

PROVISIONS ON AWARDING SCIENTIFIC DEGREES





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PROVISIONS ON AWARDING SCIENTIFIC DEGREES

The present Provisions regulate the procedures of awarding scientific degrees of a Doctor of Philosophy (PhD) and a Doctor of Science (DSc) in accordance with the laws 'On Education', 'National Program of Personnel Training', the Decree of the President of the Republic of Uzbekistan 'On Further Improvement of Postgraduate Education' № 4958 as of February 16, 2017; the Resolutions of the Cabinet of Ministers 'On Postgraduate Education and Further Improving the Attestation of Scientific and Scientific-pedagogical Personnel' № 365 as of December 28, 2012 and 'On Measures of Further Improvement of Postgraduate Education' № 304 as of May 22, 2017.



Chapter 1. General regulations

1

In the present Provisions the following basic concepts are used:

Scientific Council awarding scientific degrees – a scientific-organizational structure established by the decision of the Supreme Attestation Commission (hereinafter the SAC) under the Cabinet of Ministers of the Republic of Uzbekistan at the leading higher educational or research institutions, for a certain period of time to undertake the consideration and the organization of attestation procedures for relevant specialties of applicants seeking for scientific degrees;

Researcher – the person who is writing a doctoral dissertation for obtaining a scientific degree of a Doctor of Philosophy (PhD) or a Doctor of Science (DSc);

Applicant – the person whose dissertation paper is accepted by the Scientific Council for defense and whose attestation folded book is in the process of consideration;

Attestation folded book – a set of formalized documents on the approval (nostrification) a scientific degree of an applicant;

Dissertation – a scientific work undertaken personally by the author, the research essence of which meets the set of requirements, and is a complete scientific work, the scientific novelty and practical results of which are well grounded;

Dissertation abstract – an official copyright scientific research formalized on the relevant requirements including general information of the research work; its novelty and practical results are generalized systematically; information on the published works is given as well.

Institution where the dissertation is written – a special, responsible organization for carrying out a research work that is approved by a higher educational or scientific research institution Council as a responsible institution for conducting a research work on the theme of dissertation and announced in the “SAC Bulletin”;

Expertise – scientific and normative-technical evaluation of documents’ essence and attestation procedures relevance with appropriate legal documents;

Supervisor – a specialist of a Doctor of Science degree or Candidate of Science with academic status, successfully undertaking scientific and pedagogical activity, appointed to assist a researcher on scientific and methodical issues;

Scientific advisor – a specialist of a Doctor of Science degree, successfully doing scientific and scientific pedagogical activity, appointed to assist the applicant for a Doctor of Science degree on scientific and methodical issues;

Appeal – an appeal, based on the decisions, for awarding or rejecting scientific degrees; or deprivation or restoration scientific degrees.

2

Scientific degrees are awarded to those who in due course defended dissertation or high intellectual persons who have deep professional competence and scientific achievements in particular field of science.

Dissertation defense on Medicine is allowed to the those who have higher education in the sphere of Medicine; Dissertation defense on Pharmaceutics is allowed to the those who have higher education in the sphere of Pharmaceutics; Dissertation defense on Veterinary science is allowed to the those who have higher education in the sphere of Veterinary science.

3

Dissertation is written on the basis of the research done by the applicant and announced scientific research works.

Dissertation formalization and its defense is carried out according to the researcher's will in the Uzbek, Russian, Karakalpak and English languages or in other languages with the SAC consent.

An applicant, a supervisor or a scientific advisor, institution where the dissertation is written and the Scientific Council are responsible for the goals and tasks of the research work as well as for the dissertation and the dissertation abstract content.

4

Researchers who passed the relevant qualification examinations are allowed to defend their dissertations.

5

The following applicants are eligible to be awarded scientific degrees as an exception on the basis of the conclusion of the institution where the dissertation has been written and a nomination for a scientific degree presented by the Scientific Council in line with the SAC decision:

Doctor of Science scientific degree for an applicant contributed to the scientific and technological development, modernization of economic sector and development of social sphere, an author of minimum 3 inventions or selection winning;

Doctor of Philosophy scientific degree for an applicant contributed to the scientific and technological development, modernization of economic sector and development of social sphere, an author up to 3 inventions or selection winning;

Doctor of Science scientific degree as an experiment for an applicant who achieved significant scientific novelty, at least 12 scientific articles (eight on social sciences) published in the journals with high impact factor and those included in the international system list (executing the demands on the implementation

of the scientific results);

Doctor of Philosophy scientific degree as an experiment for an applicant who achieved significant scientific novelty, at least 6 scientific articles (four on social sciences) published in the journals with high impact factor and those included in the international system list (executing the demands on the implementation of the scientific results).

Conclusion of the Intellectual property agency of the Republic of Uzbekistan on contribution to the scientific and technological development, modernization of economic sector and development of social sphere and selection winning;

Impact factor level of the foreign scientific journals is determined by the decision of the SAC Presidium according to the specificity of each field of science.

The procedures of conducting a dissertation defense on closed themes and awarding scientific degrees are carried out in accordance with relevant legal documents.

6 After the defense of a researcher's dissertation in the scientific community, the Scientific Council's decision on awarding scientific degree is approved by the SAC Presidium taking into account the SAC's relevant Expert Council (hereinafter the Expert Council) recommendation.

7 Applicants awarded a degree of a Doctor of Philosophy and a Doctor of Science are given the diplomas in accordance with the State Standard.



Chapter 2. Requirements to the dissertation

8 Dissertation for a Doctor of Philosophy degree is to be a completed work which includes a new solution of significant issues in the relevant field of science or scientifically well-grounded, scientific technical and social economic recommendations aimed at the solution of the topical scientific issues.

9 Dissertation applying for a Doctor of Science scientific degree is to be a completed scientific work and reflect the following:

availability of the solution of the important social-economic,

scientific or practical issues;

or designing a set of the new theoretical rules assessed as a major achievement in the development of the relevant field of science;

or development of theoretical-methodological and methodical bases the implementation of which will contribute to the science and technology, social-political sphere or economic sector development or scientifically grounded technical, economic and technological solutions.

10 Dissertation is to be written personally by the researcher, embracing a complex of the new scientific achievements and practical results, a consistency of its aspects, a unified content, and reflect the applicant's personal contribution to the science, being presented for open defense in front of the scientific community.

11 Dissertation of theoretical value is to contain information on the effective implementation of the dissertation; dissertation of practical value is to contain information on the effective implementation or availability of implementation of important issues solutions and scientific results.

Valid documents certifying the introduction of the dissertation results into science and practice or their improvement by the organizations are to be discussed in the Scientific Council and attached to the attestation folded book.

These documents are to be considered by the Scientific-technical Councils of organizations, and should be approved by their authorities.

12 Dissertation defense in the form of a scientific report is allowed to the applicants only for a Doctor of Science scientific degree. Dissertation in the form of a scientific report is to contain generalized presentation of the significant published research results and findings known to the specialists of the relevant field of science. The scientific report is formalized in double scope of the doctoral dissertation abstract.

Conclusions on the relevance of the scientific work, purposefulness of the dissertation defense in the form of report are to be given by the institution where the dissertation has been written. A permission of the SAC Presidium to dissertation defense in the form of the report is to be available.

13 The theme of the dissertation is to be in line with the priority directions of scientific and technological development of the Republic and is to be topical for the world scientific and technological development trends.

The theme of the dissertation is approved by the Council of a higher educational or research institution. After the dissertation theme is approved, relevant information on registration and announcement in the “SAC Bulletin” is sent to the SAC.

Some changes can be added to the theme of the dissertation before its defense.

14 Dissertation applying for a Doctor of Science scientific degree is authorized in the form of introduction, at least four chapters, basic conclusions and the list of used literature. The text of the dissertation is not to exceed 100 pages (text is to be printed on both sides of the page; the list of used literature and Annex are not included in the indicated scope).

Dissertation applying for a Doctor of Philosophy scientific degree is authorized in the form of introduction, at least three chapters, basic conclusions and the list of used literature. The text of the dissertation is not to exceed 60 pages (text is to be printed on both sides of the page; the list of used literature and Annex are not included in the indicated scope).

The scope of the dissertation in the field of social and human-ity sciences can be increased by 30%.

At the title page of the dissertation and at the back of the dissertation abstract cover page the name of the one supervisor (scientific advisor) is to be written.

If necessary, with the approval of the SAC the second supervisor or scientific advisor can be added, it doesn't require the permission of the SAC when the dissertation is written in integrated specialties.

No changes are to be added after dissertation is accepted by the Scientific Council.

15 It is recommended to use in dissertation research the literature meeting modern requirements. The used references in the dissertation are to be given in line with the applicant's choice: in the alphabetic order, systematical or textual order or in the form of the sequence presented in the

text. It is prohibited to add the references or literature to the list, being not referred to.

16

The source of materials and the full name of the authors as well as the idea of collaborators and their work are to be cited in the dissertation or the dissertation abstract.

An applicant can add only the part of his/her personal contribution to the dissertation which is done in cooperation.

In case of using another person's material without citation of the source and the author, irrespective of the steps taken in the dissertation the consideration is to be banned and the applicant is to be deprived of the right to re-defend his/her dissertation on this topic.



Chapter 3. Requirements for the announced scientific publications in line with the dissertation theme

17

The novelty of the dissertation is to be reflected in published scientific papers. Results of the dissertation should be discussed (approved) at international and republican scientific-practical conferences, seminars and at round table discussions.

Scientific results of the dissertation are to be announced in periodical scientific publications. Basic scientific publications in social-humanitarian sciences are to be done in individual authorship (with the exception of archeology specialty).

18

Total number of published scientific papers for a Doctor of Philosophy scientific degree is to be not less than 7. Three of them (including one in prestigious foreign journals) are to be published in the recommended by the SAC list of leading scientific journals for publishing the basic scientific results of the thesis (hereinafter the List). Two materials (an article, lecture or lecture thesis) are to be published in international conference materials collection on the basis of extended discussion of the thesis results at international and republican scientific and scientific-practical conferences.

19

Total number of published scientific papers for a Doctor of Science scientific degree are to be not less than 15. At least 10 of them are to be published in the lead-

ing scientific journals list recommended by the SAC, one of them in prestigious specialized journals of foreign countries.

At least two materials (an article, lecture or lecture thesis) are to be published in international conference materials collection on the basis of extended discussion of the thesis results in international and republican scientific and scientific-practical conferences.

The results of the dissertation on socio-humanitarian and economic sciences are to be declared as monographs.

20 In case the significance of dissertation is of high scientific and practical value, in line with the griff to be used in practice but the number of articles published by the researcher does not comply with the items 18 and 19 of the present Provisions, the dissertation defense issue is considered by the SAC Presidium.

21 The protection of intellectual property (ownership) documents (patents), scientific maps, published scientific papers of the reports made at Scientific Seminars, conferences, establishment of the enterprises, their expansion, and modernization, technic and technological parts of re-equipment projects are also considered as scientific publications reflecting the scientific results of the dissertation.

Intellectual property protection (ownership) documents on dissertation theme – patents given for invention or selection winning are considered to be equal to the announced publications pointed in the List and specialized scientific publications of the foreign countries.

A monograph of at least 6 printer sheets published by the decision of the Council of the higher educational or scientific research institution is equal to 3 articles (2 in co-authorship) published in the national scientific publications, with the exception of the monograph on the dissertation results of socio-humanitarian sciences.

Academic text books and manuals in which the outcomes of the dissertation have been reflected are not considered as announced scientific works..

22 Dissertation abstract is to be written by an applicant. The list of published works is to be given in chronological order in the dissertation abstract as follows:

in the first section – scientific works published in the scientific publications included in the List as well as intellectual property protection (ownership) documents (patents);

in the second section – other scientific works published in accordance with the dissertation theme.

23

All scientific works mentioned in the dissertation abstract should be related to the theme of the dissertation.

Information on the published scientific works, full names of the authors as well as exact pages of the journals in which articles have been announced are to be reflected in the dissertation and dissertation abstract.

Scientific works which have been submitted for publication but not published yet are not to be attached to the dissertation and dissertation abstract.

24

If a researcher's paper is done in co-authorship, he/she is to acknowledge the co-authors contribution honestly and ask a written permission from the other authors of the articles to use it fully or partly in his/her dissertation.

25

The copies of the applicant's main scientific works are to be sent to the SAC.



Chapter 4. Initial expertise of the dissertation at the institution where the research work has been carried out

26

In order to undergo an initial expert examination of the dissertation, a researcher writes an application to the Head of the institution. The Head of the institution sends a dissertation for initial expert examination to the relevant departments, laboratories or divisions or joint inter-departments or inter-laboratories scientific-technical seminars of the institution or the institution in which scientific researches on the dissertation specialty are carried out.

27

The institution presents an initial expertise conclusion on the dissertation. The conclusion is presented in the form of detailed abstract of the minutes of

the Scientific Seminar which should be signed by the chairperson and the scientific secretary of the Scientific Seminar, as well as approved by the Head of the institution with its official stamp. The conclusion is to contain an individual contribution of the researcher; the correctness and accuracy of the dissertation results, novelty and practical value, the relevance of the dissertation to the specialty, presentation of dissertation materials in the announced scientific works.

28 The conclusion is to be given to the applicant for a Doctor of Philosophy degree within 2 months and the applicant for a Doctor of Science degree within 3 months from the date of submitting the dissertation for initial expertise. The Head of the institution where the dissertation has been written is responsible for the quality of the conclusion, its trustworthiness and timeliness of its preparation.

29

The researcher may independently apply to the Scientific Seminars for the initial expert examination of the dissertation.

30

In case the Head of the institution is not satisfied with the initial results of the dissertation, he/she can send it back for additional expertise.

31

If a researcher wants to defend his/her dissertation (scientific research work undertaken in the Republic of Uzbekistan) abroad, he/she is to take permission from the SAC in accordance with the established orders.



Chapter 5. Presentation of the dissertation for defense and defense procedure at the Scientific Council

32

After successful expertise of the dissertation at the institution, it is to be sent to the Scientific Council with a cover-letter of the Head of the institution.

In case the Scientific Council on dissertation specialty does not exist, a dissertation undergoes an expert examination at the institution, where the research work has been carried out. Afterwards it is sent to the Scientific Council relevant to the dissertation specialty, if such a Scientific Council does not exist an appeal asking for setting up a one-time Scientific Council is directly sent to the SAC.

33

The Heads of the higher educational institutions and their deputies are not allowed to defend their dissertations in the Scientific Councils of the organizations in which they work, as well as the Heads of the ministries and offices are not allowed to defend their dissertations at the Scientific Councils set up at the institutions under their authority. Related issues are to be solved by the SAC.

The members of the SAC office may defend their dissertations with the permission of the SAC authority.



Chapter 6. Procedure of re-defending the dissertation

34

An applicant has the right to withdraw the dissertation at any stage before the secret voting at the Scientific Council and before the approval of the decision on awarding a scientific degree by the SAC. The detection of the usage of alien material by the Scientific Council or SAC not mentioning the author and its source is of exception.

The Scientific Council and the SAC decisions on withdrawal the dissertation from consideration are taken upon the researcher's application.

35

The dissertation withdrawn from consideration upon the researcher's application letter, can be presented for defense again in a revised form.

36

If an applicant submits an application letter to the Scientific Council with the request not to discuss the dissertation, the Head of the Scientific Council gives instructions to the scientific secretary to return the documents, submitted by the applicant. In this case, an application letter, a copy of the dissertation and the dissertation abstract are kept in the Scientific Council.

Documents prepared for the process of dissertation defense are also kept in the Scientific Council and they can be resent to the newly assigned (upon inquiry) institution where the dissertation is to be re-defended.

37

If the Scientific Council makes a negative decision on the results of the dissertation defense, the applicant's diploma copy, certificates on qualification examinations, copies of scientific works and the dissertation are to be returned to the applicant. In this case the dissertation is taken out from the fund of the Information Resource Center and kept in the archive of the institution where the dissertation research has been carried out.

Reviews on the dissertation, the dissertation abstract, defense verbatim record, curriculum vitae and the conclusion of the institution, where the dissertation has been written, are retained in the Scientific Council and send to the institution where the defense is to take place according to the inquiry.

The Scientific Council informs the SAC in a written form of its negative decision on the dissertation within 10 days after the dissertation defense. In that case, the dissertation abstract and the Scientific Council's verbatim record are sent to the SAC.

38

If the Scientific Council and the SAC come to a negative decision on the results of the dissertation defense, the dissertation can be represented at least after 6 months in a revised form.

When the dissertation is represented for re-defense, a former assigned leading institution and official opponents are to be changed.



Chapter 7. Examination of the Attestation Folded book at the SAC

39

The attestation folded book as well as the dissertation are received by the SAC relevant departments and presented to the Expert Council for scientific expertise.

40

If the Scientific Council does not follow the regulation orders during the defense of a dissertation, the SAC stops examining the attestation folded book due to the decision of Order-regulation commission of the SAC authority and the re-defense of the above mentioned dissertation is carried out by the Scientific Council.

41 The Expert Council makes a decision after examining the attestation folded book and the dissertation, a decision which is to be discussed at the next SAC Presidium.

42 If the SAC Presidium does not find the decision on the attestation folded book to be valid, it is returned to the Expert Council for review.

43 The review period of the attestation folded book on awarding a scientific degree of a Doctor of Philosophy is not to exceed 2 months, on awarding a scientific degree of a Doctor of Science is not to exceed 3 months . The term can be prolonged up to 2 months by the decision of the SAC Presidium if a scientific expertise demands a detailed observation.

44 It is not permitted to correct mistakes in the attestation folded book during its examination by the SAC.

45 The SAC Presidium confirms or rejects the decision of the Scientific Council on awarding a scientific degree, according to the Expert Council's conclusion.

46 The dissertation, the dissertation abstract and their electronic versions of the person newly obtained a scientific degree, are to be submitted by the SAC to the National library of Uzbekistan named after A.Navoi.



Chapter 8. Preparation and awarding diplomas

47 The decision comes into effect after the SAC Presidium resolution on approving the decision of the Scientific Council on awarding a scientific degree and the applicant is to be officially awarded the diploma within 20 days.

48 If the diploma confirming a scientific degree is lost or is not valid, the duplicate is given by the SAC upon the person's application letter.

The following documents are to be attached to the application letter:

a copy of the passport;

a copy of an announcement about the document loss in the republican central newspaper (if it is lost);

certificate of the lost and found department (if it is lost).

49

In case the scientific degree holder's name, surname or patronymic are changed his/her diploma is to be re-formalized according to the submitted documents certifying information mentioned by the interested person.



Chapter 9. Deprivation or retrieval of the scientific degree.

50

If plagiarism, fake documents presentation and unfair expertise are detected, persons, awarded a scientific degree may be deprived of a scientific degree by the SAC Presidium in line with the conclusion of the Scientific Council and the Expert Council resolution.

After 10 years since the SAC Presidium resolution on approving the decision of the Scientific Council on awarding a scientific degree, deprivation issue of a scientific degree is not subjected to consideration.

51

A deprived scientific degree of the person may be retrieved according to the SAC Presidium resolution.

52

The conclusion of the Scientific Council on deprivation, not depriving or retrieving a scientific degree is considered by the Expert Council.

53

An expert Council conclusion is considered by the SAC Presidium and a resolution on deprivation, not depriving or retrieving a scientific degree is adopted.



Chapter 10. An appeal consideration

54

Interested persons may appeal to the Scientific Council or the SAC on the decision of the Scientific Council on awarding or not awarding a scientific degree.

Persons interested may appeal to the SAC on the decision of the SAC Presidium to consider the issues on nostrification and recognizing the documents on scientific degrees given to the citizens of the Republic of Uzbekistan and foreign people who live and work constantly in the Republic of Uzbekistan by the

state high attestation bodies or higher educational and scientific research institutions of the foreign countries.

An appeal may be presented in two months since the day the decision has been adopted.

55

An appeal is considered within a month term.

56

The Scientific Council conclusion on the decision of the Scientific Council and the SAC Presidium is considered by the Order-regulation commission of the SAC. Order-regulation commission of the SAC may present an appeal for examination to the Expert Council. If necessary, an Appeal Commission is set up consisting of specialist-scientists who haven't participated in prior stage of considering the following problem in the SAC.

The Appeal Commission is to be consisted of minimum 5 members according to the order of the SAC Presidium.

57

The conclusion presented by the Order-regulation commission, the Expert Council, or the Appeal Commission is considered by the SAC Presidium and relevant decision on the appeal is made.

58

Final decision taken by the SAC Presidium on the appeal is immediately delivered to the interested person and the Scientific Council.



Chapter 11. Final regulations

59

Documents on a scientific degree awarded to citizens of the Republic of Uzbekistan by the higher attestation organs of foreign countries and foreign citizens who live and work constantly in the Republic of Uzbekistan are validated (made equal to standard documents by recertifying) by the SAC according to the regulation of validating/nostriification (registration of equivalence) and recognising the documents on getting a scientific degree in foreign countries confirmed by the Resolution № 283 of the Cabinet of Ministers as of July 25, 2000.

60

The present Provisions have been coordinated with the State Committee on Physical Culture and Sports, the Ministry of Culture, the Ministry of Higher and Secondary Specialized Education, the Ministry of Health, the Ministry of Public Education, the Ministry of Agriculture and Water Resources, the Ministry of Foreign Affairs, the Academy of Sciences, the Agency of Science and Technologies of the Republic of Uzbekistan and the Agency of Intellectual Property.