

REGULATION

On Doctorate enrollment and training

*(Issued together with Circular No. 08/2017/TT-BGDĐT dated April 4, 2017 of the
Minister of Education and Training)*

Chapter I

GENERAL PROVISIONS

Article 1. Scope of regulation

This Regulation prescribes the doctorate enrollment and training, including: enrollment; organizing and managing training activities; standards, tasks and rights of individuals and related units; dissertation, dissertation evaluation and defense; evaluation of the training process, the quality of the dissertation and the grant of doctorate; complaints, denunciations, inspections, checking and handling of violations.

Article 2. Subject of application

1. This Regulation is applicable to national universities, local universities, academies and universities (including the member universities of national and local universities) which are assigned the task of doctorate training, and scientific research institutes which are allowed to provide doctorate training (hereinafter referred collectively to as training institutions), relevant organizations and individuals.

2. This Regulation is not applicable to doctorate training programs, associate doctorate training programs between Vietnamese training institutions and foreign training institutions where qualifications are awarded by foreign training institutions, and associate doctorate training programs linked between Vietnamese training institutions and foreign training institutions where qualifications are jointly awarded by two parties.

Article 3. Training programs

1. The doctorate training programs shall be developed, evaluated and promulgated by the training institutions in accordance with the current regulations, meeting the following conditions:

a) A minimum academic load of 90 credits for doctoral students with a master's degree and a minimum of 120 credits for doctoral students with a university degree;

b) Output standards include practical and theoretical knowledge; cognitive skills, practical skills and communication skills; the level of autonomy and

personal responsibility for the application of knowledge and skills to perform the professional tasks of the doctorate graduates must reach Level 8 of the Vietnamese Qualifications Framework as approved in the Decision No. 1982/QĐ-TTg dated October 18, 2016 of the Prime Minister (hereinafter referred to as the Qualifications Framework).

2. The structure of the training program includes: additional subjects, doctorate-level subjects and doctorate dissertation.

3. Additional subjects are to assist doctoral students with sufficient knowledge and expertise to undertake the research.

a) For doctoral students with a master's degree: Based on the subjects accumulated at the master's level, the knowledge to be updated, supplemented and requirements of the field, research subject, directors of universities, academies, university rectors, directors of scientific research institutes which are permitted to provide doctorate training (hereinafter referred collectively to as the heads of training institutions) shall determine the quantity of subjects and credits to be supplemented by doctoral students.

b) For doctoral students without a master's degree: Additional subjects include those at the master's level in the profession or major (hereinafter referred to as the profession), except for foreign language subjects and theses; have a minimum academic load of 30 credits to ensure that the student meets the Level 7 of output standards of Qualifications Framework and the requirements of the fields, research subjects.

4. Subjects at doctorate level (including compulsory and elective subjects) aim at improving the specialized theoretical level, research methods and the ability to apply research methods, in which:

a) General essays require doctoral students to demonstrate the ability to analyze and evaluate national and international research works directly related to the research subject, thereby drawing on the research objectives and tasks of the doctorate dissertations;

b) Doctorate dissertations require doctoral students to improve their research and self-research capacity, update new knowledge directly related to the research subjects of the dissertations;

c) Each doctoral students must complete 6 to 9 subjects at doctorate level with academic load of 14 to 20 credits, of which the general essay and 02 or 03 doctorate dissertations given by the heads of the training institutions are compulsory.

5. Doctorate dissertations are the research results of doctoral students, which contain new contributions in theory and practice in the profession fields, are valuable in developing, enhancing scientific knowledge and solving the problems set out by the dissertation topics.

6. Training institutions may use the doctorate training programs of foreign training institutions in accordance with the provisions of Point c, Clause 1, Article 36 of the Law on Higher Education.

Chapter II

ENROLLMENT

Article 4. Enrollment methods and time

1. Enrollment methods: as prescribed at Point a, Clause 2, Article 34 of the Law on Higher Education.

2. Number of enrollment in a year: 01 time or more.

3. The heads of the training institution shall, based on the provisions of this Regulation and relevant regulations, be responsible to develop the enrollment scheme (refer to the form in Appendix I), ensure providing sufficient information on enrollment methods, enrollment time, quality assurance conditions and other essential information.

Article 5. Enrollment conditions

Candidates for doctorate training must meet the following conditions:

1. Have a bachelor's degree with merit or higher or master's degree.

2. To be the author of 01 article or report related to the intended research field and published in a scientific journal or in the summary record of the specialized scientific seminar, conference with peer-review within 3 years (36 months) up to the enrollment date.

3. Candidates who are Vietnamese citizens must have one of the following certificates proving their foreign language proficiency:

a) Bachelor's or master's degrees granted by foreign training institutions to full-time students in foreign countries where English or other foreign languages are used during the learning course;

b) Bachelor's degrees in foreign languages taught by Vietnamese training institutions;

c) TOEFL iBT 45 or above or IELTS (Academic Test) 5.0 or above accredited by an examination organization, recognized by Vietnam and internationally, within 02 years (24 months) up to the date of enrollment;

d) Candidates, who meet the requirements specified Point a of this Clause when the language used during the study period is not English; or meet the requirements specified at Point b of this Clause when having a university degree in foreign languages other than English; or having foreign-language certificates of equivalent level, other than English certificate (prescribed in Appendix II) as specified at Point c of this Clause, granted by an examination organization recognized by Vietnam and internationally within 02 years (24 months) up to the date of enrollment, must be able to communicate in English in a professional capacity (able to express profession's issues that other people can understand in English and understand others presenting profession's issues in English.

e) Candidates for doctorate training in English language must have a certificate of a foreign language, other than English, of equivalent level (prescribed in Appendix II) as prescribed at Point c of this Clause, granted by an examination organization recognized by Vietnam and internationally within 02 years (24 months) up to the date of enrollment; or meet the requirements specified at Point a of this Clause when the language used during the study is not English; or meet the requirements specified at

Point b of this Clause when having a university degree in a foreign language other than English.

4. Candidates who are foreign nationals must have a minimum level of Vietnamese proficiency from Level 4 or above in accordance with the Vietnamese Language Proficiency Framework for foreigners or meet foreign language requirements as specified by the training institutions.

5. Meet the requirements on managerial experience and seniority of work according to the specific requirements of each major set by the heads of the training institutions.

Article 6. Application dossier

1. Application dossier includes:

- a) Application form.
- b) Scientific background.
- c) Copies of certified diplomas and certificates or copies enclosed with the original for comparison (in case of direct submission).
- d) Evidence of scientific research experience as specified in Clause 2, Article 5 of this Regulation and working experience (if any).
- e) The research proposal (according to the form set by the training institutions, if any).
- f) A letter of introduction evaluating the professional qualification, professional capacity and research capacity of the candidate from at least 01 scientist who holds the title of professor or associate professor or holds a doctorate in science, a doctor who has participated in professional activities with the candidate and knowledgeable about the field that the candidates intend to study.
- g) Official letter for sending to enroll by direct managing agencies according to current regulations on training and fostering of public employees (if candidates are civil servants, public employees).
- h) Other relevant documents required by the training institutions.

2. Quantity of dossier: 01 set.

Article 7. Enrollment announcement

1. Enrollment announcement shall be publicized on websites of training institutions and other mass media at least 3 months before the enrollment or examination, clearly stating:

- a) Enrollment conditions;
- b) List of suitable major for consideration for each doctoral-training major; list of supervisors meeting the requirements specified in Article 11 of this Regulation;
- c) Enrollment target for each profession training;
- d) Application dossier according to the provisions of Article 6 of this Regulation and duration of receipt of dossiers and enrollment fees;
- e) Plan and method of enrollment, the time of announcing the successful candidates and admission time;
- f) Tuition fees, tuition discount policies and financial support for doctoral

students during course (if any);

g) Other requirements and information.

2. Contents of the enrollment announcement shall be responsible by the head of the training institutions, ensuring compliance with the current regulations and in conformity with the enrollment scheme of the training institutions.

Article 8. Enrollment organization and recognition of doctoral students

Pursuant to the provisions of Point b, Clause 2, Article 34 of the Law on Higher Education, heads of training institutions shall stipulate in detail the enrollment, standards, quantity, tasks and rights of individuals and collectively participating in organizing enrollment; approve the list of successful candidates and make the decision to recognize doctoral students.

Chapter III

TRAINING ORGANIZATION AND MANAGEMENT

Article 9. Training organization and management

1. Pursuant to the provisions of Clause 2, Article 37 of the Law on Higher Education, the heads of training institutions shall stipulate in details the organization and management of doctorate training to ensure compliance with the provisions of this Regulation and the relevant regulations.

2. Duration of doctorate training:

a) Duration of doctorate training (as from the date of issuance of the decision to recognize doctoral students) shall comply with the provisions of Clause 1, Article 35 of the Law on Higher Education and Point d, Clause 4, Article 2 of Decision No. 1981/QĐ-TTg dated October 18, 2016 of the Prime Minister approving the structural framework of the national education system, and ensure the completion of the minimum academic load in accordance with Clause 1, Article 3 of this Regulation;

b) In special cases, the doctoral students may shorten or extend their study duration under the provisions of Clause 7 of this Article.

3. Doctorate training is conducted in the form of formal education, doctorate students must spend at least 12 months attending continuous intensive training at the training institutions for the first 24 months after the issuance of the decision to recognize doctoral students.

4. The teaching and learning of additional subjects, subjects at doctorate level must be implemented at the institutions where the doctoral students are studying. In cases where a training institution does not provide doctoral students training program for the additional subjects, it shall send the students to study at another training institution which has been allowed to provide training program for these subjects as agreed upon between the training institutions.

5. Scientific research is compulsory in the course of conducting doctorate dissertation, the duration of scientific research is arranged within the time limit prescribed in Clause 2 of this Article.

6. Changes in the course of training:

a) The changes of the dissertation topic shall be made when the doctoral students and supervisors ensure the completion of the training program prescribed in

Clause 1, Article 3 of this Regulation, within the time limit specified at Points a, b, and c, Clause 7 of this Article;

b) The addition or replacement of supervisor shall be made no later than 12 months prior to the date of completion of the course under the decision to recognize the candidate (including the extension period, if any), except in cases of force majeure;

c) The transfer of the training institution will be considered in the case where the doctoral student's remaining course duration is at least 12 months according to the decision to recognize the doctoral student and the institution where the doctoral student is transferred to is training the corresponding profession at doctorate level. After obtaining consent of the current training institution, the head of the training institution where the doctoral student is transferred to shall receive and issue a decision on the recognition of the doctoral student with the training duration being the remaining study duration under the recognition decision of the previous training institution (including extension period, if any). The recognition of the accumulated academic results and the subjects which the doctoral student needs to supplement (if any) shall be decided by the head of the training institution where the doctoral student transfers to.

7. Completing the training program on time, extending and shortening the study duration:

a) doctoral students are considered to complete the training program on time if the dissertation has been approved by the Councils of evaluation at the universities or institutes within the duration specified at Point a, Clause 2 of this Article;

b) In case where doctoral students are unable to complete the training program on time, they must apply for a study extension before the expiry date. Maximum extension is 24 months. During this time, doctoral students must attend continuous training at the institutions.

Upon the expiration of the extension, if dissertations of the doctoral students are not approved by Council of dissertation evaluation in the universities or institutes (including the case of re-assessment as specified in Article 22 of this Regulation), the heads of training institutions shall decide to expel the doctoral students. Academic results of doctorate training program shall not be retained.

c) Heads of training institutions shall consider and decide to allow doctoral students to shorten the study duration if they have fully completed the training program under the provisions of this Regulation.

Chapter IV

STANDARDS, TASKS AND RIGHTS OF RELATED INDIVIDUALS AND UNITS

Article 10. Lecturers of doctorate training programs

1. Lecturer criteria:

a) Being a Vietnamese citizen or a foreign citizen who meets the provisions of Clause 1, Article 54 of the Law on Higher Education;

b) Having the title of professor or associate professor or having doctorate degree in science or doctorate degree with profession relevant to the subjects taken up in the training programs;

c) Previously or currently chairing scientific and technological tasks at grassroots level or higher, or previously or currently participating in scientific and technological tasks at the ministerial level or higher;

d) Being the principal author of at least 02 scientific articles or works published in specialized scientific journals.

2. Lecturers shall perform tasks and rights under the provisions in Articles 55 and 58 of the Law on Higher Education and relevant regulations.

Article 11. Supervisors of doctoral students

1. Independent supervisor criteria:

a) Being a Vietnamese citizen or a foreign citizen who meets the provisions of Clause 1, Article 54 of the Law on Higher Education;

b) Having the title of professor or associate professor or having doctorate degree in science or doctorate degree with profession relevant to the dissertation topics or research fields of doctorate students; for those who have not had the title of professor or associate professor, they must have at least 03 years (36 months) of experience in scientific research or teaching since the issue of decisions on granting doctorate degrees;

c) Previously or currently chairing scientific and technological tasks at the grassroots level or higher;

d) Being the principal author of at least 01 scientific article or work published in the journals under the journal list of ISI Thomson Reuters or Scopus - Elsevier databases (hereinafter referred to as the ISI - Scopus journal list) or at least one reference book with ISBN codes issued by foreign publishers; or being the principal author of at least 02 reports published in the summary records of international conferences with peer-review, or 02 scientific articles or papers published in the scientific journals with peer-review in the scientific fields related to doctoral students' dissertation topics;

e) In case of having no professor or associate professor title, in addition to the requirements specified at Point d of this Clause, they must be the principal author of 01 additional scientific article or work published in the ISI - Scopus journal lists;

f) Having foreign language proficiency for international scientific research and exchange;

g) An independent supervisor must be a lecturer, a full-time researcher of the training institution or a foreign or Vietnamese scientist who is working overseas and has a contract for teaching and scientific research with the training institution.

2. Each doctoral student has maximum 02 supervisors, of which:

a) The main supervisor must fully meet the criteria specified in Clause 1 of this Article;

b) Secondary supervisor must have the minimum standards specified at Points a, b and c, Clause 1 of this Article;

c) At least one person must be a lecturer or researcher of the training institution.

3. Tasks and rights of the supervisor:

a) Perform tasks and rights under the provisions in Articles 55 and 58 of the Law on Higher Education;

b) At the same time, professors can instruct independently or co-instruct maximum 05 doctoral students; associate professors or those with the degree of doctor in science can instruct independently or co-instruct maximum 04 doctoral students; those with doctorate degree instruct independently or co-instruct maximum 03 doctoral students;

c) Not instruct or co-instruct new doctoral students if, within 06 years (72 months) up to the time of assignment, there are 02 doctoral students whose dissertations are not approved by the Council of dissertation evaluation including dissertation reevaluation as specified in Article 22 of this Regulation (if any);

d) Guide, assist, evaluate, monitor and supervise doctoral students to perform the tasks of study and scientific research;

e) Through dissertations of doctoral students, propose them to be evaluated in professional units and at the university-level Councils if the dissertations meet the requirements specified in Article 15 of this Regulation.

f) Perform other tasks and rights as prescribed.

Article 12. Tasks and rights of doctoral students

1. Comply with the provisions in Articles 60 and 61 of the Law on Higher Education.

2. Develop study and scientific research plans for full courses and each semester, approved by supervisors and specialized units.

3. Periodically report on the progress and results achieved according to the regulations of the training institutions

4. Access to resources, use libraries, laboratory facilities for study, scientific research and the implementation of the dissertations.

5. Perform other tasks and rights as prescribed.

Article 13. Tasks and rights of specialized units

1. Approve doctoral students' academic and research plans; facilitate, support, urge, supervise and inspect the implementation of the plans.

2. Supervise doctoral students in study and scientific research in specialized units.

3. Organize periodical scientific activities for doctoral students.

4. Organize the evaluation of doctoral students' dissertations in specialized units; consider approving or not approving a dissertation to be evaluated at the Councils at the university or institute level on the basis of the provisions of Point b, Clause 3, Article 16 of this Regulation.

5. Perform other tasks and rights as prescribed.

Article 14. Tasks and rights of training institutions

1. Develop, promulgate and publicize detailed regulations of training

institutions on doctorate enrollment and training according to the provisions of this Regulation and relevant regulations.

2. Publicize information related to doctorate enrollment and training on their websites.

3. Organize doctorate enrollment and training, evaluation of doctoral students' dissertations and training management, grant doctorate degrees according to the plans and current regulations.

4. Ensure adequate personnel and facilities for lecturers, supervisors, doctoral students and dissertation evaluation councils (including the use of information technology tools to check and review the copy of the dissertations and passing the results to the Councils for Dissertation evaluation at the university or institute level for consideration, evaluation and conclusion).

5. Organize scientific conferences and seminars at national and international levels, publish scientific journals with peer-review.

6. Develop specific policies to promote gender equality in doctorate enrollment and training in order to contribute to achieve the objectives of the national strategy on gender equality in the field of education and training.

7. Organize the examination and inspection of the implementation of regulations on doctorate enrollment and training.

8. Fully report and archive, including:

a) After each enrollment, report to the Ministry of Education and Training on the organization of enrollment and the enrollment results, together with decisions on the recognition of the doctoral students (according to the form in Appendix III);

b) In December each year, report to the Ministry of Education and Training on the work of doctorate training, granting doctorate degrees, targets and plans for selection of doctorate students for profession in the following year (according to the form in Appendix IV).

c) On the last day of the even months of the year, report to the Ministry of Education and Training the list of doctoral students who have completed the dossier of the training process and dissertations have been approved by the Councils of dissertation evaluation at university or institute level in the last two months (according to the form in Appendix V);

d) Archive and preserve dossiers in compliance with the provisions of the Circular No. 27/2016 / TT-BGDDT dated December 30, 2016 of the Ministry of Education and Training on the preservation duration of professional documents of the education sector.

Chapter V

DISSERTATION, EVALUATION AND DEFENSE OF DISSERTATION

Article 15. Requirements for doctorate dissertations

1. Comply with the provisions in Clause 5, Article 3 of this Regulation and the regulations of the heads of the training institutions on the volume, form, presentation of dissertation, the citation and the reference list (refer to the form in Appendix VI).

2. Comply with the law on the protection of intellectual property rights, specifically:

a) Full citation and reference to sources of research results of other authors (if any);

b) In case the dissertation uses the content of the scientific work of the collective which doctoral student is co-author, the consent of the other co-authors allowing the doctoral student to use the results of the research group is required.

c) Comply with other provisions of intellectual property law.

Article 16. Dissertation evaluation in specialized units

1. Prerequisites for doctoral students to register for dissertation evaluation in specialized units:

a) Completed additional subjects and subjects at doctorate level as specified in Clauses 3 and 4, Article 3 of this Regulation;

b) Published at least 02 articles on the research results of the dissertation including 01 article in scientific journals in the ISI-Scopus journal list or published at least 02 reports in the summary records of international conferences with peer reviews or 02 articles published in foreign scientific journals with peer review;

c) Supervisor teams or supervisors have agreed to let the doctoral students to register for dissertation evaluation in specialized units.

2. Dissertation evaluation in a specialized units is a form of scientific activity held once or several times, until the dissertation is proposed for evaluation at the Council of dissertation evaluation at the university or institute level; members of the specialized units, doctoral students, students, and interested persons have the right to participate (except in the case of confidentiality).

3. Heads of the training institutions shall stipulate in detail the dissertation evaluation in the specialized units, the process and method of evaluation, the quantity, criteria and tasks of the scientists who are invited to comment on the dissertations; meet the following requirements:

a) The minimum number of scientists who are invited to comment on the dissertations is 05 people who hold the title of professor or associate professor or hold a doctor degree in science or doctorate, with the expertise suitable with the research subject or research field of such doctoral students; with the participation of scientists within and outside the institutions. The number of scientists involved in the next evaluation (if any) must ensure that at least two thirds (2/3) of the total number of scientists invited to comment on the dissertations have participated in the previous evaluation in order to comment on the process of completing the dissertations of doctoral students; in which, there must be scientists who have not agreed to put the dissertations on evaluation at the Councils of dissertation evaluation at the university or institute level;

b) Dissertations are only recommended for evaluation at the Councils of dissertation evaluation at the university or institute level when they are approved by at least three quarters (3/4) of the scientists who are invited to comment on the dissertation at the final evaluation (written down in the comment forms).

Article 17. Independent dissertation reviewers

1. Doctorate dissertations are sent to 02 independent reviewers before being

evaluated at the Councils of dissertation evaluation at the university or institute level.

2. Independent reviewers are scientists or experts in Vietnam or abroad; having scientific and professional experience in accordance with the research subjects of the dissertations; have no familial relationship with doctoral students; did not cooperate, support doctoral students and supervisors in the process of finishing the dissertations.

3. The list of independent reviewers is the confidential information of the training institutions.

4. Heads of training institutions shall specify the criteria for independent reviewers; the order, the selection process, the gathering and handling of opinions of independent reviewers; require to keep confidential the officials, public servants and reviewers and the information and documents related to the independent reviewers according to the current regulations.

Article 18. Prerequisites and dossiers proposing dissertation evaluation at the Councils of dissertation evaluation at the university or institute level

1. Prerequisites for doctoral students to defend dissertations at the Councils of dissertation evaluation at the university or institute level

a) Doctoral students' dissertations are proposed by the specialized unit to be evaluated at the Councils of dissertation evaluation at the university or institute level;

b) Doctoral students' dissertations are supported by the independent reviewers as specified in Article 17 of this Regulation;

c) Doctoral students are not subject to criminal prosecution, disciplinary action from the level of warning or higher.

2. Dossiers proposing dissertation evaluation at the Councils of dissertation evaluation at the university or institute level include:

a) Full text of dissertation;

b) Abstract of dissertation;

c) Information on the new points of the dissertation in Vietnamese and English or foreign languages as specified by the training institution;

d) Written consent of the co-authors as specified at Point b, Clause 2, Article 15 of this Regulation (if any);

e) A written request of the specialized unit proposing the permission for the doctoral student to defend their dissertation at the Council of dissertation evaluation at the university or institute level;

f) Transcripts of additional subjects (if any), subjects of the doctorate training program, doctorate subjects and overview essay;

g) Decision to recognize the doctorate student and demonstrate changes in the training process (if any);

h) Comments of 02 independent reviewers;

i) Other documents required by the training institution.

3. Doctoral students are responsible for preparing the documents specified at Points a, b, c and d, Clause 2 of this Article; the remaining documents are gathered by the training institutions.

Article 19. Councils for dissertation evaluation at the university or institute level

1. Heads of training institutes shall issue decisions to establish the Councils for dissertation evaluation at the university or institute level, specify the criteria and tasks for each member in the Council as prescribed in Clauses 2 and 3, 4, 5 of this Article.

2. Criteria for Council members:

a) Being a Vietnamese citizen or a foreign citizen;
 b) Having the title of professor or associate professor or having doctorate degree in science or doctorate degree, with profession relevant to the research subjects or fields of doctoral students;

c) Having research works, reputation and professional experiences related to research fields of doctorate students, in which the reviewers must have at least 01 scientific article or report published in the overseas peer-reviewed scientific journals or in summary records of international conference with peer review.

3. Number of Council member:

a) The Council consists of 07 members, in which: Number of professors and associate professors is at least 05; number of members who have participated in the dissertation evaluation in specialized units shall not exceed 03 members; number of staff members of the training institutions must not exceed 3 members;

b) Heads of training institutions shall decide on the number of professors and associate professors and the number of its staff members in case of evaluation of dissertation of doctoral students whose professions are being piloted for training there.

4. The Council consists of chairman, secretary, 03 reviewers and members; chairman of the Council must be a professor or associate professor in the field suitable with the dissertation topic of the doctoral student; reviewers must not be co-authored with the doctoral student in published works related to the dissertation topic; representative of supervisor group may be invited to join the Council as a member.

5. Father, mother, spouse, children and siblings of the doctoral student cannot join the Council for dissertation evaluation at the school or institute level.

Article 20. Dissertation evaluation at the university or institute level

1. Head of training institutions shall stipulate the time, conditions, order and procedures for holding a dissertation evaluation at the school or institute level, ensuring the following:

a) Dissertations must be evaluated publicly, except for the dissertations allowed to be evaluated confidentially as specified in Article 21 of this Regulation;

b) Time and venue of the dissertation evaluation, abstracts and full texts of dissertations, information pages on the new points of the dissertation in Vietnamese and English or other foreign languages are published on the websites of the training institutions at least 20 days before the date of defense, except for the dissertations allowed to be evaluated confidentially as specified in Article 21 of this Regulation;

c) Do not hold meetings of the Councils for dissertation evaluation at the university or institute level in cases where the chairperson or secretary or 02 or more members are absent;

d) Dissertations are evaluated in the form of voting (approve or disapprove), dissertations are not approved if there are 02 or more Council members present at the defense session vote for disapprove;

The Council must have the decision on the dissertation, clearly stating: dissertation evaluation results of the members of the Council; new theoretical and practical contributions of dissertation; shortcomings in content and form of the dissertation; truthfulness of the research results; the Council's conclusion on the disapproval of the dissertation and the reasons or on approval of the dissertation (including any amendments or supplements, if any), proposal of recognition of the doctoral student's doctorate level, granting of doctorate degree to the doctoral student;

e) The minutes of the dissertation evaluation session at the university or institute level, approved by all present members of the Council and signed by the chairperson and secretary of the Council.

2. In case of necessity (due to objective reasons or due to a member requesting not to join the Council), the head of the training institution shall decide on the change or addition of members of the Council for dissertation evaluation at the university or institute level and the time limit related to its activities shall be counted from the date the final decision on the amendment or supplementation takes effect.

Article 21. Confidential dissertation evaluation

1. In cases where dissertation topics related to national secrets on the list of State secrets set by competent bodies, the heads of the training institutions shall have to determine the confidentiality of the topics immediately after the decisions to recognize the doctoral students are issued, report them to the Ministry of Education and Training together with the grounds for determining the confidentiality of the dissertations and the written consent of the Ministry of Education and Training is required.

2. Heads of training institutions shall take responsibility for confidentiality regulations in the process of organizing training, researching and implementing dissertations, organizing dissertation evaluations, managing dossiers and relevant documents according to confidentiality regulations of the State.

3. Doctoral students who conduct dissertations determined as confidential as prescribed in Clause 1 of this Article shall not have to comply with the provisions of Point b, Clause 1, Article 16 and Point b, Clause 1, Article 20 of this Regulation.

4. Apart from the provisions of Clause 3 of this Article, doctorate students who conduct dissertations under confidentiality must comply with all other provisions of this Regulation.

Article 22. Dissertation re-evaluation at the university or institute level

1. In the case of a doctorate dissertation which is not approved by the Council for dissertation evaluation at the university or institute level at the first evaluation, the doctoral student is authorized to revise the dissertation and propose to defend the dissertation at the second evaluation.

2. Composition of the Council for second dissertation evaluation at the university or institute level must have at least 05 members who have participated in the

Council for first dissertation evaluation but members who disapprove at the first evaluation must not be absent.

3. Heads of training institutions shall specify the time limits, processes and procedures for second dissertation evaluation at the school or institute level.

4. Third dissertation evaluation shall not be held.

Chapter VI

APPRAISAL FOR TRAINING PROCESS, QUALITY OF DISSERTATIONS AND DOCTORATE DEGREE GRANTING

Article 23. Appraisal for training process and quality of dissertations

The appraisal for training process and quality of dissertations shall be carried out in the following cases:

1. Randomly evaluate a maximum of 20% of the dossiers of the training process and the dissertation quality approved by the Council for dissertation evaluation at the school or institute level through the training institutions' reports as prescribed at Point c, Clause 8 of Article 14 of this Regulation.

2. Evaluate when there are complaints and denunciations about the dossiers of training process, content and quality of dissertations.

Article 24. Appraisal dossiers for training process and quality of dissertations

1. Appraisal dossiers for training process

a) Application dossiers of doctoral students shall fully prove the enrollment conditions in Article 6 of this Regulation;

b) Dossiers proposing dissertation evaluation at Councils for dissertation evaluation at the university or institute level of doctorate students prescribed in Clause 2, Article 18 of this Regulation;

c) Doctoral students' dossiers for doctorate degree granting prescribed in Clause 2, Article 28 of this Regulation;

d) Quantity of dossier: 01 set.

2. Appraisal dossier for dissertation content, quality

a) Doctorate dissertations in which information about doctoral students, supervisors and training institutions have been deleted;

b) Abstracts of dissertations in which information about doctoral students, supervisors and training institutions have been deleted;

c) Copies of articles publishing research results of doctoral students according to regulations;

d) Quantity of dossier: 03 set.

Article 25. Appraisal process for training process and quality of dissertations

1. Within 10 working days after receiving reports of training institutions prescribed in Point c, Clause 8, Article 14 of this Regulation, the Ministry of Education and Training shall notify in writing the list of institutions' cases requiring

appraisal and detailed appraisal content.

2. Within a maximum of 60 working days after receiving complete dossiers of training institutions as prescribed in Article 24 of this Regulation, the Ministry of Education and Training shall conduct the appraisal and issue a written report on appraisal results.

3. The training process satisfies the requirements for appraisal when the appraisal dossiers satisfy the regulations on enrollment, organization and management of training and the process of organizing the dissertation evaluation of this Regulation.

4. The contents and quality of the dissertation shall be evaluated in the form of gathering comments from 03 scientists who hold the title of professor or associate professor, who have a doctorate in science or a doctorate and have professional experience, knowledge about the topic and research field of the doctoral student.

a) The dissertation satisfies the appraisal requirement if at least two out of the three appraisal opinions approve;

b) In cases where the dissertation fails to meet the appraisal requirements specified at Point a of this Clause or has a written denunciation on the its contents and quality, the Ministry of Education and Training shall issue a decision to set up a Dissertation appraisal council, authorize the head of the doctoral student's training institution to organize the meeting of the Dissertation appraisal council supervised by representatives of the Ministry of Education and Training.

Article 26. Dissertation appraisal council

1. Dissertation appraisal council consists of 07 members, of which at least 04 members have not yet participated in the dissertation evaluation in the specialized unit, not independent reviewers or not members of the Council for dissertation evaluation at the school or institute level; there are scientists participating in the appraisal who do not approve dissertation as stipulated in Clause 4, Article 25 of this Regulation.

2. Criteria of members of the Dissertation appraisal council shall be the criteria of the members of the Council for dissertation evaluation as defined in Clause 2, Article 19 of this Regulation.

3. Dissertation appraisal council shall have its chairman, secretary and members.

4. The Council shall meet only at the presence of at least 06 members, including the chairman, the secretary and the members of the council who do not approve the dissertation (if any).

5. Tasks of Appraisal council: review, evaluate and decide on the contents and quality of dissertations or clarify the contents of complaints and denunciations.

6. Dissertations fail to meet the evaluation requirements when there are two or more present members of the Council disapprove.

7. In case the dissertations are not approved by the Appraisal councils, the heads of training institutions shall organize and preside over the dialogue between the Dissertation appraisal councils and the Councils for dissertation evaluation at the university or institute level, with the present of representatives of Ministry of Education and Training. The number of members of the two participating Councils

shall be at least 12, in which the chairman, the reviewer, the secretary and the disapproving members of the two Councils must be present. The dissertation is not approved if there are 3 or more members present at the dialogue disapprove. The outcome of the dialogue is the result of the final evaluation on the content and quality of the dissertation.

Article 27. Processing appraisal results

1. For dissertations satisfying the appraisal requirements specified at Point a, Clause 4, Article 25 of this Regulation or approved by the Appraisal council but required to be amended, supplemented, the Council for dissertation evaluation at the university or and institute level, together with the supervisors and doctorate students, consider and decide on points to be amended, supplemented at the request of appraisers or Appraisal councils.

2. For dissertation disapproved by the Appraisal Council:

a) In cases where a doctorate student has not yet been granted a doctorate degree, they shall be allowed to amend, supplement their dissertation and propose the reevaluation of the dissertation according to the provisions of Article 22 of this Regulation;

b) In cases where a doctorate student has already been granted a doctorate degree, the training institution shall handle according to the provisions of Clause 2, Article 31 of this Regulation.

3. For dossiers of training process failing to meet the appraisal requirements, based on the notices of the Ministry of Education and Training, heads of training institutions shall supplement and complete their dossiers and explanations.

4. Within 02 months (60 days) after receiving the Ministry of Education and Training's notices on the appraisal results, heads of the training institutions shall report in writing to the Ministry of Education and Training on the handling of appraisal results according to the contents stated in Clauses 1, 2 and 3 of this Article with the accompanying evidence.

Article 28. Doctorate degree granting

1. Conditions for doctorate students to be considered for doctorate degree granting

a) Doctorate dissertation has been approved by the Council for dissertation evaluation at the university or institute level for 3 full months (90 days);

b) Doctorate student has completed the amendment and supplementation of the dissertation at the request of the Council for dissertation evaluation at the university or institute level and is confirmed by supervisors, training management unit, chairman of the Council (if any);

c) If it is necessary to evaluate according to the notices of the Ministry of Education and Training as specified in Clause 1 of Article 25, the appraisal results must satisfy the requirements specified in Clause 3 and Points a, Clause 4 of Article 25; and Clause 1, Article 27 of this Regulation; or have not yet received appraisal results from the Ministry of Education and Training upon the expiry of the appraisal time limit prescribed in

Clause 2, Article 25 of this Regulation;

d) Full text and abstract of complete dissertation, with signatures of doctoral students, supervisors and confirmation of the head of training institution after amendment, supplement at the request of the Council for dissertation evaluation at the university or institute level and Appraisal council (if any), are posted on the website of the training institution and submitted to the National Library of Vietnam (including the printed version and pdf file).

2. Doctorate student's dossier for consideration of doctorate degree granting comprises:

- a) Minutes of dissertation evaluation session at the university or institute level
- b) Resolution of the Council for dissertation evaluation at the university or institute level;
- c) Minutes of vote counting, evaluation forms of all the members of the Council for dissertation evaluation at the university or institute level present at the evaluation session;
- d) Written comments, evaluations of supervisors or group of supervisors;
- e) List signed by members of the Council for dissertation evaluation at the university or institute level present at the dissertation evaluation session;
- f) Receipt of dissertation and dissertation abstract from the National Library of Vietnam;
- g) Evidence proving publicly announce the date of dissertation evaluation, except for those allowed to be evaluated confidentially as specified in Article 21 of this Regulation;
- h) Other documents required by the training institution.

3. The training institution shall compile dossier for the grant of doctorate degree and carry out the procedures for granting a doctorate degree when a doctorate student meets the conditions specified in Clause 1 of this Article and archive the dossier as prescribed.

4. Heads of training institutions shall have to organize the inspection of the training process, the dissertation quality, the organization and operation of the Council for dissertation evaluation at the university or institute level before organizing regular meetings of the Scientific and Training Council of the training institution to approve the list of doctoral students who are considered for the grant of doctorate degrees and issue decisions to grant doctorate degrees to doctoral students.

Chapter VI

COMPLAINTS, DENUNCIATIONS, INSPECTION, EXAMINATION AND HANDLING OF VIOLATIONS

Article 29. Complaints and denunciations

1. Agencies, organizations, individuals and doctoral students shall have the right to file complaints or denunciations about the violations in enrollment, training organization and management, dissertation evaluation and grant of doctorate degrees.

2. Complaints, denunciations and settlement of complaints and denunciations

shall comply with the provisions of the Law on Complaints and Denunciations.

Article 30. Inspection, examination

1. The Ministry of Education and Training shall inspect and exam the training of doctoral level by training institutions according to current regulations.

2. Inspection and examination contents include the enrollment; training organization and management; the process of organizing the dissertation evaluation and defense; grant of doctorate degrees and the settlement of complaints and denunciations of training institutions. The inspection, examination and recommendations (if any) shall be notified in writing by the Ministry of Education and Training to the training institutions.

Article 31. Handling violations

1. In case of detecting violations in enrollment, training organization and management, dissertation evaluation and grant of doctorate degrees, the Ministry of Education and Training shall send written request for handling to training institutions or directly handle according to their competence.

2. Withdrawal of a doctorate degree shall comply with the current regulations and in the following cases:

a) Fraudulence in the application dossiers causing the grantees to no longer satisfy the enrollment requirements and requirements for the recognition of doctoral students;

b) Making duplication, citation not according to the provisions of the dissertation, if removing these contents, the dissertations fail to meet the requirements prescribed in Article 15

15 of this Regulation;

c) The dissertation shall not be not approved by the Council for evaluation according to the provisions of Clause 7, Article 26 of this Regulation.

3. In cases where the doctoral students are found to have committed other violations, they shall, depending on the seriousness of their violations, be disciplined by reprimand, warning, study suspension, study suspension or being prosecuted for criminal liability.

4. Determination of violating dissertations at Point b, Clause 2 of this Article shall fall under the competence of the Appraisal Council set up by the head of the training institution as prescribed in Article 26 of this Regulation.

Chapter VIII

ORGANIZATION OF IMPLEMENTATION

Article 32. Provisions on transfer

1. For the enrolling courses which have been granted the decision to recognize doctoral students before the effective date of this Circular, the training institutions shall comply with the provisions of the Regulation on doctoral training issued together with the Circular No. 10/2009/TT-BGDDT dated May 7, 2009 and amended and supplemented some articles in accordance with Circular No. 05/2012/TT-BGDDT

dated February 15, 2012 of the Minister of Education and Training.

2. For courses enrolling from the effective date of this Circular to the end of December 31, 2018, the regulations on standards of doctoral student's supervisor specified at Point d, Clause 1, Article 11 and the regulations on the requirements for doctoral students who are registered for the dissertation evaluation in specialized units specified at Point b, Clause 1, Article 16 of this Regulation shall be as follows:

a) Supervisors of topics under Profession group I (defined in Appendix VII) shall be the main author of at least 01 foreign-language article published in journals in the list of specialized scientific journals of the State Council for Professor Title or in prestigious scientific journals of foreign countries in the field of scientific research related to dissertation topics of doctoral students;

b) Supervisors of topics under Profession group II (defined in Appendix VII) shall be the main author of at least 01 scientific report or work published in summary records of international conferences or at least one chapter of reference book which have ISBN issued by foreign publishers or 01 articles published in peer-reviewed foreign scientific journals in the field of scientific research related to dissertation topics of doctoral students;

c) Doctoral student who undertake topics of Profession group I (defined in Appendix VII) must publish the contents and results of their research in at least 02 articles or reports, including 01 foreign-language article in journals in the list of specialized scientific journals of the State Council for Professor Title or in prestigious scientific journals of foreign countries;

d) Doctoral student who undertake topics of Profession group II (defined in Appendix VII) must publish the contents and results of their research in at least 02 articles or reports, including 01 report published in summary record of international conferences with peer review or 01 article published in foreign peer-reviewed scientific journals.

3. For courses enrolling from January 1, 2019 onwards, the supervisors of doctoral students must comply with the provisions at Point d, Clause 1 of Article 11 and doctoral students must comply with the provisions at Point b, Clause 1, Article 15 16 of this Regulation.

**PP. MINISTER
DEPUTY MINISTER**

Bui Van Ga