

AMENDED by  
Regulation 23 of 22 October 2012 of TU Senate  
Regulation 9 of 13 May 2013 of TU Senate  
Regulation 1 of 27 January 2014 of TU Senate  
Regulation 8 of 21 April 2014 of TU Senate  
Regulation 12 of 29 September 2014

## **Tallinn University Regulations for Doctoral Studies and Defence of Doctoral Theses**

Regulation 10 of 17 October of 2011 of TU Senate

Adopted pursuant to s. 14(3)(11) of the Republic of Estonia Universities Act and s. 16(1)(14) of the Tallinn University Statute and on the basis of the proposals of 10 October 2011 of the TU Senate's Research Committee and Academic Affairs Committee.

### Chapter 1

#### GENERAL PROVISIONS

##### **§ 1. Doctoral studies**

- (1) Doctoral studies constitute the highest tier of higher education during which the student masters the skills and knowledge required for independent research and development work or for creative professional work and defends a doctoral thesis.
- (2) Doctoral studies are conducted pursuant to doctoral programmes approved by the Tallinn University (hereinafter the 'university' or 'TU') Senate and registered in the Estonian Education Information System. The structure of doctoral programmes and the requirements and procedure of their opening, developing and closing are governed by Statute of TU Study Programme
- (3) Admission to doctoral programmes takes place by way of public competition pursuant to the university's admission requirements and procedure, except where the students are enrolled on the basis of international cooperation agreements.

##### **§ 2. Regulations for Doctoral Studies and Defence of Doctoral Theses**

- (1) The purpose of the Regulations for Doctoral Studies and the Defence of Doctoral Theses (hereinafter these 'regulations') is to establish the foundations for the organisation of doctoral

studies and to stipulate the rights and obligations of the parties in the organisation of doctoral studies.

- (2) These regulations are based on the Universities Act, the Standard of Higher Education, the Quality Agreement of Estonian Universities, TU Research and Development Regulations and other legislation and bylaws governing doctoral studies and research activities.
- (3) The aspects of study organisation that are not covered by these regulations are governed by TU Study Regulations, Statute of TU Study Programme and the procedure for organising feedback surveys and analyses in degree studies.

## Chapter 2

### PARTIES TO DOCTORAL STUDIES

#### **§ 3. General provisions**

- (1) A doctoral student is a student who is admitted to a doctoral programme and who is a member of the academic unit coordinating the programme or a specialisation within the programme (hereinafter the 'academic unit')
- (2) An external student is a person who completes the studies described in the doctoral programme and defends the doctoral thesis without having the status of a student. [Amended 13.05.2013]
- (3) A doctoral student must have a supervisor. The decision-making body of the academic unit may appoint a co-supervisor and/or consultants for the doctoral student at his/her request. An external student is recommended to have a supervisor.
- (4) Other parties to doctoral studies in the university include the academic unit, head of the study programme, doctoral studies council, defence committee, doctoral school, domain council and the units providing relevant support services.
- (5) The role of the parties in the organisation of doctoral studies is established in Chapter 3 of these regulations and is described in Annex 1.

#### **§ 4. Supervisor**

- (1) The supervisor of a doctoral student must hold a PhD degree or an equivalent qualification and, as of the date of his or her appointment as supervisor, have published research publications in the amount equivalent to at least two doctoral theses in total. Of these research publications, the equivalent to at least one doctoral thesis must be published during the previous five years. Three

publications defined by ETIS (Estonian Research Information System) categories 1.1, 1.2 or 3.1 or one monograph defined by ETIS category 2.1, are regarded as equivalent to a doctoral thesis. In specialities falling in the field of arts, the supervisor may be an internationally recognised artist. The co-supervisor of a doctoral student must be a member of research or teaching staff who holds a research degree conferred in Estonia or an equivalent degree conferred in a foreign country and who has published during the previous five years at least three peer-reviewed research publications or one internationally distributed research monograph. [Amended 22.10.2012]

(2) Where the supervisor is not a member of the university, the decision-making body of the academic unit may, with the consent of the doctoral student, appoint a co-supervisor from among the academic staff of the university.

(3) A doctoral student may also retain a recognised specialist of the field as a consultant.

#### **§ 5. Doctoral studies council**

(1) The doctoral studies council is area-specific and consists of three or four members of the university's academic staff who are qualified to be supervisors on the basis of these regulations. [Amended 21.04.2014]

(2) The members of the doctoral studies council are appointed by the Senate of the university for a term of five years on the proposal of the domain council.

(3) The doctoral studies council elects from among its members a chair who becomes a member of the domain council ex officio. The chair of the doctoral studies council has the right to delegate his or her duties to a member of the council. [Amended 13.05.2013]

#### **§ 6. Doctoral studies agreement**

(1) The respective rights and obligations of the doctoral student, supervisor and academic unit that are not established in these regulations are determined in an agreement (for the agreement form, see Annex 2) the execution of which is overseen by the head of the academic unit. [Amended 22.10.2012]

(2) Agreements are executed by 30 October at the latest and a copy of the agreement is kept at the Research Administration Office for 5 years after the expiration of the agreement. [Amended 13.05.2013]

## Chapter 3

### ORGANISATION OF DOCTORAL STUDIES

#### Division 1

#### General Provisions

#### **§ 7. General provisions**

- (1) After enrolment, the head of the study programme and the doctoral student discuss and agree on both the topic of the thesis and the choice of the supervisor (also the co-supervisor and/or consultant(s) if required).
- (2) The head of the study programme transmits a proposal to the decision-making body of the academic unit for the approval of the research topic and appointment of the supervisor(s) within two weeks from the commencement of the autumn semester. [Amended 22.10.2012] The proposal must also indicate the research area that is required for the entry in the Estonian Education Information System.
- (3) [Repealed 22.10.2012]
- (4) The decision-making body of the academic unit approves the topic of the doctoral thesis and the supervisor(s) of the doctoral student by the end of the third week of the autumn semester at the latest. A representative of the academic unit will enter the information regarding the approved topic, supervisor(s) and the research area to the study information system and will also transmit this information to the Research Administration Office. [Amended 22.10.2012]
- (5) A first-year doctoral student presents an individual study plan for the first year of studies to the head of the study programme for approval by 30 September at the latest. The individual study plan must be endorsed by the supervisor. At the first year's progress review meeting, the doctoral student presents an individual study plan that covers the entire study period and is endorsed by the student's supervisor. As of the second year of studies, the doctoral student presents in the progress review meeting an individual study plan for the next year of studies that is endorsed by the student's supervisor.
- (6) The doctoral student's progress within the programme of studies is assessed at least once a year during annual progress review at the end of the spring semester.
- (7) The doctoral student is deemed to have completed the programme of studies once he or she has

completed all studies stipulated in the programme and defended the doctoral thesis.

- (8) A person who wants to carry out studies as an external student must enter into a tuition agreement with the university. Separate agreements are to be executed for the purpose of taking courses (including for the writing of the doctoral thesis) and for the purpose of defending the doctoral thesis (including the preliminary examination before the defence). External students are subject to the requirements and procedure established in these regulations in relation to the doctoral studies and the defence of the doctoral thesis, including the obligation to undertake the progress review. [Amended 27.01.2014]
- (9) In order to be able to take courses at the university (including to be able to write the doctoral thesis) as an external student, the applicant must submit a corresponding application to the head of the unit administering the programme of studies before the beginning of the semester at the time determined in the academic calendar. The academic unit has the right to request further documents specified in the Requirements and Procedure for Admission to Degree Studies. A person who has not received a score above the qualifying score before in a doctoral entrance examination at Tallinn University is required to participate in the admission procedure and receive a score above the qualifying score. If the application is granted, the applicant will enter into a tuition agreement with the university. The tuition agreement also stipulates, if necessary, the supervision obligation (the supervisor and the external student will enter into an additional supervision agreement that stipulates the obligations of the parties). The tuition agreement is entered into for a term of one semester. The agreement is extended on the basis of a corresponding application of the external student. The extension of the agreement is decided on the basis of the results of the external student's studies and the results of the progress review. [Amended 27.01.2014]
- (10) In order to be able to take the preliminary examination before the defence of the doctoral thesis and to defend the doctoral thesis, the applicant who has completed the courses included in doctoral programme must submit to the head of the unit administering the doctoral programme a corresponding application together with the doctoral thesis and the documents showing the completion of the courses included in the doctoral programme. The head of the academic unit decides (where necessary, in consultation with the doctoral studies council) whether the doctoral thesis can be submitted to the preliminary examination within a month as of the reception of the doctoral thesis (if the doctoral thesis is submitted during a Christmas or summer break (as determined in the academic calendar) or less than two weeks before the start of the Christmas or summer break, the head of the academic unit may make the decision within two weeks after the end of the break). If the application is granted, the applicant will enter into a tuition agreement

with the university for the purpose of taking the preliminary examination and defending his or her doctoral thesis. If the application is refused, the applicant will be provided a written statement of reasons for the refusal. [Amended 27.01.2014]

- (11) The university has the right to refuse to enter into a tuition agreement with a person applying for the status of external student if that person:
- 1) has failed to submit all required documents;
  - 2) fails to meet admission requirements;
  - 3) has failed to fulfil his or her financial obligations to the university;
  - 4) has failed twice to pass the preliminary examination or the defence of the doctoral thesis;
  - 5) has demonstrated behaviour that is regarded as improper according to s. 29(6-7) of the Study Regulations;
  - 6) or on other justified grounds. [Amended 27.01.2014]

## Division 2

### Progress Review

#### **§ 8. Progress review**

- (1) Progress review means assessment by the progress review committee of the doctoral student's progress both in terms of studies and research.
- (2) In making progress review decisions, the progress review committee relies on the criteria established by the doctoral studies council and approved by the Research Committee of the Senate.
- (3) Passing the progress review is a prerequisite for continuing one's doctoral studies.
- (4) Doctoral students who are on academic leave are not required to undertake progress review.

#### **§ 9. Progress review committee**

- (1) A progress review committee consists of at least three members holding a PhD or equivalent qualification from respective research area.
- (2) The members of a progress review committee are appointed by the Vice Rector for Research in a directive on the proposal submitted by the head of the study programme and endorsed by the

head of the academic unit.

#### **§ 10. Progress review arrangements**

- (1) Doctoral students submit by the established deadline to the progress review committee a report in established format either on paper or in electronic form, signed by the doctoral student and the supervisor(s), together with all required annexes (Annex 3).
- (2) The progress review committee has the right to request and receive additional materials (questionnaires, lab notes, documents, etc.) in order to assess the work done by the doctoral student.
- (3) The deadline for the submission of documents required for progress review is announced via e-mail to the doctoral student and the supervisor(s) at least one month in advance. If necessary, an interview with the doctoral student and/or the supervisor(s) will be arranged, the time and place of which will be announced to the parties at least one week in advance before the interview. The head of the study programme is responsible for informing the parties of the deadlines.

#### **§ 11. Decision of the progress review committee**

- (1) The progress review committee will make one of the following decisions:
  - 1) declare the doctoral student to have met the requirements of full-time studies and propose to allow the student to continue in full-time studies;
  - 2) declare the doctoral student to have met the requirements of part-time studies and propose to allow the student to continue in part-time studies;
  - 3) declare the doctoral student to have failed to meet the requirements of part-time studies and propose to remove the doctoral student from the roster of students due to lack of progress in studies.
- (1<sup>1</sup>) In the case of an external student, the progress review committee confirms the number of credit points awarded for both research and studies and recommends / refuses to recommend the extension of the tuition agreement. [Amended 27.01.2014]
- (2) The full-time and part-time workload of a student is determined on the basis of the total sum of credit points awarded for research and for studies. The principles of determining part-time and full-time workload of students are established in the university's Study Regulations.
- (3) A signed decision (Annex 4) is registered in the university's document management system. The decision will be electronically transmitted via e-mail to the doctoral student, student's

supervisor, Academic Affairs Office, Research Administration Office [Amended 13.05.2013] and the head of the academic unit at the latest on the working day following the progress review.

- (4) Progress review decisions can be challenged pursuant to the procedure specified in the Study Regulations.
- (5) The progress review committee may, on the basis of the materials it has received and the opinion it has formed, to make a proposal to the decision-making body of the institute to change the supervisor of the doctoral student.

## Chapter 4

### DOCTORAL THESIS

#### **§ 12. Doctoral thesis**

- (1) A doctoral thesis is an independent work of research which offers a novel solution to a significant problem in a discipline related to the field of the programme of studies. In specialities falling in the field of arts, a doctoral thesis can be a work of art of international stature that is presented together with scholarly analysis or research.
- (2) A doctoral thesis can also be realised as a monograph that is published as part of the series of dissertations of the university, as a monograph that is published outside the series of dissertations of the university and is annexed an analytical overview, or as an article-based dissertation.
- (3) A doctoral thesis is written in one of the languages that are widely used in the respective research area.
- (4) The research results of a doctoral thesis must be presented at speciality-related international research conferences and published in research publications.
- (5) The doctoral studies council has the right to establish further speciality-related requirements to doctoral theses in conformity with these regulations. [Amended 13.05.2013]

#### **§ 13. Monograph**

- (1) A monograph is a scholarly research work which constitutes a systematic and comprehensive treatment of a clearly defined research topic or problem.
- (2) A monograph published in the series of dissertations of the university includes:



- 1) the title page [Amended 13.05.2013];
  - 2) the reverse side of the title page, which will be filled out after the decision to allow the doctoral thesis to be submitted for defence and which states the decision of the doctoral studies council, the names of the supervisor(s), reviewers, time and place of the defence [Amended 13.05.2013];
  - 3) table of contents;
  - 4) the list of the author's articles where the principal results of the doctoral thesis have been published;
  - 5) foreword (optional);
  - 6) the principal part of the thesis which includes an overview of the essence of the research problem, formulation of the research question, description of the methodology and the course of solving the research question and/or the proof therefor, conclusions and a summary;
  - 7) summary covering all parts of the thesis; if the thesis is in Estonian, the summary will be in another language, if the thesis is in another language, the summary will be in Estonian;
  - 8) list of sources referred to in the thesis;
  - 9) list of tables and figures (optional);
  - 10) CV (in Estonian and in the language of the summary). [Amended 22.10.2012]
- (3) The analytical overview that is annexed to a monograph that is published outside the series of dissertations of the university provides a comprehensive overview of the research work following the structure described in the previous subsection and its main part consists of 30-40 standard pages. [Amended 13.05.2013]
- (4) In the case of a monograph, the prerequisites for the defence include at least one of the following:
- 1) at least three research publications related to the results of the doctoral thesis, including at least one article in ETIS categories 1.1, 1.2 or 3.1 that is not older than 5 years as of the date the doctoral thesis is allowed to be submitted for defence. The doctoral thesis may be allowed to be submitted for defence before the publication of the articles covering the doctoral thesis if exists an official confirmation regarding their acceptance for publication;
  - 2) a patent, or a filed patent application provided it has been annexed a positive written opinion from the patent office that performed the international search regarding the patentability of the invention, or, in the case of a domestic patent application, the positive decision of the national

patent office regarding the patentability of the invention;

- 3) in specialities falling in the field of arts, a public concert, performance of a play, exhibition or any other public performance.

#### **§ 14. Article-based dissertation**

- (1) An article-based dissertation is a series of research publications comprehensively dealing with the research topic together with an analytical overview. [Amended 13.05.2013]
- (2) The series of research publications includes at least three articles in ETIS categories 1.1, 1.2 or 3.1 accepted or publication. [Amended 13.05.2013]
- (3) The analytical overview integrates the articles into a whole, follows the structure described in section 13(2) of these regulations and its main part consists of 30-40 standard pages. [Amended 13.05.2013]
- (4) The publications presented as the doctoral thesis are annexed to the analytical overview.

#### **§ 15. Format requirements**

- (1) The monograph presented as dissertation and the analytical overview must follow the format and publishing requirements established in the university.
- (2) When the doctoral thesis forms a part of a joint research work and/or the articles have co-authors, the role of the doctoral student in preparing the doctoral thesis must be stated clearly and in detail in the introduction of the monograph or the analytical overview or, in the case of an article-based dissertation, at the list of the author's articles. [Amended 13.05.2013]

#### **§ 16. Publication of doctoral thesis**

- (1) The doctoral theses to be defended at the Tallinn University which have not been previously published as monographs and whose defence has not been declared closed according to the provisions of section 24(5) of these regulations and whose publication is not hindered by copyright restrictions, will be published electronically in the TU dissertation series of the respective field and, with the consent of the academic unit, also as hard copies on paper.
- (2) Electronically published doctoral theses will remain available at the TU Academic Library repository for an unlimited period.

## Chapter 5

### PROCEDURE FOR APPLYING FOR A PhD

#### Division 1

##### Preliminary Examination before Final Defence

#### **§ 17. Arrangements for the preliminary examination of a doctoral thesis before final defence**

- (1) Before a doctoral thesis can be submitted to the doctoral studies council, it must pass the preliminary examination. The head of the academic unit is in charge of the arrangements of the preliminary examination.
- (2) The PhD candidate submits to the head of the academic unit his or her doctoral thesis together with the supervisor's consent for allowing the thesis to be submitted to the preliminary examination.
- (3) The head of the academic unit decides (where necessary, in consultation with the doctoral studies council) whether the doctoral thesis can be submitted to the preliminary examination within two weeks as of the reception of the doctoral thesis (if the doctoral thesis is submitted during a Christmas or summer break (as determined in the academic calendar) or less than two weeks before the start of the Christmas or summer break, the head of the academic unit may make the decision within two weeks after the end of the break). [Amended 13.05.2013] If the head of the academic unit is the supervisor or the co-supervisor of the doctoral student, he or she will delegate the task of making this decision to the head of the study programme or to a member of the doctoral studies council. [Amended 22.10.2012]
- (4) If the decision is positive, the head of the academic unit will arrange the discussion of the version of the doctoral thesis that is submitted to the preliminary examination. The discussion takes place as a meeting of the preliminary examination committee and can follow the format of a doctoral seminar. The decision of the preliminary examination committee is recorded.
- (5) If the decision is negative, the head of the academic unit will transmit the decision to the doctoral students together with a statement of reasons and recommendations. [Amended 22.10.2012]
- (6) For preliminary examination, the head of the academic unit appoints two reviewers, endorsed by the doctoral studies council, of whom at least one must be from outside the university.
- (7) The doctoral student will receive the reviewers' opinions at least three days before the preliminary examination.

- (8) After a successful preliminary examination, at least one of the reviewers will be recommended as a reviewer also in the defence.

### **§ 18. Preliminary examination committee**

- (1) A preliminary examination committee consists of at least 3 members who are appointed by the head of the academic unit in consultation with the chair of the doctoral studies council. The members of the preliminary examination committee include at least one member of the doctoral studies council and it is also recommended to have the leader of the corresponding doctoral programme among its members. If the head of the academic unit is at the same time the chair of the doctoral studies council, he or she will seek the endorsement of the Vice Rector for Research for the appointments of the members of the preliminary examination committee.
- (2) The supervisors and co-supervisors of a doctoral thesis may not be members of a preliminary examination committee.

### **§ 19. Result of preliminary examination**

- (1) The result of a preliminary examination may be one of the following:
- 1) the doctoral thesis is recommended to be submitted for defence in its current form;
  - 2) the doctoral thesis is recommended to be submitted for defence after the corrections recommended by the preliminary examination committee have been made;
  - 3) the doctoral thesis is returned to the doctoral student for further work.
- (2) The doctoral thesis is allowed to be submitted for defence in its current form provided both reviewers recommend it and the preliminary examination committee gives its consent.
- (3) If, at the preliminary examination, the doctoral thesis is recommended to be submitted for defence after the corrections recommended by the preliminary examination committee have been made, the supervisor of the doctoral student will confirm the corrections or the reasons for having a differing opinion.
- (4) The doctoral thesis will be returned to the doctoral student for further work if this is recommended at least by one reviewer. If the doctoral thesis is returned to the doctoral student for further work, he or she may submit a new version for preliminary examination not until six months have passed.
- (5) After a second negative result in the preliminary examination, the progress review committee may declare the doctoral student to have failed to meet the requirements of part-time studies and

propose to remove the doctoral student from the roster of students due to lack of progress in studies. [Amended 27.01.2014]

## Division 2

### Submission of a Doctoral Thesis for Defence

#### **§ 20. Submission of a doctoral thesis**

(1) In order to apply for PhD, the doctoral student must present to the secretary of the doctoral studies council the following:

1) a signed application for the examination and defence of the doctoral thesis addressed to the chair of the doctoral studies council. [Amended 13.05.2013] The application must include the statement of the doctoral student that the same doctoral thesis has not been defended at any other higher education institution and that the doctoral thesis constitutes the student's own original research work;

2) the manuscript of the doctoral thesis meeting the requirements specified in chapter 4 in electronic form (if the published monograph is unavailable in electronic form, it will be required to be submitted in ten hard copies);

3) copies of the publications published on the topic of the doctoral thesis (in the case of monographs, original publications);

3<sup>1</sup>) in the case of an article-based dissertation, permissions from the publishers of the published articles for the reproduction of the articles in the doctoral thesis both in the electronic form and on paper [amended 22.10.2012; 13.05.2013];

4) the confirmation of the academic unit regarding the completion of the student's studies within the programme of studies;

5) the decision of the preliminary examination committee to allow the doctoral thesis to be submitted for defence;

6) preliminary examination reviews, and the supervisor's signed confirmation regarding the making of corrections which were recommended at the preliminary examination or reasons for having a differing opinion; [amended 13.05.2013]

7) any additional materials if desired.

(2) The secretary of the doctoral studies council transmits the electronic doctoral thesis to the

members of the doctoral studies council (except where the monograph is unavailable in electronic form).

## **§ 21. Allowing doctoral thesis to be submitted for defence**

- (1) The doctoral studies council makes a decision at its meeting whether to allow or refuse the doctoral thesis to be submitted for defence within two weeks as of the reception of the doctoral thesis by the doctoral studies council (if the doctoral thesis is submitted during a Christmas or summer break (as determined in the academic calendar) or less than two weeks before the start of the Christmas or summer break, the doctoral studies council may make the decision within two weeks after the end of the break). [Amended 13.05.2013] The decision of the doctoral studies council is recorded. The decision records the title of the thesis and the names of the supervisor(s) and the decision will be transmitted to the doctoral student and the supervisor(s). A member of the doctoral studies council who is the supervisor or co-supervisor of the PhD candidate does not participate in making the decision whether to allow or refuse the doctoral thesis to be submitted for defence. [Amended 22.10.2012]
- (2) If the decision is positive, the doctoral studies council will, in consultation with the doctoral student and the head of the academic unit, approve within two weeks after the transmission of the decision the reviewers and the time (date, time) and location of the defence (in specialities falling in the field of arts, the presentation of creative works).
- (3) If the decision is negative, the doctoral studies council will transmit the decision to the doctoral students together with a statement of reasons and recommendations.
- (4) No later than one month before the defence, the university will display on its webpages the information regarding the time and place of the defence, a link to the abstract of the doctoral thesis and a reference regarding the availability of the full version (except in special cases where this is not allowed by law), in specialities falling in the field of arts, also the information regarding the presentations and performances of creative works.
- (5) The defence must take place within three months, but not sooner than eight weeks after the approval of the decision allowing the doctoral thesis to be submitted for defence.

## **§ 22. Reviewing of doctoral thesis**

- (1) The reviewers of a doctoral thesis are two internationally recognised scholars or scientists of the given field, at least one of them from outside the university, who hold a PhD or an equivalent qualification and who have conducted internationally recognised research in the area related to the topic of the doctoral thesis at least in the amount equal to a doctoral thesis during the

previous five years. The reviewer may not be a co-author of the publications submitted as the doctoral thesis.

- (2) In specialities falling in the field of arts, one reviewer may be an internationally recognised artist.
- (3) The reviews of the doctoral thesis are submitted at least one week before the defence to the chair of the doctoral studies council, who transmits them at least three days before the defence to the doctoral student and the members of the defence committee. [Amended 22.10.2012] The review must contain the reviewer's assessment of the thesis with regard to its compliance with the established requirements.
- (4) If the doctoral thesis fails to receive a positive review, the announced defence will be cancelled. The doctoral thesis together with the negative reviews is returned to the academic unit, where, at the request of the doctoral student, a decision will be made regarding the arrangements of a new preliminary examination.

### Division 3

#### Defence of Doctoral Theses

##### **§ 23. Defence committee**

- (1) The Vice Rector for Research approves the members of the defence committee on the basis of a proposal from the chair of the doctoral studies council for each individual defence.
- (2) The defence committee comprises of at least two members of the doctoral studies council and of at least three other members who hold a PhD and have published research publications in fields related to the topic of the doctoral thesis to be defended, and of whom at least one is from outside the university and who may be a reviewer of the doctoral thesis. [Amended 21.04.2014]
- (3) A member of the doctoral studies council who is the supervisor or co-supervisor of the PhD candidate cannot be a member of the defence committee.

##### **§ 24. General arrangements of the defence**

- (1) The secretary of the doctoral studies council announces the defence of a doctoral thesis on the basis of the decision of the doctoral studies council via the university's communication channels at least one month before the date of the defence.
- (2) The announcement includes the topic of the doctoral thesis, an abstract, the name of the doctoral

student, information regarding the time and location of the defence, the supervisor and the reviewers of the doctoral thesis, the web address of the analytical summary of the doctoral thesis and/or a reference regarding the availability of the full version of the doctoral thesis.

- (3) The defence of a doctoral thesis is public and takes place in the form of an academic debate at a meeting of the defence committee.
- (4) The presence of at least one reviewer is required at the defence. The meeting of the defence committee is competent to act when at least five members of the committee are present.
- (5) The defence may be declared closed when, pursuant to the Republic of Estonia Public Information Act, the subject matter of the doctoral thesis involves grounds for classifying the information presented in the thesis as information intended for internal use. The doctoral student or a third party with legitimate interest submits the written application to declare the defence closed to the head of the academic unit by the deadline for the submission of the doctoral thesis. On the proposal of the head of the academic unit, the head of the doctoral studies council will decide within five working days whether to declare the defence closed or not.

## **§ 25. Defence meeting**

- (1) The meeting is chaired by the chair of the doctoral studies council or, in the absence of the chair of the doctoral studies council, by another member of the doctoral studies council.
- (2) At the meeting, the secretary of the doctoral studies council introduces the doctoral student to the public, after which the doctoral student will deliver the introductory lecture on his thesis (*lectio praecursoria*), followed by the reviewers' reports and discussion. After the discussion with the reviewers, it will be the turn for the defence committee and the audience to ask questions.
- (3) If the defence is conducted in a foreign language, the questions may be posed in Estonian. If necessary, the doctoral studies council will ensure the availability of translation.
- (4) The doctoral thesis may be withdrawn from the defence at any time until the voting is announced.

## **§ 26. Assessment of doctoral thesis**

- (1) The doctoral thesis and its defence can receive the following assessments:
  - 1) defended with honours (*laudatur*);
  - 2) meets the requirements (*approbatur*);



- 3) fails to meet the requirements (*non approbatur*).
- (2) Before the secret voting in which the assessment is given to the doctoral thesis, a discussion takes place with the participation of the reviewer(s) and the members of the defence committee, at the end of which the reviewer(s) present will make a recommendation for the assessment.
- (3) If neither of the reviewers recommends the assessment 'defended with honours', the members of the committee can vote either for 'meets the requirements' or 'fails to meet the requirements'.
- (4) The assessment 'defended with honours' requires the votes of at least two thirds of the members of the defence committee and at least one reviewer must recommend it.
- (5) In order to confer a PhD on the PhD candidate, at least half of the members of the defence committee are required to vote in favour. If the votes are split between 'in favour' and 'against', the decision will be made in favour of the doctoral student.
- (5<sup>1</sup>) The decision of the defence committee will be recorded on a general blank form of the Tallinn University. [Amended 13.05.2013]
- (6) If the PhD candidate receives the 'fails to meet the requirements' assessment, he or she may submit to the head of the academic unit for new preliminary examination a thesis that complies with the requirements, together with the supervisor's confirmation regarding the making of corrections which were recommended at the preliminary examination or the reasons for having a differing opinion.
- (7) The defence committee or TU doctoral studies council of the study field may annul the defence committee's decision in the event of proved plagiarism or academic fraud. The respective decision will be made public.
- (8) Appeals with regard to the violation of procedural rules at the defence may be presented in written form to the university's Vice Rector for Research within 10 days after the defence meeting.

#### Division 4

#### Conferral of the PhD Degree and Award of the Diploma

#### **§ 27. Conferral of PhD degree**

- (1) The secretary of the doctoral studies council transmits the decision of the defence committee to the Academic Affairs Office.

- (2) A PhD will be conferred on the PhD candidate if the assessment provided by the defence committee is ‘defended with honours’ (*laudatur*) or ‘complies with requirements’ (*approbatur*).
- (3) A person who has defended a doctoral thesis is awarded the degree of Doctor of Philosophy; the title of the degree also contains the name of the doctoral programme or area of specialisation.
- (4) Defence materials (documents provided by the doctoral student to the doctoral studies council, the reviewers’ opinions, the minutes of the defence meeting together with the registration list of the participants, the decision of the defence committee) are to be preserved at the at the Research Administration Office for 10 years. [Amended 13.05.2013] One printed copy of the doctoral thesis is preserved indefinitely at the university library. The university also sends one copy of the printed thesis to the National Library and to the libraries of the University of Tartu, the Estonian University of Life Sciences and Tallinn University of Technology.

### **§ 28. Award of the diploma**

The PhD diplomas are awarded to their recipients once a year at the Award Ceremony or at the doctoral student’s request at the academic unit.

## Chapter 6

### JOINT SUPERVISION AGREEMENT

### **§ 29. General provisions**

- (1) Tallinn University may conclude an agreement with a foreign university, which provides for the joint supervision of a doctoral student (hereinafter called the joint supervision agreement). The purpose of a joint supervision agreement is to regulate the concurrent studies of a doctoral student at two universities; enable the defence of a doctoral thesis before a joint defence committee from TU and the foreign university; award graduation documents and academic degrees from TU and the foreign university to the doctoral student on the basis of a decision made by the joint committee.
- (2) In a joint supervision agreement with a foreign university, the following requirements must be included and shall form a fundamental and essential part of the agreement:
  - 1) the terms of admission and registration to studies of a doctoral student in TU (including the study programme to be completed) and a foreign university and the planned time of study;

- 2) the topic of the doctoral thesis;
- 3) the supervisors of the doctoral thesis at TU and the foreign university and their obligations in the supervision of the doctoral student;
- 4) the individual study plan, including compulsory courses, and estimated time schedule, shall be concordant with the principle that the doctoral student shall complete at least 40% of their studies at TU;
- 5) the conditions for recognising prior studies and work experience;
- 6) the conditions for financing the studies and research carried out by the doctoral student;
- 7) the requirements for mutual notification and reporting functions (documents to be presented for evaluation, etc.);
- 8) the procedures relating to a degree application, the compilation of a joint defence committee, and the making and contesting of decisions;
- 9) the conditions and procedures established for the form and publication of the doctoral thesis, including the language of the thesis;
- 10) the conditions and procedures established for the defence of the doctoral thesis (and the preliminary examination before the defence), including the language and place of the defence;
- 11) the intellectual property rights related to the doctoral thesis;
- 12) the graduation documents and academic degrees issued at graduation;
- 13) the conditions and procedures for amendments and termination of the supervision agreement.

### **§ 30. Concluding a joint supervision agreement**

- (1) A doctoral study candidate or a doctoral student enrolled at TU and a supervisor selected from TU shall make a proposal to conclude an agreement of joint supervision by submitting to the secretary of the doctoral studies council at TU, a joint supervision agreement project which must be in compliance with the conditions set out in the previous clause and also be approved by the foreign university. The secretary shall verify the compliance of the terms established in the agreement with the conditions set out in the present regulations and shall transmit the materials to the doctoral studies council of the field.
- (2) If the conditions and procedures agreed upon in the joint supervision agreement are in

compliance with the requirements set out for the defence of doctoral theses as established in the present regulations, then the doctoral studies council of the field shall approve the agreement before it is signed. If the requirements and procedures set out for the defence of the doctoral thesis agreed upon in the joint supervision agreement are not in compliance with the requirements set out for the defence of doctoral theses as established in the present regulations, then the approval of the TU Senate is required in addition to the approval of the doctoral studies council.

- (3) A joint supervision agreement that has been approved shall be signed by the doctoral study candidate/doctoral student, the representatives of both universities and the supervisors of the doctoral thesis. The TU representative who concludes the joint supervision agreement is the head of the academic unit that offers the corresponding doctoral study programme. A copy of the final agreement shall be forwarded to the secretary of the doctoral studies council.

### **§ 31. Defence of a doctoral thesis under a joint supervision agreement**

- (1) A doctoral student may apply to defend a doctoral thesis pursuant to the conditions and procedures agreed upon in a joint supervision agreement, subject to the following requirements:
  - 1) at the time of application, a valid joint supervision agreement must exist between TU and a foreign university regarding the doctoral thesis of the doctoral student and the doctoral studies have been completed and the doctoral thesis has been written, in accordance with the joint supervision agreement;
  - 2) a doctoral student must have completed the required studies under a TU doctoral study programme as defined in the joint supervision agreement, and furthermore, at least 40% of the required studies must have been completed at Tallinn University.
- (2) In order to apply for a PhD degree on the basis of a joint supervision agreement, a doctoral student shall submit an application to the secretary of the TU doctoral studies council; the application shall include the doctoral thesis and other prescribed documents as established in section 20(1) of the present regulations or pursuant to the requirements and procedures agreed upon in the joint supervision agreement.
- (3) A joint defence committee consisting of at least six members formed by the doctoral studies council of the field together with the representatives of the foreign university has the authority to award a TU doctoral degree pursuant to the requirements and procedures agreed upon in the joint supervision agreement. The joint defence committee of TU and the foreign

university shall include at least two members of the TU doctoral studies council of the field. The supervisors of the degree applicant shall not be a member of the defence committee.

- (4) The secretary of the doctoral studies council shall forward the decision of the joint defence committee, formed by TU and the foreign university, to the TU academic affairs office.
- (5) The joint defence committee or the TU doctoral studies council of the field may annul the joint defence committee's decision in the event of proven plagiarism or academic fraud. The respective decision will be made public.
- (6) In the event of a violation of the procedural rules arising from the present regulations or rules agreed upon in the joint supervision agreement, an appeal may be filed as established in section 26(8).

## Chapter 7

### IMPLEMENTATION OF REGULATION

#### **§ 32. Repeal of regulation**

Tallinn University Senate Regulation No. 13 of 26 April 2010 'Regulations for Doctoral Studies and the Defence of Doctoral Theses' is hereby repealed.

#### **§ 33. Entry into force of regulation**

This regulation enters into force upon its adoption.

#### **§ 34. Activities of doctoral studies council**

- (1) If the activities of the doctoral studies council are in violation with these regulations, the Vice Rector for Research will make a proposal to the university's Senate for the disbandment of the doctoral studies council.
- (2) The work of the members of the doctoral studies council is remunerated on the basis of rates established in a Rector's directive.

/signed digitally/

Mihkel Kangur

/signed digitally/

Tiit Land

Chair of the Senate

Rector

/signed digitally/

Hille Erik

Secretary of the Senate

## ROLES OF PARTIES TO DOCTORAL STUDIES

### Doctoral Student

#### **A doctoral student is entitled:**

- 1) to receive competent advice from his/her supervisor in relation to the dissertation pursuant to the procedure established in the doctoral studies agreement;
- 2) to receive doctoral allowance during the standard period of studies pursuant to the national legislation and the university's bylaws [amended 22.10.2012];
- 3) to request academic leave pursuant to the procedure established in the university's Study Regulations;
- 4) to apply for funding from the university's budget for the support of research and the publication of the doctoral thesis pursuant to the established procedure;
- 5) to be able to examine the reviews of his or her thesis at least three days before the defence of the doctoral thesis;
- 6) to challenge decisions relating to the organisation of doctoral studies pursuant to the procedure established in the university's Study Regulations.

#### **A doctoral student is obligated:**

- 1) to prepare an individual study plan in cooperation with his/her supervisor and to pursue it;
- 2) to present a progress review report and an individual study plan for the next year at the progress review meeting at the end of each academic year;
- 3) to present reports on activities related to his/her research topic and versions of the doctoral thesis to the supervisor(s) pursuant to the procedure agreed in the doctoral studies agreement;
- 4) to write, prepare and present to the supervisor(s) a doctoral thesis in accordance with the requirements established in the university;
- 5) to grant the university the right to publish his/her doctoral thesis in the university's series of dissertations;
- 6) to submit to the secretary of the doctoral studies council a doctoral thesis presented in compliance with the established format requirements and including the corrections made on the basis of the recommendations made at the preliminary examination at least ten weeks before the

planned defence date;

7) to create an account in the ETIS and to keep it up to date;

8) to adhere to the Code of Ethics of Estonian Scientists in doing his or her research.

### Supervisor

#### **The supervisor of a doctoral student is entitled:**

1) to receive from the supervised doctoral student reports on activities related to his/her research topic and versions of the doctoral thesis pursuant to the procedure and by deadlines agreed in the doctoral studies agreement;

2) to be remunerated for the supervision of the doctoral student on the basis of rates established in the university.

#### **The supervisor is obligated:**

1) to plan in cooperation with the doctoral student the latter's doctoral studies and research and to help the student to prepare an individual study plan;

2) to direct the study and research activities of the doctoral student and to involve the doctoral student in international professional networks and research and development projects;

3) to direct the doctoral student in applying for scholarships;

4) to approve the doctoral student's progress review reports;

5) to confirm the compliance of the thesis that is to be submitted for preliminary examination with the requirements established for doctoral theses;

6) to confirm that the recommendations made at the preliminary examination have been taken into account or have been discarded in the case of a justified differing opinion;

7) to give advice to the doctoral student regarding opportunities for publishing the results of the doctoral thesis;

8) to provide feedback to the doctoral student regarding his or her research and doctoral thesis pursuant to the doctoral studies agreement (Annex 2);

9) to develop his or her supervising skills.



## Academic Unit

**The academic unit** covers the expenses related to the defence process of a doctoral thesis governed by these regulations.

### **The head of the academic unit:**

- 1) is in charge of the organisation of doctoral studies in his or her academic unit;
- 2) transmits to the Research Administration Office the decision of the decision-making body of the academic unit with regard to the approval of the topics of the doctoral theses and the approval of the supervisors [amended 22.10.2012];
- 3) grants in his or her directive the doctoral allowances and scholarships;
- 4) decides in cooperation with the doctoral studies council whether to allow a doctoral thesis to be submitted to preliminary defence or not;
- 5) [Repealed 22.10.2012]
- 6) arranges the preliminary examination, involving at least one member of the doctoral studies council.

### **The head of the study programme**

- 1) discusses with the doctoral student both the topic of the thesis and the choice of the supervisor (also the co-supervisor and/or consultant(s) if required), which they will agree on, and makes a proposal to the decision-making body of the academic unit for the approval of the topic and the appointment of the supervisor(s);
- 2) simultaneously transmits the proposal described under previous point to the Research Administration Office [amended 22.10.2012];
- 3) is responsible for informing the doctoral students of the deadlines for submitting documents required for progress review.

### **The decision-making body of the academic unit**

- 1) approves the topics and supervisors of the doctoral theses;
- 2) in consultation with the doctoral studies council approves the language of doctoral theses;
- 3) approves decisions allowing external students to preliminary examination.

## Doctoral Studies Council

### **The doctoral studies council**

- 1) formulates the criteria for the assessment of the doctoral student's progress in studies and research and submits them to the Research Committee for approval;
- 2) participates in the process of making the decision allowing the doctoral student to preliminary examination and in arranging the preliminary examination;
- 3) appoints two reviewers for preliminary examination;
- 4) decides whether a doctoral thesis is allowed to be submitted for defence or not [amended 22.10.2012];
- 5) in consultation with the doctoral student and the head of the academic unit, determines the time and place of the defence and appoints the reviewers;
- 6) arranges the defence of the doctoral thesis at a meeting of the defence committee in the form of an academic debate.

## Defence Committee

### **The members of the defence committee**

- 1) examine the doctoral thesis submitted for defence before the defence meeting;
- 2) participate in the defence meeting and ask relevant questions from the doctoral student;
- 3) participate in the discussion which takes place before giving their assessment and give their assessment to the thesis presented for defence in secret voting. When giving the assessment, the thesis has to be assessed as a whole, taking into consideration the quality of the content of the thesis and arguments presented during the academic debate;
- 4) The defence committee may annul its decision if it becomes known that the information presented at the doctoral thesis is falsified or plagiarised

## Doctoral School

### **A doctoral school**

- 1) is a cooperation project between universities and other organisations for the more effective and improved organisation of doctoral studies;
- 2) participates in the organisation of doctoral studies as agreed with the head(s) of the academic unit(s) (i.e., offers and organises lectures and seminars, collects and passes on information about doctoral studies, advises doctoral students, offers opportunities to develop one's supervising skills, etc.).

## Domain Council

### **The domain council**

- 1) makes a proposal to the Senate for the appointment of the members of doctoral studies council;
- 2) makes proposals for the development of doctoral studies in the relevant research area.

## Library

### **The library**

- 1) registers doctoral theses and analytical overviews in its electronic catalogue and provides descriptions of them;
- 2) provides public access to the full version and/or analytical overview of the doctoral thesis in the corresponding university database of full versions via the university's webpages one month before the defence (except where the defence has been declared closed pursuant to section 23(6) of these regulations);
- 3) makes at least one hard copy of the doctoral thesis available in the library's reading room no less than two weeks before the defence and ensures its preservation and availability in the library archives after the defence (except where the defence has been declared closed pursuant to section 23(6) of these regulations).

## Support Services

### **The Academic Affairs Office**

- 1) ensures that the documents related to doctoral studies are published on the university website;
- 2) issues certificates regarding the doctoral student's status and studies at the university;
- 3) arranges the issue of PhD diplomas and transcripts of academic records;
- 4) manages the university-wide database of students and programmes of studies.

### **The Research Administration Office** [Amended 22.10.2012]

- 1) manages the university's register of research and development projects, the university's participation in ETIS and the database of creative activities;
- 2) scrutinises the compliance of the supervisors with the requirements established in the regulations;
- 3) preserves the agreements concluded with doctoral students;
- 4) collects and disseminates information regarding funding opportunities for doctoral students;
- 5) advises doctoral students on how to apply for targeted funding provided by the Estonian Ministry of Education and Research and other institutions, and provides advice on preparing project budgets and using financial support;
- 6) scrutinises the compliance of materials presented for defence with requirements set out in sections 13 and 14, and transmits documents listed in section 20(1) of these regulations to the chair of the doctoral studies council no later than three working days after the presentation of the materials;
- 7) participates in the organisation of the defence as agreed with the doctoral studies council;
- 8) preserves the defence materials (documents submitted to the doctoral studies council by the doctoral student, the reviewers' opinions, the minutes of the defence meeting together with the registration list of participants, the decision of the defence committee) for a period of 10 years;
- 9) arranges the publication of the doctoral thesis both in print and in electronic form on the basis of an application endorsed by the head of the academic unit (except where there are copyright restrictions or the defence has been declared closed pursuant to section 23(6) of these regulations);
- 10) transmits electronically the analytical overview and/or the full version of the doctoral thesis to the TU Academic Library to be stored in the repository no later than one month before the

defence;

- 11) executes on behalf of the university an agreement with the author of the doctoral thesis to have the doctoral thesis published in the repository of the TU Academic Library;
- 12) transmits a printed copy of the doctoral thesis to the TU Academic Library no later than two weeks before the defence;
- 13) applies for the ISBN numbers for the doctoral thesis to be published [amended 22.10.2012].

## DOCTORAL STUDIES AGREEMENT

Institute: *name of the institute*

Programme of studies: *name of the programme (registration number in EHIS (Estonian Education Information System))*

Doctoral student: *name of the doctoral student*

Supervisor: *name of the supervisor*

- (1) This Doctoral Studies Agreement (hereinafter the ‘agreement’) establishes the principles of cooperation between the doctoral student and the supervisor (hereinafter the ‘parties’) in respect of conducting doctoral studies and research on the topic of:

*name of the topic in Estonian*

*(name of the topic in English)*

during the standard period of studies (from 01.09.201x to 31.08.201x).

- (2) The doctoral student and the supervisor agree to observe the TU Regulations for Doctoral Studies and the Defence of Doctoral Theses and TU Study Regulations in the organisation of doctoral studies. Tallinn University is represented by the director of the institute as established by the Rector’s Directive xx of xx.xx.xxxx. [Amended 27.01.2014]
- (3) The doctoral student and the supervisor agree in their activities to take guidance from the best practice in doctoral studies, according to which:
- 1) the doctoral student and the supervisor cooperate in drawing up the student’s individual study plan, in implementing the individual study plan, in doing research, in preparing for progress reviews and in adjusting work schedules;
  - 2) the doctoral student and the supervisor agree on the content and form of their cooperation and inform each other, the director of the institute and the head of the study programme of any extended periods of absence from the university; if the doctoral student has a co-supervisor, the supervisor will agree with the co-supervisor on the division of supervision duties;
  - 3) the supervisor guides the doctoral student in selecting elective and individual subjects, ensures the access to the required research literature and sufficient opportunities to interact with the

international community of scholars and scientists in the relevant fields, based on the needs of the research needs of the doctoral student;

- 4) the doctoral student participates in teaching duties in the extent and in the manner agreed upon with the supervisor;
- 5) the doctoral student creates an account in the Estonian Research Information System (ETIS) and keeps it up to date;
- 6) the supervisor informs immediately the director of the institute, head of the study programme and the doctoral student in case he or she considers the student's progress or quality of the student's work unsatisfactory and proceeds to draw up together with the student a plan of corrective measures.

(4) As regards intellectual property rights, the parties' relations are governed by the copyright and industrial property legislation and the agreements concluded between the parties.

(5) Financing the research of the doctoral student.

1) The research of the doctoral student is financed from the following sources:

- \* projects related to the topic of the doctoral thesis where the institute participates;
- \* programmes created for the purpose of supporting doctoral studies (e.g., DoRa);
- \* the research fund of the institute.

2) The plan for the next academic year's financing of the doctoral student's research is included in the individual study plan.

(6) The doctoral student must create his or her university e-mail account no later than two weeks after concluding the doctoral studies agreement.

(7) The doctoral student draws up an individual study plan no later than by the deadline for submitting the progress review documents in each academic year.

(8) Any disputes arising under the agreement will be resolved by negotiations between the parties.

(9) Extending the term of the agreement:

A new agreement with a term of up to three years will be concluded with a doctoral student who has failed to complete his or her studies within the standard period of studies. The new agreement will set out a specific plan for the continuation of the research and writing the doctoral thesis.

Date of execution of the agreement: xx.xx.201x

*name*

*director of the institute*

*signature*

*name*

*doctoral student*

*signature*

*name*

*supervisor*

*signature*

*name*

*co-supervisor*

*signature*



## DOCTORAL STUDENT'S PROGRESS REVIEW REPORT [Amended 22.10.2012]

...../.....academic year

 year I year II year III year IV

First name and surname of the doctoral student  Contact information (telephone/e-mail) of the doctoral student  Topic of the doctoral thesis  Name of the doctoral study programme  Supervisor(s)  Date of enrolment  Academic leaves  Previous progress review (date/result/workload)	
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	In the year under progress review	Since from the start of studies
Courses passed	ECTS credits	ECTS credits
Research	ECTS credits	ECTS credits
Total	ECTS credits	ECTS credits

## ANNEXES:

1. Approved transcript of courses passed;
2. doctoral thesis report (overview of the research conducted in relation to the doctoral thesis under various components of the PhD module; up to 2 pages);
3. Presentations at conferences (name, location and time of the event, topic of the presentation);
4. List of publications (published in print, submitted for publication, admitted for publication);

5. Overview of teaching activities at the university (preparation/teaching of a course or a part of a course, supervision of student papers, analysis of student papers: reviewing);
6. Supervisor's assessment (reasoned opinion and assessment of the ECTS credits volume of research conducted in relation to the doctoral thesis under various components of the PhD module)
7. Individual study plan for the next year (in the case of first year doctoral students, for the entire period of studies).

## OBSERVATIONS

Doctoral student:

*date*                      *signature*

Supervisor(s):

*date*                      *signature*

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## DECISION OF THE PROGRESS REVIEW COMMITTEE [Amended 22.10.2012]

...../.....academic year

First name and surname of the doctoral student	
Topic of the doctoral thesis	
Doctoral study programme	
Year of doctoral studies	
Previous progress review	

	In the year under progress review	Since from the start of studies	Cumulative volume
Courses passed	ECTS credits	ECTS credits	ECTS credits per year
Research	ECTS credits	ECTS credits	ECTS credits per year
Total	ECTS credits	ECTS credits	ECTScredits per year

Recommendations and opinions of the progress review committee:

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Decision of the progress review committee:

- declare the doctoral student to have met the requirements of full-time studies (at least 75% of the required volume completed) and propose to allow the student to continue in full-time studies;
- declare the doctoral student to have met the requirements of part-time studies (at least 50% of the required volume completed) and propose to allow the student to continue in part-time studies;

- declare the doctoral student to have failed to meet the requirements of part-time studies and propose to remove the doctoral student from the roster of students due to lack of progress in studies.

The committee's decision is annexed the committee's assessment of the ECTS credits volume of research conducted in the academic year under progress review in relation to the doctoral thesis under various components of the PhD module.

Chair of the committee:

Endorsement of the head  
of the academic unit:

\_\_\_\_\_

*date*

*signature*

*date*

*signature*

Annexes 5 and 6 [Repealed 13.05.2013]