

**TRAINING REGULATIONS FOR A DOCTORAL DEGREE  
AT NHA TRANG UNIVERSITY**

*(Attached to Decision No. 770/QĐ-DHNT dated 04 /07 /2022  
by The Rector of Nha Trang University)*

**Chapter I**

**GENERAL PROVISIONS**

**Article 1. Scope of regulation and subjects of application**

1. This Regulation includes: organizing and managing training activities, recognizing doctoral degrees, and granting them; standards, duties, and rights of relevant individuals and entities; dissertation, dissertation evaluation, and defense; supervising the training process and the quality of the dissertation.

2. This Regulation concretizes the Regulations on enrollment and doctoral training provisions promulgated in Circular No. 18/2021/TT-BGDĐT dated June 28, 2021, of the Ministry of Education and Training. Contents not mentioned in this regulation shall comply with the Regulations on admission and training of doctoral degrees of the Ministry of Education and Training.

3. This Regulation applies to Ph.D. students, lecturers teaching doctoral degrees, Ph.D. instructors, faculties, training institutes, management units, organizations, and individuals involved in doctoral-level training of Nha Trang University (from now on, collectively referred to as the University).

**Article 2. The doctoral degree program**

1. Doctoral-level program shall develop, appraised, and promulgated by the Nha Trang University, meeting the requirements of level 8 according to the Vietnam National Qualifications Framework and regulations on training program standards of the Ministry of Education and Training.

2. The academic volume of doctoral-level programs is 90 credits for Ph.D. students with master's degrees, 120 credits for Ph.D. students with bachelor degree, and 100 credits for Ph.D. graduates equivalent to Level 7 according to the Vietnamese National Qualifications Framework in some specific intensive training disciplines suitable for the doctoral training industry.

3. The structure of the doctoral-level training program includes additional modules, doctoral-level modules, and doctoral dissertations.

4. Additional modules to support Ph.D. students with sufficient knowledge and professional qualifications to carry out the research topic, including the following cases:

a) For Ph.D. students who do not have a master's degree: additional modules include modules at the master's level in the corresponding discipline or major (except foreign language modules) with a minimum volume of 30 credits.

b) For Ph.D. graduates equivalent to Level 7 according to the Vietnamese National Qualifications Framework in several specific intensive training disciplines suitable for doctoral training: additional modules include modules at the master's level in the related field or principal with a minimum volume of 10 credits.

c) For Ph.D. students with a master's degree: based on the modules accumulated at the master's level, the knowledge was updated, supplemented, and the requirements of the training sector and the field of research, the Rector, shall decide on the number of modules and the number of credits the Ph.D. student needs to study additionally based on the proposal of the (collective) instructor and the Head faculty/institute of industry management from the list of additional modules in the doctoral level training program that has issued.

5. Courses at the doctoral level (including compulsory and elective courses) aimed at improving the level of industry reasoning, expertise, research methods, and the applicability of research methods, in which:

a) Compulsory courses are basic courses related to the core knowledge at a high level of the industry or supporting the training of research methods and ways of writing scientific articles.

b) Elective courses with in-depth content suitable to the research direction and dissertation topic of the Ph.D. student.

c) The overview essay requires Ph.D. students to demonstrate their ability to analyze and evaluate domestic and international research works directly related to the research topic, thereby drawing out the research objectives and tasks of the doctoral dissertation.

d) Doctoral topics (or Topical researches) require Ph.D. students to improve their research capacity and self-study and update new knowledge related to the doctoral dissertation topic.

6. Doctoral dissertation is the result of the scientific research of a Ph.D. student, which contains new theoretical and practical contributions in the professional field, valuable in developing and increasing scientific knowledge of the research field or proposing ideas, and new solutions that address the current problems of the dissertation topic in specific practical circumstances.

### **Article 3. Types (model) and duration of doctoral-level training**

1. Doctoral-level training will be conducted properly and full-time; Ph.D. students must spend sufficient time studying or researching at the training institution according to the approved plan if enrolled for a full 30 credits in a year of study be full-time concentration.

2. The standard training period for doctoral degrees is from 03 years (36 months) for master's degree holders to 04 years (48 months) for bachelor degree holders; each

Ph.D. student has a full-course study plan that is within the approved standard training timeframe attached to the decision to accredit the Ph.D. student.

3. Ph.D. students are allowed to complete the training program earlier than the full-course study or research plan for no more than 01 year (12 months) or later than the full-course study or research plan, but the total training period does not exceed 06 years (72 months) from the effective date of the decision on recognition of Ph.D. students to the time of completion of the procedures for submitting the dissertation to the school, before carrying out the independent review process and establishing a School-level dissertation evaluation council.

## **Chapter II**

### **ORGANIZATION AND MANAGEMENT OF TRAINING**

#### **Article 4. Standard time frame for training plan**

1. For Ph.D. students who already have a master's degree:

a) First year: study additional courses and required courses at the doctoral level; implement and defend organizational essays; begin the identification, registration, and implementation of postgraduate seminars.

b) In the second year: conduct and defend doctoral topics, research dissertation topics, participate in seminars or conferences, and write scientific papers.

c) Third year: continue to conduct research on the dissertation topic, write and publish research results in domestic and foreign journals or scientific conferences, and submit and defend doctoral dissertations.

2. For Ph.D. students who do not have a master's degree, the standard time frame shall be extended by one year compared to Ph.D. students with master's degrees to study additional modules specified at Point a, Clause 4, Article 2 of this Regulation; the first 2-year study and research tasks are like those specified in Clause 1 of this Article.

3. For Ph.D. students graduating at levels equivalent to Level 7 according to the Vietnamese National Qualifications Framework in some specific intensive training disciplines suitable for doctoral training, the standard time frame is extended by 06 months compared to Ph.D. students with master's degrees to study 10 additional credits.

4. Each Ph.D. student has a full-course study and research plan within the approved standard training time frame attached to the decision to recognize the Ph.D. student.

#### **Article 5. Assignment of dissertation topic, instructor(s), and scientific department**

1. Within 01 month from the date of the decision on recognition of Ph.D. students, based on the results of the protection of the research outline and the proposal of the Dean/institute of sectoral management, the Graduate Training Department (Department of Graduates Studies) shall submit to the Rector for a decision on the assignment of research topics, instructors, and scientific department.

2. Each Ph.D. student has a maximum of 2 instructors, of which at least one person must be a lecturer or organic researcher of the University.

### **Article 6. Organizing courses teaching and assessment**

1. Based on the full-course study and research plans of Ph.D. students, the Department of Graduates Studies shall formulate a training plan and notify Ph.D. students to comply with the following principles:

a) For additional modules at the master's level, Ph.D. students shall register at the Department of Graduates Studies to be arranged to study in master classes of the same discipline.

b) For courses at the doctoral level, Ph.D. students must study in classes organized by the Department of Graduates Studies in collaboration with faculties and institutes of sectoral management.

c) Organize the teaching and evaluation of additional courses at the master's level and courses at the doctoral level following the Regulations on master's degree training and regulations on assessment of courses of the University.

2. The teaching organization of courses at the doctoral level must ensure the encouragement and demand that Ph.D. students take the initiative and self-study.

3. The school shall teach and evaluate courses in the form of online or a combination of online and face-to-face when meeting current regulations on information technology application in the management and organization of online training; ensure that the quality of these classes is not lower than the quality of in-person courses.

4. Within 24 months from the decision on accreditation of Ph.D. students, Ph.D. students must complete additional courses (if any) and courses at the doctoral level as prescribed by the program.

5. Ph.D. students may accumulate courses at the equivalent doctoral level at another institution with which the university has an agreement on the exchange of Ph.D. students or transfer and recognition of credits or Ph.D. students who studied at that training institution before transferring to the University.

6. If within 24 months of the decision to recognize a Ph.D. student without completing additional courses (if any) and modules at the doctoral level, the Ph.D. student is allowed to extend it for no more than 12 months.

7. If the Ph.D. student does not have an application for renewal or after the extension period and still does not complete the additional courses (if any) and courses at the doctoral level, the Ph.D. student will be forced out of school.

### **Article 7. Organization for Scientific Research for PhD student**

1. Scientific research is a key and compulsory component in doctoral-level training programs, an essential basis for Ph.D. students to conduct overview essays, doctoral topics, and dissertation topics.

2. Based on the study plan, full-course research, and dissertation topic of the Ph.D. student, the instructor, department, faculty/institute of sector management, and the University shall:

a) Create conditions for Ph.D. students to participate in the implementation of topics and projects related to Ph.D. dissertation topics that the instructors, departments and faculties, and institutes are presiding over.

b) Guide and support Ph.D. students to register for the implementation of scientific topics at all levels related to the dissertation topic if deemed necessary.

c) Organize and arrange laboratory facilities, equipment, and research staff to support Ph.D. students conducting research.

#### **Article 8. Overview essay and overview essay assessment**

1. Within 12 months of the decision to recognize the Ph.D. student, the Ph.D. student must complete and defend the overview essay according to the assigned dissertation topic.

2. If within 12 months of the decision to recognize a Ph.D. student without completing the overview essay, the Ph.D. student is allowed to extend it for no more than 12 months.

3. If the Ph.D. student does not have an application for renewal or after the extension period still does not complete the overview essay, the Ph.D. student will be forced out of school.

4. Overview Essay Assessment Board:

a) Consisting of 3 members: Chairman, Secretary, and Councilor.

b) The council members have doctoral degrees and are knowledgeable in the research field of the Ph.D. student. The instructor, if he joins the Council, is only a commissioner. Persons with a biological relationship (father, mother, wife, husband, child, brother, sister, sister) with the Ph.D. student are not allowed to participate in the Council.

c) The Council shall be established by the Rector based on the proposal of the Dean/institute.

5. Conditions and requirements for the assessment of the overall essay:

a) Council members must read the overview essay before attending the meeting of the Council.

b) The Council evaluates the quality of the overview essay as required at Point C, Clause 5, Article 2 of this Regulation.

c) The Council shall only meet for evaluation when there are enough members of the Council.

d) The Board scores the Ph.D. student's overview essay according to the following principles:

- Each member's overall essay score is on a scale of 10, odd to 0.5. The overview essay score is the overall average score of the Board members and is rounded to 1 decimal place.

- The overview essay is considered satisfactory if the overall GPA of the Board members is 7.0 or higher.

6. If the overview essay is unsatisfactory, the Ph.D. student is protected only 01 time and at the earliest after 03 months from the first protection. The second review board is kept the same as the first time except in case of force majeure. If the overview essay remains unsatisfactory on the second defense, the Ph.D. student will be forced out of school.

7. Faculties and institutes of sectoral management shall be responsible for organizing the assessment of overview essays according to the university's guidance.

### **Article 9. Topical research assignment**

1. Based on the dissertation topic of the Ph.D. student and the opinion of the general essay evaluation council, the instructor (collective) determines the names of 02 doctoral topical research for Ph.D. students through the Dean/institute before submitting to the Rector for signing the decision on assigning postgraduate topics.

2. Each seminar has a maximum of 02 instructors; The thematic instructors must be qualified by doctoral-level teaching faculty and in the same field of study as the Ph.D. student's topic.

3. The duration of doctoral seminars shall not exceed 12 months. Within 24 months of the decision to accredit Ph.D. students, Ph.D. students must complete and defend their Ph.D. thematic.

4. If, within 24 months from the decision to recognize a Ph.D. student, the Ph.D. student has not completed doctoral topics, the Ph.D. student is allowed to renew it for no more than 12 months.

5. If the Ph.D. student does not have an application for an extension or after the extension period and still does not complete the doctoral courses, the Ph.D. student will be forced out of school.

6. If it is necessary to change the doctoral thematic topic or adjust the name of the doctoral seminar, the instructor (collective) shall make a written request to the faculty, branch management institute, and the Rector (through the Department of Graduates Studies) for consideration for decision.

### **Article 10. Assessment of Doctoral Topical research**

1. Doctoral topical research evaluation panel:

a) Consisting of 3 members: Chairman, Secretary, and Councilor.

b) Members of the Council have scientific titles, have a Doctor of Science or doctorate, and are knowledgeable in the research field of the Ph.D. student. The instructor, if he joins the Council, is only a commissioner. Persons related (father, mother,

wife, husband, child, sibling) to the Ph.D. student are not allowed to participate in the Council.

c) The evaluation council shall be established by the Rector based on the proposal of the Dean/institute of sectoral management.

2. Conditions and requirements for the doctoral thematic assessment:

a) The Council shall only meet for evaluation when there are full members of the Council.

b) Members of the Council must read the doctoral seminar before attending the meeting of the Council.

c) The Council evaluates the quality of doctoral topics as prescribed at Point d, Clause 5, Article 2 of this Regulation.

d) Ph.D. thematic grading council of Ph.D. students according to the following principles:

- Each member's thematic scoring on a scale of 10, odd to 0.5. The overview essay score is the overall average score of the Board members and is rounded to 1 decimal place.

- Doctoral seminars are considered satisfactory if the overall GPA of the Board members is 7.0 or higher.

3. If the Ph.D. topic is unsatisfactory, the Ph.D. student is protected only 01 time and at the earliest after 03 months from the first protection. The second Doctoral Thematic Review Board is kept the same as the first time except in force majeure cases. If the Ph.D. subject remains unsatisfactory on dual protection, the Ph.D. student will be forced out of school.

4. Faculties and institutes of sectoral management shall be responsible for organizing doctoral thematic assessments under the guidance of the university.

### **Article 11. Change of dissertation title**

**1. The change of dissertation is only done when there is a reasonable reason, such as:**

A/ Detecting that the research topic overlaps with the published issue.

b/ Difficulties in laboratory devices, equipment, and materials cannot be overcome.

c) The primary or independent instructor cannot continue to guide the Ph.D. student, nor can a replacement instructor be found.

2. Ph.D. students and (collective) instructors must ensure the ability of Ph.D. students to complete the training program within the maximum time allowed in Clause 3, Article 3 of this Regulation.

3. If the dissertation topic changes, Ph.D. students must defend the new research outline and re-implement the overview essay and doctoral issues with the new dissertation topic.

4. The Rector changes the dissertation topic based on the instructor's proposal and the dean/institute of sectoral management.

**Article 12. Adjusting the dissertation name**

1. Adjust the name of the dissertation topic to achieve accuracy or conformity with the research content arising during the implementation process.

2. For a dissertation that, when defending at the faculty/institute level, the Assessment Council proposes to amend and adjust the name of the dissertation topic to suit and be accurate to the content of the dissertation and the results achieved, the Assessment Council should make a resolution on this issue in the Minutes of the meeting of the dissertation evaluation council at the faculty/institute level.

3. The Rector shall decide to adjust the name of the dissertation topic based on the opinion of the instructor (supervisor) or the faculty/institute dissertation evaluation council and the view of the Head of the Graduate Training Department.

**Article 13. Add or change of instructor (supervisor)**

1. The addition or change of instructor shall be considered in the following cases:

a) The instructor transfers, go on long-term foreign business trips, has a severe prolonged illness or dies.

b) Due to changes in the contents of the research topic.

2. The supplementary or replacement instructor must also fully meet the standards specified in Article 40 of this Regulation.

3. The addition or change of instructor shall be made no later than 12 months before the end of the course according to the decision on accreditation of the Ph.D. student (including the extension period, if any), except in force majeure cases.

4. The Rector shall decide to add or change the instructor based on the instructor's request (collective) and the dean/institute of sectoral management.

**Article 14. Defending the dissertation earlier than standard time**

1. Ph.D. students may defend their dissertations earlier than standard time if they meet the conditions for dissertation defense specified in Article 29 of this Regulation and not earlier than 2/3 of the training time stated in the decision on recognition of Ph.D. students.

2. The Rector shall decide to allow Ph.D. students to defend their dissertation earlier than standard time based on the proposal of the (collective) instructor and the opinion of the Dean/Institute of Industry Management.

**Article 15. Reservation, recognition, and transformation of studying and research results**

1. Academic and research results of Ph.D. students accumulated in doctoral training programs shall be reserved and considered for recognition and conversion in the following cases:

a) Ph.D. students who are dismissed from their studies and wish to continue studying master's degree programs in their respective disciplines if they meet the current regulations on admission and training for master's degrees.

b) Ph.D. students who change training disciplines or training institutions.

c) Ph.D. students who have dropped out of school, re-enrolled, and are recognized as new Ph.D. students at the university.

2. The recognition and conversion of the accumulated studying and research results of Ph.D. students must be consistent with the contents and requirements of the training program and shall be carried out based on the proposal of the Dean/Institute. In case of transfer of a training institution or a new Ph.D. student, the recognition and conversion of learning and research results must not exceed 50% of the total volume of the training program.

3. Courses are reserved for seven years from when the exam results are finished or the results of the module assessment. Ph.D. students must have an application to secure academic and research results.

**Article 16. Transfer (moving) to another institution**

1. When there is a reasonable reason, Ph.D. students may apply for transfer to another training institution with the following conditions:

a) The prescribed training period is at least 12 months, according to the decision to recognize Ph.D. students.

b/ To be received by the establishment.

2. The Rector shall decide to allow Ph.D. students to transfer to another training institution at the request of the Head of the Graduate Training Department.

**Article 17. Reception student from other institutions**

1. Ph.D. students from other institutions may apply for transfer to Nha Trang University if they satisfy the following conditions:

a) The prescribed training period is at least 12 months, according to the decision to recognize Ph.D. students.

b/ To be agreed upon by the training institution.

c) The training branch of the Ph.D. student is suitable for the training branch of the university.

2. The Rector shall decide to accept from other training institutions and recognize Ph.D. students based on the proposal of the Dean/Institute of Sectoral Management and the Head of the Graduate Training Department. In this case, the training period is the remaining study time according to the decision to recognize the Ph.D. student of the previous training institution (including the extension period). The recognition of accumulated learning results and modules that Ph.D. students need to supplement (if any) shall comply with the provisions of Clause 5, Article 6 of this Regulation.

**Article 18. Temporary pause studying, continued study**

1. Ph.D. students may temporarily leave their studies in the following cases:

A/ To be deployed into the armed forces.

b/ Being sick or having an accident requiring long-term treatment. In this case, there must be a certificate of health from the ward or commune or higher.

c) For personal needs.

2. Ph.D. students who are temporarily pause studying will be entitled to reserve the results of satisfactory modules and pay tuition fees.

3. The temporary pause studying due to personal needs must be included in the official study time specified in Clause 2, Article 3 of this Regulation.

4. Ph.D. students wishing to pause studying have an application and sent to the Rector (through the Department of Graduates Studies) for consideration and decision.

5. Ph.D. students who take a temporary pause of studying when they want to return to study at the university (even if they return to study earlier than the time limit stated in the decision to allow temporary leave of study) must make an application at least 14 days before the start of the new semester.

#### **Article 19. Extension of the training period**

1. Ph.D. students must apply for an extension of study and research time when they do not complete the study and research plan according to the standard study plan specified in Clause 6, Article 6, Clause 2, Article 8, Clause 4, and Article 9 of this Regulation.

2. A dossier of applications for permission to extend the training period includes:

a) An application for extension of training with the consent of the (collective) of the instructor and the sending agency (if any);

b) A detailed plan to complete the study and research tasks within the extension period approved by the instructor and the dean/institute of sectoral management.

3. The Rector shall decide to extend the training period based on the proposal of the Dean/Institute of Industry Management and the Head of the Graduate Training Department.

#### **Article 20. Drop out of Univerity**

1. Ph.D. students are allowed to drop out of NTU if there is a reasonable reason and there is an application for resignation to the Rector (via the Department of Graduates Studies).

2. The Principal decides to dismiss after the Ph.D. student fulfills the obligations prescribed by the University.

3. After deciding to dismiss, the university shall refund the remaining tuition fees to the Ph.D. student and issue a certificate of academic results if requested by the Ph.D. student.

#### **Article 21. Forced out of University**

1. Ph.D. students shall be forced out of University in the following cases:

a) Violating the provisions of Clause 7, Article 6, Clause 3, Article 8, Clause 6, Article 8, Clause 5, Article 9, Clause 3, Article 10, Clause 3, Article 28, Clause 5, Article 34.

a) Failing to complete the training program within the time specified in Clause 3, Article 3 of this Regulation.

b/ Serious violations of regulations on the performance of Ph.D. students' responsibilities or provisions of law that professional councils or competent agencies have concluded.

c/ Violating the school's rules to the extent of forced dismissal.

2. The Rector shall decide to forcibly dismiss Ph.D. students at the request of the Head of the Graduate Training Department.

### **Chapter III**

#### **DOCTORAL DISSERTATION ASSESSMENT**

##### **Article 22. Requirements for a Doctoral Dissertation**

1. Meet the provisions of Clause 6, Article 2 of this Regulation, and the University's regulations on the presentation of a doctoral dissertation.

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

a) Fully cite and specify sources for reference to research results of other authors (if any).

b) In case the dissertation uses the contents of the scientific work of the collective in which the Ph.D. student is a co-author, the written consent of other co-authors must be obtained to allow the Ph.D. student to use the results of the research group.

c) Comply with other provisions of intellectual property law.

3. Comply with academic integrity regulations by the University's Plagiarism Control Regulations.

##### **Article 23. Conditions for Ph.D. students to be registered to defend their dissertation at the faculty level**

1. Having completed additional courses and required courses at the doctoral level specified in Clauses 4 and 5, Article 2 of this Regulation.

2. Being the principal (first author or corresponding) author of scientific conference reports, scientific articles published or having letters of acceptance published in publications on the WOS/SCOPUS list, book chapters published by reputable international publishers, or articles published in domestic scientific journals prescribed by the Vietnam State Council of Professors up to 0.75 points or more according to the training industry, or monographs published by reputable domestic and international publishers; publications must achieve a total score of 2.0 points or more calculated according to the maximum score prescribed by the Vietnam State Council of Professors for each type of work (not divided when co-authored), relevant and essential contributions to the research results presented in the dissertation.

3. The requirements in Clause 2 of this Article may be replaced by proof that the author or co-author of 01 research result, scientific and technological application

registered and granted a national and international patent of relevance and essential contribution to the research results presented in the dissertation.

4. Having a doctoral dissertation draft agreed to by the instructor to be evaluated at the faculty level.

5. Ph.D. students who are not in the period of execution of criminal sentences or disciplined at the level of warning or higher.

6. Complete the payment of tuition fees according to the university's regulations.

7. Depending on the characteristics and requirements of each specific field or branch of training, the Dean/institute of industry management may propose and submit to the Rector for approval a request to supplement or detail the international publication standard for Ph.D. students higher than that specified in Clause 2 of this Article.

**Article 24. Document (dossier) of registration for dissertation evaluation at the faculty level**

1. A dossier of registration for evaluation of a dissertation at the faculty/institute level (grassroots level) includes:

a) The application for dissertation defense has the consent of the (collective) instructor.

b) A written comment and evaluation of the (collective) instructor of the Ph.D. student.

c) Dissertation book (8 volumes)

d) Dissertation summary in Vietnamese and English (8 volumes)

e) A set of published scientific works (8 books) meeting the requirements specified in Clause 2, Article 23 of this Regulation, including statements and copies of published scientific articles and jobs related to the dissertation f

f) Written consent of the co-authors specified at Point b, Clause 2, Article 22 of this Regulation (if any)

g) Transcripts of additional modules (if any), modules at the doctoral level

h) Decide to recognize Ph.D. students and demonstrate changes in the training process (if any).

2. Ph.D. students are responsible for preparing documents as prescribed at Points a, b, c, d, f, Clause 1 of this Article; the EIA gathered the remaining records.

**Article 25. Faculty-level Dissertation Evaluation (assessment) Council**

1. The dissertation evaluation council at the faculty level consists of 7 members, having the title of professor, associate professor or having a Doctor of Science or doctorate, knowledge in the field of research topic, having expertise suitable to the research topic or research field of the Ph.D. student, with the participation of scientists inside and outside the university.

2. Direct subordinates of Ph.D. students, co-authors with Ph.D. students in published works related to the dissertation topic, and persons with biological relations (father, mother, wife, husband, child, brother, sister, sister) with Ph.D. students are not allowed to participate in the dissertation evaluation council at the faculty/institute level.

3. The dissertation evaluation council at the faculty/institute consists of the President, Secretary, and Councillors.

4. The Rector shall establish a dissertation evaluation council at the faculty/institute based on the proposal of the dean/institute of sectoral management.

5. The Rector shall decide on the change of members of the dissertation evaluation council at the faculty/institute in case of force majeure (such as a member of the Council on a long-term foreign business trip, serious illness who cannot join the Council, or when there are members of the Council who do not meet the required conditions prescribed).

6. In case of a change in council members between assessment meetings, the number of scientists participating in the following assessment must coincide at least two-thirds (2/3) with the total number of scientists invited to comment on the dissertation that participated in the previous evaluation to comment on the process of completing the Ph.D.'s dissertation; there must be present those who have not agreed to allow the assessment of the dissertation at the university-level.

7. The dissertation evaluation council at the faculty/institute dissolves itself after completing the dissertation evaluation or more than three months from the date of the establishment decision. However, the Council has not yet held a meeting to evaluate the dissertation in the first session.

#### **Article 26. Conditions for organizing the dissertation evaluation at the faculty level**

1. The dissertation shall be sent to the council members at least 15 working days before the council meeting.

2. Members of the Council shall comment on their dissertations in writing before attending the meeting of the Council.

3. The time and place of the Council meeting shall be notified on the website of the faculty, branch management institute, and the university at least ten days in advance. In addition to the Council members, the instructor, the Head of the Department, the Dean/Institute of Industry Management, the Head of the Training Program, and the Graduate Training Department are natural guests.

4. Do not organize the evaluation of the dissertation at the faculty/institute if it falls into one of the following cases:

- a) Absent the Chairman of the Council
- b/ Absence of the Secretary of the Council
- c) Absent members of the Council who disagree with the dissertation.
- d) Absence of 2 or more council members.

5. Within a maximum of 03 months from the date of the establishment decision, the Council must conduct a meeting to evaluate the dissertation. Beyond this deadline, the Council dissolved itself. After the Council dissolves itself, Ph.D. students have the right to continue to apply for dissertation protection if they meet the provisions of Article 29 of this Regulation. The order and procedures for dissertation defense shall be carried out for Ph.D. students defending the dissertation at the faculty/institute for the first time.

6. In case of a change in members of the Council, the prescribed time limits related to the activities of the Council members and the organization of the dissertation evaluation shall be counted from the date of signing the final decision on the change of members of the dissertation evaluation council at the faculty/institute.

### **Article 27. Requirements for faculty -level dissertation Evaluation**

1. Evaluation of a dissertation at faculty-level is a form of scientific activity held once or several times until the idea is proposed for independent criticism and evaluated at the University-level dissertation evaluation council; members of faculties, institutes, PHDs, practitioners, students, and interested persons have the right to attend.

2. The Council must meet to prepare and examine the conditions for holding a meeting of the dissertation evaluation council at the faculty/institute level by Article 26 of this Regulation. Only when the requirements specified in Article 26 of this Regulation have been fully met the Council may meet officially to evaluate the Ph.D. student's dissertation.

3. Council members must make comments pointing out the new results of the dissertation, limitations, and shortcomings of the theory and requesting Ph.D. students to supplement and correct them.

4. A dissertation may only be proposed for evaluation at the University-level Evaluation Board when at least three-quarters (3/4) of the board members at the last assessment approve (indicated in the dissertation comment form).

5. If the dissertation has not been approved for evaluation at the University-level Evaluation Council, the Ph.D. student continues to supplement and correct the view. The Board may meet multiple times.

6. Faculties/institutes of management of training sectors shall be responsible for organizing the evaluation of dissertations at the faculty/institute under the guidance of the university.

### **Article 28. Independent (anonymous) dissertation evaluation**

1. Independent review (evaluation) is a mandatory process before a Ph.D. dissertation is defended at the University-level dissertation evaluation council, no later than 06 months from the time the Ph.D. student completes the dissertation submission procedure after it has been approved by the faculty/institute dissertation evaluation council, The independent review process for Ph.D. students must be completed; in case of a second independent review as prescribed in Clause 3 of this Article, the time shall be extended by a maximum of 03 months.

2. Ph.D. students' dissertations shall be sent for critical opinions of 02 scientists or experts who are not university officers, whose expertise is suitable to the dissertation topic, meeting the standards for independent instructors specified in Article 40 of this Regulation. The independent reviewer has no interests directly related to the Ph.D. student and instructor; no parent, spouse, child, brother, sister, or sister relationship with the Ph.D. student; no direct cooperation and support of the Ph.D. student in terms of expertise related to the dissertation content and the instructor during the dissertation implementation.

3. Independent criticism must ensure objectivity and transparency. The independent reviewer's concluding opinion on the dissertation must clearly state professional agreement or disagreement. The idea is determined to pass the separate review process when 02 independent reviewers agree. If there is 01 reviewer who disagrees, the school sends the dissertation to collect the opinions of 01 other independent reviewer as the basis for the decision. If two independent reviewers approve the idea, the Rector shall decide to establish a University-level Dissertation Evaluation Council; in case 02 independent reviewers disagree about the professional quality of the concept, the Ph.D. student and the instructor edit and supplement the idea and implement the process of submitting independent critical opinions for the second time. No third independent review; if two separate review procedures are carried out, but the results are not met, the Ph.D. student is forced out of school.

4. Information about independent reviewers is kept confidential to Ph.D. students and instructors. The list of independent critics is a personal document of the university. Independent reviewers do not contact or ask Ph.D. students to provide information or explain critical opinions. All contact with the reviewer during the separate review process is the responsibility of the school (training institution). Ph.D. students' explanations are sent to the university through the Department of Graduates Studies and presented at the dissertation defense session.

5. Independent review organizations shall be carried out under the guidance of the university.

**Article 29. Conditions for evaluating University-level Dissertation.**

1. The dissertation satisfies the requirements of Article 22 of this Regulation.
2. Ph.D. students' dissertation is evaluated at the faculty-level dissertation evaluation council and recommended for evaluation at the University level.
3. Independent reviewers endorse the Ph.D. dissertation.
4. Fellows who are not in the period of execution of criminal sentences or disciplined at the level of warning or higher.

**Article 30. Document (dossier) of application for dissertation evaluation at the university level**

1. A dossier of applications for evaluation of a university-level dissertation includes:

- a) Dissertation book (8 volumes)
  - b) Dissertation summary in Vietnamese and English (8 volumes)
  - c) A set of published scientific works (8 volumes) meeting the requirements specified in Clause 2, Article 23 of this Regulation, including statements and copies of published scientific articles and jobs related to the dissertation topic
  - d) Written consent of the co-authors specified at Point b, Clause 2, Article 22 of this Regulation (if any)
  - dd) A written request from the Chairman of the dissertation evaluation council at the faculty/institute level and the dean/institute proposing for Ph.D. students to defend their dissertation at the university-level dissertation evaluation council
  - e) Decide to recognize Ph.D. students and demonstrate changes in the training process (if any)
  - g) The comments of 2 independent reviewers.
2. Ph.D. students are responsible for preparing documents as prescribed at Points a, b, c, d, Clause 1 of this Article; the Department of Graduates Studies gathers the remaining records.

**Article 31. The university-level dissertation evaluation board (Council)**

1. Criteria for members of the Council:
  - a) Meet the requirements specified at Point a, Clause 1, Article 39 of this Regulation
  - b) Standards on research capacity of members of the Council as standards for primary instructors specified in Article 40, except for the Secretary of the Council, must meet the same regulations as for lecturers teaching doctoral degrees specified in Article 39 of this Regulation
  - c) The father, mother, spouse, child, brother, sister, or sibling of the Ph.D. student does not participate in the Council.
2. The number of members of the Dissertation Evaluation Council at the University level is 07 people, of which the number of members who do not have the title of professor or associate professor is not more than 02 people; the number of members outside the university is at least 02 people. The maximum number of members who have participated in the evaluation of the dissertation at the faculty/institute level must not exceed 03 people; the maximum number of members who are officers of the university must not exceed 03 people; The dean /institute of industry management proposes the list of candidates to join the Council and the number of members of the Dissertation Evaluation Council at the University level.
3. The composition of the Council consists of the president, Secretary, reviewers, and other commissioners, of which 01 critic is a person of the school and 01 critics is a person outside the school; the critic must not be a co-author with a Ph.D. student in scientific publications related to the dissertation; the Chairman of the Council must be a

professor or associate professor of the appropriate field; the reviewer must not be a co-author with a Ph.D. student in scientific publications related to the dissertation; the Chairman of the Council must be a professor or associate professor in the appropriate field; following the expertise of the dissertation topic, being a lecturer or organic researcher of the university; 01 Ph.D. instructor can join the Council as a commissioner.

4. The Rector shall establish a University-level dissertation evaluation council based on the proposal of the Dean/Institute and the proposal of the Head of the Graduate Training Department.

5. In case of necessity (for objective reasons or because a member proposes not to join the Council), the principal shall decide on the change and addition of members of the school-level dissertation evaluation council and the time limit related to the Council's activities shall be counted from the date of the last decision on the change, member addition effective.

**Article 32. Conditions for organizing the dissertation evaluation at the university level**

1. The time and place of the dissertation evaluation, summary, and complete dissertation shall be publicly announced on the university's website at least ten days before the meeting of the Dissertation Evaluation Council (except for the case of evaluating the dissertation according to the confidential regime according to Point a Clause 3 Article 16 of Circular No. 18/2021/TT-BGDĐT).

2. Council members must comment on the dissertation in writing to the Secretary of the Council (via the Department of Graduate Studies) at least 07 days before the dissertation evaluation meeting.

3. Not in one of the following cases:

a) Absent the Chairman of the Council

b/ Absence of the Secretary of the Council

c) The Council is present with less than 05 people or absents more than 01 people.

4. Within a maximum of 03 months from the date of the establishment decision, the Council must conduct a meeting to evaluate the dissertation. Beyond this deadline, the Council dissolved itself. After the Council dissolves itself, Ph.D. students have the right to continue to apply for dissertation protection if they meet the provisions of Article 29 of this Regulation. The order and procedures for dissertation defense shall be carried out for Ph.D. students defending the dissertation at the university level for the first time.

5. In case of a change in council members, the prescribed time limits related to the activities of the council members and the organization of the dissertation evaluation shall be counted from the date of signing the final decision on the change of members of the university-level dissertation evaluation council.

6. The instructor, department head, and dean/institute of industry management are natural guests.

7. The online dissertation assessment organization must ensure that at least 03 members of the Council are present directly with Ph.D. students; in case of natural

disasters or force majeure epidemics, comply with the specific instructions of the Minister of Education and Training.

**Article 33. Requirements for university-level dissertation evaluation organizations**

1. The Council must meet to prepare and examine the conditions for meeting the university-level dissertation evaluation council by Article 32 of this Regulation. Only when the requirements specified in Article 32 of this Regulation have been fully met may the Council meet officially to evaluate the Ph.D. student's dissertation.

2. The dissertation must be publicly evaluated (in case the dissertation topic related to state secrets is on the list of state secrets, the assessment shall be carried out according to the provisions of Article 17 of the Regulations on admission and training of doctoral degrees issued together with Circular No. 18/2021/TT-BGDĐT of the Ministry of Education and Training).

3. The Council must vote and decide whether to approve the dissertation. The dissertation is approved if there is no or only 01 members of the Board present at the assessment who disagrees professionally.

4. The Council must issue a resolution on the dissertation, stating:

- a) Results of dissertation evaluation of council members
- b) New contributions of the dissertation on theory and practice;
- c) Shortcomings in the content and form of the dissertation
- d) Contents that must be amended and supplemented if necessary
- đ) Conclusions of the Council on the adoption of the dissertation or non-adoption of the dissertation (with reasons for non-approval)

5. The progress of the dissertation review is recorded in minutes; In the case of an online organization, it must be fully registered, videotaped, and stored by the university's online dissertation evaluation regulations.

**Article 34. Dissertation re-assessment at the university level**

1. If the University-level dissertation evaluation council does not approve the Ph.D. student's dissertation at the first defense session. However, it is allowed to be defended by the petitioning Council no later than 06 months from the time of the first dissertation evaluation; The university decided to establish a Review Board and organize for Ph.D. students to defend their dissertation for the second time.

2. Do not organize the dissertation reassessment without the recommendation of the First Dissertation Evaluation Council.

3. The composition of the second-level dissertation evaluation council must have at least 03 members who have joined the first Council, including enough members who disagree with the dissertation.

4. Organize the dissertation reassessment at the school level, similar to the first assessment.

5. If the dissertation remains unsatisfactory after reassessment, the Ph.D. student will be forced out of school. A third dissertation re-assessment is not allowed.

## **Chapter II**

### **RECOGNITION OF QUALIFICATIONS AND DOCTORAL DEGREES**

#### **Article 35. Conditions for recognition of qualifications and grant of doctoral degrees**

1. Ph.D. students shall be considered for recognition of their qualifications and doctoral degrees when they satisfy the following conditions:

a) The University-level dissertation evaluation council has approved the Ph.D. student's dissertation

b) The doctoral student has submitted to the university (both printed and electronic) the final completed dissertation signed by the Ph.D. student, certified by the instructor; confirmed by the Chairman of the dissertation evaluation council after completing the revision and supplementation of the idea (if any)

c) The Ph.D. student has submitted to the University's Library and the National Library of Vietnam (both electronic and printed) a summary of the dissertation and the full text of the final completed dissertation signed by the Ph.D. student, signed by the instructor, and certified by the university.

2. If it is a case where appraisal is required according to the notification of the Ministry of Education and Training, the appraisal result must meet the requirements or the appraisal result of the Ministry of Education and Training has not been received when the prescribed appraisal period has expired.

3. The Department of Graduates Studies has posted the full text of the Ph.D. student's final completed dissertation on the university's website (except for those theses evaluated according to the confidential regime) within 03 months from the time the Ph.D. student meets the requirements specified in Clause 1 of this Article.

4. After the time limit specified in Clause 3 of this Article, the university shall consider and issue a decision on the recognition of doctoral degrees for Ph.D. students.

#### **Article 36. Documents (dossiers) for consideration of conferring a doctorate degree**

1. A dossier of consideration for consideration of conferring a doctorate degree includes:

a) Minutes of the dissertation evaluation at the university level

b) Resolution agreeing to approve the dissertation of the Dissertation Evaluation Council at the University level

c) Minutes of vote counting, evaluation slips, and comments of all members of the University-level dissertation evaluation council present at the assessment session

d) An explanation of the points added or corrected in the dissertation (if any) according to the resolution of the University-level dissertation evaluation council, certified by the (collective) instructor, the President and Secretary of the Council, and the Head of the Graduate Training Department

d) A written comment and evaluation of the Ph.D. instructor; a confirmation of the completion of the dissertation revision and supplementation by the instructor and the Chairman of the dissertation Evaluation Council (if any)

e) The list signed by the members of the University-level dissertation evaluation council was presented at the doctoral dissertation evaluation session.

g) Receipt of submission of the dissertation and dissertation summary of the School Library and The National Library of Vietnam.

h) Evidence of public announcement of the date of the dissertation assessment.

2. The Department of Graduates Studies shall gather dossiers for consideration for granting doctoral degrees and carry out procedures for submitting them to the Rector for signing a decision on recognition of postgraduate degrees and degrees for Ph.D. students when fully meeting the conditions prescribed in Article 35 of this Regulation and keep the degree-granting dossiers as prescribed.

#### **Article 37. Granting (confering) a Doctorate degree**

The university shall grant doctoral degree to Ph.D. student within 30 working days from the effective date of the decision to recognize postgraduate degrees.

### **Chapter V**

#### **STANDARDS, DUTIES, AND RIGHTS OF THE INDIVIDUALS AND DIVISIONS CONCERNED**

##### **Article 38. Duties and Rights of the PhD. student**

1. To exercise rights and responsibilities as prescribed in Articles 60 and 61 of the Law on Higher Education (amended and supplemented in 2018).

2. Develop and propose detailed study and research plans for each year based on the full-course plan approved in the decision on accreditation of Ph.D. students, including work plans and reports to instructors.

3. To implement the plan approved by the instructor and the dean/institute of management; periodically for 06 months, report the progress and results of learning and research to instructors, professional units (departments, faculties/institutes), and the Department of Graduates Studies; propose to instructors and professional units about changes in the learning and research process.

4. Participating in scientific activities at departments and departments/institutes of industry management as an adjunct lecturer or organic researcher; participating in the implementation of research tasks and topics as assigned by the instructor.

5. To comply with the training institution's regulations on academic integrity, ensuring that the published results stem from the individual's research with the instructor's support; record and adequately cite the participation of another individual, collective, or organization (if any).

6. To access resources, use libraries and laboratory equipment for study, scientific research, and dissertation implementation.

7. To perform other duties and rights as prescribed by the university.

**Article 39. Standards, duties, and Rights of lecturers teaching doctoral-level programs**

1. Lecturers teaching doctoral degrees must meet the following requirements:

a) Being a Vietnamese citizen or a foreign citizen who meets the provisions of Clause 1, Article 54 of the Law on Higher Education (amended and supplemented in 2018) and other relevant laws

b/ Having doctoral degrees in professional fields suitable to the modules undertaken in the training program

c/ Having foreign language capacity, applying information technology to serve the teaching, research, and implementation of international exchange and cooperation activities in the professional fields undertaken in doctoral training programs.

2. Persons who do not have the title of professor or associate professor must meet the following requirements:

A/ Having taught at university or master's level for one year (12 months) or more since obtaining a doctoral degree

b) For 05 years (60 months) up to the time of assignment of teaching with publications related to teaching expertise as the lead author or related author of 02 scientific articles and reports in journals shall be marked to 0.75 points or more according to the maximum score prescribed by the Vietnam State Council of Professors; either author or co-author of 01 monographs published by domestic and international publishers or of 01 reference book chapter published by global publishers.

3. Lecturers teaching doctoral degrees shall perform their duties and exercise their rights as prescribed in Articles 55 and 58 of the Law on Higher Education (amended and supplemented in 2018) and relevant laws.

**Article 40. Standards of the instructor (supervisor)**

1. Principal instructors, sub-instructors, and independent instructors of Ph.D. students must meet the standards of doctoral-level lecturers as prescribed in Article 39 of this Regulation.

2. For 05 years (60 months) up to the time of the decision on recognition of the Ph.D. guide, the primary instructor, the independent instructor, and the co-instructor, when there is no distinction between the leading guide and the secondary guide, must

have additional research results in the professional field related to the guiding dissertation topic, as follows:

a) Being the primary author (first or corresponding author) of scientific conference reports, scientific articles published in publications on the Web of Science or Scopus catalog (from now on collectively referred to as the WoS/Scopus catalog), or reference book chapters published by reputable international publishers, or articles published in domestic scientific journals prescribed by the State Council of Professors with a rating up to 0.75 points or higher, or monographs published by reputable domestic and international publishers; publications must achieve a total score of 4.0 points or more according to the maximum score prescribed by the Vietnam State Council of Professors for each type of work (without dividing points when there are co-authors); or

b) Being the author or co-author of at least 01 result of scientific and technological research and application registered and granted a national or international patent

3. Each Ph.D. student has 01 or 02 instructors, of which at least 01 person is an organic officer of a training institution or has a contract for teaching or scientific research with a training institution as prescribed by law; working on a full-time regime at a training institution with the duration of the contract following the study plan: internships, full-course research of Ph.D. students.

#### **Article 41. Duties and Rights of the instructor (supervisor)**

A Ph.D. instructor has the following responsibilities and rights:

1. Have the same duties and rights as lecturers teaching doctoral-level training programs specified in Article 39 of this Regulation

2. To approve the Ph.D.'s full-course and annual study and research plan; guide, support, evaluate, monitor, and urge Ph.D. students to perform their study and research tasks according to the approved plan.

3. Proposing or commenting on changes in the studying and research process of Ph.D. students.

4. Ph.D. students' dissertation proposals shall be evaluated at the faculty level if the dissertation and scientific publication results meet the requirements specified in Articles 22 and 23 of this Regulation.

5. To exercise other rights and perform other duties as the university prescribes.

6. At the same time, persons with the title of professor are independently instructed by up to 07 Ph.D. students; persons with the title of associate professor or holders of Doctor of Science are independently conducted by up to 05 Ph.D. students; doctoral degree holders are independently instructed up to 03 Ph.D. students. In the case of co-instruction, 01 Ph.D. student is calculated as equivalent to independent instruction 0.5 Ph.D. student.

#### **Article 42. Duties and rights of faculties and departments**

1. To disseminate and guide Ph.D. students before the start of the course on the regulations of the training institution and other rules related to the learning and research process; restrictions on the rights and responsibilities of Ph.D. students.

2. To adopt the study and scientific research plan of the Ph.D. student; facilitate, support, urge, supervise and check the implementation of the study and research plan of the Ph.D. student.

3. Managing Ph.D. students in the process of learning and scientific research in the faculty.

4. Organize regular scientific activities for Ph.D. students at specialized units.

5. To organize the evaluation of Ph.D. students' dissertation at the faculty/institute level; consider whether to approve the proposal to put the idea in the assessment at the University-level Council as prescribed in Clause 4, Article 27 of this Regulation.

#### **Article 43. Duties and Rights of the Graduate Studies Department**

Responsible to the principal and the focal point for the entire organization and management of training activities:

1. Develop enrollment and training plans.

2. Draft decisions on general essay evaluation councils, doctoral topics, grassroots dissertation evaluation councils, and university-level dissertation evaluation councils.

3. Coordinate with the faculty/institute and the Ph.D. instructor to monitor, check the progress, urge, and support the Ph.D. within the scope of their functions.

4. Examine and supervise the academic integrity of the dissertation.

5. Carry out the process of independent review of the dissertation.

6. Organize a dissertation evaluation council at the university level.

7. Manage documents and records of Ph.D. student.

8. Prepare decisions on the list of recognition of graduation and issuance of transcripts, granting degrees, and managing the granting of doctoral degrees following current regulations.

9. To publicly announce information on the school's website following the Ministry of Education and Training regulations.

10. Implement the reporting and storage regime following the regulations of NTU and the Ministry of Education and Training.

## **Chapter VI**

### **IMPLEMENTATION**

#### **Article 44. Mode of storing, reporting, and publicizing information; internal inspection and supervision of training**

1. The Department of Graduates Studies and related units shall perform the tasks of completing the internal database and updating data on doctoral training in the national database on higher education, including enrollment information, doctoral student information, information about lecturers and instructors, information on the results of science and technology activities related to doctoral training, information on doctoral degree-granting, summary and full text of complete dissertation of Ph.D. students submitted to the National Library of Vietnam.

2. The Department of Graduates Studies shall store and preserve records of the training and granting of doctoral students' diplomas by current laws.

3. The university assigns the Department of Graduates Studies to prepare reports to the Ministry of Education and Training on the list of defended Ph.D. students and the dissertation that has been approved at the school-level dissertation evaluation council for two months on the last day of the even months of the year, implementing the periodic reporting regime before December 31 of each year and making unscheduled reports. as required.

4. The school shall publicize on the university's website before enrolling and organizing training information on training programs, facilities, teaching staff, commitments on training quality, and quality assurance conditions by current regulations.

5. In organizing doctoral training, the university shall conduct internal inspections and supervision by current regulations. In case of reflections, complaints, or denunciations about the training organization process, the quality of the dissertation, or some other cases, the university will establish an inspection team to review, conclude and handle following the laws and regulations of the university.

#### **Article 45. Responsibilities for implementation**

1. The Department of Graduates Studies shall develop detailed guidelines on the management and organization of advanced training following the provisions of this regulation.

2. Heads of departments, faculties, institutes, and units related to doctoral training of the university shall organize the implementation and guide lecturers, officials, and postgraduate students to comply with this regulation.

3. The Head of the Inspection - Legal Department and the Head of the Quality Assurance and Testing Department shall supervise and inspect the implementation of this regulation within the scope of functions and tasks.

4. In the process of implementation, if it is necessary to amend and supplement the contents of the provisions in this regulation to suit the actual situation, units and

individuals shall send comments to the Graduate Training Department for syndissertation and submission to the principal for consideration and decision.

**Article 46. Transitional provisions**

1. For the enrollment in 2016 and earlier, comply with Decision No. 780/QĐ-ĐHNT dated June 21, 2013, issued by the Rector of Nha Trang University on the promulgation of regulations on doctoral training.

2. For the enrollment from 2017 to before 14/8/2021, comply with Decision No. 597/QĐ-ĐHNT dated 03/7/2017 of the Rector of Nha Trang University on the promulgation of regulations on doctoral training. /.

**RECTOR OF NTU**

**Trang Si Trung**

**Signed**