

Appendix 1  
to the order  
No. \_\_\_\_\_ as of \_\_\_\_\_

Ministry of Science and Higher Education of the Russian Federation  
Federal State Autonomous Educational Institution of  
Higher Education  
**SIBERIAN FEDERAL UNIVERSITY**


APPROVED  
by Rector  
\_\_\_\_\_ Maksim Rumiantsev  
on \_\_\_\_\_ 2023

Grounds:  
Academic Council decision  
dated 30 October 2023  
protocol No. 15

**REGULATIONS**  
**on activities to ensure the defence of doctoral and candidate dissertations in a**  
**foreign language**  
**at Siberian Federal University**

**ПВД ДОЗД – 2023**

Krasnoyarsk 2023

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## **1 General Provisions**

1.1 These regulations establish the procedure for submitting and defending dissertations for academic degrees in a foreign language at Siberian Federal University (hereinafter – Siberian Federal University, SibFU, the University), drawing up and submission of the dissertation, abstract of the dissertation, as well as the procedure for compiling the qualification file of a candidate for academic degree wishing to defend their dissertation in a foreign language.


The Regulations are being introduced in order to improve the quality of the procedure for defending dissertations for scientific degrees of Candidate of Science and Doctor of Science, in Dissertation Advisory Committees, created on the basis of Siberian Federal University (hereinafter – in the singular as the dissertation council, the Council), and to ensure its accessibility for foreign candidates.

1.2 These Regulations have been developed in accordance with the “Regulations on the procedure for awarding academic degrees” (hereinafter referred to as the “Regulations on Awarding of Academic Degrees”), approved by Decree No. 842 of the Government of the Russian Federation of 24 September 2013, “Regulations on the Council for the Defence of Dissertations for the academic degree of a Candidate of Sciences, for the academic degree of Doctor of Science” (hereinafter – the Regulations on Dissertation Councils), approved by order No. 1093 of the Ministry of Science and Higher Education of Russia on 10 November 2017, and the University Charter.

1.3 Costs associated with defending a dissertation for an academic degree (hereinafter – the dissertation) in a foreign language are covered at the expense of the organization on the basis of which the dissertation council was created, or at the expense of the candidate for an academic degree as agreed between them in accordance with clause 7 of the Regulations on Dissertation Councils, clause 15 of the Regulations on Awarding of Academic Degrees.

## **2 Posting a dissertation for an academic degree on a website of Siberian Federal University and the Federal Information System of State Scientific Qualification**

2.1 To submit a dissertation on the websites of Siberian Federal University and the Federal Information System of State Scientific Qualification (FIS SSQ), a candidate for the academic degree of Candidate of Science, or the academic degree of Doctor of Science (hereinafter referred to as the candidate) submits the following documents in Russian and foreign languages to the Office of Dissertation Councils of the Postgraduate Department (hereinafter – the Office of Dissertation Councils, the Office):

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- application (Appendix A) addressed to the rector of SibFU about posting the full text of the dissertation on the SibFU’s website and on the website of FIS SSQ;
- an agreement on financial coverage of the defence in a foreign language signed by the two parties (Appendix Б).
- the foreign citizen (candidate) shall submit to the dissertation council the following:
  - a document confirming that the candidate has passed candidate examinations on the territory of the Russian Federation (for a candidate for the academic degree of Candidate of Science);
  - an electronic PDF/A version of the dissertation in Russian and a foreign language;
  - a conclusion of the organization where the dissertation was carried out, in Russian and foreign languages. This conclusion shall be drawn up in accordance with the provisions in Appendix B.

2.2 The candidate’s application for posting the dissertation on the SibFU’s website is endorsed by the rector or supervising vice-rector and registered by an authorized employee of the Office of Dissertation Councils.

### **3 Preliminary review of the dissertation**


3.1 Preliminary review of the dissertation in a foreign language, verification of the documents specified in clause 2 herein is carried out subject to the conclusion of an agreement with the candidate for the provision of fee-paid services for the translation of the dissertation and other documents from a foreign language into Russian, or submission of a duly certified translation of the dissertation by the candidate.

The conclusion and execution of the agreement for services of translation of a dissertation and other documents from a foreign language into Russian is the responsibility of the Department for International Cooperation.

The dissertation for the scientific degree of Candidate of Science (hereinafter – the candidate’s dissertation) is submitted for translation at least one month before submitting the documents to the Office of Dissertation Councils, the dissertation for the scientific degree of Doctor of Science (hereinafter – the doctoral dissertation) – at least two months.

3.2 The dissertation council accepts the dissertation for preliminary review after a set of documents provided for in the list approved by the Ministry of Science and Higher Education of the Russian Federation, in accordance with Appendix Г, have been submitted.

If the candidate for an academic degree submits the documents in a foreign language, they must be translated into Russian and duly certified.

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3.3 The candidate’s application for acceptance of the dissertation for review should be drawn up as per Appendix Д. After acceptance of the documents, the application is endorsed by the chairperson or deputy chairperson of the dissertation council.

3.4 On the day of submitting an application for review and admission to defence by the dissertation council, the scientific secretary transfers the documents listed in clause 3.1 and 3.2 herein to the Office of Dissertation Councils for posting them on the SibFU’s website and on the FIS SSQ’s website.

3.5 The preliminary review of the dissertation requires that the council forms an expert commission, which includes at least 3 members of the Council who are specialists in the field of the dissertation and who read the dissertation and submit their opinion on the compliance of the content of the dissertation with the scientific specialities of the council and the completeness of materials in the works published by the author (in ideal scenario, one of these specialists should work with the primary source) to the council.

The commission gives a conclusion on compliance with the requirements established by clause 14 of the Regulations on Awarding of Academic Degrees (links to authors and (or) sources of borrowing materials or some results).


3.6 The council accepts the candidate of science’s dissertation for defence within 2 months and the doctor’s dissertation within 4 months from the date the candidate submits all the necessary documents or, within the specified time frame, provides the candidate with a reasoned conclusion on the refusal to accept the dissertation for defence.

The council’s decision on acceptance or refusal to accept a dissertation for defence is posted on the official website of SibFU and in FIS SSQ within 5 days from the date of the meeting of the dissertation council, at which the corresponding decision was made.

If the council makes a decision to refuse to accept the dissertation for defence, the text of the dissertation, within 5 days from the date of the council meeting at which the corresponding decision was made, is deleted from the official websites of SibFU and in the FIS SSQ, except in cases where the decision about the refusal to accept the dissertation for defence is due to non-compliance with the requirements established by clause 14 of the Regulations on Awarding of Academic Degrees, and (or) the fact that the dissertation contains unreliable information about the works published by the candidate for an academic degree, which set out the main scientific results of the dissertation. This dissertation is posted on the official websites of SibFU and in the FIS SSQ for a period of 10 years, indicating the reason for refusal to accept the dissertation for defence.

3.7 The grounds for refusal to accept the dissertation for defence are:

a) non-compliance of the candidate for an academic degree with the requirements necessary for admission of their dissertation to defence, which are specified in clauses 2 – 4 of the Regulations on Awarding of Academic Degrees;

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б) discrepancy between the topic and content of the dissertation and scientific specialities and branches of science for which the council is granted the right to accept dissertations for defence, except for the cases provided for in clause 21 of the Regulations on Awarding of Academic Degrees;

в) failure to comply with the requirements for publication of the main scientific results of the dissertation, provided for in clause 11 and 13 of the Regulations on Degrees;

г) use of borrowed material in the dissertation without reference to the author and (or) source of borrowing, the results of scientific works carried out by the candidate for an academic degree as part of a team of co-authors but without reference to their other co-authors;

д) if the candidate for an academic degree submits inaccurate information about their published works which set out the main scientific results of the dissertation;

е) submission of the dissertation by a person who, in accordance with clause 17 of the Regulations on Awarding of Academic Degrees, is prohibited from submitting the dissertation to this council for defence.


3.8 The decision of the council to accept the dissertation for defence is considered positive if a simple majority of the council members participating in the meeting voted for it by open ballot.

3.9 The council, when accepting the dissertation for defence, appoints official opponents and the leading organization (with their written consent), determines the date of defence, allows the duplication of the abstract as manuscript, and approves the mailing list of abstracts.

3.10 The originals of reviews of official opponents and the leading organization for the dissertation are submitted to the Council no later than 20 days before the day of defence of the dissertation, and copies of the reviews are given to the candidate for an academic degree no later than 15 days before the day of defence of the dissertation. The candidate for an academic degree has the right to defend their dissertation even if there are negative reviews. If the documents are submitted in a foreign language, they must be translated into Russian and duly certified.

If the reviews of the opponent or the leading organization do not comply with the requirements specified in clauses 23 and 24 of the Regulations on Awarding of Academic Degrees, the council, before the defence, replaces the opponent or the leading organization, and the date of the defence shall be postponed for a period of no more than 6 months.

3.11 Consents of the official opponents (Appendix E), a consent of the leading organization (Appendix Ж), their reviews of the dissertation and other reviews received for the dissertation and abstract in PDF with a indicating the abbreviated name of the organization and the surname, name, patronymic (if any) of the person, who signed the review, are posted on the official websites of SibFU and in the unified information system no later than 10 days before the day of the

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defence. If the documents are submitted in a foreign language, they must be translated into Russian and duly certified.

#### **4 The procedure for interaction between the management of dissertation councils and the Office of Dissertation Councils after the official acceptance of the dissertation for defence**

4.1 The chairperson of the council (deputy chairperson of the council) appoints a person (usually an academic secretary) responsible for receiving non-resident members of the council and opponents.

4.2 On the day the dissertation is accepted for defence, the scientific secretary of the council forwards the following to the Office of Dissertation Councils:

- necessary information about the upcoming defence to resolve organizational issues (memos for placement in SibFU hotel rooms, for provision of videoconferencing);

- decision of the dissertation council (protocol) on acceptance or refusal to accept the dissertation for defence for posting on the websites of SibFU and the FIS SSQ;

- electronic version (DOC and PDF) of the abstract of the candidate's (doctoral) dissertation for posting on the websites of SibFU and the FIS SSQ (official announcement of the defence of the candidate of science's dissertation is posted no later than 2 months, doctoral dissertation – no later than 3 months before the actual defence);

- reviews by official opponents, the leading organization, as well as all reviews received for the dissertation and the dissertation abstract, for posting on the SibFU's website and no later than 15 days before the day of the dissertation defence;

- all the necessary data on visiting members of the council and opponents for preparing a set of documents and relevant reports, and the necessary data on non-resident candidates who need a hotel accommodation on campus of Siberian Federal University, indicating the period of stay – 15 days prior to the defence.

4.3 Scientific secretary of the council:


- prepares notification letters to official opponents, the leading organization, and members of the council about the upcoming defence;

- is responsible for providing a room for the council meeting;

- collects the travel documents and travel certificates of arriving council members and official opponents and forwards these documents to the Office member.

4.4 The Office member:

- ensures that an announcement about the upcoming defence is posted on the websites of SibFU and the FIS SSQ no later than 2 months before the day of

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defence in case of the dissertation for academic degree of candidate of science, and no later than 3 months before the defence of the doctoral dissertation;

- transfers 2 copies of the abstract (in Russian and foreign languages), 1 copy of the dissertation (in Russian and foreign languages) to the University’s Library (no later than 3 months before the day of defence for the academic degree of Doctor of Science, and not later than 2 months before the day of defence for the academic degree of Candidate of Science), the librarian in their turn registers the dissertation and issues a relevant certificate to the Office member, which is attached to the second copy of the qualification file;

- publishes reviews of the official opponents, the leading organization, as well as all reviews received for the dissertation and the dissertation abstract, on the websites of SibFU and the FIS SSQ – in Russian and foreign languages no later than 10 days before the day of the dissertation defence;

- on the basis of internal office memos and data provided by the scientific secretary of the council, draws up orders and agreements for the payment of costs associated with holding a meeting of the Council for the Defence of Dissertations (opponency, accommodation and reimbursement of travel expenses);

- submits relevant financial reports to the Office of Accounting and Financial Supervision of SibFU.

## **5 Preparation for the meeting of the Dissertation Council**

5.1 The Office of Dissertation Councils controls the preparation of documentation for defence (protocols, ballots, attendance lists) and, if necessary, at the request of the scientific secretary of the council, transfers this documentation to the scientific secretary – 3 days before the defence;

5.2 Scientific secretary of the council:


- makes available the received official reviews from opponents and the leading organization to the candidate – no later than 15 days before the defence;

- ensures the preparation of the draft conclusion of the dissertation council and a briefing note and timely submits them to the Office of Dissertation Councils (at least 3 days before the defence);

- collects the data for the data card for the author of the dissertation (in Russian).

## **6 Meeting of the dissertation council**

6.1 A meeting of the council is considered valid if at least 2/3 of the members of the list of the council take part in its work. When defending a doctoral dissertation, the meeting should be attended by at least five doctors of science in the speciality in which the dissertation is presented, and at least three when defending a candidate’s dissertation. The presence of members of the dissertation

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council at the meeting of the council is recorded in the transcript and by audio-video recording of the meeting of the dissertation council.

6.2 The dissertation is defended in a foreign language (in this case, the abstract of the dissertation (if available) is presented in Russian and foreign languages). The Department for International Cooperation assists in providing simultaneous translation of the defence into Russian.

6.3 Procedure for holding the meeting of the council:

6.3.1 Based on the attendance list, the chairperson notifies the members of the council about the validity of the meeting.

6.3.2 The chairperson announces the defence (full name of the candidate, topic of the dissertation, official opponents, leading organization).

6.3.3 The scientific secretary briefly reports about the main content of the documents submitted by the candidate and their compliance with the requirements.

6.3.4 The candidate reports the main points of the dissertation.

6.3.5 People from among the audience of the defence, if they are willing, ask questions to the candidate in written and oral form.

6.3.6 The candidate answers the questions.

6.3.7 The floor is given to the scientific supervisor.

6.3.8 The scientific secretary reads out:

- full text of the conclusion of the organization where the dissertation was written;

- full texts of the reviews of the leading organization indicating the academic degrees and titles of the persons who signed and approved the reviews.

If there are a significant number of positive reviews on the dissertation or abstract, the scientific secretary, with the consent of the council members, instead of announcing the reviews, makes a summary review of them indicating critical comments. Negative reviews are read in full.

6.3.9 The candidate responds to the comments contained in the reviews.

6.3.10 Official opponents speak. After each of them speaks, the candidate gets the floor to answer.

6.3.11 The participants of the defence hold a discussion of the dissertation.

6.3.12 The candidate is given a floor for concluding speech.


6.4 Procedure for secret voting

A secret vote on the results of the defence is organized depending on the form of participation in it by the members of the dissertation council, i.e. in face-to-face or in a remote interactive format (clause 39 of the Regulations on Dissertation Councils).

6.4.1 When holding the meeting in face-to-face format, voting is carried out using paper voting ballots.

A counting commission is elected. This commission organizes the voting in accordance with clauses 46-49 of the Regulations on Dissertation Councils.



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6.4.2 When conducting a defence with the participation of members of the dissertation council in a remote interactive mode, secret voting on the award of an academic degree is carried out using information and communication technologies without the use of a paper ballots.

All members of the dissertation council present at the meeting participate in electronic voting.

6.4.3 The scientific secretary announces the voting results. The dissertation council, by open ballot by a simple majority of the council members participating in the meeting, approves the protocol on the voting results.

6.5 Discussion of the draft conclusion of the dissertation council:

6.5.1 The conclusion of the dissertation council (Appendix 3) is adopted by open ballot by a simple majority of votes of the members of the dissertation council participating in the meeting, signed by the chairperson of the council or deputy chairperson and the scientific secretary.

6.5.2 The chairperson of the council asks council members to make comments on compliance with the council procedure.

The meeting is over.

6.5.3 Information on the results of the public defence of the dissertation at the dissertation council is posted on the official website of SibFU no later than 10 days from the date of meeting of the dissertation council.

## **7 Registration of qualification files after the defence of the dissertation and submitting the qualification files to the Ministry of Science and Higher Education of Russia**

7.1 Within 5 days after the defence, the scientific secretary of the Council sends the candidate to the Office of Dissertation Councils to formalise a data card of the dissertation (hereinafter – DDC) and a qualification file for the defence.

7.2 The qualification file of the academic degree candidate is formalised in Russian and foreign languages.


7.3 No later than one month after defence, the Office of Dissertation Councils:

7.3.1 sends the candidate's 1 copy of the dissertation in Russian and 1 copy in the foreign language to the Russian State Library;

7.3.2 formalises the qualification file (in Russian and foreign languages) of the defence, certifies signatures with the required seals, registers and ensures timely sending to the Higher Attestation Commission under the Ministry of Education and Science of Russia (Appendix II);

7.3.3 places the qualification file documents in the FIS SSQ.

7.4 The second copy of the completed qualification file is stored in the archives of the Office of Dissertation Councils for 10 years (Appendix K).

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**DEVELOPED BY**

Head of the Office of Dissertation Councils  
and Doctoral Programs

G.P. Baranova

**APPROVED BY**

Vice Rector for Academic Affairs

D.S. Guts

Vice-Rector for Economics and Finance

R.G. Shorokhov

Vice-Rector for Security

P.A. Yudin

Director of Administrative and Legal Department


N.V. Samarnikova

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## APPENDIX A

### Application for posting the dissertation on the SibFU website

To SibFU Rector

from \_\_\_\_\_  
*surname,*

\_\_\_\_\_  
*name, patronymic (if any) of the candidate*

#### Statement<sup>\*</sup>

Hereby I am asking for the opportunity to post my dissertation in the speciality  
\_\_\_\_\_ on the topic \_\_\_\_\_ on the  
*code of speciality and title of dissertation*

official website of Siberian Federal University on the Internet.


I agree to the automated processing of my personal data in a unified information system.

I am aware that changes to the text of the dissertation posted on the website are not allowed.

Costs associated with translation into Russian/foreign language of the documents shall be born in accordance with the Agreement (Appendix Б).

Date: \_\_\_\_\_ 20\_\_\_\_

\_\_\_\_\_  
*signature initials, surname of the candidate*

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## APPENDIX Б

### Agreement on financial support for dissertation defence in a foreign language

Candidate for an academic degree of \_\_\_\_\_ of science

*initials and surname of the Candidate*

and Siberian Federal University (SibFU), represented by its rector Maksim Rumiantsev, acting on the basis of the Charter, have concluded this about the following:

1. The costs of bilingual simultaneous interpreting of the public defence of the dissertation are financed from the funds of Siberian Federal University (ИСТФ 31).
2. The expenses for bilingual translating of the dissertation, abstract, review of the research supervisor (consultant), conclusion of the organization where the dissertation was completed are born by the candidate for an academic degree.
3. The expenses for bilingual translating of other documents prepared during the defence of the dissertation and the formation of an qualification file for the candidate for an academic degree are born as mutually agreed by the parties.

Rector of Siberian Federal University

Candidate

\_\_\_\_\_/ M.V. Rumiantsev/

\_\_\_\_\_  
*signature initials, surname of the candidate*

\_\_\_\_\_  
*Passport (series, number, issuing authority, date of issuing)*

## APPENDIX B

### APPROVED

\_\_\_\_\_

*position*

\_\_\_\_\_

*signature initials, surname*

\_\_\_\_\_ 20\_\_\_\_

*Seal*

## CONCLUSION

\_\_\_\_\_

*full official name of the organization in accordance with the charter*

**Dissertation** \_\_\_\_\_

*dissertation title*

**completed in** \_\_\_\_\_

*name of educational or scientific structural unit*

**During the preparation of the dissertation, the candidate** \_\_\_\_\_

*full name*

**has been working in** \_\_\_\_\_

*full official name of the organization in accordance with the charter,*

\_\_\_\_\_

*name of educational or scientific structural unit, position*

**In 20\_\_ graduated from** \_\_\_\_\_

*name of the educational institution of higher professional education*

**the degree program** \_\_\_\_\_

*degree program*

**A certificate of passing candidate examinations was issued in 20\_\_.**

\_\_\_\_\_

*full official name of the organization(s) in accordance with the charter*

**(\*)A dissertation for the degree of Candidate of \_\_\_\_\_ Science**  
*(for candidates for the degree of Doctor of Science) branch of science*

\_\_\_\_\_ was defended in \_\_\_\_\_,

*(title of dissertation)*

**in the dissertation council established on the basis of** \_\_\_\_\_

*(full name of the organization in accordance with the charter)*

**Scientific supervisor (consultant) -** \_\_\_\_\_

*full name,*

\_\_\_\_\_

*main place of employment: full official name of the organization in accordance with the charter*

\_\_\_\_\_

*structural unit, position*


**Present at the meeting:** \_\_\_\_\_

*initials, surname, academic degree, academic title*

**Questions:** \_\_\_\_\_

\_\_\_\_\_

**Based on the results of the discussion, the Council made the following conclusion\*\*** \_\_\_\_\_

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## End of Appendix B

(\*) *For doctoral dissertation*

**\*\*** *The following is a conclusion that evaluates the work performed by the candidate, reflects the candidate's personal participation in obtaining the results set forth in the dissertation, the degree of reliability of the results of the research, novelty and practical significance of the studies, the value of the candidate's scientific work, the speciality to which the dissertation corresponds, the completeness of the materials in works published by the candidate, as well as the validity of assigning the mark "restricted publication".*

Dissertation \_\_\_\_\_

*dissertation title*

\_\_\_\_\_

*full name*

recommended (not recommended) for defence for an academic degree of

Candidate (Doctor) of \_\_\_\_\_ science, in \_\_\_\_\_

*branch of science*

\_\_\_\_\_

*code(s) and name of speciality(s) of scientific workers*

The conclusion was adopted at the meeting of \_\_\_\_\_

*name of the structural unit of the organization*

The meeting was attended by \_\_\_\_\_ people

Voting results: "for" – \_\_\_\_\_ people,

"against" – \_\_\_\_\_ people,

"abstained" – \_\_\_\_\_ people,


Protocol No. \_\_\_\_ as of \_\_\_\_\_ 20\_\_\_\_ .

\_\_\_\_\_

*signature of the person who issued the conclusion; full name, academic degree, academic title, structural unit, position*

### Notes


1. The text of the conclusion is printed on one side of an A4 sheet (210x297 mm);
  2. Page margin parameters:
    - top, bottom – 20 mm;
    - left – 25 mm;
    - right – 15 mm.
  3. The text parameters: Times New Roman, size 14, line spacing – 1.5, justified. Page numbering is not indicated.
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## APPENDIX Г


### Documents for preliminary dissertation review

1. Application of the candidate following the recommended sample in Appendix Д.
2. Confirmation of posting the full text of the dissertation on the SibFU's website (printout of a page from the website indicating the date of posting).
3. Duly certified copies of a standard document on higher education (specialist's degree diploma, master's degree – for a candidate for the academic degree of Candidate of Science (persons who have completed the training program for scientific and pedagogical personnel in postgraduate programs (or post graduate military course), in accordance with federal state educational standards or educational standards, shall present a diploma/certificate of completion of postgraduate studies (or post graduate military course) with the supplement to the diploma (2 copies).  
Persons who received education abroad additionally submit a copy of a document certifying the recognition in the Russian Federation of their education and (or) qualifications obtained in a foreign country, with the provision of the same academic and (or) professional rights as holders of higher education received in Russia (specialist's degree, master's degree, postgraduate studies), except for cases where higher education received in a foreign country is subject to international treaties on mutual recognition or received in a foreign educational organization included in the list established by the Government of Russia) (2 copies).
4. Duly certified copies of a diploma of Candidate of Science – for candidates for the academic degree of Doctor of Science (2 copies). Persons who have received an academic degree abroad additionally submit a copy of the certificate of recognition of the academic degree received in a foreign country, with the exception of cases where foreign academic degrees are subject to international treaties of Russia, and were also received in foreign educational organizations and scientific organizations, the list of which is established by the Government of Russia) (2 copies).
5. Certificate of passing candidate examinations (2 copies).
6. The final version of dissertation, signed by the author (*the title page is drawn up as set in Appendix Л*).
7. An abstract printed as a manuscript and signed by the author (*the title page and the back of the cover are drawn up as set in Appendices М, Н*) of up to 1 author's sheet for a dissertation for the degree of Candidate of Science, and up to 2 author's sheets for a dissertation for the degree of Doctor of Science.  
For the humanities, the volume of the abstract can be up to 1.5 author's sheets for a dissertation for the degree of Candidate of Science, and up to 2.5 author's sheets for a dissertation for the degree of Doctor of Science.
8. Conclusion of the organization where the dissertation was written (Appendix Б) – (2 copies).
9. Review of the scientific supervisor for candidates for the degree of Candidate of Science and review of the scientific consultant for candidates for the degree of Doctor of Science (2 copies).

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10. Personal data sheet for personnel records (1 copy).



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## APPENDIX Д

### Application form for dissertation acceptance

To the chairperson of the dissertation council

\_\_\_\_\_, based at  
*dissertation council code*

\_\_\_\_\_  
*name of the organization where the dissertation council has been organized*

from \_\_\_\_\_  
*full name,*

\_\_\_\_\_  
*passport (series, number, data of issue, issuing authority)*

#### Statement \*

I kindly ask you to accept my dissertation on topic

\_\_\_\_\_  
*dissertation topic*

for submission and defence for degree of Candidate (Doctor) of Science in

\_\_\_\_\_  
*branch of science*

speciality \_\_\_\_\_  
*code and name of the speciality*

This is the first (repeated) defence.

I hereby give my consent to include my personal data into my qualification file for their further processing. I confirm that all data and results submitted for defence are genuine and original and, except where specifically stated, obtained by me personally.

« \_\_\_ » \_\_\_\_\_ 20\_\_

\_\_\_\_\_  
*Candidate's signature, surname and initials*

## APPENDIX E

### Consent form for an official opponent

To the chairperson of the dissertation  
council \_\_\_\_\_  
\_\_\_\_\_

I, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, agree to act as an official opponent  
*full name*  
for dissertation \_\_\_\_\_ on topic \_\_\_\_\_  
*Candidate's surname and initials*  
major \_\_\_\_\_ for degree of \_\_\_\_\_ of Science

#### Information about the official opponent

Full name	
Scientific degree (please, state the branch of science and the speciality)	
the code and the name of the speciality in which the dissertation was defended;	
Position and place of work	
the list of the main publications of the opponent on the topic of the dissertation in peer-reviewed scientific publications over the past 5 years (no more than 15 publications)	

Signature \_\_\_\_\_

Certified by \_\_\_\_\_

## APPENDIX Ж

### Consent form for leading organization

To the chairperson of the dissertation  
council \_\_\_\_\_

\_\_\_\_\_


\_\_\_\_\_, agrees to act as a leading organization  
*Name of organization*  
 for dissertation \_\_\_\_\_ on topic \_\_\_\_\_  
*Candidate's surname and initials*  
 major \_\_\_\_\_ for degree of \_\_\_\_\_ of Science

#### Information about the leading organization

Full name of institution, abbreviated name, registered office	
Mail address; Telephone (if any), e-mail (if any);	
Web-site (if any);	
the list of the main publications of the staff on the topic of the dissertation in peer-reviewed scientific publications over the past 5 years (no more than 15 publications)	

Signature of the head of the institution \_\_\_\_\_

Seal

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## APPENDIX 3

### Dissertation Council Conclusion

DECISION OF THE DISSERTATION COUNCIL \_\_\_\_\_ BASED AT  
(council code)

\_\_\_\_\_  
*name of the organization where the dissertation council has been organized*

FOR DISSERTATION \_\_\_\_\_  
*full title of the dissertation*

FOR DEGREE OF CANDIDATE (DOCTOR) OF SCIENCE

Qualification file № \_\_\_\_\_

The decision of the dissertation council as of \_\_\_\_\_ No \_\_\_\_  
(date)

On awarding \_\_\_\_\_  
*(full name, citizenship)*

Degree of Candidate (Doctor) of Science in \_\_\_\_\_  
*(branch of science)*

Dissertation \_\_\_\_\_  
*(title)*

major \_\_\_\_\_  
*(code and major)*

Accepted for defence \_\_\_\_\_, protocol No \_\_\_\_\_ by the dissertation council  
\_\_\_\_\_ based at \_\_\_\_\_  
*(council code) (full name of the organization)*

\_\_\_\_\_  
*(post code, address, the number and date of the order for the creation of a dissertation council)*

Candidate \_\_\_\_\_ born in \_\_\_\_\_,  
*(surname, name, patronymic (if any) (full date of birth))*

(\* ) In \_\_\_\_\_ the candidate graduated from \_\_\_\_\_  
*(For degree of Candidate of Science) (full name of the organization that issued a higher education diploma)*

(\* ) Dissertation for Candidate of Science in \_\_\_\_\_  
*(for degree of Doctor of Science) (branch of science)*

\_\_\_\_\_ was defended in \_\_\_\_\_,  
*(title of the dissertation)*


At the dissertation council, based at \_\_\_\_\_  
*(full name of the organization)*

\_\_\_\_\_  
*(if any)*

*(if a candidate has mastered a postgraduation program, please specify the graduation date and the name of the institution)*

He/she has been working in \_\_\_\_\_ in the position of \_\_\_\_\_  
*(position) (full name of the organization)*

The dissertation was completed in \_\_\_\_\_  
*(name of an educational or scientific structural unit, organization)*

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### APPENDIX 3 (to be continued)

Scientific supervisor (consultant) – Doctor (Candidate) of Science in \_\_\_\_\_,  
(branch of science)

\_\_\_\_\_  
(surname, name, patronymic-if any, position, department, organization)

Official opponents:

\_\_\_\_\_  
(surname, name, patronymic-if any, academic degree, academic title, organization,  
structural unit, position)

\_\_\_\_\_  
(surname, name, patronymic-if any, academic degree, academic title, organization,  
structural unit, position)

\_\_\_\_\_  
(surname, name, patronymic-if any, academic degree, academic title, organization,  
structural unit, position)

have given positive (negative) reviews of the dissertation.

The leading organization \_\_\_\_\_  
name of the institution, city)

in its positive (negative) review, signed by

\_\_\_\_\_  
(surname, name, patronymic-if any, academic degree, academic title, organization,  
structural unit, position)

indicated that \_\_\_\_\_

The candidate has got \_\_\_\_\_ published papers, including the topic of the  
(number)  
dissertation \_\_\_\_\_ papers, published in pre-reviewed scientific journals, \_\_\_\_\_  
(number) (number)

\_\_\_\_\_  
(a brief description of the candidate's papers is given, indicating the type, author's contribution and volume of scientific  
publications, as well as the most significant papers, primarily from among the peer-reviewed scientific publications, indicating  
imprint)

Reviews were given of the dissertation (the abstract): \_\_\_\_\_

\_\_\_\_\_  
(a brief overview of the reviews is provided, with mandatory reflection of the critical comments contained in them)

\_\_\_\_\_  
The choice of official opponents and the leading organization is justified.  
\_\_\_\_\_

### APPENDIX 3 (to be continued)

The dissertation council notes that based on the research performed by the candidate:

\_\_\_\_\_ was/were developed

*(for example, a scientific concept; a new scientific idea enhancing a scientific concept;  
a new experimental technique that made it possible to identify qualitatively new patterns of the phenomenon under study,  
increase the accuracy of measurements with the expansion of the boundaries of applicability of the results obtained, etc.)*

\_\_\_\_\_ were suggested

*(for example, an original scientific hypothesis, original judgments on the stated topic,  
an unconventional approach, etc.)*

\_\_\_\_\_ was proved

*(for example, the prospects of using new ideas in science, in practice, the presence of patterns, unknown connections,  
dependencies, etc.)*

\_\_\_\_\_ were introduced

*(for example, new concepts, changed interpretations of old concepts, new terms, etc.)*

The theoretical significance of the study is justified by the fact that:

\_\_\_\_\_ were proved

*(for example, theorems, lemmas, propositions, techniques that contribute to the expansion of ideas about the phenomenon under  
study, expanding the limits of applicability of the results obtained, etc.)*

\_\_\_\_\_ were used

*(for example, a set of existing basic research methods, including numerical methods,  
experimental techniques, etc.)*

effectively (with new results) in relation to the problems of the dissertation

\_\_\_\_\_ were stated

*(for example, propositions, ideas, arguments, proofs, elements of theory, axioms, hypotheses, facts, trends, stages, factors,  
conditions, etc.)*

\_\_\_\_\_ were revealed

*(for example, significant contradictions, inconsistencies in theory; identification of new problems, etc.)*

\_\_\_\_\_ were studied

*(for example, the connections of this phenomenon with others, the genesis of the process, internal and external  
contradictions, factors, causal relationships, etc.)*

\_\_\_\_\_

*(for example, existing mathematical models,*

\_\_\_\_\_ were brought up-to-date  
*algorithms and/or numerical methods that provide new results on the topic of the dissertation, etc.)*

The significance of the research results obtained by the candidate is confirmed by the fact that:

\_\_\_\_\_ were developed and

*(for example, technologies, new universal measurement techniques, educational technologies, etc.)*

implemented (specify the degree of implementation)

\_\_\_\_\_ were defined

*(for example, the limits and prospects of practical use of theory in practice, etc.)*

\_\_\_\_\_ was created

*(for example, a model for the effective application of knowledge, a system of practical recommendations, etc.)*

\_\_\_\_\_ were submitted

*(for example, methodological recommendations, recommendations for a higher level of organization of activities, suggestions for  
further improvement, etc.)*

### APPENDIX 3 (to be continued)

The assessment of the reliability of the results of the study revealed the following:  
for experimental work \_\_\_\_\_

*(for example, the results were obtained on certified equipment,*

\_\_\_\_\_ *calibrations were justified, reproducibility of the results of the study under various conditions was shown, etc.)*  
the theory \_\_\_\_\_

*(for example, the theory is based on known, verifiable data, facts, including for extreme cases, and is consistent with published experimental data on the topic of the dissertation or related industries, etc.)*

The theory is based on \_\_\_\_\_  
*(for example, on the analysis of practice, generalization of best practices, etc.)*

\_\_\_\_\_ were used  
*(for example, a comparison of author's data and data obtained earlier on the subject under consideration)*

\_\_\_\_\_ *(for example, the qualitative and/or quantitative coincidence of the author's results*  
\_\_\_\_\_ was defined  
*with the results presented in independent sources on this topic, in cases where such a comparison is justified)*

\_\_\_\_\_ *(for example, modern methods of collecting and processing initial information,*  
\_\_\_\_\_ were used  
*representative samples with justification for the selection of objects (units) of observation and measurement, etc.)*

The candidate's personal contribution includes:

\_\_\_\_\_ *(for example, the candidate's participation at all stages of the process,*  
\_\_\_\_\_ *direct participation of the candidate in obtaining initial data and scientific experiments,*  
\_\_\_\_\_ *personal participation of the candidate in the approbation of research results, development of experimental stands*  
\_\_\_\_\_ *and installations (key elements of experimental installations) performed personally by the author*  
\_\_\_\_\_ *or with the participation of the author, the preparation of basic publications on the work performed, etc.)*

During the defence of the dissertation, the following critical remarks were made

\_\_\_\_\_

The candidate \_\_\_\_\_ answered (did not answer/ agreed with remarks)  
*(surname, initials)*

the questions asked to them during the meeting and gave their own arguments

\_\_\_\_\_


At the meeting \_\_\_\_\_ the dissertation council has come to the  
*(date)*  
decision to award \_\_\_\_\_ the Degree of  
*(surname, initials)*

the Candidate (Doctor) of Science in \_\_\_\_\_  
*(branch of science)*

for \_\_\_\_\_

*(Doctor of science - for the development of theoretical propositions, the set of which can be qualified as a scientific achievement, or the solution of a scientific problem of important political, socio-economic, cultural or economic importance, or new scientifically based technical, technological or other solutions, the introduction of which makes a significant contribution to the development of the country.*

*Candidate of Science - for solving a scientific problem that is important for the development of the relevant branch of knowledge, or new scientifically based technical, technological or other solutions and developments that are essential for the development of the country).*

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## End of Appendix 3

A secret ballot was conducted by \_\_\_\_\_ members of the dissertation council, \_\_\_\_\_ doctors of science (indicated separately for each speciality of the dissertation under consideration) participated in the meeting of \_\_\_\_\_ people included in the council, \_\_\_\_\_ people were additionally introduced for one-time defence, voted: for \_\_\_\_\_, against \_\_\_\_\_, invalid ballots \_\_\_\_\_.

Chairperson (Vice-Chairperson)  
of the dissertation council \_\_\_\_\_  
(personal signature) (surname, initials)

Scientific secretary of the dissertation council \_\_\_\_\_  
(personal signature) (surname, initials)  
« \_\_\_\_\_ » \_\_\_\_\_ 20 \_\_\_\_\_

Seal of the organization

### Notes

1. The number of the qualification file is affixed by the Ministry of Science and Higher Education of the Russian Federation.

2. If secret voting was held more than once, the reasons for not approving the protocol by the counting commission are indicated.

3. The solution should not contain proprietary information.

4. The text of the dissertation council's conclusion is printed on one side of an A4 sheet (210x297 mm), in accordance with Appendix 3, **while interlinear explanations are not printed**. Recommended volume – **5 pages**.

2. Page margin parameters:

- top, bottom – 20 mm;


- left – 25 mm;

- right – 15 mm.

3. The text parameters: Times New Roman, size 14, line spacing – 1.5, justified.

5. Lines marked with (\*) are printed if necessary.



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## APPENDIX II

### Qualification file documents, sent to the Ministry of Science and Higher Education of the Russian Federation

1. Covering letter on SibFU letterhead, signed by the chairperson of the dissertation council, indicating the date of sending the documents.

2. Conclusion of the dissertation council on awarding the degree of Doctor of Science or Candidate of Science (2 copies).

3. Reviews from official opponents, leading organization, the scientific supervisor or the scientific consultant and other reviews.

4. Conclusion of the organization where the dissertation was carried out (1 copy).

5. Abstract of the dissertation (4 copies for the degree of Candidate of Science and 5 copies for the degree of Doctor of Science).

6. The text of the announcement of the defence of the dissertation, indicating the date of publication on the official website of the Ministry of Education and Science of the Russian Federation.

7. The text of the announcement of the defence of the dissertation on the official website of SibFU, where the full text of the dissertation was posted.

8. Duly certified copy of a standard document on higher education, a diploma of Candidate of Science – for candidates for the academic degree of Doctor of Science (1 copy).

9. Certificate of passing candidate examinations; certificate of passing an additional exam (for a candidate who does not have basic education in the speciality) – for the degree of Candidate of Science (1 copy).

10. Transcript of the meeting of the dissertation council, signed by the chairperson and scientific secretary of the dissertation council and certified by the seal of the organization (1 copy).

11. Digitalized machine-readable audio-visual recording of the dissertation council meeting.

12. Protocol of the counting commission.

13. Summary of information

14. Inventory of documents available in the file, signed by the scientific secretary.

#### **Documents that are posted on electronic media, in Russian and foreign languages**


1. Covering letter on SibFU letterhead, signed by the chairperson of the dissertation council, indicating the date of sending the documents;

2. Conclusion of the dissertation council on awarding the degree of Doctor of Science or Candidate of Science;

3. Reviews from official opponents, leading organization, the scientific supervisor or the scientific consultant and other reviews;

4. Conclusion of the organization where the dissertation was carried out;


5. Transcript

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## **End of Appendix II**

6. Digitalized machine-readable audio-visual recording of the dissertation council meeting;


7. Dissertation in PDF format (for the academic degree of Doctor of Science).

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## APPENDIX K

### Documents for the qualification file to be kept at the Dissertation Council Department


1. Covering letter on SibFU letterhead, signed by the chairperson of the dissertation council, indicating the date of sending the documents.
2. Conclusion of the dissertation council on awarding the degree of Doctor of Science or Candidate of Science.
3. Reviews from official opponents, leading organization, the scientific supervisor or the scientific consultant and other reviews.
4. Conclusion of the organization where the dissertation was carried out.
5. Abstract of the dissertation.
6. The text of the announcement of the defence of the dissertation, indicating the date of publication on the official website of the Ministry of Education and Science of the Russian Federation.
7. The text of the announcement of the defence of the dissertation on the official website of SibFU, where the full text of the dissertation was posted.
8. Duly certified copy of a standard document on higher education.
9. Certificate of passing candidate examinations; certificate of passing an additional exam – for the degree of Candidate of Science.
10. Personal data sheet for personnel records.
11. Transcript of the meeting of the dissertation council, signed by the chairperson and scientific secretary of the dissertation council and certified by the seal of the organization.
12. Report.
13. Application of the candidate
14. Minutes of the dissertation council meeting – appointment of the expert commission.
15. Conclusion of the expert commission.
16. Minutes of the dissertation council meeting when accepting a dissertation for defence.
17. Attendees list.
18. Protocol of the counting commission.
19. Minutes of the dissertation defence meeting.
20. Mailing list of abstracts.
21. Library certificate.
22. Summary of information.
23. Inventory of documents available in the file, signed by the scientific secretary.

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## End of Appendix K

### **Documents that are posted on electronic media, in Russian and foreign languages**

1. Covering letter on SibFU letterhead, signed by the chairperson of the dissertation council, indicating the date of sending the documents;
2. Conclusion of the dissertation council on awarding the degree of Doctor of Science or Candidate of Science;
3. Reviews from opponents, leading organization, scientific supervisor or scientific consultant and other reviews;
4. Conclusion of the organization where the dissertation was carried out;
5. Transcript;
6. Digitalized machine-readable audio-visual recording of the dissertation council meeting;
7. Dissertation in PDF format (for the academic degree of Doctor of Science).

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## APPENDIX Л

### Title page of the dissertation

Full name of the organization where the dissertation was completed

Manuscript copyright  
(signature)

Full name

The title of the dissertation

Speciality's code and name

The dissertation for the degree of Candidate (Doctor) of Science in \_\_\_\_\_

---

Scientific supervisor (consultant)

City – year

Note: the dissertation is printed on standard sheets of white single-grade A4 paper and must be hard cover. The content of the dissertation must be formatted in accordance with the requirements for works sent for publication.

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## **ПРИЛОЖЕНИЕ М**

### **Title page of the dissertation**

Manuscript copyright

Surname, name, patronymic (if any)

The title of the dissertation

Speciality's code and name

Abstract of the dissertation for the degree of Candidate (Doctor) of Science in

---

City – year

## APPENDIX H

### Back page of the abstract of the dissertation

The dissertation was completed in \_\_\_\_\_  
*the name of the organization*

Scientific supervisor (consultant) \_\_\_\_\_  
*academic degree, academic title, surname, name, patronymic (if any)*

Official opponents:

\_\_\_\_\_  
*(surname, name, patronymic-if any, academic degree, academic title, organization, position)*

\_\_\_\_\_  
*(surname, name, patronymic-if any, academic degree, academic title, organization, position)*

\_\_\_\_\_  
*(surname, name, patronymic-if any, academic degree, academic title, organization, position)*

Leading organization \_\_\_\_\_  
*name of the organization*

The defence will be held \_\_\_\_\_

during the meeting of \_\_\_\_\_ the dissertation council

\_\_\_\_\_  
*code of the dissertation council, name of the organization*

\_\_\_\_\_  
*where the council was established, address*

The dissertation can be found in the library and on the website of \_\_\_\_\_  
*the name of the organization, where the council was established,*

\_\_\_\_\_  
*the website where the dissertation and the abstract are posted*

The abstract was sent \_\_\_\_\_  
*date*

Scientific secretary  
of the dissertation council \_\_\_\_\_  
*surname, name, patronymic-if any*

#### Remarks

- 1 The abstract should contain the output data in accordance with the current GOST.
- 2 Lines and footnotes are not printed.