



INSA

DEPARTEMENT FEDORA

FORMATION PAR LA RECHERCHE ET ÉTUDES DOCTORALES

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Formalities for a doctoral thesis defense from the University of Lyon operated within INSA 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.

A Documents available on the FEDORA website

- The **Defense Form**
- The **cover page of the manuscript** (single 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

INSA's SCD/Marie Curie Library is also in charge of the following documents:

- The [certificate of submission of the thesis](#)
- 2 copies [of the Electronic Dissemination Contract for the doctoral thesis of INSA LYON, member of the Université de Lyon](#)

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

- [Guide for PhD students at the Université de 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 fulfilled vis-à-vis your Doctoral School (<https://fedora.insa-lyon.fr/fr/content/ecoles-doctorales-co-accreditees>)



D Re-registration and tuition fees

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

E Calendar

Reminder: the defense procedure must begin no later than 9 weeks before the defense

Any document after the deadline will not be taken into account

1. Beginning of procedure: upon receipt by fedora-doc@insa-lyon.fr of the defense form and the manuscript.

9 weeks before the defense date

1) Manuscript in pdf format including: the standard cover page, the list of doctoral schools on the second page and on the last page the completed administrative folio. The version submitted must be complete, but minor changes may be made during the procedure.

It is strongly recommended to wait for the validation of the committee proposal before sending the manuscript to the reviewers.

2) The Defense Committee must meet the following conditions¹:

- The number of members of the committee is between **4 and 8**;
- At least half of the committee is composed **of external personalities²**, chosen on the basis of their scientific skills, subject to the provisions related to international co-supervision of the Ph.D.;
- At least half of the committee must be composed **of professors or equivalent (see Appendix 1) under the provisions related to the appointment of members of the**

¹ The proposal for the composition of the defense committee for the doctoral thesis must meet the conditions established by Article 18 of the decree of 25 May 2016 setting the national framework of training and the modalities leading to the award of a national doctoral diploma.

² External: persons who do not belong to the member institutions of the COMUE "Université de Lyon", external to the Doctoral School, who have not carried out joint work with the candidate and, more generally, who have no common interest with the doctoral student, are considered external. In the case of joint supervision, persons who do not belong to the structure of the partner university are considered to be external.



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National Council of Universities or teachers of equivalent rank who do not depend on the Ministry of Higher Education;

- The composition of the Committee must allow a **balanced representation of women and men**. In that framework, INSA Lyon proposed the following representation for the juries:
 - Less than 7 members: **1 woman minimum**
 - 7 or 8 members: **2 women minimum**
- The Jury includes at least **two reviewers** who are necessarily:
 - **Holder of the HDR** or belonging to one of the categories referred to in Article 16 of the decree of May 2016. In the event that a proposed reviewer does not have the status of Full Professor and works in a country that has no equivalent to HDR, a detailed resume (including, among other items: doctoral supervision activities, publications, participation in thesis defenses and role in the Jury etc.) must be sent to FEDORA for validation of the equivalence by the Doctoral School and FEDORA.
 - **External²**
 - In addition, any committee must include at least one **HDR holder from INSA Lyon**.

Reminder:

- According to the regulation, **invited** members are not accounted in committee.
- According to the regulation, **co-supervisors are considered as examiners (co-directors are recognized as fulfilling such a function)**.

Official documents will show these provisions. Nevertheless, a tolerance is applied regarding the cover page of the manuscript that can expose the roles of co-supervisor and guest.

3) Expected date of defense

The presumed date of defense must be established by the doctoral student in agreement with his thesis supervision. Upon reasoned request to FEDORA, it may be modified during the procedure **until the authorization of 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 modification to limit the risk of postponement/cancellation of defense.



8 weeks before the defense date

FEDORA edits the Committee Proposal document and **sends it to the** doctoral student.

THE CANDIDATE requests the **signature** of the three parties on this document: thesis direction, laboratory direction and direction of the Doctoral School and sends the signed document to FEDORA.

No letter will be sent to the reviewers before receipt of the signed and validated committee proposal.

7 weeks before the defense date

FEDORA

- Sends the **certificate of similarity analysis (Compilatio) and the certificate to be included in the manuscript;**
- Sends **the Committee Proposal** document signed by the Institute;
- **Designates the reviewers** and sends them the letters appointing them, by delegation of the INSA Lyon President;
- Invites the candidate to **send the manuscript to the reviewers.**

THE CANDIDATE

- Includes the **similarity analysis certificate in the manuscript.**
- Sends **his/her manuscript to the rapporteurs.**

4 weeks before the defense date

THE REVIEWERS

- Send their **report directly to FEDORA.**

FEDORA

- Transmits **the reports to the head of the Doctoral School for approval:** if the opinions of the reviewers and the Doctoral School are favorable, FEDORA Director **authorizes the Ph.D. defense.**
- Sends **the defense authorization** and the copy of the **reports** to the thesis supervisor (with the candidate in Cc).

3 weeks before the defense date

THE CANDIDATE

- *provides DOC'INSA,* as soon as the defense is authorized:
 - The **electronic version** of the thesis, online: <https://theses.insa-lyon.fr/deposer-sa-these>
 - 1 **paper copy** of the thesis manuscript
 - 2 copies of the **Electronic Dissemination Contract** for the Doctoral Thesis



- provides FEDORA
 - The **certificate of deposit** of the doctoral thesis before defense
 - **Confirmation** of defense (including date, time, and place³)

FEDORA sends

- **Convocations** to the defense to members of the Committee, with the Ph.D. supervisor and Ph.D. student in Cc
- Defense **documents**:
 - F01-Affichage
 - F02-Attestation_depot
 - F03-Proces_Verbal
 - F04-Rapport_Soutenance
 - F05-Avis_Jury_Reproduction

D Day of the defense

THE JURY select a chairperson who must be:

- **Professor or equivalent** (see Appendix 1)
- External to the advising team

THE CANDIDATE provides the chairperson the defense documents:

- F02-Attestation_dépôt
- F03-Proces_Verbal_Soutenance
- F04-Rapport_Soutenance
- F05-Avis_Jury_Reproduction

THE JURY moves to deliberate in closed doors and complete the defense documents :

- F02-Attestation_dépôt (Signature du Président)
- F03-Procès-verbal_soutenance (Signature du Président et contre-signature de l'ensemble du jury)
- F04-Rapport soutenance (Signature du Président et contre-signature de l'ensemble du jury)
- F05-Avis_Jury_Reproduction (Signature du Président)

THE CANDIDATE the candidate takes the oath (**strongly recommended**), after the deliberation and **THE CHAIRPERSON** tick the corresponding box on form F03.

Remote participation to the defense:

The Institution authorises, if it complies with the internal rules of the Doctoral School, the participation of jury members in video-conferences. Each participant, in person and remotely, signs the documents. Electronic signatures are accepted. There is no delegation of signature to the President of the Jury.

³ Defense room and city

AFTER THE DEFENSE

THE PRESIDENT OF THE JURY, through the thesis supervisor:

- Delivers to FEDORA, 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).
- If the Jury asks for **corrections**:
 - FEDORA sends the candidate a **form "Opinion of the jury on the reproduction of the thesis - model 2"**,
 - A maximum of **THREE MONTHS** is given to the candidate to make the corrections and send:
 - to FEDORA: the electronic version and the "**Jury Opinion Model No. 2**", completed and signed by the President of the Jury.
 - To the Library: a copy of his corrected manuscript
- If the Jury **did not suggested corrections**, the Ph.D. awardee can, if (s)he wants, submit a final version of the manuscript (Library)

Certificate of Achievement and Diploma

Certificate of Achievement

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

Diploma

The doctoral degree will be printed in a single copy and the deadline is generally one year. The doctor will be **contacted by Service Scolarité** (scol5@insa-lyon.fr) for withdrawal **in exchange for the original certificate of achievement** and upon request.



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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 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;