

No: 1948/QĐ-ĐHNH

Ho Chi Minh City, November 9, 2021

DECISION

On the promulgation of the Regulation on enrollment and training at the doctoral level at Banking University City. Ho Chi Minh

PRINCIPAL OF BANKING UNIVERSITY HO CHI MINH CITY

Pursuant to the Prime Minister's Decision No. 174/2003/QĐ-TTg dated August 20, 2003 on the establishment of Banking University, Banking University of Ho Chi Minh City. Ho Chi Minh;

Pursuant to Decision No. 1650/QĐ-NHNN dated August 20, 2018 of the Governor of the State Bank of Vietnam on stipulating functions, tasks, powers and organizational structure of Banking University of Ho Chi Minh City Bright;

Pursuant to the Law on Higher Education dated June 18, 2012;

Pursuant to the Prime Minister's Decision No. 70/2014/QĐ-TTg dated December 10, 2014 promulgating the university's charter;

Pursuant to Circular 17/2021/TT-BGDĐT dated June 22, 2021 of the Ministry of Education and Training promulgating regulations on standards of training programs; formulating, appraising and promulgating training programs at higher education levels;

Pursuant to Circular 04/2016/TT-BGDĐT dated March 14, 2016 of the Ministry of Education and Training promulgating Regulations on standards for assessing the quality of training programs at higher education levels;

Pursuant to Circular 18/2021/TT-BGDĐT dated June 28, 2021 of the Ministry of Education and Training, promulgating the Regulation on enrollment and training at doctoral level;

At the request of the Dean of the Graduate School.

DECISION:

Article 1. To promulgate together with this Decision “Regulations on enrollment and training at the doctoral level at Banking University of Ho Chi Minh City. Ho Chi Minh”.

Article 2. This Decision takes effect from the date of signing and applies to enrollment courses from 2021.

Article 3. Deans of Graduate Schools, Deans of Faculties, Departments, Divisions, Departments, Lecturers, PhD students and related individuals are responsible for the implementation of this Decision./.

Receiving place :

- Ministry of Education and Training (report);
- As in clause 3 (for implementation);
- Save: Faculty of University, VP.

REGULATION
ENTRY AND TRAINING DOCTORS will
AT BANKING UNIVERSITY OF HO CHI MINH CITY
(Issued together with Decision No. 1948/QĐ-ĐHNH dated November 9, 2021 of
Rector of Banking University of Ho Chi Minh City)

CHAPTER I
GENERAL PROVISIONS

Article 1. Scope of regulation and subjects of application

1. This Regulation provides for admission and training at the doctoral level at Banking University of Ho Chi Minh City (hereinafter referred to as the School) including: enrollment; training organization and management; standards, tasks and powers of individuals and related units; thesis, evaluating and defending the thesis, appraising the training process, the quality of the thesis and granting a doctorate degree; complaints, denunciations, inspection, examination and handling of violations.

2. This Regulation applies to units and individuals involved in the process of studying, researching, teaching, guiding and evaluating the results of doctoral training at the University.

3. This Regulation does not apply to joint doctoral training programs between the University and other domestic and foreign training institutions.

Article 2. Training objectives

Doctoral training is the training of scientists with a high level of theory and appropriate practical capacity, with the ability to independently and creatively research, and the ability to detect and solve relevant problems. science, technology and scientific research guidelines.

Article 3. Training duration and training form

1. The duration of doctoral training (since the decision on recognition of doctoral students is issued) for master degree holders is 03 consecutive years of concentration; For holders of university degrees, it is 04 years of continuous concentration.

2. Fellows are allowed to complete the training program earlier than the full-course study or research plan no more than 01 year (12 months), or later than the full-course study or research plan, but the total training time does not exceed 06 years (72 months) from the effective date of the decision on recognition of PhD students to the time of completing the procedures for submitting

the thesis to the University, before conducting the independent review process. set up and set up the School-level Thesis Evaluation Council.

3. Doctoral training is carried out in a regular form; PhD students must spend enough time studying and researching at the University according to the approved plan; where a full 30 credits in an academic year is defined as a full-time concentration. Some online survey, research or training activities can be done off-campus according to the regulations of the university's Online Training Regulations.

CHAPTER II

ADMISSIONS

Article 4. Time and method of enrollment

1. Enrollment time: Each year, the University organizes from 01 to 02 admission examinations for doctoral students, the specific time of each period is based on the actual situation decided by the Rector.

2. Admission form: admission examination.

Article 5. Enrollment plans and announcements

1. Every year, in January, the Graduate School is responsible for developing an enrollment plan and submitting it to the Rector for approval. The relevant units of the university are responsible for coordinating with the Graduate School to provide data for the development of enrollment plans.

2. On the basis of the enrollment plan, the Graduate School coordinates with relevant units to announce enrollment. Admission notices are posted at the University, sent to relevant units, posted on the University's website and on other media.

3. At least 30 working days before each enrollment period, the notice of enrollment for doctoral training must be posted on the school's website.

4. The content of the enrollment notice is responsible for the Rector, based on the proposal of the Dean of Graduate School, to ensure compliance with current regulations and with the University's enrollment plan.

5. The contents of the notice must ensure the minimum information for the enrollment period specified in Appendix 01 issued with this Regulation.

Article 6. Conditions for recruitment

1. General conditions for candidates:

a) Possessing a university degree in the right discipline (with excellent or higher) or a master's degree in the majors specified in Appendix 02 to this Regulation;

b) Candidates who have a university degree in the right discipline, or have a master's degree in a similar discipline, or have a master's degree in the right discipline but are application-oriented, must study additional graduate knowledge to meet the requirements of their competence. skills and expertise in the field of application. Additional subjects for master's knowledge are specified in Appendix 03 issued together with this Regulation;

c) Having research experience demonstrated through the master's thesis of a research-oriented training program; or is the main author of 01 article, scientific report related to the intended research field, which has been published in a scientific journal or in the proceedings of a specialized scientific conference with peer review within 3 years (36 months) from the date of application; or are lecturers or researchers of training institutions, science and technology organizations with a working period of 02 years (24 months) or more;

d) There is a draft research outline and an expected study and research plan for the whole course. The draft study plan for the whole course is made according to the form specified in Appendix 04 issued with this Regulation.

2. Candidates who are Vietnamese citizens must have one of the following diplomas or certificates proving foreign language ability:

a) A university degree or higher diploma issued by a foreign training institution, branch of a foreign training institution in Vietnam or a Vietnamese training institution for full-time learners in the foreign language. outside;

b) University diplomas in foreign languages, granted by Vietnamese training institutions;

c) TOEFL iBT English Certificate (from 46 points or higher) or IELTS Certificate (from 5.5 points or above); or Cambridge Assessment English (B2 First/B2 Business Vantage/Linguaskill with a score of 160 or higher) issued by an international and Vietnamese recognized testing organization; or Certificate of English assessed according to the 6-level foreign language competency framework for Vietnam with at least level 4 or higher, issued by training institutions

on the list approved by the Ministry of Education and Training to organize exams and issue certificates. only.

The certificate must be valid (write the certificate's name) up to the date of application;

d) The candidate meets the requirements at Point a of this Clause when the language used during the study period is not English; or satisfy the requirements at Point b of this Clause when holding a university degree in a foreign language other than English; or have foreign language certificates other than English at the equivalent level as prescribed in Appendix 05 issued with this Regulation issued by an international and Vietnamese recognized testing organization, an additional one must be added. in English certificates as specified at point c of this Clause before defending the subject-level thesis.

3. Candidates who are foreign citizens must have a minimum Vietnamese language proficiency of level 4 or higher according to the Vietnamese Language Competency Framework for Foreigners and must supplement one of the English certificates as specified at Point c This clause before defending the subject-level thesis.

Article 7. Application documents

1. Application form: 01 copy, made according to the form specified in Appendix 06 attached to this Regulation.

2. Scientific curriculum vitae and personal information: 01 copy, made according to the form specified in Appendix 07 to this Regulation.

3. Certified true copy of diploma or certificate or a copy enclosed with the original for comparison (in case of direct application, the recipient must record that the original is compared and signed and clearly written). Diplomas studied abroad or in association must be certified by the Department of Examinations and Quality Assurance for recognition of diplomas; 01 copy of each type.

4. Evidence of scientific research experience: 07 copies.

a) For the master's thesis of a research-oriented training program: a copy of the cover page and the table of contents of the thesis;

b) For scientific articles: copies of published scientific articles, including the cover page, table of contents page and the entire content of the scientific article;

c) For scientific research: a copy of the Decision/Contract on assignment of research topic, Minutes of acceptance of the topic and Summary of research content (about 10 pages);

d) Regarding the working experience of lecturers and researchers (as specified at Point c, Clause 1, Article 6 of this Regulation): Certificate of certification from the working agency being a training and scientific research institution. which clearly states the time worked at the agency.

5. Essay intended for research on request with essay intended for research as specified in Appendix 08 issued with this Regulation: 07 copies.

6. Notification of the Ministry of Education and Training on quota allocation and Official Letter or Decision on sending for recruitment by the direct management agency, according to current regulations on training and fostering civil servants and employees 89/QĐ-TTg dated January 18, 2019 of the Government approving the project to improve the capacity of lecturers and administrators (if any).

7. Other documents as prescribed by the University (if any), when additional documents arise in addition to the above, they will be stated in the enrollment notice or assigned to the Graduate School to notify the candidate.

Article 8. Admission Council

1. The principal shall issue a decision to establish the Admission Council. The composition of the Admissions Council includes: Chairman, Standing Commissioner and members.

a) President: The Principal or Vice-Principal is authorized by the Principal;

b) Vice President: Vice Principal;

b) Permanent member: Dean or Vice Dean of Graduate School;

c) Members: Dean or Vice Dean of the specialized faculty whose candidates have applied for admission; Head or Deputy Head of Testing and Quality Assurance Department; faculties, departments and divisions directly related to the enrollment period;

Those who have relatives (spouse, children, siblings) applying for admission are not allowed to join the Admissions Council and the committees assisting the Admissions Council.

2. Responsibilities and powers of the President of the Admissions Council

a) Directing, disseminating, guiding and organizing the implementation of regulations on enrollment; Admission notification; receive applications for recruitment; organize recruitment

examination and recognition of admission; summarizing the recruitment work; propose rewards and discipline; promptly report enrollment results to the Ministry of Education and Training;

b) Decide and be responsible before the Rector for all aspects of enrollment related work to ensure that the selection process is open, transparent and socially responsible in order to select qualified candidates. research prospects and the ability to successfully complete the research topic, according to the training plan of the University;

c) Decide on the establishment of committees to assist the Admissions Council, including: Secretariat and specialized sub-committees. These committees are under the direct direction of the President of the Admissions Council.

3. Assign specific tasks to the Vice President and the Commissioners in each enrollment period.

Article 9. Secretariat of the Admissions Council

1. The composition of the Secretariat of the Admissions Council includes:

a) The head of the committee is concurrently held by a standing member of the Admissions Council;

b) Members (including experts from the Graduate School, Department of Testing and Quality Assurance, and lecturers and experts mobilized by the Rector).

2. Responsibilities and powers of the Secretariat of the Admissions Council

a) Receive and process application files of candidates, collect application fees;

b) Make an excerpt list of candidates eligible to apply together with valid dossiers of candidates and send to the Expert Committee;

c) Receive the admission evaluation results of the specialized sub-committees, summarize and submit to the Admission Council for consideration.

3. Responsibilities of the Head of the Secretariat: To be accountable to the President of the Admissions Council for the administration of the Secretariat's work.

Article 10. Specialized sub-committees

1. Based on the application file for admission to graduate students, the Secretariat of the Admissions Council summarizes the application and sends it to the Graduate School. The Faculty of Graduate Studies submits the list of members of the specialized subcommittee to the Chairman of the Admissions Council for decision.

2. Each sub-committee for the selection of PhD students consists of 5 people with the title of professor, associate professor or doctorate who are knowledgeable about the candidate's field and intended research problem.

3. The composition of the specialized sub-committee includes: Head of the sub-committee, secretary and members include:

a) Member of the Faculty of expertise;

b) Scientific staff, lecturers inside and outside the university proposed by the Faculty of Graduate Studies and decided by the Chairman of the Admission Council.

4. The specialized sub-committee has the following tasks:

a) Organize the review and evaluation of the candidate's application, essay on research intention and presentation and discussion of candidate's research intention;

b) Check the Vietnamese language proficiency of candidates who are foreign citizens;

c) Test the English proficiency of the cases specified at Points d, K , Clause 2, Article 6 of this Regulation.

In case of necessity, the Admissions Committee will establish a separate Professional Subcommittee to assess the ability to communicate in English in the profession with the above candidates. The composition of the council shall be determined by the principal;

d) Send the results to the Secretariat to summarize and report to the Admissions Council.

Article 11. Organization of the Research Student Selection Council

1. The sub-committee for admission to graduate students evaluates and categorizes candidates through records and study results at undergraduate and master's levels; foreign language proficiency, scientific research achievements, professional experience;

2. The expert subcommittee evaluates the candidate's essay on research intentions according to the order specified in Appendix 09 issued with this Regulation. As follows:

a) The candidate shall present his/her intention to research and implementation plan to the Subcommittee on specialized selection of graduate students;

b) The members of the Technical Subcommittee ask interview questions to assess the candidate in terms of: intelligence, clarity of research ideas, feasibility in the plan to achieve the following desires. upon completion of a doctoral training program and the required qualifications of a PhD student.

3. The members of the Technical Subcommittee comment and evaluate candidates according to the contents shown on the evaluation sheet specified in Appendix 10 issued with this Regulation.

4. The specialized subcommittee secretary will summarize the evaluation results of the members with each candidate, make a summary list of the subcommittee's evaluation, certified by the subcommittee and the secretary; Send the entire application file, summarize the evaluation results to the Secretariat of the Admissions Council.

5. The Secretariat of the Admissions Council is responsible for summarizing the evaluation results of the specialized subcommittees and reporting it to the Admissions Council.

6. Based on the evaluation results of the Professional Subcommittee and the enrollment targets, the Admissions Council meets to prescribe the admission selection principles and determine the list of successful candidates.

7. On the basis of the results of the meeting of the Admission Council, the Graduate School will submit to the Rector the list of successful PhD students for approval.

Article 12. Summoning of successful candidates and recognition of PhD students

1. Based on the successful list of doctoral students approved by the Rector, the Graduate School shall coordinate with relevant units to publicly announce it on the University's website and send an admission notice. to selected candidates.

2. The Graduate School coordinates the Finance - Accounting Department and related units to organize admission for the successful candidates.

3. Based on the list of successful candidates who have completed the admission procedures, based on the proposal of the PhD student and the list of teaching scientists and scientific guidelines of the Graduate School, submit it to the Rector for decision. graduate student recognition.

4. The decision on recognition of a PhD student must contain full information including: Name of the PhD student, major of training, title of proposed thesis topic, instructor or co-instructor, specialized research management unit. Lifesaving, training time. Decide to attach the full-time study and research plan of the PhD student.

CHAPTER III

PROGRAM AND MANAGEMENT OF TRAINING ACTIVITIES

Article 13. Training program

1. The doctoral-level training program aims to help graduate students complete and improve their basic knowledge and in-depth understanding of specialized knowledge; knowledge of related industries; improve research ability, problem identification ability and independent problem solving in the area of expertise. The content of the program must support the graduate student to self-study the foundation knowledge, advanced knowledge, in-depth knowledge of the theories and theories of the industry or major; the applied knowledge of the specialty; methodology, research methods, methods of writing scientific articles and presenting research results in front of domestic and foreign scientists.

2. Methods of training at the doctoral level are mainly carried out by self-study and self-study under the direction of instructors, lecturers and scientists; attach importance to training scientific research skills, developing creative thinking.

3. The doctoral training program specified by the Rector must ensure the following basic contents:

- a) Doctoral courses: 06 credits (03 courses, 02 credits each);
- b) General essay: 03 credits;
- c) Research outline: 03 credits;
- d) Doctoral topics: 06 credits (02 topics of 03 credits each);
- e) Doctoral thesis: 72 credits.

Article 14. Additional courses

The additional knowledge modules help the PhD student to have enough knowledge and professional qualifications to perform the PhD student's duties for the registered major.

1. For graduate students who do not have a master's degree: additional courses include master's courses in the respective major (except for foreign language courses and theses) and are studied for 2 years. from the date of admission decision. The courses and the number of credits are specified in Appendix 03 issued with this Regulation.

2. For graduate students who have a master's degree but have a major close to the doctoral training major, or have a master's degree in the same discipline but in the direction of application, they must take additional necessary courses according to the requirements of the program. The requirements of the master's major are specified in Appendix 03 issued with this Regulation.

3. The scoring and assessment of additional courses in Clauses 1 and 2 above shall comply with the Regulation on assessment of subjects in the master's degree program.

Article 15. Courses at the doctoral level

1. Courses at the doctoral level help graduate students update new knowledge in the field of expertise; improve the level of theory, research methods and the ability to apply scientific research methods. Each course at the doctoral level must have a detailed outline, which clearly states:

- a) Objectives, output standards, content and teaching methods;
- b) Time to go to class, practice;
- c) List of references;
- d) Specify how to evaluate the course.

2. The courses at the doctoral level have in-depth content, suitable to the doctoral level, relevant to the topic or training major that the graduate student conducts and is built and submitted to the Rector by the Faculty of Science. approved by the head.

The assessment and scoring of modules in a doctoral training program shall apply the regulations on assessment and scoring of modules according to the Regulation on training at university level.

3. For graduate students who do not have a Master's degree (with excellent university degrees, in the right major), they are only allowed to study modules at the doctoral level after completing the additional courses at the Master's level specified in Clause 1, Article 14 of this Regulation.

Article 16. General essay, research outline and topics

1. Overview essay

The overview essay reflects an overview of the research situation and issues related to the thesis topic, requires the graduate student to demonstrate the ability to analyze and evaluate the existing research works of the authors. at home and abroad related to the thesis topic, state the outstanding issues, point out the problems that the thesis needs to focus on solving, objectives, methods of implementing the topic, progress of implementation. topic.

Each PhD student must complete an overview essay of 3 credits.

2. Research outline

The doctoral thesis research outline represents the layout expected to be presented in the doctoral thesis. Outline shows chapters, sections, and subsections. The contents showing the logic between chapters, sections, subsections and related content are presented in the thesis.

Each PhD student must complete a three-credit thesis research proposal.

3. Doctoral topics

a) Doctoral topics help graduate students solve some of the content of the thesis topic. The doctoral thesis is presented as a scientific report on the results of in-depth theoretical and practical research, directly related to the content of the PhD student's thesis research;

b) Content must be presented at least 40 pages and not more than 60 A4 pages;

c) Thematic structure and form must comply with the instructions in Appendix 11 issued with this Regulation.

4. Evaluation of overview essays, research outlines, doctoral theses

a) The evaluation of the overview essay, research proposal, doctoral thesis is done by the PhD student presenting to the subcommittee for grading overview essays, research outlines, doctoral topics by the Rector. make decision;

b) The number of members to judge the overview essay, research outline and doctoral topic is specified as follows:

The subcommittee for grading overview essays and doctoral thesis outlines consists of 5 members, composed of: Head of the subcommittee, secretary and members, of which 1 member is the representative of the scientific guidance collective.

The doctoral subcommittee is composed of 03 members, including: Head of the subcommittee, secretary, member;

c) Criteria for judging review essays, research outlines and doctoral topics are scientists with doctoral degrees or higher, knowledgeable about the research field of the thesis;

d) An overview essay, research proposal, doctoral thesis is considered passed if the average score is 5 points or more. If there is an unsatisfactory topic or essay, or an unsatisfactory research proposal, the graduate student can correct or replace another topic for the second evaluation. No evaluation of doctoral topics or essays will be conducted. overview, 3rd research outline;

e) In case the overview essay, research proposal, topic must be re-evaluated for the second time, the PhD student must pay additional re-evaluation fees as prescribed in the current financial regime of the University.

Article 17. Scientific research

1. Scientific research is mandatory in the process of making the doctoral thesis. Depending on the research field, the Faculty of Science has different requirements for the content related to the thesis, or requires the PhD student to participate in the scientific research activities of the faculty or subject so that PhD students accumulate knowledge, promote creativity and research in order to reach new knowledge or new solutions.

2. Scientific research activities must be consistent with the objectives of the doctoral thesis. Faculty and scientific supervisors are responsible for organizing and supporting the use of facilities and research staff for PhD students to carry out research activities. Faculty, instructors and graduate students are responsible for the truthfulness, accuracy, and novelty of the research results of the thesis, and for compliance with regulations on intellectual property in accordance with current laws.

Article 18. Doctoral thesis

1. The doctoral thesis is a scientific research work of a PhD student, with theoretical and practical contributions in the field of research or new solutions, valuable in the development and increase of knowledge. scientific knowledge of the field of research, creatively solving problems of science or socio-economic practice.

2. The thesis is presented in accordance with the provisions of Appendix 11 issued with this Regulation.

3. After the thesis is defended, if it is found that a violation of the Regulation on Academic Integrity is found, it will be handled according to the resolution of the Council for Handling of Violations of Academic Integrity of the Banking University of Ho Chi Minh City. Bright.

4. PhD students are encouraged to register to write and present their thesis in English.

Article 19. Time frame for implementation of the training program

1. The PhD student must complete the supplementary courses, the doctoral level modules, the doctoral theses, the overview essay and defend the detailed outline of the doctoral thesis within the maximum time. is the first 2 years (for PhD students from a master's degree) or the first 3 years

(for PhD students from a bachelor's degree) from the date of signing the Decision on recognition of PhD students.

2. Postgraduate students who have a doctoral course, thesis, or an overview essay, if they have to re-evaluate for a second time and still fail to meet the requirements according to Clauses 1 and 4 of this Article, they are not allowed to continue doing research. Those who do not have a master's degree, if they wish, may be considered by the Academic Progress Council to transfer down to continue their studies under the corresponding master's degree program along with the master's course at the University.

3. Fellows may continue their training at the end of the first 2 years (for master's students) or the first 3 years (for bachelor's students) who satisfy the following requirements:

a. Completing additional courses, doctoral-level modules, overview essays, detailed outlines and doctoral topics satisfactory; In case of incomplete or unsatisfactory results, the PhD student must make a commitment to perform, clearly stating the implementation schedule certified by the instructor, the Faculty of Science, the Faculty of Graduate Studies and approval of the Principal;

b. Ensure participation in scientific research at the University according to Article 17;

c. Complete the tasks specified in Clause 10, Article 30 of this Regulation.

4. At the end of the full-time training period, the PhD student may be considered for an extension according to his/her wishes as prescribed in Article 24 of this Regulation.

Article 20. Organization of training, teaching and learning

1. The organization of training at the doctoral level is carried out in the form of a centralized formality, and doctoral students must spend at least 12 consecutive months of continuous study at the University in the first 24 months from the date of admission. decision to recognize the PhD student.

2. The organization of teaching and learning supplementary courses and doctoral-level courses is implemented at the University. In case the University does not organize training courses for additional modules for graduate students, the University sends PhD students to study at training institutions with which the University has affiliated, or recognizes each other's training programs and is approved by the University. training for these courses.

CHAPTER IV

CHANGES IN TRAINING

Article 21. Changing or adjusting the title of the topic and the instructor

1. The General Essay Evaluation Council advises the Rector to decide on the official topic title for the PhD student.
2. Proposed PhD students and instructors: change, adjust the title of the topic, change the instructor, change the faculty of professional management (if necessary).
3. The Dissertation Council at the subject level may propose an adjustment to the topic title.
4. In case the PhD student proposes to change the title of the thesis after having reported the overview essay and detailed outline, the overview essay and detailed outline must be defended according to the new title. In this case, the PhD student must pay the prescribed fee for the re-defense.
5. On the basis of the proposal of the PhD student certified by the instructor, or by the Review Board of the General Essay, or of the Council for the Evaluation of the Grassroots Thesis Graduate Faculty, submit it to the Rector for decision. adjusting, amending the title of doctoral thesis for graduate students.
6. The change of the topic name must be accompanied by an adjustment to the study plan and research of the whole course and within the time limit specified in Article 3 of this Regulation.

Article 22. Transfer of training institutions

1. In case a PhD student moves from another training institution.
 - a) Conditions for transferring: There is a legitimate reason for the transfer of a training institution, the transferee's training major is suitable for the training major of the University, ensuring the conditions of study and other training requirements. Other conditions as prescribed by the University, the study period of the PhD student must be at least 12 months (from the date on which the decision on recognition of the PhD student is issued by the training institution applying for transfer to the end of the extension period). term), with the consent of the transferring training institution;
 - b) On the basis of the opinion of the expert panel considering the conversion of research results of the PhD student, the Graduate School submits to the Rector for a decision to recognize the PhD student with the training period being the study period. the remaining internships

according to the decision on recognition of doctoral students of the previous training institution (including the extension period, if any), the modules will be transferred with points for additional courses.

2. In case the PhD student moves to another training institution.

a) Conditions for transferring: The PhD student has an application stating the reasons and justification for the transfer, having fulfilled the financial and other obligations of the University;

b) After receiving the PhD student's application to transfer the training institution, the Graduate School will consider and submit it to the Rector for a decision for the PhD student to be transferred to another training institution; and at the same time confirm the results of the modules studied by the PhD student (if the PhD student wishes).

Article 23. Recognition and conversion of learning and research results

1. Research and research results of doctoral students accumulated in the doctoral training program shall be reserved, considered for recognition, and converted in the following cases:

a) The PhD student is forced to drop out of school and wishes to continue studying for a master's degree program in the relevant discipline if he/she meets the provisions of the current Regulation on enrollment and training at the master's level;

b) PhD students change their majors or transfer from another training institution;

c) The PhD student is forced to withdraw from school, re-apply for admission (within 3 years from the date of the withdrawal decision) and is recognized as a new graduate student of the university.

2. In case of transfer from another training institution to or as a new doctoral student, the recognition of transfer results does not exceed 50% of the total volume of the study program.

3. The recognition and conversion of accumulated study and research results of doctoral students must be consistent with the contents and requirements of the training program, and are expressed on the basis of the recommendation of the Professional Council. .

4. The Professional Council consists of the following members: the President (Principal or Vice-Chancellor), the members are the Head of the Faculty, the Leader of the Graduate School, the Leader of the Examination and Quality Assurance Department. .

Article 24. Extension of training time

1. A PhD student is determined to have completed the training program on time if within 03 years (for PhD students from master) or 04 years (for PhD students) the thesis has been completed. approved by the Department-level Thesis Evaluation Council.

2. If the PhD student is unable to complete the training program on time, then at least 06 months before the deadline, he/she must apply for permission to extend his/her study.

3. The Rector decides on the extension of study and research when the doctoral student completes the study of the modules and the doctoral topics.

4. In case the PhD student has not completed the study of modules, overview essays and doctoral topics, before making a decision, the Rector must consult the Council to consider the student's study progress. .

5. Council to consider the student's academic progress

a) The composition of the council includes: Rector or designee, Vice Rector, Head or Deputy Dean of Faculty of Professional Studies, Head or Deputy Dean of Graduate School, Head or deputy head of Accounting and Finance Department;

b) Tasks of the progress review council: Assess the topicality and novelty of the topic; Evaluation of the student's performance capacity; Assess the student's attitude to study and scientific research; Advise the Rector on whether the PhD student can be extended or not;

c) The Council is entitled to use 01 graduate faculty member specializing in doctoral training management as the council's secretary;

d) The Council and its secretary are entitled to benefits as provided for in the current financial regulations.

6. The maximum extension period is 12 months each, but the total training period must not exceed 6 years as prescribed in Clause 3, Article 3 of this Regulation.

7. The PhD student is responsible for fulfilling the financial obligations incurred (expenses for the meeting of the progress review board and tuition fees, etc.) during the extension period as prescribed by the University.

Article 25. Dismissal of graduate students

1. Research students are forced to withdraw from school in the following cases:

a) Failure to complete the training program within the period specified in Clause 1, Article 3 of this Regulation without an application for extension;

b) Failing to complete the training program within the time limit specified in Clause 2, Article 3 of this Regulation;

c) Serious violations of regulations on performing responsibilities of graduate students or regulations of law as concluded by professional councils or competent agencies;

d) Research students do not meet the conditions for study and research as prescribed.

2. The Graduate School will base itself on the conclusions of the Council to consider the research progress of the PhD students mentioned in Article 24 of this Regulation to submit to the Rector for a decision to withdraw from the PhD student.

Article 26. Shortening of training time

1. The process of studying and doing doctoral research can be carried out earlier than planned, but the time from the decision on recognition of the PhD student to the time of defending the thesis at the subject level must be at least 24 hours. month.

2. Fellows still have to fulfill course-wide financial obligations while shortening the training period.

CHAPTER V

STANDARDS, DUTIES AND RIGHTS OF INDIVIDUALS AND RELATED UNITS

Article 27. Standards of lecturers teaching doctoral training programs

1. Lecturers teaching doctoral training programs must meet the following requirements:

a) Being a Vietnamese citizen or a foreign citizen who meets the provisions of Clause 1, Article 54 of the Law on Higher Education as amended and supplemented in 2018 and other relevant laws;

b) Hold the title of professor or associate professor or hold a doctorate of science or doctorate degree in a specialized field relevant to the modules or subjects (hereinafter referred to as the modules) in charge of the training program. create;

c) Having foreign language ability, applying information technology to serve the teaching, research and implementation of international exchange and cooperation activities in the professional fields in charge of the doctoral training program. .

2. Persons who do not have the title of professor or associate professor must satisfy the following additional requirements:

a) Having taught at the bachelor's or master's level for 01 year (12 months) or more from the date of obtaining the doctorate;

b) Within 5 years (60 months) up to the time of being assigned to teach, there is a publication related to teaching expertise as the lead author or contact author of 02 articles, journals. Scientific reports in publications are scored up to 0.75 points or more according to the maximum score set by the State Council of Professors; either author or co-author of 01 monograph published by domestic publishers or of 01 reference book chapter published by international publishers (hereinafter referred to as main author).

Article 28. Criteria for Postgraduate Instructors

1. The main instructor, the sub-instructor and the independent instructor of the PhD student must meet the standards of a doctoral-level lecturer as prescribed in Article 27 of this Regulation.

2. During the period of 05 years (60 months) up to the time of the decision to recognize the PhD student guide, the main instructor, the independent instructor, the co-instructor when not distinguishing between the main instructor and the main instructor. The sub-instructor must have additional research results in the professional field related to the guiding thesis topic, specifically as follows:

a) As the lead author of scientific conference reports, scientific articles published in publications in the Web of Science or Scopus catalog (hereinafter collectively referred to as the WoS/Scopus catalog) or reference book chapters published by reputable international publishers, or articles published in domestic scientific journals with a set score of 0.75 points or more by the State Council of Professors, or monographs published by reputable domestic and international publishers; publications must achieve a total score of 4.0 or more based on the maximum score prescribed by the State Council of Professors for each type of work (no points will be divided when there are co-authors);

b) Being the author or co-author of at least 01 registered scientific and technological research and application results and granted national or international patents related to the field of research guidance. born.

Article 29. Duties of instructors and instructors

1. An instructor of a doctoral training program has the following duties:

a) To perform the obligations and powers of the lecturers according to the provisions of Articles 55 and 58 of the Law on Higher Education as amended in 2018 and relevant regulations of the University;

b) Teaching according to the content stated in the outline of the training program;

c) Comply with other regulations and rules of the University in the process of teaching and evaluating the research results of PhD students.

2. Researcher mentors have the following duties and powers:

a) Guide, support, evaluate, monitor and urge PhD students to perform academic and scientific research tasks;

b) Proposing or commenting on changes in the PhD student's study and research process;

c) Proposal for the PhD student to be able to defend research results at the review board of the General Essay, Research Outline, Topics, Department-level Thesis, School-level Thesis (if the thesis has met the requirements specified in Article 34 of this Regulation);

d) At the same time, a person holding the title of professor may independently guide up to 7 PhD students; persons holding the title of associate professor or holding a doctorate of science degree can independently guide up to 5 PhD students; doctoral degree holders are independently guided up to 3 fellows; In case of co-instruction, 01 PhD student will be converted to equivalent to 0.5 doctoral student's independent guidance;

e) Not to guide or co-guide new PhD students if, within 06 years (72 months) up to the time of assignment, there are 02 PhD students whose thesis is not approved by the School-level Thesis Evaluation Council, approval, including re-evaluation of the thesis specified in Article 39 of this Regulation;

f) Perform other duties and rights as prescribed by the University.

Article 30. Duties and powers of PhD students

1. To perform the civic obligations as prescribed by law. Fellows who are foreigners must abide by Vietnamese laws and respect Vietnamese customs and practices.

2. Implement the tasks and powers for learners specified in Articles 60 and 61 of the Law on Higher Education as amended and supplemented in 2018.

3. Develop study and scientific research plans for the whole course and each semester; approved by the instructor and the Faculty of expertise assigned to activities.

4. Have access to document sources, use the library, experimental equipment for study, scientific research and thesis implementation.

5. During the course of studying and implementing the thesis, the PhD student must regularly meet to consult and exchange expertise with the instructor according to the planned plan and schedule (at least once every 2 months).).

6. Report their study and research results to the instructor and the Graduate School according to the prescribed schedule, at least once every 6 months (reports certified by the scientific supervisor and the specialized faculty). subject).

7. Fully participate in scientific activities, seminars related to the research tasks of the PhD students organized by the Faculty of Professional Studies, the Faculty of Graduate Studies and the Research Institute of Banking Science and Technology of the University. office.

8. Publish research results related to the thesis topic specified at Point d or e, Clause 1, Article 35 of this Regulation; Comply with the College's policy on academic integrity, ensuring published results are derived from individual research with the support of instructors; fully acknowledge and cite the participation of individuals, groups or other organizations (if any).

9. During the study process, the PhD student must spend time participating in professional activities, teaching assistants, research, guiding students to practice or conduct scientific research at the faculty/school as assigned by the Faculty. expertise and support from a science instructor.

10. Fellows must fulfill financial obligations to the University:

a) Tuition fees must be paid within 03 weeks from the start of the new school year;

b) Must comply with the obligations of fees and charges according to regulations and notices of the University;

c) Pay expenses arising from the time of overdue training according to regulations of the University; training service charges (The price of training services is adjusted and disclosed annually, but the maximum increase does not exceed 15%);

d) Perform other financial obligations as prescribed.

Article 31. Duties and powers of the Faculty of Science

1. Accepting successful PhD students according to the assignment decision of the Rector and managing the PhD students in the process of studying and doing scientific research at their respective institutions;

2. Approving the study plan and scientific research of the PhD student; facilitate, support, urge, supervise and inspect the implementation of the plan;

3. Organize periodical scientific activities for assigned PhD students;

4. Introduce the list of lecturers and scientists participating in the teaching process, guide and evaluate the research and study results of the PhD students;

5. Coordinating with the Graduate School in formulating and modifying the doctoral training program related to the major of the faculty;

6. Perform other duties and powers as prescribed by the Principal.

Article 32. Duties and powers of the Graduate School

1. Advise the Principal on enrollment plans, organize enrollment announcements in accordance with regulations.

2. Coordinate with units inside and outside the school to announce enrollment to candidates.

3. Enrollment consultancy, receiving application dossiers.

4. Advise on the establishment of councils and specialized sub-committees in admissions examination in which the Leader (head or deputy head) of the Graduate School is a permanent member of the Council, Head of the Admissions Secretariat.

5. Advise the Rector, the Admission Council on the enrollment results, the announcement of admission and the decision to recognize the PhD student.

6. Coordinate with relevant units to organize admission for PhD students, disseminate Regulations related to the management and training process for PhD students.

7. Develop a training plan for each enrollment course.

8. Advise on the organization of councils to evaluate the study and research results of graduate students.

9. Dean of Graduate School organizes and manages the independent review process in Confidential mode.

10. Monitoring the study and research results of graduate students.

11. Make periodical and extraordinary reports according to regulations of the Ministry of Education and Training related to enrollment and training of PhD students.

12. Complete the graduation consideration procedures, keep the training process records with each PhD student, coordinate with the Library to archive the PhD thesis of the PhD student after defending.

13. Advise on handling changes in the training process of PhD students such as: changing, adjusting the topic title, instructor, extension, dropping out, carrying out the procedures for receiving PhD students from the institution. another training institution or transfer the PhD student to another training institution when required.

14. Perform other jobs related to enrollment and doctoral training as assigned by the Rector.

Article 33. Duties and powers of relevant units

1. The Department of Examinations and Quality Assurance is responsible for monitoring and storing research results of graduate students on the system.

2. The library is responsible for archiving the complete thesis after defending it at the University level according to current archival regulations.

3. The Inspection Division shall perform the tasks specified in Article 45 of this Regulation.

4. The types of documents and the storage period of the entities mentioned in Clauses 1 and 2 of this Article are specified in Appendix 19 issued with this Regulation.

5. Units, divisions and departments of the university perform the work of supporting the Graduate School in the process of enrollment and training management in accordance with the regulations on functions, duties and assignment of the Rector.

CHAPTER V I

THESIS, ASSESSMENT AND PROTECTION OF THE THESIS

Article 34. Requirements for doctoral theses

1. Requirements on the content of the doctoral thesis

The doctoral thesis must be conducted by a PhD student and meet the objectives and requirements specified in Article 18 of this Regulation. The thesis must have new scholarly contributions, presented in scientific language, apply the basic theories of science to analyze and comment on the points and results achieved in the works. previous research related to the thesis topic, on that basis posed new problems, meaningful new research hypotheses or new solutions to solve the problems posed by the thesis and proved by new materials. The author of the thesis must have an honorary commitment about his or her scientific work.

2. Structure of PhD thesis

a) Preface: a brief introduction about the research work, the reason for choosing the topic, the research purpose, the object of the research scope, the scientific and practical significance of the topic, the structure of the thesis;

b) Overview of the research problem: Analysis and systematic research methods evaluate the research works closely related to the thesis topic that have been published previously, pointing out the outstanding problems. which the thesis focuses on solving, determining the objectives of the topic, content and research methods;

c) Research content and results (one chapter or many chapters): Presenting theoretical basis, scientific theory and hypothesis, research method; research results and discussions;

d) Conclusions and recommendations: present new findings, conclusions drawn from research results; recommendations for further studies.

e) List of works published research results of the thesis topic;

f) List of references cited and used in the thesis;

g) Appendix (if any).

3. Doctoral thesis form

a) The doctoral thesis has a minimum volume of 120 pages and a maximum of 180 A4 pages, excluding appendices, in which at least 50% of the pages present research results and individual arguments of the doctoral student;

b) The thesis must be presented clearly, coherently, cleanly, without erasing, with page numbers, tables and drawings;

c) Specific regulations on drafting, page format of documents, abbreviations, presentation of references, citations and table of contents according to Appendix 11 issued with this Regulation.

4. Dissertation summary requirements

a) About the summary: Fully reflect the structure and layout of the thesis; briefly state the rationale and objectives of the study; summarize the theory and research methods presented in the thesis; point out new points of the thesis; fully write down the full text of the conclusion of the thesis;

b) Requirements on presentation of the thesis summary (Appendix 11 issued together with this Regulation).

4. Other requirements for PhD thesis

a) Comply with the law on protection of intellectual property rights according to the current law;

b) The use or citation of other people's or co-author's research results must be fully and unambiguously cited according to a set standard for scientific reports, citation and crediting. reference materials according to the regulations of the University (Appendix 11 issued together with this Regulation);

c) In case the thesis uses the content of scientific works of a group of which the graduate student is a co-author, the written consent of other co-authors must be obtained to allow the PhD student to use the results of the thesis. researchers;

d) The main content and research results of the thesis must be published according to point d or point e, Clause 1, Article 35 of this Regulation.

5. The doctoral thesis is assessed through levels in the following order:

a) Evaluation of the thesis at the department level;

b) Independent review of the thesis;

c) Evaluation of the thesis at the university level.

Article 35. Evaluation of subject-level theses

1. Conditions for PhD students to register for departmental thesis evaluation

a) The PhD student has completed additional courses, doctoral courses and fully participated in supporting activities specified in Articles 14, 15, 16, 17 and 30. of this Regulation;

b) The PhD student has a draft of a doctoral thesis that meets the requirements specified in Article 34 of this Regulation;

c) The PhD student has a written request for assessment of the thesis at the Department level and is approved by the group of instructors or the student's supervisor to register for the evaluation of the thesis at the Department level according to the form specified in Appendix 12. promulgated together with this Regulation;

d) The PhD student is the main author of scientific conference reports, scientific articles published in publications in the WoS/Scopus catalog, or reference book chapters published by reputable international publishers. published, or articles published in scientific journals in the country are defined by the State Council of Professors with a score frame of up to 0.75 points or more according to the training discipline, or monographs published by reputable publishers. domestic and international reputation issued; Publications must have a total score of 2.0 or more based on the maximum score set by the State Council of Professors for each type of work (no points will be awarded for co-authors), relevant and contributing. important for the research results presented in the thesis;

e) The requirements at point d of this clause may be replaced by proof of being the author or co-author of: 01 registered and patented scientific and technological research and application results. relevant national and international contributions and important contributions to the research results presented in the thesis;

f) The PhD student completes the application for the evaluation of the thesis at the Department level and submits it to the Graduate School.

2. Establishment of Department-level thesis evaluation council

a) After the PhD student fully meets the conditions and has submitted the application for evaluation of the Department-level thesis, on the basis of the list of proposals of the Faculty approved annually by the Rector, the Faculty After graduating, submit to the Rector for a decision to establish a Department-level Thesis Evaluation Council;

b) Criteria for membership of the Department-level doctoral thesis evaluation council

Criteria for members of the Council to participate in the evaluation of doctoral theses at the department level (except for the secretary) are the same as those of a scientific guide as specified in Article 28 of this Regulation.

The standards of the secretary of the council are the same as that of the lecturers who teach the doctoral training programs specified in Article 27 of this Regulation;

c) The Council consists of 07 members, including: Chairman, Secretary, two reviewers and three members. In which, there is 1 member representing the collective of scientific instructors and at least 2 members are scientists and experts outside the university.

3. Organize the Department-level thesis evaluation council

a) The thesis is sent to the members of the Council at least 15 working days before the meeting of the Thesis Evaluation Council is held. Council members must read the thesis and send comments to the Graduate School at least 03 working days before holding a meeting of the Department-level Thesis Evaluation Council. The comments of the members of the Council must contain the contents specified in Appendix 13 issued together with this Regulation;

b) There are all 07 comments of the Council members;

c) The council will not hold a meeting to evaluate the thesis if one of the following cases occurs: absence of the Chairman of the Council, absence of the Secretary of the Council, absence of the reviewer who disagrees with the thesis. , absent from 02 or more Council members, absent of PhD students.

4. The thesis evaluation process is specified in Appendix 14 issued together with this Regulation.

5. Requirements for departmental thesis evaluation sessions

a) The evaluation of the subject-level thesis is a form of scientific activities of the specialized unit, organized for members of the specialized unit, doctoral students, students, students and interested persons. have the right to participate;

b) The members of the Department-level Thesis Evaluation Council must make comments pointing out the new results of the thesis, limitations and shortcomings of the thesis and request the PhD student to correct and supplement;

c) The thesis evaluation at the Department level is held once or many times, until the thesis is proposed to be evaluated at the School-level Thesis Evaluation Council. In case the thesis is evaluated in the next times, the number of members of the council must be at least two-thirds the same as the total number of scientists invited to comment on the thesis who participated in the

previous evaluation; in which, there must be those who disagree with the thesis to be evaluated at the University council;

d) The PhD student must pay for the expenses related to the second subject-level thesis evaluation from the second time onwards;

e) The thesis can only be approved at the Department level when at least three-quarters (3/4) of the number of scientists invited to comment on the thesis at the final evaluation agree (indicated in the thesis comment sheet).);

e) The thesis evaluation meeting approves the minutes of the meeting of the Council according to the form specified in Appendix 15 issued with this Regulation;

h) In case the Council meets online, it must comply with the University's current regulations on evaluating research results in the online form.

6. Within a maximum period of 06 months from the date of approval of the Departmental Evaluation Council, the PhD student must edit and complete the application for independent review. Past the above time limit, the PhD student must defend the Department-level thesis.

Article 36. Independent review of the thesis

1. Before being evaluated at the School-level thesis evaluation board. The PhD student's thesis must be independently reviewed.

2. Within 6 months from the time the PhD student submits the thesis edited after defending the subject level, the Graduate School must complete the independent review process and procedures. In case it is required to obtain an independent opinion for the second time as prescribed in Clause 3 of this Article, the extension may be extended by a maximum of 3 months.

3. The PhD student's thesis is consulted by two scientists or experts.

4. Criteria and conditions for choosing independent reviewers

a) Independent reviewers are scientists or experts outside the University;

b) Having expertise relevant to the thesis topic;

c) Meet the same standards as for independent instructors specified in Article 28 of this Regulation;

d) There is no interest directly related to the PhD student and the instructor; there is no father, mother, spouse, child, brother, sister or brother relationship with the PhD student; There is no

cooperation relationship, direct support to the PhD student in expertise related to the thesis content and the instructor during the thesis implementation.

5. The independent review must ensure objectivity and transparency. To ensure objectivity, the Graduate School will submit a list of four independent reviewers. After the Rector approves, the Dean of Graduate School will send to the two scientists on the list for feedback.

6. Concluding comments must clearly indicate technical agreement or disagreement. The specific content of comments is made according to the form specified in Appendix 13 issued with this Regulation.

7. The thesis is determined to have passed the independent review process when it is agreed by two independent reviewers. If there is one reviewer who disagrees, the Graduate School will send one more independent reviewer in the list of 4 people approved by the Rector to make a decision.

8. In case both independent reviewers disagree on the professional quality of the thesis, the Graduate School requires the PhD student to edit and supplement the thesis and implement the process of collecting criticisms. second independence. No third independent review.

9. Information of independent reviewers is a confidential document of the University; Relevant individuals who have contact with independent review dossiers are responsible for keeping confidential information and documents related to independent reviewers in accordance with the current "Confidential" regime. All contact with independent reviewers is the responsibility of the Dean of Graduate School. Independent reviewers are not allowed to directly contact or ask PhD students to provide information or explain critical opinions. The PhD students' explanations are sent to the Dean of the Graduate School and presented at the thesis defense session.

10. The process of selecting and collecting criticisms shall comply with the provisions of Appendix 16 issued with this Regulation.

11. Research documents submitted to the Graduate School for independent review include:

a) 01 application for independent review of the thesis;

b) 01 report on revision of the thesis according to the opinion of the Departmental Council, signed by the PhD student, the scientific supervisor and the Council members (according to the conclusion of the Departmental Council);

c) 03 Thesis paper bound, of which 02 copies do not have information about the research, scientific supervisor and working agency of the PhD student;

d) 03 sets of scientific research works, of which 02 sets do not have information about the PhD student, address and workplace of the PhD student;

e) Proof of fulfillment of financial obligations as prescribed.

12. The Graduate Faculty profile submitted to each independent reviewer includes:

a) 01 Thesis in paperback with no information about the research fellow, the scientific supervisor and the PhD student's agency;

b) 01 set of scientific research works without information on doctoral students, title of journal;

c) 01 Invitation letter clearly stating the method of comment and delivery;

d) 01 form of critical comments.

Article 37. Conditions and dossiers for evaluation of university-level theses

1. Conditions for a PhD student to defend his/her thesis at the University-level Thesis Evaluation Council:

a) The PhD student's thesis is approved at the Department level and is recommended for evaluation at the University's Thesis Evaluation Council;

b) The PhD student's thesis is approved by independent reviewers as prescribed in Article 36 of this Regulation;

c) Presented in accordance with the provisions of Appendix 11 issued together with this Regulation;

d) The author undertakes to have read, understood and implemented the School's policy on academic integrity;

e) The thesis summary has been published on the University's website.

2. Dossier for PhD students to submit to evaluate the University-level thesis includes:

a) 01 School-level thesis assessment registration form with comments and certifications from the instructors (under the form specified in Appendix 12 issued with this Regulation);

b) 08 Full text of the thesis (paperback, spring spine);

c) 08 Copies of research works related to the PhD student's thesis topic;

b) 08 List of research works related to the PhD student's thesis topic;

d) 01 consent of co-authors (if there are co-authored works);

e) 01 abstract of thesis in both hard copy and soft file in Vietnamese and English. The content of the thesis summary fully shows the core contents and main ideas of the thesis. The format for presenting the summary is as provided for in Appendix 11 to this Regulation;

f) 01 explanation of the additional and revised points of the PhD student after each meeting of the Council, signed for confirmation and consent of the President, two reviewers, and members with suggestions. recommend additional editing of the thesis and the instructor;

h) 01 revised explanation according to the comments of the Independent Reviewer;

i) A valid copy of transcripts including additional courses (if any), overview essay, detailed outline, modules of doctoral training program, doctoral topics;

k) A copy of the decision on recognition of PhD students and proof of changes in the training process (if any);

l) Other documents arising (if any) as notified by the Graduate School.

Article 38. Evaluation of university-level theses

1. Regulations on the School-level Evaluation Council

a) The number of members of the Council is 07 people, of which, the number of members who do not have the title of professor or associate professor is not more than 03; the minimum number of members outside the School is 03;

b) The composition of the Council includes the chairman, secretary, 03 reviewers and 02 members, of which at least 01 reviewer is from outside the University; Reviewers must not co-author with PhD students in scientific publications related to the thesis; The chairperson of the Council must be a professor or associate professor in a discipline relevant to the subject matter of the thesis, a lecturer or a permanent researcher of the University; 01 PhD student mentor can join the Council as a member;

c) The standards of research competence of the members of the Council are the same as the standards of the research competence of the main instructors specified in Article 28 of this Regulation, except that the secretary of the Council must meet the same requirements as for lecturers. teaching at the doctoral level specified in Article 27 of this Regulation;

d) The PhD student's father, mother, spouse, child, brother, sister, or brother are not participating in the Council.

2. Establishment of the University-level Doctoral Thesis Evaluation Council

a) On the basis of the list of scientists approved by the Rector, the Graduate Faculty plans to submit personnel to the Rector for approval of the list of the School-level Thesis Evaluation Council;

b) The Graduate School invites scientists according to the approved list, if there is a change, it must submit to the Rector the list of expected change of scientists to join the new Council before inviting additional replacements;

c) After the scientists agree to participate, the Graduate School submits the Rector to sign the decision to establish the School-level Thesis Evaluation Council.

3. Prepare for the School-level thesis assessment

a) After a decision has been made by the Graduate School Committee to do the preparatory work: Post a notice of the time and location of the defense session, together with a summary of the thesis on the university's website. ; Submit the Thesis and the thesis abstract which have been displayed in the reading room of the School Library; Submit the full thesis (paperback, springback), Copies of research works related to the graduate thesis topic, List of research works related to the thesis topic of the graduate student. PhD students to Scientists participating in the council;

b) The time for performing the work mentioned in point a of this clause is 15 days before the school evaluation date;

c) All procedures to prepare for the organization of the thesis evaluation meeting are carried out by the Faculty of Graduate Studies; PhD students and instructors do not have contact or contact with Council members prior to the thesis review.

4. School-level assessment council meeting

a) The council shall not hold a meeting to evaluate the thesis if one of the following cases occurs: absence of the council chair. absence of the council secretary, absence of reviewers who disagree with the thesis, absence of two or more council members, absence of PhD students;

b) The council must vote and decide to approve or not to approve the thesis; request the contents to be amended and supplemented if necessary in case of approval; propose or not recommend re-evaluation in case of failure to pass;

c) The thesis will not be approved if there are 02 members present at the evaluation meeting disagreeing professionally;

d) All developments of the thesis evaluation meeting must be recorded in detailed minutes. The minutes must be approved by the entire Council and signed by all members of the Council. The minutes are made according to the form specified in Appendix 15 to this Regulation;

e) In case the thesis is approved but needs to be revised, the minutes must clearly state which members after editing need to be certified;

f) In case the thesis is approved, in addition to the minutes of the university-level thesis evaluation council, the decision of the council must be approved. The decision of the university-level doctoral thesis evaluation council is made according to the form specified in Appendix 17 to this Regulation;

g) In case the thesis is unsatisfactory, the minutes of the meeting of the council must clearly state the name of the member who disagrees so that there is a basis for arranging the council to re-evaluate the school-level thesis according to the provisions of Clause 2, Article 39 of the Regulations. this;

h) In the case of an online thesis evaluation organization, it must ensure that at least 03 Council members are present in person with the PhD student; in case of natural disasters or force majeure epidemics, follow specific instructions of the Minister of Education and Training; The progress of the defense session in this case must be fully recorded, videotaped and archived at the Graduate School;

i) Duties of Council members and the order of the thesis defense session at the university level as prescribed in Appendix 14 issued together with this Regulation.

5. Dissertation editing after successful thesis defense

a) The PhD student is responsible for editing the thesis (if any) according to the Council's resolution. After completing the editing and supplementing according to the resolution of the Council, there is a written report, commitment on the points of correction and addition, the graduate student transfers the thesis and commits to edit the thesis to the student. council members (as required in the minutes) see and confirm;

b) A written commitment to amend, made according to the form specified in Appendix 18 issued with this Regulation;

c) After being certified by the Council member mentioned at Point a of this Clause and by the Rector, the PhD student submits the final completed thesis with abstract (both hard copy and

electronic copy) to the Graduate School. , the School's Library and submit it to the National Library (must be certified upon submission);

d) The PhD student submits to the Graduate School 01 copy of the thesis, certified by the Libraries at point c of this Clause;

e) The maximum time to edit the thesis is 06 months from the date of defense. If after the above time limit, the PhD student has not submitted his/her thesis, the thesis will not meet the requirements because it does not ensure its scientific and current status and the PhD student must defend it at the university level in accordance with the provisions of Article 39 of the Regulations. this regime.

6. The Graduate School, after receiving the final completed thesis, is responsible for coordinating with the Library and related units to post it on the website of the Library, the University, and the Graduate School. minimum 3 months.

Article 39. Thesis re-evaluation at the University level

1. Cases in which the school-level thesis must be re-evaluated

a) The PhD student's thesis is not approved by the University-level Thesis Evaluation Council at the first evaluation and there is a recommendation from the council to allow it to be defended. proposal to defend the thesis for the second time no later than 6 months from the date of the first defense;

b) The thesis editing is behind schedule, does not ensure the scientific and topicality mentioned at point e, Clause 5, Article 38 of this Regulation.

2. The composition of the Second School-level Thesis Evaluation Council must have at least 3 members who have participated in the first Council, including enough members who disagree with the thesis.

3. Do not re-evaluate the thesis without the recommendation of the first Thesis Evaluation Council; does not organize the third thesis evaluation.

4. The order to organize the re-evaluation is the same as the initial assessment, specified in Appendix 14 issued with this Regulation.

CHAPTER V II

ASSESSMENT OF THE TRAINING PROCESS, THESIS QUALITY AND DEVELOPMENT DEVELOPMENT

Article 40. Cases of appraisal of training process and thesis quality

1. Based on the periodic report of the University, the Ministry of Education and Training will notify in writing the random inspection and appraisal at the request of the management, inspection and supervision of the implementation. Regulations with dossiers and theses have been approved by the School-level Thesis Evaluation Council.

2. Examination and appraisal with specific cases when there is a letter of complaint, complaint or denunciation about the training process record or the thesis quality.

Article 41. Dossier for appraisal of training process and thesis quality

1. Dossier for appraisal of the training process includes:

a) The application file for PhD student must have sufficient evidence of the eligibility requirements specified in Article 6 of this Regulation;

b) The student's application for evaluation of the graduate thesis is specified in Clause 2, Article 37 of this Regulation;

c) Dossier for grant of doctorate degrees of graduate students specified in Clause 2, Article 43 of this Regulation;

d) Number of dossiers: 01 set.

2. The thesis quality appraisal dossier includes:

a) Doctoral thesis;

b) Summary of the doctoral thesis;

c) Copies of articles published on research results of the PhD student as prescribed;

d) Number of dossiers: 03 sets.

Article 42. Handling results of appraisal of training process and thesis quality

1. In case the dossier of training process is unsatisfactory according to the notice of the Ministry of Education and Training, the PhD student is responsible for coordinating with the university to explain and supplement relevant evidence so that the University can basis for proposing the handling direction to the Ministry of Education and Training.

2. In case the thesis quality is not satisfactory

a) The Ministry of Education and Training will decide to set up a thesis appraisal council to consider, evaluate and decide on the quality of the thesis. The organization of the Appraisal and Evaluation Council shall comply with the regulations of the Ministry of Education and Training;

b) The case after the thesis is still unsatisfactory

If the PhD student has not been granted a PhD degree, the PhD student is allowed to amend, supplement and request re-evaluation of the thesis (if the thesis has not been re-evaluated for the second time) according to the provisions of Article 39 of the Regulations. this.

If the PhD student has been granted a doctoral degree, the University will handle it according to the provisions of Clause 2, Article 46 of this Regulation.

3. Within a maximum period of 60 days from the date of receipt of the notification from the Ministry of Education and Training of the assessment results, the School will send a written report to the Ministry of Education and Training on the handling of the evaluation results. according to the contents mentioned in Clauses 1 and 2 of this Article with accompanying proofs.

Article 43. Grant of doctorate degrees

1. Conditions for a PhD student to be considered for a doctoral degree:

a) When the doctoral student's thesis has been approved by the university's thesis evaluation council;

b) The PhD student has completed the submission of all documents to the relevant units as prescribed in Clause 6, Article 38 of this Regulation;

c) After publishing the last completed thesis information, 90 days from the date of publication as prescribed in Clause 6, Article 38 of this Regulation;

e) Fulfill the obligations specified in Clause 10, Article 30 of this Regulation.

2. Dossier for grant of doctorate degrees of graduate students include:

a) Minutes of the thesis evaluation session at the University level;

b) Resolution of the university-level thesis evaluation council;

c) Minutes of counting votes, evaluation sheets of all members of the university-level thesis evaluation council present at the evaluation session;

d) Comments and evaluations of the instructor or the group guiding the PhD student; The certificate of correction and supplementation of the thesis by the Instructor and the chairperson of the thesis evaluation council;

e) A receipt or written confirmation of submission of the thesis and thesis summary from the National Library, the University's library;

f) Proof of public publication of the thesis evaluation date;

- g) A certificate of the finance and accounting department of the completion of tuition fees;
- h) An overall report on the graduate student's training process.

3. Once a quarter, the University will gather documents for the granting of doctorate degrees and carry out the procedures for granting degrees to PhD students when the PhD students fully satisfy the conditions specified in Clause 1 of this Article and save them. Maintain certificate of eligibility according to regulations.

4. The Graduate School is responsible for completing the documents mentioned in Clause 2 of this Article before holding a regular or extraordinary meeting of the Standing Committee of the Science and Training Council to approve the list of PhD students. doctoral degree.

5. On the basis of the minutes of conclusions of the Scientific Council, the Graduate School submits to the Rector for a decision on granting a doctorate degree to a PhD student.

CHAPTER VII I

COMPLAINTS, DENUNCIATIONS, INSPECTION, INSPECTION AND HANDLING OF VIOLATIONS

Article 44. Complaints and denunciations

1. Agencies, organizations, individuals and PhD students have the right to complain and denounce violations in enrollment, organization and management of training activities, thesis evaluation and doctoral degree awarding.

2. Complaints and denunciations and settlement of complaints and denunciations shall comply with the provisions of the Law on Complaints and the Law on Denunciations.

Article 45. Inspection and examination of the enrollment process and training management

1. The School's Inspection Department is responsible for

a) Inspect enrollment documents and conditions before the meeting of the sub-committee on selection of PhD students;

b) Make a report to the Graduate School of the admission results before the Graduate Faculty submits it to the Rector for the Admission Decision;

c) To inspect the report of the Graduate School before submitting it to the Science and Training Council, the Rector shall issue a decision on recognition of the graduation;

d) Coordinate with the Graduate School to check and report to the Rector when there are written complaints, complaints and denunciations about fraud in enrollment, training management.

2. The Graduate School is responsible for preparing documents to serve the inspection of the Ministry of Education and Training in accordance with the regulations of the Ministry of Education and Training and at the request of the School's Inspection Department as prescribed in Clause 1 of this Article.

Article 46. Handling of violations

1. In case of detecting violations in enrollment, organization and management of training activities, thesis evaluation and grant of doctorate degrees, the Ministry of Education and Training shall request the University in writing to handle or directly continue handling according to authority.

2. The withdrawal of a doctorate degree shall comply with current regulations and in the following cases:

a) Cheating in the application file makes the degree holder no longer satisfy the conditions for admission and recognition of PhD students;

b) Copying or quoting not in accordance with the provisions of the thesis, but if the copied and quoted parts are removed, the thesis will not satisfy the requirements specified in Article 34 of this Regulation;

c) The thesis is not approved by the Appraisal Council according to the provisions of Point b, Clause 2, Article 42 of this Regulation.

3. In case the PhD student is found to have other violations, depending on the seriousness of the violation, he will be disciplined from reprimand, warning, study suspension, study suspension to criminal prosecution. .

CHAPTER IX

ORGANIZATION OF IMPLEMENTATION

Article 47. Responsibilities for implementation

Faculty of Graduate Studies, Department of Testing and Quality Assurance, Library according to their functions and duties, shall store enrollment records, study and research results, and dissertations of students according to the deadlines specified in Article 1 of this Decree. Appendix 21 is issued together with this Regulation.

The units under the school according to their functions and duties shall comply with the provisions of this Regulation.

Article 48. Effect

1. This Regulation takes effect from the date of signing and applies to enrollment courses from 2021.

2. For admission courses that have received a decision to recognize PhD students from 2017 or earlier, the Decision No. 859B/QĐ-ĐHNN dated November 22, 2012 of the Rector of the Banking University of Ho Chi Minh City will be applied. . Ho Chi Minh City (on the basis of Circular 10/2009/TT-BGDĐT dated May 7, 2009 and Circular No. 05/2012/ dated February 15, 2012 on amending and supplementing a number of articles of the Regulation on training and submitting Doctorate degree promulgated together with Circular No. 10/2009 of the Ministry of Education and Training).

3. For admission courses that have received a decision to recognize PhD students from 2018 to 2020, the provisions of Decision No. 2037/QĐ-ĐHNN dated October 24, 2018 and Decision No. 2157/QĐ- University of NH on October 1, 2019 of the Rector of Banking University of Ho Chi Minh City. Ho Chi Minh City (on the basis of Circular No. 08/2017/TT-BGDĐT dated April 4, 2017); except:

a) The conditions for scientific research will comply with the provisions of point d or e, Clause 1, Article 35 of this Regulation;

b) Standards of instructors comply with Article 28 of this Regulation.