting any member of the TEJ in any form before the scheduled date of the PhD thesis defense.

Article 33. Academic and Research Integrity

1. PhD students must strictly adhere to ethical principles in scientific and academic research, including:

- a) Honesty in collecting, processing, and presenting research data;
- b) Full and accurate citation of all reference sources;
- c) No plagiarism or copying in any form;
- d) No fabrication or falsification of data or research results;
- e) Compliance with the University's regulations and current laws on intellectual property and copyright.

2. In cases of research ethics violations, the PhD student shall be subject to disciplinary measures in accordance with the University's regulations including potential dismissal from the program if the violation is deemed serious.

Article 34. Responsibilities of the Department of Academic Affairs

1. Manage PhD student records throughout their study period at the University; verify, collect, and archive all required documents in accordance with the regulations; receive and process requests for changes of research topics and supervisors;

2. Notify the relevant academic department of PhD students' study plans to ensure the timely implementation of training and research activities;

3. Develop, revise, and submit to the Rector for issuance documents related to doctoral training (training regulations, teaching plans, forms used in doctoral training activities);

4. Prepare periodic reports on the doctoral training program in accordance with regulations and requirements of relevant stakeholders.

5. Coordinate with the Organization - Personnel Department in the process of signing employment or service contracts between USTH and PhD students;

6. Coordinate with the relevant academic department in organizing the Internal Jury and the TEJ. Specifically, the academic departments shall propose a list of potential jury members and the DAA shall submit the proposal to the Rector for issuance of the Decision on the establishment of the juries, together with the relevant dossier of the PhD student;

7. Consolidate graduation dossiers of eligible PhD students and submit them to the Rector for approval of the graduation and doctoral degree conferment decisions;

transfer the approval Decision to the DQE for implementation of procedures related to the printing and awarding of doctoral degrees;

8. Lead the organization of the annual Doctoral Day.

Article 35. Responsibilities of the Academic Department

1. Develop the annual doctoral teaching plan in accordance with the announcement and guidelines provided by the DAA; Organize the teaching of doctoral courses and submit transcripts to the DAA for record-keeping;

2. Manage PhD students who have signed employment contracts with the University; coordinate with relevant units to assign teaching hours to PhD students and notify the DAA of such assignments for monitoring and reporting purposes;

3. Organize the MEC and the Internal Jury for its PhD students, and submit the original documents of these committees to the DAA for archiving;

4. Propose suitable experts to serve on various committees, including the Admission Interview Committee, Essay Evaluation Committee, Committees reviewing requests to change research topics or supervisors, the Internal Jury and the TEJ;

5. Conduct an academic integrity check of the PhD thesis manuscript before submitting the dossier to the Internal Jury.

Article 36. Responsibilities of the Department of Admissions and Communications

1. Lead the organization of the annual admissions process for the doctoral training program; coordinate with the DAA and relevant academic departments in determining the admission quotas, list of PhD topics, supervisors, and members of the admission interview committee;

2. Ensure transparency and openness throughout the admissions process, including communication with applicants and notification of admission results;

3. Promptly transfer application dossiers to the DSA and the DAA to facilitate student enrollment and implementation of the doctoral training program.

Article 37. Responsibilities of the Department of Student Affairs

1. Lead the annual enrollment process for admitted candidates of the doctoral training program; promptly transfer the enrollment documents to the DAA for training implementation;

2. Lead the annual doctoral scholarship selection process; ensure transparency and openness and announce the results;

3. Lead the announcement and collection of tuition fees for the doctoral training program in accordance with regulations; coordinate with the DAA to determine the list of PhD students required to pay tuition fees;

4. Provide support to PhD students within the scope of the Department's responsibilities including issuing enrollment confirmation letters and assisting with other related procedures.

Article 38. Responsibilities of Other Units

1. Department of Organization - Personnel: Sign and manage employment contracts with PhD students during their official training period, and notify the DAA and relevant academic departments to assign duties to the PhD students as specified in the contracts.

2. Direction of Research, Innovation and Technology Transfer: Introduce scholarship opportunities, lists of research topics, financial support, international cooperation opportunities, internship programs, scientific conferences and workshops, and research networks.

3. Other units of the University: Provide support for doctoral training activities according to their respective functions and responsibilities.

CHAPTER VII. EXECUTION PROVISIONS

Article 39. Execution provisions

1. This Regulation shall take effect from the date of signing and replace the following documents:

a) Decision No.611/QĐ-ĐHKHCNHN dated June 29, 2022 on the promulgation of the Regulation on Doctoral Training;

b) Decision No.236/QĐ-ĐHKHCNHN dated March 27, 2024, on the amendment and supplementation of certain Articles of the Regulation of Doctoral Training issued on June 29, 2022, by the Rector of the University of Science and Technology of Hanoi.

2. Any amendment of this Regulation must be approved by the Science and Training Council of the University of Science and Technology of Hanoi.

APPENDIX A

Contracts for PhD students

1. Subjects of application

This regulation applies to PhD students who are within their regular training period of the PhD program at USTH.

2. Contract regime

USTH signs labor contracts or service contracts for position of teaching assistants or research assistants with the above-mentioned PhD students.

a) Labor contracts are applied to Vietnamese PhD students in either of the following cases:

- They have not yet signed work/labor contracts with any institutions/ organizations or companies;
- They have liquidated previous work/labor contracts with other institutions, organizations or companies and have transferred their social insurance registration to USTH.

b) Service contracts are applied to PhD students in either of the following cases:

- Vietnamese PhD students who are currently under work/labor contracts with domestic institutions, organizations or companies (including those who are on unpaid leave from such institutions/ organizations or companies);
- Foreign PhD students holding a valid work permit in Vietnam.

3. Duties of PhD students under a labor/service contract

a) During the official training period at the University of Science and Technology of Hanoi, PhD students may register to participate in teaching activities with the following annual workload:

- 48 hours of practical teaching and/or tutorials;
- 40 hours of teaching assistance;
- 40 invigilation sessions at one of the University's academic departments.

c) If a PhD student does not complete the required teaching hours, the remaining hours may be converted from invigilation or teaching assistance hours according to the following ratio: ***2 hours of invigilation/teaching assistance = 1 hour of practical teaching/tutorials.*** The maximum number of hours that may be converted is 24 hours.

4. Main salary, service contract remuneration and salary-related payments

a) The University pays the salary or allowance for the PhD students appointed as teaching assistant at USTH. This salary or allowance may be reviewed and adjusted in accordance with the government regulations on the regional minimum wage.

b) For PhD students under labor contracts, in addition to the salary, USTH pays the social insurance and trade union fees (part of employer) based on the salary. The PhD students pay the social insurance and trade union fees (part of the employee) from

their salary according to current regulations. PhD students 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.

c) USTH encourages supervisors to use part of their research funds to provide PhD students with additional remuneration equivalent to the salary above.

APPENDIX B
PhD Thesis Template

PHD THESIS EDITING GUIDELINES

1. General descriptions

- Together with PhD student's publication track record, the PhD thesis is a decisive document which is evaluated by USTH before awarding PhD degree to PhD student.
- PhD thesis should be edited in English. An extended abstract wherein the topic and main finding are described (1-3 A4 pages) should be edited in 02 versions using English and Vietnamese. A version in French is encouraged.
- PhD thesis should be edited by the PhD student his/herself. However, professional language checking service could be used to improve the English writing.
- PhD thesis describes the original research works that are realized by the PhD student during the PhD training period. All published and un-published results supporting to the thesis story could be described. Data that belongs to the PhD research project and needs for understanding the PhD thesis story but was not collected by the PhD student but mainly by collaborator(s) can be used. However, this latter case, the PhD student and his/her supervisor(s) should request for an official permission from their collaborator(s) for using these results. The official permission should be included inside the PhD thesis. All other results/information/discussion which are not originally generated within the PhD research project should be quoted with accurate references.
- PhD thesis, in its final form that is approved by the scientific evaluation committee, will be archived and will have archiving value. In the case when scientific or ethical fault is discovered, USTH keeps the right to process for withdrawing the PhD degree awarded.
- USTH PhD thesis should reach the international standard in quality. USTH offers the freedom to the PhD student and his/her supervisor(s) to choose and/or adapt his/her editing style following the international standard that is largely accepted in his/her research field.

2. Format guidelines

Following describes the minimum format requirement that should be strictly respected for all PhD theses at USTH.

PhD thesis should consist of following main contents:

- A cover page
- Acknowledgements
- Abstract in English, Vietnamese (and French if possible)
- Table of contents (with pagination)
- List of abbreviations (if any)
- List of Tables
- List of Figures
- Introduction (with scientific objectives)
- Core chapters
- Conclusion (and perspectives)
- Supplementary information
- References
- Appendices/Annex (if necessary)

Thesis reference number:

University of Science and Technology of Hanoi



Thesis title

Name of PhD student

Name of Department

Prof.XXXX, Name of Institution, Supervisor

Hanoi, Date of final submission

Thesis reference number:

University of Science and Technology of Hanoi



Thesis title

Name of PhD student

Name of Department

The thesis has been successfully defended on Date/Year in front of jury composed of:

Prof/ Dr. XXXX, Name of Institution, Jury chairman

Prof. XXXX, Name of Institution, Reviewer

Prof. XXXX, Name of Institution, Reviewer

Prof. XXXX, Name of Institution, Reviewer

Prof. XXXX, Name of Institution, Jury Member

Prof. XXXX, Name of Institution, Reviewer

Hanoi, Date of final submission