# Procedure for Doctoral Dissertation Submission and Defence

## at the Institute of Computer Science of UT

### Submission process at a glance

<table>
<thead>
<tr>
<th></th>
<th>Before Submission</th>
<th>Before Pre-review OK</th>
<th>Before Defence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Student</strong></td>
<td>Prepares thesis</td>
<td>Fixes thesis</td>
<td>Talks with UT Press</td>
</tr>
<tr>
<td></td>
<td>Prepares documents</td>
<td>Responds to reviewers</td>
<td>Submits thesis to print</td>
</tr>
<tr>
<td></td>
<td>Checks ETIS and SIS/ÖIS</td>
<td>Prepares presentation</td>
<td>Polishes presentation</td>
</tr>
<tr>
<td><strong>Supervisors</strong></td>
<td>Finds pre-reviewers</td>
<td>Proposes defence time</td>
<td>Preparates for defence</td>
</tr>
<tr>
<td></td>
<td>Writes opinion</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>External Reviewers/ Opponents</strong></td>
<td>Agrees to write opinion</td>
<td>Writes positive opinion</td>
<td>Updates opinion</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Preparates for defence</td>
</tr>
<tr>
<td><strong>Internal Reviewer</strong></td>
<td>Agrees to help student</td>
<td>Helps student</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Allows to defence</td>
<td></td>
</tr>
</tbody>
</table>

### Documents of the university

1. [Regulations for Doctoral Studies](#) (effective as of 1. August 2022)

2. [Study Regulations](#) (passed by the Senate on 28 May 2021)

### Procedure before the defence

1. The appropriate procedure before submitting the thesis:
   1) Should the PhD student request adding or removing supervisors, a motion needs to be made to the Institute Council. The change must be recorded in the SIS (this is done by the specialist of academic affairs of the institute).
   2) The PhD student must have fully completed (excluding the thesis) their curriculum. Completion of the curriculum can be checked at the specialist of academic affairs. The original curriculum can be changed if necessary by submitting a request to the Institute Council.
   3) The PhD student is responsible for entering all their publications into ETIS with the status *confirmed*.
4) Should the thesis be defended as a series of publications, the PhD student will need to agree on republication conditions with the original publisher for each article.

2. For the official thesis submission the PhD student must produce the following documents to the secretary of the Defence Council (Research Fellow Kalmer Apinis):

1) An application addressed to the Institute Council requesting to be allowed to defend the dissertation. The application must also specify the complete official title, *Doctor of Philosophy (computer science)*, of the degree the student is applying for.

2) The dissertation prepared according to the template and guidelines used in the Institute and available at [https://cs.ut.ee/en/node/112531](https://cs.ut.ee/en/node/112531) (does not need to be in its fully completed final form).

3) The student's CV containing the complete list of research publications and any patents that are related to the dissertation. The CV should contain no gaps in the timeline and all studies – also including those not completed – should be listed.

4) The opinion(s) of the supervisor(s) that contain, among other things, an evaluation of the originality of the dissertation, the contribution of the student, and compliance with the requirements of content and form.

5) A popular scientific summary of up to 2,000 characters in Estonian and English.

The application, dissertation and CV are recommended to be sent to the secretary of the Defence Council before the official submission for assessing the compliance with formal requirements.

The documents will pass through a university-level examination and will get an assessment from the Academic Secretary of UT. Procedures by the council can take place only after being assessed by the Academic Secretary (up to 8 workdays after the submission of the documents).

3. Before the dissertation is allowed to be defended, it must go through pre-reviewing by two external reviewers and one internal reviewer. Both external reviewers must be renowned researchers of the field in particular with a PhD degree or an equivalent qualification and without a conflict of interests. A (non-exhaustive) list of potential conflicts of interests is given at the end of this document. Both external reviewers must be outside of UT, at least one of them must be outside of Estonia. Usually, pre-reviewing is done by prospective opponents. The supervisor proposes pre-reviewer candidates, makes a preliminary agreement with them and announces their names to the secretary of the Defence Council for official approval. Initially, communication between pre-reviewers and between the doctoral student and pre-reviewer should be avoided.

The dissertation may be sent to pre-reviewers before submitting the dissertation but the council cannot approve the pre-reviewers before the submission.

4. The internal pre-reviewer must be a member with a PhD or equivalent qualification of the academic staff of the Institute other than the supervisor(s). The duties of the internal pre-reviewer are:

1) Check if the official requirements imposed on the content of the thesis are fulfilled (e.g., does the thesis provide an overview of the current situation of the field of research and the
2) Attend the PhD student's presentation at the institute seminar (see paragraph 5) and ask questions in order to help to prepare the student for the defence;

3) Recommend the PhD student to make changes to the manuscript if necessary;

4) Write a short (1–2 paragraphs) motivated recommendation to the Council.

The internal reviewer is allowed to be a recent co-author of the supervisor or of the PhD student.

5. Before the dissertation is allowed to be defended, the PhD student must make a presentation on the topic of the dissertation at the institute seminar. An appropriate time must be agreed with the supervisor, the internal reviewer and the secretary of the Defence Council at least a week in advance.

6. Based on the recommendations made by the pre-reviewers, the PhD student makes changes to the manuscript if necessary. The amended manuscript must be approved by the pre-reviewers if so requested. The PhD student delivers the approved manuscript to the secretary of the Defence Council. After that, no changes are allowed in the content of the dissertation. (The cover, the title page and last pages containing the list of previously printed dissertations are created by the publisher.)

7. A PhD thesis has two opponents unless the institute council decides otherwise. The supervisor proposes opponent candidates and confirms potential defence dates with them. The opponents must be internationally renowned researchers of the respective area, having a PhD degree or an equivalent qualification and without a conflict of interests. A (non-exhaustive) list of potential conflicts of interests is given at the end of this document. At least one opponent must be from outside of Estonia. The supervisor must provide the names of the opponent candidates and potential defence dates agreed with them to the secretary of the Defence Council for official approval. If desired, the supervisor may propose additional temporary members to the council. If the supervisor has been in contact with pre-reviewers, their written opinions must also be delivered to the secretary.

8. The doctoral student should contact UT Press immediately after potential defence times are available to make an agreement on when the documents should be submitted. Without prior agreement, the student must provide UT Press with the following documents at least 7 weeks before the defence date:

- The final version of the dissertation that must follow the official format of UT dissertations (as a pdf-file);
- Popular-scientific summaries in Estonian and English.

9. The Institute Council needs to allow the dissertation to be defended and to confirm the time, date and location of the defence. In the case of an e-meeting, at least 3 workdays, and in the case of an ordinary meeting, at least 5 workdays after receiving the final version of the dissertation. The secretary of the Defence Council will provide UT Press an excerpt from the
Institute Council’s approval of the defence and the number of copies requested. The number of printed copies is decided by the head of the institute – by default it is 50 copies.

The official time for printing a dissertation is 3 weeks, but in the case of a sufficiently timely agreement, it can be printed faster. One must take into account the UT requirement that the dissertation must be available to the UT library at least two weeks prior the defence date.

10. Printed copies from the UT Press are sent to the Institute where 20 copies are given to the secretary of the Defence Council. The secretary will arrange the sending of the official copies of the dissertation to the opponents. The rest of the copies will remain with the PhD student – it is traditional to hand them out to the audience at the defence.

The PhD student does not normally have to send the file to the UT library or bring a hard copy there. This is done by the UT Press.

11. The secretary of the Defence Council will introduce the procedure of the defence (cf. below) and the deadline of providing the opinion (3 days before the defence). The secretary of the Institute initiates the booking of their travel tickets and accommodation, as well as payment. If meeting the opponents upon arrival is desired, it will be done by the supervisor.

12. The defence can proceed only if the following persons are present at the session:
   ○ the doctoral candidate;
   ○ at least one opponent;
   ○ at least 6 members of the Council with a mandate, including the additional members.

Participation in the session is also allowed via a real-time two-way audio-visual communications channel (e.g. Skype or video conference).

**Procedure of the defence**


2. Presentation by the doctoral candidate (*lectio praecursoria*) to introduce the main results of the dissertation (30 min) and potential quick questions about the presentation.

3. Statements by the opponents and academic debate between them and the doctoral candidate.

4. General academic debate with participation from the Council and the audience, including talks by the supervisor(s).

5. A closed discussion with participation by the Council members, the secretary, the opponents and the supervisors, where the Council decides whether or not to award the degree.

6. Announcement of the decision.

7. Final remarks by the doctoral candidate.
Potential conflicts of interest to be avoided

1. No pre-reviewer or opponent may have any close relations with the PhD student or the supervisor(s).

2. No external pre-reviewer or opponent may have had common financial interests or scientific collaboration with the PhD student (e.g., co-authored papers published or under preparation, supervisory function in the dissertation).

3. Recent co-authors of a supervisor (less than 5 years since the (online) publication date of the latest common work or co-work under preparation) should be avoided as external pre-reviewers or opponents as much as possible. Likewise should people who have had common financial interests or common supervisees with supervisors during the last 5 years, as well as the supervisors’ former supervisors and supervisees, be avoided as external pre-reviewers or opponents. The council may reject pre-reviewer or opponent candidates because of suspicion about conflicts of interest.