

## **Dissertation Defense Procedure (section 8 of Regulation for Awarding Academic degrees at National Research University Higher School of Economics)**

8.1. Within 3 (three) months from the date when the positive decision regarding the defense of the dissertation was made, the relevant dissertation committee (with organizational support of the dissertation council) shall hold a dissertation defense. This timeframe does not include the summer vacation period (July-August).

8.2. Dissertation defense shall be held at an open (public) meeting of the dissertation committee. Committee members may take part in this meeting either personally or through electronic means of communication (primarily this applies to external committee members). A dissertation defense meeting shall be deemed duly constituted if at least 4 (four) members of the dissertation committee are in attendance. If a committee member is not present at the meeting, the full text of his/her reference should still be orally presented. It is advisable that the Chairperson of the committee should attend the meeting.

8.3. It is advisable that committee members who provided negative feedback with respect to the dissertation should attend the defense. A dissertation defense may be postponed for up to 3 (three) months if such committee members are not able to attend on the initial date and submit a relevant request. This timeframe does not include the summer vacation period (July-August).

8.4. A CS/DS candidate must attend the dissertation defense in person.

8.5. The defense may be held in Russian or English. No official interpretation shall be provided.

8.6. The entire defense process shall be recorded (audio and video).

8.7. The defense shall be organized as an academic discussion, thereby underpinning high professional and ethical standards.

8.8. The committee's chairperson shall preside at the dissertation defense meeting. In case the chairperson is unable to attend the meeting, another committee member duly authorized by the chairperson may preside at the dissertation defense.

8.9. It is advisable that the defense procedure be organized as follows. The presiding committee member shall announce that a dissertation is to be defended, then he/she shall give the full name of the candidate and the dissertation topic, present all members of the dissertation committee, and deliver a report as to whether or not the documents submitted by the candidate are in line with the

established requirements.

The candidate shall present the essential points and key concepts of his/her dissertation. Oral or written questions are then posed to the candidate. The presiding committee member shall establish the order, whereby the candidate should address these questions.

The floor is then given to the candidate's academic supervisor (-s) or academic advisor (-s), who, in turn, are entitled to waive their right to present their remarks on the dissertation. The dissertation committee members shall then give feedback on the dissertation. References submitted by the members who were unable to attend the meeting shall be read aloud. Any negative opinions shall be presented in full just like the positive comments.

Then, the candidate shall have an opportunity to provide his/her feedback regarding the remarks and comments presented by the committee members and the references from absent committee members.

All persons present at the dissertation defense may take part in the subsequent discussion. Upon completion of the discussion, the candidate shall present his/her final word.

8.10. Technical breaks are permitted during dissertation committee meetings. Breaks shall be announced by the presiding committee member.

8.11. Upon completion of the dissertation defense, the dissertation committee shall hold a secret ballot to decide whether or not an academic degree may be awarded to the candidate. The secret ballot shall be held via the Mentimeter.com online system or a similar tool. In turn, the committee's clerk shall distribute electronic addresses and voting codes among the committee members present at the meeting. Each committee member must personally take part in the ballot. Once voting is completed, the clerk shall display the results on the screen. If a committee member has failed to take part in the ballot, his/her vote will be considered void.

8.12. A positive decision regarding the conferment of a CS/DS degree to the candidate shall be made if more than half of all committee members who took part in the ballot opted to support this decision.

8.13. If 4 (four) committee members take part in a dissertation defense and there is a tie after the secret ballot, a final decision shall be made in view of the reference submitted by the committee member who was unable to attend.

8.14. The committee's final decision shall be announced to the candidate by the presiding committee member. This thereby concludes the dissertation defense

meeting.

8.15. Within 3 (three) working days following the defense, a clerk of the dissertation council shall prepare the meeting minutes containing the final decision and ballot results, which are then signed by the dissertation committee's chairperson. The committee's decision shall be published on HSE's portal within 3 (three) working days. A general statement on the dissertation shall not be provided.

References with respect to the dissertation shall also be published on HSE portal (if they do not violate academic ethical standards) within 10 (ten) working days following the date of the dissertation defense.

8.16. A candidate may withdraw his/her dissertation at any point (during the review stage, preliminary discussion, or at any stage of the defense before the commencement of the secret ballot). To withdraw a dissertation, a candidate must submit a written request addressed to the chairperson of a respective dissertation council. In such cases, a revised dissertation may be re-submitted once at a later date, but not earlier than 1 (one) year following the date when the decision to withdraw the dissertation was enacted by the dissertation council. This rule does not apply to cases when a dissertation was withdrawn due to the use of borrowed materials and results without proper references (plagiarism), forged data and/or research results, and/or provision of inaccurate or false information with regards to a candidate's publications containing key dissertation-related research outcomes. In such cases, a dissertation shall be withdrawn by a decision of a dissertation council, and a candidate shall not be entitled to resubmit his/her dissertation. Such dissertations shall be published and made available on the HSE portal for 10 (ten) years following the date when the respective decision was made.