

DEPARTEMENT FEDORA

FORMATION PAR LA RECHERCHE ET ÉTUDES DOCTORALES

INSA Bâtiment Charlotte
PERRIAND – 3ème étage
17 avenue des Arts
69621 Villeurbanne cedex
fedora-doc@insa-lyon.fr

Formalities for a doctoral thesis defense from INSA LYON, member of the University of Lyon

References:

Order of 25 May 2016 setting the national framework for training and the procedures leading to the award of the national doctoral diploma, and relating to the procedures for depositing, reporting, reproduction, dissemination and conservation of theses or works presented in defense for the Ph.D.

NB : This document aims at giving a general overview of the defense procedure. For the implementation using the ADUM platform, please refer to the [associated tutorial](#)¹.

A Available documents

The following documents can be downloaded from your ADUM space ([see associated tutorial](#)¹):

- The **cover page of the manuscript** (simple degree and cotutelle). This model having been validated and adopted by all COMUE institutions, it is imperative to follow it, without adding other fields/logo.
- The **List of Doctoral Schools** to be included at the beginning of the thesis manuscript
- The **Administrative Folio** to be included on the last page of the thesis manuscript

B Additional documents

In addition to the documents provided by FEDORA, other resources can be consulted:

- [Guide for doctoral students at the University of Lyon](#)
- Thesis presentation template, reference guide: <http://referencesbibliographiques.insa-lyon.fr>

C Check on the website of your Doctoral School the documents and obligations to be met with regard to your Doctoral School (<https://fedora.insa-lyon.fr/en/content/co-accredited-doctoral-schools>)

¹Or <https://fedora.insa-lyon.fr/fr/content/soutenance>

D Re-registration, tuition fees and D4+ derogatory application

Any defense from September 1st requires **re-registration** for the academic year of defense. However, the candidate is exempted from tuition fees and exempted from paying the CVEC if the defense takes place **before December 31**. Similarly, for any defense before December 31st, the request for derogatory registration in D4+ for the academic year of defense is optional.

E Calendar

Reminder: the defense procedure must start no later than 9 weeks before the defense (the month of August and the week of Christmas are excluded from the deadline)

Any document submitted after the deadline will not be taken into account

Initiation of the procedure: when submitting the application on ADUM (do not forget to submit the application once completed!).

*NB: In the event of a double procedure (registration + defense), the submission of the defense application is necessary to be able to go further in the registration validation circuit. It is therefore important that once started, the defense application is **completed and submitted quickly!***

NB: don't forget to enter your HAL ID in your profile (mandatory for the defense at INSA)

9 weeks before the defense date

1) ADUM application submitted, with all associated information ([see ADUM tutorial](#))

- **The manuscript** must be in **pdf** format and include: the **standard cover page**, the **list of doctoral schools** on the second page and the **completed administrative folio** on the last page (NB: the NNT number is assigned when the manuscript is validated by the BMC, so it can be empty for the first deposit before the defense).
 - The version uploaded to ADUM will be the one sent by the platform to the reviewers.
 - The manuscript must not be protected and the text selectable.
 - The diffusion contract must also be attached to the application.
 - The **two reviewers** are necessarily:
 - **Authorised to supervise research (HDR)** or belonging to one of the categories referred to in Article 16 of the May 2016 Decree. In the event that a proposed reviewer does not have the status of University Professor and works in a country with no equivalent to the HDR, a **detailed CV** (showing among others: doctoral supervision activities, publications, participation in thesis defenses and role in the Jury etc.) must be provided in ADUM for validation of the equivalence by FEDORA and the Doctoral School.
 - **External**²

² External: people who do not belong to the COMUE "Université de Lyon" member institutions, who are outside the doctoral school, who have not carried out joint work with the candidate and, more generally, who do not have a common interest with the doctoral student, are considered to be external. In the case of a Double Degree, researchers who belong to the structure of the partner university are considered to be internal.

- The Defense Committee must meet the following conditions³ :
 - The number of members of the Committee is between **4 and 8** ;
 - It is composed of at least **half external personalities**², chosen on the basis of their scientific competence, subject to the provisions relating to international co-supervision of the thesis;
 - At **least half of the Jury must be composed of professors or equivalent** (see Appendix 1) in the sense of the provisions relating to the appointment of members of the National Council of Universities or teachers of equivalent rank who do not depend on the Ministry of Higher Education;
 - The composition of the Jury must allow for a **balanced representation of women and men**. Pursuant to this provision, INSA Lyon has proposed the following representation for the juries:
 - Less than 7 members: **1 woman minimum**
 - 7 or 8 members: **2 women minimum**
 - In addition, any jury must have at least one **member authorized to supervise research working at INSA Lyon**.
 - As a reminder:
 - **Invited members** are not counted in the regulatory formulation of the committee.
 - By regulation, **co-advisors** are considered as examiners (co-supervisors are recognized with their function).
- The official documents will show these provisions. Nevertheless, a tolerance is applied to the cover page of the manuscript which may explain the roles of co-supervisor and guest.

2) Expected date of defense

The presumed date of the defense must be established by the doctoral student in agreement with his or her thesis supervision. Upon a reasoned request to be sent to FEDORA, it may be modified during the procedure **up to the authorization of the defense** (4 weeks before the defense), and provided that it **does not have a negative impact on the deadlines**. All deadlines of the procedure will depend on this date and it is the responsibility of the candidate to inform FEDORA of any changes to limit the risk of postponement/cancellation of the defense.

3) Confidentiality/Closed doors

The request for confidentiality and/or closed doors must be made **when submitting the application**, through the **ADUM platform** when **the defense application is constituted**. This request must be accompanied by a **letter from the thesis supervisor indicating the duration and reasons for the request**. Any subsequent request for confidentiality/closed doors **will not be considered**.

³ The proposed composition of the Committee for the defense of the doctoral thesis must meet the conditions established by Article 18 of the Ministerial Order of 25 May 2016 setting the national framework for training and the procedures leading to the award of the national doctoral diploma.

8 weeks before the defense date

The **Committee Proposal** is preliminary analyzed by the FEDORA department and then submitted for validation (through the ADUM platform), with the following order:

- By the **thesis supervisor**
- By the **Laboratory Direction**
- By the **Doctoral School**
- By **the Institution** (FEDORA Direction)

NB: No appointment of the reviewers can be made before the final validation of the Committee's proposal.

7 weeks before the defense date

FEDORA

- Provides:
 - To the Ph.D. student: the **certificate of similarity analysis** (Compilatio) and the **certificate** to be included in the manuscript to the candidate.
 - To the reviewers: the **certificate of analysis of similarities** (Compilatio).
- **Appoints the rapporteurs** and sends them their appointment through the ADUM platform. The **manuscript is automatically sent to the referees** via the ADUM platform.

LE CANDIDAT

- Includes **the similarity analysis attestation** in the manuscript.

4 weeks before the defense date

THE REVIEWERS

- Upload their **report directly to the ADUM platform** (link is included in the designation email).

THE DOCTORAL SCHOOL

- Issue an opinion on the authorization of the defense on the basis of the rapporteurs' reports.

THE INSTITUTE (FEDORA department)

- Decides on the authorization of the defense on the basis of the opinions of the rapporteurs and the Doctoral School.
- In case of a favorable decision, **authorize** the defense. The **authorization of the defense and the** reports of the reviewers are available on the **ADUM platform**.

3 weeks before the defense date

THE CANDIDATE

- Checks on ADUM
 - **Confirmation** of defense (including date, time, and place⁴)
 - **Modifies the information if necessary** , informing the FEDORA department

FEDORA provides via the ADUM platform:

- Invitations to the defense to the members of the Jury (sent by ADUM to the committee members, except guests)
- Thesis **defense documents**:
 - F01-Affichage
 - F02-Attestation_dépôt
 - F03-Proces_Verbal_Soutenance
 - F04-Rapport_Soutenance
 - F05-Avis_Jury_Reproduction

These documents are then available on the ADUM space of the doctoral student and the thesis director.

D-day of the defense

THE JURY appoints a **president** who must be:

- Rank A (see Appendix 1)
- Outside the Ph.D. advising team

THE CANDIDATE shall give the president the defence documents that (s)he has previously downloaded from his ADUM space:

- F02-Attestation_dépôt (signed by the candidate)
- F03-Proces_Verbal_Soutenance
- F04-Rapport_Soutenance
- F05-Avis_Jury_Reproduction

THE COMMITTEE retreats behind closed doors to deliberate and complete the defense documents:

- F02-Attestation_dépôt (Signature of the President)
- F03-Procès-verbal_soutenance (Signature of the President and counter-signature of the entire jury)
- F04-Rapport soutenance (Signature of the President and counter-signature of the entire jury)
- F05-Avis_Jury_Reproduction (Signature of the President)

THE CANDIDATE takes the ethic vow (**highly recommended**), after the deliberation and **THE PRESIDENT** ticks the box on F03.

Participation by videoconference:

The Institution authorizes, if it respects the internal rules of the ED, the participation of jury members by videoconference: Each participant, face-to-face and remotely, signs the documents. Electronic signatures are accepted. There is no **delegation of signature to the President of the Jury.**

⁴ Defense room and city

After the defense

THE PRESIDENT OF THE JURY, through the thesis director:

- Upload on ADUM, within eight days after the defense, the **four original signed documents** (F02-Attestation_depot, F03-Proces_Verbal, F04-Rapport_Soutenance and F05-Avis_Jury_Reproduction). Parallel sending via fedora-doc@insa-lyon.fr email is accepted.
- If the Jury requests **corrections** :
 - FEDORA sends the candidate a **form "Opinion of the jury on the reproduction of the thesis - model 2"**,
 - a period of **THREE MONTHS MAXIMUM** is given to the candidate to make the corrections and submit:
 - to FEDORA, via a deposit on ADUM: the electronic version and the **"Jury's Notice model n°2"**, completed and signed by the President of the Jury.
 - to the Library: a copy of his corrected manuscript
- If the Jury has not suggested corrections, the doctor will have access again to submit the final version of the manuscript on ADUM, adding the NNT number, the President's update, the acknowledgements, the remarks of the pre-defense and defense reports, the certificate of similarity detection, etc. This final version will be the one broadcasted.

Certificate of Achievement and Diploma

Certificate of Completion

The doctor will be contacted to **collect the original certificate of achievement from FEDORA** when the document is available. Only one certificate of achievement is issued, and no duplicate can be issued.

Diploma

The Doctorate degree will be established in a single copy and the deadline is generally six months after the defense. The doctor will be **contacted by the DAFORAE department** (scol5@insa-lyon.fr) for the withdrawal **in exchange for the original certificate of achievement** and on request.

*NB: FEDORA manages the Certificate of Achievement, but not the diplomas. For any information concerning the latter, please contact **the Registrar's Office (DAFORAE)**.*

Appendix 1

Pursuant to the decree of 16 January 1992, permanent staff belonging to the following bodies are treated in the same way as university professors:

- Research directors (Centre National de la Recherche Scientifique (CNRS), Institut National de la Recherche Agronomique (INRA), Institut de National de la Recherche de la Santé et de la Recherche Médicale (INSERM) and Institut de la Recherche pour le Développement (IRD)) under Decree No. 83-1260 of 30 December 1983 and Decree 2002-136 of 1 February 2002 laying down the statutory provisions common to the bodies of civil servants of public scientific and technological institutes.
- Professors and deputy laboratory directors of the Collège de France;
- Professors from the Muséum national d'histoire naturelle;
- Professors and deputy laboratory directors of the Conservatoire national des arts et métiers;
- The directors of studies of the Ecole des hautes études en sciences sociales;
- The directors of the Ecole pratique des hautes études and the Ecole nationale des chartes;
- Professors of the National Institute of Oriental Languages and Civilizations;
- Deputy directors of écoles normales supérieures;
- Astronomers and physicists governed by Decree No. 86-434 of 12 March 1986, as amended, establishing the statutes of the Corpus of Astronomers and Physicists and the Corpus of Assistant Astronomers and Assistant Physicists;
- Titular astronomers and assistant astronomers governed by the decree of 31 July 1936 on the status of astronomical observatories;
- Titular physicists and assistant physicists governed by the decree of 25 September 1936 on the status of institutes and observatories of Earth physics;
- First and second category teachers of the Ecole centrale des arts et manufactures;