

ADOPTED by the Senate of the University of Tartu  
Regulation no. 8 of 27 May 2022  
(effective as of 1 August 2022)

## **REGULATIONS FOR DOCTORAL STUDIES**

Adopted based on subsections 3 (6) and 33 (6) of the Higher Education Act, subsection 2<sup>3</sup> (4) of the University of Tartu Act and clauses 12 (2) 5), 12 (2) 6), 12 (2) 7) and 12 (2) 13) of the Statutes of the University of Tartu.

### **I. General provisions**

1. Regulations for Doctoral Studies ('regulations') regulate doctoral studies, the requirements for doctoral theses and the procedure of applying for and awarding doctoral degrees at the University of Tartu ('university').
2. If the dean has not appointed a vice dean for research, the duties assigned to the vice dean for research by these regulations are performed by the vice dean in charge of doctoral studies or, if no such vice dean has been appointed, by the dean. At a college, the rights and duties assigned to the head of institute or institute council are exercised and performed by the director of college or college council, respectively.
3. The university's official environment for exchanging information related to the organisation of study is the Study Information System.
4. In matters of the organisation of study not regulated by these regulations, incl. in contesting decisions related to the organisation of study not regulated by these regulations and in processing cases of improper behaviour, the rights and duties of the student and the principles provided for in the Study Regulations apply to doctoral students, visiting doctoral students and external students. In such cases, the rights and duties given to the vice dean for academic affairs or the vice rector for academic affairs are exercised and performed by the vice dean for research and the vice rector for research, respectively.

### **II. Doctoral studies**

#### **II.1. Learners in doctoral studies**

5. Doctoral studies may be undertaken as a doctoral student, as an external student (jointly referred to as a "learner in doctoral studies") or as a visiting doctoral student.

##### **II.1.1. Doctoral student**

6. A doctoral student is a student matriculated to the university to follow a doctoral programme. Doctoral students are divided into junior research fellows and doctoral students without an employment contract. A junior research fellow is a doctoral student with whom the university has concluded an employment contract to complete a doctoral programme.
7. An international doctoral student is a doctoral student who does not have Estonian citizenship, long-term residence permit or permanent right of residence.
8. A doctoral student is matriculated by a directive of the vice rector for research. The directive indicates the time given to complete the doctoral programme. A person may be matriculated to one curriculum or doctoral programme at a time.

### **II.1.2. External student**

9. An external student is person who has not been matriculated to doctoral studies at the university but has been given the right to complete the doctoral programme, incl. to:
  - 9.1. take exams and pass-fail evaluations for up to 30 ECTS in an academic year and
  - 9.2. do research, incl. defend the doctoral thesis, in the volume prescribed by the doctoral programme.
10. To apply for the status of an external student in doctoral studies, the person must hold a master's degree or equivalent qualification, prove language proficiency at the level stipulated in the Admission Rules for Doctoral Studies and have studied in the same or a similar doctoral programme in the past. The person must have previously completed at least 50% of the programme in which the person takes up studies as an external student, except in case of a doctoral curriculum opened before the 2022/2023 academic year. Before registering the person as an external student, the progress review committee assesses the completion of the programme in accordance with these regulations and the faculty's progress review procedure.
11. To get the status of an external student, the person submits an application and the draft period plan approved by the potential supervisor to the vice dean for research. The status of an external student is granted for up to one academic year by a directive of the vice dean for research.
12. The vice dean for research may dismiss the application if
  - 12.1. the university cannot provide a suitable supervisor;
  - 12.2. the applicant has outstanding tuition fees to the university;
  - 12.3. the applicant has previously failed to fulfil the individual plan, incl. has received a negative progress review decision or was not assessed;
  - 12.4. for another valid reason.
13. Before registering a person as an external student, the relations between the external student and the university are defined by an agreement concluded between the university and the external student.
14. The university discontinues the external student's studies by a directive of the vice dean for research based on an application by the external student or if the external student has failed to observe the university's requirements concerning the organisation of study or internal rules.

### **II.1.3. Visiting doctoral student**

15. A visiting doctoral student is a doctoral student of another higher education institution who is registered for studies at the university for one semester or one academic year by a directive of the vice rector for research.
16. To get the status of a visiting doctoral student, the person submits an application to the vice rector for research, including an approval by the faculty's vice dean for research and by person responsible at the home institution. The vice dean for research may dismiss the application if the applicant does not meet the requirements established in the doctoral programme or course or if the maximum number of persons attending the course has been reached. The directive of the vice rector for research about registering the person as a visiting doctoral student and the application of the visiting doctoral student provide the basis for registering the person to the courses listed in the application based on subchapter II.3 of the Study Regulations.
17. The person applying for registration as a visiting doctoral student must prove that their proficiency in the language of instruction is at least level B2 by the Common European Framework of Reference for Languages.
18. At the end of the study period, the dean's office issues the visiting doctoral student a transcript of records.

19. The studies of a visiting doctoral student may be extended for up to one academic year by a directive of the vice rector for research.
20. The university discontinues the studies of a visiting doctoral student by a directive of the vice rector for research
  - 20.1. based on a proposal of the vice dean for research if the visiting doctoral student has failed to observe the university's requirements concerning the organisation of study or internal rules;
  - 20.2. upon the termination of a cooperation agreement between universities or
  - 20.3. based on an application by the visiting doctoral student.

## **II.2. Supervision**

21. Before matriculating a doctoral student, the faculty council or, by the decision of the faculty council, the council of the institute that manages the specialisation of the doctoral programme, appoints supervisor(s), including the supervisor in charge, and approves the topic of the doctoral thesis. The supervisor's consent is required to appoint the supervisor. The supervisor in charge submits the topic of the doctoral thesis to the council in Estonian and English and in the language of the doctoral thesis, if it is not Estonian or English, and to classify the thesis, up to three fields of research based on the category classifications of the Common European Research Classification Scheme.
22. Before registering a person as an external student, the faculty council or, by the decision of the faculty council, the council of the institute that manages the specialisation of the doctoral programme, appoints supervisor(s) to the external student, including the supervisor in charge.
23. The supervisor of a learner in doctoral studies must hold a doctoral degree. In justified cases, a leading practitioner in the field may be appointed as one supervisor regardless of holding a doctoral degree.
24. The supervisor in charge must have an employment contract with the university unless the interinstitutional cooperation agreement concluded to organise doctoral studies states otherwise. In that case, at least one supervisor must have an employment contract with the university.
25. A supervision agreement is concluded between the learner in doctoral studies, the supervisor(s) and the university within one month of the matriculation of the doctoral student or registration of the external student. If the person continues studies as an external student immediately after a study period for which a supervision agreement has been concluded and its terms do not need to be changed, the agreement continues to apply for the new study period.
26. Based on the application of the learner in doctoral studies or the supervisor, the council that appointed the supervisor has the right to appoint a new supervisor or relieve the supervisor from the supervision duty.

## **II.3. Filling a vacant student place**

27. A vacant student place is filled in accordance with the conditions and procedure provided in the Study Regulations, taking into account the following adaptations:
  - 27.1. a vacant student place is filled by a directive of the vice rector for research based on the applicant's application and the proposal by the vice dean for research, taking into account that, if the student place requires employment as a junior research fellow, an agreement must have been reached on the terms of the employment contract;
  - 27.2. applicants for a vacant student place are assessed by the progress review committee pursuant to the procedure established by the faculty council, guided by the provisions of these regulations regarding progress review;

- 27.3. a person who has been exmatriculated from the same curriculum due to exceeding eight years of study or has been exmatriculated from the university due to improper behaviour up to two years ago cannot apply for a vacant study place.

## **II.4. Organisation of study**

### **II.4.1. General principles**

28. The responsibility for organising the studies of the learner in doctoral studies lies with the programme director, the representative of the specialisation of the doctoral programme, and the supervisor(s).
29. A doctoral student going to study or do research abroad is registered as studying abroad based on the doctoral student's individual plan or the study plan provided for in the Study Regulations. In other matters, the provisions of the Study Regulations regarding studies abroad apply.
30. Academic or work experience obtained outside the university during studies can be recognised based on the progress review report.
31. In the recognition of previous studies and work experience (RPL), the provisions of the Study Regulations apply.
32. Doctoral students are fully released from the obligation to study during the period of participating in a reservist training or additional reservist training or when they cannot take part in studies due to mobilisation. A doctoral student who has received the corresponding notice must inform the representative of the specialisation of the doctoral programme and the supervisor(s) of his or her absence from studies.

### **II.4.2. Period of study, suspension of doctoral studies and changes to the period of study of doctoral students matriculated to doctoral programmes opened from the 2022/2023 academic year**

33. The doctoral student assumes the obligation to complete doctoral studies within the time specified in the individual plan.
34. Doctoral student who has received a positive assessment in progress review is transferred to the next study year as of the date of the start of the semester if two studied semesters have passed from matriculation or the last transfer.
35. A studied semester is a semester during which the learner has studied in the student place for more days than a half of the semester (more than 70 days) and during which the studies have been suspended for less than a half of the semester.
36. Suspension of doctoral studies is a temporary justified absence from studies for at least one month during which the learner does not participate in doctoral studies.
37. Suspension of doctoral studies is effected by the directive of the vice dean for research based on the request of the doctoral student that must be submitted at least five working days before suspending doctoral studies.
38. Doctoral studies of the junior research fellow are suspended based on the junior research fellow's request for the period during which the junior research fellow is on maternity leave, parental leave, in conscription or alternative service or, by agreement of the parties to the contract, on unpaid leave.
39. Doctoral studies of the doctoral student without the employment contract are suspended based on the student's request as follows:
- 39.1.1. for personal reasons, in agreement with the supervisor in charge, up to two times during the period of study and for a maximum total of one year;
  - 39.1.2. up to a maximum of one year on entering service in the Defence Forces based on a notice by the Defence Forces;

- 39.1.3. for health reasons based on a medical certificate for up to two years;
  - 39.1.4. in the case of a female doctoral student, based on a medical certificate, from the 30th week of pregnancy until one month after the due date;
  - 39.1.5. after the birth of the child, based on a copy of the child's birth certificate, until the child reaches the age of three.
40. The period of study of a doctoral student, including suspensions of doctoral studies, may not exceed eight years, unless the doctoral studies are suspended for caring for a child of up to three years of age or for conscription or alternative service in the Defence Forces.
  41. If changing the individual plan according to clause 54 requires changing the planned period of study, the new period of study is effected by the directive of the vice dean for research based on the decision of the progress review committee.

#### **II.4.3. Workload, academic leave and extending the period of study of doctoral students matriculated to doctoral curricula opened before the 2022/2023 academic year**

42. The doctoral student completes the doctoral studies either full time or part time in compliance with clause 39 of the Study Regulations.
43. The workload of a doctoral student is defined pursuant to clause 42 of the Study Regulations.
44. The doctoral student is transferred to the next study year of the curriculum after one standard study year (two studied semesters) has passed from matriculation or the last transfer according to clauses 40 and 42 of the Study Regulations, if the student has completed the curriculum in the prescribed volume.
45. A studied semester is a semester during which the learner studies in the student place for more days than a half of the semester (more than 70 days) and during which the student is on academic leave or extended standard period of study for less than a half of the semester.
46. When calculating the doctoral student's workload, the courses prescribed in the curriculum are taken into account; optional courses are not taken into account in a larger volume than that prescribed in the module of optional courses.
47. Doctoral students can apply for academic leave in accordance with the procedure laid down in the Study Regulations.
48. The doctoral student has the right to apply for the extension of studies (postponement of the end date of studies) for a period of 12 months to complete the curriculum. If the doctoral student has studied part time for longer than one academic year, the student can apply for the extension of studies by the time of part-time studies, for one academic year at a time. The extension of studies is effected by the directive of the vice dean for research based on the doctoral student's request.
49. The prerequisite for requesting an extension of the period of study is a positive progress review decision.

#### **II.4.4. Individual plan**

50. Doctoral studies take place according to conditions prescribed in the doctoral programme based on the individual plan, in which the plan of studies and research is agreed upon for the entire period of study. A period plan is a part of the individual plan, in which the plan of studies and research is agreed upon for the following progress review period.
51. The individual plan is compiled by the learner in doctoral studies in cooperation with the supervisor; if there are several supervisors, with all supervisors.
52. The doctoral student submits the individual plan together with the first progress review report of the first year.

53. The doctoral student enters the period plan of the first semester to the Study Information System within 30 days after matriculation. The doctoral student submits the following period plans together with each progress review report.
54. The suspension of doctoral studies or academic leave and other circumstances affecting the period of study must be recorded in the individual plan or period plan as follows:
  - 54.1. the period plan must include the suspension of doctoral studies or academic leave in the previous period and the plan of studies and research of the following progress review period must be adapted accordingly. Changes to the previous period plan are justified in the case described in clause 63;
  - 54.2. changes to the individual plan, including to the period of study in case of doctoral programmes opened from the 2022/2023 academic year, are justified if the plan of studies and research for the entire period of study must be rewritten. To change the individual plan, the changes approved by the supervisor must be submitted to the progress review committee together with other progress review documents.
55. An external student compiles the period plan for the period of being an external student and enters it in the Study Information System within two weeks after registration as an external student.

## **II.5. Progress review**

56. Progress review is the assessment of the progress of the learner in doctoral studies in research and studies at the progress review meeting. Passing progress review is the prerequisite for continuing doctoral studies.
57. During progress review, the completion of the doctoral programme and individual plan is assessed.
58. The faculty council establishes the faculty's progress review procedure which lays down at least
  - 58.1. the requirements for assessing the progress of the doctoral student based on the criteria specified in clause 59;
  - 58.2. the requirements for involving supervisors in the progress review meeting;
  - 58.3. the rules of procedure of the progress review committee;
  - 58.4. the list of additional materials to be submitted to the progress review committee as specified in clause 71, and
  - 58.5. the procedure of collecting and giving feedback on the cooperation between the doctoral student and supervisor(s) according to clause 73 of these regulations.
59. The progress review committee assesses the following criteria based on the faculty's progress review procedure:
  - 59.1. stage of the doctoral thesis;
  - 59.2. research publications and equivalent patents, patent applications or applied solutions related to the topic of the doctoral thesis specified in clauses 116 and 120 of these regulations;
  - 59.3. participation in and presenting at professional events related to the doctoral thesis and international study and research experience;
  - 59.4. other research, development and creative activities related to the doctoral thesis;
  - 59.5. the acquisition of transferable skills that meet the learning outcomes of the doctoral programme;
  - 59.6. studies and self-development according to the requirements of the doctoral programme.

### **II.5.1. Progress review schedule**

60. Progress review takes place at least twice during the academic year: before the beginning of the autumn semester and before the beginning of the spring semester. The vice dean for research sets the progress review dates by a directive by the deadline established in the academic calendar. The progress review dates are published on the faculty's website.
61. The progress review of a doctoral student takes place after one studied semester from matriculation, then after two studied semesters from matriculation, and after that, once per academic year after one standard study year (two studied semesters) has passed from the previous progress review.
62. The progress review may take place earlier after the previous progress review
  - 62.1. at the request of the learner in doctoral studies approved by the representative of the specialisation of the doctoral programme;
  - 62.2. based the reasoned decision of the representative of the specialisation of the doctoral programme;
  - 62.3. based on the decision of the progress review committee.
63. If a junior research fellow has been on incapacity leave for more than half of the progress review period, the progress review may, at the junior research fellow's request, take place after a longer period from the previous progress review. The decision to extend the progress review period is taken by the representative of the specialisation of the doctoral programme.
64. The doctoral student is not subject to progress review during academic leave or the period of suspension of doctoral studies.
65. The progress review of an external student following a doctoral programme takes place after two studied semesters.

### **II.5.2. Progress review committee**

66. The vice dean for research approves the composition(s) of the progress review committee(s) by the deadlines specified in clause 60.
67. The progress review committee consists of at least three members who hold a doctoral degree or equivalent qualification. If the curriculum or the specialisation of the doctoral programme is managed by an institute, at least one member of the committee must be from outside the institute.
68. The progress review committee has the quorum if at least three of its members with the right to vote attend the meeting. The member of the progress review committee is obliged to participate in voting except in the case specified in clause 69. The member of the committee cannot abstain from voting. A decision is adopted if more than a half of the members of the committee with the right to vote have voted in favour.
69. If a member of the progress review committee is the supervisor or a connected person for the purposes of the Anti-corruption Act to the reviewed person, the member withdraws from taking the progress review decision regarding this particular person and the number of participants in decision-making is reduced by one.

### **II.5.3. Documents required for progress review**

70. At least eight working days before the date of progress review, the learner in doctoral studies enters the documents required for progress review in the Study Information System.
71. The progress review report and the period plan signed by the learner in doctoral studies and the supervisor(s) as well as additional materials required by the faculty's progress review procedure must be submitted to the progress review committee. The individual plan must be submitted for the first progress review of the first year and thereafter if it needs to be changed.

72. If, with the progress review report, the learner in doctoral studies applies for the recognition of academic and work experience obtained outside the university towards the completion of the doctoral programme under clause 30, the approval of the representative of the specialisation of the doctoral programme must be obtained before submitting the progress review report.

#### **II.5.4. Progress review meeting**

73. At the progress review meeting, the progress review committee assesses the learner in doctoral studies and gives feedback on supervision in accordance with these regulations and the faculty's progress review procedure.

74. The learner in doctoral studies must participate in the progress review meeting. In the case of a good reason, based on a request by the learner in doctoral studies, the progress review committee may give the learner permission not to participate in the meeting.

75. The progress review meeting may be held using real-time two-way audio-video communication.

#### **II.5.5. Decisions of the progress review committee**

76. Based on the materials submitted by the learner in doctoral studies and the results of the progress review meeting, the progress review committee makes the progress review decision. The decision is entered in the Study Information System within four working days from the progress review meeting.

77. The progress review committee gives the learner in doctoral studies recommendations on fulfilling and improving the individual plan.

78. Based on the submitted materials and the reached assessment, the progress review committee initiates activities for improving the progress of the learner in doctoral studies, if necessary.

##### **II.5.5.1. Decisions of the progress review committee regarding learners in doctoral studies in doctoral programmes opened from the 2022/2023 academic year**

79. The progress review committee makes one of the following decisions and provides reasons for that:

79.1. to give the learner in doctoral studies a positive assessment;

79.2. to give an additional period of up to three months, which the doctoral student is entitled to once during the period of study and which does not extend the standard period of study, to improve performance. The doctoral student must notify the committee of accepting the additional period within seven days of notification of the decision;

79.3. to give the learner in doctoral studies a negative assessment;

79.4. not to assess the learner in doctoral studies if the person did not submit the documents listed in clause 71 to the progress review committee by the deadline specified in clause 70 or was absent from the progress review meeting without the committee's permission.

##### **II.5.5.2. Decisions of the progress review committee regarding learners in doctoral studies in doctoral curricula opened before the 2022/2023 academic year**

80. The committee assesses the research of the learner in doctoral studies in credit points.

81. The progress review committee makes one of the following decisions:

81.1. to give the doctoral student a positive assessment if the student has fulfilled the requirements of at least part-time study or submitted the doctoral thesis for defence according clause 122;

81.2. to give the doctoral student a positive assessment after the first semester if the student has fulfilled at least 50% of the first semester's period plan;

- 81.3. to give the doctoral student a negative assessment if the student has not fulfilled the requirements of part-time study or if the volume of their studies and research in the progress review period falls short of 50% of the volume set out in the period plan;
- 81.4. not to assess the learner in doctoral studies if the person did not submit the documents listed in clause 71 to the progress review committee by the deadline specified in clause 70 or was absent from the progress review meeting without the committee's permission;
- 81.5. to give the external student a positive assessment if the student has fulfilled their period plan at least to the extent of 50% or submitted the doctoral thesis for defence according to clause 122;
- 81.6. to give the external student a negative assessment if the student has completed less than 50% of the period plan.

#### **II.5.6. Repeat progress review and appealing a progress review decision**

- 82. If the learner in doctoral studies was not assessed pursuant to clause 79.4 or 81.4, the progress review committee has the right to allow the learner in doctoral studies to repeat the progress review, if there were good reasons for the failure to submit the documents or being absent from the meeting. A proof of good reasons must be submitted to the progress review committee within five working days of the date of the progress review meeting or immediately after the removal of the cause of non-compliance.
- 83. If the doctoral student has been given an additional period to improve performance specified in clause 79.2, a repeat progress review takes place after this period.
- 84. If these regulations or the faculty's progress review procedure has been violated during the progress review process, the vice rector for research may overrule the progress review decision and require the progress review committee to assess the learner in doctoral studies anew within 14 days after overruling the decision.
- 85. If the learner in doctoral studies does not agree with the decision of the progress review committee, the learner has the right to submit a written appeal to the vice dean for research within seven days from the announcement of the decision of the progress review committee. To review the appeal, the vice dean for research convenes a progress review committee in a new composition within five working days from receiving the appeal. The committee makes a decision on the appeal within seven working days from convening the committee. Minutes are recorded of the committee's meeting and its decision can be challenged within 30 days from the announcement of the decision by submitting a new appeal to the appeals committee specified in clause 153 of the Study Regulations who will then review the appeal according the procedure provided for in the Study Regulations.
- 86. If the appeal has been submitted to contest the number of credit points given for research in the course of progress review, the committee convened by the vice dean for research specified in clause 85 is entitled to leave the number of credit points given for the research the same, increase the number of credit points given or decrease it. The appeals committee specified in clause 153 of the Study Regulations has no right to change the number of credit points given for research.

#### **II.6. Exmatriculation**

- 87. On the initiative of the university, a doctoral student is exmatriculated by the directive of the vice rector for research based on the proposal of the vice dean for research or the head of finance, or based on the decision of the council awarding the doctoral degree, for the following reasons:
  - 87.1. completing the doctoral programme in full;
  - 87.2. expiry of the end date of studies;

- 87.3. insufficient academic progress:
- 87.3.1. the doctoral student received negative assessment at the progress review or was not assessed;
  - 87.3.2. the doctoral student failed to notify the committee of accepting the additional period specified in clause 79.2 or refused the additional period;
  - 87.3.3. the doctoral student has received four negative exam results in the same course;
  - 87.3.4. the degree was not awarded after a repeat defence;
- 87.4. the first-year doctoral student failed to submit the period plan specified in clause 53;
- 87.5. the doctoral student is matriculated to another curriculum or doctoral programme;
- 87.6. failure to pay the tuition fee by the due date specified in the Conditions and procedure of reimbursement of degree study costs;
- 87.7. expiry of the contract for the funding of the student place of the doctoral student, in case it was concluded for the entire period of study and the vice dean for research does not decide differently;
- 87.8. expiry of the employment contract of the junior research fellow concluded for the entire period of study, unless the vice dean for research decides differently;
- 87.9. the doctoral programme or the specialisation is closed and the doctoral student has not requested a transfer to another doctoral programme or specialisation by the time of closing;
- 87.10. the student studying under a joint curriculum or a cross-border curriculum that follows the principles of joint curriculum is exmatriculated from the university coordinating the joint curriculum;
- 87.11. the student who completed the previous level of study abroad fails to submit the documents certifying the previous level of education by the due date specified in the admission rules;
- 87.12. by resolution of the vice rector for research due to improper behaviour in the following cases:
- 87.12.1. academic fraud;
  - 87.12.2. intentionally committed criminal offence while a doctoral student, upon the entry into force of a conviction by a court against him or her;
  - 87.12.3. forgery of documents;
  - 87.12.4. gross violation of generally recognized norms of behaviour or academic traditions.
88. Exmatriculation on the initiative of the university is generally effected within three weeks of the event specified in clause 87. Exmatriculation based on clause 87.3.3 is effected by the end of the semester during which the student received the last negative result. Exmatriculation based on clause 87.5 is effected before matriculation to a new student place. Exmatriculation based on clause 87.6 is effected within seven weeks of the due date specified in the Conditions and procedure of reimbursement of degree study costs. If the doctoral student has challenged the decision of the university on which the exmatriculation is based, the time limit for the formalisation of exmatriculation is suspended during the resolution of the dispute.
89. Exmatriculation on the doctoral student's initiative takes place by the directive of the vice rector for research based on the doctoral student's application. The university is entitled to ask the reason for the application and require the application to be approved by the supervisor and the representative of the specialisation of the doctoral programme with the aim to offer counselling to the doctoral student.
90. The university exmatriculates the doctoral student by the directive of the vice rector for research based on the proposal of the vice dean for research in the case of the following events independent of the parties:

- 90.1. the court has appointed the student a guardian due to the student's restricted active legal capacity;
- 90.2. the student has died.

### **III. Applying for doctoral degree**

#### **III.1. Completion of the doctoral programme**

91. A doctoral student who has fully completed the doctoral programme is considered to have finished studies and is exmatriculated.
92. A person who has fully completed the doctoral programme is issued the diploma certifying the award of the doctoral degree and the diploma supplement in Estonian and in English. The diploma is issued based on a decision of the council awarding doctoral degrees.
93. The name of the research degree awarded to the graduate of a doctoral programme is Doctor of Philosophy (abbreviation PhD). The name is accompanied by the name of the curriculum or the name of the specialisation of the doctoral programme in brackets.

#### **III.2. Council awarding doctoral degrees**

94. A doctoral degree is awarded on the basis of a doctoral programme approved by the senate, including on the basis of a joint curriculum.
95. The council awarding doctoral degrees ('council') is appointed by the senate upon approving or changing a doctoral programme. The composition of the council is published on the university's website. The council must permanently include at least six members holding a doctoral degree or equivalent qualification. The right to award doctoral degrees may be granted to
  - 95.1. the faculty council;
  - 95.2. the institute council;
  - 95.3. a joint council established on the proposal of the councils of several faculties or institutes;
  - 95.4. a joint council of higher education institutions established based on a cooperation agreement for a joint curriculum or joint supervision.
96. The composition of the joint council specified in clause 95.3 is approved by the vice rector for research. The joint council specified in clause 95.4 is established in accordance with the procedure specified in the cooperation agreement for a joint curriculum or joint supervision.
97. For the defence of a particular doctoral thesis, the council may expand its composition by inviting additional member(s) holding a doctoral degree or equivalent qualification.
98. In its procedure rules, the council establishes the requirements for the submission of documents, including the number of copies of the doctoral thesis to be submitted to the council and the procedure for organising the defence and voting at the defence. In its procedure rules, the council may lay down additional conditions for the publication of the third research article specified in clause 108.2.
99. Members of the council who hold a doctoral degree or equivalent qualification participate in deciding issues regarding a doctoral thesis. The supervisor(s) do not have the right to vote or chair the meeting when deciding these issues. Members of the council who do not hold a doctoral degree or equivalent qualification have the right to speak on issues regarding a doctoral thesis, but they cannot participate in decision-making.
100. At the defence, the council has a quorum if, inclusive of additional members, at least six members with decision-making powers are present. In other issues related to the doctoral thesis, the council has a quorum if over half of the members of the council with decision-making powers participate in the meeting.

101. A decision of the council regarding issues related to the doctoral thesis is adopted if more than half (but at least four) of the members of the council with decision-making powers participating in the meeting vote in favour.
102. If the composition or activities of the council are not in accordance with these regulations, the senate may deprive the council of the right to award doctoral degrees and appoint a new council.

### **III.3. Requirements for doctoral candidate**

103. A doctoral candidate must hold a master's degree or equivalent qualification and must have fully completed the doctoral programme except for the defence of the doctoral thesis.

### **III.4. Requirements for doctoral thesis**

#### **III.4.1. General requirements for doctoral thesis**

104. A doctoral thesis is an independent research paper that presents a well-argued original solution to a specific scientific problem and the results of which are published in international professional literature.
105. A doctoral thesis may be written as an integrated collection of research publications or as a monograph.
106. A doctoral thesis is published in the university's publication series "Dissertationes ... Universitatis Tartuensis".

#### **III.4.2. Doctoral thesis as an integrated collection of research publications**

107. An integrated collection of research publications must meet the requirements laid down in clause 121 and includes three research publications and an introductory chapter unless stipulated otherwise in these regulations.
108. In an integrated collection of research publications,
  - 108.1. the introductory chapter must meet the requirements laid down in clause 118;
  - 108.2. at least two of the three research articles must have been accepted for publishing by a journal meeting the requirements of clauses 116.1 or 116.2; for the third research article it is sufficient if it has been peer-reviewed by the editorial board of a leading international research journal or collection or by two internationally recognised independent researchers selected by the council and the rules of procedure of the council do not stipulate otherwise.
109. An integrated collection of research publications may also comprise
  - 109.1. an introductory chapter meeting the requirements laid down in clause 118 and
  - 109.2. at least one publication meeting the requirements of clauses 116.1 or 116.2 and at least two invention patents or patent applications;
  - 109.3. at least two publications meeting the requirements of clauses 116.1 or 116.2 and at least one patent, patent application or applied solution.
110. The doctoral candidate must be the lead or sole author of at least one research publication.
111. If a publication, invention or applied solution has several authors or the doctoral thesis forms a part of a joint research, the contribution of the doctoral candidate must be significant and thoroughly described in the doctoral thesis.
112. The council, based on a calculated and justified decision, has the right to allow a doctoral thesis in the form of an integrated collection of research publications to be defended also if it contains fewer publications than required in clause 107, provided at least one of them includes research at an internationally outstanding level which has a clearly visible and comprehensible

result that changes the scientific worldview of the specialisation, and in which the doctoral candidate is the lead or sole author.

#### **III.4.3. Doctoral thesis as a monograph**

113. A monograph must comply with the requirements of clause 121 and have been peer-reviewed at an international level by at least two independent recognised researchers of the specialisation.
114. The author of a monograph to be published in the university's series of doctoral theses must have published or received an accept for publication for at least one research publication on the topic of the doctoral thesis meeting the requirements of clause 116.1 or 116.2.
115. A monograph published or accepted for publication outside the university's series of doctoral theses must meet the requirements of clause 116.3. This must be supplemented by an introductory chapter meeting the requirements of clause 118 and the structure of the doctoral thesis described in clause 121 .

#### **III.4.4. Requirement for research publications and the introductory chapter**

116. The following research publications are considered as a publication of the results of research included in a doctoral thesis:
  - 116.1. articles in leading international peer-reviewed scientific journals of the specialisation, which have an international panel, are internationally distributed, indexed in several international databases and open to contributions (ETIS publication categories 1.1 and 1.2);
  - 116.2. articles or chapters in publications of recognised international research publishing houses (ETIS publication category 3.1);
  - 116.3. a monograph published by an internationally recognised science publishing house (ETIS publication category 2.1).
117. An official confirmation about acceptance for publishing must be submitted for a research publication accepted for publication but not yet published.
118. The introductory chapter is a framing text that binds the parts of the doctoral thesis into a whole. It meets the conditions laid down in clause 121.6 and the requirements for a research article and the volume of its main body is generally 30–40 standard pages.
119. If the introductory chapter has been written in a language that does not allow it to be peer-reviewed or reviewed by a peer reviewer or opponent meeting the requirements stipulated in clause 131, the doctoral candidate must have it translated into the required language.

#### **III.4.5. Requirements for patents, patent applications and applied solutions**

120. The following are considered equal to the publication of the results of research included in a doctoral thesis:
  - 120.1. patents registered in the region or country where the patentability of the invention has been subjected to expert assessment;
  - 120.2. pending patent applications if, in the case of an international patent application, a positive written opinion on the patentability of the invention has been given by the patent office that conducted the international search, or if, in the case of a national patent application, a positive written opinion on the patentability of the invention has been given by the regional or national patent office;
  - 120.3. an applied solution, i.e. an engineering-technical or software solution, which has been peer-reviewed by two internationally recognised independent experts appointed by the council.

### **III.4.6. Structure of the doctoral thesis**

121. The doctoral thesis has the following structure:
  - 121.1. title pages;
  - 121.2. table of contents (“Contents”);
  - 121.3. the list of the author’s research publications, patents, patent applications and applied solutions the doctoral thesis is based on (“List of publications”);
  - 121.4. the description of the contribution of the author of the doctoral thesis in a research publication, invention or applied solution with several authors (“Author’s contribution to the publications”);
  - 121.5. introduction (“Introduction”);
  - 121.6. the body of the thesis, consisting of
    - 121.6.1. an overview of the current situation of the field of research and the position of the research problem in it;
    - 121.6.2. the formulation of the research task;
    - 121.6.3. the statements presented for defence;
    - 121.6.4. the description of methodology;
    - 121.6.5. the course or proof of the resolution of the research task;
    - 121.6.6. discussion and conclusions;
    - 121.6.7. a summary;
  - 121.7. a list of references (“References”);
  - 121.8. an exhaustive Estonian summary of different parts of the thesis if the doctoral thesis has been written in a foreign language, and a foreign-language summary if the doctoral thesis has been written in Estonian (“Abstract”);
  - 121.9. the author’s curriculum vitae in Estonian and English including the name, date of birth, an email address that continues to be valid after graduation, education and professional history, information about the main fields of research, research publications, patents, patent applications and applied solutions, and membership in professional organisations (“Curriculum vitae”).

### **III.5. Allowing a doctoral thesis to be defended**

#### **III.5.1. Documents submitted by the doctoral candidate**

122. To be allowed to the thesis defence, the doctoral candidate submits to the council the following documents electronically or, if the original document is not electronic, on paper:
  - 122.1. an application to allow the doctoral thesis to be defended, specifying the exact name of the doctoral degree applied for;
  - 122.2. the doctoral thesis, which complies with the technical requirements established for manuscripts by the University of Tartu Press and clause 121 of these regulations, and the texts of publications;
  - 122.3. written opinion(s) of the supervisor(s) on the originality of the doctoral thesis, the contribution of the doctoral candidate and compliance with the requirements of the content and form of the doctoral thesis;
  - 122.4. a brief popular science summary (up to 2,000 characters) aimed at a broad audience in Estonian and English.
123. After the doctoral candidate has been allowed to defend the doctoral thesis, the doctoral candidate submits the doctoral thesis to the council electronically and, if provided for in the procedure rules of the council, also the required number of paper copies.

### **III.5.2. Council's decisions**

124. Within three working days of receiving the documents specified in clause 122, the council chair forwards them to the academic secretary, who assesses the compliance of the submitted materials with the requirements of these regulations, involving experts, if necessary. The academic secretary submits his or her written opinion to the council within eight working days.
125. Within six weeks of receiving the documents submitted by the doctoral candidate, the council makes one of the following decisions:
  - 125.1. to allow the doctoral thesis to be defended;
  - 125.2. to submit the doctoral thesis for a peer-review;
  - 125.3. in the case of deficiencies, to demand the reformulation and correction of the doctoral thesis, making a new decision after that;
  - 125.4. not to allow the doctoral thesis to be defended.
126. Once the peer-reviews have been received, the council makes one of the following decisions:
  - 126.1. to allow the doctoral thesis to be defended;
  - 126.2. in the case of deficiencies, to demand the reformulation and correction of the doctoral thesis, making a new decision after that;
  - 126.3. not to allow the doctoral thesis to be defended.
127. By a decision to allow a doctoral thesis to be defended, the council confirms that the doctoral thesis complies with the requirements provided for in subchapter III.4 and that the doctoral candidate deserves a doctoral degree in the event of a successful defence.
128. The decision specified in clauses 125.3, 125.4, 126.2 and 126.3 must state the reasons.
129. If the council decides to allow a doctoral thesis to be defended, it also appoints the opponent(s) of the thesis, the time and place of defence and, if necessary, additional members of the council.
130. In addition to the standard formal elements, the minutes of the meeting on allowing a doctoral thesis to be defended must also contain the names of the members of the council with decision-making powers as well as their research degrees, the voting results, the name of the doctoral candidate, the title of the doctoral thesis in Estonian and the language of the thesis or, if the doctoral thesis has been written in Estonian, the Estonian and English titles of the doctoral thesis, the names of the supervisor(s), opponent(s) and additional council members (if any) along with their research degrees and institutions, the time and place of defence and the exact name of the degree applied for.

### **III.5.3. Opponent and peer reviewer**

131. An internationally recognised researcher of the respective specialisation who holds a doctoral degree or equivalent qualification and does not have a conflict of interests upon performing the task can be appointed as an opponent or peer reviewer of a doctoral thesis. An opponent or a peer reviewer is considered to have a conflict of interests if they are connected persons to the doctoral candidate or the supervisor for the purposes of the Anti-corruption Act, have or have had a supervision relationship, or have published or submitted for publication joint publications or participated in a joint research project within the last ten years. At least one of the opponents of a doctoral thesis must be from outside Estonia, unless the rector decides otherwise based on a proposal of the council. A peer reviewer of the doctoral thesis can also be an opponent of the doctoral thesis.

#### **III.5.4. Information about the defence and making the doctoral thesis publicly available**

132. A paper copy of the doctoral thesis must be accessible in the university library and an electronic copy of the doctoral thesis must be available on the website of the university library at least two weeks before the defence, unless the defence has been declared closed or restrictions have been established on making the doctoral thesis publicly available.
133. Information about the defence is published on the university's website.

#### **III.6. Publication of the doctoral thesis**

134. The doctoral thesis is published on paper and electronically with the Creative Commons license CC BY NC ND 4.0, which allows the work to be reproduced, disseminated and directed to the public, and prohibits the creation and commercial use of the derived work. At least 15 paper copies of the doctoral thesis must be printed.
135. If the doctoral thesis is defended as an integrated collection of research publications, it must include the introductory chapter together with research publications. If the publications cannot be published due to proprietary rights of the author belonging to other persons, the doctoral thesis must contain a reference to the source of the publication along with the reference to the internet source. The author has the right to prohibit the electronic publication of a manuscript before its first publication.
136. If the doctoral thesis is defended based on (a) published monograph(s), it must include a reference to the monograph(s).
137. If the publications or other parts of the doctoral thesis cannot be made publicly available due to the protection of personal data, a state secret, trade secret or other classified information, a list of such parts or publications drawn up by the author is published. The author submits a reasoned request to the council to establish restrictions on making the doctoral thesis publicly available. The vice rector for research establishes the restrictions on the proposal of the council.
138. The doctoral thesis is printed by the University of Tartu Press, unless the doctoral candidate chooses otherwise in exceptional cases. The author and the university conclude an agreement to have the doctoral thesis printed.
139. If the doctoral thesis is not printed by the University of Tartu Press, one paper copy and the electronic file of the doctoral thesis is submitted to the university library. If necessary, the conditions for publishing the doctoral thesis are agreed upon in an agreement.
140. The doctoral thesis is printed in compliance with the technical requirements established for manuscripts by the University of Tartu Press and with the cover design of the faculty.
141. At least seven weeks before the date of the defence, the author submits to the University of Tartu Press the electronic manuscript of the doctoral thesis, a brief popular science summary (up to 2,000 characters) aimed at a broad audience in Estonian and English, and the separates or PDF-files of the publications. The author submits to the University of Tartu Press an excerpt from the minutes of the council meeting on allowing the doctoral thesis to be defended, the publisher's licence of the republication of a previously published article (if needed), and the copy of the directive of the vice rector for research in the case specified in clause 137.
142. The author is responsible for ensuring that the publication of the doctoral thesis does not violate the intellectual property rights of other persons, the requirements for the protection of personal data or other requirements arising from legislation.
143. The University of Tartu Press ensures the identity of the electronic and paper version of the doctoral thesis, taking the provisions of clauses 136 and 137 into account. The University of Tartu Press sends one paper copy to the Rector's Office and the Office of Academic Affairs. If fewer than 50 paper copies of the doctoral thesis are printed, the University of Tartu Press sends one paper copy and the electronic version to the university library, the National Library

of Estonia, the archive library of the Estonian Literary Museum and the Tallinn University Academic Library.

144. The university ensures the publication, preservation and availability of the electronic and paper version of the doctoral thesis.

### **III.7. Defence of the doctoral thesis**

#### **III.7.1. Defence meeting**

145. The doctoral thesis is defended at a meeting of the council as a public academic discussion. If the doctoral thesis contains a state secret, trade secret, information not subject to publication due to personal data protection requirements or other classified information, the rector may, on the proposal of the council, declare the meeting closed.
146. The defence takes place only if the doctoral candidate, at least one opponent and, along with additional members, at least six members of the council with decision-making powers are present. One can also participate in the defence using real-time two-way audio-video communication.
147. The defence (except the closed discussion specified in clause 149) is recorded as an audio or video file preserved in accordance with the procedure established at the university. In the case of a closed defence, access restrictions to the file are established.
148. The defence consists of the following parts:
- 148.1. introduction by the chair of the meeting and introduction of the doctoral candidate;
  - 148.2. presentation by the doctoral candidate (*lectio praecursoria*);
  - 148.3. remarks by the opponent(s);
  - 148.4. academic discussion between the doctoral candidate and the opponent(s);
  - 148.5. academic discussion with the members of the council and the audience;
  - 148.6. adoption of the council's decision at a closed discussion;
  - 148.7. announcement of the council's decision;
  - 148.8. final remarks of the doctoral candidate.

#### **III.7.2. Council's decision**

149. During a closed discussion (involving the members of the council as well as the opponent(s) and supervisor(s) who do not have the right to vote), the council discusses the doctoral candidate's thesis, presentation and ability to defend the main statements of the doctoral thesis in the discussion. Taking into account the assessments of the opponent(s) to the doctoral thesis and the discussion, the council makes one of the following decisions in a public vote to be officially recorded:
- 149.1. the doctoral thesis was defended successfully (grade 'defended'). The doctoral degree is awarded to the doctoral candidate;
  - 149.2. the doctoral thesis was not defended successfully (grade 'not defended'). The doctoral degree is not awarded to the doctoral candidate;
  - 149.3. the decision is not made due to suspicion of plagiarism or other academic fraud. The doctoral thesis is sent to experts for assessment.
150. The council's decision must state the reasons. If the council decides not to award a doctoral degree to the doctoral candidate, the substantive deficiencies found in the doctoral thesis and/or defence which did not allow to award the degree must be presented.
151. In the case specified in clause 149.3, the council asks for at least two expert assessments and letters of explanation from the doctoral candidate and supervisor(s). Then, within one month of the defence, the council makes one of the following decisions to be officially recorded:

- 151.1. the suspicion of plagiarism or other academic fraud was not confirmed, and
- 151.1.1. the doctoral thesis was defended successfully (grade ‘defended’). The doctoral degree is awarded to the doctoral candidate;
- 151.1.2. the doctoral thesis was not defended successfully (grade ‘not defended’). The doctoral degree is not awarded to the doctoral candidate;
- 151.2. the suspicion of plagiarism or other academic fraud was confirmed. The doctoral degree is not awarded to the doctoral candidate and the council makes a proposal to the vice rector for research to exmatriculate the doctoral student due to academic fraud on the grounds provided for in clause 87.12.1 of these regulations.
152. The minutes of the council’s meeting serve as the basis for the issuing of a diploma. In addition to the required standard formal elements, the minutes must contain the name of the doctoral candidate, the title of the doctoral thesis in Estonian and the language of the doctoral thesis or, if the doctoral thesis has been written in Estonian, the Estonian and English titles of the doctoral thesis, the names of the supervisor(s), opponent(s) and members of the council with decision-making powers attending the defence along with their research degrees, the name of the council chair, the voting results, and the decision on awarding the doctoral degree.
153. If the council decides not to award the doctoral degree to the doctoral candidate, the doctoral candidate has the right to apply for a repeat defence of the same doctoral thesis once within the time limit set by the council.

### **III.7.3. Repeat defence of the doctoral thesis**

154. To be allowed to a repeat defence, the doctoral candidate must submit an application to the council.
155. Within one month of receiving the application to be allowed to a repeat defence, the council makes a decision on allowing the doctoral candidate to the repeat defence. The decision must comply with the requirements provided for in clauses 128–130. A decision not to allow a doctoral candidate to the repeat defence must state the reasons. Based on the council’s decision to allow a doctoral candidate to the repeat defence, access to the electronic doctoral thesis is granted on the university library website at least one month before the repeat defence, unless the defence of the doctoral thesis has been declared closed or restrictions have been established on publishing the doctoral thesis. Information about the repeat defence is published on the university’s website.
156. The repeat defence takes place in accordance with clauses 145–152.
157. If, in a repeat defence, the council decides not to award a doctoral degree based on clause 149.2, the council makes a proposal to the vice rector for research to exmatriculate the doctoral candidate due to insufficient academic progress as provided for in clause 87.3.4 of these regulations.

### **III.8. Applying for doctoral degree and defence of the doctoral thesis under a joint supervision agreement**

#### **III.8.1. Conclusion of a joint supervision agreement**

158. An agreement for joint supervision of a doctoral student is made between a doctoral student of the university, the university and a foreign higher education institution. The joint supervision agreement allows to defend a doctoral thesis on the conditions specified in the agreement in front of a joint council of the university and the foreign higher education institution and to award to the doctoral candidate, based on a decision of the joint council, the graduation documents and academic degrees of the university and the foreign higher education institution.

159. The joint supervision agreement is signed by the doctoral student, representatives of both higher education institutions and the supervisors of the doctoral student. Before signing, the supervisor sends the joint supervision agreement electronically to the council awarding doctoral degrees of the university, which submits the agreement to the Office of Academic Affairs to verify compliance with the requirements established in these regulations.
160. If the conditions and procedure of defending the doctoral thesis agreed in the joint supervision agreement do not meet the conditions of defending doctoral theses established in these regulations, the senate decides whether to approve the adaptations and then the council awarding doctoral degrees of the university decides whether to approve the agreement.
161. If the conditions and procedure of defending the doctoral thesis agreed in the joint supervision agreement meet the conditions of defending doctoral theses established in these regulations, the council awarding doctoral degrees of the university decides whether to approve the agreement.

### **III.8.2. Conditions of a joint supervision agreement**

162. The prerequisite for the approval of a joint supervision agreement by the council awarding doctoral degrees of the university is that the agreement specifies at least the following:
  - 162.1. terms and conditions of registering the doctoral student for studies at the university and the foreign higher education institution and the planned period of study;
  - 162.2. research topic and the doctoral programme and specialisation followed at the university;
  - 162.3. supervisors at the university and at the foreign higher education institution and their obligations upon supervising the doctoral student;
  - 162.4. individual plan, incl. compulsory courses and training courses, and the estimated schedule;
  - 162.5. RPL conditions;
  - 162.6. conditions of financing the studies and research, incl. participation in conferences and trips;
  - 162.7. requirements for mutual notification and reporting, incl. documents to be submitted for progress review;
  - 162.8. procedure of applying for the degree;
  - 162.9. conditions and procedure of preparing and publishing the doctoral thesis, incl. the language of the doctoral thesis;
  - 162.10. intellectual property rights regarding the doctoral thesis;
  - 162.11. conditions and procedure of defending the doctoral thesis, incl. the language and place of defence;
  - 162.12. procedure of forming a joint council, making decisions and contesting decisions;
  - 162.13. graduation documents and academic degrees issued upon graduation;
  - 162.14. conditions and procedure of the termination of the agreement.
163. A learner in doctoral studies who has concluded a joint supervision agreement with the university and a foreign higher education institution which is in force at the time of applying for a degree can apply to defend their doctoral thesis on the conditions of and in accordance with the procedure set out in the joint supervision agreement if the person
  - 163.1. applies for a doctoral degree following the doctoral programme of the university specified in the joint supervision agreement;
  - 163.2. has fulfilled the conditions specified in clause 103 and completed at least half of the study volume required by the the university's doctoral programme at the university.
164. If a learner in doctoral studies wishes to defend their doctoral thesis based on a joint supervision agreement, the application for a doctoral degree, the preparation, publication and

defence of the doctoral thesis and the decision on awarding the degree takes place on the conditions of and in accordance with the procedure set out in the joint supervision agreement.

### **III.8.3. Joint council awarding doctoral degrees**

165. The joint council awarding doctoral degrees formed on the conditions of and in accordance with the procedure set out in the joint supervision agreement has the right to award the doctoral degree of the university. The joint council comprises representatives of the council awarding doctoral degrees of the university and the representatives of the foreign university. The joint council has at least six members holding a doctoral degree or equivalent qualification. At least three members of the joint council must be representatives of the council awarding doctoral degrees of the university.
166. Supervisors who have been appointed as members of the joint council have the right to vote in deciding on the awarding of the doctoral degree, unless agreed otherwise in the joint supervision agreement.
167. The meetings of the joint council may be held using real-time two-way audio-video communication.

### **III.8.4. Joint council's decisions**

168. The minutes of the meeting of the joint council serve as the basis for awarding a diploma of the university to a person who has defended the doctoral thesis on the conditions of and in accordance with the procedure set out in the joint supervision agreement. In addition to the required standard formal elements, the minutes must contain the name of the doctoral candidate, the title of the doctoral thesis in Estonian and the language of the doctoral thesis or, if the doctoral thesis has been written in Estonian, the Estonian and English titles of the doctoral thesis, the names of the supervisor(s), opponent(s) and members of the council with decision-making powers attending the defence along with their research degrees and institutions, the name of the council chair, the voting results, and the decision on awarding the degree.
169. In the case of violation of the conditions and procedure of defending doctoral theses set out in the joint supervision agreement, the doctoral candidate may file an appeal against the decision of the joint council regarding the awarding of a doctoral degree of the university accordance with the procedure set out in clauses 171–172.
170. The council awarding doctoral degrees of the university can, in the case specified in clause 172, overrule the decision of the joint council on awarding the degree in accordance with the procedure established in clause 174.

### **III.9. Contesting and overruling the decisions of the council awarding doctoral degrees**

171. If the rules of applying for and awarding the doctoral degree have been violated, the doctoral candidate may file an appeal against the council's decision with the vice rector for research within five working days from the announcement of the council's decision. To process the appeal, the vice rector for research forms an appeals committee of at least three members chaired by the vice rector for research. At least three members of the appeals committee must hold a doctoral degree or equivalent qualification.
172. The appeals committee must decide, within 30 days of the submission of the appeal, whether the contested decision remains in force or is overruled and sent back to the council that made the decision or, in the case specified in 170, to the council awarding the degree of the university for new decision-making. The decision of the appeals committee cannot be contested within the university.
173. The council has the right to overrule a decision to allow a person to defend the doctoral thesis or a decision to award the doctoral degree in the case of plagiarism or other academic

fraud. The decision to allow a person to defend the doctoral thesis may also be overruled if the council has a reason to suspect plagiarism or other academic fraud. If, due to the closure of a doctoral programme or a specialisation, the council corresponding to the degree awarded no longer exists at the university, the relevant faculty council exercises the rights and duties of the council.

174. In the case of suspicion of plagiarism or other academic fraud, the council asks for at least two expert assessments and letters of explanation from the doctoral candidate and the supervisor(s) and makes, based on the results, within one month after receiving the suspicion, one of the following decisions to be officially recorded:
- 174.1. the suspicion of plagiarism or other academic fraud was not confirmed, and
    - 174.1.1. the decision to allow a doctoral thesis to be defended stands;
    - 174.1.2. the decision to award the doctoral degree stands;
  - 174.2. the suspicion of plagiarism or other academic fraud was confirmed, and
    - 174.2.1. the decision to allow the doctoral thesis to be defended is overruled and the council makes a proposal to the vice rector for research to exmatriculate the doctoral student due to academic fraud on the grounds provided for in clause 87.12.1 of these regulations;
    - 174.2.2. the decision to award the doctoral degree is overruled. The corresponding decision of the council is published on the university's website.
175. In the case of decisions specified in clauses 151.2, 155, 157, 174.2.1 and 174.2.2, the doctoral candidate is not allowed to submit the same doctoral thesis for the repeat defence.

### **III.10. Preservation of the doctoral thesis**

176. Doctoral thesis is preserved in the university library in printed and electronic form.
177. If a decision to allow a person to defend the doctoral thesis is overruled according to clause 174.2.1, the defence was not successful as specified in clauses 149.2, 151.1.2 and 151.2 or the awarding of the doctoral degree is overruled as specified in clause 174.2.2 after the defence, access to the electronic doctoral thesis is closed based on the council's proposal.

### **IV. Implementing provisions**

178. The Regulations for Doctoral Studies established by the Senate of the University of Tartu Regulation no. 4 of 28 May 2021 is repealed.
179. A student matriculated before the 2018/2019 academic year may be simultaneously matriculated to several curricula of different levels of higher education.
180. The provisions of the regulations referring to doctoral programmes also apply to doctoral curricula opened before the 2022/2023 academic year, unless specified otherwise.
181. Programme directors of doctoral curricula opened before the 2022/2023 academic year have the rights and duties given to the representatives of the specialisation of the doctoral programme.
182. The progress reviews in the 2021/2022 academic year take place according to the provisions of the Regulations for Doctoral Studies in force until the entry into force of these regulations.
183. Doctoral students matriculated to doctoral programmes opened from the 2022/2023 academic year are not eligible to take academic leave or get the extension of the standard period of study due to studies at a foreign higher education institution or intensive study of Estonian as stipulated in the Study Regulations.
184. The regulations take effect on 1 August 2022.